

STATE SUPERVISOR MANUAL



NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS



NAEP 2000

MANUAL FOR SUPERVISORS
OF THE
2000 STATE NAEP ASSESSMENT

Conducted for:

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U.S. Department of Education

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1. INTRODUCTION AND OVERVIEW

1.1 Summary Background of The National Assessment of Educational Progress (NAEP)

For three decades, information on what American students know and can do has been generated by the Nation's Report Card, formally mandated by Congress as the National Assessment of Educational Progress (NAEP). NAEP is a continuing, national survey of the knowledge and skills of young Americans in major learning areas usually taught in school. It is the first, ongoing effort to obtain comprehensive and dependable achievement data on a national basis in a uniform, scientific manner. The purpose of the national assessment is to gather information that aids educators, legislators, and others in improving the education experience of youth in our country. Its primary goals are to measure the current status of the educational attainments of young Americans and to report changes and long-term trends in those attainments. Other goals include providing NAEP assessment methods and materials to the public, and assisting those who wish to apply them, in testing situations other than the NAEP assessment, at local, state, and national levels.

Planning and development of the National Assessment of Educational Progress began in 1964 with the appointment by the Carnegie Foundation of an Exploratory Committee on Assessing the Progress of Education. The specific tasks assigned to the Exploratory Committee included the development and testing of an all-inclusive methodology to assess the knowledge and skills of **groups** of American young people rather than of **individuals**. With support from both the Fund for the Advancement of Education and the Ford Foundation, the Committee completed the developmental phase of the project in late 1968.

NAEP has always been a unique cooperative undertaking of the education community and the federal government. The program is funded by the U.S. Congress, directed by the National Center for Education Statistics of the U.S. Department of Education, and governed by an independent group. The Assessment Policy Committee governed NAEP until 1988, when the National Assessment Governing Board (NAGB) was created by new legislation.

The National Assessment Governing Board, made up of representatives of state and local education associations and the business community, makes policy decisions and provides overall direction to the NAEP program. The board is responsible for selecting the subject areas to be assessed, which includes: adding to the subject areas specified by Congress; identifying appropriate achievement goals; developing assessment objectives; developing test specifications; designing the assessment

methodology; developing guidelines and standards for data analysis and reporting; and developing standards and procedures for interstate, regional, and national comparisons.

Each learning area assessment is the product of several years of work by a great many educators, scholars, and lay persons from all over the nation. Working in committee, these people propose general goals they feel Americans should be achieving during the course of their education. These goals are reviewed and discussed until a consensus is reached on objectives for each subject area. The objectives are then given to exercise (question) writers with the task of creating measurement instruments appropriate to the objectives. When the exercises have passed extensive review by subject-matter specialists, measurement experts, and lay persons, they are compiled into booklets to be administered to national probability samples of young people.

While the primary purpose of The Nation's Report Card is to document patterns and trends in student achievement, the project is also able to inform educational policy by collecting descriptive background information from students, teachers, and school administrators. The authorizing legislation for NAEP dictates a careful and extensive process of background questionnaire design and development. It states that the purpose of NAEP is **not** "to authorize the collection or reporting of information on student attitudes or beliefs or on other matters that are not germane to the acquisition and analysis of information about academic achievement." The law further provides that no data shall be collected "that are not directly related to the appraisal of educational performance, achievements, and traditional demographic reporting variables, or to the fair and accurate presentation of such information."

NAEP procedures guarantee the anonymity of participants, as **no student names are recorded on the assessment booklets nor removed from the schools**. The results of the national assessment are reported on the national level and by region of the country, not by school district, school, or individual student. Only group statistics are reported, broken down by gender, race/ethnicity, and a host of variables that illuminate students' instructional experiences.

In 1988, Congress authorized the expansion of NAEP to permit reporting at the state level. States volunteer to participate and assume responsibility for data collection in their states. At the state level, NAEP surveyed eighth-grade mathematics in 1990, eighth-grade mathematics and fourth-grade reading and mathematics in 1992, and fourth-grade reading in 1994. In 1996, state NAEP surveyed mathematics and science at eighth grade and mathematics at fourth grade. In 1998, eighth-grade reading and writing, and fourth-grade reading were assessed at the state level. For 2000, both fourth graders and eighth graders will be assessed in mathematics and science.

In preparation of a NAEP assessment, a field test is conducted in the previous year to pre-test questions, with regard to new test items, materials, and procedures. The national, state, and field test components of NAEP are described separately in greater detail in Sections 1.2, 1.3, and 1.4 of this chapter.

Since 1983, the management of all components of NAEP has been the responsibility of the Center for the Assessment of Educational Progress of the Educational Testing Service(ETS), while Westat has been responsible for all sampling and field administration activities. Since 1989, National Computer Systems (NCS) has been the materials distribution and processing subcontractor for NAEP.

1.2 The National Assessment

Beginning in 1969, the national assessment has gathered information about levels of educational achievement across the country and reported findings at the national and regional levels. Reading, writing, math, and science are the academic subjects that have been surveyed most frequently.

The 2000 national assessment will be conducted in a sample of approximately 2,700 public and private schools located in 94 geographic areas called primary sampling units (PSUs) throughout the United States. The PSUs were selected by Westat to represent the nation as a whole. The 2000 assessments will be conducted from January through March. They will test students in math and science at the fourth-, eighth-, and twelfth-grade levels and reading at the fourth-grade level.

In order to reduce the burden on the participating schools, national assessment field staff do most of the work associated with the assessment. Introductory contacts and meetings are held in the fall to explain the assessment procedures to school and district representatives and to set a mutually agreed-upon assessment date for each sampled school. The assessment supervisor visits the school to select the sample of students a week or two before the assessment. Westat field staff, called exercise administrators, under the direction of the assessment supervisor conduct the assessment sessions. At the completion of the assessment in a school, field staff code the booklets and ship the completed materials to National Computer Systems, the processing subcontractor.

1.3 The State Assessment

While the national assessment component of NAEP reports information for the nation as a whole and for geographic regions of the country, many people have maintained that more detailed information than is currently available from national assessment would assist efforts to improve American education. Because states have the primary responsibility for public education, state-level data is seen as being particularly useful.

As mentioned earlier, Congress responded to these concerns in April 1988 by adding a new dimension, the trial state assessment program, to the NAEP legislation. Under this then new federal project, states could volunteer to participate in the program and would assume responsibility for administration of the assessments within their states. The program began in 1990 as a trial. As of 1996, the authorizing legislation no longer considered the program a trial, therefore it is now known as the state assessment program. The grades and subjects assessed are a subset of those in the national assessment. After the assessments, states exercise the option to compare the knowledge and skills of their students with students in other states and in the nation.

In each state volunteering to participate, the 2000 state assessment involves:

- A sample of about 225 public schools per state (100 for eighth grade; 125 for fourth grade).
- Nonpublic schools are not in the state assessment in 2000. Instead, the national sample of nonpublic schools has been enhanced so that data can be reported for additional private school categories.
- A sample of about 60 students per school (30 students per subject). Schools will be assessed at either the fourth grade level OR the eighth grade level. Per state, this will yield approximately 5000 students assessed at each grade level (2500 for math and 2500 for science).
- State or local staff trained in assessment procedures by NAEP.
- Assessments conducted during February with schools spread evenly throughout this four-week period.
- Assessments conducted by state/local staff with a subsample of the assessment sessions monitored by NAEP staff.

1.4 The Field Test

The 2000 field test for the 2001 national assessment will be conducted from January through early February 2000. Fourth, eighth, and twelfth graders will be assessed in history and geography. The items tested will replace items released publicly after previous assessments in these subjects.

1.5 Overlap Among the National and State Assessment, and the Field Test

The components of each assessment – state NAEP, national NAEP, and the field test all affect each other to the extent that all components are conducted in many of the same states and in some of the same districts. Furthermore, a small number of schools will be participating in both the national assessment and the state assessment – either at the same grade level or at different grade levels. (The schools participating in field test, however, will not participate in the national or state assessment.) Therefore, coordination of the three programs is very important. Some states have been very supportive of the national assessment in the past, and this support has aided school-level participation. After all the districts in a state are notified, Westat staff are authorized to contact all of the schools to secure their cooperation and schedule their assessments.

For districts and schools in more than one program, confusion may arise about the differences among the programs and the role of the school in each. It is important that districts and schools are fully aware that the state is responsible for all data collection in the state assessment, while Westat is responsible for all activities related to the national assessment and the field test.

For 2000, 47 states and the District of Columbia are involved in the national assessment, 48 states and 6 jurisdictions have volunteered for the state assessment to date, while there are 31 in the field test. With so many jurisdictions involved in each of the NAEP components, there is substantial overlap. Exhibit 1-1 shows which jurisdictions are involved in each of the NAEP components.

Exhibit 1-1. States/jurisdictions in various NAEP components

45 STATES/JURISDICTIONS IN BOTH THE NATIONAL AND STATE ASSESSMENTS:

Alabama	Kentucky	New York
Arizona	Louisiana	North Carolina
Arkansas	Maine	Ohio
California	Maryland	Oklahoma
Colorado	Massachusetts	Oregon
Connecticut	Michigan	Pennsylvania
Delaware	Minnesota	Rhode Island
District of Columbia	Mississippi	South Carolina
Florida	Missouri	Tennessee
Georgia	Montana	Texas
Hawaii	Nebraska	Utah
Illinois	Nevada	Vermont
Indiana	New Hampshire	Virginia
Iowa	New Jersey	Washington
Kansas	New Mexico	West Virginia
		Wisconsin

8 STATES/JURISDICTIONS IN THE STATE ASSESSMENT ONLY:

Idaho	DoDEA	Guam
North Dakota	DoDDS	Virgin Islands
Wyoming		American Samoa

2 STATES IN THE NATIONAL ASSESSMENT ONLY:

Alaska	South Dakota
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The national assessment and field test school samples are selected from geographic areas (known as PSUs). By contrast, the geographic areas for the state assessment sample are the participating states, so if a state has volunteered to participate, the sampled schools are scattered throughout the state. To the extent possible, overlap of specific schools among the components is minimized. Currently there are 60 schools selected for both the state and national assessments. Special procedures will be applied in these schools. Exhibit 1-2 summarizes and compares the features of the national and state assessments.

Exhibit 1-2. Comparison of 2000 national assessment and state assessment

	NATIONAL ASSESSMENT	STATE ASSESSMENT	FIELD TEST
School Sample:	National sample of 3,200 public and nonpublic schools	State-level sample; approximately 125 schools per grade per state, public schools only	300 schools, public and nonpublic
Students Assessed:	Fourth grade Eighth grade Twelfth grade	Fourth grade Eighth grade	Fourth grade Eighth grade Twelfth grade
Subjects:	Mathematics Science Reading (fourth grade only) Short-form Math (fourth grade only)	Mathematics Science	History Geography
Assessment Time Period:	Jan. 3 – March 24, 2000 (includes make-up week)	Jan. 31 – March 3, 2000 (includes make-up week)	Jan. 3 – Feb. 11, 2000 (includes make-up week)
Reporting Level:	National and regional	State	N/A
Primary Responsibility:	Federal government/contractors	State	Federal government/contractors

2. ROLES AND RESPONSIBILITIES FOR DATA COLLECTION

Public Law 103-382, which authorizes the state assessment component of the National Assessment of Educational Progress (NAEP), divides responsibility for the program between the federal government and the participating states. Each participating state is responsible for the data collection in the state. To carry out this responsibility, each state appoints a state coordinator and each school selects an assessment administrator(s). The U.S. Department of Education, through the National Center for Education Statistics (NCES) and its contractors, is responsible for planning, development, materials production, sampling, training, scoring, analysis and reporting. NCES contracts the operational management of the program to the Center for the Assessment of Educational Progress at Educational Testing Service who subcontracts materials distribution and processing to National Computer Systems. Westat is the sampling and field administration contractor.

As the contractor responsible for the administration of the assessment, Westat has field staff operating in each state. The field organization is composed of: a field manager responsible for communications with the state coordinator; and a state supervisor responsible for sampling students to be assessed, training assessment administrators (AAs) and supervising the quality control monitors (QCMs). The QCMs are responsible for observing assessments.

The roles and responsibilities of the state coordinator, schools and districts, assessment administrators, and NAEP contractor staff for the 2000 state assessment are listed below.

2.1 State Coordinator Tasks

- Receive the school sample from Westat.
- Contact each sampled district and school to obtain cooperation.
- Secure the cooperation of schools selected to replace schools that have refused.
- For each cooperating school:
 - Schedule the date of the assessment; and
 - Arrange to receive a list of eligible students.
- Use the State Coordinator System or hard-copy lists to report to NAEP the information concerning assessment activities.

- Oversee receipt of lists of eligible students from each participating school and check each list for completeness.
- Obtain the name of the assessment administrator(s) responsible for assessment activities in each school and obtain a mailing address for assessment materials.
- Provide assessment administrators with their manuals and training schedule. Try to attend at least one of the assessment administrator's training sessions.
- Send the lists of sampled students (Administration Schedules) to each participating school at least two weeks before the scheduled assessment date.
- Keep NAEP field manager informed of any changes in scheduled assessment dates.
- Be available to assessment administrators for questions and problems.

2.2 District/School Tasks

- Send a list of all eligible students in the school to the state coordinator.
- Assign an assessment administrator(s) who will be responsible for all assessment activities in the school. The assessment administrator(s) should not be the teacher of the subject(s) being assessed for any of the students sampled. Therefore, the students' math and science teachers may not administer sessions that correspond to the subject they teach.

2.3 Assessment Administrator Tasks

- Attend an in-person training session.
- Receive and review assessment materials sent by NAEP.
- Receive the list(s) of sampled students (Administration Schedule(s)) from the state coordinator.
- For each sampled student, record the following information on the Administration Schedule: birth date, sex, race, teacher and class period, and whether the student has a disability (SD) or an Individualized Education Plan (IEP), is limited English proficient (LEP), receives Title 1 services, and/or participates in the National School Lunch Program.
- Distribute to a knowledgeable school staff member an SD/LEP Student Questionnaire for each sampled student who is identified as having a disability (SD) or an IEP, or who is identified as LEP.

- Consult the necessary staff and school records to determine if any student(s) should not be included in the assessment, following NAEP criteria.
- Give the School Questionnaire to the school's principal to be completed.
- Have the math and/or science teachers of the students selected to be assessed complete Teacher Questionnaires.
- Collect the completed questionnaires distributed within the school prior to the assessment.
- Make arrangements for the assessment session, and review the assessment materials sent to the school.
- Conduct the assessment session(s) (preferably assisted by another school staff member), prepare booklets for shipping, and complete the remaining record-keeping.

2.4 NAEP Contractor Tasks

- | | |
|---|--|
| <ul style="list-style-type: none"> ■ Coordinate NAEP school contact effort with state coordinators, especially regarding districts with schools in more than one assessment. | <p>Westat home office and Educational Testing Service.</p> |
| <ul style="list-style-type: none"> ■ Supply the state coordinator with the list of selected schools and informational materials. | <p>Westat home office and Educational Testing Service.</p> |
| <ul style="list-style-type: none"> ■ Train the state coordinator (and staff) on how to use the computerized State Coordinator Systems. | <p>Westat field manager.</p> |
| <ul style="list-style-type: none"> ■ Receive from the state coordinator information on the participating schools including assessment administrators' names/addresses and the assessment schedule in each school. This information will be transmitted via the State Coordinator System or hardcopy lists. | <p>Westat field manager.</p> |
| <ul style="list-style-type: none"> ■ Visit the state coordinator's offices and, for each participating school, select the sample of students and list them on Administration Schedules. | <p>Westat state supervisor.</p> |

- Provide the state coordinator with copies of the Manual for Assessment Administrators. Westat home office.
- Make all arrangements, in consultation with the state coordinator, for the assessment administrators' training sessions. Westat field manager and home office.
- Conduct the training sessions. Westat state supervisor.
- Send assessment materials to the schools. National Computer Systems.
- Monitor a subset of the assessment sessions in the schools and ship back assessment materials from the monitored schools. Westat quality control monitors.
- Supervise monitoring of sessions by quality control monitors. Westat state supervisor.
- Oversee activities of state supervisors. Westat field manager.

