

Integrated Postsecondary Education Data System (IPEDS) 2011-2014

Supporting Statement Part A **OMB Paperwork Reduction Act Submission**

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Submitted by:

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Summary

The National Center for Education Statistics (NCES) seeks authorization from OMB to continue its Integrated Postsecondary Education Data System (IPEDS) data collection. Current authorization expires 6/30/2012 (OMB No. 1850-0582). We are requesting a new three-year clearance to enable us to provide consistency in our collection of postsecondary data over the next three years.

IPEDS is a web-based data collection system designed to collect basic data from all postsecondary institutions in the United States and the other jurisdictions. IPEDS enables NCES to report on key dimensions of postsecondary education such as enrollments, degrees and other awards earned, tuition and fees, average net price, student financial aid, graduation rates, revenues and expenditures, faculty salaries, and staff employed. The IPEDS web-based data collection system was implemented in 2000-01, and it collects basic data from approximately 7,000 postsecondary institutions in the United States and the other jurisdictions that are eligible to participate in Title IV Federal financial aid programs. All Title IV institutions are required to respond to IPEDS (Section 490 of the Higher Education Amendments of 1992 (P.L. 102-325)). IPEDS allows other (non-title IV) institutions to participate on a voluntary basis. About 200 elect to respond. IPEDS data are available to the public through the College Navigator and IPEDS Data Center websites.

This clearance package addresses two major issues:

- ❶ It significantly revises the currently OMB-approved burden estimates for the 2010-11 IPEDS data collection, which is in process; and,
- ❷ It includes a number of proposed changes to the data collection.

Revising Burden Estimates

In 2007, the National Center of Education Statistics (NCES) received comments from the American Council on Education and several other organizations in the postsecondary education community expressing concerns that the time-burden estimates on record for IPEDS reporting did not accurately reflect the time that institutions spend “reviewing instructions, searching data sources, completing and reviewing their responses, and transmitting” the data to NCES. To address these concerns, NCES commissioned an independent study, which confirmed that among the handful of institutions contacted, the completion of IPEDS required considerably more time than NCES estimated. At the same time, through the Higher Education Opportunity Act of 2008, Congress directed the Government Accountability Office (GAO) to conduct a study that examined the NCES burden estimates (see <http://www.gao.gov/new.items/d10871.pdf>). That study also found that NCES was significantly understating the reporting time for the IPEDS data collection.

Based on the results of both its own study and the GAO study, NCES is proposing new estimates. Institutions responding to the NCES study indicated that it took between 60 and 160 hours to complete IPEDS in 2008-09. Institutions contacted by the GAO for its study estimated between 12 and 590 hours for 2009-10. Previous NCES estimates, which averaged to only about 28 hours per institution, were based on the time required to complete different versions forms for each component. The GAO report suggested that NCES instead consider basing estimates on institutional characteristics and IPEDS keyholder experience, as these have a more significant impact on variations in time burden than the actual forms do.

Based on the GAO recommendations, NCES has developed new time burden estimates that take into account the type of institutions and keyholder experience.

On September 1, 2010, NCES posted new proposed burden estimates for the IPEDS data collection and accepted comments from IPEDS data providers through October 1, 2010. (To see the announcement, go to

http://nces.ed.gov/ipeds/news_room/ana_9_01_2010.asp). In addition to posting the request for comments, NCES directly contacted the American Council on Education and other major higher education associations and asked for them to review the estimates for accuracy. The new estimates ranged from 57 hours for a returning keyholder at a less than 2-year institution to 206 hours for a new keyholder at a 4-year institution.

The higher education associations indicated the new proposed estimates seemed much more in line with what they hear from their members. In addition, approximately 170 comments were received from IPEDS data providers. Many of the commenters agreed with the estimates, while others said they were too high and still others too low. This is likely due to the variability in institutions’ processes and data systems for reporting. Specific comments were directed at the estimates proposed for the Human Resources, Finance, and Student Financial Aid components. At many institutions, keyholders, who are ultimately responsible for reporting, reviewing, and locking the data, must collaborate with different offices in order to provide the data necessary for these forms. This adds additional time in the reporting process. Finally, it was noted that the size of the institution may also affect the time it takes to report: the more students, the more time to report on them.

Based on the comments received, NCES adjusted the proposed estimates slightly, and added institution size as a consideration for the reporting burden. Recognizing that there will still be great variability in the time required to complete IPEDS by different institutions and keyholders, and that as the GAO noted, “estimates are not precise,” NCES estimates that the time required to complete the IPEDS survey components annually ranges from an average of 50 hours for less-than-2-year institutions with returning keyholders to an average of 212 hours for 4-year institutions with new keyholders. However, a small less-than-2-year institution with a returning keyholder could spend as few as 40 hours reporting to IPEDS while a large 4-year institution with a new keyholder may spend as much as 273 hours under these estimates. Institutions that upload their data will spend less time on the process and institutions that are coordinated by a state agency that reports some of the data on their behalf – so they need only review it – also would spend less time reporting, based on the comments received. The table below presents a summary of estimated burden estimates; a more detailed table of calculations follows on pages 4-6.

Table 1: Summary of Time Burden Estimates by Institution Type and Keyholder Experience		
	Estimated Range	Estimated Average
4-year institution		
New Keyholder	150-273 hours	212 hours
Returning Keyholder	100-182 hours	142 hours
2-year institution		
New keyholder	117-219 hours	169 hours
Returning keyholder	78-146 hours	112 hours
<2-year institution		
New keyholder	60-108 hours	75 hours
Returning keyholder	40-72 hours	50 hours

**Table 2: New Detailed Calculations for Current (2010-11) IPEDS Data Collection
Time Burden Estimates
based on Institution Type, Size, and Keyholder Experience**

	Number of institutions (Title IV and non-Title IV)	Returning Keyholders	New Keyholders	Burden for Returning Keyholder	Burden for New Keyholder	Estimated Total Burden Hours
Institutional Characteristics Total	7,200					54,610
4-year schools	2,900	2,465	435	10	15	31,175
2-year school	2,300	1,955	345	6	9	14,835
<2-year schools	2,000	1,700	300	4	6	8,600
Completions Total	7,200					74,347
4-year schools	2,900	2,465	435			43,000
Less than 10 programs	800	680	120	4	6	3,440
10-100 programs	1,700	1,445	255	16	24	29,240
> 100 programs	400	340	60	24	36	10,320
2-year school	2,300	1,955	345			22,102
Less than 10 programs	970	825	146	4	6	4,171
10-100 programs	1,210	1,029	182	12	18	15,609
> 100 programs	120	102	18	18	27	2,322
<2-year schools	2,000	1,700	300			9,245
Less than 3 programs	1,000	850	150	2	3	2,150
3 to 9 programs	900	765	135	6	9	5,805
10 or more programs	100	85	15	12	18	1,290
12-month Enrollment	7,200					52,030
4-year schools	2,900	2,465	435			23,220
800 or less students	900	765	135	4	6	3,870
801-3000 students	1,000	850	150	6	9	6,450
>3000 students	1,000	850	150	12	18	12,900
2-year school	2,300	1,955	345			16,985
500 or less students	800	680	120	4	6	3,440
501-1500 students	600	510	90	6	9	3,870
>1500 students	900	765	135	10	15	9,675
<2-year schools	2,000	1,700	300			11,825
100 or less students	900	765	135	4	6	3,870
101 to 250 students	700	595	105	6	9	4,515
>250 students	400	340	60	8	12	3,440
HR Total	7,200					152,220
4-year institutions	2,900	2,465	435	32	48	99,760
2-year institutions	2,300	1,955	345	16	24	39,560
<2-year institutions	2,000	1,700	300	6	9	12,900

Table continues on following page

Table 2: New Detailed Calculations for Current (2010-11) IPEDS Data Collection Time Burden Estimates based on Institution Type, Size, and Keyholder Experience — Continued

	Number of institutions (Title IV and non-Title IV)	Returning Keyholders	New Keyholders	Burden for Returning Keyholder	Burden for New Keyholder	Estimated Total Burden Hours
Fall Enrollment (EF) Total	7,200					92,880
4-year institutions	2,900	2,465	435			50,740
800 or less students	900	765	135	8	12	7,740
801-3000 students	1,000	850	150	16	24	17,200
>3000 students	1,000	850	150	24	36	25,800
2-year institutions	2,300	1,955	345			33,970
500 or less students	800	680	120	8	12	6,880
501-1500 students	600	510	90	12	18	7,740
>1500 students	900	765	135	20	30	19,350
<2-year institutions	2,000	1,700	300			8,170
50 or less students	600	510	90	2	3	1,290
101 to 250 students	1,000	850	150	4	6	4,300
>250 students	400	340	60	6	9	2,580
Finance (F) Total	7,200					99,330
4-year schools	2,900	2,465	435			46,225
FASB	2,300	1,955	345	14	21	34,615
GASB	600	510	90	18	27	11,610
2-year school	2,300	1,955	345			43,645
FASB	200	170	30	14	21	3,010
GASB	2,100	1,785	15	18	27	40,635
<2-year schools	2,000	1,700	300			9,460
FASB	1,600	1,360	240	4	6	6,880
GASB	400	340	60	6	9	2,580
Graduation Rates (GRS) Total	7,200					91,160
4-year institutions	2,900	2,465	435			44,505
800 or less students	900	765	135	6	9	5,805
801-3000 students	1,000	850	150	16	24	17,200
>3000 students	1,000	850	150	20	30	21,500
2-year institutions	2,300	1,955	345			34,830
500 or less students	800	680	120	6	9	5,160
501-1500 students	600	510	90	16	24	10,320
>1500 students	900	765	135	20	30	19,350
<2-year institutions	2,000	1,700	300			11,825
100 or less students	900	765	135	4	6	3,870
101 to 250 students	700	595	105	6	9	4,515
>250 students	400	340	60	8	12	3,440

Table continues on following page

**Table 2: New Detailed Calculations for Current (2010-11) IPEDS Data Collection
Time Burden Estimates based on Institution Type, Size, and Keyholder Experience — Continued**

	Number of institutions (Title IV and non-Title IV)	Returning Keyholders	New Keyholders	Burden for Returning Keyholder	Burden for New Keyholder	Estimated Total Burden Hours
Graduation Rates 200 (GR200) Total	7,200					27,950
4-year schools	2,900	2,465	435			12,685
800 or less students	900	765	135	2	3	1,935
801-3000 students	1,000	850	150	4	6	4,300
>3000 students	1,000	850	150	6	9	6,450
2-year school	2,300	1,955	345			10,105
500 or less students	800	680	120	2	3	1,720
501-1500 students	600	510	90	4	6	2,580
>1500 students	900	765	135	6	9	5,805
<2-year schools	2,000	1,700	300			5,160
100 or less students	900	765	135	2	3	1,935
101 to 250 students	700	595	105	2	3	1,505
>250 students	400	340	60	4	6	1,720
Student Financial Aid (SFA) Total	7,200					182,105
4-year schools	2,900	2,465	435			90,300
800 or less students	900	765	135	20	30	19,350
801-3000 students	1,000	850	150	30	45	32,250
>3000 students	1,000	850	150	36	54	38,700
2-year school	2,300	1,955	345			61,920
500 or less students	800	680	120	18	27	15,480
501-1500 students	600	510	90	24	36	15,480
>1500 students	900	765	135	32	48	30,960
<2-year schools	2,000	1,700	300			29,885
100 or less students	900	765	135	12	18	11,610
101 to 250 students	700	595	105	14	21	10,535
>250 students	400	340	60	18	27	7,740

Future Burden Estimates

In addition to revising its burden estimates based on suggestions from the GAO and NCES studies and comments from the higher education community, NCES has commissioned a second study on burden estimates to better estimate time burden in the future. The purpose of the study is to learn how other federal agencies estimate time burden and determine whether there are best practices or a more systematic methodology that NCES could employ on an ongoing basis to update time burden estimates in the future. To identify different methods for estimating burden, a consultant reviewed practices in use at nine federal agencies. The consultant identified data collections at each agency and reviewed the questionnaires or data reporting forms. The consultant interviewed project officers or OMB clearance officers at each agency to gather information on the methods that are used to estimate time burden, including how the agency developed

original burden estimates and modified those estimates as the collection evolved. Table 3 lists the agencies and surveys which were reviewed for the study.

