

## 5. ASSESSMENT QUESTIONNAIRES AND OTHER IN-SCHOOL PREPARATIONS

### 5.1 Overview

The NAEP assessment includes four types of questionnaires to be completed by school staff. This chapter describes how to prepare and distribute them. The questionnaires are:

- **SD/LEP Questionnaire:** The SD/LEP Questionnaire should be completed by a knowledgeable staff member for each sampled student identified as having an IEP (Individual Educational Program) or equivalent classification or classified as LEP (Limited English Proficient).
- **Teacher Questionnaire:** The teacher questionnaire is intended to survey the teaching practices of teachers of sampled students in each of the subject areas to be assessed – mathematics and science, at grades 4 and 8 – and reading at grade 4.
- **Chair/Lead Teacher Questionnaire:** This questionnaire, being used at grade 12 for the first time, is distributed to the mathematics and science department chairpersons or lead teachers and is intended to gather information about the school's instructional programs in the areas of mathematics and science.
- **School Questionnaire:** This questionnaire, formerly called the School Characteristics and Policies Questionnaire, is a multi-page document designed to gather information about the school's instructional programs, school staffing, and school demographics.

### 5.2 The Roster of Questionnaires

To assist you in keeping track of the school staff to whom the questionnaires are distributed and when they are returned, you will complete an additional control document, the Roster of Questionnaires. One roster will be used at each grade to keep track of all three types of questionnaires. In addition, a supplemental roster will be used to record additional SD/LEP questionnaires if a school has more than 14 students (or more than 28 students at grade 12) for whom an SD/LEP questionnaire has been assigned.

The Rosters of Questionnaires are color-coded as follows:

	<u>Roster of Questionnaires</u>	<u>Teacher Questionnaires</u>
Grade 4	Purple	Math/Science – Purple Reading – Blue
Grade 8	Maroon	Math – Maroon Science – Cherry
Grade 12	Charcoal	Math – Brown Science – Pewter

**All questionnaires and rosters must be completed using a No. 2 pencil.**

The following sections describe how to prepare and distribute questionnaires and the procedures for keeping track of questionnaires distributed in a school, using the Roster of Questionnaires. An example of the front of a Grade 12 Roster and the back side of all 3 Rosters is shown in Exhibit 5-1.

### **5.3 Preparing SD/LEP Student Questionnaires**

For every student identified on an Administration Schedule as having a disability and/or an IEP or equivalent classification and/or classified as LEP, an SD/LEP Student Questionnaire must be filled out by the student's teacher or other knowledgeable staff member. The SD/LEP Questionnaire should **not** be completed for withdrawn, ineligible, and not-in-sample students classified as SD and/or LEP and for students who have an IEP classification because they are "Gifted and Talented." **Questionnaires should be prepared for all other sampled SD/LEP students regardless of whether they will be assessed.**

This process is described below:

- Using the Administration Schedule information, complete the Roster and prepare an SD/LEP Questionnaire for **every** SD and LEP student as follows:
  - On the Roster of Questionnaires for the SD/LEP Questionnaire, enter:
    1. Student's name
    2. The school staff person to whom the questionnaire will be given
    3. Student booklet ID number from Column K on the Administration Schedule
    4. SD/LEP questionnaire ID number



Exhibit 5-1. Example of Rosters of Questionnaires (continued)

**GRADE 12** →

**GRADE 8** →

**GRADE 4** →

III. SD/LEP Questionnaire		II. SD/LEP Questionnaire Student Booklet ID # (Column "K" or "L" on Admin. Schedule)		SD/LEP Questionnaire ID # (Barcode ID # on Cover)		Returned		Administrator Use Only					
Student's Name	Distributed To (Staff Name)	11	12	13	14	095-	095-	095-	095-	Yes	No	Yes	No
11													
12													
13													
14													

III. Teacher Questionnaire		MATHMATICS Teacher Questionnaire ID #		SCIENCE Teacher Questionnaire ID #		Returned		Administrator Use Only					
Teacher's Name	Teacher #	01 063-	02 063-	03 063-	064-	064-	064-	Yes	No	Yes	No	Yes	No
01													
02													
03													

III. Teacher Questionnaire		MATHMATICS/SCIENCE Teacher Questionnaire ID #		READING Teacher Questionnaire ID #		Returned		Administrator Use Only					
Teacher's Name	Subject Mathematics Science	060-	060-	060-	060-	061-	061-	Yes	No	Yes	No	Yes	No
01													
02													
03													
04													
05													
06													
07													
08													
09													
10													
11													
12													
13													
14													
15													
16													
17													

NCS-901 (Rev. 08-04-01)  
© 1995 by NCS, Inc. All Rights Reserved

- On the SD/LEP Questionnaire, make the following entries:
  1. In the box that says "Return to NAEP School Coordinator by", enter the date by which the completed questionnaires should be returned to the school coordinator.
  2. Write the student's name on a Post-it note and affix to the cover.
  3. Enter the school ID number.
  4. Enter the student's demographic data in the boxes.
  5. Enter the student's booklet ID number from Column K of the Administration Schedule.
  6. Enter the school ID number and complete the grid.
- Give the questionnaire(s) to the school coordinator and discuss the need to get them back as soon as possible, on the same day if the appropriate staff person can complete them while you are there. This will give you a chance to discuss any accommodations that might be necessary. Otherwise, if there is a chance that some students will require accommodations, you should call the school coordinator before the assessment to determine if any accommodation sessions will need to be held, since this could affect your schedule or the size of the EA staff you will need.

In some schools, the number of students for whom SD/LEP Student Questionnaires are produced is greater than the number of rows allowed on the Roster of Questionnaires (there is room for 14 students on the grade 4 and 8 rosters, and 28 students on the grade 12 roster). Rather than using a blank roster from your bulk supplies, there is a Supplemental Roster that can be used in these circumstances. Since this occurs most often in areas with a high number of recent immigrants who speak a foreign language, if you are going into a school in such a community, you should be sure to include the supplemental rosters, as well as an extra supply of SD/LEP Questionnaires, in the supplies you bring to the school. The Supplemental Roster is used in the same way as the regular roster; it is simply provided if more lines are needed to record the students who are assigned these questionnaires.

When you collect the questionnaires, **be sure to remove the students' names from the front covers since NAEP does not want any materials with names to leave the school.** You will record that the questionnaires were returned on the Roster of Questionnaires for SD/LEP Student Questionnaires, by filling in the oval under "Yes" in the "Returned" column. Fill in the "No" oval in the "Returned" column for **any** questionnaires not returned in the booklet shipment of the completed session materials.

#### 5.4 Preparation of Teacher Questionnaires

In grade 4, teachers who teach math and/or science to any of the students selected for the math or science assessment will be asked to fill out the math section or the science section, or both sections, of the Grade 4 Teacher Questionnaire. Teachers of students selected for the reading assessment will be asked to complete a separate Grade 4 Reading Teacher Questionnaire. All of these grade 4 teachers will be asked to fill out the teacher background section.

For grade 8, teachers of students selected for any math or science assessment will be asked to fill out teacher questionnaires, and some may receive two, that is, one for each subject area. Teachers will be linked by teacher number and period number to the individual students being assessed, and this information must be recorded on the Administration Schedule as you prepare the grade 8 Teacher Questionnaires.

For grade 12, the mathematics department chairperson (or lead teacher) **and** the science department chairperson (or lead teacher) will each receive a questionnaire. There are separate Mathematics and Science Teacher Questionnaires for this purpose, and you will distribute one of each in the Grade 12 schools. These teacher questionnaires are not linked to particular students and are listed at the top of the front page of the Grade 12 Roster along with the School Questionnaire.

Teachers are asked to complete the questionnaires in order that teachers' instructional practices can be linked to student achievement data. As the NAEP supervisor, you are responsible for preparing and distributing these questionnaires.

There are two teacher questionnaires at grade 4, two at grade 8, and two at grade 12. They are distinguished from each other using a questionnaire ID prefix as follows:

	<u>Subject Areas</u>	<u>Questionnaire ID No. Prefix</u>
Grade 4	Math/Science	060 –
	Reading	061 –
Grade 8	Math	063 –
	Science	064 –
Grade 12	Math Chair / Lead Teacher	067 –
	Science Chair / Lead Teacher	068 –

Ask the school coordinator to identify the math or science or reading teachers of the sampled students. For grade 4 and 8 teachers, you will also need to know the period number and class name that the student takes math or science with that teacher. Then, perform the following steps to assign the questionnaires and complete the Roster of Questionnaires.

- Begin with the Administration Schedule for any session. Record the teacher's name on the first line of Section III of the Roster of Questionnaires for grade 4 and grade 8. Notice that the grade 4 and grade 8 rosters automatically assign a teacher number to each entry.
- For grade 4, grid the mathematics or science oval under the subject column if this is a math or science session. There is no oval to grid for a grade 4 reading teacher since a separate reading questionnaire will be assigned to these teachers. Also for grade 8, there are no math or science ovals, because there are separate questionnaires and you will record the teacher questionnaire ID in separate math or science columns.
- For grade 12, simply record the names of the math and science chair/lead teachers in Section II of the Roster, along with Math and Science Questionnaire ID #'s for these teachers. Subject area ovals are not needed for grade 12.
- For all 3 grades, taking the appropriate grade level and subject area questionnaire, record on the roster, in the column labeled "Quex ID #", the last seven digits of the ID number from the questionnaire you will give to the teacher. The first three digits of the questionnaire ID number are preprinted on the roster. The questionnaire ID number is printed on the barcode in the lower left-hand corner of the questionnaire.
- On the front cover of the teacher questionnaire, record the NAEP school ID number and teacher number from the Roster of Questionnaires, and fill in the oval for math or science, or both, on the grade 4 Math/Science Teacher Questionnaire. Write the teacher's name on a Post-it note and affix it to the front cover.
- For grade 4 and 8 teachers, record class period number and class name and grid the period number in the box on the middle of the questionnaire cover. Use period "1" for grade 4 if the student takes all subjects from this teacher "in a classroom."
- Fill in the section of the questionnaire cover designating the date the questionnaires should be returned to the coordinator. Enter the date of the school day, one day prior to the scheduled assessment, to insure that they will be ready for you on assessment day.
- Include with each questionnaire a copy of the What is NAEP brochure, NAEP Website Brochures, a NAEP mousepad, and recent NAEP publications from your bulk supplies. Include a copy of Banana Splits for Reading Teachers. These documents provide some background on NAEP, the importance of teachers' input to NAEP, and how the data are used.
- Give the questionnaires to the school coordinator for distribution and collection.

As completed teacher questionnaires are returned, you will fill in the ovals in the "Returned" column on the roster. For recordkeeping purposes, it is preferable that all questionnaires are shipped with the completed assessment booklets. However, if any questionnaires remain at the school after assessment day, leave a supplemental shipping envelope with the school coordinator so that the completed questionnaires can be returned directly to NCS. It is not necessary to include anything else in the envelope to identify the questionnaires, since the supervisor should record the school ID on these questionnaires and on the label on the Supplemental Shipping Envelope.

The instructions given above for preparing teacher questionnaires are a summary covering all grades. Very explicit, step by step instructions for preparing the teacher questionnaires at each grade are included under "NAEP Documents" (use the icon on your "start-up" screen) on your computer. A separate instructions document has been prepared for each grade. You may view or print these detailed instructions on the computer while you are in the school preparing the questionnaires. For reference, they are also shown in Exhibit 5-2.

## 5.5 The School Questionnaire

The School Questionnaire (formerly called the School Characteristics and Policies Questionnaire) is designed to collect information about the school staff and instructional programs. It is to be completed by the principal or someone designated by the principal.

The NAEP school identification number must be recorded on the front cover of the questionnaire.

