

NAEP 2005

National Assessment of Educational Progress



THE NATION'S REPORT CARD

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1. OVERVIEW OF NAEP AND THE SUPERVISOR'S ROLE

1.1 Introduction to NAEP 2005

The purpose of this manual is to describe the main responsibilities for Westat Supervisors for the 2005 National Assessment of Educational Progress (NAEP). NAEP is sponsored by the National Center for Education Statistics (NCES), U.S. Department of Education. For NAEP 2005, Westat employees will administer NAEP in all participating schools. The states will be responsible for gaining cooperation for public schools in their states, while Westat staff will be responsible for gaining cooperation for nonpublic schools. This manual details your role and responsibilities in the following areas of NAEP 2005:

- Managing Field Staff
- Selecting the Student Sample
- Preparing Materials for Assessment Coordinators and Schools
- Quality Control Activities
- The High School Transcript Study
- Special Procedures and Studies
- Staff Evaluations
- Other Activities

1.2 Summary Background of NAEP

For more than three decades, information on what American students know and can do has been generated by the Nation's Report Card, formally mandated by Congress as NAEP. NAEP is a continuing, national survey of the knowledge and skill of young Americans in major learning areas usually taught in school. It is the first ongoing effort to obtain comprehensive and dependable achievement data on a national basis in a uniform, scientific manner. The purpose of the national assessment is to gather information that will aid educators, legislators, and others in improving the education experience of youth in our country. Its primary goals are to measure the current status of the

educational attainments of young Americans and to report changes and long-term trends in those attainments. Other goals include disseminating assessment methods and materials and assisting those who wish to apply them at local, state, and national levels.

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

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

NAGB, made up of representatives of state and local education associations and the business community, makes policy decisions and provides overall direction to the program. The board is responsible for selecting the subject areas to be assessed, including adding to those specified by Congress; identifying appropriate achievement goals; developing assessment objectives; developing test specifications; designing the assessment methodology; developing guidelines and standards for data analysis and reporting; and developing standards and procedures for interstate, regional, and national comparisons.

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

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

NAEP procedures guarantee the anonymity of participants, as **no student names are recorded on any completed materials when they leave the school**. The results of the national assessment are reported on the national level and by region of the country, not by diocese, school, or individual student (there will be reporting of the 10 large districts described in Section 1.8). Only group statistics are reported, broken down by gender, race/ethnicity, and a host of variables that illuminate students’ instructional experiences.

In addition to the national assessments, Congress authorized the expansion of NAEP to permit reporting at the state level in 1988. States volunteered for the trial assessment component and assumed responsibility for data collection. The trial assessment component of NAEP surveyed eighth-grade mathematics in 1990 and various subjects since then at both grades 4 and 8. In 2003, the state and national samples were virtually combined into one sample. All states receive state-level results.

NCES manages all components of NAEP. The primary contractors are Educational Testing Service (ETS), Pearson Educational Measurement (Pearson), and Westat. ETS is responsible for the item development and reporting, while Westat is responsible for all sampling and field administration activities. Pearson is the materials distribution and processing contractor.

Beginning in 1998, NAGB and NCES began a redesign of the NAEP effort. The new features that were phased in beginning in 2002 are:

- Combined state/national samples to reduce the total number of schools.
- Contractor administration of the assessment to reduce burden at the school level.

- Designated NAEP State Coordinators in each state who work with public schools in their states.
- Grade 4 schools of up to 120 students may elect to assess all students in their classrooms. If a school has a grade 4 enrollment greater than 120 a sample of 90 students will be selected.
- All test booklets in operational assessments will be laid out in the same way—a common spiral, so that there is only one session type. There are two 25-minute cognitive blocks followed by two short background sections in all booklets.
- There are procedures in place for a complaint process (see Appendix A).
- There are formal procedures for viewing secure items (see Appendix A).
- There are formal procedures for parent notification (see Appendix A).

1.3 The “No Child Left Behind Act of 2001”

Congress passed legislation in 2001 that is known as the “No Child Left Behind Act” (NCLB policy). The NCLB policy affected NAEP during the 2002-2003 school year in the following areas:

- All states and districts will participate in NAEP assessments of reading and mathematics at grades 4 and 8 biennially, as a condition of receiving Title I funds;
- A federally funded NAEP State Coordinator may be hired in each state; and
- NCES contractor staff will administer NAEP assessments, greatly reducing burden on school staff.

In order to respond to heightened public attention, NCES and NAGB have implemented the following policies and procedures beginning this school year:

- Parental notification is required for all NAEP assessments;
- There are procedures in place for those wishing to view secure test items;
- There are procedures in place for those wishing to formally file a complaint; and
- The minimum participation levels have been raised to 85 percent of originally selected schools.

1.4 Review of NAEP 2005

This year, NAEP has developed a *Welcome* magazine. You should read the magazine to get a complete description of the NAEP program and the areas of responsibility among the NAEP team.

Westat has been the sampling and data collection subcontractor for the national component of NAEP since 1983 and for the state component since its inception in 1990. Westat develops sampling plans; selects school and student samples; coordinates with the states; develops all assessment procedures, manuals, and training programs; and selects, trains, and supervises field staff who administer the assessment sessions.

In addition to state and national assessments, special studies with individual research goals are conducted on a regular basis. Examples of special studies include those linking NAEP with other assessment programs, use of technology in assessments, studies of group learning, writing portfolio studies, foreign language ability assessments, and reading studies. For these studies, Westat also selects the samples, develops field materials, and hires, trains, and supervises the data collection staff.

For NAEP 2005, we will be hiring and training approximately 5,000 field staff to conduct the assessments in more than 20,000 schools. The NAEP program for the school year 2004-2005 consists of the following components:

- the operational NAEP 2005 assessment, which includes assessments in mathematics, reading, and science at grades 4, 8 and 12;
- pilot studies in civics (all grades), economics (grade 12), mathematics (all grades), reading (grades 4 and 8), and U.S. history (all grades);
- A science bridge study at grades 4, 8 and 12; and
- two special studies: the National Indian Education Study (NIES) (grades 4 and 8) and the High School Transcript Study (HSTS) (grade 12 only).

The NIES is a federally funded study designed to collect data on the educational experiences of American Indian and Alaska Native (AI/AN) students at grades 4 and 8 throughout the United States. The goal of the NIES is to describe the condition of education of AI/AN students in the Nation and to ensure that programs serving AI/AN children are of the highest quality and meet these children's unique culturally-related academic needs.

The HSTS is conducted to provide educational policymakers with information regarding current course offerings and course taking patterns in the Nation's secondary school curriculum. In addition, this study will permit researchers to examine the relationship between course-taking patterns and educational achievement by linking HSTS data to data from the main assessment.

The NAEP 2005 operational study will involve assessments in reading, mathematics, and science with fourth-, eighth- and twelfth-graders. In addition to the public school sample, the study will include a nonpublic school oversample, 10 Trial Urban District Assessment (TUDA) district samples and a trial state oversample in California (triple sample), Texas (double sample), New York (50% increased sample), and Florida (50% increased sample). The oversample in these four states is in recognition that these large states have diverse populations, and increased sample sizes will permit meaningful breakdowns of the results and significantly improve the precision of national estimates, both overall and by demographic subgroups.

Westat field managers and supervisors work closely with NAEP State Coordinators who are responsible for implementing NAEP in the public schools in their respective states. NAEP State Coordinators are responsible for:

- receiving the sample of schools and reviewing it for inconsistencies;
- contacting sampled public schools and securing their participation;
- confirming the assessment date with each cooperating public school; and
- receiving a list of all grade-eligible students from each cooperating public school and verifying that the lists are complete.

1.5 The NAEP Program for 2005

The 2005 assessment will be conducted in a sample of approximately 21,000 public and nonpublic schools located in the 50 states and territories of the United States. Assessments will be conducted from January 24 through March 4, 2005. The assessment requires approximately 90 minutes to administer, including distribution and collection of materials. The subjects for NAEP 2005 are reading, mathematics, and science, which will be administered at grades 4, 8 and 12. These will be conducted in

combined sessions. A subset of students taking the science assessment will be asked to complete the hands-on science activities, which will add 20-30 minutes to their assessment time.

Reading, mathematics, and science teachers in operational schools, and civics and U.S. history teachers in pilot schools at fourth and eighth grades will be asked to complete a questionnaire about their background and teaching practices. Principals at grades 4, 8 and 12 (for both operational and pilot schools) will be asked to complete a questionnaire about school characteristics. There is also a questionnaire about SD and/or LEP students that the staff most knowledgeable about the sampled SD and/or LEP students will be asked to complete. Finally, there are Economics Department Chair and Economics Teacher Questionnaires at grade 12 only. Subject area teachers and principals will have the option of completing the questionnaires either online or in the hard-copy booklet format. SD and/or LEP Questionnaires can be completed only in the hard-copy booklet format.

Schools will be encouraged to access a web site called MySchool. The web site will give school staff information about their specific school assessment including the date of the assessment, the NAEP representative's name and email address, and instructions for preparing and submitting a list of grade-eligible students from which the sample will be selected. The school will receive emails periodically—one after they agree to participate in the assessment and the School Control System is updated, one about 2 weeks before they are visited or sent the preassessment materials, one a few days before the assessment, and the last after the assessment has been completed in their school. Schools may continue indefinitely to visit their MySchool web site to access links to NAEP resources. The MySchool web site is detailed in the MySchool brochure.

Dedicated NAEP State Coordinators in participating states gained the cooperation of public schools in the sample. The NAEP supervisor gained cooperation in the nonpublic school sample. As in the past, gaining cooperation occurs in the fall, with sampling taking place in late fall and assessments taking place in the January to March field period. Schools may send an E-File (an electronic file) of their list of students for sampling. If a school does not wish to send an electronic file, they may provide a hard copy – either by mail, fax, or email.

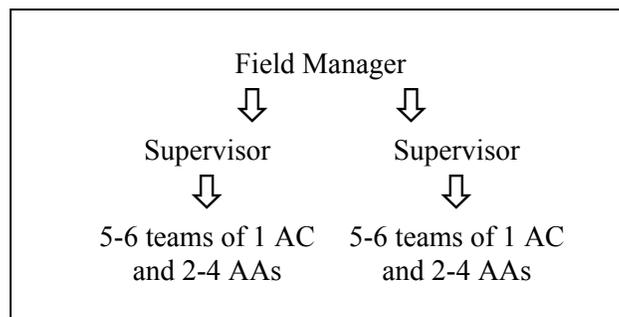
If a school is able to send an electronic file by the November 19th due date, including student name (or ID), birth date, sex, race, and SD and/or LEP status to the state or home office, they will be encouraged to do so. The Westat home office will read the electronic student file and sample. Westat supervisors will draw all other samples and enter data for selected students into the Student Data System

(SDS). The file will then be sent to Pearson to produce the Administration Schedules with preprinted student information. Detailed information on sampling and the SDS will be presented in chapter 3 and Appendix C. In small nonpublic schools, assessment coordinators (ACs) may be able to do the sampling during the preassessment visit or on assessment day.

NAEP field staff, ACs and assessment administrators (AAs) will visit the school and manage the activities including conducting the assessment sessions and completing the paperwork on assessment day. At the completion of the assessment in a school, ACs, with the help of the AAs, will ship the completed materials to Pearson. The AC and AA tasks are described in detail in separate manuals.

Various accommodations will be offered at all grade levels including bilingual versions (mathematics and science only), bilingual dictionaries, large print, extended time, read aloud (except in reading sessions), small group, one-on-one, and scribe accommodations. Other accommodations used in state testing will be provided whenever possible.

In order to conduct assessments in all schools in a 6-week period, the NAEP field staff structure during the assessment period is similar to 2003. The structure looks like the following diagram, with each field manager overseeing approximately 10 supervisors.



1.6 Pilot Test

In preparation for future NAEP assessments, NAEP will conduct a pilot test during the same field period as main NAEP (January 24-March 4, 2005). The purpose of the pilot test is to try out new assessment items, materials, and procedures. Pilot test items are administered in separately sampled grade

4 and 8 schools. At grade 12 and for nonpublic schools, the pilot test sessions are combined with the regular operational sessions.

