

6. ASSESSMENT DATES FOR NONPUBLIC SCHOOLS

6.1 Non Public Schools

The nonpublic school sample for NAEP 2003 will be approximately 800 schools. As you know, from late September through early November 2002, you will be gaining cooperation with nonpublic schools in your state. As described earlier, to assist you in this task, you will be provided with:

- The Log of Schools, which lists selected schools within each Area.
- A School Control Form for each school. This form provides name, address, and telephone information, as well as the number and type of sessions. It also has space for you to record assessment dates and other important information.
- Record of Contact forms for you to record the outcome of all conversations with diocese and school staff
- A laptop computer with which you can access the SCS containing all information found on the Log of Schools. Assessment dates and school disposition codes will be entered in the SCS using your laptop computer.
- An Online Assessment Calendar accessible through the SCS on your laptop computer which shows up-to-date, pre-planned assessment dates for all nonpublic and public schools in each Area of your state, as of late September.

6.2 Pre-Planned Assessment Dates for Schools in your State

Field Managers have pre-planned dates for the nonpublic schools in their assigned states to St into the calendar with the pre-planned public school dates. Approximately 28 public and nonpublic schools in the same geographical area in a state have been grouped together into an Area, with an average state having 10 to 12 total Areas.

6.3 Online Assessment Calendar of Each Area

All pre-planned assessment dates for the public and nonpublic schools in each Area in a state have been loaded into the SCS and can be viewed on an Online Assessment Calendar accessible by the supervisor gaining cooperation with the nonpublic schools and by the field manager assigned to that state.

Your Online Assessment Calendars for all of your Areas in the state will be accessible through a link in the SCS and will be “view only”, meaning that changes in schools’ status or assessment dates cannot be made directly on the calendar. For a school to show on your Online Assessment Calendar, (1) an assessment date must be entered for the school in your SCS, and (2) one of the following school disposition codes must be entered in your SCS for the school:

- Pending
- School Contacted, Pending Cooperating
- Interim Refusal

Likewise, a school will not appear on your calendar, if the following school disposition codes are entered:

- School Refusal
- School by Diocese Refusal Diocese Refusal
- Closed
- No Eligible Students
- No Grade
- Not Regular School

It is crucial that you compare your Log of Schools and your Online Assessment Calendar daily to ensure all nonpublic schools that are pending, cooperating, or interim refusals are showing on your Calendar and on the correct date. You should also verify that all final refusal and ineligible schools are not showing on the Online Assessment Calendar and have been assigned the correct final refusal or ineligible disposition code. To help you check your entries, you can create an Area Status Report in the SCS that is printable, showing current entries for assessment dates and school disposition codes for each area school. Your printable Online Assessment Calendar showing the results of your SCS entries will also help, when comparing it to the Area Status Report. (See the SCS User Guide for details.)

Changes in the pm-planned assessment dates are probable. For nonpublic schools, supervisors may find that a school has a major conflict with the pre-planned assessment date, or they may require a specific date to participate. In addition, some nonpublic schools will have closed, or they will be ineligible, thereby freeing their assessment date for another school. Therefore, it is essential that field managers and supervisors keep the SCS current at all times to prevent unplanned double scheduling of schools.

Please follow these very important procedures to keep your SCS and, therefore, your Online Assessment Calendar current:

- Before you begin your day's calls, log onto your Online Assessment Calendar through your SCS, and print out a new calendar for the Areas you will be working in, if a change has occurred since you last printed your Calendar.
- At the beginning of each day, also print out your Area Status Report, and verify the correct assessment date and school disposition code have been entered for all your schools so that every school appears correctly on your Calendar.
- During the day, log onto your Online Assessment Calendar to note any date changes that may have been made since you last checked. If so, make changes on your hard copy Online Assessment Calendar so it will be current for your next call.
- When you gain cooperation with a school, immediately log onto your SCS and change the school disposition code to "Cooperating" and verify the correct assessment date has been entered.
- When you verify that a school is closed or is ineligible, log onto your SCS and enter the correct school disposition code, thereby removing the school from your Online Assessment Calendar and freeing the day for another school's assessment.
- When you have suggested a different assessment date to a pending or interim refusal school because their original assessment will not work, immediately log onto your SCS and enter the suggested date which will free the original pre-planned date.
- When your field manager and you determine that all possible conversion attempts have been exhausted, immediately change the school disposition code in your SCS to the appropriate final refusal code. If a substitute school is available, the substitute school will be activated. However, you will need to enter an assessment date for the substitute school so it will appear on your Online Assessment Calendar.

