

4. HIRING AND TRAINING ASSESSMENT ADMINISTRATORS

4.1 NAEP Field Plan for 2003-2004

Through the years NAEP has relied on an experienced, well-managed, and well-trained field staff including field managers, supervisors, assessment coordinators, and assessment administrators (AAs). This chapter provides the guidelines and procedures for recruiting the field staff for the NAEP 2003-2004 assessments.

As you know, the NAEP program for the school year 2003-2004 consists of three assessments:

- Foreign Language Assessment Pilot Test;
- Field Tests for 2005; and
- Long-Term Trend.

Having adequate numbers of field staff is critical to any data collection effort. The staffing approach is to assemble a group of highly qualified individuals who work together as a unit to meet the wide range of project needs and the demanding schedule of NAEP. Table 4-1 shows the staffing plan for AAs on each assessment. The numbers are derived from our actual experiences in previous NAEP assessments.

Table 4-1. Assessment Administrator Staffing Plan for the NAEP 2003-2004 Assessment Cycle

Component/Role	Responsibilities	Work Plan	Number Required	Number Trained
Foreign Language				
Assessment Administrators	Assess in schools and support supervisors	Work from September to December	200	225
Field Test				
Assessment Administrators	Assess in schools in teams of two to four and support supervisors	Work from January to March	225	250
Long-Term Trend				
Assessment Administrators	Assess in schools in teams of three to five and support supervisors	Work from September to May	400	450

This year, an assessment team consists of a supervisor managing a team of AAs conducting assessments in the schools. Approximately 10 to 16 AAs will report to one supervisor (two to four AAs in each assignment area - PSU); and 18 supervisors will report to each field manager.

4.2 Staff Roles

Supervisors will be responsible for conducting preassessment visits with schools to explain the role of the school in the assessment, selecting the samples of students, assisting in the recruitment and training of the AAs, coordinating and supervising the assessment activities in the school, reporting the results of the assessment, mailing materials back to NCS Pearson and Westat, and monitoring the quality of the assessments.

Assessment administrators (AAs) will work with the supervisor in the local areas. The exact number of AAs required in each area will be determined by a number of factors including the number of schools in the area, the schedule of the assessments, and the anticipated number and size of the sessions.

The responsibilities of the AA include assisting the supervisor with drawing the sample and preparing assessment documents during the sampling visit, helping prepare the assessment booklets before the assessment begins, conducting regular and accommodations assessment sessions using prepared scripts, completing the various post-assessment activities, and assisting the supervisors as needed. See the Assessment Administrator Fact Sheet in Appendix D for a full listing of the AA responsibilities.

4.3 Staff Targets and Sources

4.3.1 Number of People to Recruit

We will start with an estimate of the number of staff needed by the Primary Sampling Unit (PSU). Our initial estimate is approximately two to four AAs per PSU. The number of staff may vary in each PSU depending on one or more of the following factors:

- The number of schools in a PSU;
- The distance between schools;
- Any known scheduling problems (e.g., vacation dates, irregular school schedules, etc.);

- Weather conditions during certain times of the year; and
- Geographic size of the PSU.

Obviously, these factors will have a bearing on the type of schedule and work assignment you will plan. Your field manager will work with you to determine the number of staff you will need in each PSU. You should develop an estimate of the amount of time necessary to complete assessment activities in each area. It is important to keep records of all qualified candidates who might later be recruited in case of attrition.

As a recruiting supervisor, your responsibility is to recruit a sufficient number of qualified candidates. **Do not promise employment to anyone before discussing it with your field manager.** Final hiring decisions are based on many things including the successful completion of project paperwork and reference checks (if needed), submission of fingerprints for the FBI clearance check, and successful completion of the training.

4.3.2 Recruiting Process

Once we know approximately how many AAs will be needed in each PSU, several sources can provide good field staff candidates. When hiring staff in a PSU, first consideration goes to experienced Westat staff who have been successful on previous administrations of NAEP. We anticipate that almost all of our staff positions will be filled with previous NAEP staff. If the existing pool of NAEP experienced Westat staff is exhausted, active recruitment of new staff begins. Appendix D covers recruitment of new staff including other sources of staff: recommendations from NAEP field staff, state coordinators, districts and schools, and advertisements placed in retired teachers associations' newsletters and on web sites, and in local newspapers.

4.3.3 Schedule of Activities

Table 4-2 contains the schedule of NAEP 2003-2004 recruiting and training activities.

Table 4-2. NAEP 2003-2004 Schedule of Recruiting and Training Activities

Activity	Staff	Date
Supervisors Hired	FMs and Home Office Staff	July, 2003
Supervisor Home Study	Gaining Cooperation Supervisors	Early September, 2003
Supervisor Training	All Supervisors	December 6-9, 2003
All AAs Hired	FMs and Supervisors	Early January, 2004
AA Trainings	Supervisors Train All AAs Locally	January, 2004

4.4 NAEP Staff Recruiting

We will provide you with the names of NAEP experienced staff through data obtained from Westat's Field Files department. The Field Files department is responsible for keeping track of all field staff. They maintain documentation on the specific projects that each person has worked on, the number of hours worked on each project, the evaluation given, and a host of additional personnel information.

The NAEP recruiting effort is larger than any other project recruitment at Westat. Staff hired for NAEP are specially trained, so they remain on "reserve" in the Field Files system, but are released for the portions of the year that they are not working on NAEP. NAEP 2003 field staff information has been automatically loaded into the NAEP Field Recruiting System (FRS). Included in the file are recruitment data for all successful NAEP 2003-2004 staff. We have also loaded the names of all staff at Westat that have a "Do Not Hire" Status. See Appendix E for more details on the FRS.

