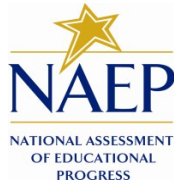


NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS



Volume I SUPPORTING STATEMENT FOR WAVE 1 SUBMITTAL FOR 2011

***(PART OF 2011–2013 SYSTEM CLEARANCE PROPOSAL
OMB# 1850-0790)***

Student Grade 4 Core Questions

Student Grade 4 Reading Questions

Student Grade 4 Mathematics Questions

Teacher Grade 4 Questions (Background, Education, and Training (BET), Reading, Mathematics)

School Grade 4 Questions (School Characteristics and Policies (SCP), Reading, Mathematics, Charter School)

Student Grade 8 Core Questions

Student Grade 8 Reading Questions

Student Grade 8 Mathematics Questions

Student Grade 8 Science Questions

Teacher Grade 8 Reading Questions (Background, Education, and Training (BET), Classroom Organization and Instruction (COI) Reading)

Teacher Grade 8 Mathematics Questions (Background, Education, and Training (BET), Classroom Organization and Instruction (COI) Mathematics)

Teacher Grade 8 Science Questions (Background, Education, and Training (BET), Classroom Organization and Instruction (COI) Science)

School Grade 8 Questions (School Characteristics and Policies (SCP), Reading, Mathematics, Science, Charter School)

Student Grade 12 Core Questions

Student Grade 12 Economics Questions

March 31, 2010

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1. Explanation and Burden Information for This Submittal

This document contains supplemental information pertaining to the 2011–2013 National Assessment of Educational Progress (NAEP) System Clearance proposal. The system clearance package was submitted in November 2009 and approved in April 2010 (OMB #1850-0790 v.26). The terms of clearance for OMB approvals state that each subsequent submittal activity under the system clearance is to be submitted to OMB with a 60-day federal register notice waiver.

This submittal contains burden information and the background questionnaires (also referred to as noncognitive questions) for the following components of the 2011 NAEP assessments:

Grade 4

- Student Grade 4 Core Questions
- Student Grade 4 Reading Questions
- Student Grade 4 Mathematics Questions
- Teacher Grade 4 Questions: Background, Education, and Training (BET); Reading; Mathematics
- School Grade 4 Questions: School Characteristics and Policies (SCP); Reading; Mathematics; Charter School

Grade 8

- Student Grade 8 Core Questions
- Student Grade 8 Reading Questions
- Student Grade 8 Mathematics Questions
- Student Grade 8 Science Questions
- Teacher Grade 8 Reading Questions: Background, Education, and Training (BET); Classroom Organization and Instruction (COI) Reading
- Teacher Grade 8 Mathematics Questions: Background, Education, and Training (BET); Classroom Organization and Instruction (COI) Mathematics
- Teacher Grade 8 Science Questions: Background, Education, and Training (BET); Classroom Organization and Instruction (COI) Science
- School Grade 8 Questions: School Characteristics and Policies (SCP); Reading; Mathematics; Science; Charter School

Grade 12

- Student Grade 12 Core Questions
- Student Grade 12 Economics Questions

These specific questionnaires are the initial group (Wave 1) of questionnaires submitted for approval for usage in 2011. A second group of 2011 questionnaires (Wave 2) will be submitted later this year. Wave 2 will contain student, teacher, and school questionnaires for the writing assessment; student, teacher, and school questions for the National Indian Education Study (NIES); special study questions; and students with disabilities (SD) and English language learner (ELL) worksheets.

2. 2011 Wave 1 Burden Information

The Wave 1 submittal contains the grades 4, 8, and 12 core questions; the reading, mathematics, science, and economics student questions; the grade 4 teacher and school questions; and the teacher and school grade 8 reading, mathematics, and science questions. Some special studies will also be administered in 2011 and their background questions will be included in Wave 2. Final decisions regarding the 2011 special studies are not available at this time, but will be included in the Wave 2 submittal.

The Wave 1 burden information is listed by grade (see chart on page 6) and includes the following categories of questions:

Students - Students in 4th, 8th and 12th grades complete assessment booklets that commonly contain two 25-minute cognitive blocks, followed by two background (noncognitive) question sections, which require a total of 15 minutes to complete. The first background question block contains core questions, many of which are related to demographic information. The second background block contains subject-specific questions.

Teachers - The teachers of 4th- and 8th-grade students participating in NAEP will be asked to complete questions about their teaching background, education, training, and classroom organization and instruction. Fourth-grade teacher burden is estimated to be 30 minutes while 8th- and 12th-grade teacher burden is 20 minutes. Fourth-grade teachers often have multiple subject-specific sections to complete, which results in the additional burden estimate.