2.5 Schedule of Data Collection Activities

August 1999	Westat sends state coordinators the list of schools selected for the 2000 state assessment and informational materials.
Aug. – Sept. 1999	Westat field managers visit states to explain the computerized State Coordinator System.
Sept. – Nov. 1999	State coordinator obtains cooperation from districts and public schools. State coordinator reports participation status to Westat field manager via hardcopy lists or computer files. State coordinator sends Summary of School Activities, Student Listing Forms, and New Enrollee Student Listing Forms to participating schools.
Nov. 9 - 14, 1999	Training session for state supervisors.
Nov. 21, 1999	Assessments should be scheduled and all lists of eligible students received by the state coordinator.
Nov. 29 - Dec. 10, 1999	NAEP state supervisor visits state coordinator's office to select student samples and prepare Administration

	Schedules listing the students selected for each session. The state supervisor will prepare a package to be sent to each school containing the Administration Schedules and the Instructions for Assessing Students with Disabilities and/or Limited English Proficiency.
Dec. 6-10, 1999	Westat provides schedule of training sessions and copies of the Manual for Assessment Administrators to state coordinators for distribution.
Dec. 10 – Jan. 3, 1999	State coordinator notifies assessment administrators of the date and time of training and sends each a copy of the Manual for Assessment Administrators.
Jan. 6 -9, 2000	Training session for quality control monitors.
Jan. 10 - 28, 2000	Westat state supervisor conducts assessment administrator training sessions.
Jan. 17 – Feb. 11, 2000	State coordinator sends package containing Administration Schedules and Instructions for Assessing Students with Disabilities and/or Limited English Proficiency to each public school two weeks before the scheduled assessment date.
	NCS sends assessment materials to each school two weeks before the scheduled assessment date.
Jan. 31 –Feb. 25, 2000	Assessments conducted and monitored.
Feb. 28 – Mar. 3, 2000	Make-up week.

2.6 State Supervisor's Responsibilities

You will be responsible for the tasks summarized below and described in detail in this manual. These tasks begin immediately after training and must be completed by the end dates given.

Task	Schedule
Contact state coordinator to introduce yourself and discuss arrangements for sample selection.	November 15 - 19, 1999
Select sample of students for assessments and prepare packages for assessment administrators.	Nov. 29 – Dec. 10, 1999
Complete hiring of quality control monitors and obtain personnel forms.	December 17, 1999
Participate in quality control monitor training.	January 6 - 9, 2000
Conduct assessment administrator training sessions.	January 10 - 28, 2000
Supervise quality control monitors activities.	Jan. 31 – Mar. 3, 2000

Although you are just beginning your job as the state supervisor for the 2000 state assessment, you can see from the preceding schedules that many tasks have already been completed in preparation for this undertaking. The NAEP state field managers have been working with the state coordinators since late summer. In their meetings with the state coordinators, the field managers have:

- Insured that state coordinators are familiar with their tasks, including their responsibility to secure the cooperation of selected schools, schedule the assessments, and collect all lists of eligible students;
- Provided the state coordinators with instructions on using the automated system to record the status of all schools, the assessment schedule, the names of the assessment administrators, and shipping information for NAEP materials; and
- Established a schedule for assessment administrator training sessions. Using this schedule, Westat home office staff have made arrangements for the scheduled sessions. It is your responsibility, as supervisor, to confirm the arrangements.

During the state supervisor training session in November, you will meet with the field manager responsible for your state. At that time, s/he will brief you on the status of activities to date in your state. Among the topics that should be covered during this conversation are:

- The procedures that were used by the state coordinator to contact the schools;
- The status of gaining cooperation from the initially-selected schools (which should be completed by the time of training); and
- The status of the schools selected as substitutes for refusals, which will be ongoing.

Details on the schedule of AA training sessions and the schedule for the assessments will also be provided. These materials will be discussed in further detail in subsequent chapters of this manual.

You should also find out the field manager's expectations of when a sufficient number of school lists will be received by the state coordinator so that you can begin the sampling. Although one of your first tasks will be to contact the state coordinator to arrange for sampling, we are asking you to wait until you receive word from the field manager as to when you should make your initial contact.

2.7 Handling Requests from the Media Concerning NAEP

In recent years, as publicity about NAEP has expanded, the number of requests for information about NAEP or to see copies of the assessment booklets has increased. Additionally, some superintendents or school principals may wish to publicize participation in NAEP, either in the local press or in a school newsletter. The likelihood of your being asked questions concerning the assessment by the local media is quite low, since you will be spending very little actual time in the schools. It is more likely that such questions would be directed to the school principal or the assessment administrators. Therefore, it is important that you inform the assessment administrators how to respond to such requests. For general questions about NAEP from the media, you and/or school staff should refer questions to the state coordinator. The state coordinator has a press release about the state assessment program.

Generally, NAEP's policy has been not to show actual assessment booklets to anyone except the participating students. This is because even though NAEP releases a portion of the items administered each year, security of the unreleased items, which are used to measure change over time, is of utmost importance. Further, in order to preserve the students' confidentiality, under no circumstances

will materials with students' answers be shown to anyone. However, "security is not secrecy." A demonstration booklet that contains example background questions and sample items for each subject in the assessment will be given to each school. Each AA will receive two copies of the Demonstration Booklet at training -- one to keep and one to give to the principal. Generally speaking, this should take care of any requests from principals, teachers, and parents who wish to see examples of the kinds of questions that will be asked. If any individual or small group of individuals insist on seeing the actual booklets to be used in the assessment, notify your field manager. Within the limits of staff and resources, NAEP will make arrangements to have a meeting, at which time any of these groups may view the materials. During the assessment, school officials may look at unused booklets, but they may not keep or photocopy the booklets.

In addition to the Demonstration Booklets, an Information for Principals document will also be distributed to each school at AA training. This may also be used to help answer inquiries about NAEP from school staff, teachers, and parents. This document provides a rationale and justification for each student background question, and discusses the NAEP confidentiality policies and issues in detail.

Requests from state legislatures, school boards, or other community groups, should be directed to the state coordinator. The state coordinator may call upon ETS for support in responding to these requests. The state coordinator and ETS may hold a meeting with the concerned community members to discuss NAEP.

Occasionally, district/school personnel or the media have requested to photograph or videotape NAEP sessions. **UNDER NO CIRCUMSTANCES WILL NAEP PERMIT VIDEO-TAPING OR PHOTOGRAPHS TO BE TAKEN OF ANY PART OF AN ACTUAL ASSESSMENT.** Also, newspaper or broadcast reporters and photographers are **NOT** permitted to observe a NAEP session. These restrictions are based on the following concerns:

- A key strength of NAEP is that the assessment procedures are standardized; that is, the assessment is administered under uniform procedures. Obviously, television lighting, zooming camera lenses, or journalists arriving for interviews would alter this uniform setting.
- NAEP booklets contain items to be used in future assessments. Just as these booklets may not be removed from the room or photocopied, they may not be photographed.
- Last and certainly not least in importance, the confidentiality of students participating in NAEP is guaranteed, and the presence of cameras would seriously jeopardize that guarantee.

NO ASSESSMENT SESSION MAY BE HELD IF MEDIA ARE PRESENT AT THE SESSION.

Media coverage of NAEP after the assessment is completed is the prerogative of local school officials. You should leave all arrangements and/or interviews to the school officials who grant the media permission to enter the school.

Before, during, and after the assessment, NAEP booklets must remain confidential; items should neither be photographed nor copied by hand. To accommodate the needs of the media without disrupting the assessment, ETS will make available both a video tape and photographs simulating the assessment, upon request.

NAEP field staff faced with the unannounced presence of film crews or reporters should reason with reporters, note the availability of the simulated photos and videotape, and explain the above-mentioned reasons media are not permitted to attend the NAEP sessions. Reporters should be referred to the state coordinator for further information.

3. SELECTING THE STUDENT SAMPLE

3.1 Schedule of Sampling Activities

During the period from November 29 through December 10, you will visit the state coordinator's office to select the sample of students to be assessed and to prepare a package of materials for each school. In preparation for sampling activities, schools have been requested to prepare a list of their students and to send it to the state coordinator by November 19.

The schools will prepare the Student Listing Form (Exhibit 3-1) or a computer generated listing of all of their eligible students. According to the schedule, you will have 10 working days (November 29 – December 10) to complete the sampling activities for all schools; at the most, you **might** have 15 days if you continue sampling until December 17. Given that student samples must be selected for approximately 250 schools, you should plan your time carefully. Below are some suggestions for facilitating this effort:

- Once you have arrived at the state coordinator's office, the first thing you should do is review all the lists to ensure that each list is complete. In addition to listing all of the students, the schools are asked to provide the total grade enrollment at the top of each Student Listing Form (SLF). Check that the number of students listed on the SLF closely matches the total enrollment recorded at the top of the SLF. Refer any incomplete or questionable lists to the state coordinator immediately, so that s/he can follow up on them with the schools.
- Employ several clerks and plan to use them efficiently. A discussion of how to use clerks efficiently to aid you in the sampling process is included later in the chapter.

Be sure to discuss the issue of space with the state coordinator to make certain that you will have an adequate area to complete your work, once you know how large a staff you will be using. You will be working with a large quantity of paper and will need a considerable amount of space. This has been an occasional problem during previous assessments, and you should try to make sure it is resolved before you go to the state offices.

Exhibit 3-1. Student Listing Form for Grade 8 (Page 2 of 2)

2000 NAEP ASSESSMENT

A. Instructions for Preparing a List of Eighth-grade Students

1. Two or three weeks before the scheduled assessment date for your school, please prepare a list of **ALL students enrolled in the eighth grade** using the most current enrollment records available. If this is a year-round school, see special instructions below.
2. Include on the list students who typically may be excluded from other testing programs (such as some students with disabilities or limited English proficiency).
3. Provide the name and birth date for each student listed. As described below, additional information will be required for students selected for the assessment. You may prefer to provide this information on all students at the time you prepare the original list.
4. The list may be computer-generated or prepared manually using the NAEP Student Listing Form. A sample Student Listing Form is on the reverse side of these instructions. You may copy this form or request copies from your state coordinator.
5. Please keep the list of students at the school until the NAEP Supervisor arrives for the sampling visit.
6. After the NAEP Supervisor has selected the sample of students, s/he will ask the school to use NAEP criteria to identify students who should not be included in the assessment or may require accommodations.

B. Instructions for Preparing Computer-generated Lists

- Write the school name and address on list.
- List students in alphabetical order.
- Number the students.
- Double-space the list.
- Allow a right-hand margin of at least 2 inches.
- Include the date the printout was prepared.
- Define any special codes used.
- Include preparer's name.

C. Additional Information Required for Sampled Students

1. The NAEP supervisor will provide the school with the list of students selected for the assessment at the time of the sampling visit. The following additional information will be required for **each sampled student**:
 - **Homeroom** or other locator (optional)
 - **Sex**
 - **Race/ethnicity**, using these codes:
 - 1 = **White, not Hispanic**: A person having origins in any of the original peoples of Europe [except Spain], North Africa, or the Middle East.
 - 2 = **Black, not Hispanic**: A person having origins in any of the Black peoples of Africa.
 - 3 = **Hispanic**: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish [but not Portuguese] culture of origin, regardless of race.
 - 4 = **Asian or Pacific Islander**: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the original peoples of the Pacific Islands. These areas include, for example, China, Japan, India, Korea, the Philippine Islands, Samoa, and Hawaii.
 - 5 = **American Indian or Alaskan Native**: A person having origins in any of the original peoples of North America and who maintains cultural identification through tribal affiliation or community recognition.
 - 6 = **Other**: A person who identifies with more than one of the first five categories or has a background other than the ones listed.
 - **If Title I** - receiving Title I services.
 - **If SD** - Student with a disability (SD) or having an Individualized Education Plan (IEP) or equivalent classification (such as 504) for reasons other than being gifted and talented.
 - **If LEP** - classified by the school as limited English proficient.
2. You may prefer to provide this information when preparing the original list of all students. If so, include it on the computer-generated list or use the appropriate columns on the Student Listing Form.

Special Instructions for Year-round Schools

1. Please record the following information on the list of students: a) Total enrollment in the eighth grade; and b) Percentage of the grade 8 enrollment that will be off-track (not in attendance) on the assessment date.
2. In preparing the list of students, do not list students who will be off-track on the assessment date.

One possible solution to the space and time problem, depending upon the state coordinator's wishes, may involve "outside" space. In previous years, several state coordinators requested that we work in "office space" near the capitol building because they were unable to provide adequate space. In these cases, our staff rented parlor or conference room space in a nearby hotel (or worked at home, if they happened to reside close to the state capital). In addition to solving the space problem, this allowed our staff more flexible working hours. Again, this is completely at the discretion of the state coordinator; state policies regarding the confidentiality of student records differ widely. You must respect the decision of the state coordinator.

Finally, if you discover that sampling is taking much longer than planned, so that you will not finish by December 10, **and** the state coordinator cannot accommodate you beyond that date, notify your field manager immediately. The earlier you can notify the field manager, the quicker we will be able to provide you with help. Do not view such a request as an admission of failure; it is simply a recognition that the work is taking longer than anticipated.

3.2 Overview of the Sampling Process

While at the state office, you will complete the following tasks:

- Once you have determined that the student list is complete, use the sampling package on your NAEP laptop computer to select students from the Student Listing Form or from the school's computer-generated printout. Go to the Grade Information page of the school record to select the sample.
- Print the sampling line numbers generated by the computer (or record them on a Line Number Listing Form) for future reference.
- Record the names of sampled students (and other available information) on the Administration Schedules.
- Complete an Instructions for Sampling New Enrollees Form for each school¹. This form will be prepared while you are completing the sampling process at the state office but will not be sent to the school with the Administration Schedule. Instead it will be distributed to the assessment administrators at their training sessions. Directions for preparing the New Enrollee Listing Form are covered later in this chapter.
- Make copies of each school's Administration Schedules and Instructions for Sampling New Enrollees, which will be kept by the state coordinator.

¹ Schools are to maintain a list of students who enroll in the sampled grade after the original SLF is sent to the state coordinator. They are to use the New Enrollee Listing Form for this purpose. Assessment administrators will select a sample from this New Enrollee Listing Form using the instructions that you prepare.

- Prepare the mailing of the original Administration Schedules to be sent to the schools by the state coordinator.
- Prepare a packet containing the Instructions for Sampling New Enrollees and Criteria for Including SD/LEP Students in NAEP Assessments – for distribution at AA training.
- Save the sampling line number printouts (or Line Number Listing Forms) and be sure they are clearly marked with the school name, ID, and grade. The computer will print the school name and ID for you and will store all other important data in the State Coordinator System (SCS) for future use in processing the study results.