Table 3. Description of Federal Data Collections Reviewed

Federal Agency	Data Collection	Brief Description
Equal Employment Opportunity Commission	EEO-5 Report	Biannual collection of the number of staff in designated positions by race/ethnicity and gender from public elementary and secondary school districts with 100 or more employees within 50 U.S. states and District of Columbia.
National Center for Education Statistics	Common Core Data	Annual data collection from all public elementary and secondary schools, all local education agencies, and all state education agencies in the US. CCD contains three categories of information: general descriptive information on schools and school districts; data on students and staff; and fiscal data.
National Science Foundation (NSF)	Higher Education Research and Development Survey	Annual survey of academic institutions in the U.S. and outlying areas that have bachelors or higher programs in science & engineering (S&E) and annually perform at least \$150,000 in separately budgeted S&E research & development. The survey collects information on R&D expenditures by academic field and source of funds.
Department of Agriculture	Organic Production Survey	A new survey in 2008 that was sent to farmers who indicated in the 2007 Census of Agriculture that they were engaged in organic farming. The survey collects data on organic farming production, marketing, and economics. By law if a farm receives a survey it must respond.
Securities and Exchange Commission	Form 10-K	Annual report of public-traded company's business and financial condition that includes audited financial statements.
Department of Energy	EIA-923 Power Plant Operations	All electric power plants submit information about power generation, fuel consumption, fossil fuel stocks, and delivered fossil fuel cost and quality. A sample of the power plants are selected to submit data on a monthly basis and all others submit data on an annual basis. The data are used to monitor the status and trends of the electric power industry.
Department of Health and Human Services	Uniform Data System	Annual collection to monitor primary care grantees compliance with laws and regulations includes demographic, financial, and clinical data. Grantees of the following Health Resources and Services Administration programs are required to report data: Community Health Center, Migrant Health Center, Health Care for the Homeless, and Public Housing Primary Care.
Department of Labor	Survey of Occupational Injuries and Illnesses	Annual sample survey of private businesses and state and local government agencies. The survey collects data on the number of work related injuries and illnesses and a measure of the frequency at which they occur at these establishments.
Internal Revenue Service	IRS Form 1098-T	Under Section 6050S of the Internal Revenue Code colleges and universities must report tuition data to IRS and to students.

A summary of the preliminary findings are included in Table 4 below; the final of draft of the report is still under review.

Table 4. Methods Used by Seven Agencies to Revise Time Burden Estimates

Agency	Data Collection	Burden Estimate (in hours)	Number of respondents	Method for estimating time burden		
				Small sample	All respondents	Other
Department of Agriculture	Organic Production Survey	1	20,000 farmers	X		
Department of Energy	EIA-923 Power Plant Operations	2.7 to 3.4	2,800 power plants			X
Department of Health and Human Services	Uniform Data System	62	1,181 grantees	X		
Department of Labor	Survey of Occupational Injuries and Illnesses	24 minutes; ranging from 10 minutes to 5 hrs	200,000 establishments	X		
EEOC	EEO-5 Report	1.4	7,155 school districts	X		
IRS	IRS Form 1098-T	13 minutes per form	21,078,651 Forms			X
National Science Foundation	Higher Education Research and Development Survey	22	711 colleges		X	
NCES	Common Core Data	94	56 agencies		X	
Securities and Exchange Commission	Form 10-K	2,102	4,400 non-accelerated filers	X		

Note: The IRS has not revised its calculation of burden for the Form 1098-T. The Department of Energy did not collect information on time burden from respondents to the EIA-923 form. The EIA-923 was created by merging two other data collections so the agency just modified the burden estimates from those data collections, adding time for new elements and decreasing time burden for deleted data elements based on agency staff experience.

Based on these preliminary findings, NCES proposes that every 3 years, prior to seeking new OMB clearance, it will ask respondents to voluntarily report the time burden for completing each component of the IPEDS data collection at the end of the survey form. Therefore, in 2012-13, NCES will collect this information from keyholders so that it can use the information to rebase the burden estimates before seeking approval (in early 2014) for the 2014-15, 2015-16, and 2016-17 IPEDS data collections.

Proposed Changes to the IPEDS Data Collection for 2011-12, 2012-13, and 2013-14

Background

Most of the proposed changes are suggestions from the IPEDS Technical Review Panel (TRP). Meetings of the IPEDS TRP are convened by RTI International, the contractor for the IPEDS web-based data collection system; subject areas for the meetings are determined by legislation, emerging areas of concern in postsecondary education, and an ongoing goal of decreasing reporting burden while retaining the federal data necessary for use by policy makers and education analysts. Detailed summaries of each meeting are posted (https://edsurveys.rti.org/IPEDS_TRP/TRP.aspx) and comments on panel suggestions are solicited. Four meetings of the TRP resulted in changes included in this clearance package, as summarized in the table below.

Table 5: IPEDS TRP Meetings Relevant to Proposed Changes

Topic (Date)	Summary	Survey Components Affected
Distance Education (April 2008)	The IPEDS TRP met to discuss evolving delivery modes for postsecondary education and increased availability of “distance education” course and programs. Topics ranged from the definition of distance education to the challenges that institutions would face in providing distance education data. The panel discussed how the reporting of distance education data might be incorporated into the existing IPEDS reporting structure in order to collect data that would help NCES better describe postsecondary education in the nation, part of NCES’ mission; allow institutions to compare their distance education activities to those of their peers; and provide valuable consumer information on College Navigator to students and parents.	<ul style="list-style-type: none"> • Institutional Characteristics • Completions • Fall Enrollment
Completions (December 2009)	A common question NCES receives from policymakers asks for the number of postsecondary graduates in a given year who would likely be entering the workforce. Because IPEDS currently collects data on the number of completions (certificates and degrees awarded) rather than completers (graduates), it cannot accurately answer this question. Graduates may receive, for example, two degrees in a given year or a degree and certificate, and then they would be reported twice, over counting the number of persons completing programs and feasibly entering the workforce. The TRP met to discuss whether and how data on completers could be collected through the IPEDS Completions survey.	<ul style="list-style-type: none"> • Completions
Human Resources (June 2010)	The TRP examined the reporting burden for degree-granting institutions completing the Human Resources component and discussed strategies for simplifying the collection forms and eliminating potentially duplicative or unnecessary data in order to reduce institutional burden and improve the usefulness and quality of the data being reported.	<ul style="list-style-type: none"> • Human Resources
Net Price, Student Financial Aid, and Program Reporting Issues (September 2010)	The IPEDS TRP met to discuss improving the IPEDS data items that were added to meet Higher Education Opportunity Act (HEOA) requirement for reporting net price, particularly for those that currently report pricing data to IPEDS by program, rather than by academic year. The TRP discussed ways of improving the SFA component, through which most of the net price data are collected, by further clarifying definitions and reporting elements and better aligning the SFA component for program reporters with the data reported by these institutions in other IPEDS components.	<ul style="list-style-type: none"> • Institutional Characteristics (and Pricing) • Student Financial Aid • 12-month Enrollment

Detailed descriptions of all proposed changes are included in the following section, by survey component.

A Note about the Timing and Implementation of the Changes

In the past, when new items have been added to IPEDS, NCES has allowed for optional reporting during the first year, with mandatory reporting the following year (unless mandated otherwise by congressional legislation). This practice has created some issues with data files and caused confusion among data users when some institutions report data during the optional year, while others elect to wait until the data are required. Starting with 2011-12, NCES will modify this practice. For additions that require more than minimal burden to report and unless required otherwise by legislation or regulation, NCES will use a “preview” year (rather than an optional reporting year) for additions to IPEDS forms. During the preview year, new items will be shown on the data collection screens to give institutions one-year advance notice of how new data items will be collected in the future, but they will be “grayed out” such that reporting the data is not an option.

Detailed Proposed Changes to Forms by IPEDS Survey Component

Institutional Characteristics

The proposed changes below will provide important information about trends in distance education and will improve the calculation of average institutional net price for program reporters; these were proposed by the IPEDS TRP. The last proposed change listed relates to compliance with HEOA requirements for institutions to have a net price calculator available on the websites.

Table 6: Proposed Changes to the IPEDS IC Form (All versions)			
Change	Implementation Year	Source	Estimated burden
Add an item to collect information on whether institutions are completely online.	2011-12 (no preview year)	Distance Education TRP	Minimal
Add an item to collect whether distance opportunities are offered and at what student level (undergraduate, graduate). The current IC question C6 would be modified to exclude the distance education reporting option, and a new question would be added.	2012-13 (2011-12 preview year)	Distance Education TRP	Minimal
Add items to collect prorated academic year price for largest program (in addition to the currently collected program year price) [Note institutions already must calculate this number for purposes of awarding Pell grants]	2011-12 (no preview year because relates to HEOA)	Net Price/SFA TRP and Legislation (HEOA)	Moderate
Add an item to collect the institution’s URL for the Net Price Calculator, to be posted to College Navigator. Institutions must post a Net Price Calculator on their website by 10/29/2011, as required by the HEOA.	2011-12 (no preview year)	Legislation (HEOA)	Minimal

In addition to the proposed changes to the IC survey form, based on the input from the TRP, NCES plans to revise and clarify the IPEDS definition of “distance education.” The panel discussed various definitions of “distance education” and suggested changing the IPEDS definition as follows:

TABLE 7

Current IPEDS Definition of Distance Education	New IPEDS Definition of Distance Education
An option for earning course credit at off-campus locations via cable television, internet, satellite classes, videotapes, correspondence courses, or other means.	Education that uses one or more technologies to deliver instruction to students who are separated from the instructor and to support regular and substantive interaction between the students and the instructor synchronously or asynchronously.

The new definition aligns IPEDS with the legislative definition of distance education as specified in HEOA. HEOA also specifically distinguishes distance education from correspondence education. NCES will follow the definition of distance education in the law; thus data reported for the proposed changes will pertain only to distance education. Correspondence education should not be included.

The panel also discussed whether IPEDS instructions should clarify whether the separation between instructor and students is “*exclusive*” or “*predominate*.” The TRP agreed that IPEDS instructions should clarify that requirements for coming to campus for orientation, testing, or academic support services does not exclude the course from being classified as distance education. Also, technologies used for instruction may include the following:

- Internet;
- One-way and two-way transmissions through open broadcasts, closed circuit, cable, microwave, broadband lines, fiber optics, satellite or wireless communication devices;
- Audio conferencing; and
- Video cassette, DVDs, and CD-ROMs, if the cassette, DVDs, and CD-ROMs are used in a course in conjunction with the technologies listed above.

Completions

Based on TRP suggestions and comments received from interested parties, NCES proposes the following changes to the Completions component.

Table 8: Proposed Changes to the IPEDS Completions Form (All versions)

Change	Implementation Year	Source	Estimated burden impact
Add an item to collect the total number of students who earned degrees or certificates, by race/ethnicity and gender	2012-13 (2011-12 preview year)	Completions TRP	Minimal
Add items to collect the numbers of students who earned degrees or certificates, separately by (1) gender; (2) race/ethnicity, and (3) age*, for the following 6 award categories (collapsed from the 11 IPEDS categories): <ul style="list-style-type: none"> o Less than 1-year certificates o At least 1 but less than 4-year certificates o Associate's degrees o Bachelor's degrees o Postbaccalaureate and Post-Master's certificates o Master's degrees o Doctor's degrees <p>* Age categories are: under 18; 18-24; 25-39; 40 and above; and age unknown.</p>	2012-13 (2011-12 preview year)	Completions TRP	Moderate
Add an item so that institutions can indicate, by CIP code and award level, if the program is available to be completed completely online.	2012-13 (2011-12 preview year)	Distance Education TRP	Moderate in first year, minimal in subsequent years

In addition, based on suggestions from the TRP, NCES will clarify instructions for the Completions survey to specify that only credit awards are to be reported

12-month Enrollment

The recent change in the postbaccalaureate degree classifications (implemented in IPEDS between 2008-09 and 2010-11) has resulted in a challenge in the calculation of the institution's full-time equivalent (FTE) enrollment that is calculated on E12 because doctor's-professional practice programs often do not measure instructional activity in standard credit hours like other graduate programs. This has posed difficulty for reporting institutions and also resulted in unreliable estimates of graduate level FTEs. To address this problem, we propose to eliminate the collection of instructional activity data for doctor's-professional practice students and instead collect an FTE student count for these students.

These and other proposed changes to E12 are presented in the table below.

Table 9: Proposed Changes to the IPEDS E12 Form (All versions)

Change	Implementation Year	Source	Estimated burden impact
Eliminate collection of doctor's-professional practice instructional activity, now included with graduate activity.	2012-13 (2011-12 preview year)	NCES initiated	Moderate reduction
Add an item collect full-time equivalent enrollment for doctor's-professional practice students.	2012-13 (2011-12 preview year)	NCES initiated	Minimal
Eliminate the choice of reporting periods, so that all institutions report for the July 1–June 30 period.	2011-12 (no preview year)	Net Price/SFA TRP	None

Fall Enrollment

Proposed changes to E12 are presented in the table below.