Principals/Administrators - The school administrators in the sampled schools will be asked to complete a questionnaire. The school core questions are designed to measure school characteristics and policies that research has shown are highly correlated with student achievement. In addition, there is a section with subject-specific questions focusing on

curriculum and instructional services. Finally, there is a section with charter school questions, to gather information for schools which identify themselves as charter schools.

In addition to the questionnaires, burden information is provided for the following:

E-Filing and Pre-Assessment Visit - Survey sample information is collected from schools in the form of lists of potential students who may participate in NAEP. This sample information can be gathered manually or electronically at the school, district, or state level. If done at the school or district level, some burden will be incurred by school personnel. The Pre-Assessment Visit is the opportunity for the NCES contractor field staff to meet with the school personnel to review procedures and logistics for the upcoming assessment. The pre-assessment visit requires one hour and the e-filing burden is also estimated at an hour. However, the e-filing process is only done in a subset of schools (approximately 38% in recent years), which is taken into account when computing the e-filing burden.

The total combined burdens for the Wave 1 materials are:

Respondent Category	Number of Respondents	Number of Hours of Burden
Student	897,540	224,386
Teacher	62,884	26,563
School	15,741	29,583
Totals	976,165	280,532

See the following tables for a summary of Wave 1 burden estimates.

Wave 1 Questions - Single Survey Burden Times

Grade 4	
Student Grade 4 Core + Reading Questions	15 minutes
Student Grade 4 Core + Mathematics Questions	15 minutes
Teacher Grade 4 Questions	30 minutes
School Grade 4 Questions	30 minutes
Grade 8	
Student Grade 8 Core + Reading Questions	15 minutes
Student Grade 8 Core + Mathematics Questions	15 minutes
Student Grade 8 Core + Science Questions	15 minutes
Teacher Grade 8 Reading Questions	20 minutes
Teacher Grade 8 Mathematics Questions	20 minutes
Teacher Grade 8 Science Questions	20 minutes
School Grade 8 Questions	30 minutes
Grade 12	
Student Grade 12 Core + Economics Questions	15 minutes

Estimated Burden for NAEP 2011 Assessments Contained in This Submittal (Wave 1)
By Grade Level

Components	# of Students	Student Burden (in hours)	# of Teachers	Teacher Burden (in hours)	# of Schools	School Burden* (in hours)	Total Burden (in hours)
Grade 4							
Reading, Mathematics**	406,670	101,668	33,608	16,804	8,402	15,796	134,268
Grade 8							
Reading, Mathematics, Science**	490,370	122,593	29,276	9,759	7,319	13,760	146,111
Grade 12							
Economics (pilot)**,#	500	125			20	28	153
Grand Totals	897,540	224,386	62,884	26,563	15,741	29,583	280,532

Total Respondents 976,165

Total Burden 280,532

* School Burden is a combination of time to complete the school questionnaire and time for the pre-assessment visit and e-filing.

** NOTE- Student core questions are separate parts for the OMB submission, but their burden is not computed separately. All students take core questions which are part of the overall 15 minute background question burden.

There are no teacher or school questionnaires associated with the Economics pilot, only pre-assessment and e-filing activities.

Due to rounding, some totals may differ slightly from sum of subtotals.

3. Overview of NAEP 2011 Assessments

The following broad overview of the 2011 NAEP assessments was included as part of the 2011–2013 System Clearance submittal. The National Assessment Governing Board (the Governing Board) determines NAEP policy and assessment schedule, and future Governing Board decisions may result in changes to some aspects of an assessment (e.g., which subjects are assessed in which years). However, the overall methodology and assessment process will remain consistent. In the 2011 assessment year, questions will be administered to students at grades 4, 8, and 12; to teachers at grades 4 and 8; and to school administrators at grades 4, 8, and 12.

The 2011 data collection activities described in this Wave 1 submission consist of the following:

- National, state, and urban district assessment in reading at grades 4 and 8;
- National, state, and urban district assessment in mathematics at grades 4 and 8;
- National and state in science at grade 8;
- Pilot assessments for 2013 reading and mathematics at grades 4 and 8; and
- Pilot assessment for 2012 economics at grade 12.

Committees that helped define the cognitive and background questions are listed in Appendix A.