4.5 Hiring Staff

4.5.1 AA Qualities

Having a qualified and well-trained staff is very important to the success of NAEP, and we need to ensure that the staff that we are sending into the schools is qualified.

It is NAEP policy to staff locations with demographically similar staff. By hiring AAs locally, we can match the staff with the demographics of the area. NAEP staff should closely match the demographic characteristics of the teachers in the areas where they conduct assessments. Consider the following criteria when selecting field staff:

1. An organized and professional manner;
2. Experience in education or working with children, especially with NAEP;
3. Ability to speak clearly and to read fluently from a script;
4. Communication skills, oral and written;
5. Ability to interact well with a variety of people;
6. Attention to detail;
7. Flexibility;
8. Location; and
9. Commitment.

As mentioned previously, most of the staff hired will be experienced NAEP staff, so they should have been screened for these qualities.

4.5.2 Field Recruiting System (FRS)

Once you and your field manager have made the decision to hire someone, you will need to:

- Check the FRS to be sure that they are eligible to be rehired if they are returning Westat staff. If they are new staff, enter the information in the FRS;
- Change hiring status in the FRS;
- Enter or update necessary personal and project-related information in the FRS; and
- Send the necessary paperwork. (See Section 4.6)

See Appendix E for guidelines on using the FRS. It is very important that the data entered or changed in the FRS are accurate and complete. The FRS staff data are used by the NAEP operations staff for mailings, assignment of PCs, and reports on the recruiting progress. These data are also shared with other departments in Westat:

- The Field Files department keeps permanent records of all field staff data and project activities;
- This information is electronically sent to the Payroll and Accounting departments for time sheet and Trip Expense Report processing;
- The travel office will use these data for travel arrangements and room bookings for the NAEP trainings; and
- This information will be sent to NCS Pearson for bulk supply and school materials shipments to the supervisors.

4.6 Distributing Paperwork

As you enter or change the status of someone in the FRS, the system will require enough information to determine which paperwork needs to be sent and the information you will need to prepare the forms packet.

4.6.1 Forms

All staff hired for NAEP 2003-2004 must complete employment forms. A supply of these forms will be included in your bulk supplies. The forms that are required will vary depending on whether or not the candidate has worked for Westat in the past. The FRS will automatically determine which forms need to be sent. Some of the forms are included in Appendix D.

Former Westat employees must complete the following forms required for every project:

- **Westat Fieldworker Agreement Form** (“Provisions for Employment as Assessment Administrator”) Give the fieldworker two copies – one to be signed and kept, the other to be signed and all pages returned. Insert the AAs rate on page 2 of each copy before sending them to the AA.
- **Westat Field Employee Personnel Form** (Three-part NCR form; AA completes top half; verify that all three copies are legible, print your name in Section B as supervisor, and return all three copies intact so that the office can complete the bottom half of the form.)
- **FBI Fingerprints and Authorization Release** We are now required to update FBI clearance every three years. If it has been three years since the last submission and clearance, the rehired staff member will have to provide a new set of fingerprints and signed Authorization Release. Fingerprints can be obtained at the local police station. Both pieces are needed to submit to the FBI for a clearance check. **The FBI process includes returning the FBI Background Security Check.** All persons hired to work on NAEP must submit their fingerprints to be processed at the FBI in order to work in the schools. If a potential employee has already worked for Westat and already has FBI security clearance, it will be indicated in the FRS. Staff who have obtained FBI clearance letters (within the past two to three years) from other sources can send in a copy of the clearance letter in place of fingerprints submission.
- Any other paperwork that remains missing or incomplete from previous project work as noted in the FRS.

NOTE:

- If a former employee has not worked for Westat within the past six months or has changed name or address information, he or she must also complete a new **Federal Income Tax Form (W-4)** and **State Income Tax Form**.
- If a former employee has changed name, he or she must also complete a new I-9 form and resubmit two forms of ID showing the change.

New employees must complete additional forms, see Appendix D for a list of forms needed for new hires.

4.6.2 Pay Rate

AAs are paid for hours worked. On NAEP, all AAs will be paid at a special rate based on county of residence. Be sure the correct county of residence was reported and entered in the FRS. There are four base rate categories, designated as areas I, II, III, and IV. The current special rates for the positions in the areas assigned to you can be found in Appendix D of this Manual.

The FRS will automatically determine the special rates once you enter county of residence. Be sure to enter the correct county to avoid quoting the incorrect pay rate. A listing of the pay rate area counties can also be found in Appendix D.

4.6.3 Mailing Packets

When you and your field manager have decided that you “Intend to Hire” the applicant, you will prepare and mail a packet of employment forms to the candidate. The FRS will help you determine the forms that need to be sent based on:

- The hiring source – from Westat’s reserved list; Westat’s back-up applicants; or new applicant.
- Incomplete/missing forms – The FRS indicates which forms are needed, including ones that may be incomplete or missing from previous Westat positions.

Complete the packet of employment forms using the FRS and the instructions for completing the employment forms. Add a return envelope addressed to the home office (unlike the application, which was returned to you, the rest of the employment forms are returned to the home office), address the envelope to the candidate, and mail it.

Once a week, return original applications and notes to the home office for those persons to whom you have sent an employment forms package. Be sure that you have changed their status in the FRS to “Intend to Hire” and indicated all forms you have distributed.