Table 10: Proposed Changes to the IPEDS EF Form (All versions)			
Change	Implementation Year	Source	Estimated burden
Add a new Part to the survey to collect data on the number of students enrolled in any distance education and the number of student enrolled exclusively in distance education. Data will be broken out by student level (undergraduate, graduate) and student location (in same state as institution, not in same state (in US), not in same state (outside US))	2012-13 (2011-12 preview year)	Distance Education TRP	Significant in initial year; moderate in subsequent years

Human Resources

The IPEDS TRP examined the reporting burden for institutions completing the Human Resources (HR) component and discussed strategies for simplifying the collection forms and eliminating potentially duplicative or unnecessary data in order to reduce institutional burden and improve the usefulness and quality of the data being reported. By completing the HR component, institutions are complying with federal regulations to report on the gender and race/ethnicity of their workforce. However, the survey form currently completed by institutions collects considerably more data than are needed to meet federal requirements. In addition, the panel examined the possibility of streamlining data collection for instructional staff—eliminating and/or consolidating redundant portions of the component and clarifying existing definitions for reporting data in order to improve the overall quality of the data reported. The panel also assessed the need for collecting any additional data items to address changing policy and research needs, such as the movement away from traditional tenure base systems to contract-based faculty. Based on TRP discussions and comments from interested parties solicited, NCES proposes eliminating substantial data items with the 2011-12 collection and making the other changes beginning with the 2012-13 collection cycle, as outlined on the following pages. The long version of the HR form is applicable to degree-granting institutions with 15 or more full-time employees; the short version of the HR form is, applicable to degree-granting institutions with fewer than 15 full-time employees:

Table 11: Proposed Changes to the IPEDS HR Form (long form)			
Change	Implementation Year	Source	Estimated burden
Eliminate the nine salary class interval screens. This includes all of Part H and all but the last screen in Part I (the headcount of full-time non-IRPS staff by primary function, race/ethnicity and gender, which is not captured anywhere else in the component).	2011-12	HR TRP	Significant reduction
Eliminate the two fringe benefits screens (Part F) from the <i>Salaries</i> section of the component.	2011-12	HR TRP	Significant reduction
Revise the primary function/occupational activity categories (see Figure 1 below).	2012-13 (2011-12 preview year)	HR TRP	Moderate in initial year; minimal in subsequent years
To streamline data collection across component sections: <ul style="list-style-type: none"> Eliminating items in the Fall Staff section (Part G) that collect data on non-instructional research and public service full-time staff, better aligning this section with the Salaries section, which collects data exclusively on instructional staff), 	2012-13 (2011-12 preview year)	HR TRP	None

Table 11: Proposed Changes to the IPEDS HR Form (long form)

- Adding items to Part I of the Fall Staff section (the headcount of fulltime non-instructional staff) to include the research and public service categories that were eliminated in the item above..

(Table continues on next page)

Add the following non-tenure track contract faculty categories to (Part G): (1) Multi-year contract; (2) Annual contract; (3) Less than annual contract; (4) Without faculty status.	2012-13 (2011-12 preview year)	HR TRP	Moderate in initial year; minimal in subsequent
Add a screening question to determine if the institution has a tenure system	2012-13 (2011-12 preview year)	HR TRP	Minimal
Add an additional screen to the Salaries section (Part E), to be displayed immediately after the existing salary outlays screen to collect salary outlays for full-time staff in the following categories: (1) Executive/administrative/managerial; (2) Other professionals; (3) Technical and paraprofessionals; (4) Clerical and secretarial; (5) Skilled crafts; and (6) Service/maintenance. These totals would not be disaggregated by race/ethnicity or gender.	2012-13 (2011-12 preview year)	HR TRP	Minimal
Add a screening question to determine if an institution has graduate assistants.	2012-13 (2011-12 preview year)	HR TRP	Minimal
Eliminate the graduate assistant column from the part-time section and implement a new, condensed screen in the EAP section (Part B) for graduate assistants. This screen would collect data in the following three categories, each subdivided by medical versus nonmedical personnel: (1) graduate assistant—teaching, (2) graduate assistant—research, and (3) graduate assistant—other.	2012-13 (2011-12 preview year)	HR TRP	Moderate in initial year; minimal in subsequent years

Figure 1: Proposed Changes to Primary Function/Occupational Activity Categories

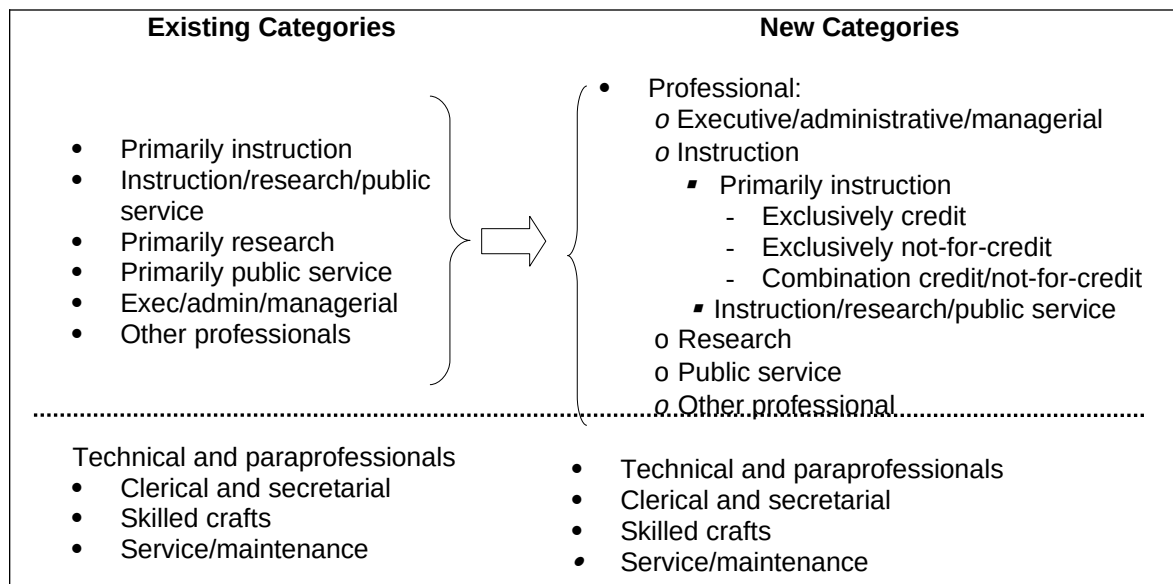


Table 12: Proposed Changes to the IPEDS HR Form (short form)

Change	Implementation Year	Source	Estimated burden
Eliminate the two fringe benefits screens (Part F) from the <i>Salaries</i> section of the component.	2011-12	HR TRP	Significant reduction
Revise the primary function/occupational activity categories (see Figure 1 above).	2012-13 (2011-12 preview year)	HR TRP	Moderate in initial year; minimal in subsequent years
<p>The <i>Salaries</i> section (Part E) will be revised by:</p> <ul style="list-style-type: none"> Eliminating the contract length differentiation from the survey screens Adding an additional column to the survey screen after the salary outlays column indicating the number of months covered by those salary outlays. (This number will be used to calculate a weighted monthly average salary.) <p>Note: To assist data reporters in determining the number of hours covered, a worksheet will be provided in the data system that collects counts of staff on 9-month contracts, 10-month contracts, 11-month contracts, and 12-month contracts, by gender and academic rank. For each gender and academic rank category, the system would then calculate: (1) the total number of staff reported (i.e., the sum of the values entered for each contract length), and (2) the total number of months covered (i.e., the sum of the staff reported for each contract length multiplied by the number of months in the contract).</p>	2012-13 (2011-12 preview year)	HR TRP	None
Add a screening question to determine if an institution has graduate assistants.	2012-13 (2011-12 preview year)	HR TRP	Minimal
Eliminate the graduate assistant column from the part-time section and implement a new, condensed screen in the EAP section (Part B) for graduate assistants. This screen would collect data in the following three categories, each subdivided by medical versus nonmedical personnel: (1) graduate assistant—teaching, (2) graduate assistant—research, and (3) graduate assistant—other.	2012-13 (2011-12 preview year)	HR TRP	Moderate in initial year; minimal in subsequent years
Eliminate the collection of data by faculty status (Parts A, B, and D), since institutions that respond to the short HR version report most of their staff in the “Not on tenure track/no tenure system” category or in the “Without faculty status” category.	2011-12	HR TRP	Moderate reduction
Combine the <i>EAP</i> and <i>Fall Staff</i> sections into a single section since both sections collect data on the number of full-time and part-time staff. In odd-numbered years, the reporting of data by race/ethnicity and gender will be required, and in even-numbered years, the reporting of race/ethnicity and gender will be optional.	2011-12	HR TRP	Moderate reduction

Please note: IPEDS is not currently aligned with the recently revised Standard Occupational Classification (SOC) System. Since the 2010 SOC was released, the IPEDS HR survey director has worked with a contractor to develop a crosswalk between IPEDS reporting categories for faculty and staff and the new SOC. NCES also gained input from nine higher education institutions on the proposed alignment. In April 2011, NCES sought and obtained approval from the SOC Policy Committee for its plan to align IPEDS reporting with the 2010 SOC. Institutions have alerted NCES that they will need time to reclassify their employees based on the 2010 SOC. Therefore, we plan to allow the 2011-12 collection year for institutions to make the necessary adjustment to their data systems, and beginning with the 2012-13 data collection year, IPEDS HR reporting will be fully

aligned with the 2010 SOC. NCES will submit to OMB their alignment plan and any associated burden estimates in time for OMB approval before the 2012-13 data collection.

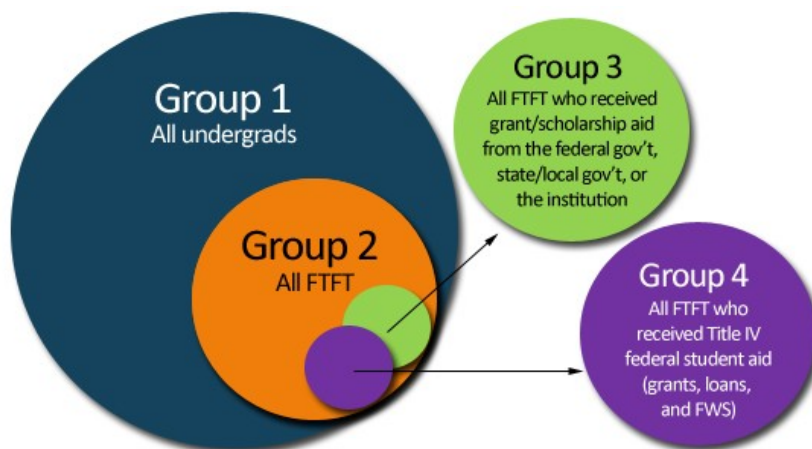
Student Financial Aid

Most of the proposed changes below are suggestions from the IPEDS TRP held in 2010, and described in the introduction to this proposed changes section. In addition, NCES would like to move the SFA component from the Spring collection to the Winter collection beginning with the 2011-12 collection to help improve the calculation of the net price data displayed on College Navigator, per HEOA. Average institutional net prices are calculated on SFA, using data submitted on SFA and IC. Currently, no revisions to IC pricing data can be accepted during most of the time when SFA is open. NCES would like to be able to accept IC pricing data revisions once institutions see the net price calculations on the SFA worksheets; this will be possible if SFA is a Winter survey. In November 2007, the IPEDS TRP suggested that SFA be collected in a “late winter” collection that would run from approximately 11/15 through 2/1 for keyholders. Extending the Winter collection by two weeks would come close to the end date suggested by the TRP.

Change	Implementation Year	Source	Estimated burden
Move collection of SFA from Spring collection to Winter collection. Extend Winter collection by two weeks. Effective 2011-12.	2011-12	NCES initiated and Collection Calendar TRP (Nov 2007)	Shift in time of year for reporting burden
Add an additional column to Part E to collect the number of students in Group 4 (see Figure 2 for a description of the SFA groups) receiving any Title IV grant aid, by income categories.	2011-12 (No preview year because HEOA related)	SFA TRP	Minimal

FIGURE 2: SFA Student Reporting Groups

- Group 1.** All undergraduate students
- Group 2.** Of the students in Group 1, those who are full-time, first-time degree/certificate-seeking students
- Group 3.** Of the students in Group 2, those who received grant or scholarship aid from the federal government, state/local government, or the institution
- Group 4.** Of the students in Group 2, those who received Title IV federal student aid



In addition, the TRP suggested that NCES clarify SFA instructions for all forms so that institutions are directed to report “aid awarded,” rather than “aid received” or “aid awarded and accepted,” as the instructions currently read.