The ten-digit identification number from the lower left-hand corner of the questionnaire should be recorded on the Roster of Questionnaires. The 3-digit prefix for the School Questionnaire will be pre-recorded on the Roster for each grade as shown below:

### Questionnaire ID No. Prefix

Grade 4:	071-
Grade 8:	072-
Grade 12:	073-





Exhibit 5-2. Detailed Instructions for Preparing Teacher Questionnaires  
for Grades 4, 8, and 12

2000 NATIONAL NAEP

GRADE 4: INSTRUCTIONS FOR TEACHER QUESTIONNAIRES

1. Start with the Administration Schedule for any mathematics session. Look up the name of the first student's mathematics teacher in the records (except for excluded, withdrawn, ineligible, or "Not in Sample" students).
2. Record the teacher's name on the first line of Section III of the Roster of Questionnaires.
3. Record the two digit teacher number and the class period number on the Administration Schedule in the column labeled "TEACHER #" and "PER #" opposite the student's name.
4. Taking a Mathematics/Science Teacher Questionnaire for grade 4, record on the roster, in the column labeled "MATHEMATICS/SCIENCE TEACHER QUESTIONNAIRE ID NO.," the last seven digits of the ID # from the questionnaire you assigned to this first teacher.
5. On the front cover of the Teacher Questionnaire, record the NAEP SCHOOL ID # and Teacher # from the Roster of Questionnaires. Write the teacher's name on a Post-it note and affix it to the front cover of the questionnaire.
6. Fill in the oval for Part II – Mathematics Preparation and Instructions – on the front cover of the questionnaire. Record the class period number (and fill the oval) and class name on the cover. Use a class period of "1" if the teacher teaches all subjects to this student.
7. Continue with the next student to be assessed, and record the teacher # on the Administration Schedule.
  - A. If this student has the same teacher for mathematics as the first student, use "01", the teacher # already assigned to that teacher. The questionnaire has already been prepared.
  - B. If this student has a different teacher for mathematics, assign teacher code "02" to that teacher, and record teacher name on the roster. Prepare a new mathematics/science questionnaire, and record the Teacher Questionnaire ID # on the roster for this teacher. Fill in class period, the ovals, and class name as appropriate. Affix a Post-it note with the teacher's name to the new questionnaire.
8. Repeat this process with the Administration Schedule for each assessment session to be conducted in this school.
  - A. For teachers already listed on the roster, use the teacher #s already assigned to them and the questionnaires already prepared for these teachers. For teachers of students in science, fill the oval for Part III – Science Preparation and Instruction, and specify the class period and class name. For **teachers of students in reading** sessions, use a Reading Teacher Questionnaire and record the questionnaire ID in the READING column on the roster. Period number and class name is not needed on the Reading Teacher Questionnaire.
  - B. Add to the roster any teachers (of students to be assessed) who are not already listed on the Roster of Questionnaires. Use the next available teacher code, prepare a new questionnaire, and record the Teacher Questionnaire ID # on the roster. Fill the mathematics or science oval, and class period and class name, as appropriate, on any Grade 4 Mathematics/Science Teacher Questionnaire. Affix a Post-it note with the teacher's name to the new questionnaire.
9. Give the questionnaires to the school coordinator for distribution, after recording a "return by" date on the top of each questionnaire.

NOTE: Some schools may have reading or science sessions, but no mathematics session(s). If so, follow the steps above, starting with the Administration Schedule for any reading session and looking up the name of each student's language arts teacher. Be sure to use a Reading Teacher Questionnaire for the teachers of students in reading sessions, and the Mathematics/Science Teacher Questionnaire for science teachers.

Exhibit 5-2. Detailed Instructions for Preparing Teacher Questionnaires  
for Grades 4, 8, and 12 (continued)

2000 NATIONAL NAEP

GRADE 8: INSTRUCTIONS FOR TEACHER QUESTIONNAIRES

1. Start with the Administration Schedule for any mathematics session. Look up the name of the first student's mathematics teacher in the records (except for excluded, withdrawn, ineligible, or "Not in Sample" students).
2. Record the teacher's name on the first line of Section III of the Roster of Questionnaires.
3. Record the two digit teacher # on the Administration Schedule in the column labeled "TEACHER #" opposite the student's name.
4. Enter the class period # during which the student takes mathematics from this teacher in the column labeled "Per. #" on the Administration Schedule.
5. Taking a Mathematics Teacher Questionnaire, record on the roster, in the column labeled "MATHEMATICS TEACHER QUESTIONNAIRE ID NO.", the last seven digits of the ID # from the questionnaire you will give to this first teacher.
6. On the front cover of the Teacher Questionnaire, record the NAEP SCHOOL ID # and Teacher # from the Roster of Questionnaires. Write the teacher's name on a Post-it note and affix it to the front cover of the questionnaire. Fill in the date by which the teacher should retain the questionnaire.
7. Record class period # and class name on the questionnaire.
8. Continue with the next student to be assessed, record the teacher name and fill in the Mathematics Teacher Questionnaire ID # on the roster, recording the teacher # and class period # on the Administration Schedule, and filling out the front cover of the questionnaire.
  - A. If this student has the same mathematics teacher as the first student, use "01", the teacher # already assigned to that teacher. The questionnaire has already been prepared. If the class period number is different for this student, but the teacher is the same, add the new class period number and name and fill the oval for class period on the cover of the already prepared questionnaire.
  - B. If this student has a different teacher for mathematics, that teacher is assigned teacher code "02", and you will prepare a new questionnaire. Affix a Post-it note with the teacher's name to the new questionnaire.
9. Repeat this process with the Administration Schedule for each assessment session to be conducted in this school.
  - A. For teachers already listed on the roster, use the teacher #s already assigned to them and the questionnaires already prepared for these teachers. Be sure to add additional class names and period numbers to the front of the questionnaire, if appropriate. For teachers of students in science sessions, use the teacher # already assigned (if any), fill in the ID # for the Science Teacher Questionnaire on the roster and prepare a Science Teacher Questionnaire in addition to any Mathematics Teacher Questionnaire already prepared.
  - B. Add to the roster any teachers (of students to be assessed) who are not already listed on the Roster of Questionnaires. Use the next available teacher code, record the Teacher Questionnaire ID in the appropriate subject area column (mathematics or science) on the roster, and prepare a new questionnaire. Affix a Post-it note with the teacher's name to the new questionnaire. Record a "return by" date on the top of each questionnaire.
10. Give the questionnaires to the school coordinator for distribution.

NOTE: Some schools may have science sessions, but no mathematics session(s). If so, follow the steps above, starting with the Administration Schedule for any science session and looking up the name of each student's science teacher. Be sure to record the Teacher Questionnaire ID under science on the roster and to use a Science Teacher Questionnaire.

**Exhibit 5-2. Detailed Instructions for Preparing Teacher Questionnaires  
for Grades 4, 8, and 12 (continued)**

**2000 NATIONAL NAEP**

**GRADE 12: INSTRUCTIONS FOR TEACHER QUESTIONNAIRES**

1. Prepare two Teacher Questionnaires for each grade 12 school.
2. Assign a grade 12 Mathematics Teacher Questionnaire to the chair/lead teacher of the mathematics department. Record the teacher name and questionnaire ID # in Part II of the grade 12 roster.
3. Assign a grade 12 Science Teacher Questionnaire to the chair/lead teacher of the science department. Record the teacher name and questionnaire ID # in Part II of the grade 12 roster.
4. Write the school ID on each of the two grade 12 Teacher Questionnaires. Attach a Post-it note with the teacher's name to each questionnaire. Record a "return by" date on the top of each questionnaire.
5. Give the questionnaires to the school coordinator for distribution.

If a school is sampled for assessments at two grade levels, then the principal will be asked to complete two School Questionnaires. Each School Questionnaire must be recorded on a separate roster. Since most of the information recorded in the School Questionnaire will be the same, you may offer to assist by copying the answers to identical questions onto the other questionnaire and having the principal complete only the questions that are unique to that grade in the second questionnaire.

## **5.6 Determining Who Should be Assessed**

### **5.6.1 Overview of the Process**

The next step in the sampling process is to determine who should be assessed. NAEP's intent has always been to assess and report on all students nationwide. In meeting that goal, NAEP emphasizes the inclusion of students with disabilities and limited English proficiency and offers a number of accommodations designed to include as many students as possible.

The process of determining which students should be assessed is outlined in the steps below:

- If the information has not already been recorded on the Administration Schedule, fill in the circle in the column labeled "If SD" for any student who has a disability; that is, a student who has an Individualized Education Plan (IEP), or equivalent classification, for reasons other than being gifted and talented. In the "If LEP" column, the circle should be filled in for any student classified as limited English proficient by the school. Make sure that the school coordinator understands that we want all students with a disability or an IEP (or equivalent) or classified as LEP to be identified regardless of whether they will be assessed.
- Prepare a SD/LEP Student Questionnaire (as discussed earlier in this chapter), which should be completed by a knowledgeable school staff member, for every student identified as SD or LEP on the Administration Schedule, **regardless** of whether they will participate in the assessment.
- The next step, as described in Section 5.6.2 which follows, is for the appropriate school personnel to determine if any of the students identified as SD or LEP cannot participate in the assessment based on the criteria described on the instruction sheet. As indicated, whenever there is doubt about whether to include a student, the student should be included.
- In half of the sampled schools, accommodations will be allowed for SD/LEP students requiring them. In the other half of schools, accommodations will not be allowed. In these schools, students requiring accommodations should be included in the

assessment if they can participate without an accommodation. The NAEP Administration Schedule and the SAF indicate whether accommodations are allowed, and you should give the corresponding criteria sheet (YES or NO) to the school for determining whether students can participate in the assessment.

- Once school staff has identified students who cannot participate in the assessment, this should be indicated by lining through the student's name and locator information on the Administration Schedule. None of the information beyond the perforation on the Administration Schedule should be lined through. Then, in the column labeled "Administration Code" the reason for excluding the student from the assessment should be coded using the appropriate two-digit code as follows:

<u>Code</u>	<u>Reason for exclusion</u>
60 or 61	Disability (mental or physical)
62 or 63	Limited English proficiency
64 or 65	Both disability and LEP
66	Other

### 5.6.2 Using the Criteria

After you have prepared the Administration Schedules listing the students sampled for each session, you will give them to the school coordinator along with the "Criteria for Including Students with Disabilities and Students with Limited English Proficiency in NAEP Assessments" (Exhibit 5-3). **Be sure to use the appropriate criteria sheet, labeled "YES" or "NO" for each school.**

The criteria will serve to guide the school staff in focusing on that small subset of students who may not be capable of participating in the assessment. If a student does not have an IEP or an equivalent classification, or is not classified as limited English proficient, she/he should be included in the assessment.

Historically, of SD/LEP students, about half have always been included in NAEP. Therefore, it is expected that many, if not most, SD/LEP students can be assessed in standard NAEP administrations without accommodations or adaptations. It is further estimated that up to 80 percent of the students who have been excluded in the past could be included with minor modifications to the assessment. Since most of these modifications will be available, it is expected that relatively few students will be excluded in these sessions.

**Exhibit 5-3. Criteria for Including Students with Disabilities and Students with Limited English  
(Page 1 of 2)**

<p><b>2000 NAEP</b></p> <p align="right"><b>NO</b></p> <p align="center"><b>CRITERIA FOR INCLUDING STUDENTS WITH DISABILITIES AND STUDENTS WITH LIMITED ENGLISH PROFICIENCY IN NAEP ASSESSMENTS</b></p> <p>NAEP has developed strict criteria for all schools around the country to use whenever there is doubt about the assessability of a selected student. For the assessments to be comparable within states and across states, it is very important that all schools adhere to these criteria.</p> <p><b>1. Students with Disabilities</b></p> <p>A student identified on the Administration Schedule as having a disability (SD), that is, a student with an Individualized Education Plan (IEP) or equivalent classification, <b>should be included</b> in the NAEP assessment <b>unless</b>:</p> <ul style="list-style-type: none"> <li>■ The IEP team or equivalent group has determined that the student cannot participate in assessments such as NAEP, OR</li> <li>■ The student's cognitive functioning is so severely impaired that he or she cannot participate. OR</li> <li>■ The student's IEP requires that the student be tested with an accommodation that NAEP does not permit, and the student cannot demonstrate his or her knowledge of mathematics or science without that accommodation.</li> </ul> <p><b>2. Students with Limited English Proficiency</b></p> <p>A student who is identified on the Administration Schedule as limited English proficient (LEP) and who is a native speaker of a language other than English <b>should be included</b> in the NAEP assessment <b>unless</b>:</p> <ul style="list-style-type: none"> <li>■ The student has received mathematics or science instruction primarily in English for <b>less than 3</b> school years including the current year, <b>AND</b></li> <li>■ The student cannot demonstrate his or her knowledge of mathematics or science in English even with an accommodation permitted by NAEP.</li> </ul> <p><b>3. Consult with School Staff</b></p> <p>The decision regarding whether any of the students identified as SD or LEP cannot be included in the assessment should be made in consultation with knowledgeable school staff. The following questions in the SD/LEP Questionnaire also pertain to this decision:</p> <ul style="list-style-type: none"> <li>■ Students with disabilities: Questions 3 and 10 through 17.</li> <li>■ Students with limited English proficiency: Questions 20, 21 and 26 through 31.</li> </ul>	<p align="right"><b>YES</b></p> <p align="center"><b>CRITERIA FOR INCLUDING STUDENTS WITH DISABILITIES AND STUDENTS WITH LIMITED ENGLISH PROFICIENCY IN NAEP ASSESSMENTS</b></p> <p>the country to use whenever there is doubt about s to be comparable within states and across states.</p> <p>as having a disability (SD), that is, a student with t classification, <b>should be included</b> in the NAEP</p> <p>etermined that the student cannot participate in</p> <p>ly impaired that he or she cannot participate, OR</p> <p>sted with an accommodation that NAEP does not is or her knowledge of mathematics or science</p> <p>chedule as limited English proficient (LEP) and ish <b>should be included</b> in the NAEP assessment</p> <p>e instruction primarily in English for <b>less than 3</b></p> <p>ledge of mathematics or science in English even</p>
	<p><b>3. Consult with School Staff</b></p> <p>The decision regarding whether any of the students identified as SD or LEP cannot be included in the assessment should be made in consultation with knowledgeable school staff. The following questions in the SD/LEP Questionnaire also pertain to this decision:</p> <ul style="list-style-type: none"> <li>■ Students with disabilities: Questions 3 and 10 through 17.</li> <li>■ Students with limited English proficiency: Questions 20, 21 and 26 through 31.</li> </ul> <p align="center"><b>WHEN THERE IS DOUBT, INCLUDE THE STUDENT. SEE BACK FOR FURTHER EXPLANATION AND LIST OF THE OFFERED ACCOMMODATIONS.</b></p>