4.6.4 Follow up on Missing Paperwork

As the home office receives employment forms, they are reviewed for completeness and accuracy. Any forms found incomplete or inaccurate will be sent back to the applicant for completion/correction with an envelope for return to the home office. The FRS will be updated by the home office staff to show that the form has been returned to the applicant. The FRS shows the status of an

applicant's forms. Field staff are considered fully hired when all required forms are received and accurately completed. Though the home office may have returned form(s) to an applicant for completion, checking an applicant's forms status whenever you speak to him/her and reminding him/her that employment is contingent upon complete forms will help the hiring process. For more details on the home office FRS functions, see the FRS Users Guidelines in Appendix E.

AAs cannot work in schools until they have submitted the FBI fingerprint check request.

4.7 Post-Hiring Processes

4.7.1 Returning Materials

When the hiring is completed, **all** applications and recruiting materials (including printouts, screener, applications, etc.) should be sent back to Westat. The forms should be clipped together for each person. The materials should be separated into two groups: those hired and those not hired. It is important to get these materials in quickly so other projects can benefit from our knowledge.

4.7.2 The Last Word on Hiring

Given that Westat has been recruiting for many years now, we have learned a few things. You can follow all the right procedures and still be disappointed in the applicant's performance. This has happened to every supervisor more than once. The goal is to hire some of the best field staff NAEP has ever had through patience, encouragement, and guidance. By using these guidelines you can increase the chances of starting the next round with fresh-faced, eager, new field staff.

To retain your recruits, maintain regular contact with them **before** training begins. It is easy for new field staff to feel left out if the supervisor does not call every few days/weeks. They should feel like part of the team before training begins. Chat with your new recruits often; let them know what to expect at training; remind them of where their assignments will be; and tell them of your expectations of their production and performance. As the task of recruiting ends and you begin working with the new crew, you will begin shaping these people into top-notch AAs.

The following are the questions that were frequently asked during the hiring process for NAEP 2003:

- Do I need to fill out all the hiring forms?
 - Yes. You need to complete all forms that were sent to you and return them in the postage-paid envelope as soon as possible.
- What is my WINS #?
 - A WINS # is generated after the hiring paperwork for a project is received back at the home office. All previous Westat employees will have a WINS #. The WINS # can be found in the FRS. If it is not in the FRS, contact your field manager.
- What are I-9 documents?
 - The list of acceptable documents is listed on the back of the I-9 form (OMB # 1115-0136). Most common documents used are the driver's license and social security card. **Photocopies of these documents are required when the I-9 forms are submitted to the home office.** See Appendix D for examples of the necessary documents.
- Do I need to fill out a direct deposit form again?
 - Not necessary, unless your bank account has changed.
- Can I enroll in the direct deposit program anytime?
 - No. Open enrollment occurs every six months in January and July.
- Can I stop direct deposit anytime?
 - Yes. You may do so at any time with two weeks notice to the payroll department. It takes two weeks to change the direct deposit designation.
- Why do I have to submit a second fingerprint card since I submitted one earlier?
 - The first fingerprint card was returned as unclassifiable by the FBI. The home office only received a request from the Department of Education with no specification as to why. Usually the second submission will enable the FBI office to obtain classifiable fingerprints.
 - Also, note that we now have to submit prints for clearance every three years.

4.8 Training

AAs must be trained by you immediately preceding assessments in a PSU. The training should be done in an appropriate setting to convey the professionalism that we wish to display throughout

the NAEP effort. A good place to train AAs in a PSU that is not near your home would be in public library meeting rooms. You should make reservations ahead of time. If the local public library is not available, you can train in a meeting room at the hotel where you are staying. Contact your field manager for more details.

You should stress to the AAs that they are expected to conduct themselves in a professional manner, which includes behavior, attire, and productivity. A prepared script has been developed for you to administer. AAs should be given the Assessment Administrator's Manual prior to the training. They will be paid to spend up to one hour studying the manual before training and should have a general idea of the tasks required of them. In addition, plan to spend about one-half day training the AAs using the prepared script. You may provide coffee and doughnuts or bagels for a break when you train the AAs. We are unable to offer lunch to the AAs on training day.

During AA training, all procedures set forth in the AA manual are covered in the training script. It is vitally important to the success of NAEP that the assessment procedures be conducted in a standardized manner. You must make sure that your AAs understand the importance of standardized procedures and that they are trained in these procedures. AAs should not be permitted to inject their own comments into the scripted administration of assessments. The only questions we allow them to provide assistance with are in the background section. The specifications for the background questions appear in the session scripts. The AAs must also understand the importance of the confidentiality of all NAEP materials. An AA must never be permitted to conduct an assessment without completing training. You will receive additional instructions and guidelines for training the AAs at the supervisor training.

Each of you will receive two copies of the classroom control videotape. It takes about 45 minutes to view. If you show it at training, you will need to arrange for a TV and VCR. If you think it will cause the session to run too long, you may circulate a copy among your AAs. Make sure that the videotape is returned to you after all of your AAs have viewed it.

During the AA training, you may want to distribute the Assessment Information Forms (Exhibit 4-1) for the schools in which they will be administering sessions or assisting you with sampling tasks. A supply of the Assessment Information Forms will be included in your Westat bulk supplies.

Many NAEP State Coordinators have expressed an interest in attending the NAEP Field Test trainings. Your field manager will share any of these requests with you.