Table 14: Proposed Changes to the IPEDS SFA Form (program reporter form)			
Change	Implementation Year	Source	Estimated burden
Collect data for Groups 1 and 2 (see Figure 2 below) for an academic year period, as defined by the institution, rather than a 12-month period.	2011-12 (no preview year because HEOA related)	SFA TRP	Minimal
For Groups 3 and 4 (see Figure 2 below) to include only those students enrolled in the institution’s largest program.	2011-12 (no preview year because HEOA related)	SFA TRP	Minimal
Add an additional column to Part E to collect the number of students in Group 4 receiving any Title IV grant aid, by income categories.	2011-12 (no preview year because HEOA related)	SFA TRP	Minimal
Modify Group 3 and 4 sections to collect data for an academic year for students in the institution’s largest program. The institution will determine its own definition of academic year, so long as it falls within the 12-month reporting period covered. Please note that since HEOA requires three years’ worth of data on net price, if an institution’s largest program changes, the institution would need to report three years’ worth of data for the new largest program.	2011-12 (no preview year because HEOA related)	SFA TRP	Minimal

In addition, the TRP suggested that NCES change the full aid year reporting period to July 1–June 30. This is the 12-month period that the institutionally-defined academic year must fall within.

Graduation Rates and Graduation Rates 200

The proposed changes were suggested by a National Postsecondary Education Cooperative Working Group on the graduation rate survey. They recommended returning a past IPEDS data collection item to capture the number of students who are still enrolled at the time of the graduate rate calculations to get a better idea of how many students are still on a path toward a degree or certificate program (rather than have dropped out). There is no additional burden associated with this reporting because it is a simple add on to the data already being reported as part of the graduation rates.

All Survey Components

In order to provide better estimates of burden on an ongoing basis, NCES will ask IPEDS keyholders to report voluntarily the time required to complete each survey component every third year, beginning in the 2012-13 data collection. NCES estimates a burden of 0.2 hours to track, record and report this time for the following components: Institutional Characteristics, Graduation Rates, Graduation Rates 200, Fall Enrollment, Completions, and 12-month Enrollment. NCES estimates it will take 0.4 hours for Human Resources, Finance, and Student Financial Aid because these three components typically involve additional offices on campus and will require keyholders to get time estimates from other parties on campus.

Section A. Justification

A.1. Purpose of this Submission

The National Center for Education Statistics (NCES) is seeking a three-year clearance for the Integrated Postsecondary Education Data System (IPEDS) for the 2011-12, 2012-13, and 2013-2014 collections. Current clearance covers the 2008-09 to 2010-11 survey years and is due to expire on June 30, 2012. We are therefore requesting a new three-year clearance in order to collect and process these new data.

a. The Design of IPEDS

Related Background Information

IPEDS was developed to address technical problems with previous postsecondary education statistical programs, including the Higher Education General Information Survey (HEGIS) and the Vocational Education Data System (VEDS). IPEDS was designed to collect accurate, reliable and timely data from the entire postsecondary universe. Although it was based on the HEGIS model, which provides institution-level data submitted either directly to NCES by the institution or through a central or state coordinating office, the IPEDS design allows for varying institution types. The institution-level data collection allows for aggregation of results at various levels and permits significant controls on data quality to be exercised by NCES.

IPEDS Components

The IPEDS system consists of several components that obtain and disseminate information on who provides postsecondary education (institutions), who participates in it and completes it (students), what programs are offered and what programs are completed, and the resources involved in the provision of institutionally based postsecondary education, both human and financial. These components include:

- Institutional Characteristics, including tuition and price information (IC);
- Completions (C);
- Fall Enrollment (EF);
- 12-Month Enrollment (E12);
- Human Resources (HR);
- Student Financial Aid (SFA);
- Finance (F);
- Graduation Rates (GRS); and
- Graduation Rates 200 (GRS200).

b. Proposed Modifications

1. Data Collection Method

We are proposing to continue using the IPEDS web-based system of collection for all components. This collection is organized into three phases based on data availability at the institutions: Fall, Winter, and Spring.

The Fall collection includes:

- Institutional Characteristics, including Institutional Price data
- Completions (and Compliance Report)
- 12 Month Enrollment (E12)

The Winter and Spring components, both open simultaneously to allow respondents who wish to submit any Spring data early:

- Human Resources (HR) (Required in Winter)
- Student Financial Aid * (see proposed change below)
- Graduation Rates
- Graduation Rates 200
- Fall Enrollment
- Finance

Institutions are able to enter data manually on a web-based form or to upload a file containing the data. In many instances, prior year data are provided for comparison purposes. The data are edited as they are being entered into the system, and respondents must either correct any errors identified or enter an explanation to submit their response to NCES. This process shortens data processing time, increases data quality, and reduces burden on institutions by precluding the need for repeated callbacks from NCES contractors. The IPEDS system is accessible to persons with disabilities.

* The Student Financial Aid Component has been part of the Spring collection cycle. NCES would like to move this component to be required during the Winter collection cycle beginning with the **2011-2012** collection. By making the Student Financial Aid (SFA) component a Winter survey, it will be more closely aligned with IC, which may be helpful to institutions when net prices are calculated on SFA. Currently, NO revisions to IC pricing data can be accepted during most of the time when SFA is open. NCES would like to be able to accept IC pricing data revisions once institutions see the net price calculations on the SFA worksheets, and this will be possible if SFA is a Winter survey. In November 2007, the IPEDS TRP suggested that SFA be collected in a "late winter" collection that would run from approximately 11/15 through 2/1 for keyholders. This proposed schedule would come close to the end date suggested by the TRP.

2. Data Content

We are proposing minimal additions and substantial reductions in data content over the next three years. The formats for reporting IPEDS data are very similar to those used for the 2001-02 through 2010-11 data collection cycles.

We anticipate that the IPEDS Technical Review Panel (TRP) may recommend consideration of additional data items; however, no major changes (additional items) will be made to the IPEDS forms without prior notification to OMB and subsequent approval. The IPEDS TRP was formed to assist NCES contractors in a variety of ways including: making suggestions for updating the surveys with items that are more relevant to current postsecondary issues; discussing universe definitions; suggesting ways IPEDS can better serve the institutions and respondents; discussing outcomes and products; and discussing current issues. The TRP generally meets three times a year (but not on a regular schedule) to discuss various topics of interest to the community of IPEDS data providers and data users.

How the panels work:

- Issue/topic is identified;
- Panelists with expertise in the topic are invited to attend the meeting;
- A background paper is prepared by a consultant and distributed to panel members for review prior to the meeting;
- Meetings are held and the topics are discussed at length;
- Discussion and any suggestions are summarized and posted to the IPEDS website;
- The contractor accepts comments from the public on the topic;
- Once comments are received, they are summarized and sent to NCES;
- Finally, a document is posted to the website that includes a summary of comments and NCES/IPEDS' intent to respond and/or implement actions as a result of the comments.

c. **Need for Clearance at this Time**

Clearance helps assure that IPEDS maintains a consistent set of data items in order to collect data from the various institutions at the needed time and with the needed detail. This is important since the utility and quality of data collected in one component in some cases are dependent upon, and in all cases are enhanced by, data collected in other components. Internal consistency and the inherent relationships among IPEDS components also permit reliability indicators to be established for many of the IPEDS data elements. Having the capability for assessing reliability on an on-going basis and, in turn, being able to address individual and systemic problems as they occur will result in significantly better postsecondary education data. Moreover, the concept of a data system rather than stand-alone, independent survey components also allows for the elimination of duplication of effort and thus reduces response burden. The web-based data collection system will continue to allow NCES to comply with the Higher Education Act, which required the redesign of the data collection system, so as to improve the timeliness and quality of IPEDS data, by increasing the efficiency of data collection.

Additionally, clearance will update the IPEDS burden estimates, reflecting revisions resulting from NCES and GAO studies. Previous NCES estimates, which averaged to only about 28 hours per institution, were based on the time required to complete different versions forms for each component. The GAO report suggested that NCES instead consider basing estimates on institutional characteristics and IPEDS keyholder experience, as these have a more significant impact on variations in time burden than the actual forms do. Based on the GAO recommendations, NCES has developed new time burden estimates that take into account the type of institutions and keyholder experience.

d. **Statutory Requirements for IPEDS Data**

General Mandate

IPEDS, conducted by the National Center for Education Statistics, plays a major role in responding to the Center's Congressional mandate under Section 151 of P.L. 107-279, the **Education Sciences Reform Act of 2002**.

The mission of the Center shall be—

- (1) to collect and analyze education information and statistics in a manner that meets the highest methodological standards;
- (2) to report education information and statistics in a timely manner; and
- (3) to collect, analyze, and report education information and statistics in a manner that--

- (A) is objective, secular, neutral, and non-ideological and is free of partisan political influence and racial, cultural, gender, or regional bias; and
- (B) is relevant and useful to practitioners, researchers, policymakers, and the public.

The legislation goes on to indicate that the duties of the Center include:

- collecting, acquiring, compiling (where appropriate, on a State-by-State basis), and disseminating full and complete statistics (disaggregated by the population characteristics described in paragraph (3)) on the condition and progress of education, at the preschool, elementary, secondary, postsecondary, and adult levels in the United States;
- conducting and publishing reports on the meaning and significance of the statistics described above;
- collecting, analyzing, cross-tabulating, and reporting, to the extent feasible, information by gender, race, ethnicity, ... and other population characteristics, when such disaggregated information will facilitate educational and policy decision-making; and other such activities including
- assisting public and private educational agencies, organizations, and institutions in improving and automating statistical and data collection activities.

Data on Race/Ethnicity and Gender of Students

The collection and reporting of racial/ethnic data on students and completers are mandatory for all institutions that receive, are applicants for, or expect to be applicants for Federal financial assistance as defined in the Department of Education (ED) regulations implementing **Title VI of the Civil Rights Act of 1964** (34 CFR 100.13), or defined in any ED regulation implementing **Title IX of the Education Amendments Act of 1972**. NCES has implemented the new reporting requirements for race-ethnicity and use of the new race/ethnicity aggregate reporting categories is mandatory for the collection of 2010-11 data.

Vocational Education Data

IPEDS responds to certain of the requirements pursuant to Section 421(a)(1) of the **Carl D. Perkins Vocational Education Act**. The data related to vocational program completions are collected from those postsecondary institutions known to provide occupationally specific vocational education.

Student Right-to-Know

Sections 668.41, 668.45, and 668.48 of the Student Assistance General Provision were amended to implement the Student Right-to-Know Act, as amended by the Higher Education Amendments of 1991 and further by the Higher Education Technical Amendments of 1993 and 1999. These final regulations require an institution that participates in any student financial assistance program under Title IV of the Higher Education Act of 1965, as amended, to disclose information about graduation or completion rates to current and prospective students. Data must also be reported to the Secretary of Education; this is accomplished through the IPEDS Graduation Rates (GRS) component.

Fall Staff Data

The collection and reporting of racial/ethnic data on the Fall Staff portion of the Human Resources (HR) component are mandatory for all institutions which receive, are applicants for, or expect to be applicants for Federal financial assistance as defined in the Department of Education (ED) regulations implementing **Title IV of the Civil Rights Act of 1964** (34 CFR 100.12). The collection of data are also mandated by Public Law 88-352, **Title VII of the Civil Rights Act of 1964, as amended by the**

Equal Employment Opportunity Act of 1972 (29 CFR 1602, subparts O, P, and Q).

Mandatory Reporting for Institutions with Program Participation Agreements

The completion of all IPEDS surveys, in a timely and accurate manner, is mandatory for all institutions that participate in or are applicants for participation in any Federal financial assistance program authorized by Title IV of the Higher Education Act of 1965, as amended. The completion of the surveys is mandated by 20 USC 1094, Section 487(a)(17) and 34 CFR 668.14(b)(19).

