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Documentation for the 2016–17 Principal Follow-up Survey



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Matthew Khouri
Aniekan Okon
U.S. Bureau of the Census

Julia Merlin
Project Officer
National Center for Education Statistics

U.S. Department of Education

Miguel A. Cardona
Secretary

Institute of Education Sciences

Matthew Soldner
Acting Director

National Center for Education Statistics

Peggy G. Carr
Commissioner

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Content Contact

Julia Merlin
(202) 245-8211
julia.merlin.orear@ed.gov

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Chapter 1. Overview

Background

The Principal Follow-up Survey (PFS) is a component of the National Teacher and Principal Survey (NTPS). The NTPS is sponsored by the National Center for Education Statistics (NCES) of the Institute of Education Sciences within the U.S. Department of Education. The U.S. Census Bureau administers the NTPS on behalf of the NCES. In order to provide a comprehensive picture of American public elementary and secondary schools and their staff, the NTPS and its predecessor, the School and Staffing Survey (SASS), have been collecting data on the characteristics of teachers, principals, and schools since the 1987–88 school year.

The NTPS has a different structure than previous administrations of SASS; however, it maintains the same focus on schools and their teachers and administrators that was traditionally held by the SASS. For more information about NTPS, please see *Documentation for the 2015–16 National Teacher and Principal Survey* (2022-718) or the NTPS website at <http://nces.ed.gov/surveys/ntps>.

NCES conducted the 2016–17 PFS in order to provide attrition rates for principals in K–12 public schools. The goal was to assess how many principals from the 2015–16 school year still worked as a principal in the same school during the 2016–17 school year, how many had moved to become a principal in another school, and how many were no longer working as principals.

The 2016–17 PFS data produce national estimates for principals in public schools. The PFS data have been merged with the 2015–16 NTPS principal data files for the convenience of data users. This combined data file can be merged with the other NTPS data files (i.e., school, and teacher data files) to provide a rich dataset for analyzing principals in K–12 schools in the United States. The Principal Status Forms can be found in appendix B.

Principal Status Forms

The 2016–17 PFS included two questionnaires: the Principal Status Form for the School Contact Operations (Form PFS-1A), and the Principal Status Form for the Home Contact Operations (Form PFS-1C).

Both forms asked about the current occupational status of the principal who had been the principal during the previous school year (when the 2015–16 NTPS data were collected). Form PFS-1A contained a second question verifying the name of the school’s principal in the 2015–16 school year. If the name of the school’s 2015–16 principal was incorrect, the correct name was collected. The correct names are for internal use only and are not disclosed.

The response options for the current occupational status were used to divide the principals into four general categories: stayers, movers, leavers, and other. “Stayers” are principals who were principals in the same school in 2016–17 as in 2015–16. “Movers” are principals who were principals in a different school in 2016–17 than in 2015–16. “Leavers” are principals who were no longer principals in 2016–17. “Other” includes deceased principals and principals who had left their 2015–16 school, but for whom the responding school was unable to provide sufficient information to determine a mover or leaver status in 2016–17. For exact response options for each status category, please see the forms in Appendix B.

Target Population and Sample

The target population for the 2016–17 PFS includes all current and former principals who were public school principals during the 2015–16 school year. All principals who replied to a 2015–16 NTPS principal questionnaire were included in the PFS sample; therefore, any discussion of PFS methodology builds upon the preceding NTPS methodology.

NTPS Sampling Frames and Sample Selection

The starting point for the 2015–16 NTPS school sampling frame was the preliminary 2013-14 Common Core of Data (CCD) non-fiscal school universe data file. The CCD includes regular schools, non-regular schools (special education, alternative, vocational, or technical), and public charter schools. It is based on administrative data collected annually by the National Center for Education Statistics (NCES) from each state education agency, the Department of Defense (DoD) and the Bureau of Indian Education (BIE). The sampling frame was adjusted from the CCD in order to fit the definition of a school eligible for NTPS. To be eligible for NTPS, a school was defined as an institution, or part of an institution, that provides classroom instruction to students; has one or more teachers to provide instruction; serves students in one or more of grades K–12 or the ungraded equivalent; and is located in one or more buildings. It was possible for two or more schools to share the same building; in this case, they were treated as different schools if they had different administrators (i.e., principal).

The NTPS definition of a school is generally similar to the CCD definition, with some exceptions. NTPS is confined to the 50 states plus the District of Columbia and excludes the other jurisdictions and Department of Defense overseas schools, which are included in the CCD. The CCD also includes some schools that do not offer teacher-provided classroom instruction in grades 1-12 or the ungraded equivalent. In some instances, schools in the CCD are essentially administrative units that may oversee entities that provide classroom instruction or may only provide funding and oversight. CCD schools with the same address and phone number were collapsed during the NTPS frame building on the assumption that the respondent would consider them to be one school. Because NTPS allows schools to define themselves, Census Bureau staff observed that schools generally report as one entity in situations where the administration of two or more schools in the CCD is the same. A set of rules was applied in certain states to determine in which instances school records should be collapsed. When school records were collapsed, the student and teacher counts, grade ranges, and names as reported to the CCD were all modified to reflect the change.

Finally, additional school records were added to the sampling frame. These records were schools that were listed as districts with no schools on the CCD. These CCD records were examined by the fields of district name, teacher count, and enrollment count. Upon examination these CCD records were determined to be newly-opened schools and were added to the school frame. For a detailed list of frame modifications, see the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022). After adding, deleting, and collapsing school records, the NTPS public school sampling frame consisted of 87,598 traditional public schools and 6,530 public charter schools.

The NTPS sample is a systematic probability-proportionate-to-size (PPS) sample. All schools were systematically selected using a PPS algorithm. Prior to sampling, schools were sorted in the following hierarchical order: charter status, school grade level, urbanicity, poverty status, school size category (FTE), school type for noncharter schools, state, and lastly the number of FTE teachers. For a full description of the sampling procedure, see the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022). The measure of size used for the schools was the square root of the number of full-time-equivalent (FTE) teachers reported, or imputed, for each school during the sampling frame creation. Any school with a measure of size greater than the sampling interval (the inverse of the rate at which the sample is selected) was included in the sample with certainty and thus automatically excluded from the probability sampling operation. (For a more detailed explanation of PPS sampling, consult *Sampling Techniques* [Cochran 1977].) These sampling procedures resulted in a total public school sample of 8,300 public schools (7,127 traditional public schools and 1,173 public charter schools) in the 2015–16 NTPS.

Principals

In the 2015–16 NTPS, the principal of each sampled school was automatically selected to complete the NTPS Principal Questionnaire. Altogether, 8,300 school principals were sampled. The 2016–17 PFS sample included all principals who completed NTPS interviews in eligible schools. A total of 5,711 principals were included in the sample for this survey; 2,589 eligible principals were not included because the principal did not respond to the Principal Questionnaire during the 2015–16 NTPS. The breakdown of NTPS school and principal response is presented below in Table 1.

Table 1. Number of schools that completed the NTPS School Questionnaire and the NTPS Principal Questionnaire

Interview Status	NTPS Principal Questionnaire Response	NTPS Principal Questionnaire Nonresponse ¹	Total
NTPS School Questionnaire Response	5596	169	5765
NTPS School Questionnaire Nonresponse*	115	2420	2535
Total	5711	2589	8300

¹The Nonresponse groups are comprised of respondent non-interviews and out-of-scopes.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), 2015–16.

The 2015–16 NTPS was designed to produce national estimates for public elementary and secondary schools, and their principals and teachers. The PFS allows for similar types of estimates as NTPS, specifically for principals. For more detailed information about NTPS sampling frames or estimation, see the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Respondent Status

All NTPS respondents who completed the 2015–16 NTPS Principal Questionnaire were included in the 2016–17 PFS sample. Complete “interviews” include the respondents who completed their form and answered question one (current occupational status). The numbers of respondents who were sampled for the PFS and completed the interview are presented in table 2.

Table 2. Number of schools sampled and number of schools interviewed, by sector: 2016–17

Interview status	School sector		
	Total	Public Traditional	Public Charter
Sampled	5,711	4,944	767
Interviewed	5,440	4,727	713

NOTE: Sampled cases consist of all NTPS respondents who completed the 2015–16 NTPS Principal Questionnaire. Interviewed cases include cases for which PFS data were collected.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), “Public School Principal Status Documentation Data Files,” 2016–17.

Contents

This report contains chapters on data collection (chapter 2), response rates (chapter 3), data processing (chapter 4), weighting and variance estimation (chapter 5), and data quality (chapter 6).

The information in these chapters is supported by material in the following appendixes:

- *Appendix A*—Key terms used in the PFS and NTPS
- *Appendix B*— 2016–17 PFS questionnaires and cover letters and 2015–16 NTPS Principal Questionnaires
- *Appendix C*—PFS created variables

Chapter 2. Data Collection

Overview of Data Collection

The 2016–17 Principal Follow-up Survey (PFS) utilized a primarily mail-based collection methodology, with telephone and e-mail follow-up for nonrespondents. All questionnaires were mailed in an envelope with the U.S. Department of Education and NTPS logos, but the envelope did not include a direct reference to the name of the survey. Interviewers were provided with classroom training, including a portion intended for self-study. Altogether, 5,711 principals were contacted for this survey. The schedule for the data collection is presented in table 3.

Table 3. Data collection time schedule: 2016–17

PFS School Contact Operations	Timing of activity
Principal Status Forms (PFS-1A) and letter mailed to sampled schools	March 2017
Reminder letter with a second PFS-1A mailed to sampled schools	March 2017
Telephone non-response follow-up with schools that did not return the PFS-1A	April 2017
PFS Home Contact Operations (for nonrespondents)	
Principal Status Forms (PFS-1C) and letter mailed to principals in nonresponding schools	May 2017
Reminder letter with a second PFS-1C mailed to sampled principals in nonresponding schools	May 2017
E-mail reminder to non-responding principals	May 2017
Telephone non-response follow-up with principals that did not return the PFS-1C	May - June 2017
PFS Home Contact Operations (for ‘non-stayer’ Principals)	
Introductory letter (PFS-34(L)) and the Principal Status Form (PFS-1C) mailed to ‘non-stayer’ principals	April - May 2017
E-mail reminder to non-responding ‘non-stayer’ principals	April - May 2017
Telephone non-response follow-up with principals that did not return the PFS-1C	May - June 2017
SOURCE: U.S. Department of Education, National Center for Education Statistics, Principal Follow-Up Survey, 2016–17.	

PFS School Contact Operations

As part of the PFS School Contact Operations (SCO), all 5,711 principals who provided sufficient data in the 2015–16 NTPS Principal Questionnaire were contacted at their 2015–16 NTPS schools.

On March 3, 2017, an introductory letter and the Principal Status Form (PFS-1A) were mailed to sampled principals. The letter introduced the survey and asked the school to complete and mail the questionnaire in the return envelope. The packages were addressed to the principal, or, if the principal name had not been provided during the 2015–16 NTPS data collection, to the “School Principal/Administrator.” Any knowledgeable person at the school was asked to complete the form by indicating the current occupational status of the previous year’s principal. The Census Bureau staff at the National Processing Center in Jeffersonville, Indiana, mailed the forms, along with cover letters, to the schools and processed the returned forms.

On March 17, 2017, a reminder letter and a second copy of the Principal Status Form (PFS-1A) were mailed to any outstanding sampled schools. The letter reminded schools to complete and return the questionnaire. The letter also thanked those schools that had already returned a completed form, noting that they should disregard the letter.

