

Revised NCO 12/21/74

REQUEST FOR RECORDS DISPOSITION AUTHORITY  
(See Instructions on reverse)

LEAVE BLANK	
JOB NO	NC1-419-79-1
DATE RECEIVED	7/13/79
NOTIFICATION TO AGENCY	
In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10.	
Date	9-14-79 <i>James P. O'Neill</i> Archivist of the United States

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, DC 20408

1. FROM (AGENCY OR ESTABLISHMENT)  
Department of Health, Education, and Welfare

2. MAJOR SUBDIVISION  
National Institute of Education

3. MINOR SUBDIVISION  
Teaching and Learning

4. NAME OF PERSON WITH WHOM TO CONFER  
Tongsoo Song

5. TEL. EXT.  
254-5830

6. CERTIFICATE OF AGENCY REPRESENTATIVE.

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records; that the records proposed for disposal in this Request of 12 page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified.

- A Request for immediate disposal.
- B Request for disposal after a specified period of time or request for permanent retention.

C. DATE <u>7-5-79</u>	D. SIGNATURE OF AGENCY REPRESENTATIVE <i>Wella G. Proctor</i>	E. TITLE National Assessment of Educational Progress (NAEP) Files <i>Records officer</i>
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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO.	10. ACTION TAKEN
	<p><u>Introduction</u></p> <p>The National Assessment of Educational Progress (NAEP) is an annual study of the educational attainment of young Americans. The study obtains nationwide information on the knowledge, skills, understandings and attitudes of four age groups (9, 13, 17 and 26-35) in 10 school-related subject areas, with periodic reassessment in those areas to detect changes in the performance of each of these age groups. The ten subject areas assessed include: science, writing, citizenship, reading, literature, music, social studies, mathematics, art, and career and occupational development. Also, special probes (a special assessment of less than the complete NAEP sample and addressed to a specific, timely topic) are conducted periodically, e.g., basic math, and consumer skills.</p> <p>The NAEP project was proposed in the early 1960's by the former Commissioner of Education, Francis Keppel, and other leading educators as a means for obtaining an essential part of the information on the condition of education needed for educational policy making. After five years of planning, development, and preparation (1964-1969), the first assessment was conducted in 1969-70.</p> <p style="text-align: right;"><i>3/1 items</i></p>		

115-107  
*Copy to NWF, NCU, agency DE 9-25-79*

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	<p>Each year since then, NAEP has assessed one or more subject areas and is currently (FY 1979) in its 10th year of data collection.</p> <p>The NAEP operations are essentially those of test development, a large-scale survey, extensive dissemination, and the utilization and applications of NAEP methods, materials and data. The mainline activities of NAEP include: objectives development, exercise development, printing, sampling, field work for data collection, scoring, data processing, analysis, and report preparation. NAEP is a continuous project, with subject area assessment activities typically spread over a 72-month time span. The six-year life cycle of an assessment, with its major tasks and the length of time required to complete each of them, is shown schematically in Exhibit 1.</p> <p>In addition to these activities and tasks, NAEP widely disseminates objectives booklets, assessment and technical reports, and other publications such as brochures, pamphlets, and technical papers. NAEP also provides consulting services, technical assistance, assessment materials (e.g., objectives, exercises) and data to State and local education agencies. Annual workshops and conferences on assessment methods are held, offering overviews of techniques and experience in assessment. Exhibit 2, a NAEP leaflet entitled "Questions and Answers about the National Assessment of Educational Progress," provides additional information on the project.</p> <p>NAEP was funded during the early development years primarily by private foundations. Since 1968, NAEP has been supported by the Federal Government first under a grant and subsequently under a contract negotiated annually with the Exploratory Committee on Assessment of Educational Progress (ECAEP), and later with the Education Commission of the States (ECS) by the Bureau of Research (BR), which was renamed as the National Center for Education Statistics (NCES). The NAEP project was transferred from NCES to the National Institute of Education (NIE) in March 1979. The project is currently being competed and the winner will be awarded a grant for 52 months (September 1979 - December 1983) in September 1979. The grantees/contractor, types of support, time periods for support, the funding agencies, and time periods for types of support under the funding agencies during the life of this project are as follows:</p>		