Cost of Higher Education

Section 101 of the Higher Education amendments of 1965 (PL 105-244) requires that NCES collect the following information from institutions of higher education: "(i) tuition and fees for a full-time undergraduate student; (ii) cost of attendance for a full-time undergraduate student, consistent with the provisions of section 472; (iii) average amount of financial assistance received by an undergraduate student who attends an institution of higher education, including - (I) each type of assistance or benefit described in section 428(a)(2)(C)(i); (II) fellowships; and (III) institutional and other assistance, and (IV) number of students receiving financial assistance described in each" of the above categories.

IPEDS is to "collect information regarding the data elements described (in the paragraph above) with respect to at least all institutions of higher education participating in programs under Title IV, beginning with the information from academic year 2000 - 2001 and annually thereafter."

The requirement to collect data on price is satisfied through various items collected in the IC component during the Fall cycle (tuition and fees, room, board, and other expenses) and the SFA component in the Winter/Spring cycle (proposed to change to required during the Winter cycle).

Consumer Information

Section 132 of the Higher Education of 2008 (PL 110-315) requires that ED to "make publicly available on the College Navigator website, in simple and understandable terms," information regarding enrollments, degree completions, admissions, net price, college costs, students with disabilities, graduation rates, and many additional consumer information items.

A.2. Purpose and Use of IPEDS Information

IPEDS provides NCES with the basic data needed to describe the size of the post-secondary enterprise in terms of students enrolled, staff employed, dollars expended and degrees earned. The IPEDS universe also provides the institutional sampling frame used in most other postsecondary surveys such as the National Postsecondary Student Aid Study (NPSAS) and the National Survey of Postsecondary Faculty (NSOPF). Each of these surveys uses the IPEDS institutional universe for its first stage sample and relies on IPEDS data on enrollment, completions, or staff to weight its second stage sample.

In addition to usage within NCES and other areas of the Department of Education, IPEDS data are heavily relied on by Congress, other federal agencies, state governments, education providers, professional associations, private businesses, media, military and interested individuals. Finally, IPEDS data have recently been utilized to develop IPEDS Data Feedback Reports. Initially disseminated in the fall of 2004, these annual reports are sent to almost all postsecondary institutions¹.

¹ Institutions excluded from the mailing are those that do not provide any instruction at the undergraduate level.

They contain data and figures comparing each individual institution to a group of “comparison” institutions, using a variety of IPEDS data variables and derived variables, and are mailed to the Chief Executive Officers of each institution. The reports serve as a means of highlighting the utility of IPEDS data, as well as providing comparative data for use by institutions in meeting their institutional goals relative to their postsecondary “peers.”

Additional uses of IPEDS data, specific to individual survey components, include:

a. Institutional Characteristics

Institutional Characteristics data are the foundation of the entire IPEDS system. These data elements constitute the primary information that is necessary to interrelate and understand other descriptive kinds of statistical data about education, such as enrollments, staff, graduates, and finance. The information is essential to: 1) establishing the universe control file for IPEDS; and 2) developing data collection sampling frames. The IPEDS universe is used as the sampling frame for many other NCES studies, including the National Postsecondary Student Aid Study (NPSAS) and the National Study of Postsecondary Faculty (NSOPF).

In addition to the need for these data within NCES and the Department of Education (Title III and Higher Education Act programs and the Office for Civil Rights use data from IPEDS), other federal agencies rely on the database and the resulting list of postsecondary institutions. NCES has utilized IPEDS data in fulfilling past information requests from the Air Force; the Immigration and Naturalization Service; the Department of Defense (including recruiting offices of all Armed Services); the Departments of Health and Human Services, Agriculture, and Labor; the National Science Foundation; the Veterans Administration; the Social Security Administration; and members of Congress. NCES continues to fulfill information requests as they are received, and has also significantly increased the volume of IPEDS data available on its public websites, allowing end users increased access to current and historic IPEDS data.

Much of the data collected through the IC component, especially admissions information and tuition (price) data, are of special interest to consumers. Consequently, NCES initially created IPEDS College Opportunities On-Line (IPEDS COOL), a web-based search tool where consumers could obtain information about postsecondary schools. In September 2007, ED unveiled the enhanced and redesigned search tool, now called [College Navigator](http://nces.ed.gov/collegenavigator) (see <http://nces.ed.gov/collegenavigator>).

Additionally, NCES provides on College Navigator data provided by the Office of Postsecondary Education (OPE) for the purpose of disseminating relevant information to consumers. These enhancements include: 1) information on Programs Accredited by Accrediting Agencies and State Approval Agencies Recognized by the U.S. Secretary of Education and 2) Campus Security data.

b. Completions and Compliance Report

Information on the number of students who complete a postsecondary education program by type of program and level of award constitute the only national source of information on the availability and location of highly trained manpower. Types of programs are categorized according to the Classification of Instructional Programs (CIP). The CIP is a taxonomic coding scheme that contains titles and descriptions of instructional programs, primarily at the postsecondary level. Business and industry, the military, and other groups that need to recruit individuals with particular skills use these data extensively. The data also help satisfy the mandate in the Carl D. Perkins Vocational Education Act for information on completions in postsecondary vocational education programs.

Information on completions in postsecondary education programs has been used extensively. For example:

- Department of Education, Office of Postsecondary Education (OPE), use these data to respond to public inquiries regarding degrees awarded by different types of institutions, and for reference guides in preparation for budget justifications.
- Department of Labor, Bureau of Labor Statistics (BLS), uses these data in preparing the *Occupational Outlook Handbook* and in matching projections of labor supply and demand.
- State Occupational Information Coordinating Committees (SOICC) also require these data on an annual basis for assisting citizens in career planning and in making state and local area estimates of trained manpower.
- The Congressional Research Service, Library of Congress, uses these data to supply information to Members of Congress in order to assist them in assessing changing and developing needs of the Nation with respect to manpower and postsecondary education.
- The Department of Agriculture, Office of Higher Education Programs, uses these data to include program data on agriculture and home economics in various reports.
- The National Science Foundation, Division of Science Resource Studies, relies heavily on IPEDS Completions survey data, in conjunction with their own surveys, to study degree production, particularly in science, mathematics, and engineering fields.
- The U.S. Census uses the data collected in the IPEDS Finance for its State and Local Government Finance surveys. The data is essentially imbedded into the surveys and is rolled up into the parent state or local government for revenue, expenditures, debt and assets.
- The U.S. Office of Personnel Management uses these data to provide guidance to other Federal agencies in their recruiting efforts.
- The Office for Civil Rights (Department of Education) uses these data in reviewing institutional compliance with anti-discrimination statutes.
- The Department of Justice uses these data when court suits are brought in civil rights cases.
- The Department of Defense uses these data to identify institutions training significant numbers of individuals in occupational programs, and with particular military related skills.
- Private firms use these data for recruiting trained manpower and large corporations use the racial/ethnic completions data to identify the potential pool of new employees for EEO requirements.
- States also use data by program to compare changes in degree patterns among states and for manpower planning and projections.
- The Carnegie Foundation for the Advancement of Teaching has utilized these data for use in developing their institutional classification schemes.

c. **Enrollment**

Enrollment is probably the most basic parameter in postsecondary education since it indicates access to an educational experience that is potentially both economically and socially advantageous. Because enrollment patterns differ greatly among the various types of postsecondary institutions, there is a need for both different measures of enrollment and several indicators of access. Aspects of the enrollment collection are described below.

1. Enrollment and Compliance Report

Fall enrollment is the traditional measure of student access to higher education and IPEDS continues this important statistical series. The Education Department uses fall enrollment data in program planning and for setting funding allocation standards for such legislatively controlled programs as the College Work-Study Program and others. NCEES collects fall enrollment data through this component of IPEDS to update its annual college projections, its mandated annual *Condition of Education* report, and the *Digest of Education Statistics*. The Bureau of the Census, the National Science Foundation, and most state education agencies depend heavily on annual fall enrollment data for such uses as economic and financial planning, manpower forecasting, and policy formulation. Educational and professional associations also use IPEDS enrollment data for a wide variety of purposes. The data are necessary for the Office for Civil Rights (Department of Education) to perform functions mandated by Title VI and Title IX.

2. Residence of First-Time Students (required in even-numbered years)

IPEDS also collects data on the counts of first-time freshmen by state of residence, including data on the number who graduated from high school the previous year. These data are used to monitor the flow of students across state lines and calculate college-going rates by state. The primary purpose of this component is to provide states with more complete information about the attendance of their residents in college than the States can collect in their own surveys. States can then use resulting data to make estimates about the college-going rates of their high school graduates, examine problems caused by excessive student out-migration or in-migration, and determine the types of institutions that attract their citizens into other states. Such data are critical for postsecondary education planning at the state level.

States as well as various associations have made it clear that only a national agency can collect the data needed to examine residence and migration patterns. There are a number of national and state level issues that can be addressed by collecting and disseminating residence data. These needs include the following:

- planning/budgeting for institutional support - public and private;
- planning for shifting institutional demand by region, state, and institution;
- monitoring or establishing out-of-state quotas; and
- reassessing state support to private institutions serving large numbers of in-state students.

3. Age Data (required in odd-numbered years)

In 1987, NCEES began collecting fall enrollment by age of student on a biennial basis. These data offer insight into the relationship between the changing demographics of college-going cohorts and enrollment in different types of postsecondary institutions; they permit detailed projections of enrollment by institutional type and by age. Because a student's dependency status is strongly related to age, the data can also be used to provide estimates of the number of independent/dependent students attending a postsecondary institution, which should be useful in financial aid modeling and projections. In addition, the Department of Defense U.S. Military Entrance Processing Command has indicated a strong need for these data to identify institutions with a sufficient number of recruitment-age students to make recruiting efforts cost effective.

4. Unduplicated 12-Month Head Count

The collection of unduplicated head count of students enrolled over a 12-month period provides a way

of looking at enrollment that is especially valuable for institutions that utilize non-traditional calendar systems and institutions that offer short programs. An enrollment figure that encompasses an entire year provides a more complete picture of the services being provided by these schools.

5. Instructional Activity

The collection of instructional activity, as measured in total credit and/or contact hours delivered by institutions during a 12-month period, provides an overall indicator of the scope of educational activity provided by the institutions. NCES uses the total instructional activity measure as a basis for computing a total student full-time equivalency (FTE). FTE is commonly used by postsecondary institutions as a measure of size and performance, and is one of the best available indicators for the measurement of educational endeavors.

6. Total Entering Class

NCES began collecting total entering class data in the Winter of 2002, based on a recommendation from the TRP. These data are collected in order to address concerns that the cohort used by the Graduation Rates component is not representative of an institution's entering class because the GRS cohort is comprised only of full-time students. The collection of a total entering class allows for a more accurate picture of incoming students and also permits the calculation of the fall GRS cohort as a proportion of the total entering student body.

7. Retention Rates

NCES began collecting retention rates data in the Winter of 2003, based on a need identified by the TRP. Retention rates data provide an indicator of postsecondary performance that is broader in scope than completions data or graduation rates data, and is a critical measure of success as viewed by many 2-year and 4-year institutions.

d. Human Resources

Human resource data provide another basic measure of postsecondary education because they indicate the extent of the human infrastructure and knowledge base represented at institutions of higher learning. Because the size and type of staffing patterns vary greatly across postsecondary education, there is a need to measure different aspects of the human capital in postsecondary institutions. The Human Resources component measures this human capital in three different areas.

1. Employees by Assigned Position

This section was developed to allow institutions to properly classify all of their employees by full- or part-time status, faculty status and occupational activity; in addition, medical school staff are reported separately. By first completing the EAP, institutions are then able to differentiate which faculty are reported on the Salaries component and which are reported on Fall Staff.

2. Salaries

IPEDS data on the salaries of full-time instructional faculty are used by:

- the Department of Education's Grants and Contracts Service, which makes frequent use of the salary data collected by NCES to set standards for expected salary outlays during grants and contracts negotiations processes;

- the Bureau of Labor Statistics (BLS), Department of Labor, which includes salary data when developing its Occupational Outlook Handbook.

The House Labor and Human Resources Committee, the Office for Civil Rights, and the Bureau of the Census have requested trend data. State agencies rely on salary data to determine budgets for their state-supported institutions and to make comparative studies with other states.

Institutions use salary data to establish their own compensation packages, and institution officials study the compensation packages offered by their peers and/or competitors prior to developing their salary schedules.

3. Fall Staff (required in odd-numbered years)

The fall staff section replaces the former EEO-6 survey, and is used by the Equal Employment Opportunity Commission in place of their data collection efforts. Under Public Law 88-352, Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, all institutions of higher education that have 15 or more (full-time) employees are required to keep records and to make such reports biennially to EEOC. NCES now collects the data and provides it to EEOC as required in their regulations. The Office for Civil Rights (OCR) and the Office of Federal Contract Compliance Programs (OFCCP) of the Department of Labor also use these data. The filing of Fall Staff data is mandated under Section 709(c) of Title VII.