1.7 Science Bridge

NAEP 2005 will also include a small science bridge study, which will use the same science questions and administration procedures that were used in 2000, the last time science was assessed. The purpose of the study is to provide data on the results of changing the assessment booklet sections and the timing of the science assessment. This data provides a “bridge” between the past and future science assessments.

1.8 Trial Urban District Assessment

In 2001, NAGB and the Council of the Great City Schools successfully petitioned Congress to fund a NAEP urban school district assessment feasibility study. The first trial urban district assessment (TUDA) was conducted in five school districts in 2002. A second NAEP TUDA study was conducted in 2003 with 10 school districts.

The TUDA 2005 study includes 10 districts—two from each of the five NAEP regions—(those with an asterisk participated in the NAEP 2003 study).

- Northeast: New York City* and Boston*
- Southeast: Atlanta* and Charlotte, NC*
- Central: Chicago* and Cleveland*
- Southwest: Houston* and Austin
- Far West: Los Angeles* and San Diego*

All 10 urban school districts are in high minority and high-density communities. Five are very large school districts, with 100,000 to more than one million students, and the other five districts have between 50,000 and 100,000 students. Additional criteria used for district selection included socioeconomic status, the percent of special education students, and the number of schools. Reporting

will include individual district and comparative district data. The District of Columbia results are shown with the TUDA results as well as state results.

1.9 The Security of Assessment Materials and Confidentiality Issues

NAEP student data is strictly confidential. To ensure confidentiality, students' names are removed at the school from all completed assessment materials before they are shipped to Pearson for processing. NCES enforces strict confidentiality standards to ensure that no personally identifiable information is ever released to third parties. In order to protect the confidentiality of **all** NAEP materials, you must strictly observe NAEP rules and guidelines at all times.

1.9.1 Requests to See Assessment Booklets

In 2003, NAGB set new procedures for parties interested in seeing assessment books. NCES will be proactive in providing the public with access to released questionnaires and other information about NAEP. Upon request, adult members of the public will have access to all questionnaires and instruments from all previous or current assessments. For specific details on procedures, please see Appendix A.

A Demonstration Booklet that contains the background questions and sample items for each subject in the assessment will be included in the informational materials distributed to school officials as part of the Preassessment Packet.

1.9.2 Requests From News Media

Superintendents or school principals may wish to publicize participation in NAEP, either in the local press or in a school newsletter. A press release explaining NAEP is available (see Appendix A). If a diocese or school official requests a copy of the press release, note it in the School Folder. Supervisors and ACs receive copies of the press release in their bulk materials and can distribute them to interested school staff upon request. There is also the possibility that representatives of local news media will ask you for information about the national assessment and the local school's involvement. **All such**

inquires should be referred to school officials who are responsible for handing out any press releases. If a reporter wants more information than is provided in the release, **refer them to the name and phone number on the press release. UNDER NO CIRCUMSTANCES ARE WESTAT STAFF TO MAKE COMMENTS REGARDING THE NATIONAL ASSESSMENT FOR PUBLICATION OR BROADCAST.** This is to ensure that a uniform statement on the national assessment is being presented in all parts of the country.

Generally, NAEP's policy has been not to show actual assessment booklets to anyone except the participating students. This is because even though NAEP releases approximately one-third of the items administered each year, security of the unreleased items, which are used to measure change over time, is of utmost importance. Further, in order to preserve the students' confidentiality, under no circumstances will materials with students' answers be shown to anyone. However, "security is not secrecy." A Demonstration Booklet that contains example background questions and sample items for each subject in the assessment has been developed. Each supervisor will be supplied with copies of this booklet and will include one copy in the Preassessment Packet mailed to the school coordinators. Generally speaking, this should take care of any requests from principals, teachers, and parents who wish to see examples of the kinds of questions that will be asked. If any individual or small group of individuals insist on seeing the actual booklets to be used in the assessment, notify your field manager and follow the NAGB Policies and Procedures shown in Appendix A.

Requests from state legislatures, school boards, or other community groups should be directed to your field manager. The field manager may call upon the home office for support in responding to these requests. Other NAEP officials may arrange a meeting with the concerned community members to discuss NAEP.

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

- A key strength of NAEP is that the assessment procedures are standardized; that is, the assessment is administered under uniform procedures. Obviously, television lighting, zooming camera lenses, or journalists arriving for interviews would alter this uniform setting.

- NAEP booklets contain items to be used in future assessments. Just as these booklets may not be removed from the room or photocopied, they may not be photographed in any way.
- Last and certainly not least in importance, the confidentiality of students participating in NAEP is guaranteed, and the presence of cameras would seriously jeopardize that guarantee.

NO ASSESSMENT SESSION MAY BE HELD IF MEDIA ARE PRESENT AT THE SESSION. Media coverage of NAEP after the assessment is completed is the prerogative of local school officials. You should leave all arrangements and/or interviews to the school officials who grant the media permission to enter the school.

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

NAEP field staff faced with the unannounced presence of film crews or reporters should encourage school staff to reason with reporters, note the availability of the simulated photos and videotape, and explain the above-mentioned reasons media are not permitted to attend the NAEP sessions. Reporters should be referred to Arnold Goldstein at NCES (202-502-7344) for further information.

1.9.3 Oath of Confidentiality

All Westat staff working on NAEP are asked to sign an oath of confidentiality. By signing this oath, staff agree to keep school and student names confidential. They also accept the responsibility for keeping all materials secure before and after the assessments are given. Some school officials may be concerned about the confidentiality of the school, teachers, and students. You can assure them that all NAEP staff will have signed this oath.

2. MANAGING FIELD STAFF

This year, NAEP has developed a magazine—*How to Supervise: A Resource for NAEP Field Managers, Supervisors, and Assessment Coordinators*—for field staff who supervise other staff. The magazine presents articles on general supervisory and management practices, and is to be used in conjunction with this chapter on NAEP-specific practices to help you manage your field staff.

For NAEP 2005, managing field staff involves three basic principles:

- setting the tone for the project;
- communicating with your assessment coordinators (ACs); and
- giving project-specific performance feedback.

Effective execution of each of these principles is critical to the success of your team of assessment coordinators (ACs), and assessment administrators (AAs), as well as to the success of NAEP 2005 overall.

2.1 Setting the Tone for Accountability and High Quality

As a supervisor, it's your job to set the tone of the project for your ACs, who, in turn, should do the same for their AAs. You will need to create a team atmosphere, which will promote high quality data collection and accountability among all team members, by setting clear expectations for each stage of NAEP 2005.

2.1.1 Creating a Team Atmosphere

It's important to stress to your ACs that we are all part of the overall NAEP 2005 team and that the large team is broken into smaller teams, each managed by a supervisor. For your part of the larger NAEP 2005 team, you are the team leader.

NAEP 2005 has one goal, which is common to all project positions on NAEP, from home office staff to each AA—*data collection of the highest, most valid quality*. Each team member is responsible and accountable for the combined end product of NAEP. Therefore, it is each team member's responsibility to do his/her best to prevent, identify, and correct irregularities in data collection that may jeopardize the validity of the NAEP data. By promoting the shared accountability of the team, each team member will feel the responsibility of producing high quality work every day.

The AC training offers you an excellent opportunity to establish you and your ACs as a team and set expectations for the NAEP field activities. Plan to meet with your ACs as a group to make sure that they feel part of the regional and national team that is so important to the success of NAEP. At the group meeting tell them in a positive, motivating way how critical they are to the success of NAEP.

Here are some points that you want to cover with your ACs in the group meeting:

- Be positive about their performance as a group during training.
- Emphasize that they are working with you, not for you.
- Promote everyone as an important part of the team and encourage them to help each other.
- Emphasize that the team works together to achieve a common goal—the highest quality data collection using established protocols.
- Clearly lay out your expectations for quality and accountability among all team members.
- Establish yourself as a resource for your ACs.
- Explain how you will help them succeed, and the information you will share with them.
- Set up the weekly report schedule for each AC and a couple of group conference calls (see Section 2.2).
- Review what you expect them to discuss with you during the calls (see Section 2.2).

Use your time at the training session to have individual conversations with each AC. It is very important that you begin to get to know and establish a partnership with each AC, set clear expectations for performance for each phase of NAEP, and discuss any concerns either you or the AC may have about the assignment or about any members of the assessment team.

So how can you, as the team leader, create this team atmosphere once training is over and you can't spend time with your ACs face-to-face? First and most importantly, you should both extend and expect courtesy and respect. This includes setting the expectation that team members treat all other NAEP team members (including home office and NAEP Alliance members) with courtesy and respect. Here are some other guidelines for creating a team atmosphere:

- Be fair—treat all team members equally.
- Be predictable and consistent in your behavior with team members.
- Acknowledge when you don't know the answer and then actively strive to obtain it.
- Exhibit empathy—put yourself in the team member's place.
- Involve the team member(s) in finding solutions to problems.
- Express confidence in your team members and the team overall.
- Show your enthusiasm for the project and its goals.
- Be open to suggestions from team members.
- Listen unemotionally.
- Don't gossip and discourage gossiping among your team members.

A democratic approach to team management, where everyone gets a vote, encourages participation and strong team work. However, there are times when a strong and effective team leader must be more autocratic in making decisions and enforcing adherence to procedure. You can solicit opinions from your team members, but you should make it clear that, as the team leader, you do have the final decision and you are accountable to your field manager for that decision.

You can encourage loyalty to yourself, the team, NAEP and Westat overall, by demonstrating that quality yourself. You can demonstrate this quality in the following ways:

- Be genuinely interested in the welfare of your team members and support their best interests with other team members, other teams, and the home office.
- Support the decisions made by the home office to your team members. Express any criticism you have for those decisions to your own field manager.

- Encourage staff that you may have formerly supervised to create a bond with their current supervisor. If they call you with questions or issues related to NAEP, firmly encourage them to redirect their questions to their current supervisor.

It's important to understand when and what type of information you should provide to your team members. Provide information on an as-needed basis and share only dependable information that directly affects the team member or his/her work methods, project rules and protocols, your appraisal of how well the project is progressing, as well as specific changes in procedures that may occur. If you forward everything that you receive from the home office, your field manager, and everything that comes from the field, you run the risk of overwhelming your team with too much information that they don't need or want. The result may be that they lose the ability to distinguish the necessary from the unnecessary and miss out on the important communications.