**Exhibit 5-3. Criteria for Including Students with Disabilities and Students with Limited English  
(Page 2 of 2)**

<p><b>2000 NAEP</b></p> <p align="right"><b>NO</b></p> <p align="center"><b>FURTHER EXPLANATION FOR LEP STUDENTS</b></p> <p>The phrase "less than 3 school years including the current year" means 0, 1, or 2 school years. Therefore, in applying the criteria, you should perform the following:</p> <ul style="list-style-type: none"> <li>■ <b>Include</b> without any accommodation all LEP students who have received mathematics or science instruction primarily in English for 3 years or more and those who are in their third year;</li> <li>■ <b>Include</b> without any accommodation all other LEP students who can demonstrate their knowledge of mathematics or science without an accommodation;</li> <li>■ <b>Include</b> and provide accommodations permitted by NAEP to other LEP students who can demonstrate their knowledge of mathematics or science only with those accommodations; and</li> <li>■ <b>Exclude</b> LEP students <b>ONLY</b> if they <b>cannot</b> demonstrate their knowledge of mathematics or science even with an accommodation permitted by NAEP.</li> </ul> <p align="center"><b>ACCOMMODATIONS ARE NOT PERMITTED FOR THE NAEP ASSESSMENTS IN THIS SCHOOL.</b></p>	<p align="right"><b>YES</b></p> <p align="center"><b>FOR LEP STUDENTS</b></p> <p>The phrase "less than 3 school years including the current year" means 0, 1, or 2 school years. Therefore, in applying the criteria, you should perform the following:</p> <ul style="list-style-type: none"> <li>■ <b>Include</b> without any accommodation all LEP students who have received mathematics or science instruction primarily in English for 3 years or more and those who are in their third year;</li> <li>■ <b>Include</b> without any accommodation all other LEP students who can demonstrate their knowledge of mathematics or science without an accommodation;</li> <li>■ <b>Include</b> and provide accommodations permitted by NAEP to other LEP students who can demonstrate their knowledge of mathematics or science only with those accommodations; and</li> <li>■ <b>Exclude</b> LEP students <b>ONLY</b> if they <b>cannot</b> demonstrate their knowledge of mathematics or science even with an accommodation permitted by NAEP.</li> </ul>																														
<p align="center"><b>ACCOMMODATIONS MOST FREQUENTLY OFFERED BY NAEP</b></p> <table border="0"> <thead> <tr> <th align="left"><b>Mathematics Session</b></th> <th align="left"><b>Science Sessions</b></th> <th align="left"><b>Reading Sessions</b></th> </tr> </thead> <tbody> <tr> <td>■ Bilingual booklet</td> <td>■ Glossary in Spanish</td> <td>■ Large-print booklet</td> </tr> <tr> <td>■ Bilingual dictionary</td> <td>■ Bilingual dictionary</td> <td>■ Extended time in regular session</td> </tr> <tr> <td>■ Large-print booklet</td> <td>■ Large-print booklet</td> <td>■ Small group</td> </tr> <tr> <td>■ Extended time in regular session</td> <td>■ Extended time in regular session</td> <td>■ One-on-one</td> </tr> <tr> <td>■ Read aloud in regular session</td> <td>■ Read aloud in regular session</td> <td>■ Scribe or use of computer – used to record answers</td> </tr> <tr> <td>■ Small group</td> <td>■ Small group</td> <td>■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment</td> </tr> <tr> <td>■ One-on-one</td> <td>■ One-on-one</td> <td></td> </tr> <tr> <td>■ Scribe or use of computer – used to record answers</td> <td>■ Scribe or use of computer – used to record answers</td> <td></td> </tr> <tr> <td>■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment</td> <td>■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment</td> <td></td> </tr> </tbody> </table>		<b>Mathematics Session</b>	<b>Science Sessions</b>	<b>Reading Sessions</b>	■ Bilingual booklet	■ Glossary in Spanish	■ Large-print booklet	■ Bilingual dictionary	■ Bilingual dictionary	■ Extended time in regular session	■ Large-print booklet	■ Large-print booklet	■ Small group	■ Extended time in regular session	■ Extended time in regular session	■ One-on-one	■ Read aloud in regular session	■ Read aloud in regular session	■ Scribe or use of computer – used to record answers	■ Small group	■ Small group	■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment	■ One-on-one	■ One-on-one		■ Scribe or use of computer – used to record answers	■ Scribe or use of computer – used to record answers		■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment	■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment	
<b>Mathematics Session</b>	<b>Science Sessions</b>	<b>Reading Sessions</b>																													
■ Bilingual booklet	■ Glossary in Spanish	■ Large-print booklet																													
■ Bilingual dictionary	■ Bilingual dictionary	■ Extended time in regular session																													
■ Large-print booklet	■ Large-print booklet	■ Small group																													
■ Extended time in regular session	■ Extended time in regular session	■ One-on-one																													
■ Read aloud in regular session	■ Read aloud in regular session	■ Scribe or use of computer – used to record answers																													
■ Small group	■ Small group	■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment																													
■ One-on-one	■ One-on-one																														
■ Scribe or use of computer – used to record answers	■ Scribe or use of computer – used to record answers																														
■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment	■ Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment																														

Ideally, you would meet with the school coordinator to apply the appropriate criteria to the SD/LEP students identified on each Administration Schedule. The school coordinator may have no trouble identifying those SD/LEP students who cannot be assessed. In some cases, a special education or bilingual education teacher may need to be consulted, particularly when it comes to determining how the student should be accommodated.

You will need to know not only which students will be included in the assessment, but also whether any of these students require an accommodation so that you can make appropriate arrangements both with the school and your EAs. **You will provide accommodations only in the NAEP "half-sample" of schools where YES is indicated on both the Administration Schedule and the SAF to indicate that NAEP accommodations are allowed in this school.**

NAEP offers most but not all possible accommodations and adaptations. Nor will all SD and LEP students be offered accommodations. If a student has an IEP, the IEP must require an accommodation in testing, or the school must routinely provide it when testing the student, and that accommodation must be allowed by NAEP for the accommodation to be permitted.<sup>1</sup> Similarly, LEP students will be assessed with an accommodation or adaptation only if it is the way they are usually tested and it is an accommodation offered by NAEP (as described in the criteria).

This means that you and the school coordinator will need to work closely with the student's special education, bilingual education, and/or classroom teacher to decide which students should receive accommodations and what they should receive. Two series of questions in the SD/LEP Questionnaire relate directly to these determinations.

For students with IEPs (or the equivalent) and who are to be assessed in sessions offering accommodations, Question 10 of the SD/LEP Questionnaire asks whether any accommodations or adaptations are used for achievement testing for the student. (See Exhibit 5-4.) If the answer is "YES", questions 11-17 ask which ones are used for achievement testing. This combination of questions identifies the **only students who may receive accommodations/adaptations** and the specific accommodations or adaptations they may receive. Note that the list of accommodations in Q11-14 is quite extensive and includes some things that NAEP **does not** provide.

---

<sup>1</sup> Students with an "equivalent classification," such as Section 504 of the Rehabilitation Act, may or may not have a plan that specifies accommodations for testing. If not, NAEP will provide accommodations only if the school routinely provides them when testing the students.

Exhibit 5-4. Questions from SD/LEP Questionnaire regarding IEP Accommodations (Page 1 of 3)

OK070514

10. Are any accommodations or adaptations used for district or statewide achievement testing for this student?

- A Yes, tested with accommodations or adaptations
- B No, tested without accommodations or adaptations  
[GO TO QUESTION 15.]
- C IEP states that this student cannot be tested  
[GO TO QUESTION 15.]

OK070516

Questions 11-14. If your answer to question 10 is "Yes," which accommodations or adaptations are used for district or statewide achievement testing with this student?

11. Presentation Accommodations (Fill in all ovals that apply.)

- a. Read directions aloud  A
- b. Read problems aloud (except on reading test)  A
- c. Signing of directions  A
- d. Use of audiotaped version of test  A
- e. Assistance with interpretation of directions  A
- f. Braille edition of test  A
- g. Large-print edition of test  A
- h. Use of magnifying equipment  A
- i. Other (specify) \_\_\_\_\_  A

Exhibit 5-4. Questions from SD/LEP Questionnaire regarding IEP Accommodations (Page 2 of 3)



OK070517

12. Response Accommodations (Fill in all ovals that apply.)

- a. Response in Braille
- b. Response in sign language
- c. Oral responses
- d. Pointing to answers
- e. Tape recording of answers
- f. Use of computer to respond
- g. Use of typewriter to respond
- h. Use of calculator including talking or Braille calculators
- i. Use of template to respond
- j. Use of large marking pen or specially designed writing tool
- k. Other (specify) \_\_\_\_\_

OK070518

13. Setting Accommodations (Fill in all ovals that apply.)

- a. Test in small group
- b. Test individually
- c. Other (specify) \_\_\_\_\_

OK070519

14. Timing Accommodations (Fill in all ovals that apply.)

- a. Extended time
- b. More breaks during test
- c. Test sessions over several days
- d. Other (specify) \_\_\_\_\_

Exhibit 5-4. Questions from SD/LEP Questionnaire regarding IEP Accommodations (Page 3 of 3)

15. How would this student most appropriately participate in the NAEP reading/language arts assessment?

OK070524

- Ⓐ Without accommodations or adaptations
- Ⓑ With the accommodations or adaptations specified for district or statewide achievement testing of this student
- Ⓒ The IEP team or an equivalent group has determined that the student cannot participate in assessments such as NAEP reading/language arts.

16. How would this student most appropriately participate in the NAEP mathematics assessment?

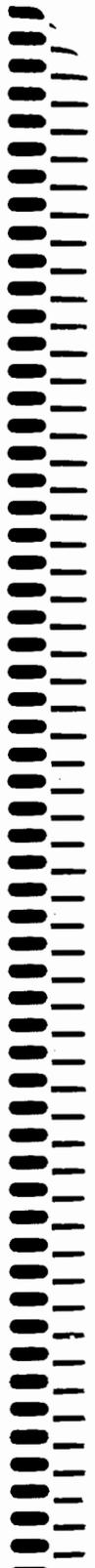
OK070525

- Ⓐ Without accommodations or adaptations
- Ⓑ With the accommodations or adaptations specified for district or statewide achievement testing of this student
- Ⓒ The IEP team or an equivalent group has determined that the student cannot participate in assessments such as NAEP mathematics.

17. How would this student most appropriately participate in the NAEP science assessment?

OK070526

- Ⓐ Without accommodations or adaptations
- Ⓑ With the accommodations or adaptations specified for district or statewide achievement testing of this student
- Ⓒ The IEP team or an equivalent group has determined that the student cannot participate in assessments such as NAEP science.



For Limited English Proficient (LEP) students, the relevant questions are 19-21 and 26-30. (Exhibit 5-5). Questions 19-21 of the SD/LEP Questionnaire ask how many years, including the current year, has the student been receiving academic instruction in the subject areas of reading/language arts, mathematics, and science, primarily in English. If the answer is 3 years or more (response "d" or "e"), the student is to be included in the assessment without any accommodation or adaptation. If the answer is less than 3 years or "I don't know," then questions 26-30 determine whether the student could participate in the assessment and, if so, the accommodations or adaptations that are used for achievement testing with the student. Only students classified as LEP, who have received instruction primarily in English for less than 3 years, may be accommodated. Note, however, that the language accommodations that are offered by NAEP are limited.

## **5.7 Providing Accommodations and Adaptations**

### **5.7.1 Overview**

For purposes of this manual, we use the term "accommodation" to refer to modifications in the testing environment or administration procedures, such as allowing extra time, testing in small groups or one-on-one, etc. The term "adaptation" refers to changes in the assessment booklet itself, such as a native-language version, a Braille version, or a large-print version.

If the school usually provides accommodations, and NAEP is offering (Accom = YES) accommodations in this school, NAEP will allow them if they do not change the nature or meaning of the items or jeopardize the security of the text. If you have any questions about the acceptability of accommodations provided by the school, call your field manager.

Exhibit 5-5. Questions from SD/LEP Questionnaire regarding LEP Accommodations (Page 1 of 3)



QK070534

20. Including the current school year, how long has this student been receiving academic instruction in mathematics primarily in English?

- A Student does not receive academic instruction primarily in English.
- B 1 year
- C 2 years
- D 3 years
- E 4 years or more
- F I don't know.