6.4 Guidelines for Changing Assessment Dates

Please follow these guidelines whenever possible when making assessment date changes:

- If a school needs to change their assessment, first look at any open dates in your Online Assessment Calendar, possibly resulting from closed or ineligible schools.
- If possible, do not change an assessment date for a 12th grade school to a Monday or Friday when attendance is lowest.
- For 4th and 8th grade schools requiring date changes, Fridays and Mondays would be excellent assessment dates, if any are open on your calendar.
- Do not change a 4th grade school to Friday, February 14, since that is Valentine's Day, unless you have discussed possible party plans with the school, or if that is the only date available.
- Schools suggest for all grade levels that Tuesday, Wednesday, and Thursday are the BEST testing days in terms of attendance. Whenever possible, suggest these days if a change is required, and one of these days is open.
- Presidents' Day is February 17, which is a Monday. Since it is a holiday in many schools, a school may not have been scheduled for that day on your Online Assessment Calendar. However, if you need to change a 4th grade school assessment date, ask if February 17 is a holiday for them. If not, suggest it as their new assessment day.
- If you discover that a change has been made on your Online Assessment Calendar so that a public school is scheduled with one of your nonpublic schools, determine if both assessments might be possible on the same day by looking at the number of sessions in both schools. For example, a one-session school could be assessed on the same day as a two-session school, so the assessment dates for the two schools would be compatible.
- If one of your schools mentions a conflict with the assessment date you suggest, discuss possible ways the assessment might be conducted on that day. Sometimes a school perceives a conflict, but it really is not a conflict for a NAEP assessment. However, be careful to not be too aggressive and jeopardize the school's participation.
- If a school requires their assessment be changed to a day when another large assessment is scheduled, agree to their required assessment date. Gaining cooperation is most important. Please discuss any double scheduled schools with your field manager so staffing can be arranged.
- If a school refuses, talk with your field manager to determine if/when the school should be removed from their assessment date on your Online Assessment Calendar, based on the reasons and finality of their refusal and planned conversion efforts. Please keep in mind that if an original school is coded a final refusal, the sub school, if one is available, will replace the original school on that assessment date on your calendar. Never code a school as a final refusal unless approved by your field manager.
- Anytime you encounter a problem in scheduling or changing dates, you should consult with your field manager.

6.5 Discussing Assessment Dates with your Schools

Even though all your schools' assessment dates have been pre-planned, when you talk to the school, say, "Our NAEP staff will be in your area on February 5. Would that date work for your school?" You are "guiding" the school to the pre-planned assessment date, but you are not "telling" them it will be their assessment date. If the school has a conflict with the date you suggest, you will work with them to identify a date that works for them, using the guidelines whenever possible.

8. SELECTING THE STUDENT SAMPLE

8.1 Schedule of Sampling Activities

During the period from November 18 - December 10, you will visit the state coordinator's office to select the public school sample of students to be assessed. You will also prepare materials to be sent to schools and give to assessment coordinators as described in Chapter 9. In preparation for sampling activities, schools that have not E-Filed have been requested to prepare a list of their students and to send it to the state coordinator by November 15.

Student samples in nonpublic schools are selected using the same steps as described in this chapter for public schools. The primary difference is that the nonpublic student samples will not be selected in a central location, like the state office. Instead, nonpublic school lists may be mailed or faxed to the Westat home office, your field manager, or you. In some cases, you will go to the school to select the sample. Nonpublic schools may also E-File their student lists.

All schools (public and non-public) have been sent the Instructions for Preparing a List of Students. (See Exhibit 8-1 for Instructions for Preparing a List of Grade 4 Students.) Following these instructions, schools not E-Filing will prepare a list of all of their eligible students. These lists will be a computer generated or typed. You will have until AC training begins (December 5 or 9 depending on which session you attend) to complete the sampling activities for all schools. Given that student samples must be selected for all of the schools in a state that do not E-File, you should plan your time carefully.

Again this year, schools were given the option to E-File their electronic files of student information directly to Westat. The Westat statistical and data processing staff will sample these schools and transmit data directly to NCS-Pearson and to the Student Data System (SDS) on your laptop. You are responsible for selecting the student sample for the remaining schools in your assignment. In most cases you will select the public school sample in or near the state office. In rare cases, the state coordinator may permit sampling from your home.

Exhibit 8-1. Instructions for Preparing a List of Grade 4 Students (Page 1 of 2)

8-1

NAEP 2003
Instructions for Preparing a List of Fourth-Grade Students

(Please see reverse side for three methods of preparing your list of students:
Excel file submitted via Internet or hard-copy typed or computer-generated list.)