Exhibit 4-1. Assessment Information Form

NAEP 2004 FIELD TEST ASSESSMENT INFORMATION FORM

SUPERVISOR: _____ AAs: _____

PHONE NUMBER: _____

CELL PHONE #: _____

REGION/AREA: _____

SCHOOL: _____ ID #: _____

ADDRESS: _____

PHONE #: _____ COUNTY: _____

SCHOOL
COORDINATOR: _____

ASSESSMENT DATE: _____ ASSESSMENT TIME: _____ ARRIVAL TIME: _____

SESSION NUMBER: _____ ROOM: _____

DIRECTIONS TO SCHOOL: _____

PARKING: _____

ACCOMMODATIONS INFORMATION: _____

INSTRUCTIONS FOR MEETING ASSESSMENT TEAM: _____

OTHER INFORMATION (Policy for dismissing students, how to handle latecomers, etc.): _____

*****REMEMBER – ARRIVE ONE HOUR BEFORE ASSESSMENT TIME*****

5. PREASSESSMENT ACTIVITIES

5.1 Overview

This chapter describes the various tasks you will complete during your preassessment visit to the school in preparation for assessment day. Specifically, this chapter gives you information about contacting the schools; step-by-step instructions for selecting the sample of students, new enrollee samples, and preparing appropriate Administration Schedules; the criteria that school personnel may use to determine whether students with an SD and/or LEP classification should be assessed without accommodation, assessed with accommodation, or excluded; instructions for ensuring that parents are notified about the assessment in compliance with the NCLB policy; and suggestions for maximizing student attendance using NAEP Student Appreciation Certificate (or Appointment Cards) and Teacher Notification Letters.

5.2 Conducting the Preassessment Phone Call

The first step in preparing for the assessments is to schedule a preassessment visit to occur one month to two weeks before the assessment date. 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 will select a sample of new enrollees for these schools. You are responsible for selecting the student sample for the remaining schools in your assignment. You will draw the sample of selected students and prepare Administration Schedules during the preassessment visit. For all schools, you will prepare the appropriate assessment documents and materials and finalize logistical arrangements for assessment day.

Scheduling a date for the preassessment visit may have been done during the “gaining cooperation” call for schools recruited by gaining cooperation supervisors (i.e., nonpublic). However, for those schools recruited by the NAEP State Coordinator, you must plan to make an additional call to the school to schedule the preassessment visit. The call to set a preassessment appointment should be made about a month before the assessment date. (Recall that assessment dates were provided to **all schools** during the “gaining cooperation” phase.)

5.2.1 Scheduling the Preassessment Visit

The preassessment visit should be scheduled to take place at least two weeks before the planned assessment date so that schools have time to comply with the NCLB parent notification requirements. You should suggest dates that fit your assessment schedule.

During this contact with the school coordinator, it is important to review the activities that will take place during the visit, the amount of time you expect to be at the school, and how the school coordinator should prepare for your in-person visit. The purpose of this call is to:

- Introduce yourself to the school coordinator as the NAEP supervisor;
- Set the preassessment appointment date;
- Determine the status of completion of Student Listing Form or computer listing of eligible students for those schools that could not or elected not to E-File;
- Review the activities that will take place during the preassessment visit;
- Remind the coordinator of the parent notification requirement and determine the status of the Parent Notification Letter;
- Ask the school coordinator if the staff member most knowledgeable about students with disabilities (SD) and students with limited English proficiency (LEP) could be available to answer questions during the visit; and
- Get directions to the school and information on where to park.

The Preassessment Call Checklist (Exhibit 5-1) has been developed to assist you during this call. The school coordinator should allot up to one hour for the visit. The average length of time per school will vary depending on the factors listed below:

- If the school E-Filed, sampling has already been completed and Administration Schedules have been preprinted with student names and demographic information, only the new enrollee sample must be selected **or**, if all of the sampling activities will be completed during the visit.
- Whether parents have been notified about the assessment. If parents of all selected students have not been notified, you will need to work with the school coordinator to ensure that parents are notified about the assessment as soon as possible. Be sure that parents of any selected new enrollees are notified.
- Number of students to sample – the more students to sample, the longer the sampling portion of the visit will take.

- The number of SD and/or LEP students. You will need to work with the school coordinator to determine whether each student identified as SD and/or LEP on the Administration Schedule can be assessed in the regular session with accommodations, assessed in a separate session, or cannot be assessed at all. Therefore, if a school has many students with an SD or LEP indicator, the visit will take longer.

Note that although we ask the school coordinator to allow up to one hour for the visit, you may need to be at the school longer than an hour, depending on the schedules of other school staff members such as special education teachers from whom you may need to get information regarding student accommodations. The school coordinator does not need to be present for the entire process but should be available for consultation at critical stages.

5.3 Preparing for the Preassessment Visit

You should call the school coordinator a day or two before the preassessment visit to confirm the date and time and to review the activities that will take place during the visit.

5.4 Preparing the Preassessment Packet for Schools

Before the visit, make sure that you have a complete preassessment packet prepared for the school. Below is a list of materials that should be included in the packet:

- The appropriate Administration Schedule(s);
- Roster of Questionnaires;
- Demonstration Booklet;
- School Questionnaire for the appropriate grade level;
- Mathematics Teacher Questionnaire (grades 4 and 8 only);
- Criteria for Including SD/LEP Students in NAEP assessments;
- List of NAEP Accommodations;
- SD/LEP Questionnaires;
- LEP Questionnaires;
- NAEP Teacher Notification Letters;
- NAEP Student Appreciation Certificates;

- Sample Parent Notification Letters;
- Department of Agriculture Letter;
- New Enrollee Form;
- Press Release;
- Summary of Activities;
- NAEP Storage Envelope; and
- Sampling checklist (Exhibit 5-2).

You will also need to bring:

- Your manual;
- Extra Instructions for Preparing a List of Students for the appropriate grade level;
- Extra Student Listing Forms;
- Your computer and printer;
- Computer paper;
- Extra printer ink cartridge; and
- The School Folder.

