

**QUICK RESPONSE INFORMATION SYSTEM  
(QRIS)**

**SUPPORTING STATEMENT PART A**

**SYSTEM CLEARANCE PROPOSAL**

**FOR THE YEARS 2012-2015**

**January 17, 2012**

## **Section A. Justification**

### **A.1. Importance of the Information**

The National Center for Education Statistics (NCES) Quick Response Information System (QRIS) consists of the Fast Response Survey System (FRSS) and the Postsecondary Education Quick Information System (PEQIS). The QRIS currently conducts surveys under OMB generic clearance 1850-0733, which expires in June 2012. This clearance request represents a request for a continuation of the current clearance conditions through June 2015. FRSS primarily conducts surveys of the elementary/secondary sector (districts, schools) and public libraries. PEQIS conducts surveys of the postsecondary education sector. FRSS and PEQIS surveys are cleared under the QRIS generic clearance. The QRIS generic clearance goes through the regular clearance process at OMB with a 60-day notice and a 30-day notice as part of the 120-day review period. The QRIS package describes the general scope of the surveys, their quick turnaround time, their length, size of sample, sample design, and some typical topics. Each individual FRSS or PEQIS survey goes into the clearance process with an abbreviated clearance package, justifying the particular content of the survey, describing the sample design, the timeline for the survey activities, and the questionnaire. The review period for each individual survey is approximately 45 days, including a 30-day Federal Register notice period. OMB will provide comments as soon after the end of the 30-day notice period as possible. This generic clearance request is for surveys of state education agencies, school districts, schools, postsecondary institutions, and libraries. Surveys of teachers, students, commercial establishments, and households are not included in this request.

The Fast Response Survey System (FRSS), established in 1975, and the Postsecondary Education Quick Information System (PEQIS), established in 1991, are operated by the National Center for Education Statistics (NCES), Institute of Education Sciences, U.S. Department of Education, to meet the data needs of Department of Education officials and other government officials with education data needs (e.g., the Department of Agriculture or the National Endowment for the Arts). FRSS and PEQIS, referred to in their combined form as the Quick Response Information System (QRIS), provide information that is needed quickly and that cannot be collected through traditional NCES surveys, either because the topic of interest is not covered by current surveys or because of time constraints. NCES receives requests for data to help formulate policy; to make legislative, budgetary, and planning decisions for existing programs; and to develop new programs. Findings from QRIS surveys may be included in Congressional reports, testimony to Congressional subcommittees, and Department of Education reports. The

findings may also be used by state and local education officials. QRIS surveys are authorized under the Education Sciences Reform Act of 2002 (ERSA 2002, 20 U.S.C. § 9543), which authorizes NCES to collect and report statistical data related to education in the United States.

FRSS is designed to conduct brief surveys of state education agencies (SEAs), public school districts, public and private elementary and secondary schools, and school and public libraries. A nationally representative probability sample of the appropriate respondent group is selected for each FRSS survey. The typical sample size for an FRSS survey of districts or schools is 1,200 respondents. Depending on the survey topic, samples are either nationally representative general purpose probability-proportionate-to-size (PPS) samples selected from the appropriate NCES sampling frame (e.g., the Common Core of Data district or school frames), or nationally representative special purpose samples tailored to the specific needs of a survey (e.g., districts with Title I funding or schools with specific grade spans). FRSS sampling approaches are discussed in more detail in Part B.

PEQIS is designed to conduct brief surveys of postsecondary education institutions or state higher education agencies. Most PEQIS surveys of postsecondary education institutions use the PEQIS panel, which is a nationally representative sample of approximately 1,650 2-year, 4-year, and graduate level postsecondary institutions in the United States (see Part B for additional information about the PEQIS panel). The panel consists of all types of Title IV degree-granting postsecondary institutions at the 2-year, 4-year, and graduate levels, including universities, baccalaureate colleges, community colleges, technical schools, graduate and professional schools, and nursing and health science schools. PEQIS can also include a supplementary sample of less-than-2-year or non-degree-granting postsecondary institutions when required for a particular survey. These institutions were not included in the basic PEQIS panel because of the great volatility of these types of institutions and low frequency of survey topics for which these institutions are appropriate. These institutions, many of which are proprietary, open and close at a much faster rate than the types of postsecondary institutions included in the PEQIS panel. Thus, NCES decided that when a survey was requested through PEQIS that included less-than-2-year or non-degree-granting institutions, the most recent IPEDS Institutional Characteristics file would be used to draw an up-to-date supplementary sample of these institutions to be used for that survey. This procedure was used for the PEQIS surveys on financial aid, campus crime, and occupational programs, where obtaining information from less-than-2-year institutions was crucial. The PEQIS universe and panel are discussed in more detail in Part B. Depending on the topic of the survey, questionnaires can either be

sent to all institutions in the PEQIS panel or to a subsample of the institutions, for example, 2-year institutions. Surveys can also be sent to state higher education agencies.