1. The list must include **ALL students enrolled in the fourth grade** using the most current enrollment records available.
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. If this is a year-round school, please record the following information on the list of students:
 - a) Total enrollment in the fourth grade: _____
 - b) Percentage of fourth-grade enrollment that will be off-track (not in attendance) on the assessment date: _____
 - c) Indicate on the list which students will be off-track on the assessment date.
4. Please indicate the number of fourth-grade teachers who teach mathematics and/or reading: _____
(Please include special education with teacher counts.)
5. In most schools a sample of fourth-grade students will be selected. If your school has fewer than 121 fourth-grade students, we can assess **ALL** of them in intact classrooms, if you prefer. Let us know how you want us to assess your fourth-grade students.
Assess ALL fourth-grade students _____ Assess a sample of fourth-grade students _____
6. The following student data are required:
 - Student name (Alphabetical)
 - Month and year of birth (MM/YY)
 - Sex (*Codes below)
 - SD status (*Definition below)
 - LEP status (*Definition below)The following data also will be required of sampled students but may be included for all students now if more convenient:
 - Homeroom
 - Race/ethnicity (*Definition below)
 - National School Lunch Program (NSLP) status (*Definition below)
 - Title I status

***Codes/Definitions:**

Sex: 1=Male 2=Female

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**.

LEP: Student classified by the school as limited English proficient.

Race/ethnicity:

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.

National School Lunch Program (NSLP):

1= Student not eligible

3=Free lunch

2= Reduced-price lunch

6=School not participating

Exhibit 8-1. Instructions for Preparing a List of Grade 4 Students (Page 2 of 2)

There are three ways you can submit your list of students (specifications for preparing the list are detailed on the reverse side):

A. Send an Excel file of your student data by signing on to the MySchool web site at www.mynaep.com. Step-by-step instructions on the web site will walk you through sending the file. The deadline for submitting electronic files is November 15, 2002.

B. Print out a list of students from your computer database.*

In addition to including the student data requested in question 5 on the reverse side, please follow these guidelines:

- Write the school name and address and district name on the list.
- Number the students.
- Double-space the list.
- Allow a right-hand margin of at least 2 inches.
- Include the date the list is current.
- Define any special codes used.
- Include preparer's name and phone number.

C. Prepare a list of students using the model below*:

NAEP 2003 STUDENT LIST

School Name: Yellow Springs Elementary School Prepared by: Tom Reed
 Address: 3 School Street Preparer's Phone Number: 909-123-4567
Brown NS 55121 Date List is Current: 10/01/02

DIRECTIONS: PLEASE COMPLETE COLUMNS A - E FOR EVERY STUDENT IN THE FOURTH GRADE. Columns F - I can be completed now or at a later date for selected students only. Include students who may be excluded from other testing programs, such as some students with disabilities or limited English proficiency. PLEASE PRINT OR TYPE.

REQUIRED OF ALL STUDENTS					Required of Sampled Students				For Sampling Use Only	
-A- Student's Name	-B- Birth Date (MM/YY)	-C- Sex	-D- (X) If SD	-E- (X) If LEP	-F- Home Rm	-G- Race	-H- NSLP Status	-I- (X) If Title I	Line #	(X) Sampled
Tiffany N Agnew	08/92	2								
Kyle V. Banks	05/92	1	X							

*If you are preparing a hard-copy student list according to the instructions in B or C above, please complete questions 3, 4, and 5 on the reverse side and return this form with the list of students to your NAEP State Coordinator or NAEP representative by: _____.

THANK YOU

Assessment coordinators hired before November 1 will receive, in mid-November, laptops capable of receiving SDS files from the supervisor laptop so that they can be utilized for data entry and other sampling activities. Using ACs to assist with sampling has the added advantage of allowing them to become familiar with NAEP documents and the schools in their individual assignments.

Because most states have two or more superiors working with sampling, your field manager has taken the lead in discussing sampling arrangements with the NAEP state coordinator. He/she will update you on activities to date including:

- When the state mailed notification letters to districts and schools;
- What percentage of the selected schools are expected to submit their list of eligible students in hardcopy form;
- What percentage of those have been received from the schools;
- Whether the state has achieved the desired level of cooperation; and
- How current the computer entries are.

Your field manager has discussed arrangements for sampling with the NAEP state coordinator and will share the following information with you:

- Whether the state prefers that sampling be done in the state office or elsewhere;
- If in the state office, what space will be reserved for you and your staff;
- Whether the same space will be available each day;
- Whether others will use the same space during the sampling period;
- How many the space will accommodate;
- Where materials should be stored for confidentiality at the end of the day; What times during the day the state coordinator is available to discuss any problems;
- What facilities are available for copying and the “rules” that apply; and
- Who to contact when the following problems arise:
 - Lists are incomplete;
 - Codes are unclear; and
 - Enrollment figures do not match the expected enrollment.

Ordinarily, sampling is done at the state office, but if the coordinator indicates that the department has no space for sampling, you will be advised as to how the state wants sampling handled.

One possible solution to the space and time problem may involve “outside” using 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 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.** Again, your field manager will advise you of the sampling arrangement preferred by your NAEP state coordinator.