In addition to these materials that NAEP will provide, there are other general materials you should be sure to have with you. These materials include pencils, paper clips, varied 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 call the school coordinator a day or two before the preassessment visit to confirm the date and time, to be sure the list of students has been completed, and to review the activities that will take place during the visit. Note that the preassessment calls will need to be made prior to your arrival in the PSU.

Exhibit 5-1. Preassessment Call Checklist

Preassessment Call Checklist

Before conducting the preassessment phone call, you should create an “ideal” calendar by scheduling preassessment visits according to your assessment calendar. You should complete the following tasks during the preassessment phone call:

- ❑ Review the Summary of NAEP Activities.
- ❑ Confirm the assessment date and record on School Data Collection Form.
- ❑ Review grade to be assessed, subjects, and number of sessions.
- ❑ Set the preassessment visit date/time and record on Supervisor Log of Schools.
- ❑ Ask if school is year-round and record response on School Data Collection Form.
- ❑ Determine method school will use to provide list of eligible students and circle choice on School Data Collection Form. (If the school has not prepared the list prompt them to do so ASAP and come back to this task.)
 - If school E-Filed, discuss need to select new enrollee sample.
 - If school will produce computer listing of students or use the Student Listing Form, review the Instructions for Preparing a List of Students, paying particular attention to the mandatory and optional student information to be collected.
- ❑ Ask the school coordinator to register for the MySchool web site by going to www.mynaep.com. Provide the (up to) 12 digit MySchool Registration ID number as the user name and “register” as the password. Inform the school coordinator that the MySchool web site provides up-to-date information on the NAEP assessment.
- ❑ Review the activities that will take place during the preassessment visit.
 - Discuss the demonstration booklets you will provide for the school coordinator and the principal.
 - Remind the school coordinator of the parent notification requirement and determine the status of the Parent Notification Letter. Record name of person preparing letter on School Data Collection Form.
 - Inform the school coordinator that you will give him/her the School Questionnaire, Mathematics Teacher Questionnaire (grades 4 and 8 only), SD/LEP Questionnaires, and LEP Questionnaires to distribute to the appropriate staff.
 - Ask the school coordinator if the staff member most knowledgeable about students with disabilities (SD) and students with limited English proficiency (LEP) can be available to answer questions during the visit.
 - Review details of the assessment.
 - Get directions to the school and information on where to park and record in comments section of School Data Collection Form. (You should also provide this information to any AAs that may assist you during the preassessment visit.)
 - Provide your contact information and the NAEP Hotline number (1-800-283-6237) to the school coordinator.
- ❑ Update Supervisor Log of Schools and record cooperation status and items started on School Data Collection Form and in the SCS.

Exhibit 5-2. Sampling Checklist

11/5/03

NAEP 2004 FIELD TEST

SAMPLING CHECKLIST

- Review the list of students to ensure it is complete:
 - The list should have been compiled recently.
 - The list should not contain any withdrawn students (or they should be lined through).
 - The last names should cover the alphabet reasonably.
 - Students should only be in the sampled grade.
 - SD/LEP – If there are NO students (or if EVERY student is) coded as SD or LEP you should question the school coordinator.
 - School Lunch – If there are NO students coded for school lunch or the codes are different from the NAEP codes you should question the school coordinator.
 - Title I – If there are NO students (or if EVERY student is) coded as Title I you should question the school coordinator.
- Off Track Students:
 - Eligible students who are listed, but will be off track on assessment day should be clearly marked on the list as “Off Track”.
 - Do not number off-track students or include in the total number of eligible students.
 - The percent of off-track students should be recorded in the SCS.
- E-Filed schools – Confirm that gender and race/ethnicity data printed on Administration Schedule looks correct to you and/or the school coordinator.
- Number the students, if necessary. (AAs 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. (AAs can help with this task.)
- Compare the total number listed with the Total Enrollment from the SCS. If the numbers differ by 5 or more, determine reason for discrepancy. Resolve discrepancy and continue.
- Use the Student Data System on NAEP laptop to select the sample:
 - 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.
- Mark the selected students on the school’s list of eligible students.
- Double-check the selected students against list of sampled line numbers. (AAs can help with this task.)

5.5 Establishing Rapport with the School Coordinator

As soon as possible during the preassessment visit, provide copies of the Demonstration Booklet to both the school coordinator and the principal. Let them know that you will be happy to review the booklet with them, if they wish, and answer any questions they may have.

Developing a good rapport with the school coordinator is vital. When the school coordinator is actively involved, student attendance is higher and the assessments proceed more smoothly. The school coordinator knows the “personality” of the school, the most opportune time to schedule the assessments to yield the best attendance, and the most productive way to notify students and their teachers of the assessment.

Specific procedures for notifying students and their teachers about the assessment are discussed later in this chapter. **Emphasize to the school coordinator the importance of ensuring that each selected student attends the session for which he/she was sampled. Also, discuss the necessity of conducting makeup sessions if not enough students attend the original session.**

Try to actively involve the school coordinator in the assessments as much as possible. Suggest that NAEP would like the school coordinator to be present at least at the beginning of the assessment if not periodically throughout. Obviously, this may not be possible if multiple sessions are conducted simultaneously. However, the presence of either the school coordinator or another school official will not only facilitate optimum attendance and better classroom control, but will also demonstrate to students the school administration’s commitment to NAEP.

Consult with the school coordinator about making available appropriate space for the assessments. A typical session will require desks for up to 30 students (sometimes more) and a desk or small table for you and your AA. It is important to keep in mind that high traffic locations such as cafeterias, libraries, and hallways may not always be conducive to optimum testing conditions. Exact space requirements will be known only after you determine the number of sessions to be held in the school during your visit.