W123SD/LEP

Page 9

QK070535

21. Including the current school year, how long has this student been receiving academic instruction in science primarily in English?

- A Student does not receive academic instruction primarily in English.
- B 1 year
- C 2 years
- D 3 years
- E 4 years or more
- F I don't know.

22. During this school year, what percentage of this student's - provided in his/her native language?

- A 0%
- B 1-24%
- C 25-49%
- D -



Exhibit 5-5. Questions from SD/LEP Questionnaire regarding LEP Accommodations (Page 2 of 3)

26. Are any accommodations or adaptations used for district or statewide achievement testing for this student? OK070553
- A Yes, tested with accommodations or adaptations
  - B No, tested without accommodations or adaptations  
[GO TO QUESTION 28]
  - C IEP states that student cannot be tested (for LEP students classified as SD).  
[GO TO QUESTION 28]

27. If your answer to question 26 is "Yes," which accommodations or adaptations are used for district or statewide achievement testing with this student? (Fill in all ovals that apply.) OK070554
- a. Native language version of test  A
  - b. Bilingual version of test  A
  - c. Word lists or glossaries  A
  - d. Bilingual dictionary  A
  - e. Help from a native speaker in interpreting directions and questions  A
  - f. Directions read aloud in English  A
  - g. Questions read aloud in English  A
  - h. Extended time  A
  - i. Other (specify) \_\_\_\_\_  A

28. How would this student most appropriately participate in the NAEP reading/language arts assessment? OK070559
- A English version without accommodations or adaptations
  - B English version with accommodations or adaptations
  - C Native language version or a bilingual version with or without accommodations or adaptations
  - D This student would not participate.

W123SD/LEP

Exhibit 5-5. Questions from SD/LEP Questionnaire regarding LEP Accommodations (Page 3 of 3)



29. How would this student most appropriately participate in the NAEP mathematics assessment? OK070540

- Ⓐ English version without accommodations or adaptations
- Ⓑ English version with accommodations or adaptations
- Ⓒ Native language version or a bilingual version with or without accommodations or adaptations
- Ⓓ This student would not participate.

30. How would this student most appropriately participate in the NAEP science assessment? OK070541

- Ⓐ English version without accommodations or adaptations
- Ⓑ English version with accommodations or adaptations
- Ⓒ Native language version or a bilingual version with or without accommodations or adaptations
- Ⓓ This student would not participate.

THANK YOU FOR YOUR COOPERATION.

## 5.7.2 Accommodations Most Frequently Used in NAEP

The following table shows accommodations most frequently used in NAEP, and the specific session types in which they are permitted for NAEP 2000.

Accommodation	Permitted in session type			
	Reading	Math	Short Form Math	Science
Bilingual booklet (provided by NAEP)	No	Yes	No	No
Bilingual dictionary (provided by school)	No	Yes	Yes	Yes
Glossary in Spanish (provided by NAEP)	No	No	No	Yes
Large-print booklet (enlarged on school equipment)	Yes	Yes	Yes	Yes
Extended time in regular session	Yes	Yes	Yes	Yes
Read aloud in regular session	No	Yes	Yes	Yes
Small-group administration	Yes	Yes	Yes	Yes
One-on-one	Yes	Yes	Yes	Yes
Scribe or use of computer	Yes	Yes	Yes	Yes
Other, specify (if provided by school)	Yes	Yes	Yes	Yes

These frequently used accommodations are defined as follows:

**Bilingual mathematics booklet** – NAEP has a bilingual mathematics booklet available, for 4<sup>th</sup> and 8<sup>th</sup> grade "regular" math only, for students whose IEP requires bilingual testing. When this booklet is open, generally one page will be in Spanish, and the facing page will contain the same directions/questions, but in English. The exception to this rule is when a series of questions relates to a graph or other figure. Because the directions are read out loud in Spanish, students using bilingual books will need additional time and should be administered in separate sessions. These assessments will require a separate testing space, which presumably will be a regular classroom. You should have someone who is proficient in Spanish read the Spanish script. This script will be packaged with the bilingual mathematics booklets.

**Glossary of science terms in Spanish** – NAEP has developed an English-Spanish glossary of the science terms used in the science sessions for each grade level. Only LEP students who have received instructions primarily in English for less than 3 full school years and whose IEP requires using either a Spanish language test, word list, or glossary should be offered the glossary. Students receiving the glossary will receive an accommodation booklet and a science kit and may need extended time.

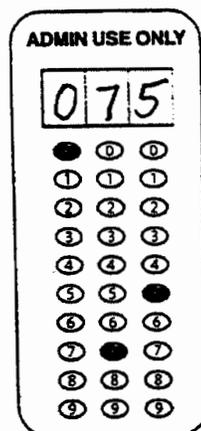
**Bilingual dictionary** – The student may use his/her bilingual dictionary or one provided by the school if his/her IEP requires one. (NAEP will not provide bilingual dictionaries.)

**Large-print booklet** – If a student's IEP stipulates that s/he should be assessed with a large-print booklet, you will enlarge an assessment booklet using the school's copying machine.

**Extended time** – Some students may not react well under pressure or may have a disability that requires them to take longer than other students to complete tasks. When extended time is the primary accommodation, it is for this reason. In addition, extended time is often a secondary accommodation; for example, it is assumed for students who use large-print booklets and may be specified for some LEP students who otherwise are assessed with the English-language booklets.

Students for whom extended time is the primary accommodation may be assessed within the regular assessment session. If so, they will be told that they can take longer to finish the assessment and can return to sections they have not finished at any time. The only limitation on extended time is that the time allocated for a particular section of the booklet cannot be more than three times the length of the regular section. Typically, these students will not require much more time than the regular session.

In all instances in which students are given extended time, it is important that the total number of minutes that they took for the cognitive sections (i.e., reading, mathematics, or science items) be recorded on the booklet cover in the three "Admin Use Only" boxes as shown below. In this example, the students took a total of 75 minutes for the cognitive items. Note that you should zero-fill the boxes.



**Read aloud** – Some students require some words, phrases, or sentences to be read to them. Generally, these students will be in a regular session, but will be told ahead of time that if they need something read to them to raise their hand. The administrator will quietly read the word, phrase, or sentence to the student as requested. This accommodation is not allowed in reading sessions.

**Small-group sessions** – These sessions will be conducted for students who have difficulty in a large-group setting. (For every 5 students requiring this accommodation, a separate session is recommended.)

**One-on-one** – Some students with physical disabilities may not be able to write their responses to the questions. They may take tests with the aid of a facilitator who records their responses for them, and perhaps reads questions to them. If the school provides a facilitator who works regularly with the student, it is preferable that the facilitator be available for the assessment. Otherwise, if the student can take a standardized test as long as someone is there to record his/her answers and/or read questions to him/her, an EA can serve as the facilitator. Note that in reading sessions, the questions cannot be read to the student.

**Scribe or use of computer** – If a student's IEP requires the use of a scribe or computer for recording answers under regular testing situations, it will be allowed for the NAEP assessment. However, the student will not be allowed to use the spell-check function on the computer.

**Other, specify** – There may be some accommodations that are not listed above but that may be required by students sampled for the assessment. For instance, some hearing-impaired students may require the administrator to wear a small microphone or a deaf student may require a sign language interpreter. Other students may need magnifying equipment. These types of accommodations are also allowed by NAEP. If a student in your school requires an accommodation that has not been mentioned and you have some doubt as to whether to allow the accommodation, call your field manager.

### **5.7.3 Organizing Special Accommodation Sessions**

From the point of view of test developers, it is preferable that standard and nonstandard administrations be held separately so that there is no impact of one on the other. However, it can be

argued that the intent of mainstreaming and providing accommodations is to include all students with their peers. Therefore, they should be assessed alongside their peers.

Working with the school coordinator, and perhaps the special education teacher and bilingual education teacher, you will need to decide for each SD/LEP student how best to provide the accommodations and adaptations that are required. A key consideration is how the school usually tests the student. If the student and his/her classmates are used to the accommodations being provided within the classroom, then we will follow the same procedure.

The type of setting you will need for separate accommodated sessions will depend upon the number of students to be assessed. In most cases, you should be able to use a much smaller space than will be used for the "regular" assessment. If the school regularly provides these types of accommodations, they probably already have a suitable space designated for that use. Once you've determined the number of students who will be assessed separately, discuss the situation with the school coordinator. If any of your assessments are to be conducted in rooms other than regular classrooms, you should see the room while you are there for your sampling visit. In this way, you can determine whether the space is adequate, and, if not, discuss the situation further with the coordinator.

The school is also likely to be concerned about the time requirements for the additional assessments. Sessions that are scheduled for students whose IEPs stipulate that they need "extended time" could run two to three times longer than the usual session. (Students will not be allowed to go beyond three times the regular length of the assessment, so there is an upper boundary for the length of time such a session might take.) The timing for the one-on-one administrations should be about the same as a regular session but could also run longer.

If the student's IEP stipulates that a **trained** facilitator must be used when that student is participating in a standardized test, we will ask the school to provide this person to work with the student for NAEP. The student's facilitator could be a counselor in the school, an aide, or any other individual trained to work with such students. Usually, there is one person in the school who works with the student, and a level of comfort is built up between the student and that person. Therefore, we want the school to have that same person available to the student who participates in the assessment. If the school indicates that person would not be available or the school does not want to use that person for the NAEP assessment, then we will not assess that student. However, if you are told that the student can be assessed as long as there is a facilitator and it does not need to be a specific individual, then you can use one of

your EAs to serve as the facilitator, and you or another EA can conduct the assessment. Even if the student is working with a facilitator, either you or one of your EAs must be in attendance at all times.

Another variation you might encounter in students' IEPs is that they can be assessed only in small groups (rather than a classroom setting) or that the assessment must be conducted in shorter sessions, rather than having the student complete the whole assessment in one sitting. This last procedure is frequently employed for students with Attention Deficit Disorder (ADD). You will have to work with the coordinator to determine the parameters on these assessments (i.e., how many students can be assessed as a small group? how many different sessions need to be administered for an individual student? etc.). The school should be able to provide space for the conduct of these assessments; frequently carrels or small offices where there are very few distractions are used.

If a student needs frequent breaks or multiple testing sessions, NAEP will provide this as long as the testing does not extend beyond the time you were planning to be in the school. Therefore, the testing should take only one day but could involve multiple sessions during that day.

## **5.8 Notifying Students, Teachers, and Parents**

In December, parent notification letters were mailed to the schools that requested them. During your initial meeting with the school coordinator, you should determine whether the school requires your assistance with the preparation and distribution of these letters. An EA may be assigned to address and sort the letters if the school requests.

Should a school decide during the sampling visit that notification letters are needed, you will have copies of the various letters in your bulk supplies. Appendix D of this manual also contains a copy of each of the available letter types.

Selected students and their teachers must be informed about the assessment session as well. It is critical that during the sampling visit you discuss with the school coordinator the best way of informing students and teachers about the assessment. Unless a student response rate of 90 percent is attained across like session types, makeup sessions will have to be scheduled. This generally means that in a session of 30 students, the absence of only 4 students will necessitate a makeup session. Therefore, it

is critical that you work closely with the school coordinator to ensure that every student sampled for NAEP who is in school on the day of the assessment shows up for the session at the appropriate time.

Your supplies will include **Student Appreciation Certificate Pads** (Exhibit 5-6) and **Assessment Notification Letters for Teachers** (Exhibit 5-7). The Assessment Notification Letter for Teachers briefly explains NAEP and can be accompanied by a list of students or a set of Student Appreciation Certificates. At the fourth grade, where students typically do not change classes, the Assessment Notification Letter accompanied by a list of students usually is sufficient to inform teachers of the students sampled for the assessment.

Past experience has proven that the use of student appointment cards (i.e., Student Appreciation Certificates) at grades 8 and 12 yields higher attendance on assessment day. Complete the Assessment Notification Letter for the appropriate teachers and Student Appreciation Certificates for all students indicating the time, date, and location of the assessment session, sort by class or homeroom and either give them to the school coordinator for distribution, or, if appropriate, offer to distribute them in the teachers' mailboxes yourself.

Some schools have said that a letter to the students explaining the assessment and encouraging their participation might produce a better response. An example of such a letter is presented in Exhibit 5-8. You may make copies of this sample letter to offer schools as you see appropriate.

## **5.9 Preparing the School Worksheet**

The School Worksheet is a summary document that consolidates information about the scheduling of the sessions in a school and records information on the results of the assessment. This is a working document for your use in calculating the student response rate across sessions of like subject areas (for example, reading) to determine if a makeup session needs to be scheduled.