Before you go to the state office, check to make sure you have all the materials you will need:

- Your sampling assignment, i.e., the schools for which you will select student samples – you may print the assignment using the “Reports” function on your computer;
- Computer and printer;
- Your supply of Administration Schedules (preprinted and blank versions);
- Supply of Instructions for Sampling New Enrollees Forms;
- Supply of two versions of the Criteria for Including Students with Disabilities and Students with Limited English Proficiency in NAEP Assessments (one version for the half sample of schools offering accommodations, and one version for the half sample that will not offer accommodations);
- Materials for preparing mailing of Administration Schedules to be shipped by state coordinators;
- Line Number Listing Sheets;
- Sampling Checklist (included in this manual in Exhibit 3-2);
- Stapler; and
- School labels and envelopes (for the Instructions for Sampling New Enrollees and Criteria for Including SD/LEP Students in NAEP – to be held for distribution at AA training).

Exhibit 3-2. Sampling Checklist (Page of 1 of 2)

SAMPLING CHECKLIST – 2000 STATE NAEP

1. Confirm school ID, then number the students listed on the SLF (or computer-generated list).
2. Double-check that the numbering of the students listed is correct, that is, confirm that no numbers have been skipped and no numbers have been duplicated.
3. Compare the number of students listed (highest line number) with the Total Enrollment recorded near the top of the SLF. If these numbers differ by five or more students, determine reason for discrepancy. Resolve discrepancy, and continue with Step 4 below.
4. Use the NAEP system on your laptop computer to locate (the state and district and) school for which you wish to select the student sample.
 - Highlight the school name, then click on “Edit School” to display School Information.
 - Click on “Grade Information” to display second page of School Information.
 - Make sure that the status box says "cooperating" and that "SLF Returned" is checked.
 - Click on Sampling Date and enter the date that you are selecting the sample. Use four digits in year.
 - Place the cursor on the box for “Number on SLF,” click once, delete the "0", type highest line number from SLF, and double-check that the number is entered correctly.
 - Move the cursor to the “Sample” button, and click once.
 - The computer will automatically make checks of the various enrollment entries and select the line numbers for student sample(s). It is not necessary to enter the number of sessions – the computer will automatically produce sampling line numbers for the specific session type(s) to be conducted in each school.
5. Carefully review each text screen shown by the computer. Move to the next screen by clicking on “Close” or “Print”.
6. Be **sure** to print the line number screen – the computer will not save this screen. You will need a printed copy of the line numbers to complete the sampling paperwork for each school. (If a line number screen is lost or destroyed, you may re-sample that school, but you must also re-write any paperwork, such as Administration Schedules, for that school. Be sure to print and keep the line number screen that corresponds to the Administration Schedules for each school.)
7. On the student list, designate the selected students by placing an “M” for mathematics and “S” for science next to the line numbers of the selected students.

SAMPLING CHECKLIST – 2000 STATE NAEP (CONTINUED)

8. Record the number sampled, student names, and other available demographic information on the Administration Schedule.
 - Recheck the identification of the selected students.
9. Complete the remainder of the Administration Schedule.
10. Complete the Instructions for Sampling New Enrollees Form. Record (in Item 4) the first 10 line numbers for **each** session type and (in Item 3) the highest of all the line numbers recorded.
 - Take all of the completed Instructions for Sampling New Enrollees with you when you leave the state office, and hold them for distribution at AA training.
11. Make a copy of each administration schedule and Instructions for Sampling New Enrollees to be left on file with the state coordinator.
12. After copying all of the Administration Schedules, assemble the packages with each school's Administration Schedule(s), and date them for mailing, or bundle them with other schools scheduled for the same assessment week for group mailing. (Do **not** include the Instructions for Sampling New Enrollees **or** any criteria/guidelines regarding SD/LEP students – these will be distributed at AA training.)
13. Return to the District/School Name screen in the computer by clicking on "OK" under "All Pages".
14. Highlight a district name, then a school name and begin the sampling steps for the next school.

In addition to these materials that we will provide, there are other general materials you should be sure to have with you. These include pencils, paper clips, different color pens and markers, scissors, tape, and extra blank paper. The extra paper may be needed if you have school-generated lists without space to number and designate the selected students. The extra paper can be attached to one side of the list, in order to extend the sheet and give you some additional space to write.

You should also have some blank FedEx labels. Depending upon the state coordinator's willingness to allow the lists to leave his/her office, these can be used if lists of students are received from the schools after you leave the state office, and the coordinator is willing to ship them to you. If so, you can complete the sampling at home and return the materials to the state coordinator so that they can be sent to the schools.

3.2.1 Other Suggestions for Organizing the Sample Selection Process

Because of the volume of material with which you will be working and the short time-frame in which you must complete the sample selection, it is critical that you take a very organized approach to this work. Below are some suggestions designed to assist you in organizing and completing the job:

- Do not try to memorize the instructions and procedures involved in the sampling process. You should have the Sampling Checklist and this manual with you throughout the sampling process.
- Before you start any sampling, check to see exactly what school lists have been received and which are outstanding. Then, check each completed list against the total number of students in the grade reported at the top of the SLF to ensure that the lists are complete. This should be done for every school before you get involved in any specific sampling tasks. Once you have determined the missing or incomplete schools, this information should be reported immediately to the state coordinator, so that s/he can start to follow up with these schools. (If a large number of lists is missing, you may want to offer your help to the state coordinator to contact schools in regard to the missing lists.)
- As you begin the sampling process for each school, make absolutely certain that you are correctly identifying the school to be sampled. Some school names may occur more than once within a state, so you should check the district name and mailing address to be sure you select (in the computer) the ID for the correct school. Mistakes in the ID code will cause severe problems throughout the NAEP sampling and data collection.
- The sampling directions instruct you to recheck several of the steps that are prone to error. **This must be done to insure that the sample is drawn correctly.**

- Once you have determined an efficient method of working with your clerks, stick with that procedure. Always follow the directions one step at a time, and make sure you are efficiently delegating the work.
- When leaving the state coordinator’s office for the day, make sure that you leave all your materials in an organized manner. This way anyone could walk in and pick up from where you left off, especially when you are using clerks hired locally. You can never be certain that any one person will be back, so you must be certain that you could complete any school for which sampling is in process. Each Administration Schedule and Instructions for Sampling New Enrollees that you generate for the schools must be copied and kept on file with the state coordinator. Make certain that each school’s materials are clipped together in separate bundles, so that they do not become mixed in with materials for other schools.
- Try to minimize the number of times that you ask the state coordinator for assistance. The coordinators will be conducting their own activities while you are there and you should not expect them to be available for you at all times. Unless some question is preventing you from completing your work, try to accumulate your questions for the coordinator and minimize the number of times you interrupt this person.

3.3 Drawing the Student Sample

3.3.1 Using the Sampling Forms and Materials

Your sampling assignment, or your list of schools for which student samples must be selected, may be printed in up-to-date form at any time using the “Reports” function on your computer. First, use this list to check how many (and which) schools have provided student lists to the state office. As the sampling proceeds, you may also use this list to keep track of each school for which sampling has been completed. Whenever you use this list (and the corresponding list in the computer), be sure to double-check that you are referring to the correct school ID; always check the district name and mailing address to confirm the ID and to be certain that you are not confusing schools that have similar names.

In addition, two other forms will be used during the sampling process. The first is the Sampling Checklist, which is a summary of the steps that you will take when selecting each student sample, and should be kept accessible while you are in the state office. It simply presents the steps in a more concise manner than the explanation in this section. A copy of the Sampling Checklist is shown as Exhibit 3-2. You will also be provided with an additional copy printed on card stock to use while you are sampling.

The other form is a Line Number Listing Form (Exhibit 3-3) that may be used for each school. One side has been designated for the listing of line numbers for students selected for the math session, and the other side is designated for the science session. If your printer is not working, you should use this form to carefully circle each selected number as displayed by the computer. If your printer is working, you will keep the line number printout instead of preparing the Line Number Listing. In either case, you should be sure the school ID (and name) is recorded on the printout or the Line Number Listing Form; also make sure that the session type (mathematics or science) is correctly designated on the printout or the Line Number Listing Form.

3.3.2 Steps in the Sample Selection Process

To select the sample, you will need the NAEP computer **and** printer (or the Line Number Listing Form if the printer is not working), the Student Listing Form or other suitable list from the school, and Instructions for Sampling New Enrollees Form.

Step #1: Check the List of Students

Before the sample can be drawn, you must review the list provided by the school. If necessary, clarify confusing markings and partially erased or crossed-off names. We have asked that the schools provide full student names and the month and year of birth for each student. Additionally, some lists may contain sex, race/ethnicity, and student locating information.

The birth month/year was requested at this stage to distinguish individuals with the same names. If birth month/year has not been provided and an individual is sampled who has the same name as someone else on the list, you will need to record some distinguishing characteristic of the sampled student to identify him/her for the school. This occurrence should be extremely rare.

Exhibit 3-3. Line Number Listing Form

LINE NUMBER LISTING FORM – 2000 STATE NAEP

Mathematics

of Sessions: _____

School ID: _____

School Name: _____

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20
21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40
41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60
61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80
81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
101	102	103	104	105	106	107	108	109	110	111	112	113	114	115	116	117	118	119	120
121	122	123	124	125	126	127	128	129	130	131	132	133	134	135	136	137	138	139	140
141	142	143	144	145	146	147	148	149	150	151	152	153	154	155	156	157	158	159	160
161	162	163	164	165	166	167	168	169	170	171	172	173	174	175	176	177	178	179	180
181	182	183	184	185	186	187	188	189	190	191	192	193	194	195	196	197	198	199	200
201	202	203	204	205	206	207	208	209	210	211	212	213	214	215	216	217	218	219	220
221	222	223	224	225	226	227	228	229	230	231	232	233	234	235	236	237	238	239	240
241	242	243	244	245	246	247	248	249	250	251	252	253	254	255	256	257	258	259	260
261	262	263	264	265	266	267	268	269	270	271	272	273	274	275	276	277	278	279	280
281	282	283	284	285	286	287	288	289	290	291	292	293	294	295	296	297	298	299	300
301	302	303	304	305	306	307	308	309	310	311	312	313	314	315	316	317	318	319	320
321	322	323	324	325	326	327	328	329	330	331	332	333	334	335	336	337	338	339	340
341	342	343	344	345	346	347	348	349	350	351	352	353	354	355	356	357	358	359	360
361	362	363	364	365	366	367	368	369	370	371	372	373	374	375	376	377	378	379	380
381	382	383	384	385	386	387	388	389	390	391	392	393	394	395	396	397	398	399	400
401	402	403	404	405	406	407	408	409	410	411	412	413	414	415	416	417	418	419	420
421	422	423	424	425	426	427	428	429	430	431	432	433	434	435	436	437	438	439	440
441	442	443	444	445	446	447	448	449	450	451	452	453	454	455	456	457	458	459	460
461	462	463	464	465	466	467	468	469	470	471	472	473	474	475	476	477	478	479	480
481	482	483	484	485	486	487	488	489	490	491	492	493	494	495	496	497	498	499	500

Step #2: Number the Students on the List

Be sure to correctly identify the school ID; and then number the students sequentially from “1” to the total number of students on the list.

- If the school has used an SLF, number the students in the “FOR SAMPLING ONLY” column labeled “Line #” (see Exhibit 3-4).
- If the school has used a printout, number the students neatly in the margin.

When numbering, please take care to keep the sequence, not missing any numbers and not using any numbers twice. It is extremely important that you number the lines correctly. Although this is a simple task, it can be a primary source of errors in carrying out the sampling.

Exhibit 3-4. SLF with Students Numbered in the "FOR SAMPLING ONLY" Column Labeled "Line #"

2000 NAEP STATE ASSESSMENT
Student Listing Form - Grade 8

School Name: Lincoln Middle School Prepared by: Robert Weston
 Address: 1250 Center Avenue Date: November 10, 1999
Centerville, Iowa Total Enrollment in Grade 8: 106

For year-round schools only: Percentage of Grade 8 enrollment off-track: _____%
 (NOTE: Do not list students below who will be off-track in February 2000.)

DIRECTIONS: PLEASE COMPLETE COLUMNS A AND B FOR EVERY STUDENT IN GRADE 8.

Include students who may be excluded from other testing programs, such as some students with disabilities or limited English proficiency. Complete instructions and information about providing computer-generated lists are on the other side of this page.

										FOR SAMPLING ONLY	
A Student's Name			B Birth Date	(OPTIONAL)						1	2
First	Initial	Last	Month/Year	Home Room/ Locator	Sex	Race/ Eth.	(X) IF TITLE I	(X) IF SD	(X) IF LEP	Line #	Selected Student "M or S"
Martha	C.	Akers	5/86		F					1	
Joseph	P.	Albert	6/86		M					2	
Richard		Allen	9/85		M					3	
Jessica		Ames	8/86		F					4	
Erin	M.	Atkinson	2/86		F					5	
Susan		Bates	4/86		F					6	
Anthony		Beirs	10/85		M					7	
Angela		Birney	7/86		F					8	
Mark	W.	Botts	10/86		M					9	
David		Casey	1/86		M					10	
Patricia	A.	Collins	6/86		F					11	
Jamal		Dunfee	4/85		M					12	
Ronald		Eastman	9/85		M					13	
Sara		Farmer	2/87		F					14	
Helen		Goff	8/85		F					15	
Stuart		Gunther	5/86		M					16	
Lisa	K.	Hall	1/86		F					17	

Step #3: Re-check the Numbering of Students

Before you can begin sampling, you will need to recheck the numbering of students. The task of rechecking the numbering should be done by someone other than the person who originally numbered the list. If a mistake is discovered and the list is small, it can be renumbered easily. On larger lists, you will want to use the following techniques to correct the error and create a usable numbering scheme.

There are two basic errors that could be made:

- **Missing a Number:** If one or more numbers are missed, assign the missing number(s) to the last one (or more) names on the list. A simple example of 10 students is shown below:

Line #	Student Name	Birth date
1	Joan L. Baskin	6/88
2	Helen B. Cadell	7/88
3	Joyce E. Davis	8/88
4	Jack W. James	9/88
6	Mavis L. Masters	10/88
7	Anna S. Noel	11/88
8	Sandra B. Pratt	12/88
9	Carol A. Prentiss	1/87
10	Peter J. Smith	2/87
5 11	Lisa R. Thomas	3/87

- **Number is Used Twice:** If one or more numbers are used twice, cross out the duplicate number and assign the number that follows the last number used at the end of the list. This concept is illustrated below:

Line #	Student Name	Birth date
1	Joan L. Baskin	6/88
2	Helen B. Cadell	7/88
3	Joyce E. Davis	8/88
10 3	Jack W. James	9/88
4	Mavis L. Masters	10/88
5	Anna S. Noel	11/88
6	Sandra B. Pratt	12/88
7	Carol A. Prentiss	1/87
8	Peter J. Smith	2/87
9	Lisa R. Thomas	3/87

Step #4: Compare the SLF and Total Enrollment

Once you have numbered the students, compare the total number of students listed on the SLF with the Total Enrollment recorded near the top of the SLF – even though the computer will also make this check during the sampling process. It is anticipated that these figures will match. However, if there is a discrepancy of 5 or more students, this should be investigated with the school; the concern being that the school may have intentionally omitted students they expect to exclude or that this is the result of an oversight. You may first want to review the list to see that the first letters of the last names cover the entire alphabet. It is not uncommon for a page to be missing when lists are faxed or mailed. You should first discuss a discrepancy with the state coordinator, but these issues probably cannot be resolved without speaking to someone at the school.