It is important to allow at least two weeks between the completion of the preassessment visit and the assessment date so that school staff are provided sufficient time for the following: solving any problems discovered during the preassessment visit; notifying students and teachers about the assessments; distributing Parent Notification Letters; and completing the questionnaires left at the school during the preassessment visit.

5.6 Selecting the Student Sample

The Instructions for Preparing a List of Students offers schools a choice of three methods for providing their list of grade-eligible students:

1. Prepare an Excel file of their student data and E-File on the MySchool web site by December 5, 2003;
2. Print out a list of students from their computer database; or
3. Use the Student Listing Form to handwrite a list.

5.6.1 How to Determine Which Schools Have E-Filed

You can identify which schools have E-Filed by checking the School Control System (SCS). On the "School Edit" screen under sampling, the sampling method will be set to E-Filing for schools that have submitted their 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." 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.

For those schools that could not or chose not to E-File on the MySchool web site, the supervisor will use the SDS on his/her NAEP laptop computer to draw the sample. Complete instructions for using the SCS and the SDS are found in the Appendices of this manual. For schools that did E-File, the supervisor will select the new enrollee sample according to these instructions.

5.6.2 Overview of the Sampling Process

The sampling process includes the following tasks:

- Review the student list to ensure that it is complete and that it includes students of the correct grade. Make sure more than one birth year is represented and that all required information is included. Make sure the list is up-to-date. A detailed discussion of how to check the list before sampling is given later in this chapter.
- 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 clicking on the SDS icon on your laptop computer.
- Follow the instructions for selecting a school and drawing the student sample in the SDS Users Guide. Print the sampling line numbers generated by the computer.
- Identify sampled students on the school's list.
- Record student names and demographic information on the appropriate Administration Schedule.
- Put the sampling line number printouts and original list of student names in the School Folder.
- Transmit data to Westat daily.

5.6.3 Suggestions for Organizing the Sample Selection Process

Because of the volume of material with which you will be working and the short timeframe 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 each completed list of students to ensure that the list is complete. Verify that student last names cover the entire alphabet and birth dates are within the range for the grade. Check that SD/LEP and other required data are included on the list. This should be done for every school before you begin the sampling process.
- As you begin the sampling process for each school, verify that you are correctly identifying the school to be sampled. Some school names may occur more than once within a region, 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 ensure that the sample is drawn correctly.**
- Once you have determined an efficient method of working with your AAs, stick with that procedure. Always follow the directions one step at a time, and make sure you are efficiently delegating the work.
- Try to minimize the number of times that you ask the school coordinator for assistance. Unless some question is preventing you from completing your work, try to compile your questions for the school coordinator and minimize the number of times you approach this person.

5.6.4 Using the Supervisor Log of Schools

You will be provided with a preprinted Supervisor Log of Schools (Exhibit 5-3) 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.

- **Heading.** The heading of the form displays region, area, and public school district or Catholic diocese name.
- **Column 1 – School Information.** This column displays sampled school information, including MySchool Registration ID number, school name, NAEP School ID Number, grade, school disposition, school coordinator name, phone and fax numbers, street address, city, state, and ZIP Code.
- **Column 2 –Activity Status.** This column provides a place to record the activities before, during, and after the assessment. Activities include: (C)all; (M)ail; (V)isit; (G)ain Coop; (P)reassess; and (S)ample.

- **Column 3 – Special Study.** This column displays which, if any, special studies this school has been selected to participate. At the time the logs were printed, it was not known for schools selected for the National Indian Education Study (NIES) if questionnaires would be administered In-Person (IP) or sent via Mail (M). When that data is available, you should mark your Log of Schools accordingly.
- **Column 4 – Assessment Date/Time.** This column displays the school’s scheduled assessment date and provides a place to record any makeup dates.
- **Column 5 – Session Box Receipt.** This column provides a place to record the date that each of the session boxes are received.
- **Column 6 – Sample Type/Status.** This column will display “E” and a date if the school sent its list of students electronically; otherwise the column will be blank. If the column is blank, you should fill in the type of sample. For example, if the list of students was faxed to you or your field manager, write in “F” and the date received. If the list of students was provided in hard copy by the school, write “S” and the date received. As you complete sampling, you should update this column to “Complete” and record the date completed.
- **Column 7 – Session/Students per session.** This column will display the session numbers and the number of students per session if the sample has been selected.
- **Column 8 – Accommodations.** This column is provided for you to enter any accommodations information needed, including the number of students who need accommodations, the types of accommodations needed, any materials needed for the accommodation sessions, and any other information needed regarding the accommodations.
- **Column 9 – Short Shipment Ordered/Rcvd.** This column provides a place to track short shipments for the school’s assessment.
- **Column 10 – Team Members.** This column is where you will enter the names of the AAs on the team that will assess the school.
- **Column 11 – Session Box Shipping Info.** This column will be blank. When you prepare and ship the boxes back to NCS Pearson, record the date sent and the UPS tracking number in this column.
- **Column 12 – Comments/Notes.** Self-explanatory.

The Supervisor Log of Schools will be distributed at supervisor training.