Telephone nonresponse follow-up with schools was conducted from April 10, 2017–April 28, 2017. During this operation, telephone interviewers attempted to reach the person most knowledgeable about the status of last year’s principal. Interviewers specified that the most appropriate respondent might be the current principal or principal’s assistant. The purpose of the telephone nonresponse follow-up operation was to complete the Principal Status Form over the phone if the respondent was willing to do so. A CATI instrument version of the Principal Status Form (PFS-1A) was provided for the interviewers to use when completing the interview. The telephone instrument included additional general answer options for the interviewer to mark if, after probing, the respondent did not know the specific status of last year’s principal.

Although all follow-up to the schools was completed prior to May 2017, mailed questionnaires were accepted through July 20.

PFS Home Contact Operations

In the 2012–13 PFS, all principal status information was obtained by contacting the mailing address and phone number of the principal’s SASS 2011–12 school. A validation study was performed on a stratified sample of 2012–13 PFS respondents. The validation study contacted principals using home mailing addresses and phone numbers to verify each principal’s occupational status. The study indicated that when principals were no longer working at their SASS 2011–12 school, the PFS 2012–13 was not accurate at determining principal occupational status of these principal “non-stayers,” because someone else at the school was responding to the survey and serving as a ‘proxy’ respondent.

Based on the results of the PFS 2012–13 validation study a decision was made to include non-stayer operations as part of the Home Contact Operation (HCO) to validate the status of non-stayer principals. If the PFS Form 1-A collected during the SCO indicated that the principal was no longer working as a principal at their 2015–16 NTPS school, the principal was added to the validation study component of the PFS Home Contact Operations (HCO).¹ The HCO attempted to verify the SCO data by contacting the principal using their home mailing address, home telephone number, or personal e-mail.

On April 5, 2017, the first wave of HCO principal packages, each containing an introductory letter and PFS Form 1-C, were mailed to the principals’ homes. The letter introduced the study and asked the principal to complete and mail the questionnaire in the enclosed return envelope. The packages were addressed to the principal by name, or, if the principal name had not been provided during the 2015–16 NTPS data collection, to ‘The 2015–16 <school name> principal’.

¹ A small number of stayer principals were treated as non-stayers and were included in the non-stayer HCO. These were principals who were indicated as being “On leave (e.g., maternity/paternity, military, disability, sabbatical)” based on the PFS-1A.

Starting on May 3, 2017, principals who had not responded to the SCO were added to the nonresponse portion of the HCO and sent a Principal Status Form (PFS-1C) directly to their home. The letter introduced the survey and asked the principal to complete and mail the questionnaire in the return envelope. Only cases that had a principal name and valid home address were included in this mailing, therefore the packages were addressed to the principal by name. The sampled principal was the primary respondent for the Principal Status Form. However, a proxy interview by a person who was knowledgeable about the occupational status of the sampled principal and resided at the principal's home address was also accepted.

On May 17, 2017, a reminder letter and a second copy of the Principal Status Form (PFS-1C) were mailed to any outstanding sampled principals. This reminder mailing included both principals from non-responding schools and non-stayer principals. The letter reminded principals to complete and return the questionnaire. The letter also included that, if the principal had already returned a completed form, that we thank them for their assistance and that they should disregard the letter.

Telephone nonresponse follow-up directly to the principal's home was conducted from May 22, 2017–June 9, 2017. This operation also included both principals from nonresponding schools and non-stayer principals.² During this operation, telephone interviewers attempted to reach the principal directly at home to receive his or her occupational status from the prior school year.

The purpose of the telephone nonresponse follow-up operation was to complete the Principal Status Form over the phone if the respondent was willing to do so. A CATI instrument version of the Principal Status Form (PFS-1C) was provided for the interviewers to use when completing the interview. The telephone instrument included additional general answer options for the interviewer to mark if, after probing, the respondent did not know or refused the specific status of last year's principal. Mailed questionnaires were accepted through July 20, 2017.

At all stages of data collection, procedures were in place to remail questionnaires by request. Respondents could request replacement mailed copies of the questionnaires by email or phone throughout collection. However, telephone interviewers were instructed to suggest that respondents complete the short survey over the phone as an alternative instead of waiting for a remailed paper questionnaire. Due to this no remails were mailed during the entire data collection period.

² A small group of non-stayer principals were originally left out of the non-stayer portion of the Home Contact Operation. These cases were added late to the HCO during the middle of the telephone nonresponse follow-up operation. These were principals who were indicated as "Working in this school, but not as Principal" based on the PFS-1A.

A tiered list was created to orderly check-in and code the questionnaires in any cases in which respondents completed multiple questionnaires of the same type with conflicting answers to question one. The tier list prioritized out-of-scopes over interviews, interviews over non-interviews, and if within the same status code priority tier, ultimately ATAC paper questionnaire responses over CATI instrument questionnaire responses. A discrepancy report was produced regularly throughout data collection; it included cases where multiple paper questionnaires of the same type were returned and the respondents' answers to question one were inconsistent but within the same priority tier. This occurred in 74 schools. All cases were researched and resolved prior to the end of data collection. For more information on data processing, refer to chapter 4.

Chapter 3. Response Rates

This chapter presents the survey response rates for the 2016–17 Principal Follow-up Survey (PFS). First, the unit response rates are addressed. Next, the item response rates are presented in detail. Finally, bias analysis is discussed.

Survey Response Rates

The unit response rate is the rate at which the sampled units respond by completing the questionnaire. Unit response rates can be calculated as unweighted or weighted. The unweighted response rate is the number of interviewed sampled units divided by the number of eligible sampled units. The weighted unit response rate is produced by dividing the final-weighted number of respondents who completed the questionnaire by the final-weighted number of eligible sampled cases.³ The final weight is created by applying a nonresponse adjustment to the base weight. The base weight is the product of the initial basic weight (the inverse of the sampled unit’s probability of selection at the time of initial selection) and the sampling adjustment factor, which is applied to account for any additional circumstances impacting the probability of selection such as merged schools or split schools. See chapter 5 for further discussion of the weighting.

Unit Response Rates

Since PFS consisted of only one item and had an unweighted response rate of over 95 percent, this item and variables derived from it were added to the 2015–16 NTPS public school principal data files. Since no reweighting was necessary, the PFS unit response rates were calculated using the NTPS principal final weights, which accounted for NTPS nonresponse as the universe of PFS is limited to NTPS interviews. The unit response rate was calculated both unweighted and weighted. The unweighted and weighted response rates for PFS, by survey population, are included in table 4. For detailed information on the NTPS principal unit response rates, refer to chapter 6 of the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Table 4. Unweighted and final-weighted PFS response rates, by survey population: 2016–17

Survey population	Unweighted overall response rate (percent)	Weighted overall response rate (percent)
Public school principals	68.39	68.44
Traditional public school	68.69	68.65
Charter school	66.69	66.17

NOTE: The unweighted overall response rates are the product of the unweighted NTPS PQ response rates and the unweighted PFS response rates. The weighted overall response rates are the product of the weighted NTPS PQ response rates and the (NTPS principal final) weighted PFS response rates. Response rates were weighted using a nonresponse adjustment and the inverse of the probability of selection.

SOURCE: U.S. Department of Education, National Center for Education Statistics, Schools and Staffing Survey (SASS), “Public School Principal Status and Private School Principal Status Documentation Data Files,” 2017.

Item Response Rates

³ For the formula used to calculate the unit response rate, see the *NCES Statistical Standards* (U.S. Department of Education 2003).

Item response rates indicate the percentage of respondents who answered a given survey item. The weighted item response rate is produced by dividing the number of sampled cases responding to an item by the number of sampled cases eligible to answer the item and adjusting by the final weight. The PFS was treated as a single item. Although there are different versions of the PFS form – one for schools and one for principals (refer to Chapter 1, Overview, for additional information) – question 1, which asked about the current occupational status of the person who had been the principal during the previous school year was the same on both form types. Therefore, the responses from the different form types were combined into one item response rate, regardless of which form was completed.

Table 5. Unweighted and final-weighted PFS item response rates, by survey population: 2016–17

Survey population	Unweighted response rate (percent)	Final-weighted response rate (percent)
Public school principals	95.25	95.32
Traditional public school	95.66	95.61
Charter school	92.76	92.03

NOTE: Response rates were weighted using a nonresponse adjustment and the inverse of the probability of selection.
SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), "Public School Principal Status Documentation Data Files," 2017.

Unit Bias Analysis

Overview of Methodology

Since the PFS status item had a better than 95 percent response rate and is not considered a survey separate from NTPS, no additional unit bias analysis was conducted. NCES Statistical Standard 4-4 requires analysis of unit nonresponse bias for any survey stage with a base-weighted response rate of less than 85 percent; therefore, all 2015–16 NTPS principal data files were evaluated for potential bias. Comparisons between the frame and respondent populations were made before and after the noninterview weighting adjustments were applied in order to evaluate the extent to which the adjustments reduced or eliminated nonresponse bias. Described here is a summary of the NTPS bias analysis results for principals. For detailed information on the NTPS bias analysis, refer to chapter 6 of the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Relative bias was estimated for variables known for respondents and nonrespondents. There are a number of variables available for each data file from the 2015–16 NTPS sampling frames. The variables used are presented in exhibit 1.

Exhibit 1. Variables used in the NTPS principal unit nonresponse bias analysis: 2015–16

Public Principals

- *Charter status*: noncharter, charter
- *Enrollment*: less than 200, 200 to less than 500, 500 to less than 750, 750 to less than 1000, 1000 or more
- *Percent of enrollment with race other than White*: less than 5 percent, 5 to less than 10 percent, 10 to less than 20 percent, 20 to less than 30 percent, 30 to less than 50 percent, 50 percent or more
- *Percent free or reduced price lunch eligible*: less than 35 percent, 35 to less than 50 percent, 50 to less than 75 percent, 75 percent or more
- *Locale*: city, suburb, town, rural
- *Pupil-teacher ratio*: less than 10, 10 to less than 15, 15 to less than 20, 20 or more
- *Grade level*: primary, middle, high, combined
- *Region*: Northeast, Midwest, South, West
- *Number of teachers*: less than 10, 10 to less than 25, 25 to less than 50, 50 to less than 75, 75 or more
- *Title 1 status*: Title 1 program, Title 1 non-eligible, Title 1 eligible but no Title 1 program
- *State*: 50 states and District of Columbia

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), 2015–16.

The following steps were followed to compute the relative bias. First, the nonresponse bias was estimated and tested to determine if the bias is significant at the 5 percent level. Second, noninterview adjustments were computed, and the variables listed above were included in the nonresponse models. The noninterview adjustments, which are included in the weights, were designed to significantly reduce or eliminate unit nonresponse bias for variables included in the models. Third, after the weights were computed, any remaining bias was estimated for the variables listed above and statistical tests were performed to check the remaining significant nonresponse bias. For this comparison, nonresponse bias was calculated as the difference between the base-weighted sample mean and the nonresponse-adjusted respondent mean over each variable, which evaluates the effectiveness of the noninterview adjustment in mitigating nonresponse bias. Sample units found to be ineligible for NTPS were excluded from the analysis.

Public Principals

Tables 6 and 7 contain summary statistics of the unit nonresponse bias analysis findings.

Table 6. Summary of NTPS public school principal unit nonresponse bias—all items: 2015–16

Nonresponse bias statistics	Total
Before noninterview adjustment	
Mean estimated percent relative bias (absolute value)	9.02
Median estimated percent relative bias (absolute value)	6.86
Percent of variable categories significantly ¹ biased	48.91
After noninterview adjustment	
Mean estimated percent relative bias (absolute value)	5.91
Median estimated percent relative bias (absolute value)	2.88
Percent of variable categories significantly ¹ biased	28.26

¹Based on a two-tailed t distribution with 200 df, $\alpha=0.05$.