Your field manager will meet with you and other supervisors from your state at the November supervisors training to assist you in deciding who will assume responsibility for making telephone contact with the NAEP state coordinator so that the coordinator is not receiving multiple calls for the same purpose. In making this decision the following should be considered: the number of supervisors working in the state, each supervisor’s proximity of residence to the department of education, the sampling arrangement preferred by the state, and whether materials will be transferred in person or by Federal Express.

Finally, if you discover that sampling is taking much longer than planned, so that you will not finish by your deadline, **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 recognition that the work is taking longer than anticipated. (Usually, there will be two supervisors working in each state office, assisted by several ACs depending on the number of schools that E-Filed.)

8.1.1 How to Determine Which Schools have E-Filed

You can identify which schools have E-Filed by checking the School Control System. On the School Edit screen under Sampling, the Sampling Method will be set to E-Filing for schools that have submitted their files or for whom the district or state has submitted files. Likewise, you can generate a report of these schools using Report #4 or by creating a report with Mail Merge and including the field labeled Sampling Method under Grade Information. Another indication will be the information displayed in the fields labeled Number on SLF and Number Sampled in the schools’ School Edit screens. Finally, the Supervisor Log of Schools will indicate which schools have E-Filed. See section 8.3.1 for more details on using the log.

8.2 Overview of the Sampling Process

The sampling process includes the following tasks:

- Once you have determined that the student list is complete, use the SDS on your NAEP laptop computer to select students from the school's list of eligible students. Access the SDS by double-checking on the SDS icon on your laptop computer.
- Follow the instructions for selecting a school and drawing the student sample in the SDS User's Guide. Print the sampling line numbers generated by the computer.
- Print out the Instructions for Sampling New Enrollees¹. This document will be printed from the SDS immediately after the sampling line numbers. (An example is available in Exhibit 8-6.)
- Enter the names of sampled students (and other available demographic information) in the SDS.
- Put the sampling line number printouts and Instructions for Sampling New Enrollees in the school folder.
- Transmit data to Westat daily.

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

- Computer and printer;
- Computer paper;
- Sampling Checklist (Exhibit 8-2);
- This manual; and
- School folders and labels.

¹ Schools are to maintain a list of students who enroll in the sampled grade after the original list is sent to the state coordinator. They are to use the New Enrollee Listing Form for this purpose. Assessment coordinators will select a sample from this New Enrollee Listing Form using the Instructions for Sampling New Enrollees.

Exhibit 8-2. Sampling Checklist

SAMPLING CHECKLIST

- Confirm identity of the school and the school's NAEP ID.
- Review the list of students to ensure it is complete (that the last names cover the alphabet reasonably and the year of birth is reasonable for sampled grade).
- If 4th-grade take all in classrooms, is classroom information on the list? You will need to obtain if it isn't included.
- Number the students, if necessary. (ACs can help with this task.)
- Even if you did not number the list, check the numbering of students to ensure that no numbers have been duplicated or skipped. (ACs can help with this task.)
- Compare the total number listed with the Total Enrollment recorded on the instructions for listing students. If the numbers differ by 5 or more, determine reason for discrepancy. Resolve discrepancy and continue.
- Using the Student Data System on NAEP laptop:
 - Locate the school on the SDS, double check the NAEP ID, and click on the school's name.
 - Click on the Student Sampling button and click Yes to begin the primary sample process.
 - Enter total number from list of students and click on Select Primary Sample button.
 - Print primary sample line numbers.
 - Print instructions for sampling from the list of newly enrolled students.
- If 4th-grade school** in which all students will be assessed in classrooms
 - After entering total number of students you will identify the classrooms and number of students in each before completing the sampling procedures.
- Mark the selected students on the school's list of eligible students.
- Double-check the selected students against list of sampled line numbers. (ACs can help with this task.)
- Locate the school and session on the SDS and click on View/Edit Student Records.
- Enter student names and other available demographic information. (ACs can help with this task.)
- Print out the Student Information Report and recheck the data entry against the school's list of eligible students.
- Put the list of sampled students and Instructions for Sampling New Enrollees in school folder. (ACs can help with this task.)
- Transmit data to Westat daily.

Revised 10/15/02

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. The coordinator can use them to ship the lists to you so that you can complete the sampling at home. You can use them to ship lists to an ac or other staff person who will help you with student data entry.

8.2.1 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 which school lists have been received and which are outstanding. Then, check each completed list against the total number of students in the grade reported on the returned Instructions for Preparing Lists of Students to ensure that the lists are complete. Check that Grade 4 schools have chosen an option for assessing all students in classrooms, and that the number of for grade 4 and 8 teachers is recorded. Check that SD/LEP data are included on the list. This should be done for every school before you begin the 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.
- 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 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 ACs, 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. 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. 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.

