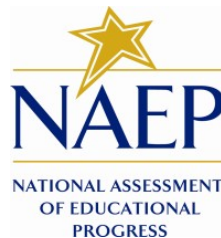


NATIONAL CENTER FOR EDUCATION STATISTICS (NCES)

NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS

WAVE 1 SUBMITTAL FOR 2013 VOLUME I SUPPORTING STATEMENT

OMB# 1850-0790 v.34



Student Grade 4 Core + Reading Questions
Student Grade 4 Core + Mathematics Questions

Student Grade 8 Core + Reading Questions
Student Grade 8 Core + Mathematics Questions

Student Grade 12 Core Questions

March 15, 2012

Contents

1. Explanation for This Submittal	1
2. Overview of Wave 1 NAEP 2013 Assessments	2
3. Information Pertaining to the 2013 Questionnaires in This Submittal	2
4. 2013 Wave 1 Burden Information	2
Table 1: Total Burden for Wave 1	2
Table 2: Wave 1 Questionnaires - Per Respondent Burden Time	4
Table 3: Estimated Burden for NAEP 2013 Questionnaires Contained in This Submittal (Wave 1)	4
5. How, by Whom, and for What Purpose the Data Will Be Used	4
6. Estimates of Costs to the Federal Government	5
Table 4: Administration Cost Estimates	5
Appendix A: Committee Lists	6
Appendix B: Sample Parent Notification Letter	9
Appendix C: Sample Description of School Coordinator Responsibilities	10

1. Explanation for This Submittal

This document contains supplemental information pertaining to the 2011–2013 National Assessment of Educational Progress (NAEP) system clearance proposal. NAEP is administered by the National Center for Education Statistics (NCES) in the Institute for Education Sciences of the U.S. Department of Education. The National Assessment Governing Board (henceforth referred to as the Governing Board) sets policy for NAEP and determines the content framework for each assessment. 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 Wave 1 submittal contains burden information and the background questions (also referred to as noncognitive questions) for the following components of the 2013 NAEP assessments:

Grade 4

Student Grade 4 Core¹ + Reading Questions

Student Grade 4 Core + Mathematics Questions

Grade 8

Student Grade 8 Core + Reading Questions

Student Grade 8 Core + Mathematics Questions

Grade 12

Student Grade 12 Core Questions

These specific questions are the initial group (Wave 1) of questions submitted for approval for usage in 2013. The grades 4 and 8 core, reading, and mathematics background questions in Wave 1 will be used in over 80 percent of the 2013 main NAEP student assessments. A second (and possibly third) group of questions (Waves 2 and 3) will be submitted as part of the overall 2013 OMB submission. These waves will contain the remainder of the student, teacher, and school survey questions associated with the 2013 assessments. Wave 2 will also include the students with disabilities (SD) and English language learner (ELL) worksheets that will be administered as part of 2013 main NAEP assessments.

The nature of NAEP is that burden alternates from a relatively low burden in national-level administration years to a substantial burden increase in state-level administration years that include one or more assessments that support the reporting of results by state and certain urban districts. In 2013, NAEP will conduct national-level, state, and district-level assessments, so the estimated burden is much higher than in 2012 NAEP.

¹ NCES collects student question data that are required by law (20 U.S.C. § 9622; i.e., race, ethnicity, and socioeconomic status) and provide a context for reporting student performance. These questions are referred to as core questions.
2013 Wave 1 Supporting Statement

2. Overview of Wave 1 NAEP 2013 Assessments

Much of the following broad overview of the 2013 NAEP assessments was included as part of the 2011–2013 system clearance submittal. 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 remains consistent. The national NAEP assessments contain two kinds of questions: *cognitive* or assessment questions that measure student knowledge of an academic subject, and *background* or survey questions that gather information on demographic as well as classroom instructional procedures. The Governing Board is responsible for selecting and approving all of NAEP’s background questions, as well as the cognitive items.

These NAEP assessments are currently supported by an alliance of organizations under contract with NCES, U.S. Department of Education. The main NAEP assessment reports current achievement levels and trends in student achievement at grades 4, 8, and 12 for the nation and, for certain assessments, states and select urban districts. These assessments follow subject-area [frameworks](#) developed by the Governing Board and use the latest advances in assessment methodology. The subject-area frameworks evolve to match instructional practices.