QRIS surveys are designed to encourage fast response and minimize respondent burden. They are limited to three pages of items that take approximately 30 to 45 minutes to complete. QRIS uses a mixed-mode data collection approach, with respondents given the option of completing the survey by mail or via the Web. Telephone followup is conducted for survey nonresponse and data clarification. Data are imputed for item nonresponse and weighted to produce national estimates of the sampled education sector. A report summarizing the data is released on the NCES website. In addition, a disclosure risk analysis designed to protect respondent confidentiality is conducted, and a public use data file is made available through the NCES website.

## **A.2. Purposes and Uses of the Data**

QRIS is designed to conduct 5 to 10 surveys each year in response to requests from Department of Education and other government officials who have education data needs that cannot be met through other NCEs surveys. For example, the FRSS survey on dual credit and exam-based courses in public high schools provided data on a timely basis to the Office of Elementary and Secondary Education regarding the availability of courses through which high school students can earn high school and postsecondary credit simultaneously. Other recent FRSS surveys provided information about distance education courses for public elementary and secondary school students; alternative schools and programs for public school students at risk of educational failure; dropout prevention services and programs in public school districts; arts education in public schools; and district, school, and teacher use of educational technology. A recent PEQIS survey provided information about dual enrollment programs for high school students at postsecondary institutions. Other recent PEQIS surveys provided information about distance education at postsecondary institutions; remedial education; educational technology in teacher education programs; and students with disabilities at postsecondary institutions. Individual surveys typically are nonrecurring, although a few, such as the arts education and distance education surveys, have been repeated at various intervals. FRSS has conducted over 100 surveys and PEQIS has conducted 17 surveys thus far on a variety of topics. A listing of the surveys conducted under FRSS and PEQIS is given in Exhibit 1.

## **A.3. Improved Information Technology**

QRIS uses a mixed-mode data collection approach, with respondents given the option of completing the survey by mail or via the Web. Telephone followup is conducted for survey nonresponse and data clarification. When paper versions of the questionnaire are used, they are transmitted to and from respondents by secure fax server whenever possible. In addition, the email address for the contractor (Westat) responsible for answering respondent questions is included on the front of the questionnaire. These procedures are all designed to minimize the burden on respondents.

## Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters

FRSS Survey Number and Title	Sector Surveyed	Data Requester
1. Statewide Developments in Performance-Based Education, 1976	SEAs	National Institute of Education (NIE)/DHEW
2. Job Placement Services Provided by Public School Districts to High School Students, Graduates, and Dropouts, 1976	Public school districts	Office of Assistant Secretary for Education (OASE)/DHEW -- coordinated with U.S.E.S.
3. Part-time Student Financial Aid Counselors in Institutions of Higher Education, 1977	Colleges	Office of Planning, Budget and Evaluation, OE/DHEW
4. Teacher and Administrator Shortages in Public School Systems, Fall 1977	Public school districts	National Center for Education Statistics (NCES)/DHEW
5. Training Needs of Public School Administrators, Summer 1978	Public school districts	Assistant Secretary for Education/ DHEW— coordinated with American Association of School Administrators
6. Arts Education: Policies and Programs, Winter 1978-1979	SEAs	Arts Coordinator, OE/DHEW
7. School Districts Participating in Multiple Federal Programs, Winter 1978-79	Public school districts	Office of Assistant Secretary for Education (OASE)/DHEW
8. ESEA Title I Evaluation: School District Needs for Technical Assistance, 1979	Public school districts	Office of Assistant Secretary for Planning and Evaluation (ASPE)/DHEW
9. ESEA Title I Schoolwide Projects: Eligibility and Participation, 1979	SEAs	Office of Legislation, OE/DHEW
10. Availability of Evening-Weekend Baccalaureate Degree-Credit Courses, 1980	Four-year colleges	National Council on Women's Educational Programs/DHEW
11. State Vocational Education Programs in the Arts and Related Careers, 1980	SEAs	Office of Occupational and Adult Education(OAE)/ED
12. Interactive Use of Computers for Instruction, 1980	Public school districts	Office of Educational Research and Improvement (OERI)/ED
13. School District Perceptions of Federal Competitive Education Programs, 1981	Public school districts	School Finance Project/ED
14. Instructional Use of Computers in Public Schools, 1982	Public schools	Assistant Secretary for Educational Research and Improvement/ED
15. School District Academic Requirements and Achievement, 1982	Public school districts	National Commission on Excellence in Education/ED
16. Undergraduate Teacher Education, 1982-83	Four-year colleges	National Commission on Excellence in Education/ED
17. Federal Discretionary Program Priorities for the Office of	SEAs	Office of Vocational and Adult Education (OVAE)/ED



Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

FRSS Survey Number and Title	Sector Surveyed	Data Requester
18. Teacher Preparation in the Use of Computers in Education, 1984	Four-year colleges	Assistant Secretary for Educational Research and Improvement/ED
19. Remedial/Developmental Studies in Institutions of Higher Education, 1984	Colleges	Under-Secretary of Education/ED
20. Patron Use of Computers in Public Libraries, 1984-85	Public library systems	Center for Libraries and Education Information, Office of Educational Research and Improvement (OERI)/ED
21. School Discipline Policies and Practices, 1985	Public schools	National Council on Educational Research (NCER) through the National Institute of Education (NIE)/ED
22. Use of Volunteers in Adult Literacy, 1985	Adult literacy programs	Adult Literacy Initiative
23. High School Academic Requirements/ Initiatives, 1985	Public school districts	National Commission on Excellence in Education (NCEE)/ED
24. ECIA Chapter 1 Oversight Experience, 1986	Public school districts	Office of Research, Office of Educational Research and Improvements (OERI)/ED
25. ECIA Chapter 1 Participation of Nonpublic School Students, 1986	Public school districts	Office of Research, Office of Educational Research and Improvements (OERI)/ED
26. Teacher Perspectives of School Discipline, 1986-87	Teachers in public schools	Office of the General Counsel/ED
27. Arts and Humanities Policies of School Districts, 1987	Public school districts	National Endowment for the Arts (NEA) and National Endowment for the Humanities (NEH)
28. Library Services to Young Adults in Public Libraries, 1987	Public libraries	Office of Library Programs, Office of Educational Research and Improvement (OERI)/ED
29a. State Survey on Substance Abuse Education, 1987	SEAs	Office of Planning, Budget and Evaluation (OPBE)/ED
29b. District Survey on Substance Abuse Education, 1987	Public school districts	Office of Planning, Budget and Evaluation (OPBE)/ED
30. State Vocational Education Policies, 1987	SEAs	Office of Planning, Budget and Evaluation (OPBE)/ED
31. Public School Early Estimates, 1987		Survey canceled by NCES
32. Principals' Perceptions of Academic Reform, 1987	Principals in public high schools	Office of Educational Research and Improvement (OERI)/ED
33. Education Partnerships, 1988	Public schools	Private Sector Initiative (PSI)/ED
34. Use of Research and Development Resources, 1989	Public school districts	Office of Educational Research and Improvement (OERI)/ED
35. Private School Early Estimates, 1988	Private schools	National Center for Education Statistics (NCES)/ED
36. Services to Children in Public Libraries, 1989	Public libraries	Office of Library Programs, Office of Educational Research and Improvement (OERI)/ED



Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

FRSS Survey Number and Title	Sector Surveyed	Data Requester
37. Survey of State Library Agencies, 1989		Survey canceled by Office of Library Programs/ED
38. Remedial Developmental Studies in Colleges, 1990	Colleges	National Center for Education Statistics (NCES)/ED
39. Office for Civil Rights Feasibility Study, 1991	Public school districts	Office for Civil Rights (OCR)/ED
40. District Survey on Safe, Drug-free, Disciplined Schools, 1991	Public school districts	National Center for Education Statistics (NCES) and Office of Planning, Budget, and Evaluation (OPBE)/ED
41. School Survey on Safe, Drug-free, Disciplined Schools, 1991	Public schools	National Center for Education Statistics (NCES) and Office of Planning, Budget, and Evaluation (OPBE)/ED
42. Teacher Survey on Safe, Drug-free, Disciplined Schools, 1991	Teachers in public schools	National Center for Education Statistics (NCES) and Office of Planning, Budget, and Evaluation (OPBE)/ED
43. Postsecondary Institutional Reporting Capability, 1991	Postsecondary institutions	National Center for Education Statistics (NCES)/ED
44. Survey on Teacher Performance Evaluations, 1993	Teachers in public elementary schools	Office of Research, Office of Educational Research and Improvement (OERI)/ED
45. National Assessment of Vocational Education Survey of Teachers, 1992	Teachers in public secondary schools	Office of Research, Office of Educational Research and Improvement (OERI)/ED
46. Kindergarten Teacher Survey on School Readiness, 1993	Kindergarten teachers in public schools	National Center for Education Statistics (NCES)/ED and National Education Goals Panel
47a. Public Library Services to Children, 1994	Public libraries	Office of Library Programs, Office of Educational Research and Improvement (OERI)/ED
47b. Public Library Services to Young Adults, 1994	Public libraries	Office of Library Programs, Office of Educational Research and Improvement (OERI)/ED
48. High School Curricular Options, 1993-94	Public high schools	National Center for Education Statistics (NCES)/ED
49. Survey of Attitudes and Expectations toward Secondary Education in the U.S., 1994	Household RDD	National Center for Education Statistics (NCES)/ED
50a. Arts Education for Elementary Schools, 1994	Public elementary schools	National Endowment for the Arts (NEA)
50b. Arts Education for Secondary Schools, 1994	Public secondary schools	National Endowment for the Arts (NEA)
51. Advanced Telecommunications in Public Elementary and Secondary Schools, 1994	Public elementary and secondary schools	Office of the Secretary/ED

Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

FRSS Survey Number and Title	Sector Surveyed	Data Requester
52. Nutrition Education in U.S. Public Schools, 1995	Public elementary and secondary schools	Office of Analysis and Evaluation, Food and Consumer Service, U.S. Department of Agriculture and the National Center for Education Statistics (NCES)/ED
53. School Survey on Racial and Ethnic Classifications, 1995	Public elementary and secondary school principals	National Center for Education Statistics (NCES) and the Office for Civil Rights (OCR)/ED
54. School Education Reform, 1996	Public elementary and secondary school principals	Office of Educational Research and Improvement (OERI), and the Planning and Evaluation Service (PES)/ED
55. Teacher Education Reform, 1996	Public elementary and secondary school teachers	Office of Educational Research and Improvement (OERI), and the Planning and Evaluation Service (PES)/ED
56. Advanced Telecommunications in U.S. Private Schools, K-12, 1995	Private schools, K-12	Office of Nonpublic Education/ED
57. Advanced Telecommunications in U.S. Public Schools, K-12, 1995	Public schools, K-12	Office of the Secretary /ED
58. Parental Involvement in Public Schools, 1996	Public schools	National Center for Education Statistics (NCES)/ED
59. State Survey on Racial and Ethnic Classifications in Public Schools, 1997	Telephone survey of SEAs	National Center for Education Statistics (NCES) and the Office for Civil Rights (OCR)/ED
60. Teacher Nutrition Education, 1997	Teachers in public elementary schools	U.S. Department of Agriculture
61. Advanced telecommunications in U.S. public schools, K-12, 1996	Public elementary and secondary schools	Office of the Secretary/ED
62. Summer Migrant Education Programs, 1998	Providers of summer migrant education programs	Office of Migrant Education (OME)/ED
63. Principal/School Disciplinarian Survey on School Violence, 1997	Public elementary and secondary schools	National Center for Education Statistics (NCES) and the Planning and Evaluation Service (PES)/ED
64. Internet Access in U.S. Public Schools, Fall 1997	Public elementary and secondary schools	Office of the Secretary/ED
65. Teacher Survey on Professional Development and Training, 1998	Teachers in public elementary and secondary schools	Office of the Secretary/ED
66. Programs for Adults in Public Library Outlets, 2000	Public libraries	Office of Educational Research and Improvement (OERI), the National Library of Education , and the National Center for Education Statistics (NCES)/ED

Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

FRSS Survey Number and Title	Sector Surveyed	Data Requester
67a. Elementary Arts Education Survey, Fall 1999	Public elementary schools	Office of Educational Research and Improvement (OERI)/ED and the National Endowment for the Arts
67b. Secondary Arts Education Survey, Fall 1999	Public secondary schools	Office of Educational Research and Improvement (OERI)/ED and the National Endowment for the Arts
68. Advanced Telecommunications in U.S. Private Schools: 1998-1999	Private elementary and secondary schools	Office of Nonpublic Education/ED
69. Internet Access in U.S. Public Schools, Fall 1998	Public elementary and secondary schools	Office of the Secretary/ED
70. Public School Teachers Use of Advanced Telecommunications and Other Technologies in the Classroom, 1999	Teachers in public elementary and secondary schools	Office of the Secretary/ED
71. Service-Learning and Community Service, 1999	Public elementary and secondary schools	Office of the Secretary/ED
72. Vocational Programs in Secondary Schools, 1999	Public secondary schools	Office of Vocational and Adult Education (OVAE)/ED
73. Condition of Public School Facilities, 1999	Public elementary and secondary schools	Office of the Under Secretary/ED
74. Teacher Professional Development and Training in U.S. Public Schools, 1999-2000	Teachers in public elementary and secondary schools	Office of the Secretary/ED
75. Internet Access in U.S. Public Schools, Fall 1999	Public elementary and secondary schools	Office of the Secretary/ED
76. District Survey of Alternative Schools and Programs, 2000	Public school districts	Office of the Under Secretary and Office of Special Education and Rehabilitative Services (OSERS)/ED
77a. Elementary School Visual Arts Specialists, 2000	Visual arts specialists in public elementary schools	Office of Educational Research and Improvement (OERI)/ED and the National Endowment for the Arts
77b. Elementary School Music Specialists, 2000	Music specialists in public elementary schools	Office of Educational Research and Improvement (OERI)/ED and the National Endowment for the Arts
77c. Arts Survey of Elementary School Classroom Teachers, 2000	Classroom teachers in public elementary schools	Office of Educational Research and Improvement (OERI)/ED and the National Endowment for the Arts

Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

FRSS Survey Number and Title	Sector Surveyed	Data Requester
78. Classes that Serve Children Prior to Kindergarten, 2001	Public elementary and special education schools	Office of Educational Research and Improvement (OERI)/ED
79. Internet Access in U.S. Public Schools, Fall 2000	Public elementary and secondary schools	Office of the Secretary/ED
80. Survey of High School Guidance Counseling, 2001	Public high schools	Office of Vocational and Adult Education (OVAE)/ED
81. Effects of Energy Needs and Expenditures on U.S. Public Schools, 2001	Public school districts	National Center for Education Statistics (NCES)/ED
82. Internet Access in U.S. Public Schools, Fall 2001	Public elementary and secondary schools	Office of the Secretary/ED
83. Internet Access in U.S. Public Schools, Fall 2002	Public elementary and secondary schools	Office of the Secretary/ED
84. Distance Education Courses for Public Elementary and Secondary School Students: 2002-03	Public school districts	Office of the Secretary/ED
85. Dual Credit and Exam-based Courses, 2003	Public high schools	Office of Vocational and Adult Education (OVAE)/ED
86. Internet Access in U.S. Public Schools, Fall 2003	Public elementary and secondary schools	Office of the Secretary/ED
87. Foods and Physical Activity in Public Elementary Schools: 2005	Public elementary schools	National Center for Education Statistics (NCES)/ED
88. Public School Principals' Perceptions of Their School Facilities: Fall 2005	Public elementary and secondary schools	National Center for Education Statistics (NCES)/ED
89. Distance Education Courses for Public Elementary and Secondary School Students: 2004-05	Public school districts	Office of the Secretary/ED
90. Internet Access in U.S. Public Schools, Fall 2005	Public elementary and secondary schools	Office of the Secretary/ED
91. After-school Programs in Public Elementary Schools, 2008	Public elementary schools	Office of Elementary and Secondary Education (OESE)/ED
92. Educational Technology in U.S. Public Schools, Fall 2008	Public elementary and secondary schools	Office of the Secretary/ED

Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

FRSS Survey Number and Title	Sector Surveyed	Data Requester
93. Educational Technology in Public School Districts, Fall 2008	Public school districts	Office of the Secretary/ED
94. Unfunded Retiree Health Insurance, 2008	Public school districts	Survey cancelled by NCES
95. Teachers' Use of Educational Technology in U.S. Public Schools, 2009	Teachers in public elementary and secondary schools	Office of the Secretary/ED
96. District Survey of Alternative Schools and Programs, 2008	Public school districts	Office of Safe and Drug-Free Schools/ED
97. State Survey on Career and Technical Education, 2008	State CTE Directors	Survey cancelled by NCES
98. Distance Education Courses for Public Elementary and Secondary School Students: 2009-10	Public school districts	Office of the Secretary/ED
99. Dropout Prevention Services and Programs, 2010-11	Public school districts	National Center for Education Statistics (NCES)/ED
100. Elementary School Arts Education Survey: Fall 2009	Public elementary schools	Office of Innovation and Improvement/ED
101. Secondary School Arts Education Survey: Fall 2009	Public secondary schools	Office of Innovation and Improvement/ED
102. Surveys of Elementary School Music Specialists and Visual Arts Specialists, and Arts Survey of Elementary School Classroom Teachers, 2010	Teachers in public elementary schools	Office of Innovation and Improvement/ED
103. Surveys of Secondary School Music Specialists and Visual Arts Specialists, 2010	Teachers in public secondary schools	Office of Innovation and Improvement/ED
104. Dual Credit and Exam-based Courses, 2010-11	Public high schools	Office of Elementary and Secondary Education (OESE)/ED

Exhibit 1. Summary of FRSS and PEQIS surveys and data requesters (continued)

PEQIS Survey Number and Title	Sector Surveyed	Data Requester
1. Higher Education Finances and Services, 1993	Higher education institutions	Office of Policy and Planning (OPP) and the National Center for Education Statistics (NCES)/ED
2. Deaf and Hard of Hearing Students in Postsecondary Education, 1993	Postsecondary institutions	Office of Special Education and Rehabilitative Services (OSERS)/ED
3. Precollegiate Programs for Disadvantaged Students at Higher Education Institutions, 1994	Higher education institutions	Office of the Under Secretary/ED
4. Financial Aid at Postsecondary Education Institutions, 1994-95	Postsecondary institutions	Office of the Under Secretary/ED
5. Survey on Distance Education Courses Offered by Higher Education Institutions, 1995	Higher education institutions	Office of Educational Research and Development (OERI)/ED
6. Survey on Remedial Education in Higher Education Institutions, 1995	Higher education institutions	Office of the Under Secretary/ED
7. Campus Crime and Security at Postsecondary Education Institutions, 1996	Postsecondary institutions	Office of Educational Research and Development (OERI)/ED
8. Students with Disabilities at Postsecondary Education Institutions, 1998	Postsecondary institutions	Office of Special Education and Rehabilitative Services (OSERS)/ED
9. Distance Education at Postsecondary Education Institutions, 1998	Postsecondary institutions	National Center for Education Statistics (NCES)/ED
10. Noncredit Offerings at Higher Education Institutions, 1999	Higher education institutions	Survey cancelled by NCES
11. Occupational Programs in Postsecondary Education Institutions, 1999	2-year and less-than-2-year postsecondary institutions	Office of Vocational and Adult Education (OVAE)/ED
12. Remedial Education in Higher Education Institutions: Fall 2000	Higher education institutions	National Center for Education Statistics (NCES)/ED
13. Distance Education at Higher Education Institutions: 2000-2001	Title IV degree-granting institutions	National Center for Education Statistics (NCES)/ED
14. Dual Enrollment Programs and Courses for High School Students, 2004	Title IV degree-granting institutions	Office of Vocational and Adult Education (OVAE)/ED
15. Educational Technology in Teacher Education Programs for Initial Licensure, 2006	4-year Title IV degree-granting institutions	Office of the Secretary/ED
16. Distance Education at Postsecondary Institutions, 2007	Title IV degree-granting institutions	Office of the Secretary/ED
17. Students with Disabilities at	Title IV degree-	Office of Special Education and Rehabilitative