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), 2015–16.

Table 7. Effects of nonresponse adjustment on bias reduction—NTPS public school principal unit nonresponse bias: 2015–16

Before nonresponse adjustment	Change in absolute difference	After nonresponse adjustment	Number of characteristics
Not significant	Reduction	Not significant	26
	Increase in difference	Not significant	14
		Significant	7
Significant	>50% Reduction	Not significant	21
		Significant	0
	10%-50% Reduction	Not significant	5
		Significant	14
	<10% Reduction	Not significant	0
		Significant	2
	Increase in difference	Not significant	0
		Significant	3

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), 2015–16.

Summary of Conclusions

As shown in tables 6 and 7, the weighting adjustments eliminated some, but not all, significant bias. For all respondents, 49 percent of the variable categories were significantly biased before nonresponse weighting adjustments. After the adjustments, 28 percent of categories were significantly biased.

Chapter 4. Data Processing

Questionnaire Check-in and Data Capture

Respondents to the 2016–17 Principal Follow-up Survey (PFS) were encouraged to complete and mail back the questionnaire sent to the school. Questionnaires mailed to the U.S. Census Bureau’s National Processing Center (NPC) were immediately checked into the Automated Tracking and Control (ATAC) system by clerical staff. Questionnaires received an outcome code of “complete” if question one was answered. Additional outcome codes included refusal, blank, duplicate, out- of-scope and Undeliverable as Addressed (UAA).

The data were captured (converted from paper to electronic format) using manual data keying and imaging technology, facilitated by the ATAC system. Responses to the two questions on the form were recorded into the ATAC system and sent to Census Bureau analysts in Suitland, Maryland.

Census Bureau telephone interviewers updated the status of cases throughout data collection. Interviewers assigned an outcome code indicating the status (i.e., unable to contact, refusal, etc.) of each case during the outbound calling operations using the PFS Computer-Assisted Telephone Interview (CATI) instruments. The data were captured by the CATI instruments and picked-up directly by the Census Bureau analysts in Suitland, Maryland.

Reformatting

As the questionnaire data were being captured, output files were reformatted into tab-delimited files in order to facilitate the remaining data processing and cleaning. The reformatted output files were sent weekly to Census Bureau analysts in Suitland, Maryland, for data review.

Discrepancy Resolution and Preliminary Data Review

During data review, two major types of discrepancies were uncovered. A tiered list was created to assist in check-in which prioritized out-of-scopes over interviews, interviews over non-interviews, and if within the same status code tier, ultimately ATAC paper questionnaire responses over CATI instrument questionnaire responses. The first type of discrepancy occurred when two paper questionnaires of the same type were returned and the responses on the two were inconsistent with one another within the same tier. This could occur if both copies of the PFS-1A questionnaire mailed to the school were returned or if both copies of the PFS-1C questionnaire mailed directly to the principal were returned. This discrepancy within tiers occurred in 74 instances. These cases were identified through regular discrepancy reports and were researched and resolved prior to the end of data collection.

The second type of discrepancy occurred when a respondent marked two or more different answers to question one on a single copy of the questionnaire. These cases were identified by ATAC staff during the check-in process and were referred to Census Bureau analysts for review. This occurred in 101 schools. All cases were researched and resolved on a flow basis by Census Bureau analysts.

During the review process for the two types of discrepancies, the cases were researched primarily through school websites, school district websites and local news websites.

Interview Status Recode (ISR_PF) Classification

The Interview Status Recode (ISR_PF) was a determination of whether each case was a completed interview or a noninterview. Cases in which the respondent answered question one were classified as completed interviews (ISR_PF = 1). Cases that were returned as UAA with or without an address correction, cases with incomplete or blank forms, cases that were general noninterviews, and cases in which the district refused to participate were classified as noninterviews (ISR_PF = 2). Cases that were considered out-of-scope were classified as (ISR_PF = 3). The ISR_PF is used in the calculation of the unit response rate, which is the number of interviewed sampled units (ISR_PF = 1) divided by the number of eligible (in-scope) sampled units, which include respondents plus nonrespondents (ISR_PF = 1 or 2) but not ineligible (out-of-scope) units (ISR_PF = 3).

The ISR counts for each survey population are shown in Table 8.

Table 8. Interview Status Recode (ISR) counts for PFS, by survey population: 2016–17

Survey population	Interviews	Noninterviews	Out of scope
Public school principals	5440	271	0
Traditional Public	4727	217	0
Charter	713	54	0

SOURCE: U.S. Department of Education, National Center for Education Statistics, National Teacher and Principal Survey (NTPS), "Public School Principal Status Documentation Data Files," 2017.

Chapter 5. Weighting and Variance Estimation

This chapter describes the weighting procedures used for 2016–17 Principal Follow-up Survey (PFS). The final weights must be employed during analysis in order for the sample estimates to reflect the target survey population. Variances are computed to estimate the reliability of statistics and are a product of the weighting procedure.

Weighting

The general purpose of weighting is to scale up the sample estimates to represent the target survey population. Since all responding NTPS principals were included in the PFS and 95.3 percent of principals in the PFS sample responded to the survey, the 2015–16 NTPS weights could be used to represent the target sample population. All units, respondents and nonrespondents to the PFS, are included in the file and no adjustments were made for nonresponse. Therefore, new weights were not calculated for the PFS, and data users should employ the 2015–16 NTPS principal weights when analyzing the principal status data files.

Nonresponse to the PFS could have occurred through a number of different scenarios, which are included in the following categories of the principal occupational status (FINAL_STATUS) variable: “blank form returned,” “incomplete form,” “Undeliverable as Addressed (UAA) with address correction,” “Undeliverable as Addressed (UAA) without address correction,” “district refusal,” “general refusal,” or “closed or merged”. A “district refusal” occurred when the district of the sampled school refused to allow the school to participate in the survey. There was also a principal occupational status (FINAL_STATUS) category reserved for “duplicate” (school in sample) but this scenario did not occur during data collection. For more information on NTPS weighting, please refer to the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Variance Estimation

This section describes the variance estimation used for the 2016–17 PFS, how the replicates were produced, and how to use the replicate weights to compute variances.

Producing Replicate Weights

In surveys with complex sample designs, such as NTPS, direct estimates of sampling errors that assume a simple random sample will typically underestimate the variability in the estimates. The NTPS sample design and estimation include procedures that deviate from the assumption of simple random sampling, such as stratifying the school sample and sampling with differential probabilities.

Variance estimation techniques, known as replication, can be used to estimate the impact on the variances of these complexities in the sample design and estimation. Thus, accurate variances estimates can be produced by using the resulting replicate weights. As with the main PFS weights, described above, because the PFS nonresponse rate was extremely low, no new replicate weights were calculated for the 2016–17 PFS. Instead, the 2015–16 NTPS principal replicate weights should be used when analyzing the principal status data files. For

information on the NTPS replicate weights, please see the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Applying Replicate Weights

Each NTPS data file includes a set of 200 replicate weights designed to produce variance estimates. The replicate weights were created for each of the 200 NTPS samples using the same estimation procedures used for the full sample and are included in the data files. The replicate weights were produced using a simple deep stratification jackknife procedure. For more information on the NTPS jackknife method, please see chapter 8 of the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Data users can use these replicate weights to compute sampling errors with any of the following software: WesVar Complex Sample Software, SUDAAN (Research Triangle Institute 2001), AM Statistical Software, Stata 9, or SAS version 9.2 or higher.

- *WesVar*. The user needs to create a new WesVar data file by specifying the full sample weight variable, the replicate weight variables (as defined above), and the replication method: balanced repeated replication (BRR). The replicate weights and the full sample weight can be highlighted and dragged to their appropriate place in the “New WesVar Data File” window. For more information, visit http://www.westat.com/westat/expertise/information_systems/wesvar/index.cfm.
- *SUDAAN*. The user needs to specify the sample design as a balanced repeated replication as well as specify the replicate weight variables. Specifying the sample design (DESIGN = BRR) is done in the procedure call statement (i.e., PROC DESCRIPT DESIGN = BRR;). The specification of the replicate weights is done with the REPWGT statement (i.e., to produce the sampling errors for estimates from the principal files, use the following statement: REPWGT AREPWT1-AREPWT88;). For more information, visit www.rti.org/sudaan.
- *AM*. The user needs to set the replicate weights along with the replication method using the right-click context menu in the variable list window. Once the “Set Replicate Weights” window is displayed, the replicate weights as identified above can be highlighted and dragged into the window. At the bottom of the window are four options for the replication method; BRR should be selected. For more information, visit <http://am.air.org>.
- *Stata*. The use of replicate weights for the generation of standard errors is a feature new to Stata 9. First, the user needs to “survey set” the data (SVY SET) by defining the probability weight ([pw =]), the balanced repeated replication weights (brrweight(varlist)), and the variance estimation type (vce(brr)) and turning on the mean square error formula (mse). Once these parameters are set, users are able to call up the survey settings and tell Stata which type of standard errors to produce using the SVY BRR command. SVY BRR also allows users to specify the statistics to be collected (exp_list) and the command to perform (e.g., mean or tab). For more information, visit <http://www.stata.com>.

- *SAS*. Within the PROC SURVEYFREQ procedure, the user will specify the VARMETHOD=BRR. The user can provide replicate weights for BRR variance estimation by using a REPWEIGHTS statement. PROC SURVEYFREQ estimates the parameter of interest (a proportion, total, odds ratio, or other statistic) from each replicate, and then uses the variability among replicate estimates to estimate the overall variance of the parameter estimate. For more information about SAS, visit <http://www.sas.com/contact/intro.html>.

Chapter 6. Reviewing the Quality of the PFS Data

PFS data were subjected to a range of data quality reviews before release. These reviews incorporated a number of checks to examine general data quality and nonresponse, while ensuring a timely release of the data.

General Data Quality

General data quality checks for the 2016–17 Principal Follow-up Survey (PFS) involved an examination of the individual responses and patterns of response. In addition, summary statistics for the two created status variables (a 3-level and a 4-level), the ISR code, and the FINAL_STATUS variable from which the collapsed 3- and 4-level versions are created were examined to ensure internal consistency.

Nonresponse

Due to the high response rates for the 2016–17 PFS, it was not necessary to conduct a bias analysis in addition to that conducted following the 2015–16 NTPS. Refer to tables 4 and 5 in chapter 3 for the unweighted and base-weighted PFS response rates. For detailed information on the NTPS bias analysis, refer to chapter 6 of the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

2016–17 PFS Validation Study Results

In addition to the general data quality checks described above, data quality was assessed by a Census validation study conducted to compare SCO and HCO data by relevant subgroups to determine the reliability of school proxy responses.

In general, while there was low to moderate disagreement between SCO response and HCO response, school proxy response was found to be accurate. Given the cost savings of SCO proxy response usage and its comparatively high response rate, it is recommended to continue to utilize proxy responses in the PFS.

It was identified that there were higher rates of disagreement for the following groups:

- Principal at another school
- Working outside of K–12 Education
- Not working
- Charter schools
- Suburban schools
- Highest education level: PhD or first professional degree

For future PFS iterations, if direct non-stayer principal follow-up operations as part of the HCO are included, it is recommended to limit the scope of the validation operations to members of the above groups.

References

- Cox, S., Okon, A., Strizek, G., Thomas, T. (2022). *Documentation for the 2015–16 National Teacher and Principal Survey* (NCES 2022-108). National Center for Education Statistics, Institute of Education Sciences, U.S. Department of Education. Washington, DC.
- U.S. Department of Education, National Center for Education Statistics. (2003). *NCES Statistical Standards* (NCES 2003-601). Washington, DC: U.S. Government Printing Office.

