6. 2005 HIGH SCHOOL TRANSCRIPT STUDY

6.1 Overview

An important part of the NAEP 2005 assessment program is the High School Transcript Study (HSTS). This study is being 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 NAEP operational assessment.

Westat has conducted previous transcript studies in 1987, 1991, 1994, 1998, and 2000. The design for the 2005 study will consist of two phases. Phase 1 will take place from September 2004 through March 2005. It will entail introducing the study to the selected schools. It will also involve collecting course catalogs for the current and three prior school years, and collecting three sample transcripts. Selected supervisors and field managers, with the help of the NAEP State Coordinator, will conduct this phase. Also during this phase, supervisors will flag sampled students' records on assessment day and arrange for a return visit to the school in the summer or fall. Phase 2 will take place from the end of the school year through October 2005 when select supervisors will go to the schools to collect the sampled students' current transcripts. As in the past, we expect to be very successful in obtaining a high percentage of the transcripts requested in the schools selected for the HSTS.

The procedures discussed in this chapter involve only Phase 1 of the HSTS. A separate document will be sent to select supervisors that will outline the steps to follow during Phase 2 of the HSTS.

6.1.1 The HSTS Sample

The school sample for the HSTS will consist of all NAEP public high schools and a subset of the nonpublic high schools. We expect to have approximately 750 cooperating high schools. The original sampled schools will be included in HSTS if they participate in the operational NAEP assessment. If an original school refuses to participate in NAEP and a substitute school participates, then the substitute school will be asked to participate in the HSTS. If there is no substitute school or if a substitute school refuses participation in NAEP, we will ask the original school to participate in the HSTS.

All eligible twelfth grade students in the selected schools who are sampled for mathematics or science for the NAEP 2005 operational assessment will be included in the HSTS student sample. This sample includes students who were either excluded or absent, though it **does not** include students who have withdrawn or are ineligible. Approximately 25,000 student transcripts will be included in the 2005 sample.

6.1.2 Data Collection Overview

As mentioned earlier, Phase 1 of the data collection will start in the fall. During Phase 1, NAEP State Coordinators will inform districts and schools in their state of their selection in the HSTS. They will attempt to find out the best source of collecting course catalogs from the larger districts. About 3 weeks before the assessment date, you will contact the school and briefly outline the study, using Part 1 of the School Information Form (SIF) (described in Section 6.5), and attempt to collect the current year's catalog.

On assessment day, you will mark the student files; collect the three previous years' catalogs; collect three sample transcripts; and complete Part 2 of the SIF. Phase 2, in the summer, will entail collecting the actual student transcripts. Key activities for the two phases are described below:

Phase 1: September 2004 – March 2005

- The NAEP supervisor will call each sampled school to discuss the details of the HSTS.
- The NAEP supervisor will complete the SIF for each school with the help of school staff.
- The NAEP supervisor will go to sampled high schools on the NAEP assessment day and will place a disclosure notice in the sampled students' files to assist with identifying the student population for whom transcripts will be obtained. This notice will include the provisions from the Family Education Rights and Privacy Act

(FERPA), which explains the disclosure safeguards that grant NAEP the authority to obtain transcript information.

- Course catalogs and/or course lists will be requested for the current school year (2004-2005) and for the preceding 3 years (2003 – 2004, 2002 – 2003, and 2001 – 2002).

- Three sample transcripts will be requested. One should include honors courses, one special education course, and one with regular courses.

- The NAEP supervisor will review all materials and will ask questions necessary to understand the transcripts and course catalogs.

Phase 2: June – October 2005

- A NAEP representative will return to each sampled school to collect copies of transcripts for the sampled students.

6.2 NAEP State Coordinator Responsibilities

Data collection for Phase 1 of the HSTS will start during the fall. This phase of data collection will begin when the NAEP State Coordinator calls the selected districts to inform them about NAEP. In his/her telephone conversations, the NAEP State Coordinator will also inform the districts about the HSTS. The NAEP State Coordinator will let the district contact know that NAEP staff will need four years of course catalogs for the selected schools. The NAEP State Coordinator will ascertain where the best place is to get these materials. In the past, we have found that most sample transcripts are located at the schools, while course catalogs might be at the schools, districts, or state level. For the larger districts, if the materials are at the district level, the NAEP State Coordinator will ask for the name of the person to contact regarding getting copies of these materials and will pass that information on to the field manager.

6.3 Field Manager and Supervisor Responsibilities

If the catalogs are available at the district level, the field manager will call the person at the district and request the appropriate copies of the catalogs to be sent to him/her (or perhaps a supervisor). He/she will then assign a supervisor to call the schools within the district, approximately 3 weeks before the assessment. If the NAEP State Coordinator learns that the catalogs are kept at the schools, he/she will let the field manager know. The field manager will then inform the supervisor to follow the procedures of contacting the schools about 3 weeks before the assessment date to collect the catalogs. If any district- or state-level catalogs are received, it will be marked on the SIF. However, we still would like the supervisor to follow the regular procedures to collect the school-level catalogs.

6.4 Contacts With Schools

The HSTS Summary of Activities is part of the package sent to superintendents and principals notifying them about NAEP 2005 and the HSTS. Because this summary includes only aspects of the main NAEP assessment, your contact with the school coordinator may be the first time he/she is hearing about the HSTS. Thus, for your contacts with school personnel, you will be provided with the following materials:

- **Informational Letter from Nancy Caldwell** of NAEP/Westat (Exhibit 6-1).
- **2005 High School Transcript Study Summary of Activities** (Exhibit 6-2).
- **School Information Form (SIF):** This form will be used as a guide to ensure the collected course catalogs and sample transcripts can be easily interpreted by Westat and that you have provided the necessary information required for each HSTS school. This form comes in two parts (Appendix H).
- **HSTS Questionnaire:** This form duplicates some of the questions on Part 2 of the SIF. It will be used to send to the school for them to look at in advance of the supervisor's visit (Exhibit 6-3).
- **Course Catalog Checklist:** This form will be used to help Westat staff interpret course offerings available at the school (Exhibit 6-4).
- **Transcript Format Checklist:** This form will be used to help Westat staff locate needed information on the transcripts (Exhibit 6-5).
- **Transcript Reimbursement Form:** This form will be completed in order to reimburse the school for receipt of three sample transcripts (Exhibit 6-6).
- **Administration Schedule:** This form will identify the HSTS student sample after the NAEP sampling has been completed.
- **Disclosure Notice:** This form will be placed in the sampled student files to assist with identifying the student population for whom transcripts will be obtained. This notice will include the provisions from the Family Education Rights and Privacy Act (FERPA), which explains the disclosure safeguards that grants Westat the authority to obtain transcript information (Exhibit 6-7).

Exhibit 6-1.HSTS Information Letter to School Coordinator From Westat

January 2005

Dear NAEP School Coordinator:

As described in previous mailings to your school, the 2005 High School Transcript Study (HSTS) is being conducted in conjunction with the 2005 National Assessment of Educational Progress (NAEP). The purpose of this study is to supply data to educational researchers and policy analysts on course-taking patterns and to examine the relationship of these patterns to achievement in secondary schools sampled in the NAEP 2005. NAEP schools are included in the sample in order that NAEP data and transcript data can be linked. The participation of all selected schools is needed to make the results of the transcript study comprehensive, accurate, and timely.

The activities for Phase 1 of this study will be conducted this winter. For Phase 2 of this study in the summer of 2005, a NAEP representative will return to the school to collect the requested transcripts.

The granting of U.S. Department of Education authority for collection of the transcript data has been made pursuant to the provisions of the Family Education on Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), as implemented by 34 CFR 99.31 (l) (a)(3)(ii) and 99.35. These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without the prior consent of the survey participants in connection with the audit and evaluation of federal and state supported education programs. The privacy of the information schools are asked to supply to NAEP and the HSTS will be protected as required by FERPA and will be further protected by the removal of names and other identifying information. A copy of the relevant section of FERPA regulations will be provided to you prior to the collection of any transcripts.

I would appreciate your cooperation in this important component of the NAEP 2005. If you have any questions about the study or its procedures, please contact me at 1-800-283-6237.

Sincerely,

Nancy W. Caldwell

Nancy W. Caldwell
Westat Project Director for NAEP

Exhibit 6-2. HSTS Summary of School Transcript Activities

2005 High School Transcript Study
Summary of School Activities

What is the High School Transcript Study?
The High School Transcript Study (HSTS) is sponsored by the National Center for Education Statistics (NCES) to provide educational policymakers with information regarding course offerings and course-taking patterns in the Nation's secondary schools and changes in these offerings and patterns over time. In addition, this study will permit researchers to examine the correlation between course-taking patterns and educational achievement by linking the HSTS data to National Assessment of Educational Progress (NAEP) proficiency data. Thus, the HSTS school sample includes all of the public schools and approximately half of the nonpublic schools in the NAEP 2005 sample.

The 2005 HSTS is the sixth NAEP transcript study. As with the previous studies, no student or teacher time is involved and the school will be reimbursed for copies of transcripts and catalogs.

What is the schedule for HSTS 2005 activities?
Phase 1: September 2004 – March 2005

- A NAEP representative will call each sampled school to discuss the details of the HSTS.
- A NAEP representative will go to sampled high schools on the NAEP assessment day and will place a disclosure notice in the sampled students' files to assist with identifying the student population for whom transcripts will be obtained. This notice will include the provisions from the Family Education Rights and Privacy Act (FERPA), which explains the disclosure safeguards that grant NAEP the authority to obtain transcript information.
- Course catalogs and/or course lists will be requested for the current school year (2004 – 2005) and for the preceding 3 years (2003 – 2004, 2002 – 2003, and 2001 – 2002).
- Three sample transcripts will be requested. One should include honors courses, one special education course, and one with regular courses.
- The NAEP representative will review all materials and will ask questions necessary to understand the transcripts and course catalogs.