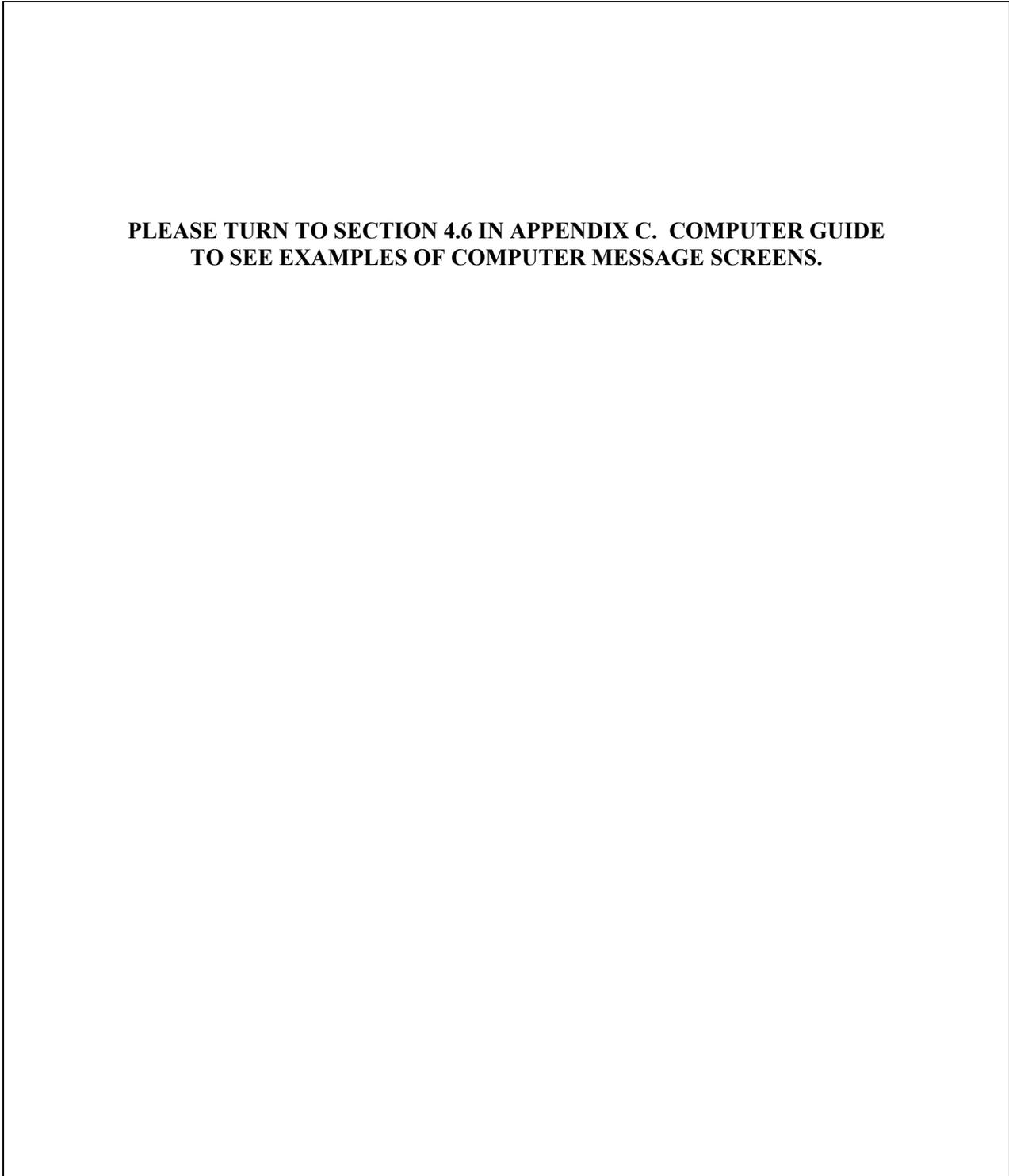
Step #5: Select the Sample

If there is agreement between the SLF (number of lines listed) and the Total Enrollment, or once a discrepancy has been resolved, you will use the NAEP laptop computer to select the sample(s) of students. During the sampling process, the computer will automatically make further comparisons of enrollment numbers and alert you about any discrepancies. The computer will remind you to resolve the discrepancies. Then you must tell the computer whether the existing entries are “OK” or if you will “RETRY” which will allow you to revise and re-enter enrollment counts. Be sure to read these “warning” screens on the computer carefully and to thoroughly check the discrepancy. Click “OK” on the computer screen only if you do **not** wish to change any entries; otherwise, click on “RETRY”.

For example, if the difference between the estimated enrollment and the SLF count is greater than 20 percent **and** greater than five students, you must determine the reason. Were all students in the grade listed, including students who will be excluded from the assessment and students not performing at grade level? Has there been a recent change in enrollment that would explain the difference? See Exhibit 3-5 for examples of message screens and warnings that the computer may display. These will be discussed thoroughly at the November training session.

You must explore these differences by taking them to the state coordinator and possibly placing a call to the school’s assessment administrator so that s/he can explain the discrepancy. Once a satisfactory explanation has been received, or an accurate list has replaced the previous one, you may continue with the sampling steps.

Exhibit 3-5. Examples of Message Screens and Warnings from Computer during Sampling



**PLEASE TURN TO SECTION 4.6 IN APPENDIX C. COMPUTER GUIDE
TO SEE EXAMPLES OF COMPUTER MESSAGE SCREENS.**

Steps in Using the NAEP Computer to Select Student Samples

Follow the steps below to select student sample(s) for each school in your assignment. Warning screens, if any, for which you must resolve discrepancies will be displayed by the computer, after you click on the sample button. If you cannot resolve the discrepancy quickly, tell the computer you want to retry, and ask the school coordinator to check on the discrepancy. While the coordinator is checking, you can exit the “problem school” on the computer, complete the sample for other schools, and return to the school(s) in question after you receive an explanation for the discrepancy.

- Attach the printer.
- Attach the computer to a power source, if at all possible, and turn the power switch on.
- Call up (double-click on) NAEP2000, State Coordinator System.
- Select the state for which you will sample.
- Highlight the district name, then highlight the school name for which you wish to select the student sample, and click on “Edit School” at the bottom of the screen.
- The School Edit Screen will appear. Choose the “Grade Information” tab (the second page of the school information). Click once.
- If necessary, move the cursor to the tab for grade 4 or 8, that is, the grade for which you are selecting the sample. Confirm that the school status is “cooperating”, that "SLF Returned" is checked, and that the state coordinator has entered a number for actual enrollment. This enrollment number is not crucial; the computer will select a sample even if this entry is zero.
- Move the cursor to the "Sampling Date" box. Click once at the left of the box, and enter the date that you are selecting the sample. Use four digits for the year.
- Move the cursor to the box labeled “Number on SLF”. Click once in the box, delete any entries from the box, and type the highest line number from the SLF.
- Double-check that the entry for the “Number on SLF” is correct. Move the cursor to the sample button and click once.
- The computer will automatically select the sample and provide you with the necessary line numbers.

- During the sampling process, the computer will always display at least two basic screens – one is a “Reminder” which reminds you of important steps from the Sampling Checklist, and the other is the sampling line numbers. You should **always print** the line number screen, and you may also choose to print the reminder screen. (You may print the reminder screen once and keep it for reference during sampling, since it is the same for every school.)
- Other message and warning screens **may** appear as the computer completes the sampling process. Carefully read each screen that appears and respond by clicking on the appropriate button (e.g., PRINT, CLOSE, CANCEL, RE-ENTER, YES, NO, OK). If you accidentally provide a response that causes the computer to complete the sample and display line numbers, **but you did not intend to sample at that point**, you may return to the Grade Information screen and start again. The computer does **not store** the specific line numbers – the only record of the selected line numbers is the printed copy that you extract from the computer. It is **not wrong** to start over again (and re-select the sample). Be sure to print and keep the line numbers that you will use to select the sample and that the students on the completed Administration Schedule correspond to the printed line numbers.
- **Small Schools.** Some schools are scheduled for two sessions but may be too small for two sessions or the school may prefer to have only one session. If the number of students on the SLF is smaller than 24 (and two sessions are scheduled), the computer will **automatically** delete one session and place all the students in the remaining session. The line number screen will tell you what session to place the students in (be sure to print the line number screen).

In very rare situations, the computer will display a message box that asks whether you want to override the sampling procedure and take all students? Typically, you will say "No" to this message and allow the computer to select the line numbers. This option is provided as a courtesy to small schools that request that all students be assessed rather than "leaving out" a few students.

- The printer should be used to print the line numbers that you will use to mark the selected students on the SLF and to complete the Administration Schedule(s). When you print the line numbers, be sure the printout is complete and that the number of line numbers shown matches the number of students sampled (shown at the end of the top paragraph on the printout). The line number screen on the computer does not always show all of the line numbers if the list is long; however, you may see the remainder of the list by placing the cursor in the white part of the screen, then click once, and scroll down with the arrow key.

If the printer is not working properly, you must record the line numbers on a Line Number Listing Form. Be sure to use one side of the form for math and the other for science. Also, check the computer screen carefully to be sure you have recorded all the selected line numbers on the Listing Form. Scroll through the computer screen if necessary, and count the total number marked on the Listing Form to be sure it matches the number sampled on the computer screen.

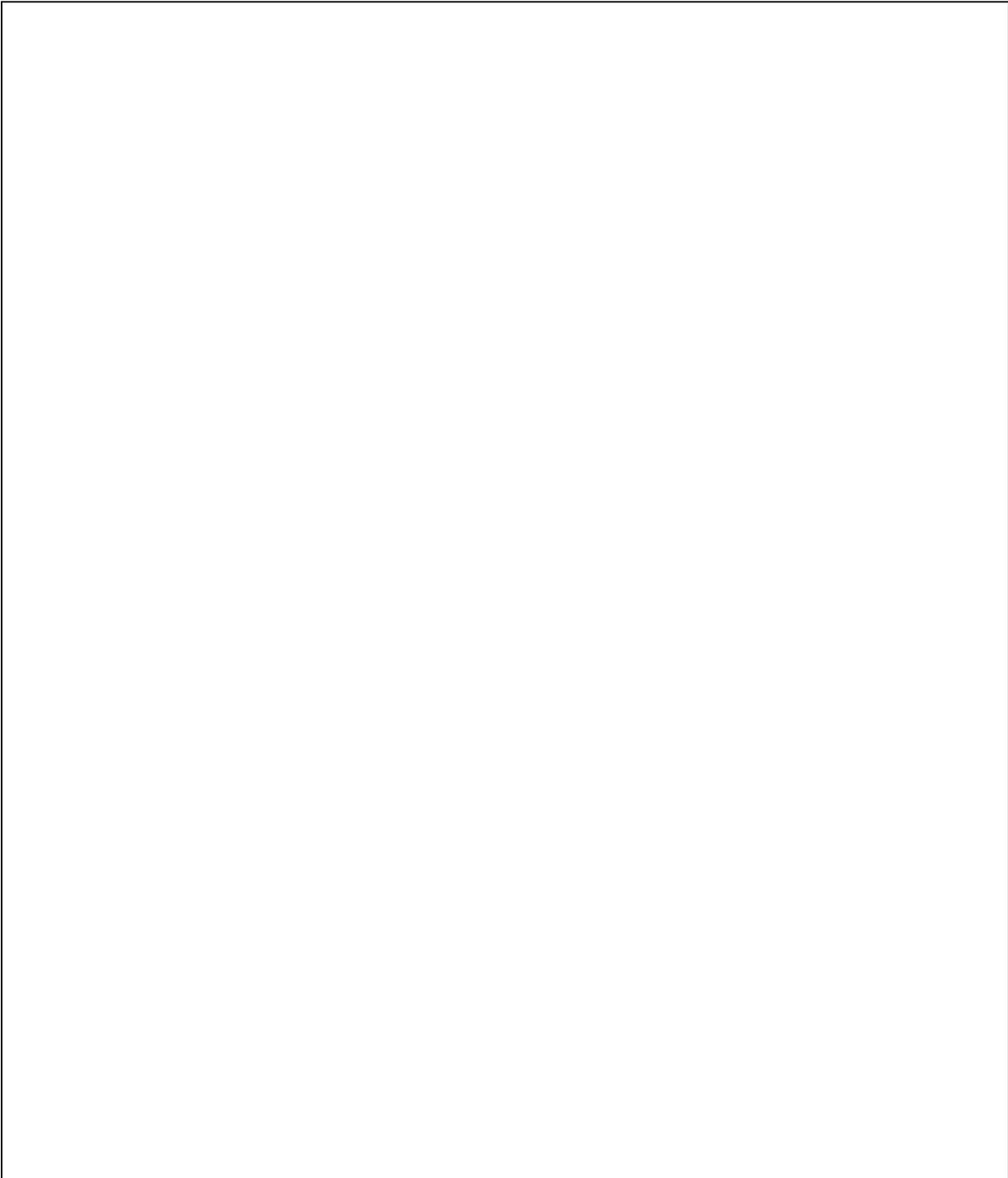
Step #6: Indicate the Sample on the List of Students

Once you have printed the sampled line numbers or recorded them on the Line Number Listing Form, you will need to transfer this information to the list provided by the school:

- If the school has used an SLF, enter an “M” for the Mathematics sample and an “S” for a science sample in the “SELECTED FOR” column on the appropriate line number (see Exhibit 3-6).
- If the school has used a listing other than the SLF, enter an “M” or “S” in the margin next to the line numbers of the students selected for the sample(s).

For each school sample, care must be taken to ensure that the names of the students selected for mathematics and science are recorded **separately** on the appropriate (mathematics or science) Administration Schedule. Also, be sure that the correct grade appears on each Administration Schedule.

Exhibit 3-6. SLF with Selected Students Designated



Step #7: Recheck that the “M” or “S” Codes have been Recorded on the Correct Student Lines

This check should be done immediately to verify that the correct students have been designated on the list of students. Be sure that the “M’s” and “S’s” are recorded correctly next to the sampled students’ names/line numbers.

Step #8: Transfer Information About Sampled Students onto the Administration Schedule(s)

Record the complete student name (first name, middle initial, last name) and other demographic information on the Administration Schedule. The names should be listed in the same order on the Administration Schedule as they were selected from the school list. The student’s month and year of birth, (such as 06/86) should be recorded in the column headed Birth Date. If any of the other required information is part of the student listing, it should be copied onto the Administration Schedule at this time. This includes “Homeroom or Other Locator”, “Sex”, “Race/Ethnicity”, “Title I”, “If SD”, and “If LEP”. (Do not enter the race/ethnicity information if it is clear that it is based upon a categorization scheme that is different than that given in the Race/Ethnicity code box of the Administration Schedule. In that event, it will be up to the Assessment Administrator to put in the appropriate race/ethnicity codes. If some of the codes clearly correspond to the NAEP codes, or you can easily convert the school codes to NAEP codes because a legend or code key is provided, you can enter those while leaving the non-corresponding ones blank.)

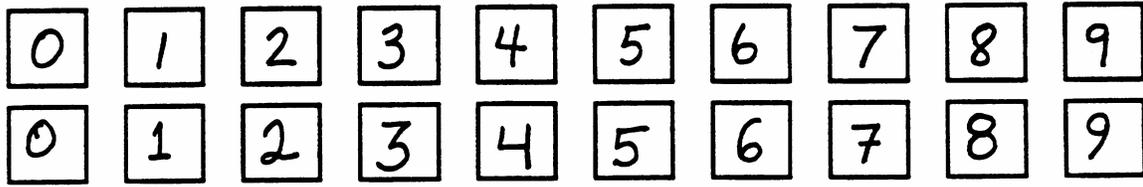
After the last student has been recorded on the Administration Schedule, draw a horizontal line under the last student entry.

Since the Administration Schedule as well as other control documents are machine-scannable, it is very important that **only a No. 2 pencil be used** and any information entered is printed neatly and cleanly within the boxes. Numbers should be written clearly and **should not touch the sides of the shaded boxes**.

