

2015-16
NATIONAL TEACHER AND PRINCIPAL SURVEY (NTPS)
FULL-SCALE DATA COLLECTION

OMB SUPPORTING STATEMENT
PART A

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A. JUSTIFICATION
TABLE OF CONTENTS

1. Circumstances Making Collection of Information Necessary.....	2
2. Purposes and Uses of NTPS.....	4
3. Appropriate Use of Information Technology.....	4
4. Efforts to Identify Duplication.....	4
5. Methods Used to Minimize Burden on Small Entities.....	5
6. Frequency of Data Collection.....	5
7. Special Circumstances of Data Collection.....	5
8. Consultants outside the Agency.....	5
9. Provision of payments or Gifts to Respondents.....	6
10. Assurance of Confidentiality.....	6
11. Sensitive Questions.....	7
12. Estimates of Hour Burden for Information Collection.....	7
13. Estimates of Cost Burden.....	8
14. Costs to the Federal Government.....	8
15. Reasons for Changes in Response Burden and Costs.....	8
16. Time Schedule for NTPS.....	9
17. Approval to not Display Expiration Date for OMB Approval.....	9
18. Exception to the Certification Statement.....	9
 Attachment A - Questionnaires	
 Attachment B - Respondent Contact Materials	
 Attachment C - NTPS Content for the First Two Cycles (2015-16 and 2017-18) and Changes from 2011-12 SASS Content	

A. Justification

1. Circumstances Making Collection of Information Necessary

This request is to conduct data collection for the 2015-16 National Teacher and Principal Survey (NTPS). The NTPS preliminary activities, including contacting school districts and sending pre-contact letters to schools selected for NTPS 2015-2016, were approved in January 2015 (OMB# 1850-0598 v.10). NTPS is conducted by the National Center for Education Statistics (NCES), of the Institute of Education Sciences (IES), within the U.S. Department of Education (ED). It is a redesign of the Schools and Staffing Survey (SASS), which has been conducted seven times previously in 1987-88, 1990-91, 1993-94, 1999-2000, 2003-2004, 2007-08, and 2011-12. The redesign is aimed at developing a study that is:

- highly flexible – utilizing rotating modules with core surveys of teachers and principals to provide ED and researchers with trend data on key topics, and the ability to quickly collect information on pressing topics;
- timely – administering and providing new data every two years instead of every 4 years, and designed from the ground up to allow for quick turnaround of datasets and reports with release of data within 12 months of end of data collection; and
- integrated with other ED data – either linked with other collections such as ED Facts and CRDC, or maintaining variables that allow researchers to make these links.

NTPS has been designed to meet these objectives while also maintaining SASS's longstanding role as the primary source of data on teacher and principal labor markets, and on the state of K-12 school staffing. By utilizing core content that is included in each round, along with rotating modules that allow deeper investigation of key topics, NTPS will cover a similar breadth of topics as did SASS but in more depth across two study administrations. Some of the key design changes from the 2011-12 SASS include:

- Nationally- instead of state-representative estimates;
- Data collection every two instead of every four years;
- Removed district and library questionnaires to reduce burden; and
- Exploration of the use of extant data to replace subsets of items in the remaining forms.

Due to the low response rates achieved in the 2011-12 Private School SASS and the 2013-14 Private School Survey (PSS), NCES will not collect private school data in the 2015-16 NTPS, but instead will utilize the 2015-16 PSS to test approaches to enhance response rates among private schools. Attachment C shows NTPS content for its first two cycles (2015-16 and 2017-18) and changes from 2011-12 SASS.

Justification for the 2015-16 NTPS

The 2014-2015 NTPS Pilot Test and other design and development activities have led to changes in NTPS procedures, sampling design, and content as compared to previous SASS studies. The basic components and key design features of this full-scale NTPS respond to the need for comparative data on teachers, school administrators, and school policies and programs to fulfill the ongoing requirement for NCES to meet its legislative mandate to report on the "condition of education in the United States." NTPS is the Department of Education's primary source of information about the composition of the school workforce and policies affecting the recruitment, retention, and retirement of teachers and principals. It is unique among education studies in that it allows linkage between school, principal, and teacher responses. NTPS will replace SASS as one of the key sources of nationally representative data on a range of

important education topics including out of field teaching, school decision making, professional development, teacher and principal evaluation, and career paths of educators and administrators. The cross-sectional repeated design of NTPS allows tracking of trends on these topics over time.