Phase 2: June – October 2005

- A NAEP representative will return to each sampled school to collect copies of transcripts for the sampled students.

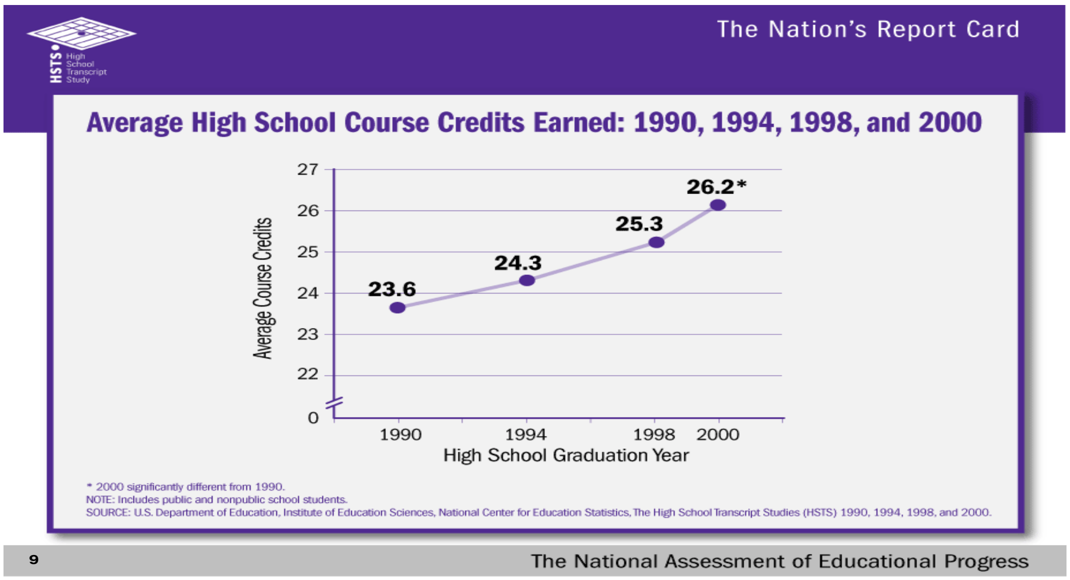
What are the key aspects of the HSTS 2005?

- ***No student time is involved*** (NAEP staff will work with school personnel to minimize as much of the burden as possible).
- ***Confidentiality*** (students' names and all other identifying information will be masked before removing copies of transcripts from the school).
- ***Transcript and catalog reimbursement*** (reimbursed at each school's customary rate).
- ***Parental notification*** (not required by NAEP or No Child Left Behind).

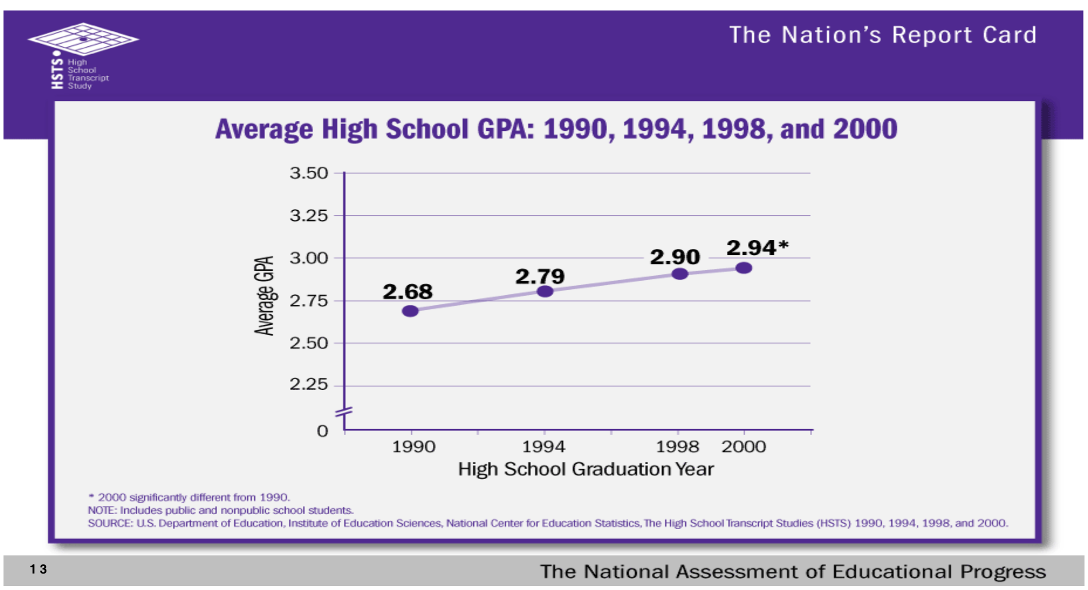
Where can I find more information about the HSTS?
More information about NCES high school transcript studies can be found by visiting the NCES web site at http://nces.ed.gov/survey/hsts.

Exhibit 6-2. Summary of School Transcript Activities (continued)

What are the results from the NAEP 2000 HSTS?
Here are some selected results from the 2000 HSTS entitled: The High School Transcript Study: A Decade of Change in Curricula and Achievement, 1990 – 2000.



Overall, there was an increase in the number of course credits earned by high school graduates throughout the 1990s. High school graduates earned an average of 26.2 course credits in 2000, compared to 23.6 in 1990.



From 1990 to 2000, there was an increase in students' grade point average (GPA) in the courses they took, from an average of 2.68 to 2.94, on a standardized 4-point scale.

- **Mathematics and Science Textbook Forms:** These forms will be collected in some schools. It asks for the list of mathematics and science textbooks that are used in the twelfth grade classrooms. (Exhibit 6-12).

- **Preprinted mini labels:** Westat will provide preprinted minilabels with the students' NAEP booklet ID number. These labels should be attached to the Disclosure Notice, which will be placed in the students' files. If by chance you have no pre-printed labels, you should handwrite the students' NAEP ID numbers on the tabs of the Disclosure Notice. You should also write the students' names on the tabs, so that you do not have to refer to the Administration Schedule each time you place a tab in a file. You will also be given labels with a NAEP School ID Number on them for use on labeling the catalogs and sample transcripts. Save the remaining labels in your School Folder so that they may be used again during Phase 2 when the transcripts are collected. In Phase 2 select supervisors will go back to the schools in the summer and fall 2005 to collect the actual transcripts.

6.5 Completing the School Information Form (SIF)

A School Information Form (SIF) will be completed for each school participating on the HSTS assignment. The SIF is not formatted like a rigid questionnaire because it assumes that schools will differ in where and how the information will be obtained to complete the form. Part 1 of the SIF is designed for you to use when you call the school before the NAEP assessment and talk to the school coordinator. Part 2 of the SIF is designed to be used when you are at the school on assessment day gathering detailed information about the school, most likely from the registrar. Before you meet with the registrar (or other person at the school knowledgeable about the course details), you should call that person and inform him/her about what types of questions you will be asking on assessment day. We have designed a HSTS Questionnaire that you should send to this person in advance of your visit so he/she can look over the questions that will be asked. The SIF serves three key functions:

1. It provides a format to record key information about the school's grading structure, credit system, and graduation requirements.

2. It provides checklists to ensure that data preparation staff can easily interpret the course catalogs and transcripts that are collected.

3. It provides a place to record the names of school staff members whom data preparation staff can contact if clarification of materials is required.

Since this is not a rigid questionnaire, you may paraphrase the responses you receive, continue on separate sheets of paper, or attach additional documentation provided by the school. **Please**

be sure that the school name and ID number are CLEARLY recorded on any additional sheets or documentation.

The following section will briefly describe the SIF and the HSTS Questionnaire and how they should be completed. The SIF is shown in Appendix I.

6.5.1 SIF – Part 1

Record the school name and NAEP School ID Number (from the School Folder) and other identifying information on the top of the first page of Part 1 of the SIF. The information requested on Part 1 of the SIF should be completed during your initial telephone call to the school coordinator. This telephone call should take place a few days after the AC talks to the school coordinator about NAEP. The AC will inform the school coordinator about your pending call.

During this initial telephone call, you will ask for the current year's catalog, as well as the name of the person you can spend some time with at the school on assessment day to complete Part 2 of the form. This person is often the registrar at the school. Part 1 also provides some guidance in describing to school personnel what will be required from their school for the HSTS assignment. The information gathered in this section will also allow home office staff to contact appropriate school staff if additional information or clarification is needed. After talking to the school coordinator, you should mail him/her a copy of the HSTS Summary of Activities, along with the introduction letter (Exhibit 6-1) and an envelope to return the current year's catalog (if he/she will be mailing it to you).

6.5.2 HSTS Questionnaire

After you complete Part 1 of the SIF with the school coordinator, you should call the registrar and give him/her a brief outline of what type of information you will need on assessment day. After your call with the registrar, you should mail him/her the Summary of Activities as well as the HSTS Questionnaire. The HSTS Questionnaire (Exhibit 6-3) takes some questions directly from Part 2 of the SIF, but puts it in a format that will make it easier for the registrar to understand. Ask the registrar

Exhibit 6-3. HSTS Questionnaire

Dear ___________________:

Your school is participating in the High School Transcript Study (HSTS), part of the National Assessment of Educational Progress (NAEP). This study involves collecting transcripts from the twelfth grade students at your school who were selected for the mathematics or science sections of NAEP. The HSTS does not involve any student time, but in order to complete it, we will need to get detailed information about courses offered at your school, as well as other school information.

I will be visiting your school on [ASSESSMENT DATE] and would like to spend approximately two hours with you to discuss information about your school. To make the meeting go smoothly, I am providing you with the attached questionnaire to let you know some of the questions I will be asking. It will be helpful if you look this over in advance of our meeting. If you have any questions about this process, please call me at [TELEPHONE NUMBER].

Thank you in advance for your help on this very important study.