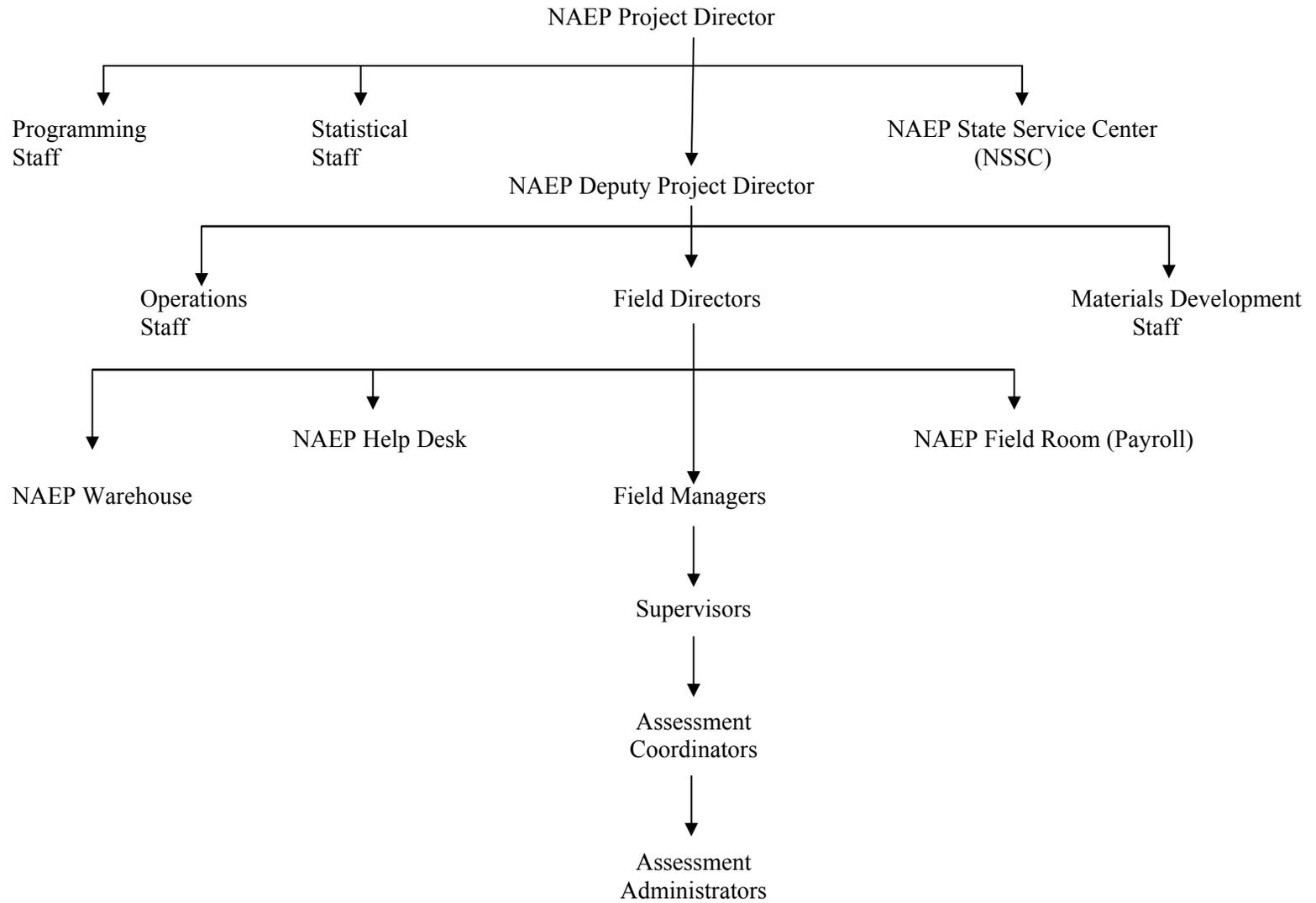
2.1.2 Promoting Accountability Among Your Team

As mentioned earlier, as a supervisor, you are the team leader for your ACs as well as their AAs. In order to promote accountability among your team members, you should insist that your ACs respect and follow the organizational reporting structure of NAEP as illustrated in Exhibit 2-1. Using this structure, you should specify which contacts should be made through you and which contacts can be made directly with a copy to you.

ACs should make all the following contacts only through you. In other words, they should send the information to you and you will forward the information (with or without edits). ACs should never contact these people directly:

- NAEP State Coordinators
- Home office staff, including:
 - Operations staff
 - Accounting staff
 - Programmer staff
 - Statistical staff

Exhibit 2-1. NAEP Westat Organization Structure



- AC/AA teams reporting to other supervisors
- Coaches
- Other NAEP Alliance members, including Human Resources Research Organization (HumRRO), Educational Testing Service (ETS), Pearson Educational Measurement (Pearson) (other than what is specified below), etc.
- National Center for Education Statistics (NCES)

ACs may contact the following people directly, but should always copy you on their messages. Of course, you may direct ACs to go through you when contacting these staff, particularly if you have a reason to be concerned—that’s your prerogative as the supervisor.

- NAEP Field Room
- NAEP Warehouse
- NAEP Help Desk
- Other ACs working in the same state
- Pearson shipping/receiving

While you can insist that your ACs follow an established protocol when they initiate the contact, you cannot control how others may contact your ACs. Require that ACs respond to emails from other NAEP project staff (including home office), NAEP State Coordinators, NAEP Alliance members, etc. be copied to you even when the original message does not include you on the distribution list.

As specified in Exhibit 2-1, you should also respect and follow the NAEP organizational structure. You report to your field manager and should be primarily communicating with only that person. Be sure that your contacts follow the protocol established by your team leader—the field manager. You should always go through your field manager when making the following contacts:

- Home office (except Help Desk, warehouse, and field room),
- NAEP Alliance members (except Pearson shipping/receiving—you should always copy your field manager on these messages),
- NCES,

- NAEP State Service Center, and
- NAEP State Coordinators.

Let your ACs know that you follow the organizational structure as it applies to you—you primarily communicate with your field manager and do not bypass that person to contact other people in the home office and you expect your ACs to follow the same protocol. Your ACs should be primarily communicating with you and not bypassing you to go directly to your field manager. All supervisory staff (field directors, field managers, supervisors, and ACs) should be constantly reinforcing the need to follow the organizational structure—both in word and deed.

Let your team members know that you hold yourself accountable for the performance of the team, as does your field manager. Once you establish that with your team, you should require that all questions about procedures and protocols be directed to you and not to peers or other staff. You can then ensure that your team members hear the same information from a reliable source—you.

In addition, as the team leader who is accountable for your team’s performance, you should insist that you hear about any problems or irregularities in the field from your ACs before you hear about them from schools, NAEP State Coordinators, their AAs, or the home office. Remind them that there are very few situations that can’t be rectified in some manner if they are addressed immediately and appropriately. However, you can’t be of assistance to them if you aren’t informed. Let your ACs know that attempting to downplay problems or irregularities damages the reputation of NAEP, Westat, and the team and is unacceptable. When you strongly communicate this expectation to your ACs, they, in turn, should also set the expectation with their AAs.

2.1.3 Using Quality Control Activities to Promote High Quality Among Your Team

Again, as the team leader, you should establish quality control as a scheduled and expected component of everyone’s assignment. Promote the idea of producing high quality work among your ACs, as well as the expectation that everyone’s work (yours and theirs) will be regularly and consistently checked for errors. Communicating this expectation will remove the sensitivity of checking people’s work—it will be a regular activity. This section suggests some ways to promote high quality data collection practices among your team by using quality control activities.

Quality control checking needs to happen early in each phase of NAEP. Arrange for ACs to send in the first products of each cycle of their assignment for your review and then you should follow through with specific feedback. Based on relevant schedules, a due date for you to receive the materials should be established and the materials shipped via FedEx so that feedback can be given in time for irregularities to be corrected early in the field period. For example, reviewing all paperwork associated with the first assessments done by an assessment team as soon after completion as possible will allow you to provide feedback so that irregularities are not repeated in assessments.

Based on your impressions from the AC, and AA trainings, you should schedule staff observations as early in the field period as possible. You should then arrange to meet with the observed staff immediately after the observation to provide feedback. This feedback should be documented and kept for future reference (see Section 2.3 for more information on documenting feedback).

You should also regularly review production reports from the School Control System (SCS) with ACs so that they realize their work and their teams' work are being closely monitored by you. Let them know that you use the reports to spot irregularities that they may have overlooked. Show your ACs what you look for in the reports. See Section 2.2 for more information on using reports from the SCS during report calls.

2.1.4 Setting Clear Expectations

The most effective way to get your ACs to conduct their NAEP-related tasks in the way that you want is to communicate clear expectations for each phase of NAEP. As mentioned before, you should clearly establish with your team that you are the team leader and are accountable to your superiors for the team's performance. As the NAEP team leader, tasks should be performed the way you direct. Questions about procedure should be addressed to you and not a peer. Sometimes ACs hear from their colleagues that other supervisors are handling a procedure differently than you. Discourage this use of the grapevine for getting procedural information and, at the same time, avoid criticizing a colleague's approach by saying something like "There are probably several ways to get this task accomplished but I think this way will work best in our case." You want staff to turn only to you for dependable, reliable information.

Here are some general guidelines for setting expectations for ACs:

- Be specific, rather than general, in assigning responsibility for tasks. Don't suggest an activity and assume that the ACs will take on the responsibility—make specific assignments.
- Put your expectations in writing. If you have a telephone conversation in which you state your expectations, follow it up with an email re-stating your understanding of the conversation.
- Break assignments down into specific tasks and set firm deadlines by which each activity must be completed and information delivered to you.
- When requesting information, be very specific about what you need; offer a template in which information can be entered.
- Ask for frequent updates on progress from everyone.
- Listen for and promptly correct any misunderstandings about what you expect.
- Always follow through to see that deadlines are met.
- Be flexible and open to suggestions.

You should be consistent in how you present your expectations to all your ACs. However, once you've communicated the expectations, you may need to adjust your method of followup to fit the individual. For example, once the task is presented to Mary, all she may need is an occasional pat on the back to complete the task in an exemplary and timely manner. John may need frequent assurance that he is on track and getting the job done well. Sally may need you to assist with breaking the larger task into smaller pieces, providing frequent reminders of the target completion date, and confirming her success as the individual pieces of the task are completed. While it may seem tedious to customize your approach, you have to remember that your team is made up of individuals and each one may need something different from you to achieve maximum performance—and that is an important part of your job as a supervisor.

2.2 Communicating with ACs

One of your most important roles as a supervisor is to take your new ACs from training and help them navigate through real life scenarios in the field. You also continue to motivate your experienced ACs and help them to become more successful in the more difficult case situations.

Encourage them to work independently and groom your best ACs to take on a supervisory role in future rounds of NAEP. Effective communication is the foundation of managing field staff. In this section we will review the following:

- conducting report calls;
- using email and voice mail effectively; and
- promoting two-way communication.

2.2.1 Conducting Report Calls

Your weekly report call is one of the best tools you have to establish good communication with your ACs. This weekly call can help ACs have a fuller understanding of their job and the priorities of their various tasks as well as giving you a fuller picture of what's happening in specific assignments. It is also the means by which you motivate or provide corrective action.

Report Call Agendas. As much as possible, try to conduct your report call with each AC during the same time period each week. This will help both you and your AC plan your time efficiently. Establishing an agenda and distributing it before the weekly report cycle begins ensures that you cover the same topics with each person who reports in. It also allows the AC to prepare for the call by having the necessary information in front of them. This approach encourages concise, more effective calls that do not result in wasted time for either party. Always include a time on the agenda for the AC to ask questions and discuss concerns. Putting the item on the agenda alerts the AC that you expect questions and will not assume incompetence or be annoyed to have the call extended. Finally, solicit agenda items from your ACs. Not only will it make them feel a part of the process, it will also allow them to formally add agenda items of importance to them.

Exhibit 2-2 shows a sample agenda for a report call regarding preassessment activities between a supervisor and an AC. The underlined text are the questions a supervisor might use to structure the discussion items. Below is a description of what you, the supervisor should do before, during, and after the report call.

Exhibit 2-2. Sample AC Report Call Agenda

AC Report Call Agenda Week of January 17 Territory 1 Region 1

- 1. Update your Log of Schools.** [Please update your log before your report time and have school folders within easy reach during report.]
 - **Discussion of plan for contacting any schools without preassessment date scheduled in SCS.** Any problems with making contact with NAEP State Coordinator? Any assistance needed?
- 2. Discussion of preassessment visits made since last report call.**
 - Status of new enrollee sampling? Will number of new enrollees selected affect staffing/materials/ etc?
 - SD and/or LEP Questionnaires collected? If not, when will they be available?
 - Need for accommodations determined? If not, what followup arrangements have been made to capture information before assessment date?
 - Feedback on the NAGB Criteria for Inclusion
 - Any separate accommodation sessions required?
 - Enough staff to cover all sessions?
 - Parent notification already sent? If not, what are the arrangements?
 - If new enrollees added, what arrangements were made for parent notification?
 - Any additional session materials to be ordered?
 - What arrangements were made for doing science performance session?
 - What questions did the school coordinator have?
- 3. Plans for the preassessment visits scheduled for the coming week.**
 - Is schedule reasonable?
 - Number of preassessment visits to be scheduled during assessment window.
 - Plan for fitting preassessment visits into assessment schedule.
 - Any assistance needed?
 - If overnight travel required, review/approval of travel plans.
- 4. Report of problems with documentation of expenses on TERs—receipts required.**
- 5. Scheduling AAs and preparing/distributing Assessment Information Forms.**

Touching base with AAs to make sure everyone is still on board.
- 6. Any problems to report?**
- 7. Any questions you have?**

Before the report call: Prior to making report calls, you should update your copy of the Log of Schools by running a data selection report from SCS. Select the following fields: school name, NAEP ID, status, preassessment visit date, scheduled assessment date and time, and area. Sort the report by area and preassessment visit date and then subset or filter by status equals cooperating. This will print reports area for all cooperating schools in a region. Update supervisor log to capture any recently scheduled preassessment visits, any changes to assessment dates, and to verify that ACs are entering assessment start times (as requested by NCES). Review for any preassessment visits not yet scheduled and flag omissions for discussion. For the report call you should have a copy of the calendar on which you record the troubleshooter(s) schedule.