Exhibit 5-6. Student Appreciation Certificate

*Certificate of Appreciation*



*Presented to* \_\_\_\_\_  
(Student's name)

*for participating in the  
National Assessment of Educational Progress*

*Date:* \_\_\_\_\_

*Time:* \_\_\_\_\_

*Location:* \_\_\_\_\_

*Gary W. Phillips*

Gary W. Phillips, Acting Commissioner,  
National Center for Education Statistics  
U.S. Department of Education

Exhibit 5-7. Assessment Notification Letters for Teachers

Date: \_\_\_\_\_

TO: \_\_\_\_\_

FROM: \_\_\_\_\_

SUBJECT: National Assessment of Educational Progress

The National Assessment of Educational Progress (NAEP) is a congressionally mandated survey designed to measure the current status of educational attainments of young Americans and to report changes and long-term trends in those attainments at the national and regional levels. It is the first ongoing effort to obtain comprehensive and dependable achievement data on a national basis in a uniform, scientific manner.

Your district and school are participating in this study. We have selected students and developed an assessment schedule in collaboration with the school. Students from your classes are scheduled to attend the following sessions:

SESSION #	DATE	TIME	LOCATION
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

It is very important to the results of the study that every student selected for NAEP attends the correct session. Please see the attached list of students to determine the session that a student must attend. We would greatly appreciate every effort that you could make to see that students attend sessions on time.

Thank you very much for your cooperation.

/bkp  
Attachment

Exhibit 5-8. Sample Letter to Students

Dear Student:

(NAME OF SCHOOL) has been asked by the National Assessment of Educational Progress (NAEP) to participate in this year's assessment of mathematics, and science and reading. NAEP is also referred to as "The Nation's Report Card" and is charged by Congress with the task of reporting the academic performance of America's school children.

I am asking you and other (*FOURTH GRADERS/EIGHTH GRADERS/TWELFTH GRADERS*) to participate in this assessment by taking a 90-minute (*OR 2 HOUR IF SCIENCE*) assessment on (*DATE OF ASSESSMENT*). You have been selected to represent our school by taking part in the assessment.

The purpose of this letter is to inform you of this program and to ask for your participation. It is an important and worthwhile endeavor that will benefit education in general. Neither your name nor your individual performance on the assessment will be made public and participation will not affect your grades in any way.

I urge your cooperation and ask that you notify me immediately if you will not participate. I greatly appreciate your full cooperation by agreeing to do your best on the assessment.

The assessment will be held in room (*LOCATION*) at (*TIME OF ASSESSMENT*). Your teacher will be notified and you will be given a pass to show your teachers.

Please share this information with your parents. If I do not hear from you by (*DATE*), I will assume that you have agreed to participate. Feel free to let me know if you have any questions.

Thank you for your consideration of my request.

Sincerely,

Principal

The School Worksheet will be filled out in stages. The identifying information at the top may be filled out before you go to the school. After you have selected the sample of students and prepared the Administration Schedules in a school, items a-e should be filled in for each of the sessions (see Exhibit 5-9). Note that items b, c, and d are optional and may be left blank since you will have this information recorded in several other documents.

Items f-h can be filled in after the school coordinator has reviewed the list and determined whether any students have withdrawn or should be excluded and you have completed the accounting at the top of the Administration Schedule through "TO BE ASSESSED." The remainder of the School Worksheet will be filled in after the sessions are complete.

### **5.10 Using the Special Situation Form**

A Special Situation Form (Exhibit 5-10) has been developed and is included in your supplies from Westat. This form must be completed any time an assigned session is not scheduled and/or held or any other irregularity occurs during the sampling process or during assessment.

Another important use for this form is to record any problems that occurred during the sessions with mathematics manipulative materials or science kits. Please document in full any problems encountered by students, EAs or supervisors with these math and science materials.

Example situations requiring completion of the Special Situation Form include the following:

- The school decides you can conduct only some of the assigned sessions, i.e., school refuses to hold all of the sessions designated by NAEP on the SAF.
- A scheduled session cannot be held for any reason, such as insufficient materials or unavailable staff, not as many students in the school as expected.
- Race/Ethnicity or other demographic data cannot be collected.
- Background section or particular questions cannot be administered.

Exhibit 5-9. The School Worksheet

Supervisor: B. Smith  
 Region: N99

NAEP 2000 SCHOOL WORKSHEET

School ID# 999-101-1  
 School Name: JEFFERSON Elementary  
 School Coordinator: John Williams

Special Instructions/Comments:

NOTE: Please subdivide (with a slash) a session column if you need to record more than 2 sessions of the same type.

	SCIENCE				MATH				SHORT-FORM MATH				READING			
	SESSION #	SESSION #	ORIG. TOTAL	MAKE UP	TOTAL	SESSION #	SESSION #	ORIG. TOTAL	MAKE UP	TOTAL	SESSION #	SESSION #	ORIG. TOTAL	MAKE UP	TOTAL	
a. Date	<u>5/16/01</u>	<u>2/16</u>				<u>2/16</u>	<u>2/16</u>				<u>2/16</u>	<u>2/16</u>				
b. Time (optional)		<u>8:30</u>				<u>8:30</u>	<u>8:30</u>				<u>8:30</u>	<u>8:30</u>				
c. Place (optional)		<u>Room 24</u>				<u>Room 28</u>	<u>Room 28</u>				<u>Room 22</u>	<u>Room 22</u>				
d. EA (optional)																
e. Total in Sample																
f. # Withdrawn and Ineligible																
g. # Excluded																
h. # To be Assessed																
i. # Absent and Refused*																
j. # Assessed																
k. Response Rate (j/h)																
l. Make up Needed? (Y/N/NA)*																

\* All parent and student refusals must be included as absences in item i. However, if all absences are refusals, mark "NA" in item l. and do not schedule a makeup. If the response rate calls for a makeup and at least one student is absent, mark "Y" in item l. and schedule the makeup.

Exhibit 5-10. Special Situation Form

NAEP 2000  
SPECIAL SITUATION FORM

SCHOOL ID \_\_\_\_\_ DATE \_\_\_\_\_  
SUPERVISOR \_\_\_\_\_ ASSESSMENT DATE \_\_\_\_\_  
FIELD MANAGER \_\_\_\_\_

The expected number of sessions/students to be conducted/assessed in this school has been altered as noted below:

- School has fewer classes than number of sessions assigned.
- School wanted to assess all grade-eligible students.
- School wanted to do fewer sessions than number assigned.
- Other situation, (describe) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Resolution:** Please describe the outcome of the situation checked above. Indicate what sessions were dropped/added and the number of students actually assessed. Please include as much relevant information as possible.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- Materials for sessions other than those assigned and held are received and shipped back unused.
- The link between student and booklet number has been broken for one or more students in a session.
- A session is interrupted or cut short for reasons such as emergency evacuation or too little time to finish.
- Problems are encountered with math manipulative materials.
- Science kits contain broken materials, or other problems are encountered in using them.

Be sure to provide as much detail as possible about the situation. Keep a copy for your records and send the original to your field manager.

## **5.11 Completing Sampling Activities**

### **5.11.1 Meeting with the Coordinator**

After all sampling and questionnaire preparation activities have been completed, you will meet with the school coordinator to transfer assessment materials and to confirm arrangements for assessment day. Items you should confirm include:

- Time and location of each session
- Time, location, and any school assistance required for separate accommodations sessions.
- Availability of work space before and after assessment.
- Distribution of student, teacher, and parent notification materials.
- Distribution of school, teacher, and SD/LEP Questionnaires.
- Plan for determining school closing or delay due to weather concerns on assessment day.

### **5.11.2 The NAEP Storage Envelope**

Place the original lists of students, Administration Schedule(s), completed Post-it notes, and all Rosters in the NAEP Storage Envelope (Exhibit 5-11). Record on the envelope the date when these materials can be destroyed and staple the card to be returned after the materials have been destroyed and your business card on the envelope in case anyone at the school has any questions. June 1 or the end of the school year is the date that the materials can be destroyed **except for the Transcript Study** schools where the destroy date should be **12/30/00**. Also for the HSTS, keep an extra copy of the Administration Schedule, without student names, in the **school folder**. Give the NAEP Storage Envelope to the school coordinator to hold until assessment day. **Be sure you know where and with whom this envelope is being kept since you will need to retrieve it in order to conduct your assessments.**

### **5.11.3 Completing the Cover of the School Folder**

Because you are leaving many of the assessment documents at the school, it is important that you complete the section labeled "Sessions" on the cover of the school folder before leaving the school. Include any extra accommodations sessions. This information is necessary so that you can determine the number of EAs required and can provide each EA with the information he/she needs to prepare for the assessment.

Also note any additional materials you will need to add to the school shipment from your bulk supplies.

### **5.11.4 The EA's Assessment Form**

Prepare and distribute an EA Assessment Form (Exhibit 5-12) for each EA who will assist you in the school on assessment day. Be sure to consider any separate accommodations sessions when making EA assignments. Accurately record school name, address, telephone number, name of school coordinator, assessment date and time, session type and location within the school, directions to the school, parking instructions and any notes about special arrangements you may have made with the school. Note any preassessment tasks such as preparing Post-it notes that must be performed before the assessment.



Staple NAEP Business Card  
& Return Postcard  
HERE

## STORAGE ENVELOPE

(Use for Administration Schedules, Student Lists, and other assessment materials.)

Please retain the enclosed materials until June 1 or the end  
then return the NAEP postcard and destroy

School C

Staple NAEP Business Card  
& Return Postcard  
HERE

## STORAGE ENVELOPE

(Use for Administration Schedules, Student Lists, and other assessment materials.)

Please retain the enclosed materials until December 31, 2000,  
then return the NAEP postcard and destroy the contents.

School Coordinator:

---

Exhibit 5-12. EA Assessment Information Form

Supervisor: B. Smith

EA: Mary Jones

Phone Number: 333-444-1212

Region: N99

EA'S ASSESSMENT INFORMATION

SCHOOL: Lewis Middle School ID#: 999-306-1

ADDRESS: 3800 Washington Blvd.

Arlington, Va. 22017

PHONE #: 703-222-3322

SCHOOL COORDINATOR: Morris Thompkins

ASSESSMENT DATE: FEB. 24, 2000 TIME: 8:00 am / Meet at 6:50

SESSION TYPE: Science ROOM: 48C

DIRECTIONS TO SCHOOL: Take 495 West to Exit 9.  
At first light, turn right on King Ave.  
Make first left onto Washington Blvd.  
School is on right, 2 blocks down.

PARKING: Park in Visitors parking area.

OTHER INFORMATION (when and where to meet supervisor, arrival time, etc.): \_\_\_\_\_

All EAs are to meet Supervisor  
at 6:50 at main entrance door.

\*\*\*REMEMBER - ARRIVE ONE HOUR BEFORE ASSESSMENT TIME\*\*\*

Preparing and distributing detailed EA Assessment Forms insure that EAs have all the information they need to perform their tasks punctually, efficiently, and independently. The result means less intrusion for the school and less stress for supervisor and EAs on assessment day.

## 7. 2000 HIGH SCHOOL TRANSCRIPT STUDY

### 7.1 Overview

An important piece of NAEP's assessment program is the 2000 High School Transcript Study (HSTS). This study is being conducted to provide educational policy makers with information regarding current course offerings and course taking patterns in the nation's secondary school curriculum. In addition, this study will permit researchers to examine the relationship between course-taking patterns and educational achievement by linking data analysis to the 2000 main NAEP assessment.

Westat has conducted previous transcript studies in 1987, 1991, 1994, and 1998. The design for the 2000 study is very similar to the study conducted in 1998. That year, we were able to lay the groundwork for the collection of the transcripts at the time of the sampling visit, and then returned to the schools to obtain the transcripts from June through August. We were very successful in obtaining a high percentage of the transcripts that were requested in the schools participating in the Transcript Study.

The procedures discussed in this chapter are to be performed for HSTS during your sampling visit to grade 12 schools participating in the NAEP assessment program. In the spring, we will begin the second phase of the HSTS data collection. At that time, a separate document will be sent to a subset of supervisors and will outline the steps to follow during **Phase 2** of the High School Transcript Study (HSTS) which consists of the collection of the actual student transcripts.

#### 7.1.1 The High School Transcript Study (HSTS) Sample

The school sample for the High School Transcript Study (HSTS) will consist of all NAEP public high schools and a subset of the private high schools. (The total number of HSTS schools had not been decided at the time this manual was written.) In order to minimize non-response bias, the original sampled schools will be included in HSTS regardless of their participation in the main NAEP assessment, that is, we will ask the school to participate in the Transcript Study even if they refuse the NAEP assessments. The Transcript Study activities in "non-participating" NAEP schools will begin **after** the main NAEP data collection has been completed.

**All eligible twelfth (12<sup>th</sup>) grade students who were sampled for the 2000 main NAEP assessment** will be included in the HSTS student sample. This sample includes students who were either excluded or absent, though does not include students who have withdrawn or are ineligible. At least 20,000 student transcripts will be included in this year's sample.