The data provide information on staffing levels at the institutions for various occupational categories and are used extensively in peer institution analysis, manpower utilization studies, and in examining the health of the institutions. Good quality data on racial/ethnic composition of postsecondary employees are useful to EEOC and OCR for monitoring compliance with Title VII.

e. Student Financial Aid

The Student Financial Aid component was added to IPEDS to help respond to the request for information on the cost and price of higher education in the Higher Education Amendments of 1998. Data collected through this component allow prospective students to compare average amounts of financial aid received by full-time, first-time degree or certificate-seeking undergraduates by type of aid received across institutions. Data collected here will also be used to calculate institutional net prices, as required in the Higher Education Opportunity Act of 2008. These data are posted on College Navigator.

f. Finance

Finance data are needed for reporting and projecting the revenues and expenditures of a national activity representing a significant component of the GNP. To enhance the comparability and utility of the finance data, IPEDS redesigned the data collection instruments to conform to the accounting standards governing both public and private institutions.

The Department of Education's Title III (Institutional Aid) grant program relies on the finance data to help determine whether or not an applicant college or university is eligible to receive a grant. These data are needed annually. The Bureau of the Census relies on this form to collect data required in its census of governments. NCES and Census worked closely to ensure that one instrument satisfied the needs of both agencies. The Bureau of Economic Analysis also contributed significantly to this endeavor. The Office of Management and Budget asked NCES to collect these data because the

Bureau's survey universe was a subset of the IPEDS universe. The Bureau of the Census also uses the data from other parts of the survey to:

- develop estimates of state and local governments' finances to provide to the Bureau of Economic Analysis for calculation of the Gross National Product; and
- collect supplemental data that their census of governments does not collect.

The Bureau of Labor Statistics and the Federal Mediation and Conciliation Service are secondary users of NCES/Census finance data. The Office for Civil Rights has used finance data to determine states' or institutions' compliance with anti-discrimination laws. From these data OCR was able to determine whether or not predominantly black, publicly controlled institutions were being discriminated against through funding decisions made by state boards of higher education. The Bureau of Economic Analysis of the U.S. Department of Commerce uses financial statistics to prepare totals and forecasts on total non-farm expenditures for structures and equipment, and to develop Gross National Product accounts. Increasing numbers of state agencies use the NCES Finance report to assemble data to plan and evaluate their higher education policies.

Among associations, the American Council on Education (ACE), the Association for Institutional Research, the Brookings Institution, and the Carnegie Foundation for the Advancement of Teaching are frequent users of Finance data. Researchers from these and other organizations use the data to assess the economic future of the nation's colleges and universities. In addition, a recent project called the Delta Project has compiled IPEDS finance and other data into a researcher database on college costs.

g. Graduation Rates

The main GRS component provides a structure for calculating comparable graduation rate statistics across institutions. The data also provide much needed information to researchers as an outcome measure of institutional productivity, and offer insight into the relationship between the changing demographics of college-going cohorts within different types of institutions. The information collected in this component is used by institutions to help satisfy regulations regarding the Student Right-to-Know Act to disclose 150 percent of normal time graduation rates. The Graduation Rates 200 component collects consumer information on 200 percent graduation rates to meet requirements in the HEOA.

A.3. Use of Technology and Other Technological Collection Techniques

IPEDS implemented a web-based system in 2000 that makes use of advanced technology to reduce respondent burden and to improve the timeliness and quality of the reported data. NCES has taken several actions to facilitate the cooperation of postsecondary institutions responding to IPEDS. These actions include:

- a. The development of a fully automated web-based data collection for all components of IPEDS data. The data collection is organized into three modules, taking full advantage of data availability schedules.
- b. Survey components are customized based on screening information so that institutions are prompted to respond only to those items relevant to their institution. For example, if a private institution does not have a differential tuition charge to out-of-state students, they will be prompted for one tuition charge. Additionally, many data items (answered previously) will be available to the respondent on the collection instrument, so that only those items that have actually

changed since the previous report need to be completed or updated.

The system allows for direct data entry as well as file upload and batch import. Edit checks and data verification procedures are built into the system, thus improving the efficiency of data collection by resolving errors at the time of data submission. Processing time and cost are thus reduced. All administrative functions are provided through the web, including nonresponse follow up, distribution of passwords, and other activities and correspondence. IPEDS also provides a Help Desk, which is available to respondents during and after data collection, to respond to questions, assist with data entry and error resolution, and provide general assistance with many other types of requests.

Data release is timelier. The system is designed to migrate reported/edited data to a SQL server as soon as the administrative functions have been performed and NCES has cleared the data. Institutions whose data have been migrated to the SQL server have immediate access to data for other institutions that have also completed the process through the NCES/IPEDS Peer Analysis Tool. This means that data may be available before survey closeout (for peer analysis). National data will become available within a matter of months after closeout.

- c. NCES works closely with State coordinators, many of who submit IPEDS reports for a subset of the institutions in their state. Increasingly, states obtain data from institutions electronically on a student unit record basis (data per student). Other states collect institutional data using either IPEDS forms or their own state forms, which are compatible with IPEDS. Data are then extracted from the state database in the IPEDS format and file uploaded to the collection system. Thus institutions can provide data to their state and to NCES simultaneously.
- d. NCES will continue to encourage respondents to prepare IPEDS data in a format for uploading to the web-based collection instrument by providing detailed file specifications and instructions as well as "do's" and "don'ts" for data submission. In the Winter 2005-06 collection, IPEDS began offering data upload capabilities using Excel spreadsheet formats. This was encouraged by the IPEDS TRP members and was very well received by respondents.

A.4. Efforts to Identify and Avoid Duplication

NCES devoted considerable effort to assure that IPEDS does not duplicate other data collection activities involving postsecondary education providers. In developing IPEDS, NCES continues to assess the data collection efforts of other Federal agencies (e.g., National Science Foundation, Department of Agriculture, Department of Defense, Census Bureau, Equal Employment Opportunity Commission, Bureau of Labor Statistics) through an examination of their forms. In addition, NCES has in-depth discussions with the Department of Labor, as well as other Education Department offices (e.g., OCR, OPE, OVAE) to ascertain their needs for data and the role IPEDS can play in meeting those needs. Through meetings, workshops, and TRPs, NCES works closely with other stakeholders including the State Higher Education Executive Officers (SHEEO), the National Association of College and University Business Officers (NACUBO), the American Association of Collegiate Registrars and Admissions Officers (AACRAO), the National Association of Independent Colleges and Universities (NAICU), the American Association of Community Colleges (AACC), the Career College Association (CCA), the American Council on Education (ACE), the Consortium on Financing Higher Education (COFHE), the American Association of State Colleges and Universities (AASCU), the Western Interstate Commission for Higher Education (WICHE), the Southern Regional Education Board (SREB), and others. Duplication is avoided as various federal agencies, groups within the Department of Education, and other agency representatives share access to IPEDS data.

A.5. Methods Used to Minimize Burden on Small Businesses/Entities

Certain providers of postsecondary education included in the IPEDS universe of Title IV eligible institutions - operators of proprietary (private for-profit) schools - are small businesses. NCES has taken several actions to reduce reporting burden for these entities. These actions include:

- a. requesting a reduced set of data items from schools offering certificates below the baccalaureate level, and
- b. maintaining a close liaison with the Career College Association, which represents proprietary postsecondary institutions, to assure the appropriateness of data being requested and the feasibility of collecting it.

A.6. Frequency of Data Collection

The survey components proposed for this request are those that will be collected beginning with the Fall 2011 collection and extending through the Spring 2014 collection, which will cover three full survey cycles (see Table 3). The survey data items are similar to those used for 2003-11, with a few additional items and minor modifications to improve clarity and enhance the use of the data.

A.7. Special Circumstances

None of the special circumstances described apply to these collections.

A.8. Consultations Outside the Agency

The 60-day Federal Register notice was published on February 14, 2011 (76 FR, No. 30, p. 8355). One public comment was received in response to this notice – the attached letter of support for the IPEDS collection from the Bureau of Economic Analysis (BEA).

IPEDS was developed in conjunction with providers and users of postsecondary education data. Continuing a pattern that began with the initial development of the project in 1983, opportunities are taken throughout the year to discuss the project with data respondents, Federal agencies, data users, and any other interested parties.

Over the past 9 years, NCES has accelerated dialogue with these groups. Recommendations have been solicited and incorporated into our current plans. Identified below are organizations that have played a major consultative role:

- a. An IPEDS Technical Review Panel (TRP) was formed to assist in survey revisions and to discuss universe definitions. Representatives include state coordinators, federal representatives, educational association members, and institutional researchers and registrars from all postsecondary education sectors.
- b. The American Council on Education established an advisory group consisting of representatives from the various organizations involved in higher education issues. This group meets periodically with NCES to discuss the IPEDS project.
- c. Annual meetings are held with IPEDS state coordinators to obtain state input on IPEDS operations, survey revisions, analysis plans, and data needs.
- d. Meetings are held with the State Higher Education Executive Officers SHEEO/NCES Network.

- e. Visits are made to state education agencies, and to education agencies of U.S. territories, e.g. Puerto Rico.
- f. IPEDS workshops and presentations are made at various conventions and annual or regional meetings of educational and professional associations. IPEDS staff discuss proposed modifications or problem areas and receive input from the data providers.
- g. The Association for Institutional Research (AIR) continues to support a Higher Education Data Policy Committee to assist NCES with IPEDS.

A.9. Paying Respondents

There are no payments or gifts offered to respondents.

A.10. Assurance of Confidentiality

IPEDS data are not collected under any pledge of confidentiality.

The PRA language for IPEDS is made available on homepage for the data collection center. The current statement for the 2010-11 collection reads as follows; it will be updated upon approval by OMB of the new respondent burden hour estimates for 2011-12:

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 number for this information collection is 1850-0582. The time required to complete the Fall information collection is estimated to vary from 2.0 hours to 5.0 hours per response, with an average of 4.3 hours, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. Similarly, the time required to complete the Winter information collection is estimated to vary from 2.5 hours to 6.2 hours, with an average of 4.8 hours; and the time required to complete the Spring information collection is estimated to vary from 8.4 hours to 24.0 hours, with an average of 18.1 hours. The Office of Management and Budget (OMB) has approved the burden hour estimate of 25,586,105 hours for institutions to implement the U.S. Department of Education Guidance on the Collection and Reporting of Racial and Ethnic Data about Students, Teachers, and Education Staff. OMB has also approved the one-time implementation burden for the reclassification of first-professional and doctor's degrees of 19,720 hours. We estimated an average of 20 hours per institution. Given the three-year implementation period, this one-time burden will be spread across the development, optional, and mandatory years as institutions implement the change at different rates. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Information Management Team, Washington, DC 20202-4537. If you have comments or concerns regarding the status of your individual submission, please direct them to ipedshelp@rti.org.

A.11. Justification for Sensitive Questions

These collections contain no questions of a sensitive nature.

A.12. Estimate of Burden

Key to Abbreviations Used in Tables

<u>IC</u>	Institutional Characteristics (includes price information)
<u>C</u>	Completions
<u>EF</u>	Fall Enrollment
<u>E12</u>	12-Month Enrollment
<u>HR</u>	Human Resources
<u>SFA</u>	Student Financial Aid
<u>F</u>	Finance
F-GASB	for public institutions following GASB (Statements 34/35)
F-FASB-NFP	for not-for-profit institutions and public institutions following FASB
F3-FASB-FP	for for-profit institutions
<u>GRS</u>	Graduation Rates – Student Right to Know graduation rates
GRS-4YR	for all 4-year institutions
GRS-4YRSUPP	to collect supplemental data on long programs at 4-year institutions
GRS-2YR	for 2-year institutions
GRS-2YRSUPP	to collect supplemental data on long programs at 2-year institutions
GRS-<2YR	for less than 2-year schools
<u>GR200</u>	Graduation Rates - 200 (to collect data on 200% of normal time graduation rates) [new beginning in 2009-10]
<u>SS09</u>	Spring Supplement 2009 [2008-09 data collection only]

Annual Burden Calculation

Table 15 displays the revised estimated burden to respondents for the 2010-11 data collection² and estimated burden to respondents for the three collection years for which we are seeking approval in this submission, including the proposed changes: 2011-12, 2012-13, 2013-14. The estimated number of institutions responding reflect those that are required to respond (approximately 7,000 Title IV eligible institutions) and those that voluntarily respond (approximately 200 per data collection year). **Table 16** shows estimated ranges for institutions based on type of institution and keyholder experience.