Postsecondary Education  
Institutions, 2009

granting institutions

Services (OSERS)/ED

18. Dual Enrollment Programs and  
Courses for High School Students,  
2011

Title IV degree-  
granting institutions

Office of Elementary and Secondary Education  
(OESE)/ED

#### **A.4. Efforts to Identify Duplication**

One of the criteria for QRIS is to collect only data that are not available elsewhere. Prior to the implementation of a given survey, every effort is made to determine if the requested information is available from another source. Depending on the survey, this might include contacting other federal agencies or other offices within the Department of Education, seeking input from national associations (e.g., the Council for American Private Education, the American Library Association, the American Association of Collegiate Registrars and Admissions Officers, the National Association of Student Financial Aid Administrators), or obtaining background information on a topic through searches of databases and clearinghouses such as the What Works Clearinghouse, ERIC, and Higher Education Abstracts. In addition, other programs within NCES are asked for input about surveys during the survey development process. This internal NCES review provides an early opportunity to identify duplication, as well as providing QRIS with the topic-area and methodological expertise of other NCES staff.

#### **A.5. Methods Used to Minimize Burden on Small Entities**

Burden is minimized for all respondents by keeping the questionnaires short, restricting questions to generally available information, giving respondents the option of completing a Web version of the questionnaire, conducting followup for nonresponse and data clarification by telephone, and transmitting paper versions of the questionnaire by fax whenever possible. In addition, smaller institutions were sampled at a lower rate than larger institutions in the PEQIS panel, and are generally sampled at a lower rate for FRSS surveys.

#### **A.6. Consequences of Not Collecting the Information**

QRIS surveys are conducted in response to requests from Department of Education and other government officials who have education data needs that cannot be met through other NCES surveys, either because the topic is not covered by current surveys or because of time constraints. NCES receives requests for data to help formulate policy; to make legislative, budgetary, and planning decisions for existing programs; and to develop new programs. Findings from QRIS surveys may be included in Congressional reports, testimony to Congressional subcommittees, and Department of Education reports. The



findings may also be used by state and local education officials. ED officials will not have the information they need if the QRIS surveys are not conducted.

#### **A.7. Adherence to the Guidelines in 5 CFR 1320.5**

Data collection will be conducted in a manner consistent with the guidelines in 5 CFR 1320.5. The only exception is that responses are requested in fewer than 30 days, following the well-developed procedures for NCES quick response surveys such as PEQIS and FRSS, which are intended to collect data quickly.

#### **A.8. Consultations Outside NCES**

Prior to the implementation of a given survey, input is sought from outside sources. Depending on the survey, this might include contacting other Federal agencies or other offices within the Department of Education, or seeking input from national associations (e.g., the Council for American Private Education, the American Association of Collegiate Registrars and Admissions Officers, the National Association of Student Financial Aid Administrators, the National Association of State Directors of Career Technical Education Consortium).

In addition, one or more rounds of feasibility calls are usually conducted in the early phases of survey development. The purpose of feasibility calls is to explore topics for survey items, identify and correct any potential issues with the content and format of the survey before conducting a pretest, and assure that the survey captures the intended meaning of the questions and minimizes the burden imposed on respondents. Feasibility calls involve asking members of the target population to review a draft survey and participate in a telephone discussion. Approval is requested from OMB under the NCES system clearance for Cognitive, Pilot, and Field Test Studies (OMB #1850-0803) prior to conducting the feasibility calls.

After the feasibility calls and review of the survey by the NCES Quality Review Board, a pretest is conducted to further test the survey instrument prior to seeking OMB approval to conduct the full data collection. The pretest involves asking respondents to complete the survey and participate in a telephone debriefing. Prior to conducting the pretest, approval is requested from OMB under the NCES system clearance for Cognitive, Pilot, and Field Test Studies (OMB #1850-0803).

**A.9. Payments to Respondents**

Not applicable. No payments or gifts to respondents will be made on QRIS surveys covered under this generic clearance.

#### **A.10. Assurance of Confidentiality**

Data to be collected will not be released with institutional or personal identifiers attached. Data will be presented in aggregate statistical form only. In addition, each data file undergoes extensive disclosure risk analysis and is reviewed by the NCES/IES Disclosure Review Board before use in generating report analyses and before release as a public use data file.

Each respondent will be assured that all information identifying them or their school or institution will be kept confidential in compliance with the Education Sciences Reform Act of 2002 (ESRA 2002, 20 U.S.C. § 9573). As requested by OMB, both the cover letter accompanying the questionnaire and the header on the questionnaire state that the information collected on the survey may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose unless otherwise compelled by law (Education Sciences Reform Act of 2002, 20 U.S.C. § 9573).

In addition, all Westat staff members working on the study are required to sign the NCES Affidavit of Nondisclosure, as well as Westat's confidentiality pledge, which appears as Exhibit 2.

#### **A.11. Sensitive Questions**

The types of questions asked on QRIS surveys are not likely to be considered sensitive. Questions focus on institution-level information rather than on personal information about individuals. Published data from the surveys present composite information that does not identify individual respondents.

## Exhibit 2. Westat confidentiality statement

### WESTAT, INC.

#### EMPLOYEE OR CONTRACTOR'S ASSURANCE OF CONFIDENTIALITY OF SURVEY DATA

##### Statement of Policy

Westat is firmly committed to the principle that the confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of interview (or self-response), or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements which are to be adhered to strictly.