Legislative Authorization

NCES is authorized to conduct this study under the Education Sciences Reform Act of 2002 (ESRA; 20 U.S. Code §9543).

Prior and Related Studies

The studies prior to the Schools and Staffing Survey were separate surveys of public and private schools, principals, teachers, and school districts under the Elementary and Secondary General Information System. The National Research Council report, “Creating a Center for Education Statistics: A Time for Action,” in 1986, noted:

“It is essential that any system of collecting education data recognize, reflect and react to the issue of timeliness (...) An example of such a lack is the case of teaching and teachers. With the publication of *A Nation at Risk* (National Commission on Excellence in Education, 1983), these topics emerged as fundamental issues of concern, and the need for data was sudden and immediate. Unfortunately, information on the number of teachers and other professional staff – which we would think would be an essential element of any continuing data system – was last collected at the elementary and secondary level in 1979-80. Data on minority teachers is even more archaic, having last been collected in 1968.”

This report caused a number of fundamental changes at NCES (formerly, the Center for Education Statistics). Among them was the establishment of the Schools and Staffing Survey, to collect data on a periodic basis about schools, principals, teachers, districts, and school libraries, all in the same survey year. The survey was designed to provide the data at the state level for public schools and at the “affiliation” level for private schools.

The General Education Provisions Act, as amended [20 U.S.C. §1211(e)(1)], specified that the National Center for Education Statistics (NCES) design an integrated survey system called the Schools and Staffing Survey (SASS). Legislative authority for NCES to collect data through surveys was reauthorized under the Improving America’s Schools Act of 1994, and has most recently been authorized by the provisions of the Education Sciences Reform Act of 2002 cited above. SASS was first fielded in school year 1987-88, collected every 3 years through 1993-94, and then underwent a 6-year pause for major survey design revisions, which resulted in the 1999-2000 data collection. Since then, SASS has been on a 4-year data collection cycle, with each SASS data collection followed one year later by the Teacher Follow-up Survey (TFS) & Principal Follow-up Survey (PFS) data collections. The most recent administration was in 2011-12. At the conclusion of the 2011-12 collection, NCES began to redesign SASS and named it the National Teacher and Principal Survey (NTPS) to reflect the redesigned study’s narrowed focus on the teacher and principal labor market and on the state of K-12 school staff. The TFS and PFS will remain part of the NTPS and will be collected every four years beginning in 2016-17. These two follow up surveys will go back to NTPS Teacher and Principal Survey respondents to determine whether they are still working at the same school or in the field of education. These data will be analyzed in the context of their responses to the prior year NTPS. The TFS and PFS allow researchers to look at dynamics of the teacher and principal labor market, as well as attrition. Since it follows NTPS respondents, the current status of teachers and principals can be looked at in the context of the working conditions, sense of autonomy, and other self-reported variables from the prior year.

2. Purposes and Uses of NTPS

In the past, some of the most published analyses based on SASS have included average class size, the number of new teachers, out-of-field teaching, professional development, teacher attrition and retention, and teacher qualifications. NCES plans to keep items on these topics in NTPS. Based on previous administrations of SASS, the NTPS data will be used to develop nationally representative statistics on:

- teacher qualifications, teacher career paths, professional development needs and activities, and support for these aspects of teachers' careers by the school and the district;
- school organization and decision-making, management of curriculum and instruction, school safety, and parental involvement; and
- policies pertaining to the recruitment and retention of teachers and principals.

3. Appropriate Use of Information Technology

As in the 2014-15 NTPS Pilot Test and all prior administrations of SASS, the Census Bureau will collect data under an interagency agreement with NCES. Technology will be applied appropriately to keep respondent burden to a minimum.