During the report call: Enter information and make notes on log as each school is discussed. If the AC needs assistance from a troubleshooter, you should enter information on appropriate troubleshooter calendar.

After the report call: You should review notes taken during the report call and plan for followup on any requests or problems. You should then notify the troubleshooter(s) of any responsibilities added to the troubleshooter calendar and provide AC's contact information for coordination of tasks.

In some cases, you may need to modify the structure of the report call agenda to conform to the needs of the ACs or the assessment phase. Some ACs may need more discussion and problem-solving during the report calls and others will need less. While you want to be sure to review the same general topics with all the ACs, there may also be topics that are specific for only a few of the ACs.

Find a way to keep the notes of your weekly report calls organized. Some people like to use file folders and others find 3-ring binders with tabs or notebooks a more compatible way to keep track. Don't forget to have a tab or folder for yourself so that you can keep track of issues to discuss with your field manager. Get yourself set up so that documenting the calls is easy and quick.

You should also schedule occasional group conference calls to build team spirit and allow everyone to hear the same thing. Try to schedule a group conference call at the beginning of each new critical phase to review procedures and answer questions. Then schedule another conference call about 2 weeks into the new phase to discuss any changes in procedure that have come down to address problems discovered in the new phase and to allow ACs to ask questions with everyone hearing the same response.

Group conference calls can also serve as a valuable tool for dealing quickly with situations that arise in the field. If one team is experiencing problems unique to that team and it is not convenient for you to schedule an immediate visit to the team, you can address the problem promptly by scheduling an immediate conference call with the AC and AAs. Contact your field manager for more information on setting up conference calls.

Using the Log of Schools and Reports From the SCS During Report Calls. Use the AC Log of Schools or a current report from the SCS for structuring your review of the activities in each school in the assignment. Discuss each school on the log/report that has not been completed. Review the status of the preassessment, assessment, and makeup process. If the AC anticipates problems, brainstorm what the next steps should be. If a school refuses to complete any part of NAEP, review the stated and unstated reasons for the refusal and discuss whether conversion is an option, who should make the attempt, and develop strategies for the next step. Remind the AC to document all such situations and review items that should be included.

The Data Selection (formerly called Mail Merge) feature of the SCS will allow you to create your own unique reports to better track activities at varying stages of the field period. These can be exported into Excel files that you can send to the assessment coordinator in advance of report time to facilitate review. See the *SCS User's Guide* for more information about creating reports from the SCS.

2.2.2 Using Email and Voice Mail Effectively

Often, we are in such a hurry that we fail to give careful thought to creating appropriate and effective voice and email messages. Like any other form of communication, however, they reflect much about us. In just a few statements, the voice mail or email recipient can learn something about your command of the English language, your professional demeanor, courtesy, etc. Attention to detail is important. Recorded statements (written or verbal) can give an unintentional message if you neglect to give forethought to what you say.

Before you send an email or leave a voice mail, ask yourself these questions:

- Is your communication clear, concise, precise, and polite?
- Have you run spell-check?

- Do you tell the reader or listener your purpose up front?
- Is your communication easy to read — or listen to?
- Have you sacrificed courtesy for “getting the point across”?
- Have you sacrificed clarity for “the sake of courtesy”?

Be specific about how you want email messages prepared for you. For example:

- Encourage, by example, the discussion of only one item in an email message with an issue-specific subject in the subject line.
- For messages about individual schools, require that the subject line specify region, school name, and NAEP School ID number.
- Require that messages ordering materials always include the specific items needed, quantity, date required, and shipping address whether regular home address or other.

Exhibit 2-3 provides some benefits and suggestions for using email and voice mail communication.

Part of using email and voice mail effectively is to manage your email and voice mail so that you are responding in a timely manner and not missing messages that need your attention. Below are some tips and techniques for managing email and voice mail messages.

Email. Here are some tips for managing email:

- Set aside time to check and respond to email. For instance, if you’re busy with other activities, you can check it once an hour or hour and a half. When you are traveling, check email before leaving in the morning and after arriving at your destination in the evening.
- Create various subject folders in your Inbox so that you can file messages based on the topic of the email. Alternatively, create various folders in your Inbox by person so you can file message based on who sent them to you. Use whichever method works best for you and will allow you to quickly locate an email for reference.
- Keep messages in your main Inbox (main screen that appears when you login to Outlook) until the issue is resolved so that you can instantly see what needs followup. Then move the message to a folder or delete it.

Exhibit 2-3. Using Voice Mail and Email Communication

BENEFITS OF USING:	SUGGESTIONS
<p>VOICE MAIL</p> <p>Allows the recipient an opportunity to gather necessary materials and information before returning your call.</p> <p>Provides specific information, cuts down on telephone tag.</p>	<ol style="list-style-type: none"> 1. Plan message to keep it brief and concise. 2. Give important information up front: <ul style="list-style-type: none"> ▪ Your phone number; ▪ Reason for call; ▪ Necessary facts; ▪ What you want person to do in return; and ▪ When you need a response. 3. Limit details where possible.
<p>EMAIL</p> <p>Allows for quick transmission and response.</p> <p>Can be cut and pasted into other documents saving time.</p> <p>Can be read/replied to at any time.</p> <p>Provides a written record for reference, if needed.</p>	<ol style="list-style-type: none"> 1. Style gives the illusion of being very informal. 2. No vocal or physical cues to moderate words used. 3. Provides an electronic record, so: <ul style="list-style-type: none"> ▪ choose words carefully; ▪ use proper grammar and punctuation; ▪ avoid “distribution explosion”; ▪ use subject line to inform of purpose/urgency; and ▪ check spelling. 4. Give important information up front: <ul style="list-style-type: none"> ▪ Give reason for email; ▪ What you want person to do in return; and ▪ When you need the response.

- When you send messages that request information, copy yourself, so that the message appears in your Inbox. Then keep the message in your main Inbox until you obtain the requested response(s).
- Make it a policy to respond within 8 business hours to all email messages requesting a response from you. Even if you don't have the answer, be sure to respond and let the sender know that you are working on a response and give an estimate of when you will send it.

Voice mail. Here are some tips for managing voice mail:

- Set aside time to check and respond to voice mail. For instance, if you're busy with other activities, you can check it once an hour or hour and a half.
- Keep messages in your voice mail box until the issue has been resolved. That way, each time you check voice mail, you'll be reminded of what messages you still need to respond to.
- Keep a voice mail log. Jot down important information from each message, such as the date received, the sender's name, phone number, organization, a summary of the topic, the date you responded and a summary of the response. That way, you can easily reference the log if needed.
- Make it a policy to respond within 8 business hours to all voice mail messages requesting a response from you. Even if you don't have the answer, be sure to respond and let the sender know that you are working on a response and give an estimate of when you will send it.

2.2.3 Promoting Two-Way Communication

As you communicate with your ACs, you will be giving them information and you will want to get information from them. Each verbal contact with your ACs should be a two-way conversation. We've discussed many ways for you to give information, now we need to talk about how to get information. There are two basic ways to get your ACs to give you information. One way is to practice the art of active listening. A great deal can be learned about how things are going by letting the AC talk without interruption. Many times ACs will call you just to relate what happened that day. Sometimes, the less you say, the more you'll learn about not only what happened, but also how the AC handles those types of situations. As they talk, they'll verbally work through the issues and often provide their own solutions, which you can then validate.

A second way is to ask questions that are designed to elicit thoughtful responses. There are four basic types of questions. By structuring your questions in an effective way, you will encourage the appropriate response for each situation. Let's take a look at the different question types.

A. Closed questions are very direct and to the point.

- They restrict the range of participants' possible responses.
- They are useful in gathering specific data quickly.
- Their use requires that the participant be knowledgeable or have formed opinions.
- Improper use can make the participant think she is being interrogated and feel defensive.

Examples:

- "Do you have time to talk now?"
- "When is the makeup date?"
- "Did you enter the information in the SDS?"

B. Open-ended questions establish a broad topic area.

- They allow the participant to participate fully, and give more freedom of response.
- They can reveal attitudes and beliefs.
- They are useful in almost all types of discussions.
- One drawback is that they can be very time-consuming since occasionally the other party may bring up irrelevant topics.

Examples:

- "How did you handle the situation?"
- "How do you suggest we deal with this issue?"
- "What are the strengths of the assessment team?"
- "What are some approaches to this problem we might consider?"

C. Probes are used to gain further information.

- They ask the participant to clarify and enlarge on what he/she has just said.
- Probes can be either verbal or nonverbal.
- Their use requires sensitivity to the participant's feelings.

Examples:

- "I'm not sure I understand your thinking on this; could we review it once more?"
- "I think I understand your point; but could you give me a couple of examples?"
- "Could you explain a little more about which aspects of the sampling process that you don't understand?"

D. Mirrors restate the participant's last comment.

- They give the participant a chance to hear again what was just said and to check that what he/she said was what he/she meant.
- They offer the listener a check that he/she heard the participant correctly.
- Mirrors are very effective in avoiding misunderstanding.

Examples:

- "You're saying then that you feel the training should be supplemented with recommended reading?"
- "As you see it, then, the school coordinator was already upset before you arrived?"
- "Are you saying that every day for the last week you have had a problem entering data in the SCS?"

When asking questions ask how, when, what, who, but use why questions with care. People rarely have a clear idea as to why they did or did not do something. An authority figure may use "why" questions to "*call*" a subordinate on something. If the subordinate senses a game of "Now I've got you!" he/she will withdraw from the question.

Example:

Wrong: “Why didn’t you set appointments as planned?”

Right: “What prevented you from following through on setting up appointments?”

Never ask a question to which you clearly have an answer. Employees will sense that you are trying to trap them.

Ask followup questions that lead the person to talk more, not less.

The quickest way to assure someone that you are not listening to them is to ask a question, and, upon getting the answer, you immediately ask another unrelated question.

Example:

Wrong: “Did the school coordinator break the appointment again, today?” THEN IMMEDIATELY: “How many calls did you complete?”

Right: “And what reason did they give? What did you say? How did they react? What other choices are there?”

Ask questions that lead the person to reflect on missed opportunities.

Example:

Wrong: “Why didn’t you try other approaches when that response failed?”

Right: “What were the other choices you could have made? What response on your part might have been the best in this situation?”

2.3 Giving Project-Specific Feedback and Documentation

A supervisor must constantly and appropriately use feedback to motivate staff and correct problems. Positive feedback can be general, “You are doing a great job,” or specific, “You handled the conflict between Mary and John brilliantly.” The more specific the positive reinforcement is, the more effective it is in promoting similar behavior. As a manager, it is your obligation to give both positive and negative project-specific feedback to your ACs. Very often, only negative feedback is given in order to

correct a problem. As a manager of field staff, it is part of your job to provide feedback on both the things that the staff does well, along with those things that need improvement. Documenting that feedback (both positive and negative) is also a required part of the job.