Appendix A. Key Terms for the PFS and NTPS

The following terms are defined as they apply to the 2016–17 Principal Follow-up Survey (PFS) and the 2015–16 National Teacher and Principal Survey (NTPS). All key terms are from the 2015–16 NTPS unless otherwise indicated.

Base weight. The base weight is the product of the initial basic weight (the inverse of the sampled unit’s probability of selection at the time of initial selection) and the sampling adjustment factor, which is applied to account for any additional circumstances impacting the probability of selection such as merged schools or split schools. See Chapter 5 in this report and the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022) for details on the weighting procedure.

Charter (or public charter) school. A charter school is a public school that, in accordance with an enabling state statute, has been granted a charter exempting it from selected state or local rules and regulations. A charter school may be a newly created school or it may previously have been a public or private school. Meets all school criteria; receives public funding as primary support; provides a free public elementary and/or secondary school education to eligible students.

Combined school. A school is classified as combined if it has one or more of grades K–6 and one or more of grades 9–12; for example, schools with grades K–12, 6–12, 6–9, or 1–12 were classified as having combined grades. Schools in which all students are ungraded (i.e., not classified by standard grade levels) are also classified as combined.

Common Core of Data (CCD). The CCD is the Department of Education’s primary database on public elementary and secondary education in the United States. The CCD is a comprehensive, annual, national statistical database of all public elementary and secondary schools and school districts and contains data that are designed to be comparable across all states. The objectives of the CCD are twofold: first, to provide an official listing of public elementary and secondary schools and school districts in the nation, which can be used to select samples for other National Center for Education Statistics surveys; and second, to provide basic information and descriptive statistics on public elementary and secondary schools and schooling in general.

District. A local education agency (LEA), or public school district, is defined as a government agency that employs elementary- or secondary-level teachers and is administratively responsible for providing public elementary and/or secondary instruction and educational support services. Districts that do not operate schools but do employ teachers are included; for example, some states have special education cooperatives that employ special education teachers who teach in schools in more than one school district. Supervisory unions are also included.

Elementary school. A school is classified as elementary if it has one or more of grades K–6 and does not have any grades higher than grade 8. For example, schools with grades K–6, 1–3, or 6–8 are classified as elementary.

Final weight. This is the product of the initial basic weight, sampling adjustment factor, separate adjustments for nonresponse at each stage of selection, and one or more stages of ratio adjustment to the frame or to independent sources. The final weight is used to produce weighted estimates from the survey data. See Chapter 5 in this report and the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022) for details on the weighting procedure.

Initial basic weight. This is the inverse of the probability of selection from the initial sampling procedure. In contrast, the **base weight** is the inverse of the probability of selection covering all sampling, including any adjustments to the probability of selection due to schools determined to be splits or mergers during field operations. See Chapter 5 in this report and the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022) for details on the weighting procedure.

Leavers (from the 2016–17 PFS). These are 2015–16 NTPS school principals who were no longer principals in the 2016–17 school year.

Missing data. NTPS is a fully imputed dataset. Consequently, the only survey items that lack responses are those that are part of a skip pattern (and should not have been answered by a particular respondent) or write-in responses (which include data too specific to reasonably impute from another respondent’s data). Variables pulled from the frame (i.e., the Common Core of Data) are not necessarily imputed for missing data. In these instances, a value of -9, indicating missing data, is provided for that variable.

Movers (from the 2016–17 PFS). These are 2015–16 NTPS school principals who were still principals in 2016–17 but had moved to a different school after the 2015–16 school year.

Other (from the 2016–17 PFS). These are 2015–16 NTPS school principals who had left their 2015–16 school, but for whom the school was unable to provide sufficient information to determine a mover or leaver status in the 2016–17 school year, or are deceased.

Principal. A principal is the administrator who has primary responsibility for the overall day-to-day functioning of the school.

Public school (see “School”). A public school is defined as an institution that provides educational services for at least one of grades 1–12 (or comparable ungraded levels), has one or more teachers to give instruction, is located in one or more buildings, receives public funds as primary support, and is operated by an education agency. Public charter schools, schools in juvenile detention centers, and schools located on domestic military bases and operated by the Department of Defense are included.

Sampling adjustment factor. In the weighting process for each NTPS respondent, the sampling adjustment factor is applied to the initial basic weight to account for any additional circumstances affecting the probability of selection. The product of the initial basic weight and the sampling adjustment factor is the base weight. See the definitions for “initial basic weight” and “base weight.” See Chapter 5 in this report and the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022) for details on the weighting procedure.

School. An institution or part of an institution that has one or more teachers who provide instruction to students, has students in one or more of grades 1–12 (or the ungraded equivalent), has its own principal/administrator if it shares a building with another school or institution, is in operation during the 2015–16 school year, and is not primarily a postsecondary or adult basic education institution. The following are not considered a school: schools located exclusively in a private home, Department of Defense (DoD) schools located outside of the United States, offices of special education in an LEA, tutoring services, homeschool clearinghouses, and adult learning facilities.

Secondary school. A school is classified as secondary if it has one or more of grades 7–12 and does not have any grade lower than grade 7. For example, schools with grades 9–12, 10–12, or 7–8 are classified as secondary.

State school. State schools are typically run by a state department of education and are not overseen by a district (e.g., schools in juvenile detention centers and schools for the blind).

Final_Status (from the 2016–17 PFS). This is the occupational status of the 2015–16 principal in school year 2016–17, based on question one of the PFS form.

Non-stayers (from the 2016–17 PFS). These are principals who were not principals in the same school in school year 2016–17 as in school year 2015–16.

Teachers. A teacher is defined as a full-time or part-time teacher who teaches any regularly scheduled classes in any of grades K–12. This includes administrators, librarians, and other professional or support staff who teach regularly scheduled classes on a part-time basis. Itinerant teachers are included, as well as long-term substitutes who are filling the role of a regular teacher on a long-term basis. An itinerant teacher is defined as a teacher who teaches at more than one school (e.g., a music teacher who teaches 3 days per week at one school and 2 days per week at another). Short-term substitute teachers and student teachers are not included.

Traditional public school. Traditional public schools are publicly funded schools other than public charter schools. They include regular, special education, vocational/technical, and alternative schools. They also include schools in juvenile detention centers and domestic schools located on military bases and operated by the Department of Defense. See also the definitions for public and public charter schools.

Ungraded. This refers to schools that have an alternative means of classifying students, other than by grade level.

Ungraded students. Ungraded students are those who are not assigned to a particular grade level (kindergarten, first grade, second grade, etc.); for example, special education centers and alternative schools often classify their students as ungraded. Students in Montessori schools are also considered ungraded if the school assigns them to “primary” and “intermediate” levels instead of specific grades.

Valid skip. Certain survey items direct respondents to skip subsequent items based on their answers to the original item, or stem question. For instance, if a respondent answered “No” to Question 1-10 in the 2015–16 NTPS Principal Questionnaire (“WHILE serving as a principal, have you also regularly taught one or more classes at the elementary, middle, or secondary level?”), he or she was directed to skip Question 1–11 (“While serving as a principal, how many YEARS did you regularly teach at the elementary, middle, or secondary level?”) and to “GO TO Section 2 on page 6.” Because the respondent answered that he or she had not had any years of teaching experience while serving as a principal, asking the respondent how many years he or she had taught while serving as principal was not applicable. In instances when an item should not have been answered by the respondent, a value of -8, which designates a valid skip, is applied to that variable(s). In addition, the created variables from the 2016–17 PFS (STATUS_P4 and STATUS_P3) have a value of -9 for the nonresponding schools in 2016–17.

Appendix B: 2016–17 PFS Questionnaires and Cover Letters and 2015–16 NTPS Principal Questionnaires

This appendix contains the following materials

- Attachment B-1: Final Public Principal Status Form
- Attachment B-2: School, Principal, and Validation Study Initial and Reminder Letters
- Attachment B-3: NTPS Principal Questionnaire

Attachment B-1: Final Public Principal Status Forms

Two forms are included in this attachment:

- Principal Status Form for Public Schools—PFS-1A
- Principal Status Form for Public School Principals—PFS-1C

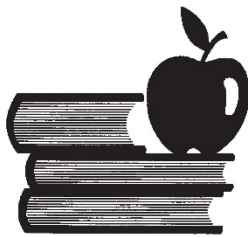
Principal Status Form for Public Schools—PFS-1A

OMB No. 1850-0934: Approval Expires 2/29/2020

Conducted by:
U.S. DEPARTMENT OF EDUCATION
NATIONAL CENTER FOR EDUCATION STATISTICS

Collected by:
U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

PRINCIPAL FOLLOW-UP SURVEY (Regarding your school's 2015-2016 Principal)



(Please correct any errors in school's name, address, and ZIP Code.)

PRINCIPAL STATUS FORM

Please return this form within 2 weeks in the enclosed envelope, or mail it to:

U.S. CENSUS BUREAU
Attn: DCB-60A
1201 E 10th STREET
JEFFERSONVILLE IN 47132-0001

NOTICE

This survey is authorized by the Education Sciences Reform Act of 2002, 20 U.S. Code § 9541(b) and § 9543(a). The results will only be produced as statistical summaries.

FORM **PFS-1A**
(2-21-2017)

The National Center for Education Statistics is interested in Principal attrition and mobility. Please answer the following two questions about this school's Principal last year.

1. Which of the following best describes the current occupational status of last year's Principal?

🍏 Please mark (X) one box.

🍏 If this school had more than one Principal last year, think of the one who was Principal on October 1, 2015.

🍏 If this school did not have a Principal last year (2015-16 school year), mark (X) here ⁵⁰ ☐ and return the form.

Still working as Principal of this school

²⁰ ☐ Still working as Principal of this school

Still working as a Principal, but not at this school

²⁴ ☐ Working as a Principal, but in a different public school ↴

Is the principal's new school in the same District as this school?

²¹ ☐ Yes

²² ☐ No

²³ ☐ Don't know

²⁵ ☐ Working as a Principal, but in a private school

Still working in a K-12 school, but not as a Principal

²⁶ ☐ Working in this school, but not as Principal

²⁷ ☐ Working in a different public school, but not as Principal

²⁸ ☐ Working in a private school, but not as Principal

Still working in K-12 Education, but not in a K-12 school

²⁹ ☐ Working in a District or Administrative Office as a Superintendent, Assistant Superintendent, or other higher-level Administrator

³⁰ ☐ Working in a District or Administrative Office, in a position other than that of Superintendent, Assistant Superintendent, or other higher-level Administrator

³¹ ☐ Working at a job associated with K-12 education, but not directly associated with any schools or school system

Working at a job outside of K-12 Education

³² ☐ Working at a job outside of K-12 education

Other

³³ ☐ Retired – not working outside the home

³⁴ ☐ On leave (e.g., maternity/paternity, military, disability, sabbatical)

³⁵ ☐ Deceased

³⁶ ☐ Other – Specify _____

2. For some schools, we have a record of the name of last year's Principal (who may also be the current Principal).

Name we have:

Is this the name of the school's 2015–16 Principal, with first and last names in the right order and no nicknames?

¹ ☐ Yes

² ☐ No, this is not the name of the 2015–16 Principal OR
↓
there is no name above

What is the name of this school's 2015–16 Principal? *(Please print)*

Title _____

First Name _____

Middle Initial _____

Last Name _____

Suffix _____

Paperwork Burden Statement

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 1850-0934. The time required to complete this information collection is estimated to average 5 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 (NTPS), National Center for Education Statistics (NCES), 550 12th St. SW #4014, Washington, DC 20004.