To lessen the response burden on public schools, speed up the teacher sample selection, and reduce data processing costs, schools will be asked to send a list of all of their teachers via electronic files, with the alternative option of filling out a paper questionnaire. Schools will be assured that all teacher data will be stored on secure online servers controlled by the U.S. Census Bureau. Additionally, questionnaires within each sampled school will be tracked using an electronic tool which the Census Bureau has used in the 2014-15 NTPS Pilot Test, economic surveys, and other types of establishment surveys. Voluntary school-based coordinators will be invited to access this web-based tool at the outset of data collection activities. In addition, following successful implementation in the NTPS pilot test, schools will be asked to provide teacher email addresses on the Teacher Listing form. Teachers with email addresses will be invited to respond to the Teacher Questionnaire through an Internet response option. If they do not respond, they will also be given the option to respond by paper. Independently, as part of the questionnaire, we will ask all teachers and principal for their email addresses to be used in the subsequent 2016-17 Teacher Follow-up Survey (TFS) and the Principal Follow-up Survey (PFS), respectively.

Lastly, a small test using non-production cases will be implemented to determine whether school staff and principals are more likely to respond to an Internet response option than the traditional paper questionnaires with the use of a coordinator. The Internet response option reduces processing costs and editing errors. A similar test was conducted as part of the 2014-15 NTPS Pilot Test, but that design did not include the use of a coordinator.

4. Efforts to Identify Duplication

A key element of the NTPS design principle was to leverage trusted data sources instead of asking schools or districts to report items on NTPS that they or their state have already provided through other collections. At the start of the SASS redesign, all SASS items were cross-walked against a variety of ED's and external data sources. From this review, a number of duplicate or near duplicate items were identified. As a result, NCES plans to append to the NTPS files data from the Common Core of Data (CCD) and Civil Rights Data Collection (CRDC) in order to enrich and not duplicate data collection on these topics. In some cases a duplicate item was kept on NTPS because the extant variable was not suitable for NTPS

(e.g. due to an issue with periodicity, availability, item wording, reliability, or the item being needed for confirmation purposes).

5. Methods Used to Minimize Burden on Small Entities

The burden on small schools is minimized during the NTPS through the sample design that specifies the selection of schools as a function of size defined by the number of teachers. Small schools, therefore, will be sampled at lower rates than larger schools because they comprise a smaller proportion of the teacher population per school. Additionally, a large component of this redesign is specifically to improve the data collected and minimize the burden imposed on respondents. The proposed NTPS questionnaires are shorter than the respective SASS questionnaires.

6. Frequency of Data Collection

NCES plans for the NTPS to be collected on a two year cycle.

7. Special Circumstances of Data Collection

There are no circumstances that will require special data collection efforts.

8. Consultants outside the Agency

Since its inception, the development of SASS has relied on the substantive and technical review and comment of people both inside and outside the Department of Education. Outside experts who were convened to offer comments on proposed revisions for the NTPS and their affiliation at the start of the project include:

Dale Ballou
Vanderbilt University
Nashville, TN

Mark Berends
University of Notre Dame
Notre Dame, IN

Rolf Blank
Council of Chief State School Officers
Washington, D.C.

Sean Corcoran
New York University
New York, NY

Betheny Gross
Center on Reinventing Public Education
University of Washington
Seattle, WA

Richard Ingersoll
University of Pennsylvania
Graduate School of Education
Philadelphia, PA

Joe McTighe
Council for American Private Education
Germantown, MD

Anna Nicotera
National Alliance for Public Charter Schools
Washington, DC

Gary Sykes
Understanding Teaching Quality Research Center
Education Testing Services
Princeton, NJ

The following experts served as part of the SASS team in previous rounds of administration:

Mr. Aref Dajani
Chief, Longitudinal Surveys Branch
Demographic Statistical Methods Division
U.S. Census Bureau
Washington, DC 20233

Mr. Howard McGowan
Assistant Division Chief
Demographic Surveys Division

U.S. Census Bureau
Washington, DC 20233

Ms. Jill Dever
Senior Research Statistician,
RTI International
Statistics and Epidemiology Unit (RTI-DC)
701 13th Street N.W. Suite 750
Washington, D.C. 20005-3967

The current NTPS design has benefited from consultation with the following federal experts:

Mr. Stephen Broughman
Statistician, Cross-Sectional Surveys Branch
Sample Surveys Division, NCES
1990 K Street, NW
Washington, DC 20006

Washington, DC 20006

Ms. Carolyn Pickering
Survey Director, Education Surveys Team
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Washington, DC 20233

Ms. Kathryn Chandler
Statistician, Cross-Sectional Surveys Branch
Sample Surveys Division, NCES
1990 K Street, NW
Washington, DC 20006

Ms. Shawna Cox
Assistant Survey Director, Education Surveys Team
U.S. Census Bureau
Washington, DC 20233

Dr. Cleo Redline
Senior Research Scientist,
Statistical Standards and Data Confidentiality, NCES
1990 K Street, NW

Ms. Teresa Thomas
Survey Statistician
U.S. Census Bureau
Washington, DC 20233

9. Provision of payments or Gifts to Respondents

NCES will not provide a cash incentive to survey respondents. Some Districts charge a fee to process research application requests, which we will pay as necessary.