2.3.1 Giving Project-Specific Feedback

What is feedback? The word “FEEDBACK” gained popular usage during the early space launches and referred to the signals that provided the information and corrections needed to keep a missile or rocket on course. Our use of the term feedback refers to “*an evaluative response*” provided about a process or activity meant to keep the process or activity on course. To provide feedback that is helpful, consider the following before delivering your comments:

- Is the person in any shape to hear this? Is this an appropriate time? (Always be respectful, but be aware that most people are stronger and more capable than we give them credit for.)
- Has he/she heard it before? Do not nag or flatter.
- Can he/she do anything about it? Let your AC know you expect him/her to be resourceful, but don’t expect the unreasonable.
- Am I willing to help him/her work it through? When you offer corrective comments to an AC, also consider your responsibility to provide support if the person works to change.
- What part of this has to do with MY personal agenda? Why does this bother me so much? Identify your own issues as well as your responsibility or ownership of issues ahead of time.
- Is it possible that what this person really needs is validation? Be aware of when an AC may need encouragement rather than the specifics of feedback. This is particularly applicable when working with a new AC or one who is trying to improve a skill that is particularly difficult for him/her.
- Are there areas where feedback is clearly not appropriate?
- How will you provide feedback? Most importantly, be direct and authentic. Feedback, when corrective, can be uncomfortable, but is required for the self-respect of both you and the AC and for strengthening the relationship.

So how do you provide feedback, particularly if it's negative? Here are a few general guidelines to follow:

- Make sure you intend to be helpful. Digs and sarcasm are inappropriate.
- ACs want to know how they are performing as long as your evaluation is fair and constructive. Base feedback on facts, not on opinion and personality, or just an overall impression.
- Be as specific as possible. Exactly what tasks does the AC do well? Exactly what tasks and areas does the AC need to improve? How can improvement be facilitated? Do not generalize. It is too easy to agree in principle and not agree on the specific method for carrying it out.
- Describe the incorrect behavior, but do not turn it into a critique of the person.

Unfortunately, we cannot always be positive about someone's behavior or performance. Then it is necessary to provide feedback that is often labeled and perceived as "negative."

If presented in the correct manner, such feedback need not be negative at all. Feedback that is meant to correct a problem should be clear, accurate, and presented in a neutral manner.

A dialogue of such feedback might go something like this:

SUP: Hello Pat. I'm calling because I reviewed a report for your area that showed schools that have been assessed and noticed that 2 of the schools you assessed last week don't have all the session results entered. Did you realize you need to enter the session information into the SCS on the same day the school is assessed?

AC: Sure. I don't understand why there's a problem. Which schools are we talking about?

SUP: Jefferson Middle School and Washington High School. They all seem to have the same problem. It looks like you've entered information for the first session at each school. Did you realize you must enter the information for each separate session?

AC: Yes, I know that. I didn't realize that I hadn't updated all my sessions.

SUP: It's really important that the SCS be updated each day with the results of that day's completed sessions and that the information is entered for all sessions. Please go into the SCS and enter the data for the remaining sessions in each of these schools. Do you have any ideas on how you can make sure this doesn't happen again?

AC: I'm really sorry about this and I'll make sure it doesn't happen again. I always follow the steps in the Quality Control Booklet to make sure I get all the required fields entered into the SCS. I could record a check mark beside each item as I enter the data into the SCS. And I guess I'll need to record a check mark on each administration schedule as I enter the results into the SCS. When I do my final review of the school folder, I'll double check that all schedules have a check mark.

SUP: That sounds like a good plan. I'll be checking your SCS data entry regularly and let's see how this is going in one week.

Present feedback from the perspective of a mentor and it will be better received. Make sure your purpose is clear. Be honest about why you are saying what you are saying. Try to create a relationship based on mutual confidence between you and the AC. Let the AC know that your goal is to help him/her succeed and grow in the position, and advance to more responsible positions. Whenever constructive or corrective feedback must be presented, always begin by discussing specific aspects of the job that the AC does well. Be firm and honest and don't allow justifications by the AC to sway your opinion. Compare his/her performance with the ideal not other staff. Emphasize where improvement or change is required. Assist the AC in developing a plan to improve performance and/or attitudes. Show the AC that you share responsibility for his/her performance by asking how you can assist in helping him/her improve. Express confidence in his/her ability to improve.

When problems arise, involve the AC in the solution with questions like "What will you do differently next time? How do you think you might better have handled the problem? What did you learn from this experience?" Provide opportunity for the AC to ask questions about your opinion on how situations have been handled. Avoid vocalizing emotional reactions to what the AC is telling you. Instead of "How in the world could you have allowed that to happen?" say something like "OK, let's establish the exact details on what happened so that we can work together to come up with an appropriate way to handle this situation." You want the AC to feel free to discuss mistakes and problems with you without fear of negative retribution. Substitute words like "situation" and "issue" for words like "mistake" and "problem" that carry the connotation of guilt and blame.

Exhibit 2-4 is a checklist of some specific techniques to use when giving constructive or corrective feedback.

Exhibit 2-4. Constructive/Corrective Feedback Checklist

Constructive/Corrective Feedback = Given to Improve Performance

Constructive/ Corrective Feedback Steps	Do	Do Not
1. Describe the situation from your perspective.	<ul style="list-style-type: none"> ■ Use neutral tone and expression. ■ Use specifics and details. ■ Focus on the tasks and how they are carried out. ■ Include dates and number of times incident occurred. ■ Describe how others perceive the behavior. ■ Describe the result of the behavior on others (client, team member, etc.). ■ Point out patterns. 	<ul style="list-style-type: none"> ■ Emphasize the personal aspect of the issue. ■ Allow the employee to begin justifying behavior one incident at a time.
2. Ask team member for perspective and information on possible extenuating circumstances.	<ul style="list-style-type: none"> ■ Ask open-ended questions. ■ Listen. ■ Acknowledge team member’s comments. ■ Recognize team member may need to “vent”. ■ Remember feelings are not rational. 	<ul style="list-style-type: none"> ■ Interrupt. ■ Discount or contest feelings. ■ Take comments personally.
3. Get agreement (from team member) on existing problem.	<ul style="list-style-type: none"> ■ Keep conversation focused on the problem. ■ Try alternative approach if no agreement on problem. ■ Try to get acknowledgement of the consequences of the behavior. ■ Ignore attempts at extraneous or “deflecting” conversation. ■ Have team member take/keep ownership of the problem. 	<ul style="list-style-type: none"> ■ Assume that silence means agreement. ■ Waste time if no agreement on the problem.* <p>* Go to Step 6: Set clear expectations and consequences.</p>
4. Discuss why behavior is occurring/ problem exists.	<ul style="list-style-type: none"> ■ Make sure team member received and understood: <ul style="list-style-type: none"> - order of priorities. - training (if needed). - resources (if appropriate). ■ Identify potential underlying contributors: <ul style="list-style-type: none"> - receiving “rewards” for poor performance. - not receiving recognition for good performance. - lack of aptitude. - preferences or style differences. - lack of motivation. 	<ul style="list-style-type: none"> ■ Make assumptions about the cause of the behavior. ■ Make generalizations, like “You always...”

Exhibit 2-4. Constructive/Corrective Feedback Checklist (continued)

Constructive/Corrective Feedback = Given to Improve Performance

Constructive/ Corrective Feedback Steps	Do	Do Not
5. Identify ways to remove obstacles to successful performance.	<ul style="list-style-type: none"> ■ Ask for and consider team member's ideas and suggestions. ■ Work to obtain any needed training, resources, etc. ■ Work with team member to clarify expectations. ■ Try to make the situation "win – win." ■ Give suggestions on how you might have dealt with a situation. 	<ul style="list-style-type: none"> ■ Make decisions unilaterally. ■ Assume you know what is best for the team member.
6. Set clear expectations and consequences.	<ul style="list-style-type: none"> ■ Summarize problem. ■ Set clear expectations for improvement. ● Set a definite timeline for improvement. ■ Follow up. ■ Explain consequences if no improvement occurs. 	<ul style="list-style-type: none"> ■ Set consequences that you can't or won't implement.
7. Get commitment from team member on the solution.	<ul style="list-style-type: none"> ■ Be sure team member understands your expectations and how to meet them. ■ Recognize that the team member always has a choice. 	<ul style="list-style-type: none"> ■ Mistake "intellectual assent" for commitment. ■ Assume that the team member cares enough to work to improve the problem. ■ Assume that silence means agreement.
8. Followup promptly (due to short field period).	<ul style="list-style-type: none"> ■ Communicate with team member concerning progress/lack of progress. ■ Identify any future discussions to be held. ■ Get closure on the situation. ■ Praise their successes. 	<ul style="list-style-type: none"> ■ Let the process "fizzle out" or get lost in the shuffle.

Never complain to the people you supervisor about how busy you are because:

- it is demoralizing to them; and
- they may decide not to burden you with their questions and problems when they ready need your guidance.

No matter how busy you are, you should always find time for your staff.

You should also be open to receiving feedback from your ACs. When receiving feedback, do your best to observe the following:

- Avoid defensiveness. It is better not to ask for feedback than to receive it with a chip on your shoulder. Summarize what you have heard to make sure true communication is taking place.
- Give feedback on the feedback. Let the communicator know how you feel about what you have been told. Do this in a descriptive way, not in an emotional way—without a critique of his/her feedback. If you want time to think about the feedback before responding, let the person know.
- In general, the idea is to stay detached a bit. Don't let personalities get involved.

Don't ask for feedback when what you want is agreement for a course of action. The following statements are some examples of what you might say when discussing a course of action for which you want consensus:

- “Is there something I've said that puzzles you?”
- “What was your first impression of the approach I suggested?”
- “What is your current impression of {PROCEDURE} after trying it?”
- “What are the pluses and minuses of our plan?”
- “Can you summarize our plan so I know we are on the same page?”

2.3.2 Documenting Feedback

Documenting the feedback you give to field staff is a critical part of your job as a supervisor. You should document each conversation with an AC that involves giving feedback. Start by creating a

file folder for each assessment team. Keep all your documentation about that AC and his/her team in that folder. You'll find this documentation useful in four types of situations:

1. Completing the AC's evaluation and helping the AC complete the evaluations for his/her AAs (see chapter 9);
2. Reviewing progress and followup;
3. Terminating* field staff, if necessary; and
4. Responding to legal action brought by field staff.

Although most of you will not need the documentation for situations 3 and/or 4, it's always better to be prepared. In those rare cases that involve legal action, you may have to defend your actions, having a completely documented file will help. Also, documentation shows that each staff member has been supervised the same way, with fair and equal treatment.

If a staff member's behavior violates any of the items on the NAEP Code of Ethics, Oath of Office, Pledge of Confidentiality, or Affidavit of Nondisclosure, you must carefully document the behavior, all circumstances surrounding the behavior, all measures taken to address the issues, and the times and methods used for advising the staff member that the behavior is unacceptable. This documentation is necessary to provide the legal grounds for terminating the employee or for placing them on the "no hire" list.

All behavior that jeopardizes the validity of the assessment, breaches security, or violates standard rules for appropriate behavior in schools should be documented in an email message and forwarded to your field manager. A copy of the email should be printed out and placed in the employee's file folder as part of your documentation. Just as you require notification from your staff about problems that have occurred, so does your field manager require knowing about the situation from you before hearing about it from other sources like NAEP State Coordinators, the government, or schools.

You should always follow a set procedure for dealing with every staff member who needs to improve. Be sure that each of the steps below includes information on what you have done to help the staff member to improve.

* Decisions to terminate staff members should be discussed with your field manager before any action is taken.