Sincerely,

HSTS Supervisor

Exhibit 6-3. HSTS Questionnaire (continued)

1. Does this school include grade 9?

   Yes (GO TO #1b) No

   1a. If no, where do most students attend grade 9?

   ___ A single feeder junior high/middle school

   ___ Several junior high/middle schools in the district

   ___ Other schools not in this district or affiliated with this school

   1b. Do the high school catalogs contain information about the grade 9?

   Yes No

2. Do the catalogs include the following course offerings?

   2a. Vocational courses (circle answer)

   Yes No

   If yes, how are vocational courses indicated in the catalog(s):__________________
   ____

   2b. Remedial courses (circle answer)

   Yes No

   If yes, how are remedial courses indicated in the catalog(s):___________________
   ____

   2c. Honors courses (circle answer)

   Yes No

   If yes, how are honors courses indicated in the catalog(s):_____________________
   ____

Exhibit 6-3. HSTS Questionnaire (continued)

2d. Special Education courses (circle answer)

Yes No

If yes, are different levels of special education (e.g. resource and self-contained) courses indicated in the catalog(s) and how are they indicated:________________________
____

2e. Off-campus courses (circle answer)

Yes No

If yes, how are off-campus courses indicated in the catalog(s):___________________
____

2f. ESL or bilingual courses (circle answer)

Yes No

If yes, how are ESL or bilingual courses (courses taught in a language other than English indicated in the catalog(s):____
____

2g. Courses Offered through Distance Learning (circle answer)

Yes No

If yes, how are distance-learning courses indicated in the catalog(s)?_________________
____

3. Have there been substantial changes in your course offerings between 2001 – 2002 and the 2004 – 2005 school years?

Yes No

4. How many credits does a student earn for a course taken for a single period that lasts the entire 2004 – 2005 school year?

2004 – 2005 # of credits:_____________________

4a. Has this changed during the last four school years (circle one)

Yes No (GO TO #5)

Exhibit 6-3. HSTS Questionnaire (continued)

4b. If yes, how many credits are earned for a year-long course for the following years?

2003 – 2004 Number of credits:____________________

2002 – 2003 Number of credits:____________________

2001 – 2002 Number of credits:____________________

5. How many class periods does a student typically have per day, not including lunch?

Number of class periods:____________________

6. What is the maximum number of class periods a student can take per day at this school?

Maximum number of class periods:____________________

7. What is the minimum number of class periods a student can take per day at this school?

Minimum number of class periods:____________________

8. Is the minimum number of courses required different for seniors?

Yes No

9. How long does a typical class period last?

Number of minutes:____________________

10. Are credits for honors/AP classes defined the same as in Question #4?

Yes No

If no, describe any differences: ____
____

11. Are credits for special education classes defined the same as in Question #4?

Yes No

If no, describe any differences:____
____

Exhibit 6-3. HSTS Questionnaire (continued)

12. What type of diplomas does this school offer? (check all that apply)

___ Standard

___ Honors

___ Certificate of Merit

___ Vocational

___ Special Education

___ Certificate of Attendance

___ International Baccalaureate

___ Regents (NY State only)

___ Other (specify):____

13a. Are graduation requirements for all high school diplomas documented in the course catalogs?

Documented Not Documented (GO TO #14)

13b. Specify the relevant catalog page number(s) indicating graduation requirements.

Graduation requirements recorded on page(s)________________ (GO TO #15)

14. What are the graduation requirements (diploma type) for the following subject areas? (Skip this item if #13b indicates where to locate graduation requirements in the catalog[s]).

Diploma type	Standard	Honors	Vocational	Other
*Total credits required for graduation	_______ (credits)	_______ (credits)	_______ (credits)	_______ (credits)

Write "NA" on the credit lines if the school does not offer the program.

14a. English/Language Arts	_______ (credits)	_______ (credits)	_______ (credits)	_______ (credits)
14b. Mathematics	_______ (credits)	_______ (credits)	_______ (credits)	_______ (credits)

Exhibit 6-3. HSTS Questionnaire (continued)

14c. Computer Science	________ (credits)	________ (credits)	________ (credits)	________ (credits)
14d. Social Studies/History	________ (credits)	________ (credits)	________ (credits)	________ (credits)
14e. Science	________ (credits)	________ (credits)	________ (credits)	________ (credits)
14f. Foreign Language	________ (credits)	________ (credits)	________ (credits)	________ (credits)
14g. Physical Education/Health	________ (credits)	________ (credits)	________ (credits)	________ (credits)
14h. Other (____________)	________ (credits)	________ (credits)	________ (credits)	________ (credits)
14i. Other (____________)	________ (credits)	________ (credits)	________ (credits)	________ (credits)

* This number may be larger or smaller than the credits specified for subject areas 14a – 14i listed here because of electives and/or overlapping sections.

15. Are there any courses required for graduation that do not receive credits?

Yes No

If yes, please specify: ____
____

16. Do these graduation requirements assume four years of high school?

Yes No

If no, please explain:____
____

17. Are there grade point average (GPA) requirements for graduation?

Yes No

If yes, please explain: ____
____

Exhibit 6-3. HSTS Questionnaire (continued)

18. Are there state or district competency tests or performance assessments that are required for graduation?

    Yes No

    If yes, in what content areas (e.g. reading, citizenship, functional mathematics):_____________
    ____

19. Does this school offer any special programs or serve as a Magnet School?

    Yes No

    19a. What types of special programs are offered? (check all that apply)

    ___ International Baccalaureate

    ___ Performing Arts

    ___ Science/Technology

    ___ Continuing Education

    ___ Other

    19b. When was this/were these programs established at the school?

    Year:________ Program _______________
    Year:________ Program _______________

20. Does your school use a computerized student information system?

    Yes No

    If Yes:

    Products used: ____

    Product Name: ____

    Publisher or Developer (if developed in your state, district or school, so indicate):_________
    ____

Exhibit 6-3. HSTS Questionnaire (continued)

Does your system:

20a.	Produce electronic transcripts:	Yes	No
20b.	Track attendance:	Yes	No
20c.	Record standardized test scores:	Yes	No
20d.	Record graduation dates:	Yes	No
20e.	Record diploma types:	Yes	No

21. What type of grading system is used (e.g. A, B, C or A+, A, A-, B+, etc.)?

_______A, B, C, etc.

_______A+, A, A-, B+, etc.

_______Pass/Fail

_______Satisfactory/Unsatisfactory

_______Other (please specify)____

____

Exhibit 6-3. HSTS Questionnaire (continued)

What do the letter grades or other marks stand for numerically (example, A=90 – 100, B=80 – 90, etc.)?

Letter Grade or Alternate Symbol		Range (or description, if range not possible)
A+		
A		
A-		
B+		
B		
B-		
C+		
C		
C-		
D+		
D		
D-		
F		
Pass		
Fail		
Satisfactory		
Unsatisfactory		

22. Is the grading system the same for all students (i.e., special education, honors, etc.)?

Yes No

If no, please explain: ____

____

23. Do the course titles or course numbers on the transcript match those in the course catalogs(s)?

Yes No

Comments: ____

____

Exhibit 6-3. HSTS Questionnaire (continued)

24. Are transfer courses identified by the school on the transcripts?

    Yes No

    If yes, please explain:

    ____

    ____

    If no, is there any way that they can be identified: ________________________

    ____

25. Are there abbreviations or symbols on the transcripts that are not self-evident?

    Yes No

to look over this questionnaire in advance of your arrival (and to fill it out, if possible). This will make your visit on assessment day go more smoothly. There is also an item correspondence sheet, which matches the question numbers on the HSTS Questionnaire to Part 2 of the SIF.

6.5.3 SIF – Part 2

Record the school name and NAEP School ID Number (from the School Folder) and other identifying information on the top of the first page of Part 2 of the SIF. The information requested on Part 2 of the SIF should be completed during your visit to the school on assessment day. It is assumed that you will gather most of this information from the registrar at the school. It is expected that it will take a couple of hours to complete the information on this form. Remember that the registrar may have already completed the HSTS Questionnaire, which duplicates most of the questions on Part 2 of the SIF. On assessment day, you will also be collecting the remainder of the course catalogs, described in Section 6.6 and the sample transcripts, described in Section 6.7, in addition to putting the disclosure notices in the sampled students' files, as described in Section 6.10.

6.6 Collecting Course Catalogs

Another important step in the HSTS is collecting information regarding school course offerings. Collect the school's course catalog for the current year (2004 – 2005), if you haven't already. You will also collect the catalogs for the preceding three years (2003 – 2004, 2002 – 2003, and 2001 – 2002). If no course catalogs are available, obtain whatever information is accessible that provides detailed information about the school's curriculum. **Be sure to record the NAEP School ID Number on each catalog you obtain.** (Westat will provide preprinted minilabels for each grade 12 school in your assignment.) Ideally, we would like to obtain "school-level" catalogs (listed below as #1, that is, the first preference); if these are not available, the order of preference for the type of course catalogs to be collected in the study is as follows:

1. School-level catalogs, which provide course names and descriptions;
2. District-level catalogs, which provide course names and descriptions with the course offerings for that particular school clearly indicated;

3. A course list by department, which includes general descriptions of course offerings by department;

4. Course lists without descriptions; and

5. District-level catalogs without school-level indications.

Review the catalogs thoroughly to ensure that you have a complete listing of **all** courses available to the sampled twelfth graders for all four years of high school. As you review the catalogs, complete the Course Catalog Checklist (Exhibit 6-4), indicating the availability of the course materials you have obtained from the school. If only a district-level catalog is available, please try to obtain a list of courses actually offered at the HSTS school. Again, as indicated by the above list of catalog types, school-level catalogs ("type 1") are the most useful to the HSTS analysis.

After you have reviewed the materials and completed the checklists, band the Course Catalog Checklist to the catalogs and prepare them for shipping. All materials collected for the HSTS should be shipped under separate cover **directly** to [NAME OF PERSON] at Westat. This includes the SIF, course catalogs, the Course Catalog Checklist, sample transcripts, and the Transcript Format Checklist.