To learn more about this survey and to access reports from earlier collections, see the National Teacher and Principal Survey (NTPS) website at:
<http://nces.ed.gov/surveys/ntps>

Additional data collected by the National Center for Education Statistics (NCES) on a variety of topics in elementary, secondary, postsecondary, and international education are available from NCES' website at:
<http://nces.ed.gov>

For additional data collected by various Federal agencies, including the Department of Education, visit the Federal Statistics clearinghouse at:
<http://www.fedstats.sites.usa.gov>

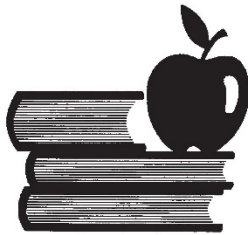
Principal Status Form for Public School Principals—PFS-1C

OMB No. 1850-0934: Approval Expires 2/29/2020

Conducted by:
U.S. DEPARTMENT OF EDUCATION
NATIONAL CENTER FOR EDUCATION STATISTICS

Collected by:
U.S. DEPARTMENT OF COMMERCE
Economics and Statistics Administration
U.S. CENSUS BUREAU

PRINCIPAL FOLLOW-UP SURVEY



(Please correct any errors in your name, address, and ZIP Code.)

NOTICE

Please return this form within 2 weeks in the enclosed envelope, or mail it to:

U.S. CENSUS BUREAU
Attn: DCB-60A
1201 E 10th STREET
JEFFERSONVILLE IN 47132-0001

This survey is authorized by the Education Sciences Reform Act of 2002, 20 U.S. Code § 9541(b) and § 9543(a). The results will only be produced as statistical summaries.

FORM **PFS-1C**
(2-21-2017)

The National Center for Education Statistics is interested in Principal attrition and mobility. According to our records, you were the principal of

during the 2015-16 school year. Please answer the following question about your current occupational status.

Which of the following best describes your current occupational status?

🍎 Please mark (X) one box.

🍎 If you were not the Principal of last year (2015-16 school year), mark (X) here ☐ and return the form.

Still working as Principal of the same school

²⁰ ☐ Still working as Principal of the same school

Still working as a Principal, but not at the same school

²⁴ ☐ Working as a Principal, but in a different public school ↴

Is your new school in the same District as last year's school?

²¹ ☐ Yes

²² ☐ No

²³ ☐ Don't know

²⁵ ☐ Working as a Principal, but in a private school

Still working in a K-12 school, but not as a Principal

²⁶ ☐ Working in the same school, but not as Principal

²⁷ ☐ Working in a different public school, but not as Principal

²⁸ ☐ Working in a private school, but not as Principal

Still working in K-12 Education, but not in a K-12 school

²⁹ ☐ Working in a District or Administrative Office as a Superintendent, Assistant Superintendent, or other higher-level Administrator

³⁰ ☐ Working in a District or Administrative Office, in a position other than that of Superintendent, Assistant Superintendent, or other higher-level Administrator

³¹ ☐ Working at a job associated with K-12 education, but not directly associated with any schools or school system

Working at a job outside of K-12 Education

³² ☐ Working at a job outside of K-12 education

Other

³³ ☐ Retired – not working outside the home

³⁴ ☐ On leave (e.g., maternity/paternity, military, disability, sabbatical)

³⁵ ☐ Deceased

³⁶ ☐ Other – Specify _____

Paperwork Burden Statement

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 1850-0934. The time required to complete this information collection is estimated to average 5 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 (NTPS), National Center for Education Statistics (NCES), 550 12th St. SW #4014, Washington, DC 20004.

To learn more about this survey and to access reports from earlier collections, see the National Teacher and Principal Survey (NTPS) website at:
<http://nces.ed.gov/surveys/ntps>

Additional data collected by the National Center for Education Statistics (NCES) on a variety of topics in elementary, secondary, postsecondary, and international education are available from NCES' website at:
<http://nces.ed.gov>

For additional data collected by various Federal agencies, including the Department of Education, visit the Federal Statistics clearinghouse at:
<http://www.fedstats.sites.usa.gov>

Attachment B-2: School, Principal, and Validation Study Initial and Reminder Letters

Five letters are included in this attachment:

- PFS-31L Initial Letter to Schools
- PFS-32L Reminder Letter to Schools
- PFS-33L Initial Letter to Principals
- PFS-34L Initial Letter to Validation Study Principals
- PFS-35L Reminder Letter to all Principals

PFS-31L Initial Letter to Schools



PFS-31(L)
(2-2017)

U.S. DEPARTMENT OF EDUCATION
INSTITUTE OF EDUCATION SCIENCES

NATIONAL CENTER FOR EDUCATION STATISTICS

Last year, your school participated in the National Teacher and Principal Survey (NTPS), sponsored by the Department of Education's National Center for Education Statistics (NCES). I would like to thank you and your staff for your cooperation. By sharing information about your professional lives and your school, you have helped to create reliable, nationally representative data on our nation's schools and educators.

One area of research that cannot be addressed with the NTPS data already collected is the attrition and retention rates of principals. To address this, we are asking you to complete the enclosed Principal Status Form and return it to us in the included postage-paid envelope. This form has only two questions.

Please be assured that 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. Information will be reported only in statistical summaries that preclude the identification of individual principals. Your participation is important in order to analyze changes in the principal labor force; however, your participation is voluntary.

For more information about NTPS, and to read reports from previous surveys, please visit our website at <http://nces.ed.gov/surveys/ntps>.

If you have any questions, please contact the U.S. Census Bureau, toll-free, at 1-866-325-4957 or by e-mail at addp.education.surveys@census.gov. Someone will be available to take your call or answer your e-mail Monday through Friday, between 8:00 a.m. and 8:00 p.m. (Eastern Time). At any other time, please leave a message and someone will return your call as soon as possible.

Thank you in advance for your cooperation in this important survey effort.

Sincerely,

Peggy G. Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics
U.S. Department of Education

WASHINGTON, DC 20208-5652

PFS-31L Initial Letter to Schools



**PFS-32(L)
(2-2017)**

U.S. DEPARTMENT OF EDUCATION
INSTITUTE OF EDUCATION SCIENCES

NATIONAL CENTER FOR EDUCATION STATISTICS

Recently, the National Center for Education Statistics of the U.S. Department of Education and the U.S. Census Bureau sent you a two-question form to collect information about your school's 2015-16 principal. If you have already completed the form, thank you for your assistance and please disregard this letter. If you have not yet had the opportunity to complete the form, we encourage you to complete and return the enclosed form as soon as possible. This should only take five minutes of your time. Because this is a sample survey, each response is vital to ensure reliable, nationally representative data on schools and principals.

Please be assured that 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. Information will be reported only in statistical summaries that preclude the identification of individual principals. Your participation is important in order to analyze changes in the principal labor force; however, your participation is voluntary.

For more information about NTPS, and to read reports from previous surveys, please visit our website at <http://nces.ed.gov/surveys/ntps>.

If you have any questions, please contact the U.S. Census Bureau, toll-free, at 1-866-325-4957 or by e-mail at edp.education.surveys@census.gov. Someone will be available to take your call Monday through Friday, between 8:00 a.m. and 8:00 p.m. (Eastern Time). At any other time, please leave a message and someone will return your call as soon as possible.

Thank you in advance for your cooperation in this important survey effort.

Sincerely,

Peggy G. Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics
U.S. Department of Education

WASHINGTON, DC 20208-5652

PFS-33L Initial Letter to Principals



PFS-33(L)
(2-2017)

U.S. DEPARTMENT OF EDUCATION
INSTITUTE OF EDUCATION SCIENCES

NATIONAL CENTER FOR EDUCATION STATISTICS

Last year, your school participated in the National Teacher and Principal Survey (NTPS), sponsored by the Department of Education's National Center for Education Statistics (NCES). I would like to thank you and your staff for your cooperation. By sharing information about your professional lives and your school, you have helped to create reliable, nationally representative data on our nation's schools and educators.

One area of research that cannot be addressed with the NTPS data already collected is the attrition and retention rates of principals. To address this, we are asking you to complete the enclosed Principal Status Form regarding your current occupational status and return it to us in the included postage-paid envelope. This form has only one question.

Please be assured that 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. Information will be reported only in statistical summaries that preclude the identification of individual principals. Your participation is important in order to analyze changes in the principal labor force; however, your participation is voluntary.

For more information about NTPS, and to read reports from previous surveys, please visit our website at <http://nces.ed.gov/surveys/ntps>.

If you have any questions, please contact the U.S. Census Bureau, toll-free, at 1-866-325-4957 or by e-mail at eddp.education.surveys@census.gov. Someone will be available to take your call Monday through Friday, between 8:00 a.m. and 8:00 p.m. (Eastern Time). At any other time, please leave a message and someone will return your call as soon as possible.

Thank you in advance for your cooperation in this important survey effort.

Sincerely,

Peggy G. Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics
U.S. Department of Education

WASHINGTON, DC 20208-5652

PFS-34L Initial Letter to Validation Study Principals



PFS-34(L)
(2-2017)

U.S. DEPARTMENT OF EDUCATION
INSTITUTE OF EDUCATION SCIENCES

NATIONAL CENTER FOR EDUCATION STATISTICS

Last year, your school participated in the National Teacher and Principal Survey (NTPS), sponsored by the Department of Education's National Center for Education Statistics (NCES). I would like to thank you and your staff for your cooperation. By sharing information about your professional lives and your school, you have helped to create reliable, nationally representative data on our nation's schools and educators.

One area of research that cannot be addressed with the NTPS data already collected is the attrition and retention rates of principals. We recently asked your 2015-16 school about your current occupational status and it was indicated that you are no longer working at that institution. In an effort to verify this information, we are asking you to complete the enclosed Principal Status Form regarding your current occupational status and return it to us in the included postage-paid envelope. This form has only one question.

Please be assured that 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. Information will be reported only in statistical summaries that preclude the identification of individual principals. Your participation is important in order to analyze changes in the principal labor force; however, your participation is voluntary.

For more information about NTPS, and to read reports from previous surveys, please visit our website at <http://nces.ed.gov/surveys/ntps>.

If you have any questions, please contact the U.S. Census Bureau, toll-free, at 1-866-325-4957 or by e-mail at adep.education.surveys@census.gov. Someone will be available to take your call Monday through Friday, between 8:00 a.m. and 8:00 p.m. (Eastern Time). At any other time, please leave a message and someone will return your call as soon as possible.

Thank you in advance for your cooperation in this important survey effort.

Sincerely,

Peggy G. Carr, Ph. D.
Acting Commissioner
National Center for Education Statistics
U.S. Department of Education

WASHINGTON, DC 20208-5652

PFS-35L Reminder Letter to all Principals



**PFS-35(L)
(2-2017)**

U.S. DEPARTMENT OF EDUCATION
INSTITUTE OF EDUCATION SCIENCES

NATIONAL CENTER FOR EDUCATION STATISTICS

Recently, the National Center for Education Statistics of the U.S. Department of Education and the U.S. Census Bureau sent you a one-question form to collect information about your current occupational status. If you have already completed the form, thank you for your assistance and please disregard this letter. If you have not yet had the opportunity to complete the form, we encourage you to complete and return the enclosed form as soon as possible. This should only take a few minutes of your time. Because this is a sample survey, each response is vital to ensure reliable, nationally representative data on schools and educators.

Please be assured that 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.

Information will be reported only in statistical summaries that preclude the identification of individual principals. Your participation is important in order to analyze changes in the principal labor force; however, your participation is voluntary.