3. Information Pertaining to the 2013 Questionnaires in This Submittal

Student Questionnaires

For this submittal, the 2013 core sections are comprised of existing trend questions and questions that were previously piloted. The grades 4 and 8 operational reading and mathematics subject-specific questions are existing trend questions. The grade 12 subject-specific questions (in both reading and mathematics) are not yet complete and will be part of the Wave 2 submittal.

Committees that helped define the cognitive and background questions pertaining to the Wave 1 subjects are listed in appendix A.

4. 2013 Wave 1 Burden Information

The total combined burden for the Wave 1 materials is as follows:

Table 1: Total Burden for Wave 1

Respondent Category	Number of Respondents	Total Burden Hours
Student	772,600	180,850
School pre-assessment visit and E-filing	16,750	41,038
Total	789,350	221,888

The per respondent and overall burden times are included in tables 2 and 3 and include the following categories:

Students - Students in fourth, eighth, and twelfth grades complete assessment booklets that commonly contain two 25-minute cognitive blocks; these are followed by two background question sections that 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. For grade 12, this submittal contains only the core questions; the grade 12 reading and mathematics background questions will be part of Wave 2. Thus, only 5 minutes of burden time is included for the grade 12 students here.

Appendix B includes a sample parental notification letter regarding NAEP. The letter will be adapted for each grade/subject combination and the school principal may edit it. However, the information regarding confidentiality and the appropriate law reference will remain unchanged.

Schools: E-filing – 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 (e-filing) at the school, district, or state level. If done at the school or district level, some burden will be incurred by school or district personnel and the e-filing burden is estimated at one hour per school. For 2011, the most recent large assessment year for NAEP, approximately 45 percent of schools and districts employed the e-filing process. Thus, we used 45 percent of total schools for e-filing burden calculation purposes.

Schools: Pre-Assessment Activities – Prior to the assessment, school personnel must prepare for the assessment. Part of the preparation is the pre-assessment visit, which is the opportunity for the NCES contractor field staff to meet with the school personnel to review procedures and logistics for the upcoming assessment. In addition, miscellaneous activities related to information gathering for the pre-assessment visit and communication with the teachers and students are required. Both the pre-assessment visit and the miscellaneous activities are estimated to require one hour each of school personnel time. Thus, the total burden time for pre-assessment related activities is two hours. A sample brochure communication from the NAEP state coordinators to the participating schools describing these activities is included as appendix C. This brochure outlines what the school coordinator will be

responsible for, including a description of e-filing and the pre-assessment visit. The information in the brochure will be updated for the 2013 assessment year and modified for each appropriate grade, subject area, mode of assessment, and timeline combination.

Burden Change – The nature of NAEP is that burden alternates from a relatively low burden in national-level only administration years to a substantial burden increase in state-level administration years that include one or more assessments that support state-by-state and certain urban districts reporting. In state/district assessment years, NAEP samples approximate 1,000,000 students, while in national-only assessment years, NAEP samples approximate 100,000 students. Also, the clearance for NAEP collections is usually split into two to three submissions, Wave 1, Wave 2, and sometimes Wave 3. This is the first of the NAEP 2013 submissions, Wave 1, which presents a portion of all of materials and burden hours estimated for NAEP 2013. Wave 2, and potentially Wave 3, will present the remaining NAEP 2013 materials and burden.

Table 2: Wave 1 Questionnaires - Per Respondent Burden Time

Respondent Category	Time per Respondent
Grade 4	
Student Core + Reading	15 minutes
Student Core + Mathematics	15 minutes
Grade 8	
Student Core + Reading	15 minutes
Student Core + Mathematics	15 minutes
Grade 12	
Student Core	5 minutes

Table 3: Estimated Burden for NAEP 2013 Questionnaires Contained in This Submittal (Wave 1)

Grade/Assessment	# of Students	Student Burden (in hours)	# of Schools	School Burden* (in hours)	Total Burden (in hours)
Grade 4 Core + Reading and Mathematics	349,400	87,350	8,300	20,335	107,685
Grade 8 Core + Reading and Mathematics	349,400	87,350	6,800	16,660	104,010
Grade 12 Core	73,800	6,150	1,650	4,043	10,193
Totals	772,600	180,850	16,750	41,038	221,888

Total Respondents: 789,350

Total Burden: 221,888

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

* School burden represents time for the pre-assessment planning & visits and e-filing.

5. How, by Whom, and for What Purpose the Data Will Be Used

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,² (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 OMB for system clearance, NCES requested approval of the data-gathering instruments to be used in the 2011–2013 national and state assessments. An expanded description of the purposes of the data is provided in the system clearance submittal.