6.6.1 How the Course Catalogs Will Be Used

To help you understand your responsibilities regarding collection of course catalogs, it will be useful for you to understand how the information from the course catalogs will be used once the catalogs are returned for data processing.

Upon receipt, data preparation staff will review the Course Catalog Checklist, the catalogs, the Transcript Format Checklist, the sample transcripts, and any additional notes you have made regarding school materials/catalogs, which were marked in the SIF. During this process, specially trained educational staff will assign a code to each course listed in the course catalog using a well-established classification system known as the "Classification of Secondary School Courses" (CSSC).

Exhibit 6-4. Course Catalog Checklist

NAEP School ID: ____________________

School Name: ________________________

Supervisor: ___________________________

COURSE CATALOG CHECKLIST

Record each catalog title and check off all items that are identified in the course description materials you have collected.

School Level Materials

School Year	Catalog Title	Course Title	Course Number	Course Credits	Course Description	Course Level[1]	Special Codes[2]	Special Programs[3]
2001-2002								
2002-2003								
2003-2004								
2004-2005								

District Level Materials

School Year	Catalog Title	Course Title	Course Number	Course Credits	Course Description	Course Level[1]	Special Codes[2]	Where Offered[4]
2001-2002								
2002-2003								
2003-2004								
2004-2005								

[1] Identified as Regular, Honors, A.P., Remedial, Special Education, ESL.

[2] Does the catalog describe what codes mean?

[3] Are Special Programs (Sp. Ed, IB, Vocational, etc.) included in this catalog?

[4] Does the district catalog identify courses offered at the sampled HSTS school?

The CSSC includes the titles and descriptions of vocational, academic, and general education courses offered in grades 7–12 in public and nonpublic schools in the United States. The coding scheme was initially developed to classify students participating in surveys conducted for the National Center for Education Statistics. Because this scheme provides an inventory of courses taught nationwide at the secondary level, a variety of broad policy analyses will be conducted. Analysis will consist of examining changing trends in secondary school curriculum, the equality of educational opportunity, the effects of secondary school education on student performance, and the transition of secondary students from high school to early adulthood.

Each course offered at the HSTS school will be assigned a code based on the course **content** rather than the course title. Therefore, for accurate coding, descriptive information in catalogs about course content is very important. After the entire catalog has been coded, coders will review the transcripts of the sampled students and match the title of each course appearing on those transcripts to a coded course from the catalog. They will then assign the appropriate CSSC code to each course based on the course descriptions contained in the school catalogs.

6.7 Collection of Sample Transcripts

A third important task involved in the HSTS is obtaining copies of transcripts for three previously graduated students. Be sure to mask all identifying information on the transcript copies. Use a black marker or correction tape to mask out the student's name and any other personal identifying information. One transcript should include honor courses, one should include special education courses, and one should include "regular" courses. The sample transcripts will allow Westat staff to carefully review the school's transcript format in advance of future phases of data collection, and to request needed information or ask questions prior to collecting transcripts for the sampled students.

After three sample transcripts have been collected, work through the Transcript Format Checklist (Exhibit 6-5) and circle on the sample transcripts (using a red or orange pencil) the requested items identified on the Transcript Format Checklist. As the items are circled, number each with the appropriate number reflecting the item number from the Transcript Format Checklist.

Exhibit 6-5. Transcript Format Checklist

NAEP School ID: ____

Supervisor: ____

TRANSCRIPT FORMAT CHECKLIST

Marked	Not Marked	Not on Transcript	
			1. Student's birth date
			2. Student's race/ethnicity
			3. Student's gender
			4. Student's SD and/or LEP status
			5. Student's graduation date
			6. Years attending this school
			7. Type of diploma awarded
			8. **When** a course was taken (year and semester)
			9. For a single course:
			a. course name
			b. number of credits awarded
			c. length of course (one year, semester, or other)
			d. grade received
			e. level of course (honors, remedial, SpEd, regular)
			f. transfer credit from another high school
			g. taught in another language (or ESL course)
			h. vocational courses
			i. location, if not taught at this school site
			10. Total number of credits received
			11. "Weighting" of course credits/grades (for honors or remedial levels)

Prepare the materials for shipping to Westat by attaching the Transcript Format Checklist to the three sample transcripts that were collected.

6.8 Transcript Reimbursement Form

One additional document that must be completed is the Transcript Reimbursement Form. Reimburse the school for the three sample transcripts at their standard rate for supplying the documents (may be $1 to $4 per sheet). You may reimburse the school either in cash or by writing a personal check and claim the amount on your Time and Expense Report (T&E). To do so, complete a Transcript Reimbursement Form (Exhibit 6-6) and have it signed by the school registrar or designated representative as documentation that the school has been paid for these transcripts. The original Transcript Reimbursement Form should be attached to your T&E as a receipt. Since the amount paid for transcript copies in Phase 1 will be small, we are asking you to pay this out-of-pocket. If you prefer that Westat give you an advance to cover these payments, please request one from your field manager.

6.9 Identifying Students for the HSTS

The next important task on assessment day is to identify all of the students eligible for the transcript study. Each of these students' files must be marked with a disclosure notice. Because you are responsible for so many tasks on assessment day, you can ask an AA to assist you in this task. Proceed as follows when identifying students for whom transcripts will later be collected:

1. Identify **all grade-eligible students** on the Administration Schedule who are currently enrolled in the twelfth grade and were selected for mathematics or science for NAEP. These students **include** those identified as SD, having an IEP, classified as LEP, or enrolled in a Title I program. Any "not in sample" (NIS) students, ineligible students, or withdrawn students are **excluded** from the HSTS.

2. Record the student's name and NAEP booklet ID number on the tab on the Disclosure Notice. (A mini-label with the ID number printed on it will be available.) Be sure to write the student's name as well as the ID number on the Disclosure Notice. Place a "✓" on the Disclosure Notice, in the appropriate space to indicate a copy of the student's transcript will be provided to Westat.

Exhibit 6-6. Transcript Reimbursement Form

NAEP School ID: ____________________
Supervisor: ____________________

Transcript Reimbursement Form

School Name: ____

Mailing Address: ____

____

Number of Transcripts: ____________ @ $ __________ = $ __________

Additional Costs = $ __________

Total = $ __________

Check One

___ PAYMENT MADE

Signature of Recipient: ____

___ PAYMENT TO BE MADE

Make check payable to: ____

Mail check to: ____

____

____

____ ____________________
HSTS Supervisor Signature Date

OFFICE USE ONLY

Date Mailed: ____________________ Date Received: ____________________

3. Place the Disclosure Notice in each sampled student's file. Some schools will not allow you to have access to the students' files. If this is the case, discuss possible options with the school coordinator. Offer to reimburse school staff for any time that they may provide to complete this task.

4. Copy the Administration Schedule(s) **without student names** and keep them in your **School Folder** for reference in the Phase 2 data collection.

6.10 Disclosure Notice

As described above, a Disclosure Notice (Exhibit 6-7) will be placed in student files to indicate that the student has been sampled for the HSTS. One side of the notice explains Westat's authority to conduct the study; the reverse side presents the appropriate FERPA provisions regarding the conditions under which the disclosure of student records may be made without prior consent. You will be provided with sufficient copies of these notices for each student selected for the Transcript Study. If files are personally accessed, place one notice in each student's folder. If the school accesses the files on behalf of the study, give the school the Disclosure Notices you have completed with the names and NAEP booklet ID numbers of the eligible students. School personnel should place the Disclosure Notices into the students' folders so that they are easily identifiable when we return to the school later to collect the transcripts.

6.11 Parental Consent

When discussing with the school coordinator the study's information requirements, you may find instances where parental consent is required by the school in order to release the requested transcripts for Phase 2 of the HSTS. Typically, school officials realize that notification is **not** necessary, once you have shown them the disclosure notices and provided them with the details of the study requirements and procedures.

Exhibit 6-7. Disclosure Notice

2005 HIGH SCHOOL TRANSCRIPT STUDY

"A copy of this student's transcript____ will be ____ has been provided to WESTAT, agent for the U.S. Department of Education, National Center for Education Statistics (NCES). The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g) as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35, summarized on the back of this notice. This disclosure statement fulfills the requirements of provision 34 CFR 99.32 of FERPA.

The High School Transcript Study (HSTS), sponsored by NCES, is being conducted to collect information on current course offerings and course taking in the nation's secondary schools. This student has been selected to participate in HSTS, and data from these records will be combined with other into statistical summaries and tables. No individually identifiable information will be released in any form."

It is the intent of this study and of Westat to honor all requirements for consent. In doing so, review the study's information needs and procedures with the school coordinator to verify such consent is indeed required by the school or school district policy. Using the letter from Nancy Caldwell/Westat and the HSTS Summary of Activities, point out the following information:

- **The names of students are not being collected.** Elaborate precautions are undertaken to safeguard the anonymity of all students. Only the school will be able to make the link between our data and individual students.
- The Office of General Counsel of the U.S. Department of Education has reviewed the study requirements, has concluded that the HSTS conforms to FERPA regulations, and that **parental consent is not required under federal law**.
- Copies of the **Disclosure Notice** will be placed in all of the student records accessed for the purpose of the HSTS (or notices will be given to the school coordinator to be placed in the appropriate student files).

If the school official insists that local policy requires parental consent, you will have two letters that you can provide to the school in order to inform parents of the HSTS. The first letter, which is the less stringent of the two, is the Parent Information Letter (Exhibit 6-8). This letter provides parents with information about the purpose and scope of the HSTS, and is intended for parents of all students in the specified study population. Your bulk supplies will include an ample supply of these letters for schools that wish to use them.