##### Procedures for Maintaining Confidentiality

1. All Westat employees and field workers shall sign this assurance of confidentiality. This assurance may be superseded by another assurance for a particular project.
2. Field workers shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during field work. Field workers shall exercise reasonable caution to prevent access by others to survey data in their possession.
3. Unless specifically instructed otherwise for a particular project, an employee or field worker, upon encountering a respondent or information pertaining to a respondent that s/he knows personally, shall immediately terminate the activity and contact her/his supervisor for instructions.
4. Survey data containing personal identifiers in Westat offices shall be kept in a locked container or a locked room when not being used each working day in routine survey activities. Reasonable caution shall be exercised in limiting access to survey data to only those persons who are working on the specific project and who have been instructed in the applicable confidentiality requirements for that project.

Where survey data have been determined to be particularly sensitive by the Corporate Officer in charge of the project or the President of Westat, such survey data shall be kept in locked containers or in a locked room except when actually being used and attended by a staff member who has signed this pledge.

5. Ordinarily, serial numbers shall be assigned to respondents prior to creating a machine-processible record and identifiers such as name, address, and Social Security number shall not, ordinarily, be a part of the machine record. When identifiers are part of the machine data record, Westat's Manager of Data Processing shall be responsible for determining adequate confidentiality measures in consultation with the project director. When a separate file is set up containing identifiers or linkage information which could be used to identify data records, this separate file shall be kept locked up when not actually being used each day in routine survey activities.
6. When records with identifiers are to be transmitted to another party, such as for keypunching or key taping, the other party shall be informed of these procedures and shall sign an Assurance of Confidentiality form.
7. Each project director shall be responsible for ensuring that all personnel and contractors involved in handling survey data on a project are instructed in these procedures throughout the period of survey performance. When there are specific contractual obligations to the client regarding confidentiality, the project director shall develop additional procedures to comply with these obligations and shall instruct field staff, clerical staff, consultants, and any other persons who work on the project in these additional procedures. At the end of the period of survey performance, the project director shall arrange for proper storage or disposition of survey data including any particular contractual requirements for storage or disposition. When required to turn over survey data to our clients, we must provide proper safeguards to ensure confidentiality up to the time of delivery.
8. Project directors shall ensure that survey practices adhere to the provisions of the U.S. Privacy Act of 1974 with regard to surveys of individuals for the Federal Government. Project directors must ensure that procedures are established in each survey to inform each respondent of the authority for the survey, the purpose and use of the survey, the voluntary nature of the survey (where applicable) and the effects on the respondents, if any, of not responding.

##### PLEDGE

I hereby certify that I have carefully read and will cooperate fully with the above procedures. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate, or provide access to survey data and identifiers except as authorized by Westat. In addition, I will comply with any additional procedures established by Westat for a particular contract. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel whom I supervise. I understand that violation of this pledge is sufficient grounds for disciplinary action, including dismissal. I also understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination, or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

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Signature

## **A.12. Estimates of Response Burden**

Questionnaire completion time for each survey is estimated to average 45 minutes. Information about estimated respondent burden hours and cost for QRIS surveys is summarized in Exhibit 3. If ten QRIS surveys are conducted each year, with one state survey, three school surveys, three district surveys, one library survey, and two postsecondary surveys sent to every institution in the PEQIS panel, the total annual respondent burden would be 10,568 hours. The cost to respondents is estimated to be \$30 per hour for a total cost to respondents of \$317,040 for the ten surveys (10,568 hours x \$30).

Prior to contacting schools for FRSS school surveys, a courtesy information packet is mailed to the superintendent of each district with sampled schools. Notification of districts is estimated to take approximately 5 minutes per district. Any special requirements that districts have for approval of surveys will be met before schools in those districts are contacted. Each special clearance districts has unique requirements for obtaining approval. For school surveys, there are approximately 100 special clearance districts; for district surveys, there are approximately 10 special clearance districts. The materials sent to special districts will be tailored to meet the specific requirements of each district, based on information from the OMB package. The respondent burden for special clearance districts is estimated to be approximately 2 hours per special district. The estimated burden time for sampled entities (schools, districts, postsecondary institutions, etc.) to review the introductory letter requesting their participation (initial contact) is 5 minutes per entity. The response rates for QRIS surveys of districts, schools, and postsecondary institutions typically have been 90 percent or greater. Response burden for each survey is estimated to average 45 minutes. Based on past experience, it is estimated that about 25 percent of the sample will have returned the completed survey before nonresponse follow-up begins; about 75 percent of the sample will receive a nonresponse follow-up call that will take about 5 minutes.