6. Estimates of Costs to the Federal Government

Table 4 provides estimates for the Wave 1 portion of the 2013 administrations.

² Education Sciences Reform Act of 2002 (ESRA), National Assessment of Educational Progress (20 USC § 9622).
2013 Wave 1 Supporting Statement

Table 4: Administration Cost Estimates

Activity	Provider	Estimated Costs
Printing, packaging, and distribution phases of the administration including: <ul style="list-style-type: none">• prepare and package the assessment and all auxiliary materials• distribute assessment booklets and materials to the test administrators for each school	Pearson (the Materials, Distribution, Processing and Scoring (MDPS) contractor)	\$8.5 million
Field administration including: <ul style="list-style-type: none">• administration of assessments• pre-assessment contact/visits to school• data collection from the field	Westat (the Data Collection contractor and NAEP State Service Center (NSSC) contractor)	\$17 million
Totals		\$25.5 million

Appendix A: Committee Lists

NAEP Background Variable Committee

Name	Affiliation
Patricia Alexander	University of Maryland
Arthur Applebee	State University of New York 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	Tufts University
Linda Levstik	University of Kentucky
Samuel Lucas	University of California-Berkeley
Senta Raizen	West-Ed, Washington, DC
Andrew Sum	Northeastern University
William Walstad	University of Nebraska-Lincoln

NAEP Mathematics Committee

Name	Affiliation
Sareeta Carter	Benjamin Banneker Academic High School, Washington, DC
Herb Clemens	Ohio State University
Marcia Cole	District of Columbia Public Schools, Washington, DC
Carl Cowen	Indiana University-Purdue University, Indianapolis, IN
Bradford R. Findell	Ohio Department of Education
Diana Rivera Garcia	Departamento de Educación Puerto Rico
Anne Gonzales	South Gate Middle School, South Gate, CA
Julie Guthrie	Texas Education Agency, Austin, TX
Kathleen Heid	Penn State University
Russ Keglovitis	Nevada Department of Education, Carson City, NV
Judy Kinley	Morris Elementary School, Des Moines, IA
Carole Phillip	Alice Deal Middle School, Washington, DC
Penny Roberts	Greenville Elementary School, Greenville, KY
Daren Starnes	The Lawrenceville School, Lawrenceville, NJ
JT Sutcliffe	St. Mark's School of Texas, Dallas, TX

NAEP Reading Committee

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

Appendix B: Parent/Guardian Notification Letter

NAEP (NAEP Assessment Year) PARENT/GUARDIAN NOTIFICATION LETTER

(School Letterhead)

(Insert Date Here)

Dear Parent or Guardian:

We are pleased to tell you that (school name) has been selected to represent schools across our state and the nation by participating in the National Assessment of Educational Progress (NAEP). NAEP is given by the National Center for Education Statistics within the U.S. Department of Education and tells us what our nation's students know and can do in key subject areas. It is the largest continuing and nationally representative assessment and has been providing valid and reliable data on student performance since 1969.

The results of NAEP are published in a report called The Nation's Report Card, which provides information about student achievement to educators, parents, policymakers, and the public.

In our school, the NAEP assessment will be given on (date) in (subject). Your child (may be/has been) selected to take the assessment. In addition to subject area questions, students will be asked some questions about themselves and their educational experience. You can access student and sample assessment questions at <http://nces.ed.gov/nationsreportcard/parents/>.

It will take about (assessment time) minutes for most students to complete NAEP. The results are completely confidential (in accordance with the Confidential Information Protection provisions of Title V, Subtitle A, Public Law 107-347), and the information provided will be used for statistical purposes only. Your child's grades will not be affected. Your child may be excused from participation for any reason, is not required to finish the assessment, and may skip any test question. While NAEP is voluntary, we depend on student participation to provide an accurate measure of student achievement that will inform improvements in education. **Your child will represent many other students, so participation is very important.** However, if you do not want your child to participate, please notify me in writing by (date).

There is no need to study in preparation for NAEP. We do ask parents to encourage their children to do their best and to have them get plenty of rest the night before the assessment.

If you would like to have additional information about NAEP, please visit <http://nces.ed.gov/nationsreportcard>. If you have questions or would like to review a booklet that includes sample subject area and student questions, please contact me at (telephone number) or via e-mail at (e-mail address).