4. How, By Whom, and For What Purpose the Data Will Be Used

The following broad overview of the use of the data from the 2011 NAEP assessments is abbreviated from the 2011–2013 System Clearance submittal. The purpose of NAEP is to collect and report assessment data on student achievement in the subject areas assessed for use in monitoring education progress. In addition to reporting overall results of student performance and achievement, NAEP also reports student performance results for various subgroups of students and on various educational factors. Guidance for what is asked in the questions is set by the Governing Board. NCES is responsible for developing the questions and for selecting the final set of questions. The questions are designed to (a) provide the information for disaggregating data according to categories specified in the legislation, (b) provide contextual information that is subject specific (e.g. reading, mathematics) and has an impact and known relationship to student achievement, and (c) provide policy-relevant information specified by the Governing Board.

In the original request to the Office of Management and Budget (OMB) for system clearance, NCES requested approval of the data-gathering instruments to be used in the 2011–2013 national and state assessments. This submittal applies to the first set of questions containing the questions for the students, teachers, and school administrators that will be submitted as part of the 2011 assessments. A second submittal, with the remainder of the questions for the 2011 assessments, will be submitted in approximately two months. An expanded description of the purposes of the data is provided in the System Clearance submittal.

5. Estimates of Costs to the Federal Government

Administration Cost Estimates

The following estimates apply to the 2011 administration costs:

- \$8.1 million for the printing, packaging, and distribution phases of the administrations.
- \$20.5 million for the cost of the 2011 field supervisors and assessment administrators to go into schools to administer the assessment, including travel expenses.
- \$470,000 for web support and maintenance related to the 2011 assessments.

Given that Wave 1 (this first submittal of 2011 questions which includes core, reading, mathematics, and science-related questions) and Wave 2 (including writing, NIES, special studies, and SD- and ELL-related worksheets) are in the field at the same time, the costs are broken out across the two waves in 2011 as follows:

- the bulk of the printing, packaging, and distribution costs occur in Wave 1, which comprises 80–90% of the printing volume;
- the field supervision and assessment costs are also spread over the entire administration, with the bulk associated with the Wave 1 materials; and
- for web support and maintenance, the majority of the costs are associated with the computer-based writing assessment, which will be included in the Wave 2 material.

Thus, the approximate breakdown of the total \$29.07 million for 2011 is allocated as follows:

- Wave 1 – \$23.80 million
- Wave 2 – \$5.27 million

6. Information Pertaining to the 2011 Assessments:

Student Questionnaires

Core

The core questions for 2011 are comprised of a subset of prior core questions.

Reading

The reading background questions will be a subset of the questions administered in the 2009 operational assessments. New frameworks for reading were implemented in 2009 and the questions will continue the trend for 2011. The reading pilot assessments administered in 2011 will also use the same 2009 reading background questions.

Mathematics

Like reading, the mathematics background questions will be a subset of the questions administered in the 2009 operational assessments. Also, the 2011 pilot mathematics assessments will use the same 2009 mathematics background questions.

Science

The science background questions will be the same as the questions administered in the 2009 operational assessment. Note that no pilot assessment will be given in science in 2011.

Economics

The economics background questions (pilot assessment only) will be a subset of the questions administered in the 2006 assessment.

Teacher Questionnaires

Teachers of grades 4 and 8 students participating in the main NAEP assessments are each administered a questionnaire. No teacher questionnaire will be administered at grade 12. At grade 4, a single teacher questionnaire will be administered across all subjects assessed. At grade 8, teacher questionnaires will be administered for each subject-specific area. Teacher questionnaires are also available online for completion by teachers, if desired. Historically, approximately 10% of teachers complete the questionnaire online.

The NAEP 2011 teacher questionnaires are composed of multiple parts: background, education, and training (BET); and one or more subject-specific classroom organization and instruction (COI) components. Given the structure of elementary school, the grade 4 teacher questionnaire contains multiple subjects in the subject-specific section. The grade 8 teacher questionnaires focus on a single subject, resulting in multiple forms of questionnaires.

The following table depicts the layout for the 2011 teacher questionnaires included in the Wave 1 submittal:

Teacher Questionnaires for the NAEP 2011 Assessments

Grade	Type	Section 1	Section 2	Section 3
4	Reading, Mathematics	BET	COI (Reading)	COI (Mathematics)
8	Reading	BET	COI (Reading)	
8	Mathematics	BET	COI (Mathematics)	
8	Science	BET	COI (Science)	

BET – Background, education, and training

COI – Classroom organization and instruction

School Questionnaires

A single school questionnaire will be administered at each grade. Each grade-specific questionnaire will include a section on school characteristics and policies (SCP), a section for each subject being assessed at that grade (at grade 12, pilot economics will not be included), and a section with charter school questions as the last section in the school questionnaire. Note that the charter school section is only completed if the school is a charter school. School questionnaires, similar to teacher questionnaires, are also offered in an online version. Historically, approximately 10% of school questionnaires are completed online.