For more information about NTPS, and to read reports from previous surveys, please visit our website at <http://nces.ed.gov/surveys/ntps>.

If you have any questions, please contact the U.S. Census Bureau, toll-free, at 1-866-325-4957 or by e-mail at adep.education.surveys@census.gov. Someone will be available to take your call Monday through Friday, between 8:00 a.m. and 8:00 p.m. (Eastern Time). At any other time, please leave a message and someone will return your call as soon as possible.

Thank you in advance for your cooperation in this important survey effort.

Sincerely,

Peggy G. Carr, Ph. D.
Acting Commissioner
National Center for Education Statistics
U.S. Department of Education

WASHINGTON, DC 20208-5652

Attachment B-3: NTPS Principal Questionnaire

One questionnaire is included in this attachment:

- NTPS Principal Questionnaire—NTPS2

NTPS Principal Questionnaire—NTPS2

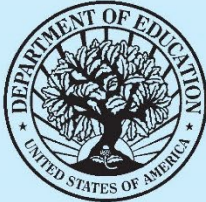
14216014

<small>Conducted by: U.S. DEPARTMENT OF EDUCATION NATIONAL CENTER FOR EDUCATION STATISTICS</small>	<small>OMB No. 1850-0598 Approval Expires 06/30/2018 Collected by: U.S. DEPARTMENT OF COMMERCE Economics and Statistics Administration U.S. CENSUS BUREAU</small>
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PRINCIPAL QUESTIONNAIRE

NATIONAL TEACHER AND PRINCIPAL SURVEY

2015-16 SCHOOL YEAR



(Please correct any errors in name, address, and ZIP Code.)

THIS SURVEY HAS BEEN ENDORSED BY:

American Association of School Administrators

American Association of School Librarians

American Federation of Teachers

American Montessori Society

Association for Middle Level Education (formerly National Middle School Association)

Association for Supervision and Curriculum Development

Association of American Educators

Council of the Great City Schools

National Association of Elementary School Principals

National Association of Secondary School Principals

National Parent Teacher Association


Please return your completed questionnaire in the pre-addressed, postage-paid envelope or mail it to:

U.S. CENSUS BUREAU
ATTN: DCB/PCSPU, BUILDING 60A
1201 E. 10TH STREET
JEFFERSONVILLE, IN 47132-0001

NOTICE:

This survey is authorized by the Education Sciences Reform Act of 2002, 20 U.S. Code §9541(b) and §9543(a). The results will only be produced as statistical summaries.

FORM NTPS-2
(06-19-2015)



- **What is the average student-teacher ratio in the United States?**
- **What is the average salary of a beginning principal?**
- **Have teachers' views of their autonomy in the classroom changed over time?**
- **Have the characteristics of the principal and teacher workforces in the United States changed over time?**

The answers to these questions help school districts and policy makers at the state, federal, and local levels set education policy and improve teacher and principal working conditions.

Since 1988, the National Teacher and Principal Survey and its precursor, the Schools and Staffing Survey, have provided the answers to these and other important education questions from the perspective of Principals and Teachers.

By selecting a statistically representative sample of schools, and teachers in those schools, we are able to provide representative data for the United States without going to every school.

Your school has been selected to participate in the 2015-16 National Teacher and Principal Survey. You will represent thousands of other principals, so it is important that you respond to this survey.

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.

More information can be found on our website: <http://nces.ed.gov/surveys/ntps>

Paperwork Burden Statement

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 22 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: adp.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.



INSTRUCTIONS

The data you enter on this form will be captured through the use of imaging technology. Please print all information clearly in ordinary characters, using a **blue or black ballpoint pen**.

CORRECT marking example –
(Use care to keep characters
in their designated spaces.)

3	5
---	---

☒ Yes
☐ No

INCORRECT marking example –

35

3	5
---	---

☐ Yes
☒ No

OR

☒ Yes
☐ No

- a. It is important that this questionnaire be completed by the school PRINCIPAL, not by anyone else.
- b. Please do not write any comments by the answer boxes.
- c. If you are unsure about how to answer a question, please give the best answer you can rather than leaving it blank.
- d. If you have any questions, call the U.S. Census Bureau at 1-888-595-1338. Someone will be available to take your call Monday through Friday, between 8:00 a.m. and 8:00 p.m. (Eastern Time). The U.S. Census Bureau is also available to answer your questions via e-mail at: adep.education.surveys@census.gov.



1. PRINCIPAL EXPERIENCE AND TRAINING

- 1-1. **BEFORE you became a principal, how many years of elementary, middle, or secondary teaching experience did you have?**

🕒 Count part of a year as 1 year.
 🕒 If none, please mark (X) the box.

☐ None or Year(s) of teaching before becoming a principal

- 1-2. **BEFORE you became a principal, did you hold the position of an assistant principal or program director?**

🕒 Include temporary positions.

☐ Yes

☐ No

- 1-3. **BEFORE you became a principal, did you have any management experience outside of the field of education?**

☐ Yes

☐ No

- 1-4. **BEFORE you became a principal, did you participate in any district or school training or development program for ASPIRING school principals?**

☐ Yes

☐ No

- 1-5. **PRIOR to this school year, how many years did you serve as the principal of THIS OR ANY OTHER school?**

🕒 Do NOT include any years you served as ASSISTANT principal.

🕒 Count part of a year as 1 year.

🕒 If none, please mark (X) the box.

☐ None or Year(s) as principal of this or any other school

- 1-6. **PRIOR to this school year, how many years did you serve as the principal of THIS school?**

🕒 Do NOT include any years you served as ASSISTANT principal.

🕒 Count part of a year as 1 year.

🕒 If none, please mark (X) the box.

☐ None or Year(s) as principal of this school



1-7. What is the highest degree you have earned?

☛ Mark (X) only one box.

- ☐ Associate's degree
- ☐ Bachelor's degree (B.A., B.S., etc.)
- ☐ Master's degree (M.A., M.A.T., M.B.A., M.Ed., M.S., etc.)
- ☐ Educational specialist or professional diploma (at least one year beyond master's level)
- ☐ Doctorate or first professional degree (Ph.D., Ed.D., M.D., L.L.B., J.D., D.D.S.)
- ☐ Do not have a degree

1-8. Which of the following best describes the highest degree you have earned?

☛ Mark (X) only one box.

- ☐ It was awarded by your school's college of Education, school of Education, or department of Education
- ☐ It was awarded by another college, school, or department, not in Education

1-9. Do you currently hold a license or certification in "school administration"?

- ☐ Yes
- ☐ No

1-10. WHILE serving as a principal, have you also regularly taught one or more classes at the elementary, middle, or secondary level?

☛ Do not include time spent as a short-term substitute teacher.

- ☐ Yes
- ☐ No → GO TO Section 2 on page 6.

1-11. While serving as a principal, how many YEARS did you regularly teach at the elementary, middle, or secondary level?

☛ Count part of a year as 1 year.

☛ Include the 2015-16 school year in this count, if applicable.

☛ If none, please mark (X) the box.

- ☐ None → GO TO Section 2 on page 6.

YEAR(S) of teaching since becoming a principal

1-12. In addition to serving as principal, are you CURRENTLY teaching in THIS school?

☛ Do not include time spent as a short-term substitute teacher.

- ☐ Yes
- ☐ No



2. GOALS AND DECISION MAKING

2-1. We are interested in the importance you place on various educational goals. From the following ten goals, which do you consider the most important, the second most important, and the third most important?

- 1 - Building basic literacy skills (reading, math, writing, speaking)
- 2 - Encouraging academic excellence
- 3 - Preparing students for postsecondary education
- 4 - Promoting occupational or vocational skills
- 5 - Promoting good work habits and self-discipline
- 6 - Promoting personal growth (self-esteem, self-knowledge, etc.)
- 7 - Promoting human relations skills
- 8 - Promoting specific moral values
- 9 - Promoting multicultural awareness or understanding
- 10 - Fostering religious or spiritual development

☐

Most important

☐

Second most important

☐

Third most important

2-2. How much ACTUAL influence do you think you have as a principal on decisions concerning the following activities?


🍏 Mark (X) one box on each line.

	No influence	Minor influence	Moderate influence	Major influence	Not applicable
a. Setting performance standards for students of this school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Establishing curriculum at this school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Determining the content of in-service professional development programs for teachers of this school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Evaluating teachers of this school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Hiring new full-time teachers of this school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Setting discipline policy at this school	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Deciding how your school budget will be spent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



3. SCHOOL CLIMATE AND SAFETY

3-1. To the best of your knowledge, how often do the following types of problems occur at this school?

	 Mark (X) one box on each line.				
	Happens daily	Happens at least once a week	Happens at least once a month	Happens on occasion	Never happens
a. Physical conflicts among students	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Robbery or theft	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Vandalism	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Student use of alcohol	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Student use of illegal drugs	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Student possession of weapons	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Physical abuse of teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Student racial tensions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Student bullying	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
j. Student verbal abuse of teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
k. Widespread disorder in classrooms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
l. Student acts of disrespect for teachers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
m. Gang activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



3-2. LAST school year (2014-15), what percentage of students had at least one parent or guardian participating in the following events?					
	🍏 Mark (X) one box on each line.				
	0-25%	26-50%	51-75%	76-100%	Not applicable
a. Open house or back-to-school night	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. All regularly scheduled schoolwide parent-teacher conferences	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Special subject-area events (e.g., science fair, concerts)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Parent education workshops or courses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Signing of a school-parent compact (This is an agreement between school community members [e.g., parents, principals, teachers, and students] that acknowledges the shared responsibility for student learning and/or the school's policies)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. Volunteer in the school as needed or on a regular basis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
g. Involvement in school instructional issues (e.g., planning classroom learning activities, providing feedback on curriculum)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
h. Involvement in governance (e.g., PTA or PTO meetings, school board, parent booster clubs)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
i. Involvement in budget decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3-3. Are teachers at this school REQUIRED to do the following?					
a. Help students with academic needs OUTSIDE of regular school hours					
<input type="checkbox"/> Yes					
<input type="checkbox"/> No					
b. Help students with social and emotional needs OUTSIDE of regular school hours					
<input type="checkbox"/> Yes					
<input type="checkbox"/> No					
3-4. Are BEGINNING teachers at this school enrolled in a formal schoolwide or districtwide program aimed to enhance teachers' effectiveness by providing systematic support (sometimes called a teacher induction program)?					
🍏 A beginning teacher refers to a teacher who is in the first or second year of teaching.					
<input type="checkbox"/> Yes					
<input type="checkbox"/> No					



4. WORKING CONDITIONS AND PRINCIPAL PERCEPTIONS

- 4-1. Including hours spent during the school day, before and after school, and on the weekends, how many hours do you spend on ALL school-related activities during a typical FULL WEEK at THIS school?

Total WEEKLY hours spent on school-related activities

- 4-2. On average throughout the school year, what percentage of time do you estimate that you spend on the following tasks in this school?

- ⚡ Rough estimates are sufficient.
 ⚡ Please write a percentage in each row. Write 0 if none.
 ⚡ Responses should add up to 100%.

a. Internal administrative tasks, including human resource/personnel issues, regulations, reports, school budget	<input type="text"/>	%
b. Curriculum and teaching-related tasks, including teaching, lesson preparation, classroom observations, mentoring teachers	<input type="text"/>	%
c. Student interactions, including discipline and academic guidance	<input type="text"/>	%
d. Parent interactions, including formal and informal interactions	<input type="text"/>	%
e. Other – please specify → <input type="text"/>	<input type="text"/>	%
f. Total	<input type="text" value="100"/>	%

- 4-3. How many days per year are you required to work under your current contract?

