## 1.1 Brief Overview of Purpose and Description of the Study

[*The purpose for providing an overview of the purpose and description of the study is to provide DRB members with a quick understanding of the study. This has implications regarding SDC decisions. Often, the overview can be found on the IES website that encapsulates each IES study.*

*The overview should include contractors and subcontractors working on the study; all of the assurances to protect respondent privacy is required of all entities working on the study. The overview should also mention the intended audience for the study, timeline, demonstration of understanding of security risks, a discussion of sample design and weighting procedures, and data collection and data cleaning procedures. The procedures used for passing data between contractors will need to be described. The following is an example of introductory paragraphs that may be useful to use or follow*.]

This document presents the [survey name] disclosure analysis plan (DAP) for review by the Institute for Education Sciences’ (IES) Disclosure Review Board (DRB). The purpose of [survey name] is to… [*provide brief statements on the purpose*]. The DAP is written for the dissemination of… [*list dissemination products: RUF, PUF, etc*]. This introduction provides an overview of the [survey name] data collection and dissemination plans, an explanation of the general approach to statistical disclosure control for the [survey name] and a general timeline.

[*Provide a brief overview of the sample design and data collection, an overview of data dissemination plans, and a list of challenges and how each will be addressed. An example of a challenge and how to address the challenge is below*].

The main challenge for [survey name] is balancing the needs of data users (maintaining data validity and integrity with limited data distortion) with the need to comply with both federal confidentiality laws[[1]](#footnote-1) and NCES statistical standards regarding confidentiality. To address this challenge, we will conduct a statistical disclosure risk analysis that follows the NCES standards. This overview section covers an understanding of security risk, sample design and weighting procedures for [survey name] and source data files respectively. The overview concludes with a description of the data collection and data cleaning procedures.

In general, the statistical disclosure control (SDC) process includes the following steps:

* Conduct an initial risk analysis;
* Perform controlled random data swapping; and
* Measure the impact on data utility.

[*If RUF is to be disseminated: Data swapping and signed affidavits of non-disclosure from the restricted data users will minimize any remaining threat of individuals being identified. With these inherent risk protections in the [survey name] data, we recommend providing detailed swapped data to restricted-use users*.]

Section 2 provides plans and results from an initial risk analysis. We also provide in this plan a set of variables that may need to be validated through the initial risk analysis as “candidates” for swapping. The final list of swapping variables may be modified from this plan after the initial risk analysis and after consultation with the Disclosure Review Board (DRB) chair. Section 3 provides plans for data coarsening and data swapping. Lastly, Section 4 provides information about the final file creation, the data dissemination plan, and data analysis and reporting.

1. Among other legislation passed since the Privacy Act of 1974, the Education Science Reform Act of 2002 explicitly requires NCES to protect the confidentiality of all those responding to NCES sponsored surveys. For Federal agencies, Title V of the E-Government Act of 2002 is the Confidential Information Protection and Statistical Efficiency Act (CIPSEA). CIPSEA protects from improper disclosure any data collected under a confidentiality pledge that are intended for statistical purposes. The concern of data users is that the integrity of the data may be compromised in order to make the data safe for release by applying statistical disclosure control (SDC) treatments. [↑](#footnote-ref-1)