Schools included in the HSTS sample will be clearly identified on the Session Assignment Forms (SAF). As illustrated in Exhibit 7-1, this form will include a reminder to complete the activities discussed in this chapter for the Transcript Study. There will also be a section of the SAF outlining seven steps to follow during the NAEP sampling visit. Very briefly, these steps are:

1. Discuss the HSTS with the school coordinator.
2. Complete the School Information Form (SIF).
3. Obtain and review course catalogs, and complete appropriate checklist.
4. Obtain and review three (3) sample transcripts, and complete appropriate checklist.
5. Mask all identifiers on the sample transcripts.
6. Identify and mark the sampled students' files.
7. Use 12/31/00 destroy date on School Storage Envelope.

#### **7.1.2 Data Collection**

Data collection for this study will be a two-phase process. The first phase will occur at the same time as the main NAEP sampling and assessment activities. The second phase will involve the collection of student transcripts following graduation. The information obtained and recorded in the School Information Form (SIF) will help determine when the second phase of data collection could begin. Key activities in each phase are listed below:

##### **Phase 1**

- The School Information Form (SIF) will be completed by the NAEP supervisor.
- Students for whom transcripts will be collected will be marked/identified in school files.

Exhibit 7-1. Session Assignment Form

2000 NAEP SESSION ASSIGNMENT FORM 10:10:38 AM on 11/20/99

Region: N31  
School ID: 479-3020  
School Name: Eldorado High  
School Address: 11300 Montgomery NE  
Albuquerque, NM 87111-2602  
School Phone: (505)296-4871  
School Type: Public

Assessment Date: 2/2/00  
Assessment Grade: 12

Types of Assessments: 2 Math, 2 Science

Teacher Questionnaire: Yes  
School Questionnaire: Yes  
SD/LEP Questionnaire: Yes

SD/LEP Information Needed on SLF: Yes  
Minority Information Needed on SLF: No

Provide Accommodations in all Subjects: No

High School Transcript Study: Yes

I. Sampling Steps:

- 1) Confirm with school administrator that all eligible students are being offered the assessment. If a student is not being offered the assessment, provide a reason for exclusion. The reason should be given in detail in your manual or on your computer.

BEING OFFERED in this school.

Distribute a School Questionnaire.

and distribute Teacher Questionnaires according to the specific instructions in your manual or in the NAEP documents folder on your computer. For this school, be sure to use the teacher questionnaire instructions for Grade 12.

VI. INSTRUCTIONS FOR THE HIGH SCHOOL TRANSCRIPT STUDY (HSTS) - GRADE 12

- 1) Discuss the HSTS with the school coordinator.
- 2) Complete the School Information Form (SIF).
- 3) Obtain and review course catalogs, AND complete the Course Catalog Checklist.
- 4) Obtain and review three sample transcripts, AND complete the Transcript Format Checklist.
- 5) Mask all identifiers on the sample transcripts.
- 6) Mark the transcript files for ALL students SELECTED FOR THE ASSESSMENT by inserting the bright green marker sheet in each file. Be sure to attach the students ID label and write the students name on the tab at the top of the marker sheet.
- 7) In this school, be sure to enter a 12/31/2000 destroy date on the School Storage Envelope. Verify with the School Coordinator where the storage envelope will be kept.

- Course Catalogs will be collected for the current school year (1999-2000) and for the preceding three years (1996-97, 1997-98, and 1998-99).
- Three (3) sample transcripts from previously graduated students will be collected and annotated. One should be for an honors student, one for a student with special education courses, and one for a "regular" student.

## **Phase 2**

- The final transcripts for the selected students will be collected.

### **7.1.3 Supervisors' Responsibilities**

Data collection for **Phase 1** of the HSTS will be carried out during the NAEP sampling visit to twelfth (12<sup>th</sup>) grade schools. Supervisor responsibilities for this phase of the study are fully described in the succeeding sections. Key aspects of the 2000 HSTS data collection are:

- **No student time is involved.** To minimize school burden, NAEP staff will work with school personnel in completing as much of the work as possible.
- **Confidentiality.** Before removing copies of transcripts from the school, students' names and other identifying information will be obliterated.
- **Transcript reimbursement.** Reimbursement for transcripts will be provided at the school's customary rate.

### **7.2 Contacts with Districts and Schools**

Early this fall, the Summary of NAEP Activities was sent to superintendents and principals notifying them about NAEP 2000 and the Transcript Study. Because this summary includes many aspects of the main NAEP assessment, the reference to HSTS activities may not have received the full attention of the school coordinator and/or school principal. Thus, for your contacts with school-level personnel, you will be provided with:

- An Informational Letter from Nancy Caldwell of NAEP/Westat (Exhibit 7-2); and
- A Summary of School Transcript Activities (Exhibit 7-3).

**SAMPLE**

January 2000

Dear School Coordinator:

As described in previous mailings to your school, the 2000 High School Transcript Study is being conducted in conjunction with the 2000 National Assessment of Educational Progress (NAEP). The purpose of this study is to supply data to educational researchers and policy analysts on course-taking patterns and to examine the relationship of these patterns to achievement in secondary schools sampled in the 2000 NAEP. NAEP schools are included in the sample in order that NAEP data and transcript data can be linked. The participation of all selected schools is needed to make the results of the transcript study comprehensive, accurate, and timely.

The activities for Phase 1 will be conducted at the same time NAEP supervisors are in the schools selecting the NAEP sample. In the summer of 2000, supervisors will return to the school to collect the requested transcripts.

The granting of U.S. Department of Education authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35. These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without the prior consent of the survey participants in connection with the audit and evaluation of Federal and State supported education programs. The privacy of the information schools are asked to supply to NAEP and the High School Transcript Study will be protected as required by FERPA and will be further protected by the removal of names and other identifying information. A copy of the relevant section of FERPA regulations will be provided to you prior to the collection of any transcripts.

I would appreciate your cooperation in this important component of the 2000 NAEP. If you have any questions about the study or its procedures, please contact me at (800) 283-6237.

Sincerely,

Nancy W. Caldwell  
Westat Project Director for NAEP

## 2000 HIGH SCHOOL TRANSCRIPT STUDY

### SUMMARY OF SCHOOL ACTIVITIES

This sheet summarizes the 2000 High School Transcript Study (HSTS) activities and will provide answers to questions you may have regarding the undertaking of these activities. More detailed descriptions of these tasks will be provided by NAEP supervisors during telephone and in-person visits to the school.

#### KEY ASPECTS OF THE HIGH SCHOOL TRANSCRIPT STUDY

- NO STUDENT TIME IS INVOLVED. NAEP staff will work with your school and do as much of the work as possible to minimize the burden.
- Students' names and other individually identifying information will be removed from copies of the transcripts before they leave the school.
- The school will be reimbursed at their usual rate for providing transcripts for the study.

#### ACTIVITIES INVOLVING SCHOOLS

- **Phase 1: January – March 2000**
  1. The 2000 High School Transcript Study (HSTS) sample will be identified by the NAEP supervisor.
  2. Course lists and/or course catalogs will be requested for the following years: 1996-97, 1997-98, 1998-99, and 1999-2000.
  3. Three (3) sample transcripts will be requested. One should include honors courses, one special education courses, and one with regular courses.
  4. The NAEP supervisor will review all materials prior to leaving the school in order to clarify any questions regarding transcripts, course catalogs and information collected.
- **Phase 2: Summer 2000**
  1. NAEP staff will return to your school in the summer of 2000 (or fall 2000 if you prefer) to collect the requested transcripts of students who have graduated.

These materials may be distributed to the school principal and school coordinator while you are at the school to conduct the NAEP sampling. When you call to confirm the sampling date make sure to discuss the High School Transcript Study (HSTS) with the school coordinator prior to the visit.

### 7.3 Preparing for Data Collection

The following forms and materials will be used to conduct the HSTS:

- **Session Assignment Form (SAF):** This form will specify, for each twelfth (12<sup>th</sup>) grade school, whether or not the school is sampled for the HSTS.
- **Administration Schedule:** This form will identify the HSTS student sample after the NAEP sampling has been completed.
- **School Information Form (SIF):** This form will be used as a guide to ensure the collected course catalogs and sample transcripts can be easily interpreted by Westat and that you have provided the necessary information required for each HSTS school.
- **Course Catalog Checklist:** This form will be used to help Westat staff interpret course offerings available at the school.
- **Transcript Format Checklist:** This form will be used to help Westat staff locate needed information on the transcripts.
- **Disclosure Notice:** This form will be placed in the sampled student files to assist with identifying the student population for whom transcripts will be obtained. This notice will include the provisions from the Family Education Rights and Privacy Act (FERPA) which explains the disclosure safeguards which grants Westat the authority to obtain transcript information.
- **Transcript Reimbursement Form:** This form will be completed in order to reimburse the school for receipt of three (3) sample transcripts.

Westat will provide pre-printed mini-labels (in each grade 12 session box) with the students' NAEP booklet ID number, and these labels should be attached to the Disclosure Notice which will be placed in the students' files. If by chance, you have no pre-printed labels, you should hand write the students' NAEP ID number on the tab of the Disclosure Notice. You should also write the student's name on the tab, so that you do not have to refer to the Administration Schedule each time you place a tab in a file. **Save the remaining labels in your school folder** so that they may be used again during the summer when the transcripts are collected.

#### 7.4 Procedure for the HSTS

After completing the sampling in the twelfth (12<sup>th</sup>) grade main NAEP school and preparing the Administration Schedule, double check the Session Assignment Form (SAF) to confirm that the school is designated for Transcript Study. Then, you will then do the following:

- Identify students and mark the files from which a transcript will later be collected;
- Complete the SIF with the School Coordinator;
- Collect a current school course catalog (1999-2000) as well as catalogs from the preceding three years (1996-97, 1997-98, and 1998-99); and
- Collect three (3) sample transcripts from previously graduated students.

#### 7.5 Identifying Students for the HSTS

Proceed as follows when identifying students for whom transcripts will later be collected:

1. Identify **all grade-eligible students** on the Administration Schedule who are currently enrolled in the twelfth (12<sup>th</sup>) grade. These students **include** those identified as SD, having an IEP, classified as LEP, or enrolled in a Title 1 program. Any NIS, ineligible students, or withdrawn students are **excluded** from the HSTS.
2. Record the student's name and NAEP booklet ID number on the tab on the Disclosure Notice. (A mini-label with the ID number printed on it will be available). Be sure to write the student's name as well as the ID number on the Disclosure Notice. Place a "✓" on the Disclosure Notice, in the appropriate space to indicate a copy of the student's transcript will be provided to Westat, Inc. (See Exhibit 7-4.)
3. Place the Disclosure Notice in each sampled student's file. Since this task will be time-consuming, you may use your EA, hire a clerk, or offer to pay a school staff member to assist with this task.

Some schools will not allow you to have access to the students' files. If this is the case, discuss possible options with the school coordinator. Offer to reimburse school staff for any time that they may provide to complete this task.

4. Copy the Administration Schedule(s) **without student names** and keep them in your **school folder** for reference in the Phase 2 data collection.

## 7.6 Disclosure Notice

As described above, a Disclosure Notice (see Exhibit 7-4) will be placed in student files to indicate that the student has been sampled for the HSTS. One side of the notice explains Westat's authority to conduct the study; the reverse side presents the appropriate FERPA provisions regarding the conditions under which the disclosure of student records may be made without prior consent. You will be provided with sufficient copies of these notices for each student selected for the Transcript Study. If files are personally accessed, place one notice in each student's folder. If the school accesses the files on behalf of the study, give the school the Disclosure Notices you have completed with the names and NAEP booklet ID numbers of the eligible students. School personnel should place the Disclosure Notices into the students' folders so that they are easily identifiable when we return to the school later to collect the transcripts.

## 7.7 Parental Consent

When discussing with the school coordinator the study's information requirements, you may find instances where parental consent is required by the school in order to release the requested transcripts for **Phase 2** of the HSTS. Typically, school officials often realize that notification is not necessary, once you have shown them the disclosure notices and provided them with the details of the study requirements and procedures.

It is the intent of this study and of Westat to honor all requirements for consent. In doing so, review the study's information needs and procedures with the school coordinator to verify such consent is indeed required by the school or school district policy. Using the letter from Nancy Caldwell/Westat and the HSTS Activity Summary, point out the following information using:

- **The names of students are not being collected.** Elaborate precautions are undertaken to safeguard the anonymity of all students. Only the school will be able to make the link between our data and individual students.
- The Office of General Counsel of the U.S. Department of Education has reviewed the study requirements, has concluded that the HSTS conforms to FERPA regulations, and that **parental consent is not required under federal law.**

**DISCLOSURE NOTICE**

**2000 HIGH SCHOOL TRANSCRIPT STUDY**

Date: Spring Quarter 2000  
Fall Quarter 2000

A copy of this student's transcript \_\_\_ will be \_\_\_ has been provided to WESTAT, INC., agent for the U.S. Department of Education, National Center for Education Statistics (NCES). The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35. This disclosure statement fulfills the requirements of provision 34 CFR 99.32 of FERPA.

The High School Transcript Study (HSTS), sponsored by NCES, is being conducted to collect information on current course offerings and course taking in the nation's secondary schools. This student has been selected to participate in HSTS, and data from these records will be combined with others into statistical summaries and tables. No individually identifiable information will be released in any form.