- ⚡ Include professional development, student contact days, and any other days covered by your contract.

Days per contract year

- 4-4. Are you represented under a meet-and-confer agreement or a collective bargaining agreement? ("Meet-and-confer" discussions are for the purpose of reaching non-legally-binding agreements. Collective bargaining agreements are legally-binding agreements.)

- ⚡ Mark (X) only one box.

- ☐ Yes, meet-and-confer
☐ Yes, collective bargaining
☐ No



4-5. To what extent do you agree or disagree with each of the following statements?

	🍏 Mark (X) one box on each line.			
	Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree
a. The stress and disappointments involved in being a principal at this school aren't really worth it.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. I am generally satisfied with being principal at this school.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. If I could get a higher paying job I'd leave this job as soon as possible.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. I think about transferring to another school.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. I don't seem to have as much enthusiasm now as I did when I began this job.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. I think about staying home from school because I'm just too tired to go.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4-6. How long do you plan to remain a principal?

🍏 Mark (X) only one box.

- ☐ As long as I am able
- ☐ Until I am eligible for retirement benefits from this job
- ☐ Until I am eligible for retirement benefits from a previous job
- ☐ Until I am eligible for Social Security benefits
- ☐ Until a specific life event occurs (e.g., children graduate from college, relocation)
- ☐ Until a more desirable job opportunity comes along
- ☐ Definitely plan to leave as soon as I can
- ☐ Undecided at this time



5. STUDENT GROWTH AND TEACHER EVALUATION

- 5-1. During this school year (2015-16), is student achievement growth on standardized assessments used in the performance evaluation of teachers in this school? Please include student achievement growth within a teacher's classroom as well as teamwide, gradewide, or schoolwide student achievement growth.

Student achievement growth is the change in student achievement for an individual student between two or more points in time, and may be measured using student growth percentiles, value added, or other measures of change in student achievement over time.

Standardized assessments are assessments consistently administered and scored for all students in the same grades and subjects, districtwide. These might include required state summative assessments, assessments purchased from testing companies, or district-developed assessments that are administered districtwide.

Student achievement growth on standardized assessments is:

- ☐ Used in the evaluation of ALL teachers in the school, including all grades, all subjects (including art, music, and physical education), special education, and special populations such as English learners and students with disabilities.
- ☐ Used in the evaluation of SOME (but not all) teachers in this school.
- ☐ Not used in the evaluation of any teachers in this school.

- 5-2. During this school year (2015-16), which of the following sources of information on teacher performance does your school use in teacher evaluations?

- a. Classroom observations using a teacher professional practice rubric, conducted by the principal or other school administrator

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

- b. Classroom observations using a teacher professional practice rubric, conducted by someone other than a school administrator (such as a peer or mentor teacher, instructional coach, central office staff member, or an observer from outside the school or district)

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

- c. Teacher self-assessment

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

- d. Portfolios or other artifacts of teacher professional practice

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers



5-2. Continued –**e. Assessments by a peer or mentor teacher that are not based on a teacher professional practice rubric**

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

f. Student work samples

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

g. Student surveys or other student feedback

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

h. Parent surveys or other parent feedback

- ☐ Used in evaluating teachers
- ☐ Not used in evaluating teachers

5-3. Will the performance evaluation results for teachers for this school year (2015-16) be used to inform any of the following decisions about teacher professional development?**a. Feedback given to teachers on their professional practice**

- ☐ Yes
- ☐ No

b. Planning professional development for individual teachers

- ☐ Yes
- ☐ No

c. Development of performance improvement plans for low-performing teachers

- ☐ Yes
- ☐ No

d. Setting goals with teachers for student achievement growth for the next school year

- ☐ Yes
- ☐ No

e. Identifying low-performing teachers for coaching, mentoring, or peer assistance

- ☐ Yes
- ☐ No



5-4. Will the performance evaluation results for teachers for this school year (2015-16) be used to inform any of the following decisions about teacher career advancement?

a. Recognizing high-performing teachers

- ☐ Yes
☐ No

b. Determining annual salary increases

- ☐ Yes
☐ No

c. Determining bonuses or performance-based compensation other than salary increases

- ☐ Yes
☐ No
☐ This school does not use bonuses or performance-based compensation

d. Granting tenure or similar job protection

- ☐ Yes
☐ No
☐ This school does not grant tenure or similar job protection

e. Career advancement opportunities, such as teacher leadership roles

- ☐ Yes
☐ No

5-5. Will the performance evaluation results for teachers for this school year (2015-16) be used to inform any of the following decisions about low-performing teachers?

a. Loss of tenure or similar job protection

- ☐ Yes
☐ No
☐ This school does not grant tenure or similar job protection

b. Sequencing potential layoffs to reduce staff

- ☐ Yes
☐ No

c. Dismissing or terminating employment for cause

- ☐ Yes
☐ No



6. PRINCIPAL DEMOGRAPHIC INFORMATION**6-1. Are you male or female?**

- ☐ Male
☐ Female

6-2. Are you of Hispanic or Latino origin?

- ☐ Yes
☐ No

6-3. What is your race?

🍷 *Mark (X) one or more races to indicate what you consider yourself to be.*

- ☐ White
☐ Black or African-American
☐ Asian
☐ Native Hawaiian or Other Pacific Islander
☐ American Indian or Alaska Native

6-4. What is your year of birth?

1 9

6-5. What is your current ANNUAL salary for your position in this school before taxes and deductions?

🍷 *If your position includes multiple duties (e.g., you teach a class and serve as principal at this school), please include your entire salary before taxes and deductions.*

🍷 *Please report in whole dollars.*

\$ per year



7. CONTACT INFORMATION

- 7-1. The survey you have completed may involve a brief follow-up next school year in order to gain information on principals' movements in the labor force. The following information would assist us in contacting you if you have moved or changed jobs. Please keep in mind that all information provided here is strictly confidential and will only be used in the event that we need to contact you for follow-up. Your responses are protected from disclosure by federal statute (20 U.S.C., §9543). 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.

Please PRINT your name, home address, your work, cell, and home telephone numbers, and your work and home e-mail addresses.

- a. First name

Middle name

Last name

Suffix

- b. Street address

- c. City

- d. State

- e. ZIP Code + 4

- f. Work phone number
AREA CODE TELEPHONE NUMBER

- g. Cell phone number
AREA CODE TELEPHONE NUMBER

- h. Home phone number
AREA CODE TELEPHONE NUMBER

- i. Work e-mail address

- j. Home e-mail address



7-2. Please enter the date you completed this questionnaire.

🍏 Report month as a number, that is, 01 for January, 02 for February, etc.

Month	Day	Year
<input type="text"/>	<input type="text"/>	<input type="text" value="2"/> <input type="text" value="0"/> <input type="text" value="1"/>

7-3. Please indicate how much time it took you to complete this form, not counting interruptions.

🍏 Please record the time in minutes, e.g., 50 minutes, 65 minutes, etc.

<input type="text"/>	Minutes
----------------------	---------

**Thank you very much for your participation
in this survey. If you have any questions,
please contact us, toll-free, at: 1-888-595-1338
or by e-mail at: addp.education.surveys@census.gov.**

**Please return your completed questionnaire
in the enclosed pre-addressed, postage-paid
envelope or mail it to:**

**U.S. CENSUS BUREAU
ATTN: DCB/PCSPU, BUILDING 60A
1201 E. 10TH STREET
JEFFERSONVILLE, IN 47132-0001**



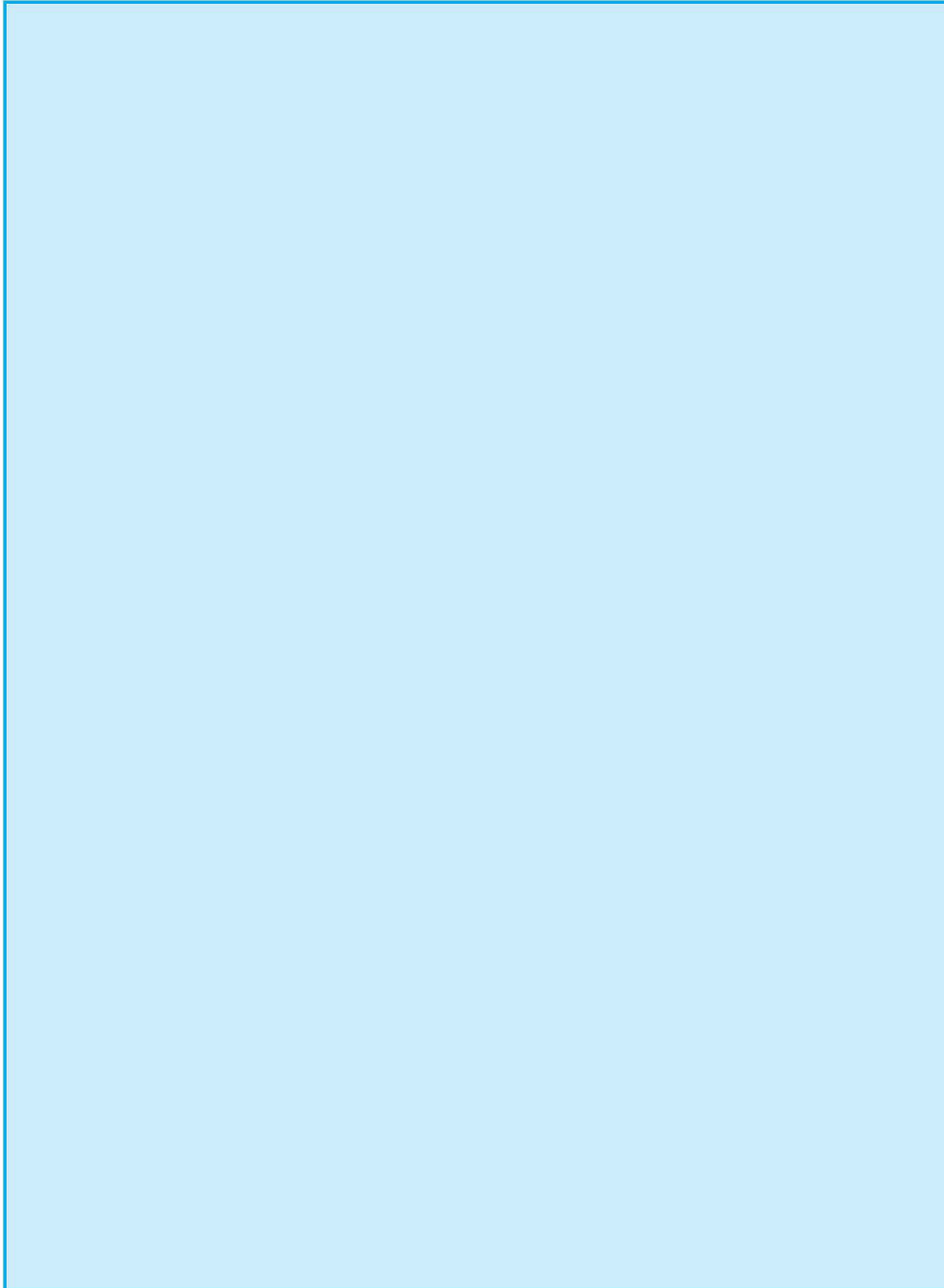
To learn more about this survey and to access reports from earlier collections, see the National Teacher and Principal Survey (NTPS) website at: <http://nces.ed.gov/surveys/ntps>

Additional data collected by the National Center for Education Statistics (NCES) on a variety of topics in elementary, secondary, postsecondary, and international education are available from NCES' website at: <http://nces.ed.gov>