**Exhibit 3. Estimated burden for data collection and nonresponse follow-up: FRSS and PEQIS**

Type of collection	Sample size	Estimated response rate (percent)	Estimated number of respondents per survey	Estimated number of surveys	Estimated number of responses per survey	Burden hours per respondent per survey	Total respondent burden hours	Respondent cost (@\$30 per hour)
<b>State Survey</b>								
Initial state contact	51	100%	51	1	51	0.083	5	\$150
Questionnaire	51	100%	51	1	51	0.75	39	\$1,170
Nonresponse follow-up call	51	75%	38	1	38	0.083	4	\$120
<b>State survey total</b>	--	--	<b>140</b>	<b>1</b>	<b>140</b>	--	<b>48</b>	<b>\$1,440</b>
<b>FRSS School Survey</b>								
District notification	1,070	100%	1,070	3	3,210	0.083	267	\$8,010
Special clearance district review	100	100%	100	3	300	2	600	\$18,000
Initial school contact	1,200	100%	1,200	3	3,600	0.083	299	\$8,970
Questionnaire	1,200	90%	1,080	3	3,240	0.75	2,430.00	\$72,900
Nonresponse follow-up call	1,200	75%	900	3	2,700	0.083	224	\$6,720
<b>School survey total</b>	--	--	<b>4,350</b>	<b>3</b>	<b>13,050</b>	--	<b>3,820.00</b>	<b>\$114,600</b>
<b>FRSS District Survey</b>								
Special clearance district review	10	100%	10	3	30	2	60	1800
Initial district contact	1,200	100%	1,200	3	3,600	0.083	299	\$8,970
Questionnaire	1,200	90%	1,080	3	3,240	0.75	2,430.00	\$72,900
Nonresponse follow-up call	1,200	75%	900	3	2,700	0.083	224	\$6,720
<b>District survey total</b>	--	--	<b>3,190</b>	<b>3</b>	<b>9,570</b>	--	<b>3,013.00</b>	<b>\$90,390</b>
<b>FRSS Library Survey</b>								
Initial library contact	1,200	100%	1,200	1	1,200	0.083	100	\$3,000
Questionnaire	1,200	90%	1,080	1	1,080	0.75	810	\$24,300
Nonresponse follow-up call	1,200	75%	900	1	900	0.083	75	\$2,250
<b>Library survey total</b>	--	--	<b>3,180</b>	<b>1</b>	<b>3,180</b>	--	<b>985</b>	<b>\$29,550</b>
<b>PEQIS Panel Survey</b>								
Initial institution contact	1,647	100%	1,647	2	3,294	0.083	274	\$8,220
Questionnaire	1,647	90%	1,482	2	2,964	0.75	2,223.00	\$66,690
Nonresponse follow-up call	1,647	75%	1,235	2	2,470	0.083	205	\$6,150
<b>PEQIS survey total</b>	--	--	<b>4,364</b>	<b>2</b>	<b>8,728</b>	--	<b>2,702.00</b>	<b>\$81,060</b>
<b>Total annual burden</b>	--	--	<b>15,224</b>	<b>10</b>	<b>34,668</b>	--	<b>10,568</b>	<b>\$317,040</b>
<b>Total 3-year burden 2012-2015</b>	--	--	<b>45,672</b>	<b>30</b>	<b>104,004</b>	--	<b>31,704.00</b>	<b>\$951,120</b>

**A.13. Estimates of Cost Burden for Collection of Information**

Not applicable. Respondents will not need to purchase or maintain equipment or services to respond to QRIS surveys.

**A.14. Estimates of Cost to the Federal Government**

Different FRSS and PEQIS surveys carry different costs. Costs to the Federal Government for salaries and expenses and contractual costs, including the costs for survey preparation, data collection, data analysis, and report preparation and dissemination, will be provided for each survey when it is submitted to OMB for approval.

**A.15. Changes in Burden**

QRIS anticipates conducting 5 to 10 surveys a year. An increase is being requested in the 3-year Information Collection Burden (ICB) estimate of burden hours from 23,667 to 31,704 total hours. The increase is due to the burden hours associated with initial institution contacts, special clearance district reviews, and nonresponse follow-up calls, which were not included in the previous estimate of burden hours.

**A.16. Publication Plans/Time Schedule**

After each survey is approved by OMB, Westat (the QRIS contractor) will mail the questionnaire to the respondents. Including in the mailing will be information about the option to complete a Web version of the survey. About 3 weeks after mailout, Westat will begin telephone followup for nonresponse and data consistency. Data collection is scheduled for completion about 18 weeks after mailing. See Exhibit 4 for the anticipated time schedule for QRIS institutional surveys.

Tabulations will be produced for each data item. Crosstabulations of data items will be made with selected classification variables such as instructional level and school size for FRSS surveys, and level and control of the institution for PEQIS surveys. The findings will be made available to the data requesters immediately upon receipt of tabulations from Westat, about 8 weeks after the end of data collection.

Reports of the findings will be released on the NCES website. Westat will draft a survey report 8 weeks after the tabulations have been produced. After NCES has returned final modifications of the draft, Westat will prepare the report for release. Westat will also submit a procedural report to NCES.

**Exhibit 4. Anticipated Time Schedule for QRIS Institutional Surveys**

	Cumulative workdays	
	From submission to RIMS/OMB	From OMB approval
Package to RIMS/OMB.....	0	-
Package approved by OMB.....	45	0
Mailout.....	55	10
Followup started.....	70	25
Followup completed.....	145	100
Basic tabulations.....	185	140
Survey report - draft.....	225	180

**A.17. Approval to Not Display Expiration Date**

Not applicable. All QRIS surveys will display the expiration date for OMB approval of the information collection.

**A.18. Exceptions to the Certification Statement**

Not applicable. No exceptions to the certification statement are being sought.