1. Speak with the staff member, preferably on a call that is separate from the weekly report call time. This places emphasis on the fact that you are giving him/her notice that something needs improvement. Be firm and respectful. Do not “soften the blow” with jokes or little compliments. Be sure to tell the staff member how his/her actions or lack of action affects the study. Provide information as to how the staff member can improve, answer questions—counsel from your experience. Set a **specific goal** for the staff member with a **specific date** for accomplishing the correction.
2. Take notes—for **every** call that involves correcting a staff member, keep a notepad at hand. Capture the main points of both sides of the call to aid you in writing documentation. Once you have the final email or memo written, you may discard the notes.
3. Follow up with an email reiterating this conversation using the notes mentioned above. Your field manager must be copied on this email (see below).
4. Second notice for this or additional infractions should be by email. Again, you must print the email, along with receipt and delivery notices. Copy your field manager. If the problem is serious and jeopardizes the staff member’s job, you should say so in this written message—send a draft to your field manager for approval. If the staff member does not pick up the message within 24 hours, print the email and FedEx it. By now you’ve had one or more conversations with the field manager about the problem.
5. If the staff member fails to follow your advice or slides into old patterns after a couple of weeks, consult with your field manager to decide how to proceed. You may want to have a three-way conference call to help the staff member understand the serious nature of the problem and to be given another chance to comply. You should both have copies of all documentation and keep the conversation on the subject at hand. Once the discussion has ended, hang up and start a new call between you and your field manager to ensure privacy. Each of you should document the details of this conference call.
6. If you and the field manager decide it’s time to start the termination process, you should compose a formal warning. This should outline each problem, with specifics; give a short, specific deadline for correction; and state the consequences for not meeting every improvement (termination). Start with a draft and send it to your field manager for approval. Do not delay action here. It’s important for the staff member to know immediately that the next infraction will result in nondisputable termination from the project.

As mentioned above, all verbal discussions with field staff that involve serious reprimands should be carefully documented in an email and sent to your field manager using the following guidelines:

- The date, your name, the staff member's name and list of everyone copied;
- Enough detail so anyone can understand what was discussed and why;
- An outline of everything you said and everything said by the staff member;
- Specific details on what you have told the staff member you expect and by when;
- A mention of any previous discussions on this topic with dates;
- Attachments of any reports or documents that back up your reason for this reprimand; and
- Stay professional in these memos. Imagine the staff member reading them. Also picture them blown up large and shown to a judge or jury in a courtroom. Be sure these notes reflect your cool, reasoned reflections and even-handedness.
- DO NOT include any comments that could be misconstrued by others. For example:
 - No ethnic or racial comments;
 - No reference to age, race, gender, or religion;
 - No reference to any disability the staff member might have;
 - No reference to sexual orientation;
 - No foul language, unless you are quoting the staff member verbatim; and
 - Use only facts, not opinions or emotional statements—nothing subjective.

2.3.3 Immediate Terminations Without Warning

There are possible situations in which an employee might have a breach of behavior so severe that their presence in a school would present a liability for the project and/or Westat. Examples of such behavior include harassment/abuse of school staff or students, substance abuse, and rude/disruptive/obscene behavior. In such situations, the field manager should be contacted immediately for guidance in terminating the employee. The incident must be fully documented and the employee must be informed of the reason(s) for termination.

3. SELECTING THE STUDENT SAMPLE

3.1 Schedule of Sampling Activities

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 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 NAEP State Coordinator may permit sampling from your home.

The deadline for schools, districts, and states to E-File is Friday, November 19. The deadline to provide samples from hard-copy student lists to Pearson for preprinted Administration Schedules is Sunday, November 28. Student sampling can continue after November 28 until AC training begins (December 5, December 9, or December 16—depending on which session you attend); however, those samples will not be preprinted on Administration Schedules.

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 NAEP State Coordinator no later than mid-November. Your field manager can tell you when there will be enough lists for you to begin sampling in the state offices. After supervisor training, the field manager will contact the NAEP State Coordinator's office to schedule the best time to select the public school sample of students to be assessed. If your state has E-Filed, you will be asked to help sample in another state.

Student samples in nonpublic schools that have not E-Filed 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.

All schools (public and nonpublic) have been sent the Instructions for Preparing a List of Students. (See Exhibit 3-1 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.

Exhibit 3-1. Instructions for Preparing a List of Grade 4 Students



NAEP 2005

Instructions for Preparing a List of Grade 4 Students

A list of all students enrolled in the selected grade must be provided to NAEP so that the sample of students to participate in NAEP may be drawn. Lists can be provided in one of two ways:

- E-Filing an Excel file of students via the Internet through your school's MySchool web site at www.mynaep.com before the deadline noted on MySchool. Complete instructions for E-Filing are included on the MySchool site; or
- Sending a hard-copy (typed or computer-generated) list of students to your NAEP State Coordinator (public schools) or keeping the list at the school (nonpublic schools).

The instructions below are meant to help you prepare the list. If you have any questions, please contact your NAEP representative or call the NAEP Help Desk at 1-800-283-6237.

- 1. The list must include **ALL students enrolled in the fourth grade** using the most current enrollment records available.

Year-round schools that E-File should list all students and include a column to indicate which students will be off-track on the assessment date. (The school's assessment date is available on the MySchool web site.)

Year-round schools that prepare a hard-copy list should not include the students who will be off-track on assessment day.
- 2. Include on the list all fourth-grade students, even those who may be excluded from other testing programs (such as some students with disabilities or limited English proficiency).
- 3. Include the following data in the list of eligible students: (See the next page for NAEP's categories for these data elements. Please use these categories if possible. If not, please define your categories if submitting a hard-copy list.)
 - Student **first and last name**; in two columns if E-Filing. (Alphabetical by last name preferred.)
 - **Grade** in school (4).
 - **Homeroom** or other locator. This information will greatly help the NAEP staff locate selected students on assessment day. This information is required for schools with fewer than 121 grade 4 students in which all students will be assessed in their classrooms.
 - **Month and year of birth** (MM/YY); in two columns if E-Filing.
 - **Gender**.
 - **SD indicator** for students having an Individual Education Plan (IEP) or equivalent classification (such as 504) **for reasons other than being gifted and talented**.
 - **LEP indicator** for students classified by the school as limited English proficient or English language learners.
 - **Race/Ethnicity** – one code per student.
 - **School Lunch indicator**.¹
 - **Title I indicator**.¹

¹ Optional information at this time. Please provide if it is easily accessed. Otherwise, it will be collected by NAEP staff for the sampled students on assessment day.

Exhibit 3-1. Instructions for Preparing a List of Grade 4 Students (Continued)

If you are unsure about some of the information or it is not available for some students (e.g., school lunch eligibility), please leave the column blank or assign a code that means the information is unavailable at this time. The data for sampled students will be obtained by NAEP staff from the school prior to the assessment.

NAEP's categories for student background variables are:

Students with Disability (SD):

- Yes, SD.
- No, not SD.
- Information unavailable at this time.

Limited English Proficient (LEP):

- Yes, LEP.
- No, not LEP.
- Formerly LEP (monitored for AYP reporting). *If a student has achieved full English proficiency within the previous 2 years and the state includes formerly LEP students in its AYP reports, the student should be coded as "formerly LEP."*
- Information unavailable at this time.

Race/Ethnicity:

- White, not Hispanic: A person having origins in any of the original peoples of Europe (except Spain), North Africa, or the Middle East.
- Black, not Hispanic: A person having origins in any of the Black peoples of Africa.
- Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race.
- 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.
- American Indian or Alaska 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.
- Other: A person who identifies with more than one of the first five categories or has a background other than the ones listed.
- School does not collect this information.
- Information unavailable at this time.

National School Lunch Program (NSLP):

- Student not eligible.
- Free lunch. *Schools participating in Provisions 2 or 3 of the NSLP should code all students as "free lunch." If it is not possible to distinguish between "free" and "reduced price" for some students, code these students as being eligible for free lunch.*
- Reduced price lunch.
- School not participating.
- Information unavailable at this time.

Title I:

- Yes, student receives Title I services. *If the school administers a school-wide Title I program, code all students as receiving Title I services.*
- No, student does not receive Title I services.
- Information unavailable at this time.

Exhibit 3-1. Instructions for Preparing a List of Grade 4 Students (Continued)

If you produce a hard-copy list of eligible students, please follow the guidelines below in addition to providing the student data requested above:

- Write the school name and address and district name on the list.
- Number the students.
- Double-space the list.
- Allow a right margin of at least 2 inches.
- Include the date the list is current.
- Define all codes used if they are not the same as the NAEP categories listed above.
- Include preparer's name and phone number.
- Year-round schools should not include students who will be off-track on assessment day.

An example of a hard-copy list of students is shown below:

Main Street School, 12 Main Street, Any Town, MX. Fisk School District.										
	Student Name	Grade	Birth Date	Gender	SD	LEP	Home-room	Race	NSLP Status	Title I
1	Mary K. Albathy	4	12/95	2			101	W	1	Yes
2	Scott L. Barnes	4	05/95	1	Yes		101	W	1	No
3	Perry M. Buckley	4	03/94	1		Yes	103	A	3	No
4	Latisha Jones	4	10/95	2			103	B	2	No

School codes: GENDER: 1=male; 2=female. RACE: W=White; B=Black; A=Asian; I=Am. Indian; H=Hispanic; O=Other. NSLP: 1=student not eligible; 2=reduced price; 3=free.

List current as of 11/1/04. Prepared by Fran Cole. Ph 555-234-9876

If necessary, a Student Listing Form is available to be filled out by hand. Please let the NAEP representative know if you will need this form.

Nonpublic schools: Please keep all hard-copy lists at your school until the NAEP representative arrives in December or January to select the sample.

Public schools: Please send your hard-copy lists to your NAEP State Coordinator by the date specified on Step 2 of the MySchool web site.

If you have any questions, please call the NAEP Help Desk at 1-800-283-6237.

THANK YOU

3.1.1 Information About Sampling From Your Field Manager

Because most states have two or more supervisors 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 hard-copy 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 NAEP 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 NAEP State 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 using “outside” space. In previous years, several NAEP 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. 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 NAEP State Coordinator.** 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 supervisor training to assist you in deciding who will assume responsibility for making telephone contact with the NAEP State Coordinator so that he/she 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 FedEx.

If you discover that sampling is taking much longer than planned, which will prevent you from finishing by your deadline, **and** the NAEP 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 at least two supervisors working in each state office, assisted by several data collection clerks depending on the number of schools that E-Filed.)

3.1.2 How to Determine Which Schools Have E-Filed

You can identify which public schools have E-Filed by checking the School Control System (SCS). The new Student List Management System (SLMS) option in the SCS will be used by NAEP State Coordinators to indicate who will be responsible for preparing and submitting the list of students from which the sample will be selected for public schools.

On the SLMS menu screen, select the Monitor Progress option. On the next menu page, select Single School E-Filing Results. Locate the name of the school's district. Click on the district name to reveal the individual school data and you will see if the coordinator has begun the E-Filing process. If the coordinator has completed E-Filing, this will be noted in the column headed E-File Status.

For public schools that do not E-File, you can monitor the receipt of hard-copy lists in the state office by running a Data Selection report using the field labeled "SLF Receipt Date." As the NAEP State Coordinator receives hard-copy lists from schools, he or she should be entering the date received as well as some other information about the lists in the SCS.

For nonpublic schools, you can use Data Selection in the SCS to check to see if they have submitted an E-File. The Data Selection field in the Grade information column labeled "Sampling method" will be set to "E-File" when they have submitted their E-file using the MySchool website. When the sample has been selected, the Data Selection field labeled "Sampling Date" will show the date.

See the *SCS User's Guide* chapter on the Student List Management option for more information on using the SLMS and Data Selection.

The supervisor Log of Schools will indicate which schools have E-Filed by the date the log was printed. See Section 3.3.1 for more details on using the log.

3.2 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-clicking 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 3-6.)
- 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 necessary materials:

- computer and printer;
- computer paper;
- Sampling Checklist (Exhibit 3-2);
- this manual; and
- School Folders and labels.

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 NAEP 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 NAEP State 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.

¹ Schools are to maintain a list of students who enroll in the sampled grade after the original list is sent to the NAEP State Coordinator. They are to use the New Enrollee Listing Form for this purpose. ACs or supervisors will select a sample from this New Enrollee Listing Form using the Instructions for Sampling New Enrollees.