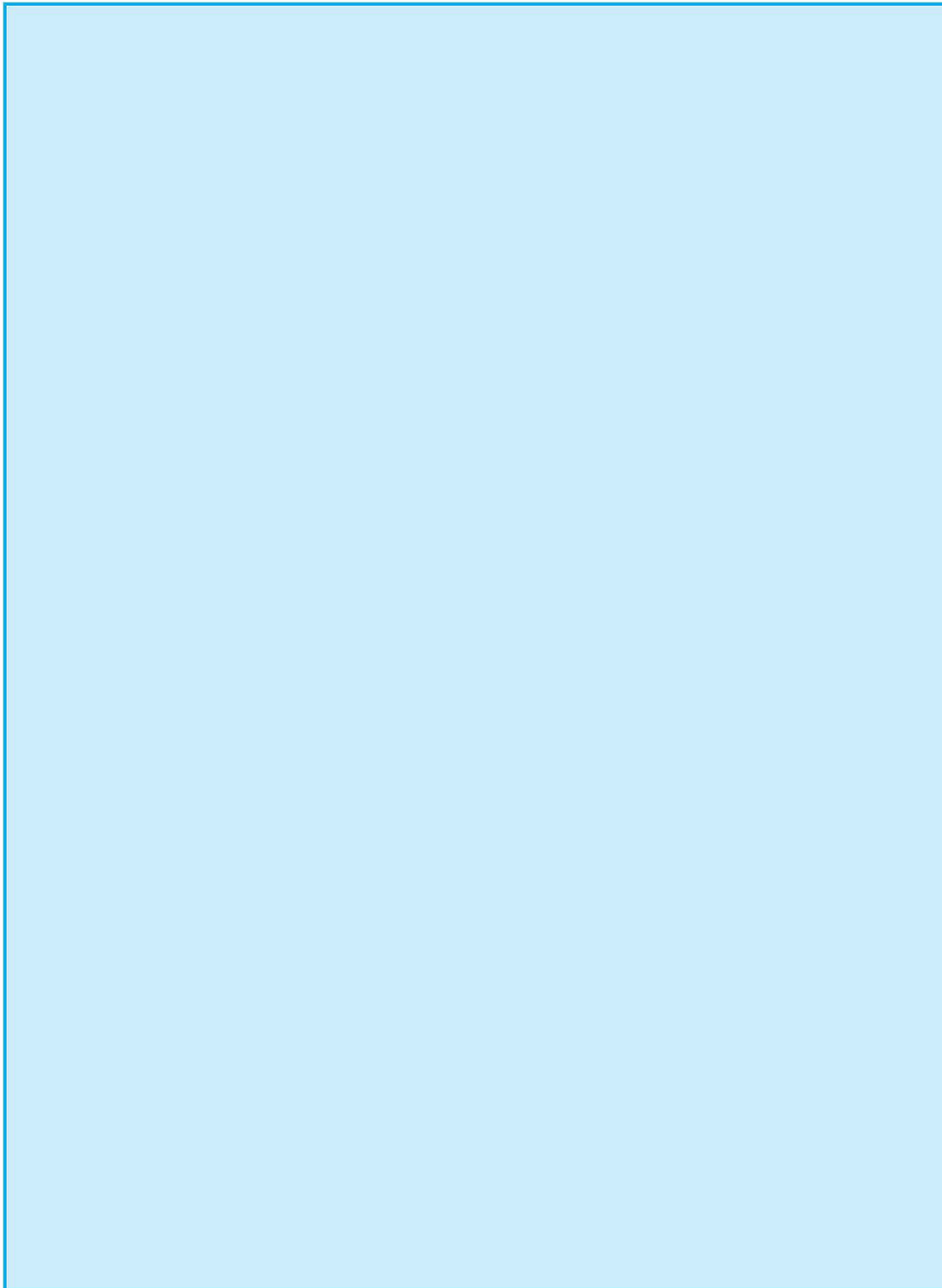
For additional data collected by various Federal agencies, including the Department of Education, visit the Federal Statistics clearinghouse at: <http://fedstats.sites.usa.gov>



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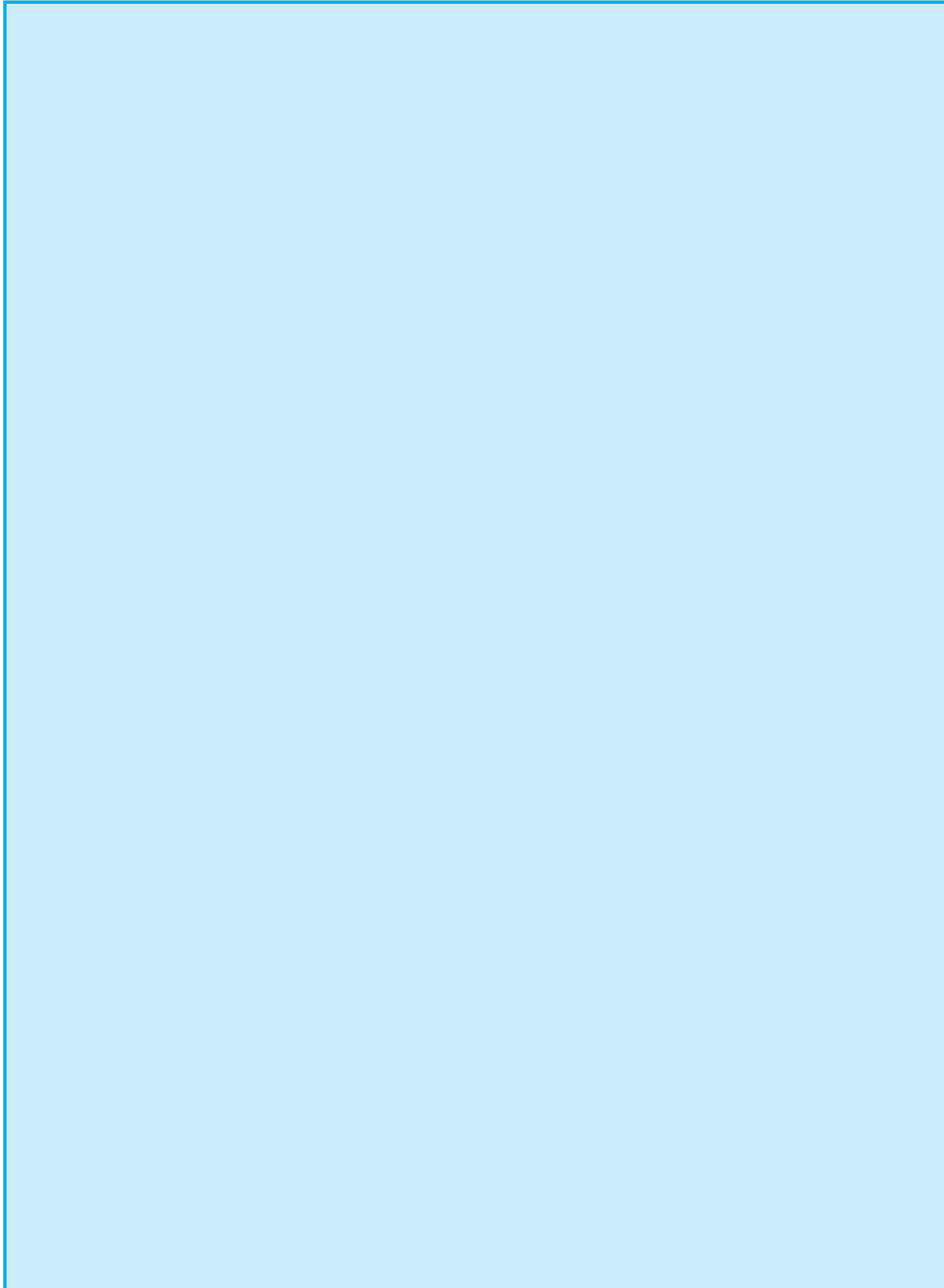


FORM NTPS-2



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Appendix C. PFS Created Variables

Variables from the Principal Follow-up Survey (PFS) are based on the survey variable, FINAL_STATUS. These variables have been added to the data files to facilitate data analysis.

These created variables are listed below, along with a brief description. The code used to produce the variables is also detailed. For information on the frequency distributions of these created variables, please see the *User's Manual for the 2015–16 National Teacher and Principal Survey Volume 3: Public School Principal Data File, updated to include the 2016–17 Principal Follow-up Survey* (Goldring et al. 2018).

For information on the created variables from the 2015–16 NTPS principal data files, please see the *Documentation for the 2015–16 National Teacher and Principal Survey* (Cox et al. 2022).

Variable name	Description and specifications
ISR_PF	<p>Interview status of the 2016–17 PFS.</p> <p>Categories include:</p> <p>1 = interview; and</p> <p>2 = noninterview;</p> <p>Coded as follows:</p> <p>if FINAL_STATUS in ('20', '21', '22', '23', '24', '25', '38', '26', '27', '28', '29', '30', '31', '32', '33', '34', '35', '36', '37', '39', '40', '41', '50') then ISR_PF=1 ;</p> <p>else if FINAL_STATUS in ('02', '04', '05', '06', '07', '08', '09', '10', '12', '13', '96', '99') then ISR_PF=2 ;</p> <p>else if FINAL_STATUS = '03' then ISR_PF = 3;</p>
STATUS_P3	<p>Respondents to the 2016–17 PFS are classified as either stayers, non-stayers, other, or missing. Stayers are 2015–16 NTPS principals who were principals in the same schools in the 2016–17 PFS. Non- stayers are 2015–16 NTPS principals who were no longer principals in the same school in school year 2016–17. Other includes schools that reported there was no principal at the school the previous year, or that their NTPS principal is now deceased. Missing includes any non-interviews.</p> <p>Categories include:</p> <p>1 = stayer;</p> <p>2 = non-stayer; and</p> <p>3 = other.</p> <p>-9 = missing.</p> <p>Coded as follows:</p> <p>If FINAL_STATUS in ('20', '34') then STATUS_P3 = 1;</p> <p>else if FINAL_STATUS in ('21', '22', '23', '24', '25', '38', '26', '27', '28', '29', '30', '31', '32', '33', '36', '37', '39', '40', '41') then STATUS_P3 = 2;</p> <p>else if FINAL_STATUS in ('50') then STATUS_P3 = 3;</p> <p>else STATUS_P3 = -9;</p>

STATUS_P4

Respondents to the 2016–17 PFS are classified as stayers, movers, leavers, other or missing. Stayers are 2015–16 NTPS principals who were principals in the same schools in the 2016–17 PFS. Movers are 2015–16 NTPS principals who were principals in different schools in the 2016–17 PFS. Leavers are 2015–16 NTPS principals who were no longer principals in the 2012–13 school year. “Other” includes principals who had left their 2015–16 school, but for whom it was not possible to determine a mover or leaver status in 2016–17, or are deceased. Missing includes any non-interviews. Categories include:

- 1 = stayer;
- 2 = mover;
- 3 = leaver; and
- 4 = other.
- 9= missing.

Coded as follows:

```
If FINAL_STATUS in ('20', '34') then STATUS_P4 = 1;  
else if FINAL_STATUS in ('21', '22', '23', '24', '25', '38') then STATUS_P4= 2;  
else if FINAL_STATUS in ('26', '27', '28', '29', '30', '31', '32', '33', '39', '40') then  
STATUS_P4= 3;  
else if FINAL_STATUS in ('35', '36', '37', '41', '50') then STATUS_P4=4;  
else STATUS_P4 = -9;
```