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7. ITEM NO.	8. DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9. SAMPLE OR JOB NO	10. ACTION TAKEN															
1	<table border="0"> <tr> <td style="border-bottom: 1px solid black;">Grantee/ Contractor</td> <td style="border-bottom: 1px solid black;">Type of Support (Time Period)</td> <td style="border-bottom: 1px solid black;">Funding Agency (Time Period)</td> </tr> <tr> <td>ECAEP</td> <td>Grant (1968-69)</td> <td>BR(NCERD)/USOE(1968-69)</td> </tr> <tr> <td>ECS</td> <td>Grant (1969-74)</td> <td>NCERD/USOE(1969-71 NCES/ASE (1971-74)</td> </tr> <tr> <td></td> <td>Contractor(1974-79)</td> <td>NCES/ASE (1974-Mar 79) NIE (Mar-Aug 79)</td> </tr> <tr> <td>Unknown</td> <td>Grant(Sept 79-Dec 83)</td> <td>NIE(Sept 79-Dec 83)</td> </tr> </table> <p>NAEP files accumulated since 1968 contain records and documents generated internally within the funding agencies, and documents and materials received from the grantees and the contractor. A substantial portion of records, documents, and materials presently kept in the NAEP files (perhaps as much as 80-90%) is those received from the grantees and the contractor; and a large portion of those received is reports, documents, and materials that are sent to the funding agencies for routine reporting and information purposes and, therefore, have relatively little retention value beyond a few years.</p> <p><u>NAEP Annual Proposals and Five-Year Plans File</u></p> <p>NAEP Proposals and five-year plans received annually from the contractor for the funding agency's review and approval, and evaluations of the annual proposals by internal and external reviewers. The proposals contain a description of the assessment activities and tasks (e.g., objectives development, and sampling) and methods (e.g., the consensus approach to objectives development, and the matrix sampling of respondents) as well as an itemized budget proposed for a specified time period. The annual five-year plans outline the assessment activities and tasks and a budget planned for each of the five years included in the plans.</p> <p>Disposition: (a) Annual proposals. Permanent. Transfer to the Washington National Records Center when 5 years old. Offer to NARS when 20 years old. (Total volume - 0.5 cubic ft. Estimated annual volume - 0.2</p>	Grantee/ Contractor	Type of Support (Time Period)	Funding Agency (Time Period)	ECAEP	Grant (1968-69)	BR(NCERD)/USOE(1968-69)	ECS	Grant (1969-74)	NCERD/USOE(1969-71 NCES/ASE (1971-74)		Contractor(1974-79)	NCES/ASE (1974-Mar 79) NIE (Mar-Aug 79)	Unknown	Grant(Sept 79-Dec 83)	NIE(Sept 79-Dec 83)		
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2	<p>cubic ft. Arrangement - chronological)</p> <p>(b) Evaluations of proposals. Destroy when 5 years old.</p> <p>(c) Five-year plan. Destroy when 2 years old.</p> <p><u>NAEP Progress Report File</u></p> <p>Quarterly progress reports are prepared by the contractor to inform the funding agency about the progress made by the project and include information on major activities performed and accomplishments, problems encountered, significant findings and events, dissemination activities, personnel matters, and activities planned for next quarter. Appendices include such items as the subcontractors' progress and technical reports, technical papers prepared by NAEP staff, summaries of NAEP conferences (e.g., objectives and exercises development conferences), draft and final versions of assessment reports and other publications, and information copies of expenditure reports submitted to the Contracts Office.</p> <p>Disposition: (a) Progress reports. Permanent. Transfer to WNRC when 3 years old. Offer to NARS when 20 years old. (Total volume - 0.4 cubic ft. Estimated annual volume - 0.1 cubic ft. Arrangement - chronological)</p> <p>(b) Appendices. File in other appropriate files, e.g., newsletters and assessment reports in Reports and Publications File, and summaries of exercise development conferences in Exercise Development File when 1 year old.</p>		
3	<p><u>NAEP Reports and Publications</u></p> <p>- NAEP assessment reports -- reports on the results of the yearly assessments such as brief summaries of the performance of the NAEP age groups on selected exercises, general overviews of the achievement of various NAEP report groups in the subject areas assessed, topical analyses of results for specific audiences, and technical volumes presenting released exercises, documentation,</p>		