8.3 Drawing the Student Sample

8.3.1 Using the Supervisor Log of Schools

You will be provided with a pre-printed Supervisor Log of Schools (Exhibit 8-3) that you should use to keep track of your sampling activities. Keeping this log up-to-date will help you to accurately track your activities and to report on these activities to your field manager.

The log is printed in region/area order with page breaks between areas. Within an area, schools are listed in the following order:

- Alphabetical by public school district
 - Within district, alphabetical by school name
- Alphabetical by Catholic diocese
 - Within diocese, alphabetical by school name
- Other nonpublic schools listed alphabetical by school name

A description of each column on the Supervisor Log of Schools and how each should be used to track your activities follows an example of the log.

Exhibit 8-3. Supervisor Log of Schools

Region:
Area:

NAEP 2003
Supervisor Log of Schools

Date: 11/11/02
Page 1 of 1

District Name Superintendent Street Address City State ZIP Phone #	School Name Principal Street Address City State ZIP Phone # NAEP ID# Grade: Take All:	School Disp Code	Assess- ment Date	Sample Type (E-file, Fax, School)	Sampling Status (E-sampled, Sampling Pending, Sampling Complete)	Name of person who selected sample (Record name)	Where was sample selected? (S)=St.Office (H)=Home (O)=Other	Sample Shipping Info (Record Date and Tracking #)	Name of person who entered student data in SDS (Record name)	Where was student data entered? (S)=St.Office (H)=Home (O)=Other	School Packet Shipping Info (Record Date and Tracking #)

Column 1 – District Name. This column displays public school district or Catholic diocese information, including district/diocese name, superintendent name, street address, city, state, ZIP code, and phone number. No information is listed in this column for other nonpublic schools.

Column 2 – School Name. This column displays sampled school information, including school name, principal name, street address, city, state, ZIP code, phone number, NAEP ID, grade selected and the school’s “take all” option status. If the “take all” option does not apply to the school this column will display “No”.

Column 3 – School Disp Code. This column displays the school’s recruitment disposition code. These codes are abbreviated in the following manner:

- PEND = Pending (code 00). This school has not been contacted for recruitment.
- CONT = Contacted/Cooperation Pending (code 02). This school has been contacted but the recruitment status is not final.
- IREF = Interim Refusal (code 05). This school has refused to participate, and refusal conversion has not occurred for this school, so the refusal is not final.
- COOP = Cooperating (code 11). This school has agreed to participate.
- DREF = District Refusal (code 22). The district or diocese has refused all schools’ participation.
- SREF = School Refusal (code 24). This school has refused to participate.
- DRFS = District Refusal for This School Only (code 28). The district has refused to allow this particular school’s participation.

Column 4 – Assessment Date. This column displays the school’s scheduled assessment date.

Column 5 – Sample Type. This column will display “E-File” if the school sent its sample electronically, otherwise the column will be blank. If the column is blank, you should fill in the type of sample. For example, if the sample was faxed to you or your field manager, write in “Fax”. If the sample was provided in hardcopy by the school, write “School”.

Column 6 – Sampling Status. This column will display “E-sampled” if the schools sent its sample electronically (E-Filed), otherwise the column will display “Sample Pending”. As you complete sampling, you should update this column to “Sampling Complete”.

Column 7 – Name of person who selected sample. This column will be blank. Record the first and last name of the person who selected the sample.

Column 8 – Where was the sample selected? This column will be blank. Record the place that the sample was selected using the following codes: (S) for State Office, (H) for the Home of the person who selected the sample (column 7), or (O) for Other location.

Column 9 – Sample Shipping Info. This column will be blank. If you need to ship the sample to another person for data entry in the SDS, record the date sent and the tracking # (FedEx) in this column.

Column 10 – Name of person who entered student data in SDS. This column will be blank. Record the first and last name of the person who entered the sampled student data in the SDS.

Column 11 – Where was student data entered? This column will be blank. Record the place that the sampled student data was entered into the SDS using the following codes: (S) for State Office, (H) for the Home of the person who entered the sampled student data (column 10), or (O) for Other location.

Column 12 – School Packet Shipping Info. This column will be blank. When you prepare and ship the school preassessment packet, record the date sent and the tracking # (FedEx) in this column.

The Supervisor Log of Schools will be run and distributed at supervisor training. Since this will be before the official closing date for school E-Filing, which is November 15, the logs will be run again and distributed the following week, so that the E-Filing status will be the most up-to-date.

8.3.2 Steps in the Sample Selection Process

The Sampling Checklist (Exhibit 8-2) is a summary of the steps that you will follow when selecting each student sample, and should be kept accessible while you are sampling. It presents the steps discussed below in a more concise manner.

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 at least the following information:

- Full student names;
- The month and year of birth;
- Sex;
- SD status;
- LEP status;
- Number of English or reading and math teachers (Grade 4 & 8 only);

- Grade 4 sampling option; and
- Student locating information (Homeroom) for grade 4 take-all schools.