² The 2010-11 collection has already been approved by OMB and is currently underway.

**Table 15. Summary of Estimated Response Burden by Survey Component:
Revised 2010-11, 2011-12, 2012-13, 2013-14**

	Number of institutions (respondents)	Revised 2010-11 (Collection Approved)		2011-12		2012-13		2013-14	
		Avg per hours institution	Total hours	Avg per hours institution	Total hours	Avg per hours institution	Total hours	Avg per hours institution	Total hours
Institutional Characteristics and IC Header	7,200	7.6	54,610	8.1	58,480	8.3	59,760	8.1	58,480
Completions	7,200	10.3	74,347	10.3	74,347	11.7	84,240	11.5	82,571
12-Month Enrollment	7,200	7.2	52,030	7.2	52,030	7.4	53,280	7.2	52,030
Human Resources	7,200	21.1	152,220	15.9	114,165	19.0	136,800	18.6	134,053
Fall Enrollment	7,200	12.9	92,880	12.9	92,880	14.5	104,400	14.3	102,824
Finance	7,200	13.8	99,330	13.8	99,330	14.2	102,240	13.8	99,330
Graduation Rates	7,200	12.7	91,160	12.7	91,160	12.9	92,880	12.7	91,160
Graduation Rates 200	7,200	3.9	27,950	3.9	27,950	4.1	29,520	3.9	27,950
Student Financial Aid	7,200	25.3	182,105	25.6	184,578	26.0	187,200	25.6	184,040
Total		114.8	826,632	110.4	794,920	118.2	850,320	115.7	832,438
Note: The average (calculated on non-rounded numbers) for 2011-12, 2012-13, and 2013-14 is 819,932.									

	Revised 2010-11	2011-12	2012-13	2013-14
4-year institution				
New Keyholder	150-273 hours	139-262 hours	150-279 hours	148-277 hours
Returning Keyholder	100-182 hours	93-175 hours	101-187 hours	99-185 hours
2-year institution				
New keyholder	117-219 hours	112-214 hours	122-226 hours	120-224 hours
Returning keyholder	78-146 hours	75-143 hours	82-151 hours	80-149 hours
<2-year institution				
New keyholder	60-108 hours	59-107 hours	62-112 hours	60-110 hours
Returning keyholder	40-72 hours	39-71 hours	43-76 hours	40-73 hours

In all cases, if the data are readily accessible in machine-readable files, the time required is less than the estimated burden hours. Estimates include the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The number of institutions responding is estimated based on the 2010-11 universe; changes to these numbers for successive years are expected to be small.

The total cost to respondents is based on the estimated response burden (hours) multiplied by \$35 (in 2010-11), which includes average data analyst and associated computer costs (for running programs to extract data). The hourly wage is increased by an assumed 2.0% cost-of-living adjustment for subsequent years. Total revised estimated costs to respondents for the revised 2010-11, and 2011-12 through 2013-14 are as follows:

	Estimated Total Burden Hours for All Institutions	Estimated Cost to All Institutions	Average Burden Hours Per Institution	Average Estimated Costs Per Institution
Revised 2010-11	826,632	\$28,932,120	114.8	\$4,018
2011-12	794,920	\$28,378,644	110.4	\$3,941
2012-12	850,320	\$30,963,552	118.1	\$4,300
2013-14	832,438	\$30,918,641	115.7	\$4,294

A.13. Estimate of Cost Burden

There are no capital or startup costs associated with this data collection.

A.14. Cost to the Federal Government

We estimate a total cost to the government for the IPEDS 2011-12 through 2013-14 survey years

of approximately \$ 28,000,000. The total annual cost for this collection will be \$9.3 million. On an annual basis, over the three survey years, the contract costs will average about \$7.9 million per year. Federal S&E will be approximately \$1,400,000 per year. More than 95% of this amount will be spent in direct support of the institutional training and the collection, analysis, and reporting of the IPEDS data described herein. The contract amount includes all activities related to program support; data collection system maintenance; help desk support activities; programming and software modifications and documentation; training of contractor staff as well as institutional respondents; data collection, data review, and analysis; survey administration; imputations and data perturbation; file preparation, reporting, and data dissemination; Technical Review Panel meetings; and AIR activities including training, dissertation and research grants, and other related activities. The costs include personnel, fringe benefits, travel, supplies, computer related activities, consultants, other direct and indirect costs, plus overhead and G&A.

The time estimates and costs associated with the activities described above and in the IPEDS Statement of Work for the RFP are based on recent experience with the contractors that currently support the IPEDS operations (RTI International, IT Innovative Solutions, AIR, and others). IPEDS in-house staff costs are based on FY2011 pay schedules and an estimated 0% pay increase for each of the subsequent fiscal years due to current pay freeze for federal employees.

A.15. Reasons for Change in Burden

The significant increase in estimated annual burden to respondents presented in this package is due to:

- Significant revisions to the previous burden estimates as a result of a new methodology for making estimates, consistent with advise from GAO; and
- A set of changes to the data collection, described in this submission, mostly in the areas of student financial aid, human resources, and distance education that will improve on the usefulness to IPEDS data users including policymakers, researchers, and consumer. The majority of these changes were suggested by the IPEDS technical review panel and have been previously posted for public comment from the higher education community.

The overall average change in response burden can best be explained by looking at the burden hour estimates on a component-by-component basis.

Fall Collection

Institutional Characteristics: Detailed adjustments to the revised 2010-11 estimates for the Institutional Characteristics (IC) component are presented in Table 18 below. These adjustments were made to account for both institution type and keyholder experience:

	Number of institutions (Title IV and non-Title IV)	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder
IC Total	7,200								
4-year schools	2,900	10	15	10.5	15.75	10.5	15.75	10.5	15.75
2-year school	2,300	6	9	6.5	9.75	6.5	9.75	6.5	9.75
<2-year schools	2,000	4	6	4.5	6.75	4.5	6.75	4.5	6.75

The revised burden for 2011-12, 2012-13, and 2013-14 cover the following changes to the form:

Table 19: Institutional Characteristics	
Change	Implementation Year
Add an item to collect information on whether institutions are completely online.	2011-12
Add an item to collect whether distance opportunities are offered and at what student level (undergraduate, graduate). The current IC question C6 would be modified to exclude the distance education reporting option, and a new question would be added.	2012-13
Add items to collect prorated academic year price for largest program (in addition to the currently collected program year price) [Note institutions already must calculate this number for purposes of awarding Pell grants]	2011-12
Add an item to collect the institution's URL for the Net Price Calculator, to be posted to College Navigator. Institutions must post a Net Price Calculator on their website by 10/29/2011, as required by the HEOA.	2011-12

Completions: Detailed adjustments to the revised 2010-11 estimates for the Completions component are presented in Table 20 below. These adjustments were made to account for both institution type and keyholder experience:

Table 20	Number of institutions (Title IV and non-Title IV)	Revised 2010-11		2011-12		2012-13		2013-14	
		Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder
Completions Total	7,200								
4-year schools	2,900	14	21	14	21	15	22	15	22
Less than 10 programs	800	4	6	4	6	5	7.5	5	7.5
10-100 programs	1,700	16	24	16	24	17	24.75	17	24.75
More than 100 programs	400	24	36	24	36	27	40.5	27	40.5
2-year school	2,300	9	13	9	13	11	16	11	16
Less than 10 programs	970	4	6	4	6	5	7.5	5	7.5
10-100 programs	1,210	12	18	12	18	14	21	14	21
More than 100 programs	120	18	27	18	27	21	31.5	21	31.5
<2-year schools	2,000	4	6	4	6	5	7	5	7
Less than 3	1,000	2	3	2	3	3	3.75	3	3.75
3 to 9	900	6	9	6	9	7	9.75	7	9.75
10 or more	100	12	18	12	18	13	19.5	13	19.5

The revised burden for 2011-12, 2012-13, and 2013-14 cover the following changes to the form:

Table 21: Completions	
Change	Implementation Year
Add an item to collect the total number of students who earned degrees or certificates, by race/ethnicity and gender	2012-13
Add items to collect the numbers of students who earned degrees or certificates, separately by (1) gender; (2) race/ethnicity, and (3) age*, for the following 6 award categories (collapsed from the 11 IPEDS categories): <ul style="list-style-type: none"> o Less than 1-year certificates o At least 1 but less than 4-year certificates o Associate's degrees o Bachelor's degrees o Postbaccalaureate and Post-Master's certificates o Master's degrees o Doctor's degrees <p>* Age categories are: under 18; 18-24; 25-39; 40 and above; and age unknown.</p>	2012-13
Add an item so that institutions can indicate, by CIP code and award level, if the program is available to be completed completely online.	2012-13

12-Month Enrollment (E-12): The proposed changes will not cause a change in overall burden. The elimination of doctor's professional practice instructional activity offsets the burden of reporting the new information.

Winter Collection

Human Resources:

Detailed adjustments to the revised 2010-11 estimates for the Human Resources component are presented in Table 22 below. These adjustments were made to account for both institution type and keyholder experience:

Table 22	Number of institutions (Title IV and non-Title IV)	Revised 2010-11		2011-12		2012-13		2013-14	
		Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder
HR Total	7,200								
4-year schools	2,900	32	48	24	36	28	42	28	42
2-year school	2,300	16	24	12	18	15	22.5	15	22.5
<2-year schools	2,000	6	9	4	6	4.5	6.75	4.5	6.75

The revised burden for 2011-12, 2012-13, and 2013-14 cover the following changes to the form:

Table 23: Human Resources	
Change	Implementation Year
Eliminate the nine salary class interval screens. This includes all of Part H and all but the last screen in Part I (the headcount of full-time non-IRPS staff by primary function, race/ethnicity and gender, which is not captured anywhere else in the component).	2011-12
Eliminate the two fringe benefits screens (Part F) from the <i>Salaries</i> section of the component.	2011-12
Revise the primary function/occupational activity categories	2012-13
To streamline data collection across component sections: <ul style="list-style-type: none"> Eliminating items in the Fall Staff section (Part G) that collect data on non-instructional research and public service full-time staff, better aligning this section with the Salaries section, which collects data exclusively on instructional staff, Adding items to Part I of the Fall Staff section (the headcount of fulltime non-instructional staff) to include the research and public service categories that were eliminated in the item above.. 	2012-13
The <i>Salaries</i> section (Part E) will be revised by: <ul style="list-style-type: none"> Eliminating the contract length differentiation from the survey screens Adding an additional column to the survey screen after the salary outlays column indicating the number of months covered by those salary outlays. (This number will be used to calculate a weighted monthly average salary.) 	2012-13
Add the following non-tenure track contract faculty categories to (Part G): (1) Multi-year contract; (2) Annual contract; (3) Less than annual contract; (4) Without faculty status.	2012-13
Add a screening question to determine if the institution has a tenure system	2012-13

Table 23: Human Resources – continued from previous page	
Change	Implementation Year
Add an additional screen to the Salaries section (Part E), to be displayed immediately after the existing salary outlays screen to collect salary outlays for full-time staff in the following categories: (1) Executive/administrative/managerial; (2) Other professionals; (3) Technical and paraprofessionals; (4) Clerical and secretarial; (5) Skilled crafts; and (6) Service/maintenance. These totals would not be disaggregated by race/ethnicity or gender.	2012-13
Add a screening question to determine if an institution has graduate assistants.	2012-13
Eliminate the graduate assistant column from the part-time section and implement a new, condensed screen in the EAP section (Part B) for graduate assistants. This screen would collect data in the following three categories, each subdivided by medical versus nonmedical personnel: (1) graduate assistant—teaching, (2) graduate assistant—research, and (3) graduate assistant—other.	2012-13
Eliminate the collection of data by faculty status (Parts A, B, and D), since institutions that respond to the short HR version report most of their staff in the “Not on tenure track/no tenure system” category or in the “Without faculty status” category. (short form)	2011-12
Combine the <i>EAP</i> and <i>Fall Staff</i> sections into a single section since both sections collect data on the number of full-time and part-time staff. In odd-numbered years, the reporting of data by race/ethnicity and gender will be required, and in even-numbered years, the reporting of race/ethnicity and gender will be optional. (short form)	2011-12

Spring Collection

Fall Enrollment (EF):

Detailed adjustments to the revised 2010-11 estimates for the Fall Enrollment component are presented in Table 24 below. These adjustments were made to account for both institution type and keyholder experience:

Table 24	Number of institutions (Title IV and non-Title IV)	Revised 2010-11		2011-12		2012-13		2013-14	
		Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder
EF Total	7,200								
4-year schools	2,900	16	24	16	24	18	27	18	27
800 or less students	900	8	12	8	12	9	13.5	9	13.5
801-3000	1,000	16	24	16	24	18	27	18	27
>3000 students	1,000	24	36	24	36	27	40.5	27	40.5
2-year school	2,300	14	21	14	21	15	22	15	22
500 or less students	800	8	12	8	12	9	13.5	9	13.5
501-1500	600	12	18	12	18	13.5	20.25	13.5	20.25
>1500 students	900	20	30	20	30	20.5	30.75	20.5	30.75
<2-year schools	2,000	4	6	4	6	4	7	4	7
50 or less	600	2	3	2	3	2.5	3.75	2.5	3.75
51 to 250	1,000	4	6	4	6	4.5	6.75	4.5	6.75
>250	400	6	9	6	9	7	10.5	7	10.5

The revised burden for 2011-12, 2012-13, and 2013-14 cover the following changes to the form:

Table 25: Fall Enrollment	Change	Implementation Year
	Add a new Part to the survey to collect data on the number of students enrolled in any distance education and the number of student enrolled exclusively in distance education. Data will be broken out by student level (undergraduate, graduate) and student location (in same state as institution, not in same state (in US), not in same state (outside US))	2012-13

Finance (F): No Change to the revised 2010-11 estimates

Graduation Rates (GRS): No Change to the revised 2010-11 estimates

Graduation Rates 200 (GR200): No Change to the revised 2010-11 estimates

Student Financial Aid (SFA):

Detailed adjustments to the revised 2010-11 estimates for the SFA component are presented in Table 26 below. These adjustments were made to account for both institution type and keyholder

experience:

Table 26	Number of institutions (Title IV and non-Title IV)	Revised 2010-11		2011-12		2012-13		2013-14	
		Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder	Burden for Returning Keyholder	Burden for New Keyholder
SFA Total	7,200								
4-year schools	2,900	29	43	29	44	29	44	29	44
800 or less students	900	20	30	20.25	30.375	20.25	30.375	20.25	30.375
801-3000	1,000	30	45	30.25	45.375	30.25	45.375	30.25	45.375
>3000 students	1,000	36	54	36.25	54.375	36.25	54.375	36.25	54.375
2-year school	2,300	25	38	25	38	25	38	25	38
500 or less students	800	18	27	18.25	27.375	18.25	27.375	18.25	27.375
501-1000	600	24	36	24.25	36.375	24.25	36.375	24.25	36.375
>1500 students	900	32	48	32.25	48.375	32.25	48.375	32.25	48.375
<2-year schools	2,000	14	21	14	22	14	21	14	21
100 or less	900	12	18	12.5	18.75	12.25	18.375	12.25	18.375
101 to 250	700	14	21	14.5	21.75	14.25	21.375	14.25	21.375
>250	400	18	27	18.5	27.75	18.25	27.375	18.25	27.375

The revised burden for 2011-12, 2012-13, and 2013-14 cover the following changes to the form:

Table 27: Student Financial Aid	
Change	Implementation Year
Move collection of SFA from Spring collection to Winter collection. Extend Winter collection by two weeks.	2011-12
Add an additional column to Part E to collect the number of students in Group 4 receiving any Title IV grant aid, by income categories.	2011-12
Collect data for Groups 1 and 2 for an academic year period, as defined by the institution, rather than a 12-month period. (program reporter form)	2011-12
For Groups 3 and 4 to include only those students enrolled in the institution's largest program. (program reporter form)	2011-12
Add an additional column to Part E to collect the number of students in Group 4 receiving any Title IV grant aid, by income categories. (program reporter form)	2011-12
Modify Group 3 and 4 sections to collect data for an academic year for students in the institution's largest program. The institution will determine its own definition of academic year, so long as it falls within the 12-month reporting period covered. Please note that since HEOA requires three years' worth of data on net price, if an institution's largest program changes, the institution would need to report three years' worth of data for the new largest program. (program reporter form)	2011-12

All Collections: All Survey Components

In order to provide better estimates of burden on an ongoing basis, NCES will ask IPEDS keyholders to report voluntarily the time required to complete each survey component every third year, beginning in the 2012-13 data collection. NCES estimates a burden of 0.2 hours to track, record and report this time for the following components: Institutional Characteristics, Graduation Rates, Graduation Rates 200, Fall Enrollment, Completions, and 12-month Enrollment. NCES estimates it will take 0.4 hours for Human Resources, Finance, and Student Financial Aid because these three components typically involve

additional offices on campus and will require keyholders to get time estimates from other parties on campus.

A.16. Publication Plans/Project Schedule

a. Schedule of Activities

TABLE 28. IPEDS 2011-12 PLANNED DATA COLLECTION SCHEDULE

Date	Activity
April-June 2011	Development of unchanged portions of data collections systems and screens
No later than July 1, 2011	Development of new and revised screens based on OMB approval of proposed changes and Development of training materials
Early August 2011	Registrations Opens
Early September 2011	Fall Data Collection opens <ul style="list-style-type: none"> • Institutional Characteristics and Prices (2011-12 data) • Completions (2010-11 data) • 12-month enrollment (2010-11 data)
Mid October 2011	Fall Data Collection closes
Early December 2011	Winter and Spring Data Collection opens <ul style="list-style-type: none"> • Human Resources (Fall 2011 data) • Student Financial Aid (2010-11 data) • Fall Enrollment (Fall 2011 data) • Graduation Rates (2010-11 data) • Graduation Rates 200 (2010-11 data) • Finance (Fiscal Year 2011)
Mid February 2012	Winter Collection closes <ul style="list-style-type: none"> • Human Resources (Fall 2011 data) • Student Financial Aid (2010-11 data)
Mid April 2012	Spring Collection closes <ul style="list-style-type: none"> • Fall Enrollment (Fall 2011 data) • Graduation Rates (2010-11 data) • 200% Graduation Rates (2010-11 data) • Finance (Fiscal Year 2011)
June 2012	Non-Compliance Report Due to Office of Federal Student Aid
No later than October 2012	Public release of data in IPEDS Data Center of data collected in Fall 2011
No later than February 2013	Public release of data in IPEDS Data Center of data collected in Winter 2011-12
No later than April 2013	Public release of data in IPEDS Data Center of data collected in Spring 2012

Survey activity will include registration period followed by a 6-7 week collection cycle. Registration must take place (only once) before data can be entered into the system. Data can be entered directly or through file or batch upload. However, respondents must resolve all errors/flags before data can be locked. This lock must take place before the collection period closes if data are to be considered as submitted in a

timely fashion. Once the collection closes for institutions, coordinators have a two-week period for review. Once complete, the survey administrators (Help Desk) review the data, additional error resolution is performed, and a preliminary file is created for review by NCES. Once approved, imputations are run. Following NCES approval of the imputed file, data can be migrated to the IPEDS Data Center and publications are prepared.

Frequent communications occur with the institution over the course of the data collection to ensure compliance with this statutorily mandated collection. The planned 2011-12 Communication and Follow-up Schedule is detailed below.

Table 29. IPEDS 2011-12 Data Collections Communications / Follow-up Schedule			
Collection	Correspondence type	When	Why
Registration	Email to keyholder	Early August 2011 - Registration open	UserID + password
	Letter to CEO	Early August 2011 - Registration open	UserID + password; importance of keyholder selection; thank you
	Email, Mailed packet	At registration	Welcome to new keyholders
	Letter to CEO	Late August 2011	No registered keyholder
	Letter & phone call to CEO	Mid September 2011	No registered keyholder
	Each collection: Fall Winter Spring	Email to keyholder	Open
Email to keyholder		Close - 4 wks	No data entered
Thank you Email to CEO		Close - 3 wks	All surveys locked
Phone call to CEO/KH		Close - 2 wks	No data entered
Email to keyholder		Close - 2 wks	All surveys not locked
Email to keyholder		Close - 1 wk	All surveys not locked
Additional for Spring	Email to keyholder	Late March 2012	No data entered since Winter
	Email - This Week in IPEDS	Twice in February 2012	Reminder that Spring surveys are open

b. Distribution Methods

NCES distributes IPEDS data to users in a timely fashion and in a format that is easy to use. Specifically, IPEDS will be distributed in the following ways:

1. Data Dissemination Tools

IPEDS Data Center

The IPEDS Data Center is the primary method of disseminating IPEDS data to the postsecondary education, policy, and research communities. The data center allows data users to create different reports and datasets, depending on their individual needs. Users can create reports that highlight a particular institution and compare it to other institutions, or they can simply create a report about a group of institutions. Users follow a step-by-step approach to retrieve the data in the format of their choice. Institutions included in the report or dataset can be selected by name or abbreviation, by using variables or advanced grouping functions, or by uploading a previously saved group of institutions. Variables to be included in the report or dataset can be selected using the

IPEDS variable tree, users can create their own variables using IPEDS variables, or they can upload a previously saved set of variables. Users can retrieve data for single or multiple institutions, rank or trend variables, create group statistics, generate pre-defined reports, and create custom data files as well as download survey data files. Throughout the data center, there is context help to aid users in understanding the different steps, as well as the IPEDS data. The data center is built to accommodate users from beginning to advanced levels.

Executive Peer Tool (ExPT)

Now part of the IPEDS Data Center, NCES designed the ExPT for data users at higher levels of administration within an institution who are unfamiliar with the procedures and data file organization of IPEDS data tools. It provides an easy 5-step process to analyze a predetermined set of variables and includes specific direction and instruction about the process of retrieving data, allowing the user to learn what tools are available in the full scale PAS. As institutions receive their IPEDS Data Feedback Reports, the ExPT can be used to produce the indicators in the report for different groups of institutions. Visit <http://nces.ed.gov/ipeds/pas/ExPT> for more information on this tool.

College Navigator

In response to the Higher Education Amendments of 1998, NCES developed a searchable website to provide up-to-date statistics on a broad range of postsecondary institutions for easy access by consumers. The site presents general information about each institution and its mission, as well as data on institution prices, financial aid, enrollment, degrees and awards conferred, graduation rates, accreditation, and program offerings. College Navigator is designed to help college students, future students, and their parents understand the differences among colleges and how much it costs to attend college. The site also provides direct links to each institution's home page; campus crime statistics; Federal Student Aid's website, which includes the Free Application for Federal Student Aid (FAFSA); the Campus Tours website; and various other postsecondary education websites. Visit <http://nces.ed.gov/collegenavigator/> for more information.

State Data Center (SDC)

The newest of the online tools, the State Data Center is designed to meet the needs of national and state legislative staff, policymakers, and others whose focus is on the states. It facilitates the use of existing IPEDS data in the context of a state audience perspective. The State Data Center is composed of three data retrieval tools: (1) the Custom Data Tables; (2) State Profiles; and (3) Pre-defined Reports. Using the cursor, users may roll over the image of each tool for a brief description. Visit <http://nces.ed.gov/ipeds/sdc/> for more information.

Free Application for Federal Student Aid (FAFSA) on the Web

The Office of Federal Student Aid (FSA) now uses IPEDS data on graduation and retention rates, college costs, and net prices in their online FAFSA application. When students look up schools to which they want their FAFSA information sent, they are presented with information on these schools based on IPEDS data.

2. Survey Reports

NCES releases data in a wide variety of formats, including basic tables, descriptive reports, and more detailed analyses. A few of these types of reports are detailed below:

- (a) First Look Reports: Concurrent with the release of the data file for each IPEDS collection cycle, a predetermined set of tables called is produced and disseminated to the public. These tabulations include 1-year data tables and selected findings.
- (b) Descriptive Survey Reports: Shortly after First Look reports are produced, reports highlighting additional findings from the survey may be produced for various components. These reports are widely distributed to policymakers as well as the general public.
- (c) Analytic Reports: Comprehensive reports are produced periodically to analyze major policy issues, such as trends in minority enrollment and degrees, trends in faculty salaries, and trends in degrees by field of study.
- (d) Other NCES Reports: The *Digest of Education Statistics*, *Projections of Education Statistics*, and the *Condition of Education* contain major sections based on IPEDS data. These publications have large distributions to a broad spectrum of users of postsecondary education statistics.

A.17. Request to Not Display Expiration Date

The Department is not seeking approval to forego displaying the OMB approval expiration date.

A.18. Exceptions to the Certification

There are no exceptions to the certification statement.