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4.	<p>scoring guides, national and group results on individual exercises and content areas of the subject fields assessed.</p> <ul style="list-style-type: none"> <li>- Objectives booklets -- a description of the objectives and subobjectives developed for 10 learning areas for use in NAEP assessments, and the development process</li> <li>- Kits and exercise sets -- NAEP assessment booklets or collections of NAEP assessment items designed for State and local education agencies interested in reviewing or using NAEP's released items.</li> <li>- Monographs and special publications -- in-depth descriptions of the basic concept and technology of the NAEP project, including processes of developing exercises, sampling and measuring outcomes.</li> <li>- Demonstration packages -- typical exercises illustrative of NAEP assessments.</li> <li>- Brochures -- brochures, leaflets, and flyers explaining what NAEP is and what is available from NAEP.</li> <li>- Summary leaflets -- a series of two-page leaflets published in 1977-78 summarizing NAEP results and reports</li> <li>- Article reprints -- Reprints of articles that have appeared in a variety of education publications focussing on various aspects of NAEP.</li> </ul> <p>Disposition: (a) Reports, objectives booklets, and monographs and special publications. Permanent. Transfer to WNRC when 5 years old. Offer to NARS when 20 years old. (Total volume - 2 cubic ft. Estimated annual volume - 0.3 cubic ft. Arrangement - chronologically by subject.)</p> <p>(b) Other materials. Destroy when 5 years old.</p> <p><u>OMB/EDAC Clearance File</u></p> <p>Annual OMB clearance packages, copies of ASE Form 1000, and related materials. An OMB clearance package submitted to OMB by the funding agency contains: the</p>		

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	<p>supporting statement which describes the survey plans, proposed data collection forms, justification for each of the questions asked in the forms, the nature and number of respondents, estimated respondent burden; and Standard Form 83, "Clearance Request and Notice of Action", used in obtaining the OMB approval of data collection forms. ASE Form 1000, "Request to Include Data Acquisition Systems in the HEW Educational Data Acquisition Plan," for NAEP prepared by the funding agency is used in reporting to the Educational Data Acquisition Committee (EDAC) the types and numbers of respondents and estimated respondent burden related to NAEP data collection forms. Other related materials include descriptions of NAEP procedures to protect the privacy of information obtained, instructions for preparation of these clearance and reporting forms, and correspondence concerning OMB/EDAC clearances.</p> <p>Disposition: (a) Descriptions of NAEP procedures to protect privacy. Send to FRC when 2 years old, Destroy when 5 years old.</p> <p>(b) SF 83 and ASE Form 1000. Destroy when 5 years old.</p> <p>(c) Other materials. Destroy when 3 years old.</p>		
5	<p><u>NAEP Objectives and Exercise Development File</u></p> <p>Documents and materials related to objectives and exercise development. The educational objectives for the subject areas to be assessed and the exercises (or test items) for use in actual assessments are developed jointly by NAEP staff and consultants. The files include development plans prepared by NAEP staff, summaries of objectives or exercises, development conferences, and materials used for these conferences, i.e., draft objectives and exercise developed by NAEP staff and consultants, exercise data sheets containing information on characteristics of individual exercise items such as the objective the item is measuring, the average number of minutes required to respond to the item, and acceptance or rejection of the item by the review panel.</p> <p>Disposition: Destroy when 3 years old.</p>		

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6	<p><u>NAEP Applications File</u></p> <p>Documents and materials related to NAEP applications activities. In addition to the mainline activities (e.g., exercise development, data collection, analysis), NAEP performs activities related to the utilization of its materials (i.e., objectives and exercises) and the applications of its methods and procedures for the mainline activities (e.g., matrix sampling and the consensus approach to objectives development) by Federal, State and local education agencies as well as professional organizations.</p> <p>The files include: planning documents, status and progress reports concerning the utilization and applications of NAEP methods and materials; and materials used for NAEP sponsored conferences on large-scale assessments, e.g., conference announcement and brochures, papers distributed at sessions which the project officers attended, and conference evaluation reports. All these documents are submitted to the funding agency by the contractor.</p> <p>Disposition: Destroy when 3 years old.</p>		
7	<p><u>NAEP NewsConferences and Media File</u></p> <p>Press releases and materials for use in NAEP newsconferences received from the contractor. For release of reports on major assessments (e.g., changes in science performance between 1970 and 1973 and between 1973 and 1977) or on topics of special current interest (e.g., consumerism, and energy), NAEP holds news conferences or issues press releases. The files include materials prepared and used for these purposes, e.g., lists/descriptions of major findings, sample exercises used for the assessment being reported, NAEP brochures explaining the purpose and activities of the project and publications available, and press statements issued by the NAEP Project Director and news conference panel discussants concerning the significance of the findings.</p> <p>Disposition: Destroy when 2 years old.</p>		