We ask for the number of teachers and an SD/LEP indicator because questionnaires will be assigned by supervisors for all grade 4 and 8 schools. Supervisors will send questionnaires to these schools with the Roster of Questionnaires. The questionnaire covers will be completed except for teacher names.

The birth month/year is 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.

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 a listing form provided by NAEP, number the students in the “For Sampling Use Only” column labeled “Line #” (see Exhibit 8-4).
- If the school has used a printout, number the students neatly in the margin.

Exhibit 8-4. List with Students Numbered in the “For Sampling Use Only” Column Labeled “Line #”

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**NAEP 2003
STUDENT LISTING FORM**

8-5

School Name: Eastern Lutheran Prepared by: Dallas Jones
 Address: 253 Richardson St Preparer's Phone Number: 555-432-8877
Shanon TS 12345 Date List is Current: 11/01/02
 District Name: N/A

DIRECTIONS: PLEASE COMPLETE COLUMNS A - E FOR EVERY STUDENT IN THE SELECTED GRADE. Columns F - I can be completed now or at a later date for selected students only. Include students who may be excluded from other testing programs, such as some students with disabilities or limited English proficiency. PLEASE TYPE OR PRINT.

REQUIRED OF ALL STUDENTS					Required of Sampled Students				For Sampling Use Only	
-A- Student Name	-B- Birth Date (MMYY)	-C- Sex	-D- (X) If SD	-E- (X) If LEP	-F- Home Room	-G- Race	-H- NSLP Status	-I- (X) If Title I	Line #	(X) Sampled
Tim Adams	06/90	1				1	6		1	
David Allen	03/90	1				1			2	
Alice Baker	02/89	2	X			2			3	
Donald Bull	01/90	1				1			4	
Ginger Calla	12/91	2				1			5	
Troy Davis	01/90	1				2			6	
David Douglas	03/88	1				2			7	
Elaine Espinosa	04/90	2				3			8	
Kelly Funk	05/89	2				1			9	
Mavis Masters	06/90	2				1			10	
Sandra Pratt	02/90	2				1			11	
Peter Smith	06/90	1				2			12	
Lisa The						1			13	

When numbering, please take care to follow 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 sampling.

If the school has provided a computer-generated list and numbered the students, you should double-check the numbering as noted in Step 3.

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	6/89
2	Helen B. Cadell	7/89
3	Joyce E. Davis	8/90
4	Jack W. James	9/89
6	Mavis L. Masters	10/89
7	Anna S. Noel	11/89
8	Sandra B. Pratt	12/90
9	Carol A. Prentiss	1/90
10	Peter J. Smith	2/89
11 5	Lisa R. Thomas	3/89

- **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	6/89
2	Helen B. Cadell	7/89
3	Joyce E. Davis	8/90
3 10	Jack W. James	9/89
4	Mavis L. Masters	10/89
5	Anna S. Noel	11/89
6	Sandra B. Pratt	12/90
7	Carol A. Prentiss	1/90
8	Peter J. Smith	2/89
9	Lisa R. Thomas	3/89

If the school has provided a computer-generated list, you must double-check the numbers. Even with a computer-generated list, it is possible that a change was made causing the number to be incorrect. For example, if the list was produced in Excel and a student name was deleted, the number associated with that student might also be deleted.

Step #4: Compare the School's Student List and Total Enrollment

Once you have numbered the students, compare the total number of students listed with the Total Enrollment recorded on the Instructions for Listing Students – even though the SDS 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 is 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 number of students listed and the Total Enrollment, or once a discrepancy has been resolved, you will use the SDS to select the sample of students and print out the selected line numbers.

See User Guide for instructions on using the SDS to draw the sample.

Step #6: Print the Instructions for Selecting New Enrollees

After printing the line numbers of the sampled students (Exhibit 8-5), the SDS will print the line numbers for the sample of new enrollees. You will need to enter the date the original list was compiled, if known. See Exhibit 8-6.

Step #7: Indicate the Sample on the List of Students

Once you have printed the sampled line numbers, you will need to transfer this information to the list provided by the school:

- If the school has used a NAEP listing form, enter an “X” in the “Sampled” column on the appropriate line number (see Exhibit 8-7).
- If the school has provided a computer-generated list, enter an “X” in the margin next to the line numbers of the selected students.

Step #8: Recheck That an “X” Has 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 indicators are recorded correctly next to the sampled students’ names/line numbers.

Exhibit 8-5 Field Sampling Line Numbers Form

NAEP 2003 Field Sampling Line Numbers Form

12:17PM

School ID: 9910111 Region: TS1 Area: 1

10/20/2002

School Name: Eastern Lutheran
School Address: 253 Richardson St
Shannon, TS 12345

Year Round School: No

62 students were sampled from 132 listed on the SLF for this school.