Exhibit 5-3. Supervisor Log of Schools

***** Enter / Update SCS

NAEP Log of Schools FT: 01/26/04 - 03/05/04

Date Printed: 11/20/03

Page 1

REGION: 1 AREA: 3 SUPERINTENDENT 887 DISTRICT STREET DOWNTOWN, ST 12345 TEL: 301-555-6543 School Information ***** MYSCHOOL: 41108200808 ROCKVILLE MIDDLE SCHOOL NAEP ID: 6320113 TYPE: PUBLIC GRADE: 8 COOPERATING COORD: JOE COORDINATOR TEL:301-555-9876 FAX:301-555-6789 1233 STREET DRIVE ROCKVILLE, ST 11111	(C)all (M)ail (V)isit (G)ainCoop (P)reassess (S)ample *****	Special Study SD/LEP DCS TREE AMER.IND (IP/M)	Assess Date/Time ***** Make-up Date/Time ***** WED 11FEB2004	Session Boxes Rcvd ***** 1/13 1/13 1/13 1/13	Sample (E)file, (F)ax, (S)chool (P)ending, (C)omplete EM: 11/14	Sessions (estimated) FT0801 FT0802 FT0803 FT0804 FT0805 5m Gr - 3 1-01-1 1	#Students w/Accomm & Accom Type 2 Sm/Grp 1 1-01-1 15m Gr 2 Ext Tm 0 0	Short Shipment Ordered / Rcvd na na na na	Team Members Steve Stacy Jane Deb Pat Steve - 1pm Stacy - 1pm Steve	Completed Session Box Ship Date / Track No. Feb. 18 LPS 5623 7894 321	Comments / Notes
MYSCHOOL: 421382770333 WALT WHITMAN ELEM NAEP ID: 6321013 TYPE: PUBLIC GRADE: 4 COOPERATING COORD: JACK HALL TEL:301-555-1234 FAX:301-555-7410 5666 DRIVE WAY ROCKVILLE, ST 45698	CP: Nov. 10 VS: Jan. 30	SD/LEP OSEP LTR	FRI 18FEB2004	1/13 1/13	SC: 01/30	FT0401 FT0402 FT0403					

5.6.5 Steps in the Sample Selection Process

The Sampling Checklist (Exhibit 5-2) 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;
- Off-track indicator (if year-round school);
- Student locating information (Homeroom);
- Race;
- National School Lunch Program (NSLP) status; and
- Title I status.

Verify with the school coordinator that the listing is up-to-date and that all students are in the target grade. It is very important that all eligible students are included on the student list prepared by the school. We ask for the birth month/year because we want to be sure all students in the target grade are included not just those who were born in the typical year for that grade. If only one birth year is represented on the list, go back to the school coordinator and ask for a list that includes students of all ages in the sampled grade.

Make sure there are no duplicate names and check the student names to be sure they cover the full range of the alphabet. If the list was prepared ahead of time, the names of students who have left or entered the school in the time period between the completion of the list and the date of sampling should be deleted or added as necessary. Any revisions to the list should be made before sampling is begun. Once you have a complete and accurate list of all eligible students, you should continue with sampling procedures.

You should look carefully at the demographic information and verify that it is accurate and complete. If any of the columns are coded entirely “no,” check with the school coordinator to make sure that the information is correct. You should also try to obtain any missing information from the school coordinator. It is critical that you address any potential problems before beginning the sampling process.

Step 2: Number the Students on the List

Be sure to correctly identify the NAEP School ID Number 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 #”.
- If the school has used a printout, number the students neatly in the margin.

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 name or 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 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 numbering 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 have been deleted.

Step 4: Select the Sample

You will use the SDS to select the sample of students and print out the selected line numbers (Exhibit 5-4). See the SDS Users Guide for instructions on using the SDS to draw the sample. The printout will list the sessions and the line numbers for the students selected for each session.

Step 5: 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 (see Exhibit 5-5):

- If the school has used a NAEP listing form, enter the session indicator specified on the list of line numbers.
- If the school has provided a computer-generated list, enter the appropriate session indicator in the margin next to the line numbers of the students selected for each session.

Step 6: Re-check 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 sampled students.

Step 7: Record Information About Sampled Students on the Administration Schedule

Enter the complete student name (first name, middle initial, last name) and other demographic information on the Administration Schedule. 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.

Step 8: Verify the Entry of Student Information on the Administration Schedule

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

- The correct student name was recorded;
- The name is complete and spelled correctly; and
- All other available information (birth date, SD, LEP, sex, race/ethnicity, School Lunch, Title I, and locator information) is entered completely and correctly.

Correct any entry errors.

This step is further described in Section 5.8.

Exhibit 5-4. Field Test Sampling Line Numbers Form

NAEP 2004 Field Test Sampling Line Numbers Form

2:28PM

School ID: 0413453 Region: 999 Area: 1

11/6/2003

School Name: Johnson Elementary

School Address: Old Oak Road

Venice, TS 12345

Year Round School: No

120 students were sampled from 214 listed on the SLF for this school.

Students Selected for the Sample

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

1, 3, 5, 7, 8, 10, 12, 14, 15, 17, 19, 21, 23, 24, 26
28, 30, 32, 33, 35, 37, 39, 40, 42, 44, 46, 48, 49, 51, 53
55, 56, 58, 60, 62, 64, 65, 67, 69, 71, 73, 74, 76, 78, 80
81, 83, 85, 87, 89, 90, 92, 94, 96, 98, 99, 101, 103, 105, 106
108, 110, 112, 114, 115, 117, 119, 121, 122, 124, 126, 128, 130, 131, 133
135, 137, 139, 140, 142, 144, 146, 147, 149, 151, 153, 155, 156, 158, 160
162, 163, 165, 167, 169, 171, 172, 174, 176, 178, 180, 181, 183, 185, 187
188, 190, 192, 194, 196, 197, 199, 201, 203, 205, 206, 208, 210, 212, 213