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8	<p><u>NAEP Advisory Committee Meetings File</u></p> <p>Documents and materials related to the meetings of major NAEP Advisory Committees, i.e., (1) the Policy Advisory Committee (2) the Analysis Advisory Committee (ANAC), (3) the Exercise Development Advisory Committee (EDAC) and others. The Policy Advisory Committee, comprised of educational leaders (e.g., Chief State School Officers, School superintendents) meets four times a year to review policy related issues (e.g., whether or not to conduct a small-scale assessment of basic reading skills in a particular year) and to advise on the course of action regarding those issues. The Analysis Advisory Committee comprising leading statisticians and psychometricians meets 5-6 times a year to provide NAEP staff with guidance concerning the difficult analysis problems. Similarly, the Exercise Development Advisory Committee (EDAC) composed of leading test and evaluation experts meets 2-3 times a year to advise NAEP staff on the problems of objectives and exercise development.</p> <p>Documents and materials related to these Advisory Committee meetings include: the meeting agenda, lists/descriptions of problems and background papers on them as well as alternative and proposed solutions, summaries of discussions in the previous meeting, and notes taken by the project officers attending the meetings. Materials for ANAC meetings also include computer runs and preliminary analyses of data; and those for EDAC meeting include draft objectives and exercises.</p> <p>Disposition: (a) Meeting summaries. Destroy when 5 years old.</p> <p>(b) All other materials. Destroy when 2 years old.</p>		
9	<p><u>NAEP Contracts File</u></p> <p>Copies of procurement action requests from program office to the Contracts office, information copies of contracts and grants awarded, amendments to and modifications of contracts and grants received from the Contracts office, and other related documents. Related documents include such items as the contractor's</p>		



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10	<p>requests for approval of purchase of equipment and services, the project monitor's recommendations as to the disposition of these requests, and correspondence and memoranda concerning these matters.</p> <p>Disposition: Destroy upon termination or completion.</p> <p><u>NAEP Subcontracts File</u></p> <p>Information copies of work statements for subcontracts issued by NAEP, technical and cost proposals submitted by subcontractors to NAEP, the subcontractor's periodic progress reports to NAEP, technical reports (e.g., sampling design and selection), correspondence concerning these matters, and materials related to NAEP/subcontractors "management meetings" held 7-8 times a year. Materials related to the management meetings include the meeting agenda, lists/descriptions of routine technical/administrative problems for resolution, background/discussion papers, handouts and other materials (e.g., planned vs. actual sample sizes for different strata) relevant to the topics of discussion, and notes taken by the project officers attending the meetings.</p> <p>Disposition: (a) Work statements, subcontractors' proposals. Destroy when 3 years old.</p> <p>(b) Subcontractors' technical reports. Destroy when 5 years old.</p> <p>(c) All other materials. Destroy when 2 years old.</p>		
11	<p><u>Inquires about NAEP</u></p> <p>Letters received from non-project related persons concerning NAEP and copies of the answers to these letters. The letters are of the following types: letters of political nature from Congressmen, Chief State School Officers, educators, and the general public endorsing the NAEP project or expressing the views on the NAEP project or some of its policy actions; the public's inquiries about the various aspects of the project; and requests for NAEP reports and publications.</p>		