Students Selected for the Sample

Sample RM: Using the line numbers listed below, write RM next to the student's line number on the SLF selected for Sample RM.

1, 3, 5, 7, 9, 11, 13, 16, 18, 20, 22, 24, 26, 28, 31
33, 35, 37, 39, 41, 43, 45, 48, 50, 52, 54, 56, 58, 60, 62
65, 67, 69, 71, 73, 75, 77, 79, 82, 84, 86, 88, 90, 92, 94
97, 99, 101, 103, 105, 107, 109, 111, 114, 116, 118, 120, 122, 124, 126
128, 131

Exhibit 8-6. Instructions for Sampling from the New Enrollee Listing Form

School Name: Eastern Lutheran

12:17PM

School ID: 9910111

10/20/2002

INSTRUCTIONS FOR SAMPLING NEW ENROLLEES

1. Be sure the list includes all students who enrolled in grade 4 after the master list was prepared.

The date on the master list is 11-01-02.

Any student who has subsequently enrolled and then withdrawn from the school should be deleted from the New Enrollee Listing form 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 62 students on the new enrollee list, call your supervisor for directions before proceeding.
4. New Enrollee Line Numbers:

To identify the students selected to be assessed, enter an **X** in Column 2 under the **For Sampling Only** heading on the New Enrollee Listing Form next to the line numbers listed below:

1, 3, 5, 7, 9, 11, 13, 16, 18, 20, 22, 24, 26, 28, 31
33, 35, 37, 39, 41, 43, 45, 48, 50, 52, 54, 56, 58, 60, 62
65, 67, 69, 71, 73, 75, 77, 79, 82, 84, 86, 88, 90, 92, 94
97, 99, 101, 103, 105, 107, 109, 111, 114, 116, 118, 120, 122, 124, 126
128, 131

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

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

Exhibit 8-7. List with Selected Students Designated

Page _____ of _____

**NAEP 2003
STUDENT LISTING FORM**

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Shanon TS 12345 Date List is Current: 11/01/02
 District Name: N/A

DIRECTIONS: PLEASE COMPLETE COLUMNS A - E FOR EVERY STUDENT IN THE SELECTED GRADE. Columns F - I can be completed now or at a later date for selected students only. Include students who may be excluded from other testing programs, such as some students with disabilities or limited English proficiency. PLEASE TYPE OR PRINT.

REQUIRED OF ALL STUDENTS					Required of Sampled Students				For Sampling Use Only	
-A- Student Name	-B- Birth Date (MMYY)	-C- Sex	-D- (X) If SD	-E- (X) If LEP	-F- Home Room	-G- Race	-H- NSLP Status	-I- (X) If Title I	Line #	(X) Sampled
Tim Adams	06/90	1				1	6		1	X
David Allen	03/90	1				1			2	
Alice Baker	02/89	2	X			2			3	X
Donald Bull	01/90	1				1			4	
Ginger Calla	12/91	2				1			5	X
Troy Davis	01/90	1				2			6	
David Douglas	03/88	1				2			7	X
Elaine Espinosa	04/90	2				3			8	
Kelly Funk	05/89	2				1			9	X
Mavis Masters	06/90	2				1			10	
Sandra Pratt	02/90	2				1			11	X
Peter Smith	06/90	1				2			12	
Lisa Thom						1			13	

Step #9: Enter Information About Sampled Students into the Student Data System

Enter the complete student name (first name, middle initial, last name) and other demographic information into the SDS. Convert the race/ethnicity information if it is clear that it is based upon a categorization scheme that is different than that given in the SDS. This information can be entered later on the Administration Schedule if you do not have enough information for the conversion.

Step #10: Verify the Data Entry of Student Information

After all information about the sampled students has been entered, print the Student Information Report from the SDS (Exhibit 8-8) and compare it against the list of students. During this check you will need to verify:

- That the correct student name was entered into the SDS.
- That the name is complete and spelled correctly.
- That all other available information (birth date, sex, SD, LEP, race/ethnicity, School Lunch, Title I, and locator information) is entered completely and correctly.

Correct any entry errors and reprint a corrected list of students and put it in the school folder.

8.3.2.1 Using ACs to Assist in Sampling Procedures

You will be using assessment coordinators to assist you with some of the sampling procedures. All ACs designated as hired before October 31 will receive their computers by November 15. After you have drawn the sample, you will be able to transfer school files to them for the purpose of entering data on the sampled students. After they have entered the student data, they will transfer the school file by to you to import into your computer and transmit to Westat.