We are excited that our school will be participating in NAEP, and we are pleased that your child (may be/has been) selected. **We know that (school name)'s students will help us show what (state name)'s students know and can do.**

Sincerely,

School Principal

2013 Wave 1 Supporting Statement

Appendix C: Sample Description of School Coordinator Responsibilities

NAEP (NAEP Assessment Year) School Coordinator Responsibilities

As the school coordinator, you are the liaison for all NAEP assessment activities in your school.

In the fall, you will be responsible for:

Registering for the MySchool website.

MySchool is used to collect information about your school and provide you with documents that you can download and customize throughout the NAEP assessment process. Multiple school staff may register to access the site. To register for MySchool, go to www.mynaep.com and complete the form using the registration ID provided by your NAEP State or Trial Urban District Assessment (TUDA) Coordinator.

Completing and submitting school information.

Click on “Provide School Information” on MySchool to enter and submit information about your school so that materials can be prepared for the assessment.

If requested, providing the NAEP State or TUDA Coordinator with a list of <selected> grade students.

NAEP requires a complete list of students in the selected grade in order to select a random sample of students to participate in the assessment. This list provides demographic information about students who will be assessed. It is usually submitted electronically and may be prepared by the school, district, or state. Your NAEP State or TUDA Coordinator will inform you if you need to provide this list. Student names will always be kept confidential and individual student responses or scores are never reported.

Before the assessment date, you will be responsible for:

Preparing for the assessment.

Numerous activities need to be completed early in January to ensure a successful assessment.

- Identify teachers who teach the assessed subjects to your <selected>-grade students.
- Arrange logistics for the assessment.
- Review the instructions for distributing and completing the worksheets for students identified as English language learners and/or students with disabilities, and distribute them to the staff person(s) most knowledgeable about how these students are tested on your state assessment.

Informing parents/guardians.

By law, parents/guardians of children selected to participate in NAEP must be informed prior to administration of the assessment that their child has been selected for the assessment, may be excused from participation for any reason, is not required to finish the assessment, and is not required to answer all test questions. Your NAEP State or TUDA Coordinator will provide a Sample Parent/Guardian Notification Letter and additional information about how this requirement should be fulfilled. These

details, as well as electronic copies of the letter, will be provided through MySchool. Parent notification should be completed prior to the pre-assessment visit. Parents may also visit <http://nces.ed.gov/nationsreportcard/parents/> to find out more about NAEP.

Meeting with the NAEP staff during the scheduled pre-assessment visit.

In late January, you will meet with the NAEP representative to go over information related to the NAEP administration. During the meeting, you will review the list of selected students to verify that their demographic information is accurate and complete. Details for the assessment day will be finalized, such as which students will require accommodations, how NAEP will be administered, the time and locations of the assessment, and how students and teachers will be notified. The NAEP representative will also verify that parents have been notified and will collect a copy of the parent notification letter during this visit.

Promoting the importance of NAEP with school staff.

Teachers are essential for motivating students to do their best on NAEP. The following are some suggestions on how to gain teacher support:

- Show the 5-minute NAEP video, *Introducing NAEP to Teachers*, at a faculty meeting. This video can be accessed at <http://nces.ed.gov/nationsreportcard/videos/naep4th8th.asp>.
- Inform teachers that released NAEP questions and responses, which they can use in their classroom, are accessible on the NAEP Questions Tool at <http://nces.ed.gov/nationsreportcard/itmrlsx/>.

Promoting the importance of NAEP with students.

Students who are selected for NAEP will represent students across the nation, so it is vital that these **<selected grade>**-graders participate and do their best. The following are some suggestions on how to encourage students to do their best:

- Speak with participating students prior to assessment day. Let them know why NAEP is important.
- Consider ways to thank students for their participation.
- Inform students that they can find past NAEP results by visiting The Nation's Report Card website, <http://nationsreportcard.gov/>.
- Inform students that individual results are not released to the public and that NAEP only takes 90–120 minutes to complete.

On the assessment date, you will be responsible for:

Ensuring that students attend the session.

Prior to the assessment start time, you will need to be available to ensure that students attend. You are encouraged to remain in the room during the assessment. NAEP staff will bring all assessment materials to the school and will conduct the session(s). It is very important that attendance rates be as high as possible to avoid the need for makeup sessions. If attendance of sampled students is less than 90 percent, a makeup session will be needed, and the NAEP representative will schedule another date to administer the assessment to the students who were absent.

Thank you in advance for your help preparing for this important assessment!

2013 Wave 1 Supporting Statement