Exhibit 5-5. List with Selected Students Designated

Johnson Elem. Grade 4 1/29/04

	Student's	Name		Bdate	Gender	Ethnic	SD	LEP	Title1	
1	JEREMY			HUNTER 1/1/95	M	1	No	No	No	FT
2	AMANDA			ARVIDSON 11/1/94	F	1	No	No	No	
3	BOBBY			CANAVALA 2/1/95	M	2	No	No	No	FT
4	TIERNY	M		BACON 6/1/95	F	1	No	No	No	
5	JULIE			SMITH 3/1/95	F	3	No	No	No	FT
6	RICHARD			BIERKAMP 1/1/94	M	1	No	No	No	
7	AMY			TUCKER 4/1/95	F	4	Yes	No	No	FT
8	RODNEY			WHITE 5/1/95	M	5	No	Yes	No	FT
9	BRITTNEY	J		BROWN 2/1/94	F	1	Yes	No	No	
10	PAM			MILLER 6/1/95	F	6	No	Yes	No	FT
11	JACQUELINE	N		BUCK 7/1/95	F	1	No	No	No	
12	STEVE			HELM 7/1/95	M	1	No	No	Yes	FT
13	THOMAS	M		CARR 2/1/94	M	1	No	No	No	
14	TOM			HARRISON 8/1/95	M	2	No	Yes	No	FT
15	TONYA			REED 9/1/94	F	3	No	No	No	FT
16	AMBER	M		CHAMBERS 9/1/94	F	1	Yes	No	No	
17	DENNY			WILSON 10/1/94	M	4	No	No	No	FT
18	JOSHUA	M		CHESLEY 10/1/95	M	1	No	No	No	
19	HOLLY			PETE 11/1/94	F	5	No	No	No	FT
20	CHAD	B		CLAY 11/1/94	M	1	No	No	No	
21	JERRY			STOCKMAN 12/1/94	M	6	No	No	No	FT
22	KEVIN	J		COMPTON 3/1/94	M	1	No	No	No	
23	KEVIN			O'SULLIVAN 1/1/95	M	1	No	No	No	FT
24	MARY			FESLER 2/1/95	F	2	No	No	No	FT
25	GEORGE	E		DAVIS 6/1/95	M	1	No	No	No	
26	CHRISTOPHER			RIES 3/1/95	M	3	No	No	No	FT
27	JOANNA	D		DAWKINS 6/1/95	F	1	Yes	No	No	
28	CHRISTOPHER			DEIBERT 5/1/94	M	1	No	No	No	FT
29	JAMES	M		DODGE 12/1/94	M	1	No	No	No	
30	LAURA			DURHAM 6/1/95	F	1	No	No	No	FT
31	BRIGITTE	W		ESCOBAR 5/1/94	F	1	Yes	No	No	
32	TRACEY	E		EVERETT 8/1/95	F	1	No	No	No	FT
33	DOUGLAS	D		FACEMIRE 7/1/95	M	1	No	No	No	FT
34	MARGARET	J		FARRELL 5/1/94	F	1	No	No	No	
35	MEGAN	PAUL		FORD 9/1/94	F	1	Yes	No	No	FT
36	JOSHUA	D		FORMAN 11/1/94	M	1	No	No	No	
37	ALYSSA	ANN		FRENIA 8/1/95	F	1	No	No	No	FT
38	ALEC	C		FROST 9/1/94	M	1	No	No	No	
39	BILLIE	NADINE		GARGONE 1/1/94	F	1	No	No	No	FT
40	ERIKA	J		GARNER 6/1/95	F	1	Yes	No	No	FT
41	AMANDA	K		GIBLIN 3/1/94	F	1	No	No	No	
42	BARBARA	E		GLANDER 9/1/94	F	1	No	No	No	FT
43	MATTHEW	B		GODWIN 12/1/94	M	1	No	No	No	
44	JANE			GOUILLON 1/1/94	F	1	No	No	No	FT
45	KYRIE	J		GWIN 7/1/95	F	1	Yes	No	No	
46	DANIEL	M		HAMDAN 3/1/94	M	1	No	No	No	FT
47	KRISTI	LEE		HAMPTON 12/1/94	F	1	No	No	No	
48	BILLY			HARDISON 12/1/94	M	1	Yes	No	No	FT
49	JORDAN	L		HARLESS 2/1/94	M	1	No	No	No	FT
50	KATHERINE	WAYNE		HARLESS 7/1/95	F	1	No	No	No	
51	CARRA	R		HARRIS 11/1/94	F	1	No	No	No	FT
52	BRIAN	E		HERMAN 10/1/95	M	1	No	No	No	
53	TREY	M		HERRING 1/1/94	F	1	No	No	No	FT
54	MICHAEL	C		HEUGEL 10/1/95	F	1	Yes	No	No	
55	JENNA			HIGGINS 1/1/94	F	1	No	No	No	FT
56	EMILY	K		HILBURN 4/1/94	F	1	No	No	No	FT

5.6.6 Using AAs to Assist in Sampling Procedures

You can use local AAs to assist you with some of the sampling procedures. AAs 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 selected students;
- Checking the data entry on the Administration Schedule(s) for correctness and completeness; and
- Preparing Teacher Notification Letter and Student Appreciation Certificates.

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

AAs should keep track of their hours during this sampling period since they will be paid hourly. Hours spent assisting with sampling should be charged to the code that will be given to you at training. AAs will use the same code for time spent administering assessment sessions. You will sign AA's Time and Expense Reports and send them to Westat with your report on a weekly basis.

5.6.7 Special Situations

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 (#56).

If a school objects to the number of students that NAEP wishes 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 (#48).

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.