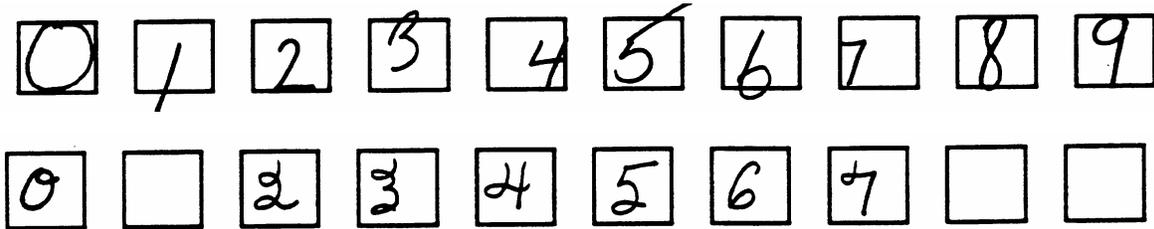
- When entering characters on the Administration Schedule (in columns other than the “Student Name” column that will be detached after the assessment), print the characters in the middle or center of the box with white space on all sides.

- Numerals entered in multi-column blocks should be right justified. Zero-filling **IS** necessary.
- Erase completely and clearly to correct entries. Do not cross out or strike through numbers entered incorrectly.

Shown below are examples of acceptable and unacceptable writing styles for completing control documents. The following are **acceptable** writing styles:



The following examples are **UNACCEPTABLE** due to edges touching the sides of the box and extraneous loops on characters:



Step #9: Verify the Transcription of Student Information to the Administration Schedule

After all information about the sampled students has been transferred, verify the entries on the Administration Schedule against the list of students. During this check you will need to verify:

- That the correct student name was transcribed onto the correct Administration Schedule (math or science).
- That the name is complete and spelled correctly.
- That all other available information (birth date, race, sex, School Lunch, Title I, SD, LEP, and locator information) is transcribed completely and correctly.

Step #10: Make Final Entries to the Administration Schedule

After checking all student entries, make sure that the assessment administrator's name (if known) has been recorded on the top of the Administration Schedule. The School ID, school name, session type, and grade will be pre-printed on the Administration Schedule. Record the total number of students you have selected on the "Original Sample" line.

The suggested assessment date should not be entered on the top of the Administration Schedule at this time. Having been set so far in advance, these dates are subject to change. The assessment dates will be verified at the Assessment Administrator training. The AAs should enter the date on the Administration Schedule when they receive it.

Exhibit 3-7 shows an Administration Schedule filled out for the example school.

Step #11: Copy the Supplemental Line Numbers onto the Instructions for Sampling New Enrollees Form

Once the Administration Schedule is completely finished, transfer to Item 4 of the Instructions for Sampling New Enrollees Form, the first ten line numbers for each session type from the computer printout or the Line Number Listing Form. The highest line number (of the 10 or 20 numbers listed) should be entered in Item #3 of the Instructions. After this is done, the entries on the Instructions should be rechecked against the computer printout or the Line Number Listing Form. Exhibit 3-8 illustrates how the Instructions would look when completed for the sample school.

In some schools with only one session, the computer will tell you that all students are to be selected for the session. In these cases when all students are selected, you will always record the numbers "1-10" in Item 4 of the Instructions and the number "10" in Item 3.

Exhibit 3-8. Instructions for Sampling from the New Enrollee Listing Form

School Name: Central Middle School
School ID: 16B-100-1

2000 NAEP STATE ASSESSMENT

INSTRUCTIONS FOR SAMPLING NEW ENROLLEES
(New Enrollee Listing Form on Reverse Side)

If you did not maintain a list of newly enrolled students on the form provided in November, please use the back of this form to create a list of all students who enrolled in the selected grade after the master list of grade-eligible students was prepared. The steps for sampling from the list of newly enrolled students are:

1. Be sure the list includes **all** students who enrolled in grade 8 after the master list was prepared.

The date on the master list is Nov. 10, 1999.

Any student who has subsequently withdrawn from the school should be deleted from the list by lining through the name.

2. Assign line numbers to the students listed by numbering them consecutively. Use column 1 under the heading "For Sampling Only" for numbering the students.
3. If there are more than 32 students on the list, call your State Coordinator for directions before proceeding.
4. To identify the students selected for the **mathematics assessment**, enter an "M" (in column 2 on the reverse) next to the line numbers listed below:

2 , 5 , 8 , 11 , 14 , 18 , 21 , 24 , 27 , 30 .

To identify the students selected for the **science assessment**, enter an "S" (in column 2 on the reverse) next to the line numbers listed below:

6 , 7 , 10 , 13 , 16 , 19 , 23 , 26 , 29 , 32 .

Ten line numbers have been provided. This should be more than enough; in fact, you may only need to use the first few numbers.

5. After sampling is completed, copy the sampled student's name(s) and birth date(s) onto the appropriate Administration Schedule and complete the required demographic information.

(OVER)

These numbers are unique to each school.

Step #12: Make a Copy of Each School’s Administration Schedule and Instructions for Sampling New Enrollees for the State Coordinator’s Records

Each Administration Schedule and Instructions for Sampling New Enrollees Form must be copied, and the copies must remain with the state coordinator. This is being done in case the package of original materials is lost en route to the school. The copies should be sorted by school and supplied to the coordinator in an organized manner.

3.3.3 Special Sampling Situations

3.3.3.1 Multiple Sessions of the Same Type

In some states, schools will be assigned more than one math session or more than one science session. If a school is assigned multiple sessions of the same type, the computer will either give you a long series of line numbers (for all the sessions combined) or direct you to select all students for the assessment. In other words, the computer will tell you which students to select but will not assign them to a specific session. It will be necessary for you to divide the selected students approximately equally among the specified number of sessions (or across the Administration Schedules for those sessions).

You may divide the group among the sessions in any way you wish. For example, one way would be to number all of the students alternately (e.g., 1, 2; or 1, 2, 3, etc.) and assign all the 1’s to one session and all of the 2’s to the other, and so on. OR, you might assign the first number of students to one session, the next number to the next session, and so on. Some schools may have stated a preference to group the students in a particular way, perhaps by their pre-existing classes. Although this is unlikely to happen with any frequency, whenever you can accommodate a school’s request, you should do so. Note that this can only be done with sessions of the same type. Generally, the overall objective should be to assign students so that all sessions are approximately the same size.

3.3.3.2 Multiple Sessions Assigned to a School with Small Enrollment

There may be some schools in which we anticipated having enough students to conduct two sessions, but you find that there are now fewer than 24 students listed on the SLF. Schools were told to expect one session if the enrollment is smaller than 24 students and two sessions if they have 24 or more students enrolled in the selected grade. If you encounter multiple sessions assigned to a school with

smaller than expected enrollment, the computer will **automatically** delete one session and give you line numbers for the remaining session. You should use only the Administration Schedule for the session selected by the computer. Any “left-over”, pre-printed Administration Schedules that you do not use, should be returned to NCS.

3.3.3.3 Special Instructions for Schools in Both National and State NAEP

You should be aware of the fact that some schools have been selected for participation in **both** the state assessment and the national assessment. In addition, several schools have been selected for both assessments but at different grade levels. In general, if the school is willing to participate both, they should do so. The national assessment supervisor will work with the school to minimize the burden on staff and students. No student will be asked to take the same test twice. Therefore, it is crucial that the Administration Schedules for overlap schools are mailed by the end of December to arrive at the schools in early January. The supervisor for national NAEP will delete students sampled for state NAEP and select the national NAEP sample only from the remaining students in the grade. It is important that you discuss this with the AA from this school during training, so that the AA can make available the list of students chosen for the state to the national supervisor when that person visits the school to draw the sample. Your field manager will inform you about any special arrangements that have been made in overlap schools.

3.4 Assembling the School Packets

3.4.1 Preparing the Packets

When you have completed the sampling for all schools, give the state coordinator the Administration Schedules you filled out in an envelope labeled for the school. For this package, it is best to use envelopes provided by the state coordinator so that they are likely to receive immediate attention when they arrive at the schools.

The State Coordinator’s System gives them the capability to produce labels for the designated assessment administrators. Therefore, we hope to be able to avoid requiring you to actually address each school package; as long as it is labeled with the correct school, it should not be difficult for the coordinator to obtain and affix the proper mailing label. The coordinator should mail the package to the designated AA for each school.

The state coordinators have been asked to send these materials to the assessment administrators so that they arrive at least two weeks before the scheduled assessment date. It will be helpful to the state coordinator if you or one of the clerks sort the AAs' packages into groups by week of the assessment and label each group with a suggested mailing date. Suggested mailing dates are given below:

Week	Assessment Date	Mail Date
0	Overlap Schools	December 31 (Approximately)
1	Jan. 31-Feb. 4	January 17
2	February 7-11	January 24
3	February 14-18	January 31
4	February 21-25	February 7

REMEMBER: Leave the original Student Listing Forms and **copies** of the Administration Schedules and Instructions for Sampling New Enrollees for **each** school with the state coordinator.

When you have finished all sampling in the state and have reported the results to your field manager, send the computer printouts (and Line Number Listing Forms) to Westat via Federal Express. You will be given extra Federal Express Labels for this purpose.

3.4.2 New Procedures for Distributing Criteria for Including Students with SD/LEP

For 2000 state NAEP, all schools will apply the same set of Criteria for Including Students with Disabilities (SD) and Students with Limited English Proficiency (LEP) as used in the national NAEP assessments. However, some schools are being asked to provide accommodations, when needed, while other schools will not offer accommodations. Thus, two versions, YES (on yellow paper) and NO (on blue paper), of the criteria/accommodations information have been prepared. In order to avoid confusing the assessment administrators, we will simply inform them that they will receive the proper set of criteria at their AA training session in January.

In order for the results of this assessment to be valid, it is crucial that you correctly assign the criteria to the schools. At the time of sampling, you will label an envelope for the school and place in the envelope the appropriate criteria (along with the Instructions for Sampling New Enrollees). To determine the correct version of the criteria, refer to the accommodations box which is preprinted with "Yes" or "No" on the mathematics Administration Schedule – **always use the mathematics**

Administration Schedule. Select the matching version (“Yes” or “No” in top right corner) of the criteria and place it in the envelope with the correct school label (confirm label against the Administration Schedule). Also notice that the “Yes” version of the criteria is always yellow and the “No” version is blue. Be sure to use the criteria for the correct grade. Hold all of these envelopes for distribution at AA training.

3.5 Using Clerks to Assist in the Process

You should be able to use several clerks during sampling. If a QCM lives in or near the state capital, you can use that person to help you; however, we cannot house a QCM at a hotel during the two weeks when you are sampling. If there is no QCM available, you can check on the availability of other Westat field staff in the area or hire help through a local, temporary employment agency.

Clerks can be used in the following ways:

- Numbering the students on the list.
- Recording sampled line numbers if you are unable to use the printer. The recommended procedure is: You operate the computer and read the line numbers while the clerk records them or designates the selected students on the SLF. The verification of the line numbers would work the same way.
- Checking the numbering and transferring student information to the Administration Schedule.
- Assembling assessment administrators’ packages.

You will need to use your judgment in deciding the most useful way to employ your clerks. Above all, it is essential that you always perform the sampling functions on the computer and be in a position to recheck all of the clerks’ work.

To simplify matters, unless you are using a QCM, we would like you to pay for other help you have hired out of your pocket, and we will reimburse you for those costs. Simply have the clerk sign a receipt indicating the amount received and the dates they were employed and send it in with your Time and Expense Report. Similarly, if you hire through a temporary employment agency, we would like you to pay for the help and submit the timecard or other statement with your T&E. Some temporary agencies

will direct bill Westat. If that is the case, please have the bill directed to the attention of Lisa Alton at Westat.

4. RECRUITING AND EMPLOYING QUALITY CONTROL MONITORS

4.1 Overview

Each state supervisor is responsible for recruiting and hiring the quality control monitors s/he will need to cover his/her state. Most of the monitors will observe the assessments conducted in a predetermined subset of the schools in their assigned area of the state, and other monitors will make pre- and post-assessment telephone calls only to unmonitored schools. Your field manager will tell you (at training) the number of monitors that you will need to hire.

The monitors will attend a training session with you and Westat home office staff in early January. At this training they will learn about the assessment administrators' responsibilities, the monitors' responsibilities, and the protocols for conducting the observations and making the pre- and post-assessment telephone calls.

4.2 Responsibilities of a Quality Control Monitor

The first responsibility of a monitor is to become thoroughly familiar with the responsibilities of the assessment administrator (AA). A quality control monitor (QCM) should learn the AA's job as if s/he had to conduct the assessment. Only when a monitor knows all of the specific duties that the AA performs will s/he be able to effectively observe and critique assessment procedures. The January training will familiarize QCMs with the AA's role. In addition, each monitor should assist you with at least two training sessions for AAs during January.

The second responsibility of the QCM is to understand NAEP, its objectives, and the rationale behind the assessment procedures so that s/he can respond to questions posed by school staff.

Thirdly, the QCM must understand and be comfortable in the role of a NAEP monitor. During the assessment s/he will need to watch closely in a way that does not affect the AA's performance. The AA needs the latitude to conduct the assessment in his or her own style (while following procedures) as the QCM observes and withholds judgment. However, the QCM must also be prepared to intervene tactfully when the integrity of the assessment is jeopardized.

4.3 Recruiting Sources

Quality control monitors should be hired by mid-December. You should focus on recruiting as soon as your supervisor training has been completed. There are several sources you should use to recruit. The first recruiting source you should use is Westat. Your Westat field manager can give you names of people discovered during our recruiting process who were not hired as supervisors. Westat will also supply you with any names of experienced Westat field staff in your state from our field files. Primary consideration should be given to persons who received a rating of “1” as quality control monitors during the 1992 or 1994 trial state assessments, or the 1996 or 1998 state assessment, along with any other staff who have previously worked on education studies such as NAEP or TIMSS. If you are considering contacting any person with a Westat rating lower than “1”, you must discuss the situation with your field manager before approaching this person. Other good recruiting sources include retired teachers’ associations, local employment offices, universities, and advertisements in local newspapers. For each person recommended to you, first check to see whether s/he has worked for Westat at any time and then check his/her Westat rating.

If you have exhausted all the resources from Westat in regard to the hiring of QCMs, it may become necessary for you to place want ads in the local newspapers or with the local employment agency. The job description included in the following section can be used for this purpose, but you should not place any ads until you have discussed the situation with your field manager. Any applicant who has **not worked on a NAEP assessment** in the past, whether s/he responded to an ad or was listed as having worked in a non-NAEP position on the Westat printout, **must be interviewed by you in person**. Before any commitments are made, we must be comfortable with the idea of this person representing NAEP and Westat in the schools.

Because there is frequent overlap in areas in which the state supervisors are attempting to hire QCMs while national assessment supervisors are attempting to hire Exercise Administrators (EAs), we have established some guidelines for hiring. State supervisors have priority in hiring field staff who have previously worked as QCMs. National assessment supervisors will have precedence when contacting former EAs. Therefore, when you are recruiting, you must first ask any former NAEP field worker whether s/he has already been contacted by any other NAEP supervisor. If s/he has already accepted or are considering another position, you are not to try to recruit that person. Your recruiting efforts should be coordinated with your field manager, and frequently s/he will know who is available in your state.

If someone you would like to recruit is currently working on another Westat project, your field manager must get permission for you to contact him/her from that person's current supervisor before you make a call.