- Copies of the **Disclosure Notice** will be placed in all of the student records accessed for the purpose of the HSTS (or notices will be given to the school coordinator to be placed in the appropriate student files).

If the school official insists that local policy requires parental consent, you will have two letters that you can provide to the school in order to inform parents of the Transcript Study. The first letter, which is the less stringent of the two, is the Parent Information Letter (Exhibit 7-5). This letter provides parents with information about the purpose and scope of the 2000 High School Transcript Study (HSTS), and is intended for parents of all students in the specified study population. Your bulk supplies will include an ample supply of these letters for schools that wish to use them.

Occasionally, school officials may decide that some form of parental permission will be essential before allowing student transcript data become available for the HSTS. If so, show the school official the second letter, the Parent Implied Consent Letter (Exhibit 7-6). This letter requires a parental signature only if the parent objects to releasing their students' transcript information. If there is no response to this letter, it is assumed that data can be released.

## 7.8 Confidentiality

Westat is firmly committed to the principle that confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not there are specific contractual obligations with the federal agency that is sponsoring the study. Westat ensures that information collected in the schools will be held in strict confidence, will be used only for the purposes stated in the study, and will not be disclosed or released to others without the consent of the individuals or facilities participating in the study.

This study has been designed so that no individually identifiable information is reported to Westat. Thus, supervisor responsibilities are two fold. Supervisors will "mask" any student identifiers, as demonstrated at training. However, at the schools, supervisors will also have access to the individual student identifiers, and thus will be bound by all relevant laws and regulations regarding confidentiality of student documents. At the same time, Westat will be dependent on supervisors to conform to the study procedures to allow this "unidentified" data to become statistically useful.

Exhibit 7-5. Parent Information Letter

**SAMPLE**

Dear Parent:

The National Center for Education Statistics of the U.S. Department of Education has authorized the National Assessment of Educational Progress (NAEP) to obtain student transcript data from schools selected to participate in the 2000 NAEP assessment. The transcripts will be requested during the summer after the selected students have graduated from high school.

The purpose of the 2000 High School Transcript Study is to supply data to education professionals on course-taking patterns, the relationship of these patterns to achievement, and issues related to special education and vocational education in secondary schools across the nation.

Your child's school has been selected to participate in this important study. In the summer of 2000, the school will provide NAEP with transcripts for a sample of students who were in the twelfth grade in the school year of 1999-2000. NAEP will reimburse the school for the costs of the transcripts. No student time is involved in the study; all students' names and other individually identifying information will be removed from the collected data before the data leave the school.

The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 2343g), as implemented by 34CFT 99.31(a)(3)(ii) and 99.35. These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without the prior consent of the survey participants, in connection with the audit and evaluation of Federal and State supported education programs. The privacy of the information will be protected as required by FERPA.

The 2000 High School Transcript Study (HSTS) will be an important source of information regarding the courses students take while in high school. We want to inform you of the participation of your child's school.

Sincerely,

Laurence T. Ogle, Ph.D.  
Project Officer,  
National Assessment of Educational Progress

Exhibit 7-6. Parent Implied Consent Letter

**SAMPLE**

Dear Parent:

The National Center for Education Statistics of the U.S. Department of Education has authorized the National Assessment of Educational Progress (NAEP) to obtain student transcript data from schools selected to participate in the 2000 assessment. The transcripts will be requested during the summer after the selected students have graduated from high school.

The purpose of the 2000 High School Transcript Study is to supply data to education professionals on course-taking patterns and the relationship of these patterns to achievement. The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 2343g), as implemented by 34 CRF 99.31 (a)(3)(ii) and 99.35.

Your child's school has been selected to participate in this important study. In the summer of 2000, the school will provide NAEP with transcripts for a sample of students who were in the twelfth grade in the school year of 1999-2000. NAEP will reimburse the school for the costs of the transcripts. No student time is involved in the study. Your child is one of the students for whom we may request transcript data. All students' names and other individually identifying information will be removed before the data leave the school. Before we proceed, we want to make sure that you do not have any objections to the school releasing transcript information. If you do object, please complete and return the attached form to the school.

Thank you for your time and consideration.

Sincerely,

Laurence T. Ogle, Ph.D.  
Project Officer,  
National Assessment of Educational Progress

-----  
IF YOU DO NOT OBJECT TO THE RELEASE OF YOUR CHILD'S TRANSCRIPT, IT IS NO NECESSARY TO RETURN THIS FORM TO THE SCHOOL

I have been informed of the nature of the 2000 High School Transcript Study and object to the release of information from my child's transcript.

Print Child's  
Name: \_\_\_\_\_

Last

First

Middle

\_\_\_\_\_  
Parent's or Guardian's Signature

### **7.8.1 The Family Education Rights and Privacy Act (FERPA)**

The Department of Education has granted authority to Westat for collection of transcript data pursuant to the provisions of FERPA (as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35). (See Exhibit 7-7). These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without prior consent of the survey participants.

The disclosure of individually identifiable information from the education records of students is subject to special safeguards under the Family Education Rights and Privacy Act (20 U.S.C. 1232g). This law very carefully states the conditions under which schools may disclose such records and the persons to whom these materials are exposed. Furthermore, FERPA authority has its own requirements for protecting the privacy of information which Westat and Westat employees are required to honor.

### **7.8.2 Confidentiality Agreements**

The U.S. Privacy Act of 1974 (Public Law 93-579) is a federal law concerned with the individuals right to privacy. The law establishes certain safeguards that must be followed in protecting the privacy rights of persons who participate in federally sponsored surveys. Westat adheres to the provisions of the U.S. Privacy Act of 1974 with regard to surveys of individuals for the federal government. Therefore, employees and consultants of Westat are required to sign a pledge of confidentiality. This pledge states that the individual understands that she/he is prohibited by law from disclosing any information obtained while working on the study and pledges to abide by the assurance of confidentiality. Exhibit 7-8, is an example of the Assurance of Confidentiality Pledge signed by all Westat employees.

### **7.8.3 Masking Identifiers**

Confidentiality procedures for this study require that individually identifying information on persons about whom data are collected must never be released to anyone not officially associated with the study. This requirement means that reports prepared to describe the study findings will not include names of students or other participants, the school from which each student was sampled, or any other

## The Family Rights and Privacy Act (FERPA)

The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35. These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without the prior consent of the survey participants in connection with the audit and evaluation of Federal and State supported education programs. The privacy of the information you are asked to supply to the NAEP contractors will be protected as required by FERPA, and will be further protected by the removal of names and other identifying information. A copy of the relevant section of FERPA regulations is reproduced below.

**§99.31 Prior consent for disclosure not required.**

- (a) An educational agency or institution may disclose personally identifiable information from the education records of a student without the written consent of the parent of the student or the eligible student if the disclosure is:
- (1) To other school officials, including teachers, within the educational institution or local educational agency who have been determined by the agency or institution to have legitimate educational interests;
  - (2) To officials of another school or school system in which the student seeks or intends to enroll, subject to the requirements set forth in §99.34;
  - (3) Subject to the conditions set forth in §99.35, to authorize representatives of:
    - (i) The Comptroller General of the United States,
    - (ii) The Secretary, or
    - (iii) State educational authorities;
  - (4) In connection with financial aid for which a student has applied or which a student has received: *Provided*, That personally identifiable information from the education records of the student may be disclosed only as may be necessary for such purposes as:
    - (i) To determine the eligibility of the student for financial aid,
    - (ii) To determine the amount of the financial aid,
    - (iii) To determine the conditions which will be imposed regarding the financial aid, or
    - (iv) To enforce the terms or conditions of the financial aid.

**§99.35 Disclosure to certain Federal and State officials for Federal program purposes.**

- (a) Nothing in Section 438 of the Act or this part shall preclude authorized representatives of officials listed in §99.31(ax.3) from having access to student and other records which may be necessary in connection with the audit and evaluation of Federally supported education programs, or in connection with the enforcement of or compliance with the Federal legal requirements which relate to these programs.
- (b) Except when the consent of the parent of a student or an eligible student has been obtained under §99.30, or when the collection of personally identifiable information is specifically authorized by Federal law, any data collected by officials listed in §99.31(ax.3) shall be protected in a manner which will not permit the personal identification of students and their parents by other than those officials and personally identifiable data shall be destroyed when no longer needed for such audit, evaluation, or enforcement of or compliance with Federal legal requirements, 20 U.S.C. 1232g(bx.3).

**8. ASSURANCE OF CONFIDENTIALITY OF SURVEY DATA**

**Statement of Policy**

Westat is firmly committed to the principle that the confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of interview (or self-response), or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements, which are to be adhered to strictly.

**Procedures for Maintaining Confidentiality**

1. All Westat employees and fieldworkers shall sign this assurance of confidentiality. This assurance may be superseded by another assurance for a particular project.
2. Fieldworkers shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during fieldwork. Fieldworkers shall exercise reasonable caution to prevent access by others to survey data in their possession.
3. Unless specifically instructed otherwise for a particular project, an employee or fieldworker, upon encountering a respondent or information pertaining to a respondent that s/he knows personally, shall immediately terminate the activity and contact his/her supervisor for instructions.

**Pledge of Confidentiality**

I hereby certify that I have carefully read and will cooperate fully with the above procedures on confidentiality. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate, or provide access to survey data and identifiers except as authorized by Westat for a particular contract. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel whom I supervise. I understand that violation of this pledge is sufficient grounds for disciplinary action, including dismissal. I also understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination, or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

**9. SIGNATURE.** I have read this memorandum. I agree to Westat's Pledge of Confidentiality.

**Fieldworkers Name:** \_\_\_\_\_  
(PRINT)

\_\_\_\_\_  
(Signature)

**Social Security No:** \_\_\_\_\_

**Address:** \_\_\_\_\_

\_\_\_\_\_

**Date:** \_\_\_\_\_

information that could be used to identify an individual who took part in the study. The requirement also means that study personnel cannot disclose any information on individual participants collected through the survey to anyone who is not specifically authorized access to the information. These confidentiality protections cover both verbal and written disclosures of student information.

The key safeguard used for the 2000 High School Transcript Study (HSTS), to ensure applicable privacy requirements, is to remove all personal identifiers from the data reported to Westat's home office from the field. All identifying information on the sample transcripts obtained will be **masked using a black marker or correction tape** prior to shipping materials to Westat.

## 7.9 **Completing the School Information Form (SIF)**

As you go through the phases of data collection, a School Information Form (SIF) will be completed for each school participating in the HSTS assignment. The SIF is not formatted like a rigid questionnaire, because it assumes that schools will differ in where and how the information will be obtained to complete the form. Some items in the questionnaire are direct questions that you should ask the school coordinator, other items are discussions that you will have with the coordinator and record their comments (if any), and finally some items are for your use in confirming that you have obtained specific materials or completed a checklist. (A copy of the SIF is included at the end of this chapter.)

The SIF serves three key functions:

1. It provides a format to record key information about the school's grading structure, credit system, and graduation requirements.
2. It provides checklists to ensure that data preparation staff can easily interpret the course catalogs and transcripts that are collected.
3. It provides a place to record the names of school staff members whom data preparation staff can contact if clarification of materials is required.

Since this is not a questionnaire, you may paraphrase the responses you receive, continue on separate sheets of paper, or attach additional documentation provided by the school. **Please be sure that the school name and ID number are CLEARLY recorded on any additional sheets or documentation.**

The following sections (A-D) will briefly describe each portion of the School Information Form (SIF), how they should be completed, and how the information will be used.

### **Section A. School Information Form**

The School Information Form (SIF) will NOT be pre-labeled. Record the NAEP School ID (from the school folder) and your name in the upper right corner of the first page of the SIF. The information requested on the SIF will be obtained and completed during your site visit to the school. Section A also provides some guidance in describing to school personnel what will be required from their school for the HSTS assignment. The information gathered in this section will be used by HSTS data analysts to clarify course catalog and transcript data. It will also allow home office staff to contact appropriate school staff if additional information or clarification is needed. Finally, the information recorded in Section A will also assist in scheduling additional **Phase 1** and **Phase 2** activities.

### **Section B. Obtaining Course Catalogs**

This section will help you obtain the most appropriate school documentation, such as, specific type(s) of course catalogs and additional school materials that will be most informative to the HSTS data analysts.

- Q1: Indicates the type of catalogs obtained from the school. The types of catalogs are listed in descending order according to the type of catalog that will be most valuable for the data analysis. Our first choice is to collect school-level catalogs which is the first type of catalog listed. Be sure to specify the years for which you collect catalogs in Q.1b.

**BEFORE SENDING TO WESTAT, BE CERTAIN TO LABEL EACH COURSE CATALOG, COURSE LIST OR ANY ADDITIONAL TYPE OF SCHOOL MATERIALS WITH THE SCHOOL'S NAEP ID.**

- Q2 (a - f): These questions help in indicating **where** information is located in course catalogs and **how** particular types of courses are most easily identified.