Occasionally, school officials may decide that some form of parental permission will be essential before making student transcript data available for the HSTS. If so, show the school official the second letter, the Parent Implied Consent Letter (Exhibit 6-9). This letter requires a parental signature **only** if the parent **objects** to releasing their child's transcript information. If there is no response to this letter, it is assumed that data can be released.

Exhibit 6-8. Parent Information Letter

January-March 2005

Dear Parent:

The National Center for Education Statistics of the U.S. Department of Education has authorized the National Assessment of Educational Progress (NAEP) to obtain student transcript data from schools selected to participate in the 2005 NAEP assessments. The NAEP High School Transcript Study will be conducted during the summer after the selected students have graduated from high school. The purpose of the NAEP 2005 High School Transcript Study is to supply data to education professionals on course offerings, course-taking patterns, and the relationship of these patterns to achievement in secondary schools across the nation.

Your child's school has been selected to participate in this important study. In the summer of 2005, the school will provide NAEP with transcripts for a sample of students who were in the twelfth grade in the school year of 2004-2005. **No student time** is involved in the study. Students' names and other individually identifying information will be removed from copies of the transcripts before they leave the school. The school will be reimbursed at the standard rate for the costs of the transcripts.

The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 2343g), as implemented by 34 CFR 99.31 (a)(3)(ii) and 99.35. These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without the prior consent of survey participants, in connection with the audit and evaluation of Federal and State supported education programs. The privacy of the information will be protected as required by FERPA.

Again, we want to inform you of the participation of your child's school. The NAEP 2005 High School Transcript Study is an important study, which provides valuable information regarding the courses students take while in high school and the rigor of American high schools. The participation of your child's school is needed to make the results of this study comprehensive, accurate, and timely.

Sincerely,

Peggy G. Carr
Associate Commissioner for Assessment

Exhibit 6-9. Parent Implied Consent Letter

January-March 2005

Dear Parent:

The National Center for Education Statistics of the U.S. Department of Education has authorized the National Assessment of Educational Progress (NAEP) to obtain student transcript data from schools selected to participate in the 2005 assessments. The NAEP High School Transcript Study will be conducted during the summer after the selected students have graduated from high school. The purpose of the NAEP 2005 High School Transcript Study is to supply data to education professionals on course offerings, course-taking patterns, and the relationship of these patterns to achievement.

Your child's school has been selected to participate in this important study. In the summer of 2005, the school will provide NAEP with transcripts for a sample of students who were in the twelfth grade in the school year of 2004-2005. Your child is one of the students for whom we **may** request transcript data. Please understand that **no student time** is involved in the study. Students' names and other individually identifying information will be removed from copies of the transcripts before they leave the school. NAEP will reimburse the school for the costs of the transcripts. Before we proceed, we want to make sure that you do not have any objections to the school releasing your child's transcript information. If you object, please complete and return the attached form to the school.

The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 2343g), as implemented by 34 CFR 99.31 (a)(3)(ii) and 99.35.

The NAEP 2005 High School Transcript Study is an important study, which provides valuable information regarding the courses high school students take and the rigor of American high schools. I would appreciate your cooperation in this very important educational study. Thank you for your time and consideration.

Sincerely,

Peggy G. Carr
Associate Commissioner for Assessment

IF YOU DO NOT OBJECT TO THE RELEASE OF YOUR CHILD'S TRANSCRIPT, IT IS NOT NECESSARY TO RETURN THIS FORM TO THE SCHOOL.

I have been informed of the nature of the 2005 High School Transcript Study and **object to the release of information from my child's transcript.**

Print Child's Name:____
Last First Middle

____
Parent or Guardian's signature

6.12 Confidentiality

Westat is firmly committed to the principle that confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not there are specific contractual obligations with the federal agency that is sponsoring the study. Westat ensures that information collected in the schools will be held in strict confidence, will be used only for the purposes stated in the study, and will not be disclosed or released to others without the consent of the individuals or facilities participating in the study.

This study has been designed so that no individually identifiable information is reported to Westat. Thus, you can assure the school coordinator that NAEP representatives will “mask” any student identifiers. However, at the schools, supervisors will also have access to the individual student identifiers, and thus will be bound by all relevant laws and regulations regarding confidentiality of student documents. At the same time, Westat will be dependent on supervisors to conform to the study procedures to allow this “unidentified” data to become statistically useful.

You should assure the school of confidentiality during this phase of data collection, when the Disclosure Notice is placed in student files to indicate that the student has been sampled for the HSTS. One side of the notice explains Westat’s authority to conduct the study; the reverse side presents the appropriate FERPA provisions regarding the conditions under which the disclosure of student records may be made without prior consent. The school may wish to access the files on behalf of the study, in which case you give the school the Disclosure Notices you have completed with the names and NAEP booklet ID numbers of the eligible students. School personnel should place the Disclosure Notices into the students’ folders so that they are easily identifiable when we return to the school later to collect the transcripts.

6.12.1 The Family Education Rights and Privacy Act (FERPA)

The Department of Education has granted authority to Westat for collection of transcript data pursuant to the provisions of FERPA (as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35) (Exhibit 6-10). These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without prior consent of the survey participants.

Exhibit 6-10. Family Education Rights and Privacy Act

The Family Rights and Privacy Act (FERPA)

The granting of Education Department authority for collection of the transcript data has been made pursuant to the provisions of the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), as implemented by 34 CFR 99.31(a)(3)(ii) and 99.35. These laws and regulations permit an educational agency to disclose records to authorized representatives of the Secretary of Education without the prior consent of the survey participants in connection with the audit and evaluation of Federal and State supported education programs. The privacy of the information you are asked to supply to the NAEP contractors will be protected as required by FERPA, and will be further protected by the removal of names and other identifying information. A copy of the relevant section of FERPA regulations is reproduced below.

§99.31 Prior consent for disclosure not required.

(a) An educational agency or institution may disclose personally identifiable information from the education records of a student without the written consent of the parent of the student or the eligible student if the disclosure is:

(1) To other school officials, including teachers, within the educational institution or local educational agency who have been determined by the agency or institution to have legitimate educational interests;

(2) To officials of another school or school system in which the student seeks or intends to enroll, subject to the requirements set forth in §99.34;

(3) Subject to the conditions set forth in §99.35, to authorize representatives of:

(i) The Comptroller General of the United States,

(ii) The Secretary, or

(iii) State educational authorities:

(4) In connection with financial aid for which a student has applied or which a student has received: *Provided,* That personally identifiable information from the education records of the student may be disclosed only as may be necessary for such purposes as:

(i) To determine the eligibility of the student for financial aid,

(ii) To determine the amount of the financial aid,

(iii) To determine the conditions which will be imposed regarding the financial aid, or

(iv) To enforce the terms or conditions of the financial aid.

§99.35 Disclosure to certain Federal and State officials for Federal program purposes.

(a) Nothing in Section 438 of the Act or this part shall preclude authorized representatives of officials listed in §99.31(ax3) from having access to student and other records which may be necessary in connection with the audit and evaluation of Federally supported education programs, or in connection with the enforcement of or compliance with the Federal legal requirements which relate to these programs.

(b) Except when the consent of the parent of a student or an eligible student has been obtained under §99.30, or when the collection of personally identifiable information is specifically authorized by Federal law, any data collected by officials listed in §99.31(ax3) shall be protected in a manner which will not permit the personal identification of students and their parents by other than those officials and personally identifiable data shall be destroyed when no longer needed for such audit, evaluation, or enforcement of or compliance with Federal legal requirements, 20 U.S.C. 1232g(bx3).

The disclosure of individually identifiable information from the education records of students is subject to special safeguards under the Family Education Rights and Privacy Act (20 U.S.C. 1232g). This law very carefully states the conditions under which schools may disclose such records and the persons to whom these materials are exposed. Furthermore, FERPA authority has its own requirements for protecting the privacy of information, which Westat and Westat employees are required to honor.

6.12.2 Confidentiality Agreements

The U.S. Privacy Act of 1974 (Public Law 93-579) is a federal law concerned with the individual's right to privacy. The law establishes certain safeguards that must be followed in protecting the privacy rights of persons who participate in federally sponsored surveys. Westat adheres to the provisions of the U.S. Privacy Act of 1974 with regard to surveys of individuals for the federal government. Therefore, employees and consultants of Westat are required to sign a pledge of confidentiality. This pledge states that the individual understands that he/she is prohibited by law from disclosing any information obtained while working on the study and pledges to abide by the assurance of confidentiality. Exhibit 6-11 is an example of the Assurance of Confidentiality Pledge signed by all Westat employees.

6.12.3 Masking Identifiers

Confidentiality procedures for this study require that individually identifying information on persons about whom data are collected must never be released to anyone not officially associated with the study. This requirement means that reports prepared to describe the study findings will not include names of students or other participants, the school from which each student was sampled, or any other information that could be used to identify an individual who took part in the study. The requirement also means that study personnel cannot disclose any information on individual participants collected through the survey to anyone who is not specially authorized access to the information. These confidentiality protections cover both verbal and written disclosures of student information.

Exhibit 6-11. Westat Assurance of Confidentiality Pledge

8. ASSURANCE OF CONFIDENTIALITY OF SURVEY DATA

Statement of Policy

Westat is firmly committed to the principle that the confidentiality of individual data obtained through Westat surveys must be protected. This principle holds whether or not any specific guarantee of confidentiality was given at time of interview (or self-response), or whether or not there are specific contractual obligations to the client. When guarantees have been given or contractual obligations regarding confidentiality have been entered into, they may impose additional requirements, which are to be adhered to strictly.

Procedures for Maintaining Confidentiality

1. All Westat employees and fieldworkers shall sign this assurance of confidentiality. This assurance may be superseded by another assurance for a particular project.

2. Fieldworkers shall keep completely confidential the names of respondents, all information or opinions collected in the course of interviews, and any information about respondents learned incidentally during fieldwork. Fieldworkers shall exercise reasonable caution to prevent access by others to survey data in their possession.