4.4 Materials You Will Need

Examples of the materials you will need are included as exhibits to this section of the manual. You will receive a supply of each with which to conduct your recruiting effort. If you run short, you can either copy forms or request additional supplies from Westat. The materials are described below:

- **Job Description:** Use this job description to help describe the job to applicants (Exhibit 4-1).
- **Application Form:** All candidates must complete this form unless they have already completed it and it is on file at Westat (Exhibit 4-2).
- **Project Description:** The project description should be sent with an application form (Exhibit 4-3).
- **Screening Form:** A long and a short form (Exhibits 4-4 and 4-5) are included. Use the short form when response to your advertisement is heavy and you do not want to tie up your telephone line with one candidate. In these cases, you can send an application, the job and project descriptions, and a stamped, self-addressed envelope to all the candidates. You can then conduct the long screening when you receive the applications and decide which candidates are the most viable.
- **Interviewer/Application Questions:** Please review this sheet carefully. It lists questions that are unlawful for you to ask during recruiting. It also shows the lawful way to ask questions about certain topics. Westat has an affirmative action program with established goals to actively recruit, hire, and promote all job classifications without regard to race, religion, color, sex, age, or national origin. It is important that you actively recruit from all groups (Exhibit 4-6).

RESPONSIBILITIES OF THE QUALITY CONTROL MONITOR

The quality control monitor will have responsibility for observing a subset of the NAEP assessments conducted within an assigned geographic region of the state. The monitor will carefully observe assessment procedures, answer any questions school officials may have, and ship materials at the end of each session. Some monitors will telephone unmonitored schools to conduct the pre- and post-assessment telephone calls, and these monitors will only observe sessions if called upon to substitute for another monitor. The monitor will also assist the state supervisor in training assessment administrators who conduct the assessment. This is a temporary part-time position extending from early January through early March 2000.

The schedule of quality control monitors' activities and responsibilities is described below:

- Attend a three and one-half-day training session from January 4 to January 9, 2000.
- Following successful completion of training, the QCM will assist the state supervisor in training AAs who will conduct the assessments. Each QCM will attend two or three such one-half day training sessions that will be conducted from January 10 to January 28, 2000.
- Observe a subset of the assessments scheduled in the assigned area of the state between January 31 and February 25, 2000, and/or conduct pre-and post-assessment telephone calls in unmonitored schools.
- Observe any makeup or rescheduled sessions designated to be monitored that cannot be held during the four-week assessment period. These will be scheduled from February 28 to March 3, 2000.
- Debrief the assessment administrators in the unmonitored schools by phone within three days of their assessment.

CONFIDENTIAL

Date Completed _____

WESTAT

An Employee-Owned Research Corporation
1650 Research Blvd. Rockville, MD 20850 301-251-1500

FIELDWORKER APPLICATION FORM

AN EQUAL EMPLOYMENT OPPORTUNITY EMPLOYER

1. BACKGROUND

Full Legal Name: _____
(as specified on I-9 form) (Last) (First) (Middle)

Address: _____

City: _____ State: _____ Zip Code: _____ Social Security Number: _____

County: _____ Telephone No.: () _____ () _____
Primary Secondary

2. REFERRAL SOURCE

Advertisement Friend Relative
 Employment Agency Employment Service Other (Specify _____)

3. WESTAT EXPERIENCE

Have you ever filed a Fieldworker Application Form with Westat? YES NO IF YES, date filed _____
Month/Year

Have you ever been employed by Westat? YES NO

IF YES, date most recently employed: _____ Study recently worked on: _____ Supervisor: _____

Do any of your friends or relatives work for Westat? YES NO

IF YES, list names: _____

4. EDUCATION

Check highest level completed: Grade School Some College Graduate Work*
 Some High School Vocational School Graduate Degree*
 High School Bachelor's Degree *(does not include work toward teaching certificate)

List below each institution of higher education that you have attended.

NAME OF INSTITUTION	MAJOR FIELD	DATES ATTENDED		DEGREE ACHIEVED
		FROM	TO	

5. CURRENT EMPLOYMENT

Are you currently employed? YES NO IF YES, please provide the following information:

Organization Name	Phone	Dates (Mo./Yr.)		Title/Work Performed	Supervisor
		From	To		

Number of hours you work each day:

MON	TUE	WED	THU	FRI	SAT	SUN	Weekly Total

Exhibit 4-3. Project Description

2000 NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS PROJECT OVERVIEW

The National Assessment of Educational Progress (NAEP) is a congressionally mandated, ongoing survey established to obtain comprehensive and reliable national and regional data on the educational attainments of young Americans. NAEP is conducted by the U.S. Department of Education through a contract with the Educational Testing Service (ETS) and Westat. The contractors select and assess nationally representative samples of students in grades 4, 8, and 12. In 2000 students will be assessed in mathematics, science, and reading (grade 4 only). NAEP also includes a state assessment program in which states volunteer to participate and assume responsibility for administration of the assessments in their states. NAEP staff train the assessment administrators and monitor a subset of the assessments conducted in state NAEP. The grades and subjects assessed in state NAEP are a subset of those in the national program. The results of the state assessments allow states to exercise the option to compare the knowledge and skills of their students with the results for students in other states and the nation.

The primary goals of the survey are to measure the current status of the educational attainments of young Americans and to report changes and long-term trends in those attainments. Other goals include disseminating assessment methods and materials and assisting those who wish to apply them at local, state, and national levels. In addition, the survey will gather information to aid educators, legislators, and others in improving the educational experience of youth in the United States. It is an ongoing effort to obtain comprehensive and dependable achievement data in a uniform, scientific manner.

Since 1969, the national assessment has gathered information about levels of educational achievement across the country and reported its findings to the nation. Learning areas surveyed have included art, career and occupational development, citizenship, literature, mathematics, music, reading, science, social studies, and writing. All areas except career and occupational development have been periodically reassessed in order to detect changes in achievement.

Each learning area assessment is the product of several years of work by a great many educators, scholars, and lay persons from all over the nation. Working in committee, these people propose general goals they feel Americans should be achieving in the course of their education. These goals are reviewed and discussed until a consensus is reached on objectives for each subject area. The objectives are then given to exercise (question) writers with the task of creating measurement instruments appropriate to the objectives.

When the exercises have passed extensive reviews by subject-matter specialists, measurement experts and lay persons, they are compiled into booklets to be administered to national probability samples of young people, and sometimes adults.

The sample of students selected for NAEP has been designed in such a way that assessment results can be generalized to an entire population. That is, on the basis of the performance of several thousand students in a given age/grade group on an exercise, one can make generalizations about the probable performance of all students at this age and grade level.

After assessment data have been collected, scored and analyzed, NAEP publishes reports and disseminates the results at national and regional levels to schools, school districts, state and federal agencies, researchers, and the public at large. Assessment information is widely cited in scholarly reports, popular journals, books, and television documentaries about American education.

To date, NAEP has interviewed and tested more than one million young Americans.

NAEP TELEPHONE SCREENING FORM (LONG)

Applicant's Name: _____

Address: _____

Telephone: Day _____ / Evening _____

(USE THE FOLLOWING PROBES AS APPROPRIATE)

WORK EXPERIENCE (Paid or volunteer)

EXPERIENCE IN THE FIELD OF EDUCATION YES _____ NO _____

IF YES: Position _____

Number of years _____ When? _____

Organization _____

What were your major responsibilities? _____

SUPERVISORY EXPERIENCE YES _____ NO _____

IF YES, (AND OTHER THAN ABOVE)

Position _____

Number of people supervised _____ Total years _____ When? _____

Organization _____

What were your major responsibilities? _____

OTHER RELEVANT EMPLOYMENT

AVAILABILITY TO WORK

Any limitations?: _____

AVAILABILITY TO TRAVEL (circle longest time period) *In total over length of project*

Unlimited	3 - 4 weeks	3 - 6 days
1-2 months	1 - 2 weeks	Not available to travel

USE OF CAR: Yes _____ No _____

IF NO, do you have Driver's License? Yes _____ No _____

Do you **SPEAK, READ OR WRITE** any **FOREIGN LANGUAGES**? _____

Additional Comments: _____

Exhibit 4-5. Screening Form - Short

NAEP TELEPHONE SCREENING FORM (SHORT)

Thank you for calling. If you would like to be considered for the position that was advertised, I can send you a brief description of the project and an application.

When your application is received, I will call you and tell you more about the project. You will then have an opportunity to ask any questions you would like. Please return the application as quickly as possible.

Unfortunately, I can't tell you more details right now because I need to keep my lines open to give everyone a chance to get through. We appreciate your understanding. Please give me the following information:

What is your name?

APPLICANT'S NAME: _____

ADDRESS: _____

TELEPHONE:(Day) _____ (Evening) _____

* * *

Application Sent: (MM\DD\YY)_____

IF NOT SENT, STATE REASON: _____

SUPERVISOR

DATE

INTERVIEW/APPLICATION QUESTIONS		
<u>Subject</u>	<u>Lawful</u>	<u>Unlawful</u>
RACE		Any inquiry into one's race or color.
RELIGION OR CREED		Any inquiry into religious denominations, holidays observed.
NATIONAL ORIGIN		Any inquiry into one's lineage, nationality or of his/her parents or spouse.
SEX		Cannot ask whether they prefer to be called Mr., Mrs., Miss, or Ms.
MARITAL STATUS		Cannot ask whether they are married, divorced, or separated. Cannot ask for any data regarding spouse or ages of children.
FAMILY PLANNING		Cannot ask about plans for family.
AGE	Are you between 18-70? If not, how old are you?	Cannot ask: How old are you? or for date of birth.
ARREST RECORD	Have you ever been convicted of a crime? Give details.	Have you ever been arrested?
BIRTH PLACE		Cannot ask birth place, or birth place of applicant's parents or spouse.
DISABILITY	Do you have any physical or mental impairments which might interfere with your ability to perform your job duties?	Do you have a disability? Have you ever been treated for any of the following diseases?

INTERVIEW/APPLICATION QUESTIONS

<u>Subject</u>	<u>Lawful</u>	<u>Unlawful</u>
NAME	Have you worked for this company under a different name?	Cannot ask maiden name of a married woman.
PHOTOGRAPH		Cannot ask an applicant to affix a photo with the application form.
CITIZENSHIP	Are you a citizen of the U.S.?	Cannot ask: Of what country are you a citizen? Whether naturalized or native-born citizen. Cannot ask for naturalization papers.
LANGUAGE	Inquiry into languages written or spoken fluently.	What is your native language?
EDUCATION	Inquiry into his/her academic, vocational, or professional schooling.	
EXPERIENCE	Inquiry into work experience.	
RELATIVES	Names of relatives, other than spouse, already employed by company.	Cannot ask for names, ages, addresses of his/her spouse, children, relatives not employed by the company.
NOTICE IN CASE OF EMERGENCY		Cannot ask for such information.
MILITARY EXPERIENCE	Inquiry into his/her military experience in the U.S. Armed Forces and his/her branch in service.	

4.5 Making an Offer to a Candidate

Before final decisions are made to hire a quality control monitor, you should review the candidates and your choices with your field manager. Be prepared to discuss the following points about the top candidates:

- Each candidate's ability and willingness to travel to the QCM training early in January, to the AA training sessions within his/her area through the rest of January, and to travel within his/her area to observe assessments.
- The results of reference checks for each candidate.
- The ability of each candidate to master the assessment administrator training and the quality control monitor role.
- The hourly rate to be offered to each candidate.

It is also important that all applicants understand the limitations of the position. They must understand that it is a temporary, part-time position with work during the months of January through March 2000. All QCMs will receive an honorarium for the training session they attend. From January 10 to January 28, the QCMs will be paid for the hours they work (usually a minimum of 20 hours per week). This will include time spent at the AA training sessions each will attend, and time calling AAs prior to training and for their pre-assessment calls. From January 31 to February 25, 2000, the QCMs will be paid on a full-time basis, that is, they will charge 40 hours a week for those 4 weeks. If there are any make-ups, they will charge for the hours worked during the makeup week of February 28 to March 3, 2000. QCMs will also be reimbursed for travel expenses as approved by Westat.

Once you have made an offer to a candidate and it has been accepted, you must have that person complete the remaining personnel forms and have him/her contact the Travel Office at Westat (at 1-800-544-7755) to make plans to attend the January training. The travel arrangements for all QCMs must be made by December 17, but as soon as an offer has been accepted, that person should contact the Travel Office to make his/her travel reservations. After being hired, the QCM must complete the Fieldworker Agreement, the Field Employee Personnel Form, and the required residency and tax forms.

Before a QCM begins work, s/he must **successfully** complete the January QCM training. As the state supervisor, you may dismiss QCMs after the January training, and neither you nor NAEP is obligated to retain and use every QCM, particularly if you question whether they successfully completed training.

5. ASSESSMENT ADMINISTRATORS' TRAINING SESSIONS

During January, you will conduct the training sessions for the assessment administrators in your state. The November training for supervisors will focus on the procedures you will use while leading these training sessions. This will include a description of the use of the script for the training, the video that is employed to reinforce the procedures described in the script, and the practice exercises that the trainees complete. Since the script details each of the steps you are to take in leading the training, and these steps will be covered during your training, this manual will not go into detail on the conduct of your training sessions. Instead, we will focus on your activities leading up to the training sessions.

5.1 Sites for Training

The sites for the AA training sessions have already been established by the field manager, in consultation with the state coordinator and the Westat travel office. Sites that were centrally located (to the selected schools) with meeting room and eating facilities were selected throughout each state. Attention was also paid to ensure that the size of the AA training would be manageable and that the sites were not too far from each other to prevent your being able to reach the next location after the completion of each day's training.

At the November training, you will receive a supervisor's package. This will include a one-page January calendar that lists all your AA training sessions scheduled for the state (Exhibit 5-1). This calendar will provide you, at a glance, with the session number, site names (cities), and the approximate number of expected attendees for each training session.

A more detailed listing of all training sessions per state will also be included in your package. An example of this listing is shown as Exhibit 5-2. It will provide you with the session number, site, date(s), and hotel name, address, and phone number for each training session. The state coordinator will also be sent a copy of this list when scheduling has been completed.

In December, you will receive two additional forms concerning the training sessions. The first will list the cooperating schools and the AAs by name that are expected to attend each of the scheduled training sessions (see Exhibit 5-3 for an example of the format of this listing). This listing can be updated and printed from the SCS on your NAEP computer.