Exhibit 3-2. Sampling Checklist

NAEP 2005 SAMPLING CHECKLIST

- ❑ Review the list of students to ensure it is complete:
 - The last names should cover the alphabet reasonably.
 - Students listed should only be in the sampled grade (all others are ineligible and should be lined through).
 - SD/LEP – If there are NO students (or if EVERY student is) coded as SD or LEP you should question the state 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 state coordinator.
 - Title I – If there are NO students (or if EVERY student is) coded as receiving Title I services you should question the state coordinator.

- ❑ Year-Round Schools with Off-Track Students:
 - Eligible students who will be off track on assessment day should not be listed, but if they are, they should be clearly marked on the list as “Off Track.”
 - Do not number off-track students or include in the total number of listed students.
 - The percent of off-track students should be recorded in the SCS on the school edit screen. (See supervisor manual for calculating this percentage.)

- ❑ Number the students, if necessary. Do not include off-track students in year-round schools. If off-track students were listed and the list was numbered, the list must be renumbered. (Clerks 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. (Clerks 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 (the Sampling Line Numbers Form) and Instructions for Sampling New Enrollees.

- ❑ Put Instructions for Sampling New Enrollees into the school folder.

Exhibit 3-2. Sampling Checklist (Continued)

- ❑ Using the Sampling Line Numbers Form from the SDS, mark the selected students on the school's list of eligible students.
- ❑ Double-check the selected students against the Sampling Line Numbers Form. (The quality control check should be performed by someone other than the person who performed the original task.)

If on or before November 28:

- ❑ Enter the student names and available demographic information in the SDS being careful to enter them into the correct session.
- ❑ Print out the Student Information Form and have someone double check the data entry against the school's list of eligible students. (The quality control check should be performed by someone other than the person who performed the original task.)
- ❑ After making any necessary corrections in the SDS, click on the CCD Data Analysis button on the SDS and print out the CCD Report and review the report. Discuss with your field manager how to reconcile any discrepancies.
- ❑ Transmit data to Westat daily.

If after November 28:

- ❑ Enter sampled student names and available demographic information onto the appropriate Administration Schedule. (Clerks can help with this task.)
- ❑ Double check the data entry against the school's list of eligible students. (The quality control check should be performed by someone other than the person who performed the original task.)
- ❑ If you are at the school, photocopy the handwritten Administration Schedule(s) to give the school coordinator.
- ❑ Transmit data to Westat daily.

3.2.1 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 to see exactly which school lists have been received and which are outstanding by running a Data Selection report as described in section 3.1.2. 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 (this information is available in the SCS for public schools or on the School Data Collection Form for nonpublic schools). 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 NAEP State Coordinator, so that he/she 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 ensure that the sample is drawn correctly and are required quality control checks.** Quality control checks should be conducted by someone other than the person who performed the original task.
- Once you have determined an efficient method of working with your clerks, stick with that procedure. Always follow the directions one step at a time, and make sure you are efficiently delegating the work.
- When leaving the NAEP State Coordinator's office for the day, make sure that you leave all your materials in an organized manner. This way anyone can 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 NAEP 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 him/her. Only one person should ask the State Coordinator questions. You might want to ask the State Coordinator to set aside a few minutes each afternoon to review questions and other issues with you.

3.3 Drawing the Student Sample

3.3.1 Using the Supervisor Log of Schools

You will be provided with a preprinted Supervisor Log of Schools (Exhibit 3-3) that you should use to keep track of your activities, including sampling, mailing to schools, and quality control. 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 alphabetically.

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.

School Information

Column 1 – School Information. This column displays sampled school information, including district name, school name, principal name, street address, city, state, ZIP Code, telephone number, NAEP ID, grade selected and the school’s “take-all” option status (if the school is using the “take-all” option this column will display “Yes”).

In addition, this column will display field for the:

- High School Transcript Study (HSTS) - if the school is sampled for HSTS, this column will display “Yes”; and
- New Enrollee Special Study - since this special study is only being conducted with grade 8 pilot schools that E-Filed, you’ll need to update this field after E-Filing closes on November 19 by running a report using Data Selection.

Exhibit 3-3. Supervisor Log of Schools

Region:
Area:

NAEP 2005
Supervisor Log of Schools

Date: 10/25/04
Page 1 of X

School Information					Sampling Information						Shipping Info	Quality Control Information			Comments	
District Name	School Disposition Code	Assessment Date	# of Sessions	Makeup 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)	School Packet Shipping Info (Record Date and Tracking #)	QC Flag	Date QC Completed	Overall QC Rating	Date QC Rating Entered in SCS	Notes or Comments
School Name																
Principal																
Street Address																
City State ZIP																
Phone #																
NAEP ID#																
Grade:																
Take All:																
HSTS:																
New Enrollee																
Study																

QC Rating: 1 = Excellent; 2 = Good; 3 = Satisfactory; 4 = Unsatisfactory; 5 = Unacceptable; 6 = Could Not Rate

Column 2 – School Disposition 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.
- PCOP = Partial Cooperating (code 12). This school has agreed to participate for reading and math, but not science (alpha sample only).
- 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 3 – Assessment Date. This column displays the school’s scheduled assessment date.

Column 4 – # of Sessions. This column displays the number of sessions scheduled for this school

Column 5 – Makeup Date. This column will be blank. If a makeup session is scheduled for this school, record the date in this column. If the school is sampled for the telephone quality control (QC) followup, you should not conduct the call until after the makeup session has been completed.

Sampling Information

Column 6 – 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 hard-copy by the school, write “School.”

Column 7 – Sampling Status. This column will display “E-sampled” if the school 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 8 – 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 9 – 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 10 – Sample Shipping Information. 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 11 – 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.

Shipping Info

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.

Quality Control Information

Column 13 – QC Flag. This column will display “TQC” for those schools selected for telephone QC followup by you. If you selected one of these schools for an in-person quality control visit, you should record “IPQC” in the column.

Column 14 – Date QC Completed. This column will be blank. Record the date you completed either the telephone QC followup or the in-person QC visit.

Column 15 – Overall QC Rating. This column will be blank. Record the overall quality control rating for either the telephone followup or in-person visit. The ratings are listed at the bottom of each page of the listing.

Column 16 – Date QC Rating Entered in SCS. This column will be blank. Record the date you entered the QC rating in the SCS.

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 19, you will need to update the logs as schools continue to E-File. Use the SLMS (public schools) or Data Selection (nonpublic schools) in the SCS to keep track of which schools have E-Filed.

3.3.2 Steps in the Sample Selection Process

The Sampling Checklist (Exhibit 3-2) 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.

Review 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. You should review the list for the following items:

- The last names should cover the alphabet reasonably.
- Students listed should only be in the sampled grade (all others are ineligible and should be lined through).
- If there are no students (or if every student is) coded as SD or LEP you should question the state coordinator.
- If there are no students coded for school lunch or the codes are different from the NAEP codes you should question the state coordinator.
- If there are no students (or if every student is) coded as receiving Title I services you should question the state coordinator.

Dealing with Year-round Schools with Off-track Students

If the school is year-round, eligible students who will be off-track on assessment day should be listed, but if they are, they should be clearly marked on the list as “off-track.” The off-track students should not be numbered or included in the total number of eligible listed students.

The percent of off-track students should be recorded in the SCS. Calculate the percent of off-track students by dividing the number of off-track students in the grade by the sum of the number of students in the numbered list of eligible students plus the number of off-track students in the grade. Multiple the results by 100 and round the decimal to the nearest whole number.

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. Do not number off-track students in year-round schools.

- 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 3-4).
- If the school has used a printout, number the students neatly in the margin.
- If the school has provided a computer-generated list that is already numbered, verify that the numbering is correct. Note whether a header row on the first and succeeding pages may have been included in the numbering.
- If a year-round school provided a list that is already numbered and it contains off-track students who are also numbered, the list must be renumbered.

Exhibit 3-4. Student Listing Form with Students Numbered



The Nation's Report Card

NAEP 2005
STUDENT LISTING FORM

School Name: Central Middle

Prepared by: Dallas Jones

Address: 252 Richardson St

Preparer's Phone Number: 555-432-8877

Shannon TS 12345

Date List is Current: 11/04/04

District Name: Shannon School District

QUESTIONS? Please call 1-800-283-6237

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. Please see information on back. Photocopy as necessary.

REQUIRED OF ALL STUDENTS					Required of Sampled Students				For Sampling Use Only	
-A- Student Name	-B- Birth Date (MMYY)	-C- Gender	-D- SD	-E- LEP	-F- Home- room	-G- Race	-H- NSLP Status	-I- Title I	Line #	Sampled for Session
Tim Adams	06-94	1				1			1	
David Allen	03-94	1				1			2	
Alice Baker	02-95	2	X			2			3	
Donald Bull	01-94	1				1			4	
Ginger Calla	12-93	2				1			5	
Troy Davis	01-94	1				2			6	
David Douglas	03-94	1				2			7	
Elena Espinosa	04-94	2				3			8	
Kelly Funk	05-94	2				1			9	
James Hall	07-94	1				1			10	
Terry Lincoln	11-93	1				2			11	
Mavis Masters	06-94	2				1			12	
Denise Neal	02-94	2				1			13	
Sandra Pratt	02-94	2				1			14	
Caleb Reilly	04-94	1				1			15	
Peter Smith	06-94	1				2			16	
Tina You	07-94	1		X		4			17	

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 below.

Recheck 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. Sometimes the header row at the top of each page is included in the numbering sequence. When this is the case, cross out the numbers beside each name and renumber all the students.

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 NAEP State Coordinator, but these issues probably cannot be resolved without speaking to someone at the school.

Select the Sample Using the Student Data System

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 Field Sampling Line Numbers Form, which display the selected line numbers of the sampled students (Exhibit 3-5). After printing the line numbers of the sampled students, you will print the Instructions for Sampling New Enrollees, which displays 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 3-6). See *SDS User's Guide* for instructions on using the SDS to draw the sample.

Make sure you put the Instructions for Sampling New Enrollees in the school folder for use at the preassessment visit.

Indicate the Sample on the List of Students

Once you have printed the sampled line numbers on the Field Sampling Line Numbers Form, you will need to transfer this information to the list provided by the school:

- If the school has used a NAEP listing form, enter the session code in the “Sampled” column on the appropriate line number (see Exhibit 3-7).
- If the school has provided a computer-generated list enter the session code in the margin next to the line numbers of the selected students.

Recheck That the Correct Session Code Is Recorded on the Correct Student Lines

This check should be done immediately to verify that the correct session codes have been recorded for the appropriate on the list. This check should be conducted by someone other than the person who recorded the session codes on the student lists.

How you proceed depends on when you are sampling. If it is on or before November 28, you will enter the student information into the SDS and the data will be sent to Pearson for preprinted Administration Schedules. If it is after November 28, you will need to record the student data directly onto blank Administration Schedules. It is our goal to have 95% of the Administration Schedules preprinted.

Exhibit 3-5. Field Sampling Line Numbers Form

NAEP 2005 Field Sampling Line Numbers Form

12:17PM

School ID: 9920110

Region: TS1

Area: 1

02/07/2005

School Name: Central Middle
School Address: 252 Richardson St.
Shannon TS 12345

Year-round School: No
90 students were sampled from 185 listed on the SLF for this school.

Students Selected for the Sample

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

1, 3, 5, 7, 9, 11, 13, 15, 17, 19, 21, 23, 25, 27, 29, 31, 33,
35, 37, 39, 41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 61, 63, 65,
67, 69, 71, 73, 75, 77, 79, 81, 83, 85, 87, 89, 91, 93, 95, 97,
99, 101, 103, 105, 107, 109, 111, 113, 115, 117, 119, 121,
123, 125, 127, 129, 131, 133, 135, 137, 139, 141, 143, 145,
147, 149, 151, 153, 155, 157, 159, 161, 163, 165, 167, 169,
171, 173, 175, 177, 179

NAEP 2005 INSTRUCTIONS FOR SAMPLING NEW ENROLLEES

School Name: Central Middle

9:42AM

School ID: 9920110

Sample Type: Alpha

11/15/2004

1. Obtain from the school coordinator the New Enrollee Listing Form.

If there are no names on the form, ask the school coordinator if any students have enrolled in the selected grade since the original list was prepared on [11/1/2004] according to information recorded in the School Control System (SCS).