- Q3: Indicates that the Course Catalog Checklist has been completed and will be included with the shipment of the catalogs. The Course Catalog Checklist provides guidance in discussing with school personnel catalog materials and

finding the most appropriate source for gathering additional information needed by HSTS data analysts.

- Q4: Provides Westat staff with a source of assistance if questions should arise regarding course catalogs.

### **Section C. Obtaining Other School Information**

This section provides Westat data analysts with the necessary information to standardize the number of credits awarded for courses across the nation, and the number of credits required for graduation. Some school districts award 1 credit for a full-year course while others award 4 or 10 credits for the same full-year course. As a result, schools vary in the number of credits required for graduation, even though the actual number of courses may be the same. Credits are converted to standardized "Carnegie Units" using the information provided in this section.

- Q1: The number of credits in the school's credit system that will be given one "Carnegie Unit" in the standardized credit system.
- Q1a - 1b: Provides information **if** credit policies have changed during the four years included in the HSTS.
- Q2 - 6: Provides an indication of the normal class load taken by students (including seniors).
- Q7 - 8: Provides information about credits given which may be different from "normal" or "usual" basis in specific schools.
- Q9: Provides information about availability regarding students' ninth grade courses and where to locate this information.
- Q10 - 11: Provides information about graduation requirements (including course requirements that do not receive credits) for various types of diplomas available at the specific school. Q.11 calls for a **specific page reference** if this information is recorded in the school catalogs.
- Q12: Provides a format to describe graduation requirements in various curricular areas. Additional explanation may be required on separate pages if this format is not appropriate for the school. Many school systems have alternative requirements such as "4 credits of mathematics and 3 of science" OR "3 credits of mathematics and 4 of science."

**The minimum number** of required credits should always be recorded. **Example:** 3 mathematics credits and 3 science credits would be entered on this list. The additional credit(s) in science OR math would be listed under "other."

Because of combinations such as this one, the total credits entered on the bottom line may not be the same as adding the requirements in each individual area.

- Q14: Indicates whether or not the graduation requirements recorded in Q.12 are for four (4) years of high school.
- Q15 - 16: Indicates whether there are additional requirements other than the course credits required for graduation.
- Q17a: Determines whether the school offers any special programs or serves as a magnet school.
- Q17b: Indicates when the school established their special programs or became a magnet school.
- Q18: Determines the extent of computer availability throughout the school.
- Q19: Provides a contact at the school for Westat staff to reach if they have additional questions about graduation requirements, special programs, or technology recourses.

#### **Section D. Reviewing the Transcripts**

This section provides guidance to Westat staff in identifying and interpreting the information on the school transcripts. The format and content of the transcripts may differ greatly among schools and school districts making it essential that you understand how to read the transcripts provided by each school. The sample transcripts will help data analysts prepare for efficient and accurate data entry of the actual transcripts collected in Phase 2 of the HSTS.

- Q1: Confirms that 3 sample transcripts, at 3 "levels", have been obtained.
- Q2 - 3: Describes the school's grading system. If an "A, B, C" type of system is not used, describe as fully as possible what type of system they use. Example: "A 4-point scale, with 4 indicating 'outstanding' and 0 indicating 'failure.'"
- Q4: Will help to match courses appearing on transcripts with those in the course catalog by matching either course titles or numbers where applicable.
- Q5: Will provide a "dictionary" of abbreviations found on transcripts that would be difficult for Westat's data analysis staff to understand without explanation.
- Q6 - 7: Provides a final check that sample transcripts have been collected, coded, checked and masked, and that Westat staff can contact appropriate school personnel if questions should arise in the future. Indicate here that the Transcript Format Checklist has been completed and that the sample transcripts have been marked to correspond to the Checklist.

## 7.10 Collecting Course Catalogs

Another important step in the HSTS is collecting information regarding school course offerings. Before leaving the school, collect the school's course catalog for the current year (1999-2000) as well as catalogs for the proceeding three (3) years (e.g., 1996-97, 1997-98, and 1998-99). If no course catalogs are available, obtain whatever information is accessible which provides detailed information about the school's curriculum. **Be sure to record the NAEP school ID on each catalog you obtain.** (Westat will provide pre-printed mini-labels for each grade 12 school in your assignment.) Ideally, we would like to obtain "school-level" catalogs (listed below as #1, that is, the first preference); if these are not available, the "order of preference" for the type of course catalogs to be collected in the study is as follows:

1. School-level catalogs which provide course names and descriptions;
2. District-level catalogs which provide course names and descriptions with the course offerings for that particular school clearly indicated;
3. A course list by department which includes general descriptions of course offerings by department;
4. Course lists without descriptions; and
5. District-level catalogs without school-level indications.

Before leaving the school, review the catalogs thoroughly to ensure that you have a complete listing of **all** courses available to sampled 2000 twelfth graders for all four years of high school. As you review the catalogs, complete the Course Catalog Checklist (Exhibit 7-9), indicating the availability of the course materials you have obtained from the school. If only a district-level catalog is available, please try to obtain a list of courses actually offered at the HSTS school. Again, as indicated by the above list of catalog types, school-level catalogs ("type 1") are the most useful to the HSTS analysis.

After you have reviewed the materials and completed the checklists, band the Course Catalog Checklist to the catalogs and prepare them for shipping. All materials collected for the HSTS should be shipped under separate cover **directly** to Westat. This includes the School Information Form (SIF), course catalogs, the Course Catalog Checklist, sample transcripts, and the Transcript Format Checklist.

**Exhibit 7-9. Course Catalog Checklist**

NAEP School ID: \_\_\_\_\_

Supervisor: \_\_\_\_\_

**Course Catalog Checklist**

Record each catalog title and check off all items, which are identified in the course description materials you have collected.

**School Level Materials**

School Year	Catalog Title	Course Title	Course Number	Course Credits	Course Description	Course Level <sup>1</sup>	Special Codes <sup>2</sup>	Special Programs <sup>3</sup>
1996-97								
1997-98								
1998-99								
1999-00								

**District Level Materials**

School Year	Catalog Title	Course Title	Course Number	Course Credits	Course Description	Course Level <sup>1</sup>	Special Codes <sup>2</sup>	Where Offered <sup>4</sup>
1996-97								
1997-98								
1998-99								
1999-00								

1 - Identified as Regular, Honors, A.P, Remedial, Special Education, ESL?

2 - Does the catalog describe what codes mean?

3 - Are Special Programs (Sp. Ed, IB, Vocational, etc.) included in this catalog?

4 - Does the district catalog identify courses offered at the sampled HSTS school?

### **7.10.1 How the Course Catalogs Will Be Used**

To help you understand your responsibilities regarding collection of course catalogs, it will be useful for you to understand how the information from the course catalogs will be used once the catalogs are returned for data processing.

Upon receipt, data preparation staff will review the Course Catalog Checklist, the catalogs, the Transcript Format Checklist, the sample transcripts, and any additional notes you have made regarding school materials/catalogs which were marked in the School Information Form (SIF). During this process, specially trained educational staff will assign a code to each course listed in the course catalog using a well established classification system known as the "Classification of Secondary School Courses" (CSSC).

The CSSC includes the titles and descriptions of vocational, academic, and general education courses offered in grades 7-12 in public and private schools in the United States. The coding scheme was initially developed to classify students participating in surveys conducted for the National Center for Education Statistics. Because this scheme provides an inventory of courses taught nationwide at the secondary level, a variety of broad policy analyses will be conducted. Analysis will consist of examining changing trends in secondary school curriculum, the equality of educational opportunity, the effects of secondary school education on student performance, and the transition of secondary students from high school to early adulthood.

Each course offered at the HSTS school will be assigned a code based on the course content rather than the course title. Therefore, for accurate coding, descriptive information in catalogs about course content is very important. After the entire catalog has been coded, coders will review the transcripts of the sampled students and match the title of each course appearing on those transcripts to a coded course from the catalog. They will then assign the appropriate CSSC code to each course based on the course descriptions contained in the school catalogs.

## **7.11 Collection of Sample Transcripts**

A third important task involved in the HSTS is obtaining copies of transcripts for three (3) previously graduated students. Be sure to mask all identifying information on the transcript copies. Use a black marker or correction tape to mask out the student's name and any other personal identifying information. One transcript should include honors courses, one should include special education courses, and one should include "regular" courses. The sample transcripts will allow Westat staff to carefully review the school's transcript format in advance of the Phase 2 data collection, and to request needed information or ask questions prior to collecting transcripts (in Phase 2) for the sampled students.

After three (3) sample transcripts have been collected, work through the Transcript Format Checklist (see Exhibit 7-10) and circle on the sample transcripts (using a red or orange pencil) the requested items identified on the Transcript Checklist. As the items are circled, number each with the appropriate number reflecting the item number from the Transcript Format Checklist.

Prepare the materials for shipping to Westat by attaching the Transcript Format Checklist to the three (3) sample transcripts that were collected.

## **7.12 Concluding Transcript Study Activities**

Make sure you have completed the School Information Form (SIF), Course Catalog Checklist, and the Transcript Format Checklist before leaving the school. It is imperative these forms are completed correctly for identifying information regarding the course catalogs and sample transcripts that are obtained. One additional document that must be completed in order to conclude the Transcript Study is the Transcript Reimbursement Form (Exhibit 7-11).

### **7.12.1 Transcript Reimbursement Form**

Reimburse the school for the three (3) sample transcripts at their standard rate for supplying the documents (usually \$1 to \$1.50). You may reimburse the school either in cash or by writing a personal check and claim the amount on your Time and Expense Report. To do so, complete a Transcript

Exhibit 7-10. Transcript Format Checklist

NAEP School ID: \_\_\_\_\_

Supervisor: \_\_\_\_\_

**Transcript Format Checklist**

Marked	Not Marked	Not on Transcript	
			1. Student's birthdate
			2. Student's race/ethnicity
			3. Student's gender
			4. Student's IEP/LEP status
			5. Student's graduation date
			6. Years attending this school
			7. Type of diploma awarded
			8. When a course was taken (year and semester)
			9. For a single course:
			a. course name
			b. number of credits
			c. length of course (year, semester, trimester)
			d. level of course (honors, remedial, special edu., regular)
			e. taught in another language (or ESL course)
			f. vocational courses
			g. location, if not taught at this school site
			10. Total number of credits received
			11. "Weighting" of course credits/grades (for honors or remedial levels)
			12. Are abbreviations or codes used on the transcripts? If so, indicate on the back of this form what they are and what they mean for those that are not obvious

Exhibit 7-11. Transcript Reimbursement Form

NAEP School ID: \_\_\_\_\_

Supervisor: \_\_\_\_\_

**Transcript Reimbursement Form**

School Name: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
\_\_\_\_\_

Number of Transcripts: \_\_\_\_\_ @ \$ \_\_\_\_\_ = \$ \_\_\_\_\_

Additional Costs = \$ \_\_\_\_\_

Total = \$ \_\_\_\_\_

**Check One**

PAYMENT MADE

Signature of Recipient: \_\_\_\_\_

PAYMENT TO BE MADE

Make check payable to: \_\_\_\_\_

Mail check to: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
HSTS Supervisor Signature

\_\_\_\_\_  
Date

-----  
**OFFICE USE ONLY**

Date Mailed: \_\_\_\_\_

Date Received: \_\_\_\_\_

Reimbursement Form (Exhibit 7-11) and have it signed by the school registrar or designated representative as documentation that the school has been paid for these transcripts. The original Transcript Reimbursement Form should be attached to your T&E as a receipt. Since the amount paid for transcript copies in Phase 1 will be small, we are asking you to pay this out-of-pocket. Please do not request Westat to prepare a check to the school for these small payments.

### 7.13 Shipping Phase 1 Transcript Data

After concluding the sampling and the HSTS activities for each school participating in the Transcript Study, mail the following materials to **Westat** using a separate envelope for each school. Prior to shipping any documents/materials, please verify the following items have been accounted for:

- Course Catalogs/Course Lists
- Three (3) Sample Transcripts
- Copy of Completed School Information Form (SIF)
- Completed Course Catalog Checklist
- Completed Transcript Format Checklist
- Completed Transcript Reimbursement Form

**NOTE:** At this point, only a copy of the SIF should be returned to Westat. The original should be kept the School Folder for use in Phase 2 of the HSTS.

Use the following information when shipping HSTS materials to Westat. Please note the contact person and address where materials will be sent. To assist with organizing packing and shipping of transcript materials, Westat will supply pre-printed labels and envelopes with the following shipping information. Otherwise, please mark all packages carefully with the contact name and address below.

<b>Attention:</b> Laura Coombs Westat c/o Intelligent Automation, Inc. 2 Research Place, Suite 101 Rockville, MD 20850
--

#### **7.14 Time and Expense Form**

Keep track (as much as possible) of the amount of time you spend on the Transcript Study activities. HSTS activities should be reported separately from main NAEP activities on your Time and Expense Form. The charge code you should use for the 2000 HSTS is **713141**.