Exhibit 5-1. January Calendar Showing Assessment Administrator Training Sessions

January 2000

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday																																																																																			
						1 New Year's Day																																																																																			
2	3	4	5	6	7	8																																																																																			
9	10	11 9:00 AM 01 Grand Island (27)	12 9:00 AM 02 Grand Island (27)	13 9:00 AM 03 North Platte (18)	14 9:00 AM 04 North Platte (18)	15																																																																																			
16	17 Martin Luther King, Jr.'s Birthday	18 9:00 AM 05 Ogallala (10)	19	20 9:00 AM 06 Scott's Bluff (11)	21 9:00 AM 07 Chadron (16)	22																																																																																			
23	24 9:00 AM 08 O'Neill (15)	25 9:00 AM 09 Norfolk (25)	26 9:00 AM 10 Norfolk (25)	27	28	29																																																																																			
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Exhibit 5-2. Example of Training Session Listing

AA TRAINING SESSION				
**NEBRASKA				
<u>Session #</u>	<u>Date</u>	<u>City</u>	<u>Hotel</u>	<u>Telephone</u>
01	01/11/2000	Grand Island	Holiday Inn I-80 Hwy 281 & I-80 Grand Island, NE 68802	308-384-7770
02	01/12/2000	Grand Island	Holiday Inn I-80 Hwy 281 & I-80 Grand Island, NE 68802	308-384-7770
03	01/13/2000	North Platte	The Stockman Inn Hwy 83 & I-80 North Platte, NE 69103	308-534-3630
04	01/14/2000	North Platte	The Stockman Inn Hwy 83 & I-80 North Platte, NE 69103	308-534-3630
05	01/18/2000	Ogallala	Ramada Inn 201 Chuckwagon Road Ogallala, NE 69153	308-284-3623
06	01/20/2000	Scotts Bluff	Scotts Bluff Inn 1901 21st Avenue Scotts Bluff, NE 69361	308-635-3111
07	01/21/2000	Chadron	Best Western West Hills Inn Hwy 385 & 10th Street Chadron, NE 69337	308-432-3305
08	01/24/2000	O'Neill	Super 8 Motel E. Hwy. 20 O'Neill, NE 68763	402-336-3100
09	01/25/2000	Norfolk	Ramada Inn 1227 Omaha Avenue Norfolk, NE 68701	402-371-7000
10	01/26/2000	Norfolk	Ramada Inn 1227 Omaha Avenue Norfolk, NE 68701	402-371-7000

Exhibit 5-3. Example of Format (from SCS) for Listing of Assessment Administrator Training Session Attendees

NAEP 2000 State Coordinator System		8/5/1999
Report 4: AA Name and Address Listing for TS Schools		12:56PM
Filter: Cooperating/Pending Schools		Sort: District
School Name	User Info	NAEP ID AA Name and Address
Board Of Educ. Orange County		
Anthony Road Elementary		99A0170 Glenna Glendale 301 Anthony Rd Union City, TS 12345-
Springfield Road Elementary		99A0190 Mary Burton 309 Roosevelt Ave Wheaton, TS 12345-1234
DURANGO COUNTY BOARD OF ED		
RHODE ISLAND AVE SCHOOL		99A5040
Evaas Board of Ed		
Albina Middle		99B0050 Sue Smith 253 Richardson Ave Alexandria, TS 12345-1234
Martha City Elementary		99A0090
HARDLUCK COUNTY PUBLIC SCHLS		
CHURCH CREEK ELEMENTARY		99A5590
Hart Public Schools		
East Town Middle		99B0130
Franklin Middle		99B0120
Palm Point Middle		99B0140

The second form is the “2000 NAEP AA Sessions Summary Form” (Exhibit 5-4) that provides details on all arrangements that have been made at each selected training location. Because of the large number of sessions that needed to be scheduled nationwide, it was necessary for the meeting planners to make certain assumptions and schedule all training meetings based on these assumptions. However, since these plans were made after consultation with the state coordinators, there should not be any situation where you have to make any changes to the plans for the training.

Each meeting room is reserved from 8:30 a.m. until 3:00 p.m. on the day of the training. The plans for the actual training are for the sessions to run from 9:00 a.m. until about 2:30 p.m. with a break for lunch. In addition, two sleeping rooms have been reserved for **the night before** the training session. One of these rooms is for you, the state supervisor. You must review these arrangements immediately after the November training, and be certain that the arrangements mesh with your travel plans. If you see a situation where it will not be necessary for you to stay over because the training session is local to you, **you must cancel** these reservations. Similarly, if you see that you will need a room in another location or for an additional night, you should go ahead and make these arrangements. Basically, once you have received the Summary Forms, it is your responsibility to make sure that your room reservation arrangements are suitable for your travel needs.

The second sleeping room has been reserved for a QCM or an observer. If there is a need for a QCM to be on travel status, you should use this reservation for that person (although, for budgetary reasons, we need to minimize the number of times that QCMs stay over for training sessions). In general, we expect that most training sessions that the QCMs attend will be within that local area and will not require overnight lodging. Review situations with your field manager where you feel it **will** be necessary for the QCM to stay in a hotel.

Occasionally an observer may attend a training session. These observers may include your field manager, an ETS or Westat home office staff member, or the state coordinator. You will be notified of this as far in advance as possible. **If an overnight reservation will not be needed for the QCM or an observer, you must cancel the second room reservation.**

Other details required for the training sessions have been arranged as well. Arrangements have been made for: the VCR, monitor, overhead projector and screen that you will need for showing the video, and your other displays; for coffee to be provided in the morning; and for lunch to be provided.

Exhibit 5-4. Assessment Administrator Sessions Summary Form

Field Mgr. _____ Supervisor: _____

**2000 NAEP AA Sessions
Summary Form**

State: _____ City: _____ Meeting Date(s): _____

Meeting Location: _____ Contact: _____

Telephone Number(s): _____ Fax _____

CONFIRMED ARRANGEMENTS
(Supervisor to confirm all arrangements and provide guarantee numbers to hotel at least 5 business days prior to meeting)

Meeting Time: _____ Estimated Attendance: _____

Set classroom style (2 people per 6 foot table or 3 feet of working space per person)
Head Table with table top podium - Set for 3 people at front table
Table for Supplies in rear or side of room

Meeting Room Name: _____ Room Rate: _____

Room Size: _____
(Minimum room size 800 square feet)

Audio Visual Ordered	<u>Equipment</u>	<u>Cost</u>
	Overhead	_____
	Screen	_____
	VCR/19" monitor	_____
	Miscellaneous	_____

Food Service: 8:45am coffee, tea and decaf service Cost: _____
12:00N-1:00pm Lunch On-site: Off-site: In meeting room:

Luncheon Details/Cost: _____

Sleeping Rooms: How Many: _____ Confirmed under the name(s) of: _____

Guaranteed late arrival: Confirmation Numbers: _____

Rate: _____

Direct Billing: (A request for direct billing will be sent to each hotel together with Westat's credit information)

Date(s) Requested: _____ Date Confirmed: _____

Deposit Sent: Amount: _____ Date Sent: _____

Date Hotel Contract received by Westat: _____ Date Contract Returned to Hotel: _____

Comments: _____

The training sessions have been scheduled with an expectation that 20 to 25 AAs will attend each session. The Summary Form will include the number of attendees expected at the session. As you get reports from the field manager of changes in the number of attendees from a school or a change in the session that an AA needs to attend, you must make changes to the Summary Form as well.

There is a message on the bottom of the Summary Form, reminding you to confirm the reservations with the hotel at some specified time (shown as the number of days before the meeting, generally about seven days). By that time, you should know the final number of attendees so that you can be sure that the room the hotel has set aside will be suitable. This confirmation call is very important. The hotels will be expecting it, and some hotels may cancel your reservation if the confirmation call is not made. You may want to use the AA training schedule calendar that you receive at training to record reminders to call the hotels by the specified date.

It is also important to guarantee the number of lunches the hotel is to prepare if a catered meal is planned. The original number given to the hotel is an estimate. You will confirm the actual number that will attend and the number of lunches needed. If the Summary Form indicates that your group will dine from a buffet or in the hotel restaurant (using the restaurant menu), it is not necessary to confirm the number of lunches.

Another part of the Summary Form that you should pay close attention to is the billing arrangements. With the lead time we have in preparing for these sessions, we have endeavored wherever possible to arrange for direct billing to Westat for all the charges involved with your meeting. If this is the case, "Direct Billing" will be checked on your Summary Form. You must make note of any hotels for which we have not been able to make such arrangements, and be sure you are prepared to pay the hotel in those cases. If you see you have any such cases, plan ahead and arrange for a travel advance before you leave your home. There may be other instances where we have been able to arrange for direct billing for the hotel, but we have not been able to arrange for the lunch payment or some other portion of the bill, e.g., the audiovisual equipment. This will also be noted on the Summary Form, and should be planned for accordingly.

The billing arrangements should also be verified when you are making your confirmation calls in advance of your visit. All of this is being emphasized so that you can avoid any embarrassing situations, and also because you are going to be on the move throughout this month, so it could be difficult to get money sent to you if you find you must make an unexpected payment (for which you will be reimbursed).

5.2 Arrangements to Ensure AAs' Attendance

The design of the state assessment calls for the AAs to be informed of the time and place of their training by the state coordinator. This is routinely done in December, in a mailing that includes the AA Manual and a letter informing him/her of the schedule for training. However, this notification goes out well in advance of the training, and in some of the early sessions in previous years, the AAs did not attend their training because they forgot. For that reason, you should assign your QCMs the task of calling **each** AA on your list of attendees about one week before their training in order to remind them of the session.

Each QCM should call the AAs from his/her own region, so that it will not be too burdensome a task. Even if the QCMs are helping you in a training, there should be time to place calls later in the day; this may be the best time to attempt to reach the AAs anyway, particularly between the time the students leave and the official end of the school day. This will also enable the QCMs to answer any questions the AA may have, and to remind the AAs to bring their manual and that lunch is being provided. This call allows the QCM to begin to establish some rapport with the AAs, whom they will be meeting in training, and, in a percentage of the cases, observing in the schools.

In order to be sure all pertinent issues are covered in the pre-training call to the AAs, a scripted outline for the call will be provided to the QCMs in their manual. A copy of the outline is shown in Exhibit 5-5.

5.3 Evaluation of Hotel Facilities

You will be provided with a supply of Hotel Evaluation Forms (Exhibit 5-6). After each session, please complete one of these forms about the hotel and its facilities. The meeting planning staff will use this information in planning the meetings for the next cycle of NAEP. The completed forms should be returned, in a single package at the end of January, to Nancy King at Westat.

Exhibit 5-5. Scripted Outline for QCM Pre-Training Call to Assessment Administrators

Hello, my name is _____. I am your school's NAEP representative for the 2000 state assessment sponsored by the _____ State Department of Education.

May I speak with _____? (**OR** if you do not know the name(s) of the AA:) to the person who usually administers assessments at your school?

Hello, my name is _____. I am calling with some information concerning the 2000 NAEP Assessment. I understand that you have been chosen as (one of) the assessment administrators at your school. Did you receive the manual for conducting the assessment? It would be very helpful if you had some time to review the manual before the day of training. *(If AA did not receive the manual, explain that it would have been sent in December from the state coordinator, (name), with the training session information. Ask the AA to try to locate the manual. If s/he cannot find it, tell him/her that the NAEP supervisor will provide one at the training session.)*

I would like to confirm with you that you are scheduled to attend the training session on (date), at (place). *(IF AA was unaware of the training, indicate that they should have received the training information with the AA manual sent by the state coordinator in December.)*

The training session is scheduled to begin at (time) and last for approximately five hours, including lunch that we will be providing.

My records indicate that the assessment at your school is scheduled for (date). We will discuss the time you would like the session(s) to begin at the training.

Do you have any questions at this point about the assessment or the training?

I would like to give you my phone number in case you do have any questions or need assistance. You can reach me or leave a message at _____ - _____, or call your state coordinator.

I look forward to meeting you on (date). Good-bye.

Exhibit 5-6. Hotel Evaluation Form

**HOTEL EVALUATION FORM
2000 NAEP STATE AA TRAINING**

City/State: _____

Hotel Name: _____

Supervisor Name: _____

Direct Billing Arranged: YES NO

Date of Training: _____

Please rate this hotel's performance in the following areas by making a checkmark in the appropriate column:

	Inferior	Below Average	Average	Above Average	Superior
1. Meeting Facilities					
2. Accessibility/Convenience					
3. In-house Food/Catering*					
4. Audio/Visual Equipment					
5. Hotel Staff					

6. Would you recommend this hotel for future use? Do not use [Q.7]
 Use with reservation [Q.8]
 Reuse [Q.8]
 Highly recommend [Q.8]

7. Please provide recommendations for alternate hotel locations if you do not recommend using this hotel again.

8. Other general comments about this hotel:

*If hotel did not have an in-house restaurant, where did you have lunch?

6. STATE SUPERVISOR ACTIVITIES DURING FEBRUARY

Throughout the month of February, when the state assessments are being conducted, your primary responsibility will be to supervise and monitor the activities of the QCMs. It is your responsibility to ensure that the QCMs attend and observe the sessions that are scheduled to be monitored. You must also make sure that the QCMs complete their pre-and post-assessment calls to each school at the appropriate times and return the forms to Westat in a timely fashion.

6.1 Supervising the Schedule of QCM Activities

Prior to the January QCM training you will receive a calendar (Exhibit 6-1) which shows the assessment schedule throughout your state. In addition to assessment dates, the calendars also show dates when the QCMs are to make their call(s) to each school. These calendars are organized by area within the state and should be your primary reference in guiding the QCMs through their schedule (and checking that they have completed their work). The QCM will also be provided with a calendar specific to his/her area.

You will also receive a copy of the State Supervisor Log by the time of the January training. This document lists every participating school in the state and shows the school assessment dates, the number of sessions to be held, the assessment administrator names, and whether or not the school is scheduled to be monitored. The remainder of the log is to be filled in as you take reports from your QCMs. As you receive information from the QCM, use the following steps to complete the log:

- The first information you will enter is whether the QCM's required pre-assessment call has been completed.
- In the next column, you will enter either a "no" to indicate that no makeup is required, or, if a makeup is needed, you will enter the date that it is scheduled to be held.
- Then complete **one of the two following columns**, depending upon whether or not the school is monitored:
 - If the school is monitored, it is the QCM's responsibility to mail the completed assessment materials, and the date that package was mailed should be entered here (This must be within one day of the assessment, barring a makeup, and preferably will be on the assessment day); or

Exhibit 6-1. Calendar with Assessment Schedule

2000 State Assessment
 Calendar for State Assessment by Area

15:58 Tuesday, October 26, 1999

STATE =
 DELAWARE
 AREA = 5

	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
	1/24	1/25	1/26	1/27	1/28
PRE-ASSESS CALL	307 321	041	309 009		
	1/31	2/01	2/02	2/03	2/04
Q C VISIT	307		009		
PRE-ASSESS CALL	047 005	004	008 016		
POST-ASSESS CALL				321	041
	2/07	2/08	2/09	2/10	2/11
Q C VISIT	047		008		
PRE-ASSESS CALL		006 303	301 052	324	
POST-ASSESS CALL	309			005	004
	2/14	2/15	2/16	2/17	2/18
Q C VISIT		303		324	
PRE-ASSESS CALL	003		311 032 322		
POST-ASSESS CALL	016				006
	2/21	2/22	2/23	2/24	2/25
Q C VISIT	003		032 322		
PRE-ASSESS CALL					
POST-ASSESS CALL	301 052				
	2/28	2/29	3/01	3/02	3/03
Q C VISIT					
PRE-ASSESS CALL					
POST-ASSESS CALL	311				

- If the school is **not** monitored, you will enter the date that the post-assessment call was completed.
- The last three columns trace the movement of the QCM form, which is completed by the QCM **in person** during the assessment session (for monitored schools) or **by telephone** (for unmonitored schools). In completing this form, the QCM records whether each step of the assessment process was followed correctly in the monitored schools, and obtains an evaluation of the training and assessment from all AAs. You must complete the following items on the log:
 - The first column asks for the date that the QCM mailed the form to you;
 - The next column asks for the date you received the form; and
 - The final column is for the date that you have mailed the completed QCM form to Westat.

The QCMs will receive a similar log, without the last three columns. If QCMs keep their logs completely up to date, the reporting process should be streamlined as they report their activities to you.

Using the calendar and the log, you should be able to see at a glance which sessions are scheduled to be monitored each day. You must take whatever steps you feel are necessary to **guarantee** that each session designated for monitoring is, in fact, monitored. You must also be available throughout the field period to answer questions from your QCMs and state coordinator, and this will be particularly important in the first few days of the assessment period, when your QCMs will have the most questions. For this reason, you should not travel during the first 2 or 3 days of assessments so that you will be available to talk with each of your QCMs following their first several assessment observations.

In the state coordinator system on the computer, there is a place to indicate which QCM is assigned to each school

6.2 Observing QCMs in their Role as Monitors

Another requirement of your position is to observe each QCM at least once while they are monitoring a session. The observations should begin in the second half of the first week of the field period and be completed no later than the end of the second week.