10. Assurance of Confidentiality

The NTPS data collection agent, the Census Bureau, shall comply with ED's IT security requirements as set forth in the Handbook for Information Assurance Security Policy; with related procedures and guidance, including the Federal Information Security Management Act (FISMA), Office of Management and Budget (OMB) Circulars, and the National Institute of Standards and Technology (NIST) standards and guidance; and with the Education Sciences Reform Act of 2002 (ESRA 2002; 20 U.S.C., § 9573). These requirements include the successful certification and accreditation of the system before it can be implemented. Appropriate memoranda of understanding and interconnection security agreements will be documented as part of the certification and accreditation process.

From the initial contact with the participants in this survey through all of the follow-up efforts, potential survey respondents will be informed that all of the information they provide may only be used for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law [Education Sciences Reform Act of 2002 (ESRA 2002; 20 U.S.C., § 9573). The following language will be included on all survey instruments (on the log-in page for online versions):

Your responses are protected from disclosure by federal statute (20 U.S.C., §9573). All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, unless otherwise compelled by law.

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 voluntary information collection is 1850-0598. The time required to complete this information collection is estimated to average XX minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate, suggestions for improving this collection, or comments or concerns about the contents or the status of your individual submission of this questionnaire, please e-mail:

addp.education.surveys@census.gov, or write directly to: National Teacher and Principal Survey, National Center for Education Statistics, 1990 K Street, N.W., #9046, Washington, DC 20006.

11. Sensitive Questions

The teacher and principal questionnaires collect data on salary, crime victimization (teacher only), and perceptions of influence in the school. While these items might be considered sensitive, they have been used in the past and response rates for these items are traditionally high, ranging from 94.2% to 99.8% for principals and 92.3% to 98.2% for teachers.

12. Estimates of Hour Burden for Information Collection

The sample size, projected number of responses, estimated average response time, and the total estimated respondent burden for the 2015-16 NTPS data collection activities are provided in Table 12a-c.

Table 12.a. Estimates of respondent burden for the 2015-16 NTPS data collection activities

Activity/Respondent Type	Sample	Expected response rate	Number of respondents	Number of responses	Per respondent (minutes)	Total burden (hours)
SCHOOL STAFF						
Teacher listing form	8,300	0.64	5,312	5,312	30	2,656
School questionnaire	8,300	0.64	5,312	5,312	30	2,656
PRINCIPALS						
Screening interview	8,300	0.64	5,312	5,312	5	443
Principal questionnaire	8,300	0.64	5,312	5,312	22	1,948
TEACHERS						
Teacher Questionnaire	40,000	0.6625	26,500	26,500	40	17,667
Total			42,436	47,748		25,370

The 2015-2016 NTPS data collection begins with an initial mailout package addressed to the principal of each sampled school that includes a letter to the principal, a letter to the school coordinator (which includes instructions for completing a brief online screener interview using the NTPS Respondent Status Center), the Teacher Listing Form, the School Questionnaire, and the Principal Questionnaire. The questionnaires are considered to be "completed" when they are returned to the Census Bureau. The principal is expected to spend the time to read the advance letter and make a determination about the school's participation in NTPS (involving the teacher listing form and the two questionnaires). The principal is asked to complete the Principal Questionnaire, and anyone in the school knowledgeable about the topics in the Teacher Listing Form or the School Questionnaire may complete those forms.