If there are names on the form, ask if this list includes all of the students who have enrolled in the selected grade since [11/1/2004] according to information recorded in the SCS.

Any student who is listed and has officially withdrawn from the school should be deleted from the list by lining through the student's name.

2. Assign line numbers to the students listed by numbering them consecutively from 1 to N. Use the "Line #" column under the heading "For Sampling Only" on the New Enrollee Listing Form for numbering the students.
3. If there are more students on the New Enrollee Listing Form than line numbers below, call your supervisor for directions before proceeding.
4. Sampling new enrollees.

RS session

To identify the students selected for the RS assessment, enter an RS next to the line numbers listed below on the New Enrollee Listing Form in the column headed "Selected":

1, 3, 5, 7, 9, 11, 13, 15, 17, 20, 22, 24, 26, 28, 30
32, 34, 36, 38, 41, 43, 45, 47, 49, 51, 53, 55, 57, 59, 62
64, 66, 68, 70, 72, 74, 76, 78, 80, 82, 85, 87, 89, 91, 93
95, 97, 99, 101, 103, 106, 108, 110, 112, 114, 116, 118, 120, 122, 124
127, 129

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 students' names and other demographic data onto the Administration Schedule for the session type for which they were sampled. Be sure to enter a "1" in column M ("New Enrollee") of the Administration Schedule for each selected newly enrolled student.
6. Remind the school coordinator that the parents of all sampled newly enrolled students must be notified about the assessment before they can be assessed.
7. Store this information in the School Folder.

Exhibit 3-7. Student Listing Form with Selected Students Designated



**NAEP 2005
STUDENT LISTING FORM**

School Name: Central Middle

Prepared by: Dallas Jones

Address: 252 Richardson St

Preparer's Phone Number: 555-432-8877

Shannon TS 12345

Date List is Current: 11/04/04

District Name: Shannon School District

QUESTIONS? Please call 800-283-6237

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. Please see information on back. Photocopy as necessary.

REQUIRED OF ALL STUDENTS					Required of Sampled Students				For Sampling Use Only	
-A- Student Name	-B- Birth Date (MMYY)	-C- Gender	-D- SD	-E- LEP	-F- Home- room	-G- Race	-H- NSLP Status	-I- Title I	Line #	Sampled for Session
Tim Adams	06-94	1				1		2	1	RS
David Allen	03-94	1				1		2	2	
Alice Baker	02-95	2	X			2		2	3	RS
Donald Bull	01-94	1				1		2	4	
Ginger Calla	12-93	2				1		2	5	RS
Troy Davis	01-94	1				2		2	6	
David Douglas	03-94	1				2		2	7	RS
Elena Espinosa	04-94	2				3		2	8	
Kelly Funk	05-94	2				1		2	9	RS
James Hall	07-94	1				1		2	10	
Terry Lincoln	11-93	1				2		2	11	RS
Mavis Masters	06-94	2				1		2	12	
Denise Neal	02-94	2				1		2	13	RS
Sandra Pratt	02-94	2				1		2	14	
Caleb Reilly	04-94	1				1		2	15	RS
Peter Smith	06-94	1				2		2	16	
Tina You	07-94	1		X		4		2	17	RS

On or Before November 28, Enter Information about Sampled Students into the SDS

Enter the complete student name (first name, middle initial, last name) and other demographic information into the SDS. Convert any demographic 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. See Section 3.4 for more information about the demographic variables used for NAEP 2005.

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 3-8) and have someone who did not do the data entry compare it against the list of students. During this check, the person verifying should check that:

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

Run the CCD Analysis Report From the SDS

Next, you should print the CCD Analysis Report from the SDS. The CCD Data Analysis tool has been added to the SDS as a way for you to check to be sure that the demographic data that the school has provided is accurate. Though the CCD data are approximately two years old, they still provides the best data against which to compare the data the school has provided. Similar comparisons are done on all E-Filed schools to ensure the highest quality data possible.

You should pay particular attention to the warning messages that appear on this report. Be sure to double-check your entries in the SDS for duplicate names, missing data or messages that indicate that all or none of the students are coded a particular way (for example, all students are coded as LEP or no students are coded as SD).

Exhibit 3-8. Student Information Report

STUDENT INFORMATION REPORT

Central Middle 9920110

November 15, 2004

	Student Name	MOB	YOB	Sex	SD	LEP	Homeroom	Race	Lunch	Title1
1	Tim Adams	06	94	1	2	2		1	4	2
	David Allen	03	94	1	2	2		1	4	2
	Alice Baker	02	95	2	1	2		2	4	2
	Donald Bull	01	94	1	2	2		1	4	2
	Ginger Calla	12	93	2	2	2		1	4	2
	Troy Davis	01	94	1	2	2		2	4	2
	David Douglas	03	94	1	2	2		2	4	2
	Elena Espinosa	04	94	2	2	2		3	4	2
	Kelly Funk	05	94	2	2	2		1	4	2
	James Hall	07	94	1	2	2		1	4	2
	Terry Lincoln	11	93	1	2	2		2	4	2
	Mavis Masters	06	94	2	2	2		1	4	2
	Denise Neal	02	94	2	2	2		1	4	2
	Sandra Pratt	02	94	2	2	2		1	4	2
	Caleb Reilly	04	94	1	2	2		1	4	2
	Peter Smith	06	94	1	2	2		2	4	2
	Tina You	07	94	1	2	1		3	4	2

9910111

RS0801

If you've printed this report for a number of schools in the state and you see consistent error messages, you should contact your field manager for guidance on how to resolve the discrepancies. Your field manager will direct you on when and how to review these issues with the NAEP State Coordinator and/or the individual schools. It is our goal to have as many of these discrepancies reviewed and resolved as possible before the ACs visit the schools. Review the *SDS User Guide* for more information on how to run the CCD Analysis Report.

Finally, you should transmit your SDS data to Westat every day.

After November 28, Record Information about Sampled Students onto the Administration Schedules

As mentioned previously, the deadline for submitting samples to Pearson in order to get preprinted Administration Schedules is November 28. After that date, you should record the data about sampled students directly onto blank Administration Schedules. Blank Administration Schedules will be sent from Pearson in late November.

Verify the Recorded Student Information

After all information about the sampled students has been recorded on the Administration Schedules, have someone who did not do the recording compare the Administration Schedules against the list of students. During this check, the person verifying should check that:

- the correct student name was recorded on the Administration Schedule;
- the name is complete and spelled correctly;
- all other available information (birth date, sex, SD, LEP, race/ethnicity, School Lunch, Title I, and locator information) is recorded completely and correctly; and
- each student is assigned to the correct session.

If you are at the school (instead of the state office), you should photocopy the handwritten Administration Schedule(s) and give the copies to the school coordinator.

Finally, even though you are not entering student data into the SDS, each time you run sampling and produce sampling line numbers from the SDS, you are creating sampling data, so you should transmit your SDS data to Westat every day.

3.3.3 Using Data Entry Clerks to Assist in Sampling Procedures

You will be using data entry clerks to assist you with some of the sampling procedures. **You may use ACs or AAs if they live either close to you or close to the location where student sampling is being conducted and they have good data entry skills.** Otherwise you should hire temporary data entry clerks to assist with sampling. Consult your field manager to arrange for data entry clerks.

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 back to you to import into your computer and transmit to Westat. See the *SDS User's Guide* for more information on transferring student files between you and the clerks who are assisting you.

Clerks 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 the identification of selected students on the list;
- 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 clerks. Above all, it is essential that you always perform the sampling functions on the computer and be in a position to recheck all of their work. **Supervisors are ultimately responsible for the accuracy of all sampling and data entry.**

3.3.4 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.

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.

3.4 Demographic Variables Codes Used on NAEP 2005 Administration Schedules

This year, the codes available for schools to use to identify the demographic information for students have changed. You'll need to use great care and attention to detail when entering these codes in the SDS. The new codes are described in Exhibit 3-9.

Exhibit 3-9. Key Demographic Variables Codes for Student List Submission: NAEP 2005

NAEP Demographic Variables	Codes Available at the Time of List Submission	Definitions and Explanations
Students with Disabilities (SD)	<ul style="list-style-type: none"> ■ Yes, SD. ■ No, not SD. ■ Information unavailable at this time.¹ 	NAEP defines a student with a disability as a student with an IEP or equivalent classification (e.g., Section 504) for reasons other than being gifted and talented.
Limited English Proficient (LEP)	<ul style="list-style-type: none"> ■ Yes, LEP. ■ No, not LEP. ■ Formerly LEP (and monitored for AYP reporting). ■ Information unavailable at this time. 	<p>An LEP student is a student classified by the school as limited English proficient.</p> <p>If a student has achieved full English proficiency within the previous 2 years <u>and</u> the state includes formerly LEP students in its annual yearly progress (AYP) reports, the student should be coded as “formerly LEP.”</p> <p>The Formerly LEP designation is to be used only by schools in states that report such students as LEP for AYP reporting purposes.</p>
Sex	<ul style="list-style-type: none"> ■ Male ■ Female 	

¹ The code “**information unavailable at this time**” enables list submitters to convey that the best data will be available in the future. Selection of the “information unavailable at this time” code during list submission will result in the field being left blank when the Administration Schedule is preprinted, and the blank field will be updated by field staff during the preassessment visit.

Exhibit 3-9. Key Demographic Variables Codes for Student List Submission: NAEP 2005 (continued)

NAEP Demographic Variables	Codes Available at the Time of List Submission	Definitions and Explanations
Race/Ethnicity	<ul style="list-style-type: none"> ■ White, not Hispanic ■ Black, not Hispanic ■ Hispanic ■ Asian/Pacific Islander ■ American Indian/Alaska Native ■ Other ■ Information unavailable at this time. 	<ul style="list-style-type: none"> ■ White, not Hispanic: A person having origins in any of the original peoples of Europe (except Spain), North Africa, or the Middle East. ■ Black, not Hispanic: A person having origins in any of the Black peoples of Africa. ■ Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race. ■ Asian/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. ■ American Indian/Alaska 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. ■ Other: A person who identifies with more than one of the first five categories or has a background other than the ones listed. <p>The code “school does not collect this information” will be offered to all schools E-Filing individually, even though this issue most often concerns <i>nonpublic schools</i>.</p>

Exhibit 3-9. Key Demographic Variables Codes for Student List Submission: NAEP 2005 (continued)

NAEP Demographic Variables	Codes Available at the Time of List Submission	Definitions and Explanations
National School Lunch Program (NSLP)	<ul style="list-style-type: none"> ■ Student not eligible ■ Free lunch ■ Reduced-price lunch ■ School not participating ■ Information unavailable at this time. 	<p>If it is not possible to distinguish between “free” and “reduced price” for some students, code these students as being eligible for free lunch.</p> <p>Students in schools participating in Provisions 2 or 3 of the NSLP should be coded as “free lunch.”</p> <p>Under Provisions 2 and 3, schools provide free lunches to all students in the school. Eligibility is determined for a base year and then not updated for 3 to 4 years or sometimes even longer. Provisions 2 and 3 make it unnecessary for schools to determine student eligibility on an individual basis, and therefore individual eligibility information is either not collected or out of date.</p>
Receiving Title I Services (Title I)	<ul style="list-style-type: none"> ■ Yes, student receives Title I services. ■ No, student does not receive Title I services. ■ Information unavailable at this time. 	<p>Title I services are federally funded educational services targeted to students, in high-poverty districts and schools, who are educationally disadvantaged or at risk of failing to meet state standards.</p> <p>All students attending schools that administer a school-wide Title I program should be coded as “Yes, student receives Title I services.”</p>

3.5 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 sample, 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 to ensure that the parental notification letter is sent to the 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 all parents have not been notified by the assessment day, the assessment will have to be rescheduled. If the parents of sampled new enrollees have not been notified by the assessment day, these students cannot be assessed and must be coded as “absent.” This may result in the need for a makeup session.