3. Unless specifically instructed otherwise for a particular project, an employee or fieldworker, upon encountering a respondent or information pertaining to a respondent that s/he knows personally, shall immediately terminate the activity and contact his/her supervisor for instructions.

Pledge of Confidentiality

I hereby certify that I have carefully read and will cooperate fully with the above procedures on confidentiality. I will keep completely confidential all information arising from surveys concerning individual respondents to which I gain access. I will not discuss, disclose, disseminate, or provide access to survey data and identifiers except as authorized by Westat for a particular contract. I will devote my best efforts to ensure that there is compliance with the required procedures by personnel whom I supervise. I understand that violation of this pledge is sufficient grounds for disciplinary action, including dismissal. I also understand that violation of the privacy rights of individuals through such unauthorized discussion, disclosure, dissemination, or access may make me subject to criminal or civil penalties. I give my personal pledge that I shall abide by this assurance of confidentiality.

9. SIGNATURE. I have read this memorandum. I agree to Westat's Pledge of Confidentiality.

Fieldworkers Name: ______________________________
(PRINT)

____
(Signature)

Social Security No: ______________________________

Address: ______________________________

____

Date: ______________________________

Assure the school coordinator that safeguards are used for the 2005 HSTS, which ensure applicable privacy requirements are met by removing all personal identifiers from the data reported to Westat's home office from the field. All identifying information on the sample transcripts obtained will **be masked using a black marker or correction tape** prior to shipping materials to Westat.

6.13 Textbook Study

As part of the HSTS, some schools may be selected to answer questions regarding the textbooks that they use for their mathematics and science classes. Schools selected for this study will be flagged in the School Control System (SCS). The forms for this study are shown in Exhibit 6-12 and 6-13. You can mail these forms to the school coordinator or registrar and ask him/her to pass them on to the correct person at the school, possibly the mathematics and science department heads. Fill out the forms with the name of the school coordinator or registrar and the date of the assessment. It is preferred that you pick these forms up on assessment day. If the forms are not ready on assessment day, there are instructions on the forms to have them faxed directly to Westat.

6.14 Concluding Phase 1 of the Transcript Data

After concluding the HSTS activities for each school participating in the transcript study, mail the following materials to **Westat** using a separate envelope for each school. Prior to shipping any documents/materials, please verify the following items have been accounted for:

- Course Catalogs/Course Lists;
- Three Sample Transcripts;
- **Copy** of Completed School Information Form (SIF) – Parts 1 and 2;
- Completed Course Catalog Checklist;
- Completed Transcript Format Checklist;
- Completed Mathematics and Science Textbook Forms; and
- Completed Transcript Reimbursement Form.

Exhibit 6-12. Science Textbook Forms

School ________________________________ State ________ ID#_________________

Please return this form to:___________________ by _____________ or fax to: 240-314-2381.

Science Textbook Form

Please list the textbooks used for all science courses in your school and explain how the textbooks are used. If you have an existing list of textbooks, you may send it to us. Please add any information below that is not already included on your list.

Course: ____

ISBN: ___________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ___________Publisher: ____________________________ Copyright: __________

Chapters covered in course: All ___ Chapters Covered: ______________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: ___________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ___________Publisher: ____________________________ Copyright: __________

Chapters covered in course: All ___ Chapters Covered: ______________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: ___________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ___________Publisher: ____________________________ Copyright: __________

Chapters covered in course: All ___ Chapters Covered: ______________________________

Use of Textbook: ___ Major ___ Supplementary

Science Textbook Form (continued)

Course: ____

ISBN: ____________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ____________Publisher: _____________________________ Copyright: ___________

Chapters covered in course: All ___ Chapters Covered: _______________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: ____________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ____________Publisher: _____________________________ Copyright: ___________

Chapters covered in course: All ___ Chapters Covered: _______________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: ____________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ____________Publisher: _____________________________ Copyright: ___________

Chapters covered in course: All ___ Chapters Covered: _______________________________

Use of Textbook: ___ Major ___ Supplementary

Exhibit 6-13. Mathematics Textbook Forms

School _________________________________ State ________ ID#_________________

Please return this form to:___________________ by ______________ or fax to: 240-314-2381.

Mathematics Textbook Form

Please list the textbooks used for all mathematics courses in your school and explain how the textbooks are used. If you have an existing list of textbooks, you may send it to us. Please add any information below that is not already included on your list.

Course: ____

ISBN: ____________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ____________Publisher: _____________________________ Copyright: ___________

Chapters covered in course: All ___ Chapters Covered: _______________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: ____________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ____________Publisher: _____________________________ Copyright: ___________

Chapters covered in course: All ___ Chapters Covered: _______________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: ____________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ____________Publisher: _____________________________ Copyright: ___________

Chapters covered in course: All ___ Chapters Covered: _______________________________

Use of Textbook: ___ Major ___ Supplementary

Exhibit 6-13. Mathematics Textbook Forms (continued)

Mathematics Textbook Form (continued)

Course: ____

ISBN: __________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ___________Publisher: __________________________ Copyright: __________

Chapters covered in course: All ___ Chapters Covered: ___________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: __________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ___________Publisher: __________________________ Copyright: __________

Chapters covered in course: All ___ Chapters Covered: ___________________________

Use of Textbook: ___ Major ___ Supplementary

Course: ____

ISBN: __________________

Textbook Title ____

Author(s)/Editor(s) ____

____

Edition ___________Publisher: __________________________ Copyright: __________

Chapters covered in course: All ___ Chapters Covered: ___________________________

Use of Textbook: ___ Major ___ Supplementary

NOTE: At this point only a **copy** of the SIF should be returned to Westat. The original should be kept in the School Folder for use in Phase 2 of the HSTS.

Use the following information when shipping HSTS materials to Westat. Please note the contact person and address where materials will be sent. To assist with organizing packing and shipping of transcript materials, Westat will supply preprinted labels and envelopes with the following shipping information. Otherwise, please mark all packages carefully with the contact name and address below.

Attention:	Westat – NAEP HSTS 1500 Research Blvd. – TB100F Rockville, MD 20850

In addition to shipping the information back to Westat, you will have to update the information on each school in the SCS. This includes checking off the activities that are completed at the school such as completing the SIF, collecting the course catalogs, collecting the sample transcripts, and placing the disclosure notices in the student files. See the *SCS User's Guide* for more information on making these entries.

6.15 Time and Expense Form

Keep track (as much as possible) of the amount of time you spend on the HSTS activities. HSTS activities should be reported separately from main NAEP activities on your Time and Expense Form and your Trip Expense Report. The charge code you should use for the HSTS 2005 is **7707.05.54.04**.

7. SPECIAL PROCEDURES IN SCHOOLS FOR NAEP 2005

7.1 Overview of Special Procedures for NAEP 2005

During NAEP 2005, we will be conducting a number of special procedures in schools. In some cases, the special procedures are to handle special studies. In other cases, we are testing procedures that may be used study-wide in future cycles of NAEP. Some of these procedures will be conducted by ACs when they are in schools, while others must be conducted by supervisors. Below is a list of the special procedures that we will be conducting for NAEP 2005. Each procedure is described in more detail in this chapter.

- Grade 4 Take-All with No Homeroom Indicator—ACs will conduct this procedure for Grade 4 take-all schools that do not have a homeroom indicator on the preprinted Administration Schedules;

- New Enrollee Special Study—Supervisors will attend the preassessment visit in 8th grade, pilot test schools that have been E-Sampled to conduct this special procedure for verifying new enrollees for sampling;

- NAGB Criteria for Inclusion—Supervisors will insert the appropriate 3-page NAGB Criteria for Including Students with Disabilities or Limited English Proficient Students booklets (instead of the 4-page NAEP Criteria for Inclusion booklets) in the Preassessment Pack and then conduct the preassessment visit in the selected pilot test schools to use the NAGB Criteria for Inclusion to guide inclusion and accommodation decisions at the schools;

- Criteria for Inclusion for Science Bridge Sessions—Supervisors will insert the 1-page Criteria for Including Students with Disabilities or Limited English Proficient Students in Science Bridge Sessions (usually in addition to the 4-page NAEP Criteria for Inclusion booklets or the 3-page NAGB Criteria for Inclusion booklets) in the preassessment school package; and

- School E-Filing Summary Report—Supervisors will review this form with ACs before the preassessment visit. The form summarizes the E-File error messages that single school E-Filers may have received. If necessary, the ACs will review the form with the school coordinators to resolve any list submission discrepancies that were identified during the E-Filing process.

7.2 State Information Form

Your field manager has developed a State Information Form for the state you supervise. The purpose of the form (Exhibit 7-1) is to inform you and for you to inform your ACs about specific state issues or requirements that ACs need to know in order to properly conduct assessments, collect questionnaires, and otherwise deal with schools. It will include agreements or requirements that the states expect NAEP to observe when in schools. It will also include information about which parent letter is used (state provided or NAEP-provided), the demographic variables used during E-Filing; for example, the "information unavailable at this time" (which will require ACs to collect the missing data at the preassessment or assessment visit), or "formerly LEP" code (only used in specific states).

Your field manager will review this form with you at training and will also keep you up to date on any changes to the information during the assessment period.

7.3 Grade 4 Take-All With No Homeroom Indicator

It is the policy of the National Assessment Governing Board (NAGB) the grade 4 schools participating in the NCLB subjects are given the option of assessing students in their classrooms. This is an option for grade 4 schools with fewer than 121 students in the grade. Even though the actual sample is either 60 ort 90 students, we will assess all students up to 120 in order to reduce burden in the school by allowing students to be tested in the regular classrooms. This method is attractive to schools be it avoids the disruption of moving students from room to room. It also solves the problem of supervising students who were not selected to participate.

We are unable to offer this option in grade 4 schools with more than 120 students.