The following table depicts the layout for the 2011 school questionnaires included in the Wave 1 submittal:

School Questionnaires for the NAEP 2011 Assessments

Grade	Section 1	Section 2	Section 3	Section 4	Section 4	Section 5
4	SCP	Reading	Mathematics	Charter school		
8	SCP	Reading	Mathematics	Science	Writing*	Charter school

SCP – School characteristics and policies

* Writing will be included in Wave 2 of the 2011 NAEP submission.

APPENDIX A: Committee Lists

NAEP Background Variable Committee

Name	Affiliation
Patricia Alexander	University of Maryland
Arthur Applebee	University at Albany
Claudia Buchman	Ohio State University
Lizanne Destefano	University of Illinois
Robert Hauser	University of Wisconsin-Madison
Kathleen Heid	Penn State University
Henry Levin	Columbia University
Peter Levine	University of Maryland
Linda Levstik	University of Kentucky
Samuel Lucas	University of California-Berkeley
Senta Raizen	West-Ed
Andrew Sum	Northeastern University
William Walstad	University of Nebraska-Lincoln

NAEP Reading Committee

Name	Affiliation
Patricia Alexander	University of Maryland
Christine Carriere	Carl Von Linne School
Mary Beth Curtis	Lesley University
Patsy Dunton	Maine Department of Education
Arzie Galvez	Office of Curriculum, Instruction and School Support, Los Angeles, CA
Evan Lefsky	Lake County Schools
Pamela Mason	Harvard Graduate School of Education
Joe McGonegal	Catholic Memorial High School
Margaret McKeown	University of Pittsburgh
Katie Oliver	Morgan Park Middle School
Timothy Shanahan	University of Illinois
Alfred Tatum	University of Illinois at Chicago
Lisa White	Plymouth Public Schools
Junko Yokota	National-Louis University

NAEP Mathematics Committee

Name	Affiliation
David J. Brancamp	Nevada Department of Education
Sareeta Carter	Benjamin Banneker Academic High School
Herb Clemens	Ohio State University
Marcia Cole	District of Columbia Public Schools
Carl Cowen	Indiana University-Purdue University, Indianapolis
Bradford R. Findell	Ohio Department of Education
Diana Rivera Garcia	Departamento De Educación Puerto Rico
Anne Gonzales	South Gate Middle School
Kathleen Heid	Penn State University
Judy Kinley	Morris Elementary School
Carole Phillip	Alice Deal Middle School
Penny Roberts	Greenville Elementary School
Daren Starnes	The Lawrenceville School
JT Sutcliffe	St. Mark's School of Texas
Elizabeth Sweeney	Boston Public Schools

NAEP Science Committee

Name	Affiliation
Alicia Cristina Alonzo	Michigan State University
Charles W. Anderson	Michigan State University
Susan Craft	Hanahan High School
George Deboer	American Association for the Advancement of Science
Alex Decaria	Millersville University
Ibari Igwe	Paul Public Charter School
Crystal Lovell	Lawrence Township Public Schools
Ellen Mingione	Delaware Department of Education
Amy Pearlmutter	Littlebrook Elementary School
Senta Raizen	West-Ed
Cary Sneider	Portland State University
Mary Thandi Buthelezi	Wheaton College
David White	Vermont Department of Education
Gerald Wheeler	National Science Teacher Association

NAEP Writing Committee

Name	Affiliation
Arthur Applebee	University at Albany, SUNY
Diane August	Center for Applied Linguistics
Margretta Browne	Montgomery County Public Schools
Elyse Eidman-Aadahl	University of California
Nikki Elliot-Schuman	Office of Superintendent of Public Instruction, WA
Rayna Goldfarb	Abraham Lincoln High School
Carol Jago	California Reading and Literature Project, UCLA
Charles Macarthur	University of Delaware
Michael McCloskey	Johns Hopkins University
Norma Mota-Altman	San Gabriel High School
Sandra Murphy	University of California Davis
Drew Sterner	Tamanend Middle School
Victoria Young	Texas Education Agency

NAEP Economics Committee

Name	Affiliation
Kris Bertelsen	St. Charles High School
Stephen Buckles	Vanderbilt University
Steven L. Cobb	Center for Economic Education, Denton, TX
Jaime Festa-Daigle	Lake Havasu High School
Julie Heath	University of Memphis
Richard Macdonald	St. Cloud State University
Andrea Morgan	Oregon Department of Education
Kevin Smith	Renaissance High School
William Walstad	University of Nebraska-Lincoln