Exhibit 8-8. Print Out of List of Sampled Students From SDS for a Typical School

Student Information Report

October 20, 2002

Eastern Lutheran 9910111

	Student Name	MOB	YOB	Sex	SD	LEP	Homeroom	Race	Lunch	Title1
1	Tim Adams	6	90	1	2	2		1	6	2
2	Alice Baker	2	89	2	1	2		2	6	2
3	Ginger Calla	12	91	2	2	2		1	6	2
4	David Douglas	3	88	1	2	2		2	6	2
5	Kelly Funk	5	89	2	2	2		1	6	2
6	Sandra Pratt	2	90	2	2	2		1	6	2
7	Amelia Camphuis	6	89	2	2	2		1	6	2
8	Angela Caudill	2	89	2	2	2		3	6	2
9	Luis Ceballos	6	89	1	2	2		3	6	2
10	Daniel Payne	7	89	1	2	2		1	6	2
11	Matthew Derry	5	90	1	2	2		1	6	2
12	Derrick Douglas	8	89	1	2	2		1	6	2
13	Sheena Faust	4	89	2	2	2		2	6	2
14	Javier Flores	9	90	1	2	2		3	6	2
15	Jimmy Garner	11	89	1	2	2		1	6	2
16	James Garnett	5	89	1	2	2		1	6	2
17	Crystal Guthrie	9	90	2	2	2		4	6	2
18	Amanda Halbakken	6	89	2	2	2		1	6	2
19	Antoinett Henry	8	89	2	2	2		2	6	2
20	Eric Hyde	12	89	1	2	2		1	6	2
21	Jane Johnson	8	89	2	2	2		1	6	2
22	Rachel Kindsberry	6	90	2	2	2		1	6	2
23	Jo Martinez	2	90	1	2	2		3	6	2
24	Jane Matheny	1	89	2	2	2		1	6	2
25	Gabriel McLaughlin	6	90	1	2	2		1	6	2
26	Amanda Morejon	7	89	2	2	2		1	6	2
27	Adam Music	7	90	1	2	2		6	6	2
28	Jessy James	1	90	1	2	2		1	6	2

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Assessment coordinators can be used in the following ways:

- Numbering the students on the list of eligible students;
- Double checking computer lists for correct numbering of students;
- Double checking on the list the identification of students selected;
- Entering student information in the SDS;
- Printing forms from the SDS for inclusion in the school folders; and
- Checking the data entry for correctness and completeness.

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

ACs should keep track of their hours during this sampling period since they will be paid hourly until January. Hours spent assisting with sampling should be charged to the code that will be given you at training. You will sign ACs Time and Expense Reports and send them to Westat with yours on a weekly basis.

8.3.3 Special Situations

If a school will only participate if we assess all students instead of only the number we expected to sample, you should check with your field manager. The SDS will allow an override so that all students are assigned to a session. These sampled students should be considered part of the sample and given the appropriate administration code. The program will add the students to all sessions assigned to the school, proportionately.

As always, if a school wants to add an unsampled student to a session after the student sample is selected, then that student can be assessed and given the Administration Code – Not In Sample.

If a school objects to the number of students that we wish to assess, we can assess fewer students if that is necessary for the school to participate. The sample should be drawn as usual, and the sampled students who will not be assessed should be marked as Absent – Other (#24).

It is **not** possible to sample classes of students rather than individual students or to select the sample from a list of students in only some classes. .

8.4 Updating Administration Schedules for School Sampled after December 10

The last date for submitting files to NCS Pearson is December 11, 2002. Schools can still be sampled after that, but the results of the sampling will not be sent to NCS Pearson. Administration Schedules for schools sampled after this date will not have any student information on them. Thus, the supervisor will need to fill in the student information when the Administration Schedules are received.

Use the Student Information Report from the SDS to work from as you copy the sampled student information onto the Administration Schedule. It is important to record a “2” (for “No”) in Column M, New Enrollee, of the Administration Schedule for each of these sampled students. This indicates that the student is part of the original sample and not part of the new enrollee sample that the AC will draw prior to the assessment.

8.5 Sampling New Enrollees

When the AC calls or visits a school prior to the assessment, it is important that he/she asks the school coordinator whether any students have enrolled in the school since the original list of students was submitted to Westat for sampling in the fall. Their manual guides them through the sampling procedure using the Instructions for Sampling New Enrollees that was generated by the SDS if the sample was drawn by the supervisor, or a similar document generated by Westat for schools that were E-Filed. These documents must be kept in the school folders.

If any of the newly enrolled students are added to the study, the AC will add the names and demographic information of these students to the Administration Schedule. The AC also will record a “1” (for “Yes”) in column M of the Administration Schedule to indicate that these students have been added after the original sampling through the process of sampling new enrollees.

The parents or guardians of any students who are selected from the new enrollee sample must receive the parental notification letter. The AC should be reminded to check with the school coordinator and ensure that the parental notification letter is sent to these parents prior to the assessment.

When the AC has been assured that the letters have been sent, he/she should record this in the Parental Notification section of the SCS school edit screen for the school.

If parents are not notified by the assessment day, the assessment will have to be rescheduled.