In states that E-File for the entire state, frequently the homeroom is not known at the state level. So student names are printed on the Administration Schedules in the order of the original list, usually, alphabetically. To assess the students in this order negates the benefits of the grade 4 take all option. In order to assess students in their classrooms in grade 4 take all schools, the ACs will need to prepare temporary Administration Schedules, listing the students by homeroom. This will allow the ACs to prepare and sort the booklets based on homeroom before assessment day.

Exhibit 7-1. State Information Form

NAEP 2005
State Information Form

State: ____

State Coordinator: ______________________________________

This form contains state-specific details for NAEP 2005.

1. What type of parent letter was used to notify parents? State NAEP Other

2. Does this state use Formerly LEP for Title I AYP Reporting: Yes No
   (If no, this code cannot be used on the Administration Schedules)

3. Did this state submit a state-wide E-File for sampling? Yes No (skip to Q4)

   3a. Did the state use the "Information Unavailable at this time" code for any demographic variables?
   (If Yes, we'll need to collect this information either from the state or district offices or the individual schools)
   Yes Which one(s)? ______________________
   ____
   ____
   No

   3b. Did the state include Homeroom on the E-File? Yes No
   (If No, review the special procedures for Grade 4 Take-All with no homeroom indicated)

4. Did the state send Demonstration booklets to all the schools? Yes No
   (If Yes, do not send them in the Preassessment Pack to schools)

5. Did the state send frameworks to all the schools? Yes No
   (If Yes, do not send them in the Preassessment Pack to schools)

6. Is this state refusing to participate in any of the following parts of NAEP (check all that apply)?

   - ❒ National Sessions
   - ❒ Social Studies (Pilot)
   - ❒ Grade 12 NAEP
   - ❒ HSTS
   - ❒ Science Bridge
   - ❒ Other (specify) ______________________________________

____

OVER

Exhibit 7-1. State Information Form (continued)

7. Use the rest of the form to describe any special state-specific requirements that field staff need to know to conduct assessments in schools.

Although supervisors do not need to conduct these special procedures, they will need to be sure that the ACs know how to implement the steps reviewed below. A supervisor may want to visit an AC the first time he/she conducts this procedure in a school with many sampled students in order to make sure that the Administration Schedules and booklets are prepared properly for assessments and for shipping to Pearson. It is imperative that data from the temporary Administration Schedules is transferred back to the original Administration Schedules and is correct for each student.

Exhibit 7-2 shows the Checklist for Preparing Administration Schedules and Booklets for Grade 4 Take-All Schools With No Homeroom Indicator. The process begins with the AC asking the school coordinator how he/she would like students grouped during the assessment (typically, schools will want students grouped by the classrooms they are in at the time the assessment is scheduled to begin). The AC will then record the homeroom or other locator, as indicated by the school coordinator, in column B for each student listed on the Administration Schedule.

Prepare the temporary Administration Schedules. After the preassessment visit, the AC will use blank Administration Schedules (from Pearson bulk supplies) to group the students according to their homeroom/locator status. Each unique homeroom or locator should have a different Administration Schedule. To facilitate this process, ACs may use highlighters to distinguish the different indicators in column B on the original Administration Schedule as long as the mark does not extend to the right of the perforation between columns B and C.

The AC must carefully transfer columns A (student name), B (homeroom or other locator), C (Line # Subject), and N (original booklet ID #), as well as the school name and ID number from the original Administration Schedules to the blank Administration Schedules. AAs will use the <u>temporary</u> Administration Schedules to conduct the sessions. After the assessment, the AC will carefully transfer the attendance and Administration Codes back onto the original (preprinted) Administration Schedules.

Prepare the booklets. Now that the data in columns A, B, C, and N have been transferred from the original, preprinted Administration Schedules to the temporary Administration Schedules, the next step is to prepare the booklets. The booklets will need to be prepared in the original Administration Schedule order and then sorted into the new, temporary Administration Schedule order by classroom. Because this task will take some time, the AC should plan on completing it the day before the assessment. AAs may assist with this activity.

Exhibit 7-2. Checklist for Preparing Administration Schedules and Booklets for Grade 4 Take-All Schools With No Homeroom Indicator

Checklist for Preparing Administration Schedules and Booklets for Grade 4 Take-All Schools With No Homeroom Indicator

- ❒ Ask school coordinator how he/she would like the students grouped during the assessment (typically, schools will want students grouped by the classrooms they are in at the time the assessment is scheduled to begin).
    - ❒ Record Locator in column B of the original preprinted Administration Schedules.
- ❒ Using blank Administration Schedules from Pearson bulk supplies, group the students according to the homeroom/locator. Each unique homeroom or locator should have a different Administration Schedule.
    - ❒ Carefully transfer columns A (student name), B (homeroom or other locator), C (Line #/Subject), and N (original booklet ID #) from the original Administration Schedules to the blank Administration Schedules.
    - ❒ Transfer the school name and ID number onto the top of the blank Administration Schedule(s).
- ❒ Prepare booklets the day before the assessment.
    - ❒ Prepare booklets (including accommodation booklets) in original Administration Schedule order.
        - ➢ Record the student's line # from the original preprinted Administration Schedule in the upper right corner of each booklet cover.
        - ➢ Write the session # next to the student's line number on the booklet.
        - ➢ Affix student ID labels to the booklets.
        - ➢ Write the homeroom locator on the label.
        - ➢ Insert additional materials into the booklets.
    - ❒ Sort the prepared booklets in temporary Administration Schedule order (by classroom).
    - ❒ Double check the temporary Administration Schedules against the stack of booklets.
    - ❒ Place temporary Administration Schedules on top of the ordered stack of booklets and rubber band them together. The booklets are ready for distribution on assessment day.

Exhibit 7-2. Checklist for Preparing Administration Schedules and Booklets for Grade 4 Take-All Schools With No Homeroom Indicator (continued)

Checklist for Preparing Administration Schedules and Booklets for Grade 4 Take-All Schools With No Homeroom Indicator

- ❒ Complete the Administration Schedules on assessment day.
    - ❒ Record any updates from the school coordinator on the original preprinted Administration Schedules and on the temporary Administration Schedules. These changes include changes to accommodations, Administration Codes, withdrawn and ineligible students, and parental refusals.
    - ❒ Record Administration Codes and attendance on the temporary Administration Schedules used to conduct the assessments.
    - ❒ Transfer the Administration Codes and attendance from the temporary Administration Schedules to the original preprinted Administration Schedules after the assessment.
    - ❒ Complete the top of the original preprinted Administration Schedules.
- ❒ Prepare the booklets for shipment to Pearson.
    - ❒ Code the booklet covers using the temporary Administration Schedules.
    - ❒ Sort the booklets in original preprinted Administration Schedule order.
    - ❒ Double check the booklets against the original preprinted Administration Schedules.
    - ❒ Place original preprinted Administration Schedule on top of the ordered stack of booklets and rubber band them together. The booklets are ready to ship to Pearson.
- ❒ Prepare the NAEP Storage Envelope.
    - ❒ Place the temporary Administration Schedules along with the school copy of the original Administration Schedules in the NAEP Storage Envelope that will remain in the school.

First, the AC should open each Session Box and remove the bundles of booklets, preprinted student ID labels, additional booklet materials, and accommodation booklets (if required). The booklets and student ID labels will be in the same order as the original, preprinted Administration Schedule. Therefore, the AC should prepare the booklets as trained. **The AC should be sure to write the student's line number and session number from the original, preprinted Administration Schedule in the upper-right corner of each booklet cover.** This will make it easier to sort the booklets after the assessment.

Once the student ID labels are affixed to the booklets, accommodation booklets have been assigned, and additional materials have been inserted, the next step is to sort the booklets into the new, temporary Administration Schedules that are organized by classroom. The AC will need to review the temporary Administration Schedules one more time to make sure that the correct information in columns A, B, C, and N has been entered. Next, the AC should sort the booklets into the new, temporary Administration Schedule order.

Once the booklets are stacked in the new, temporary Administration Schedule order, the AC should place the temporary Administration Schedule on top of the stack, rubber band them together and place the stack of booklets and Administration Schedule back in the Session Box. The booklets and hands-on science kits are now ready to be distributed on assessment day.

You should remind the AC that even though the booklet preparation has been done prior to the assessment day, the booklets must remain in his/her possession in order to protect the security of the assessment materials. On the assessment day, the AC must bring both the temporary Administration Schedules that are sorted by classroom and the original preprinted Administration Schedules.

Complete the Administration Schedules. Any updates the AC receives from the school coordinator on the morning of the assessment should be made to the original, preprinted Administration Schedules, because this Administration Schedule will be the only one sent to Pearson after the assessment. Since the AA must be advised of any changes to accommodation codes, parent refusals, and withdrawn or ineligible students, the updates should be made on the temporary Administration Schedules as well. Therefore, even though the booklets have been prepared and sorted in advance of the assessment day, it is essential that the team arrives at the school one hour before the scheduled start of assessments to make these last minute adjustments.

At the end of the session, the AAs should record the Administration Codes on the Administration Schedule they used to conduct the assessment. Once the Administration Codes are recorded, the AC and the AAs should carefully transfer the attendance and Administration Codes from the temporary Administration Schedules to the original, preprinted Administration Schedules. Once all of the information from the temporary Administration Schedules has been recorded onto the original, preprinted Administration Schedules, **the AC should complete the entire summary box on the top of the original, preprinted Administration Schedules**.

Prepare the booklets for shipment to Pearson. Using the temporary Administration Schedules, the AAs should code the assessment booklet covers as they have been trained. After the booklet covers are coded, the AC and AAs must put the booklets back in the original preprinted Administration Schedule order. Once the original, preprinted Administration Schedule is complete and the assessment booklets are in the original Administration Schedule order, the AC should conduct a careful quality control check of the booklet codings and check to make sure that each booklet is in the original Administration Schedule order and that the original Administration Schedule is rubber banded on the top of the stack of booklets.