Schools will be provided instructions for tracking the status of their school's questionnaires through the NTPS Respondent Status Center, with most schools expected to designate this task to a person other than the principal. The person designated for this task is referred to as the School Coordinator. Schools that do not respond to the initial survey request will receive up to three additional requests by mail. Schools that do not respond to these mailings will be contacted by phone or personal visit. These contacts will focus on the completion of the Teacher Listing Form that is needed to draw a sample for the Teacher Questionnaire. During the call, the school contact person will also be encouraged to complete the NTPS School Questionnaire and Principal Questionnaire, as appropriate. Once the teacher listing forms are received, processed, and the sample is selected, invitations to complete the teacher questionnaires will be sent out to teachers on a flow basis by either email and/or paper. Teachers for whom email addresses have

been obtained will be invited to complete the Teacher Questionnaire by Internet response. When a teacher's email address is not provided, attempts will be made to locate it through internet searches of school and district websites and through commercial vendor lists. When no address can be obtained, the teacher will be mailed a paper questionnaire. Teachers with email addresses who do not provide an Internet response will be invited to complete the paper questionnaire.

In addition to the full-scale data collection, an NTPS Schools and Principals Internet Test will be conducted using a supplemental sample. These cases will not be used in the 2015-16 NTPS estimates.

Table 12.b. Estimates of respondent burden for the NTPS Schools and Principals Internet Test

Activity/Respondent Type	Sample	Expected response rate	Number of respondents	Number of responses	Per respondent (minutes)	Total burden (hours)
SCHOOL STAFF						
Teacher listing form	1,000	0.64	640	640	30	320
School questionnaire	1,000	0.64	640	640	30	320
PRINCIPALS						
Screener Interview	1,000	0.50	500	500	5	42
Principal questionnaire	1,000	0.50	500	500	22	183
Total			1,780	2,280		865

This test will follow the same data collection procedures and timeline as the full-scale data collection with the following exceptions: mailout packages will not include paper questionnaires with the exception of the third mailout where the schools will be re-invited to participate via a paper questionnaire included in that mailing; there will be two not three follow-up mailings; and no teachers will be sampled from the Teacher Listing Forms collected during this test.

Table 12.c. Total Burden Hours for NTPS

Activity/Respondent Type	Number of respondents	Number of responses	Total burden (hours)
2015-16 NTPS data collection	42,436	47,748	25,370
NTPS School and Principal Internet Test	1,780	2,280	865
Total Response Burden	44,216	50,028	26,235

The standard procedure for estimating burden time response cost is to multiply the estimated average length of time it takes to complete the survey by the average salary. The average hourly earnings of local government employees who are primary, secondary, or special education teachers in the 2014 National Compensation Survey sponsored by the Bureau of Labor Statistics (BLS) is \$40.94¹, and of an education administrator it is \$42.68². Therefore, the total estimated burden time response cost for teacher respondents is \$723,287, and for school administrators \$365,682.

13. Estimates of Cost Burden

There are no additional costs to respond beyond the time to respond.

14. Costs to the Federal Government

The cost to the federal government for the 2015-16 NTPS is \$8.6 million. The Census Bureau estimates were developed by the Census Bureau divisions involved in these activities.

¹ See <http://www.bls.gov/news.release/ecec.t04.htm>.

² Source: BLS Occupational Employment Statistics, <http://data.bls.gov/oes/> datatype: SOC:119030 (Education Administrators); accessed on January 30, 2015.

15. Reasons for Changes in Response Burden and Costs

This request shows an increase in the estimated response burden because the last approval was for 2015-2016 NTPS preliminary activities while this request is for the data collections.

16. Time Schedule for NTPS

The operational schedule for 2015-16 NTPS is as follows:

Activity	Date
Mail questionnaires/internet invitations to schools, request teacher lists	August, 2015
Mail second questionnaire package to non-responding schools	September, 2015
Mail third package to non-responding schools	December, 2015
Mail fourth package to non-responding schools	February, 2016
Telephone follow-up with schools to obtain teacher lists	September 2015 – October 2015
Clerical research operation to obtain teacher lists	October 2015 – November 2015
Mail Teacher Questionnaires as teacher samples are drawn	September 2015 – March 2016
Telephone follow-up to obtain school, principal, and teacher questionnaires	February 2016 – March 2016
Field follow-up to obtain teacher lists, school, principal, and teacher questionnaires	September 2015 – May 2016
Data capture of all questionnaires	September 2015 – June 2016
Data processing	January 2016 – December 2016
Analysis of the internet experiment	September 2015 – December 2016

17. Approval to not Display Expiration Date for OMB Approval

We are not seeking approval to not display the expiration date of OMB approval.

18. Exception to the Certification Statement

No exception to the certification statement is being requested.