As supervisor, you must confirm (and observe) that the QCMs are acting in a professional manner, and conducting their job in a way that does not infringe upon the AA. At the same time, if a situation arises where the QCM **should intervene**, it is important that you observe whether or not the QCM does so. If any AAs seem to be having trouble with the procedures at AA training, it would be advantageous to arrange to observe the QCM at the session at that AA's school; however, it is more important that you conduct your observations as early in the assessment period as possible.

You will receive blank copies of the Quality Control Form for monitored schools (QCF-M) to use as you make your visits to observe the performance of each QCM. Be sure to act as an impartial observer so that you allow the QCM to perform as though you were not there. Complete your copy of the form (QCF-M) independently of the QCM and jot down any comments you want to pass along to the QCM after the assessment. Observe the interaction between QCM and AA closely so that you can rate the QCM's performance in the following areas:

- Arrived at least one hour before the designated start time.
- Brought QC Manual and AA Manual to the school, and referred to these as needed.
- Demonstrated a familiarity with the responsibilities of the AA.
- Demonstrated an understanding of NAEP, its objectives, and the rationale behind the assessment procedures.
- Responded appropriately to any questions posed by the school staff.
- Demonstrated understanding of the role of a NAEP monitor, that is:
 - Was comfortable in the role;
 - Established rapport with AA;
 - Exhibited a positive, friendly attitude;
 - Was helpful but not intrusive, pushy, or controlling;
 - Gave AA the latitude to conduct the assessment in his/her own style;
 - Observed assessment preparation, administration, and wrap-up carefully without being intrusive or affecting AA's performance;
 - Recognized when to intervene to protect the integrity of the assessment and did so tactfully;

- Reviewed sampling of new enrollees, administration schedules, booklet covers, questionnaires, and rosters for accuracy and completeness, and coded corresponding sections of the QCF appropriately;
- Conducted post-assessment interview in a professional, non-leading manner; and
- Carried box away from school for shipment.

For each assessment that you observe, arrange to meet with the QCM after the assessment but **away** from the school (e.g., in your automobile, or over coffee at a nearby restaurant if nothing else is available). Compare your responses to items in the QCF-M, and thoroughly discuss any discrepancies. Mention those things that please you about the QCM's performance. Address those things that need improvement. Be specific. Offer suggestions. Arrange for a second observation if one is warranted.

If, after the first observation, you are not comfortable with the QCM's performance, you should observe that person another time. After a second observation, you should make a decision as to whether that person should be retained; the assessment period is too short to delay this decision. If the QCM does something that is inappropriate or inexcusable at your first observation, it is not necessary to observe the person a second time; this is a highly visible position that cannot tolerate someone who might embarrass NAEP and Westat. Several additional QCMs will be trained, and Westat will provide you with a trouble-shooter if it is necessary to dismiss a QCM.

During your observations, you must be sure that all QCMs have your itinerary so you can be reached to address questions or resolve any issues. It is a good idea to check in with the QCMs after each scheduled monitored assessment and to verify that they are making the post-assessment calls to unmonitored schools and keeping their log up-to-date. Following the first two weeks of the assessment, after you are confident of the QCMs performance, you should arrange a schedule for each QCM to report to you once or twice a week to keep your log up-to-date and be apprised of any unusual situations.

In the State Coordinator System, there is a place for you to enter the airbill number and shipment date of the assessment materials.

6.3 Changes in the Schedule for Assessments/Monitoring

It is your responsibility as supervisor to track changes and additions to QCM schedules and to make arrangements for troubleshooters or other QCMs to cover sessions as necessary. It is never the QCM's responsibility to find substitutes.

As a result of last minute changes in the assessment schedules and the uncertainty that makeup sessions can cause, it may be necessary on occasion for you to serve as the QCM or to arrange for a substitute. Also, **QCs who primarily make phone calls to unmonitored schools must be available to observe if needed** and should be called upon as substitutes. The state assessment procedures call for the QCM to also monitor any make-up session in a monitored school. Therefore, it is possible that a QCM will need to return to a school for a makeup at the same time that another monitored school is scheduled for the initial assessment. If it is not possible to send another QCM to the initial assessment (which should be the first alternative if convenient), then you must monitor one of these sessions. (For the sake of continuity, it would be best for the "substitute" QCM to attend the initial assessment and to send the original QCM back for the makeups.) Be sure to record any such changes on your calendar and your log.

It is also your responsibility to track the timing of the pre-assessment call that the QCMs are required to place to each school five days before the assessment. The purpose of the call is two-fold. The first purpose is to obtain directions for the QCM if they are to attend the session. (This includes "driving" directions as well as instructions regarding parking and where to go when arriving at the school. The QCM will ask for directions at every school, so as not to indicate to the AA whether s/he is to be observed.) The second purpose of the call is to determine whether the AA is prepared to conduct the assessment **as scheduled**, i.e., have the assessment materials and Administration Schedules been received, have any newly enrolled students been listed and sampled, etc. Also in this call, the QCM will determine if any additional separate accommodation sessions will be conducted. AAs will be encouraged to schedule such sessions on the same day as the original session but at a different time so that the QCM can observe both sessions (and to avoid the need for calling in another QCM).

Following the pre-assessment call, the QCM's remaining obligation to the unmonitored schools is to call the AA within three days **after** their scheduled assessment to debrief them. Be sure to record any changes in the assessment schedule and in the timing of the post-assessment call on your calendar and your log.

6.4 Reviewing Quality Control Forms

For each school within his/her area, the QCM must complete a Quality Control Form (QCF). There are separate forms for monitored and unmonitored schools -- known as QCF-M and QCF-U. The form for monitored schools -- QCF-M -- includes notes on the observation of every step of the assessment and a post-assessment debriefing of the AA, which asks for views on the training and conduct of the assessment. The QCF-U for unmonitored schools consists only of the debriefing information. The QCF-M must be completed during and immediately after the assessment (with the exception of the schools requiring makeups, where the final section of the form is not completed until after the makeup). The QCF-U must be completed within three days of the assessment. As soon as the QCMs complete and review their forms, the completed forms must be sent to you for your review.

There is a place in your log to record when the QCM has mailed the Quality Control Form to you. You should check with the QCMs during your phone conversations and keep this portion of the log up to date. This will help convey to the QCM the importance of completing and returning these forms in a timely manner.

It is important that QCMs ship completed QCFs to you twice weekly. Request that they send the first two forms for monitored schools (QCF-Ms) to you by Federal Express. Edit those forms item-by-item immediately upon receipt and provide feedback to QCMs as soon as possible so that problems can be addressed before other schools are monitored. Once you are confident that a QCM is proficient, you may choose to perform an item-by-item edit on every fifth form the QCM submits. However, every form should receive a cursory review.

Any questions you have about the forms and any items that you find unclear should be directed to the QCM. You should write in the revisions or clarifications based on your conversation with the QCM, so that when the forms are returned by you to Westat, they are complete. Make sure that all sections of the form are complete, or, if not, that there is an explanation for missing data. This review should be done as quickly as possible, so that the QCM has not had an opportunity to forget what occurred at a school or to confuse it with another school.

The supervisor will enter the FedEx or Express Mail shipping tracking number from the QCF into the SCS so that we have an easy method of tracing late shipments. If the QCM shipped materials, the supervisor can get the tracking number during the weekly report call. On the session information page in the State Coordinator System, there is a place to indicate that the QCMs have completed the QCF and the date they sent it back to Westat.

As you review and edit the forms completed by the QCMs, you should always perform a thorough edit using detailed steps:

- When you need to supply missing information or to clarify entries, you should use a colored pen or pencil to distinguish your entries from those of the QCM. Enter your initials beside such entries.
- Pay particular attention to the front and back covers of the QCFs. Verify that the QCM has made any necessary changes or additions to the preprinted label information on the front cover. Entries should be legible. Verify that the QCM has entered his/her name at the top of the back cover and made entries in Sections A, B, C, and D.
- Review carefully those places where the QCM should enter times: arrival and departure from school, time script began, time students dismissed, and time debriefing starts and ends. If a QCM is having a problem with one or more of these items, suggest that they highlight the boxes in advance.
- Check the index on the inside of the back cover. Has the QCM remembered to check each section as completed? If QCMs are having difficulty with omissions, suggest that checking off items as they are completed provides a quick method of determining when all tasks have been completed.
- As you edit the forms, keep notes to help you track errors and spot patterns. Review any problems during weekly report calls with QCMs and offer suggestions for improvement.
- Keep your supervisor log up to date so that you can inquire about any delayed forms while tracking is still possible. It is important that you receive and forward to Westat a QCF-M or a QCF-U for every school in your assignment.

The results of these Quality Control Forms after the previous state assessments have typically been of great interest to the Department of Education and the state coordinators. They are summarized as part of the final report on the project. Therefore, it is especially important that they are filled out completely and accurately by the QCMs. It is expected that the forms will be complete when they arrive at Westat.

6.5 Edit Checks for Quality Control Forms

This section takes you through the Quality Control Form step by step. There are two different forms – one for monitored schools and one for unmonitored schools.

6.5.1 Monitored Schools

6.5.1.1 General Consistency Checks

- There should be a completed booklet for every initially-scheduled session. Each booklet should contain mathematics or science session information, but not both. Additionally, if BOX 1A = YES, the booklet should contain school-level information.
- BOX 1: Session type coded here (mathematics or science) should match the session type given in label.
- BOX 1A: This should be coded “YES” only if the booklet label indicates this is mathematics session 01. If the school does not have a mathematics session, BOX 1A should be coded “YES” for science session 01.
- Check to be sure that the sections of the form completed match the BOX 1 and BOX 1A codings. This means that sections of the form labeled:
 - School-level: Should only be completed if BOX 1A = 1.
 - Each session: Should be completed in each booklet.
 - Math Session Only: Should be completed only if BOX 1 = MATHEMATICS
 - Science Session Only: Should be completed only if BOX 1 = SCIENCE
 - Once Per AA: Should only be completed if BOX 3B = 1
- Westat’s copies of the Administration Schedule and Roster should be enclosed in booklet.
- A single-page QCF for Separate Accommodation Sessions should be enclosed in the booklet for each separate session held. If separate sessions are indicated on the chart on page 4 of the QCF-M, a separate session sheet must be included for each session on the chart. It is possible, however, to have separate sheets corresponding to sessions that are not entered on the chart.

SECTION A:

- A-2: If coded “SAMPLING INCORRECT” review the explanation to make sure this item has been properly coded and QCM took the appropriate action.

SECTION B

- B-2: If coded “1”, there should be an adequate explanation at B-3 for QCM’s inability to observe the bundle opening. We are trying to determine whether the premature opening was intentional or just a mix-up or communication error.

SECTION CM OR CS: HANDLING OF THE READING SCRIPT

- “TIME SCRIPT BEGINS” must be entered at top of page.
- If “major revisions/omissions” coded for any item, check to see that there is an adequate explanation in Col. C or CM-15/CS-16 to back-up the rating.
- If “major revisions/omissions” coded for any item but the “BROUGHT TO AA’s ATTENTION” box is not checked, there should be an explanation.

SECTION CM OR CS: TIMING BOOKLET SECTIONS

- If “CORRECT?” coded “NO” in the timing chart for any section check to see that there is an adequate explanation in CM-16/CS-17 to back-up the observation.
- If “CORRECT?” coded “NO” in the timing chart for any section but the “BROUGHT TO AA’s ATTENTION” box is not checked, there should be an explanation.
- Review basic timing entries for consistency:
 - There should be a consistent flow to the section timings (e.g., sessions cannot end before they start).
 - Time should be recorded by 12-hour clock, not 24-hour.
 - Time script starts should be before time first section starts.
 - Time students dismissed should be later than the ending of the last section
 - Gaps in the timing sequence should be explained by the “BREAK TAKEN” entries or a note at CM-16/CS-17 indicating a disruption in the sequence.

SECTION C: OBSERVING THE SESSION

- C-4: If this item is coded ‘DID NOT HANDLE CORRECTLY’, there must be an adequate explanation in Col. C.
- C-9: If this item is coded ‘NO’, there must be an adequate explanation in Col. C.

SECTION K: AA’s REACTION TO NAEP

- BOX 3 must be consistent with entries in Section K. If BOX 3 A = YES or BOX 3B = NO, then Section K should be blank.
- K-6: Check to see that # hours is reasonable for # sessions reported at K-8. Response should be in hours, not days, weeks, or other vague unit.
- Review comments to check whether QCM has:
 - Captured enough of what has been said and the comment is interpretable
 - Correctly classified the comment according to the four available categories (training, manual, forms, general)
 - Coded the comment correctly (including “positive” comments and comments which the “office should code”).

6.5.1.2 BACK COVER

- Section B: School arrival and departure times should be recorded here. QCM should record whether schools held sessions concurrently or consecutively.
- Section C: Session status must be indicated for each booklet. If a session is not monitored or the assessment not held, an explanation is required.

6.5.2 Unmonitored Schools

- There should be a completed booklet for every initially-scheduled session. Each booklet should contain reading or writing session Information, but not both. Additionally, if BOX 1A=YES, the booklet should contain school-level information.

- BOX 1: Session type coded here (mathematics or science) should match the session type given in label.
- BOX 1A: This should be coded “YES” only if the booklet label indicates this is reading session 01. If the school does not have a mathematics session, BOX 1A should be coded “YES” for science session 01.
- Check to be sure that the sections of the form completed match the BOX 1 and BOX 1A codings. This means that the:
 - Pre-assessment call should only be completed if BOX 1A = 1.
 - Post-Assessment questions (pages 6-8) should only be completed if BOX 1A = 1.
 - Section J should be completed in every booklet.
 - Section K should only be completed if BOX 3B = 1

POST ASSESSMENT QUESTIONS (PAGES 6 - 8)

- Q2: Check whether the QCM has completed the Regular Session Chart correctly (i.e., accounted for all sessions) if one or more sessions were not held as originally scheduled.
- CHART ON P. 8: If a separate session is recorded on page 4 of the QCF-U during the pre-assessment call, it must be accounted for in the chart on page 8. It is possible, however, to have additional separate sessions recorded on the page 8 chart which were not recorded during the pre-assessment call.
- Q6: Verify that the airbill # was obtained or an attempt was made to get it.

SECTION K: AA’s REACTION TO NAEP

- BOX 3 must be consistent with entries in Section K. If BOX 3A = YES or BOX 3B = NO, then Section K should be blank.
- K-6: Check to see that # hours is reasonable for # sessions reported at K-8. Response should be in hours, not days, weeks, or other vague unit.
- Review comments to check whether QCM has:
 - Captured enough of what has been said and the comment is interpretable

- Correctly classified the comment according to the four available categories (training, manual, forms, general)
- Coded the comment correctly (including “positive” comments and comments which the “office should code”.)

BACK COVER

- Section C: Session status must be indicated for each booklet. If a session was not held, an explanation is required.

6.6 Other Activities

Your other duties during the assessment period will consist primarily of making yourself accessible via phone to the state coordinator and your Westat field manager. As emergencies and other unexpected events occur, you must be available to investigate these situations and do what you can to resolve them. This does not mean that you will be operating completely alone, without any other sources of help or information. It does mean, however, that you are the “lightening rod” for such problems, and that you must be available to take reports of problems and attempt to deal with them.

Because the assessments are scheduled for the month of February, the possibility of postponements caused by weather is likely in many parts of the country. With the tight schedule of assessments throughout the month, and because QCMs must attend all monitored sessions, it is obvious that one large snowfall can cause considerable havoc to a schedule. You must be accessible in order to try to deal with these situations. Your field manager is there to assist you, and troubleshooter QCMs will be available to travel at times, but you are the person that the QCMs will call as these problems occur, so you must be accessible to them.