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	Disposition: (a) Letters of political nature. Destroy when 5 years old.  (b) Other letters. Destroy when 1 year old.		
12	<u>Administrative Working File</u>  Project background records (e.g., NAEP tasks and methods), preliminary analyses, internal staff memoranda, copies of statistical tables and data, and information regarding equipment, facilities, etc.  Disposition: Destroy when 3 years old.		
13	<u>NAEP Project Planning/Justification Documents File</u>  Project descriptions and summaries as well as staff and budget justifications for the current and the future fiscal years prepared for planning purposes, and "questions and answers" and other materials prepared for use in OMB and Congressional hearings concerning the NAEP project. All are internal documents prepared by the project monitoring staff.  Disposition: Destroy when 3 years old.		
14	<u>NAEP Sole Source and RFP File</u>  Copies of the sole source (or non-competitive procurement) justifications on the NAEP contractor presented to the Sole Source Board, background materials used to prepare them (e.g., annual Federal funding of the project, a list of historical relationships between the Education Division and ECS, cost estimates for a NAEP competition), and internal memoranda concerning the sole source justifications.  Also draft and final versions of the Request for Proposals (RFP) for the NAEP project prepared by NCES staff in FYs 1976 - 1978 and background materials used for preparation of the RFP (e.g., NAEP activities planned for next few fiscal years, sample RFPs for other Office of Education projects).		

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	<p>Disposition: (a) Sole source justifications and the final NCES version of RFP. Permanent. Transfer to WNRC when 5 years old. Offer to NARS when 20 years old. (Total volume - 2 binders, one for sole source justifications and the other for RFP)</p> <p>(b) Internal memoranda and background materials. Destroy when 5 years old.</p>		
15	<p><u>Administrative Files Related to Educational Assessment Branch, NCES</u></p> <p>Miscellaneous reports, documents, and memoranda used for internal use (NCES, OE, and the Education Division), including such items as monthly reports on Educational Assessment Branch activities, documents and forms related to work measurement of the Branch, and travel plans.</p> <p>Disposition: Destroy when 1 year old.</p>		
16	<p><u>Policy-Related Documents</u></p> <p>Letters, memoranda, and position papers concerning policy-related matters of the NAEP project prepared by Education Division Administrators (e.g., Assistant Secretary for Education, U.S. Commissioner of Education, NCES Administrator, NIE, Director and their staffs. Also copies of communication concerning NAEP policy-related matters between them and NAEP project managers and staff or people concerned with the NAEP project.</p> <p>Disposition: Permanent. Transfer to WNRC when 5 years old. Offer to NARS when 20 years old. (Total volume - 1.0 cubic ft. Estimated annual volume - 0.1 cubic ft. Arrangement - Alphabetically by topic.)</p>		
17	<p><u>Past Project Managers' Files</u></p> <p>NAEP files maintained by high-level former NCES members who have had the responsibility of decision making regarding and/or monitoring the NAEP project. These files contain two broad types of records and documents: (1) policy files, and (2) administrative files.</p> <p>Disposition: (4) Review files and place policy files in item 16. Dispose of according to the disposition</p>		

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18	<p>instruction of item 16.</p> <p>(b) Administrative files. Destroy immediately.</p> <p><u>NCERD's NAEP Files</u></p> <p>Records and documents transferred to NCES from the old National Center for Educational Research and Development Office of Education, HEW in 1971, when the NAEP project was transferred from NCERD to NCES. The files contain the following types of records and documents:</p> <ul style="list-style-type: none"> <li>- NAEP proposals and their evaluations</li> <li>- Exercises (test materials) and student background questionnaires developed by the contractors</li> <li>- Descriptions of NAEP activities and methods developed for implementation</li> <li>- Conference reports</li> <li>- Progress reports</li> <li>- Press releases concerning the nature and findings of the project</li> <li>- NAEP newsletters</li> <li>- Budget preparations</li> <li>- Congressional testimony</li> <li>- Negotiations and contracts/grants</li> <li>- Trip reports</li> <li>- Reading files</li> <li>- Other administrative matters</li> <li>- Policy issues</li> </ul> <p>a. Records which document significant policy and program decisions, including annual proposals, progress reports, publications, and other records similar to those retained for NCE or NACP. PERMANENT. Transfer to WNRC immediately. Offer to NARS when 20 years old. Estimated volume: 1 CF; Arrangement: By Subject.</p> <p>b. Other records and documents. Destroy immediately.</p>			