Prepare the NAEP Storage Envelope. The original version of the Administration Schedule (with the names removed) is the only one to be sent to Pearson. The AC should place the temporary Administration Schedules used to organize the sessions along with the school copy of the original Administration Schedules in the NAEP Storage Envelope, which is left at the school.

7.4 New Enrollee Special Study

In order to give every student an equal chance of being selected for NAEP, we ask sampled schools to maintain a list of students who enroll in the school after the date the original E-File student list used for sampling was submitted. Since most of these lists were submitted in fall 2004 and are current as of or before the date of submission, it's expected that some of the sampled schools will have new students who enrolled after that date. In order to maintain the statistical validity of the NAEP sample, we need to give these newly enrolled students a chance to be selected to participate in NAEP. The statisticians would like supervisors to test a new procedure for verifying the new enrollees before they are sampled to see if the new procedure yields newly enrolled students that would not have been identified using the regular procedure.

Supervisors will be attending the preassessment visit with the AC for beta (pilot study) grade 8 schools that have been E-Sampled in order to test this procedure. The SCS will display a link for each eligible school on the School Edit Page, Sampling tab that says "New Enrollee Special Study." You can run a report of these schools using Data Selection. They will also be flagged on the Supervisor Log of Schools, although the log will be run before E-Filing is closed, so it may not include all the eligible schools. Since supervisors are responsible for conducting this procedure, you should contact the school before the preassessment visit and review what you'll need the school coordinator to have ready at the visit to conduct the procedure. Explain to the school coordinator that you will accompany the AC to the visit for this purpose.

Exhibit 7-3 displays the NAEP 2005 New Enrollee Special Study Procedures Checklist, which will be included in your bulk supplies. Supervisors will use this checklist to guide them through the procedures and to record answers to questions about the procedures. Supervisors will then enter the responses in the SCS (see *SCS User's Guide* for more information on this entry).

On the top of the checklist, record the school name, NAEP ID, your name and the date you are conducting this procedure. All schools are asked to maintain a New Enrollee Listing Form, that is, the list of students in the selected grade who have officially enrolled in the school since the date the original list used for sampling was effective. When you accompany the AC on the preassessment visit, you will conduct these new procedures instead of the AC conducting Procedure 8 (Select Sample of Newly Enrolled Students) of the Preassessment Contact Log (part of the Quality Control Booklet).

This procedure involves comparing three rosters of students in order to verify the new enrollees:

- New Enrollee Listing Form—we ask all schools to keep a list of all students who enroll in the school after the date the sampling list is current using the New Enrollee Listing Form (schools can use this form or just keep a list in another format);

- Current Roster—this is a list of all students enrolled in the school at the time of the preassessment visit. You should ask the school coordinator to have this list (sorted alphabetically is best) ready for the preassessment visit; and

- E-File Roster—this is the complete list of students submitted for E-Filing by the school/district /state and is in the School Folder.

Exhibit 7-3. NAEP 2005 New Enrollee Special Study Procedures Checklist

NAEP 2005 NEW ENROLLEE SPECIAL STUDY PROCEDURES CHECKLIST

SCHOOL NAME: ____ SCHOOL ID: ____________________

SUPERVISOR NAME: ____ DATE:__________________________

Before the preassessment visit, contact the school coordinator and request that the school create and maintain a list (New Enrollee Listing Form) of all students in the selected grade who have officially enrolled in the school since the date that the original E-File roster was effective (for date, see "Instructions for Sampling New Enrollees" in school folder). Also, inform the school coordinator that you will need a list of all students currently enrolled ("current roster") in the sampled grade on the day of the pre-assessment visit. It would be best if this were sorted alphabetically.

Steps during preassessment visit at the school:

1. Obtain from the school coordinator the New Enrollee Listing Form and answer A1 (and A2 if necessary).

A1. Did school maintain a list of newly enrolled students? ☐ Yes, continue with step 2. ☐ Yes, but there were no new enrollees; continue with step 2. ☐ No, go to A2 ➔	A2. Did the school provide a list of newly enrolled students today? ☐ Yes, continue with step 2. ☐ Yes, but there were no new enrollees; continue with step 2. ☐ No, continue with step 2.

2. Current roster.

B. Did school provide a list of currently enrolled students (enrolled on day of preassessment visit)?
☐ Yes. ☐ No.

If the school provided a new enrollee list, continue with step 3.

If the school could not provide a new enrollee list or says that there were no new enrollees and has provided a current roster, skip to step 4.

If the school could not provide a new enrollee list or a current roster, end of procedure.

3. Count the names on the new enrollee list and record in B1 below.

B1. _______(#) of names on the new enrollee list.

Compare the names on the new enrollee list to the E-File roster (the list of students submitted by the school/district/state for E-Filing located in the school folder).

Names appearing on both rosters should be crossed off the new enrollee list. Count the number of names you cross off the new enrollee list and record the total number of these in B2 below.

B2. _______(#) of names on new enrollee list which were also on the E-File roster.

Names only appearing on the new enrollee list should be highlighted.

If the answer to B. is "No" (school could not provide a current roster), skip to step 7 unless this is a year-round schools. For year-round schools, cross off the new enrollee list any highlighted names of students who will be off-tract on assessment day and skip to step 7.

4. Compare the names on the E-File roster with the names on the current roster. Names appearing on both rosters should be crossed off the current roster. Names only appearing on the current roster should be highlighted. Count the highlighted names and record in C1 below unless this is a year-round school. For year-round schools, skip C1 and go to "Year-Round Schools Only".

C1. ________(#) of names on the current roster that were not on the E-File roster.

If C1 = 0, skip to step 6, else go to step 5.

4a. Year-Round Schools Only. Cross out the names of any highlighted students on the current roster and/or the new enrollee list who will be off-track on the scheduled date of assessment.

Count and record the number of these students who are highlighted and crossed out in C1a below.

C1a. ________(#) of names which were not on the E-File roster who are on the current roster, but will be off-track on assessment day.

Count and record the number of the students who are currently enrolled and will be on-track on C1b below.

C1b. ________(#) of names which were not on the E-File roster who are on the current roster, and will be on-track on assessment day.

If C1b = 0, skip to step 6, else proceed below.

The highlighted names on the current roster constitute the supplemental student sampling roster.

If there is no school-generated new enrollee list, skip to step 7, else continue with step 5.

5. Highlighted names on the current roster (the supplemental student sampling roster) should be compared to the highlighted names on the new enrollee list. (Do not consider any names you have crossed out.) If a name on the supplemental student roster is also on the new enrollee list, put a check mark next to it on both rosters.

Count the names highlighted on the supplemental sampling roster who do not have a checkmark and record the number below, if there are any.

C2. ________(#) Of the number in "C1", the number of those students that were not on new enrollee list.

6. If there are any highlighted student names (not crossed out) on the new enrollee list that do not have a check mark, ask the school coordinator why they are not on the current roster.

If these students are no longer enrolled in the school, cross them off the new enrollee list.

If these students are currently enrolled, add their names to the current roster and highlight them and record the number added below.

D.1 ________(#) students on the new enrollee list who should have been on the current roster, but were not.

Exhibit 7-3. NAEP 2005 New Enrollee Special Study Procedures Checklist (continued)

7. On the supplemental student sampling roster (the highlighted names on the current roster) or on the new enrollee list if the school could not provide a current roster, consecutively number the names that are highlighted, but not crossed out.

   D.2 ________(#) students eligible for the supplemental student sampling.

8. Using the line numbers on the Instructions for Sampling New Enrollees (step 4) for this school, select the supplemental student sample by putting the session type abbreviation next to the selected line number/student name. Record number sampled below.

   D3. ______ (#) students sampled from supplemental student sampling roster.

9. Add the selected student names and demographic data to the appropriate Administration Schedule(s). Be sure to enter a "1" in the column M ("New Enrollee") of the Administration Schedule(s) for each selected newly enrolled student.

10. Remind the school coordinator that the parents of all sampled newly enrolled students must be notified abut the assessment before they can be assessed.

Record the information from questions A, B, C, and D in the SCS School Edit page, Sampling tab by clicking on the "New Enrollee Special Study" link.

Step 1. Begin by obtaining the New Enrollee Listing Form from the school coordinator and continue to Step 2. If the New Enrollee Listing Form is not available or there are no new enrollees, continue to Step 2.

Step 2. Ask the school coordinator to produce an alphabetical list of all students currently enrolled in the school (Current Roster). You should alert the school coordinator before the preassessment visit that you will need this list.

- If you have the New Enrollee Listing Form (with new enrollees) and the Current Roster, go to Step 3.
- If you do not have the New Enrollee Listing Form (or there are no new enrollees) and you do have the Current Roster, go to Step 4.
- If you do not have the New Enrollee Listing Form (or there are no new enrollees) and you do not have the Current Roster, end the procedure.

Step 3.

- Count the names on the New Enrollee Listing Form.
- Compare the names on the New Enrollee Listing Form and the E-File Roster (in the School Folder).
- Names appearing on both lists should be crossed off the New Enrollee Listing Form.
- Count the names crossed off the New Enrollee Listing Form.
- Highlight remaining names on the New Enrollee Listing Form.
- If this is a year-round school, cross off any highlighted names on the New Enrollee Listing Form who will be off-track on assessment day and skip to Step 7.
- If you do not have a Current Roster, skip to Step 7. Otherwise, continue with Step 4.

Step 4. **(Non-year-round school only)**

- Compare the names on the E-File Roster to the names on the Current Roster.
- Names appearing on both lists should be crossed off the Current Roster.
- Name only appearing on the Current Roster should be highlighted.
- Count the number of highlighted names on the Current Roster (non year-round schools only. See below for year-round school instructions). If this number is zero (0), skip to Step 6.

- The highlighted names on the Current Roster are the Supplemental Student Sampling Roster.

Step 4a. (Year-round school only)

- Cross out the names of any highlighted students on the Current Roster and the New Enrollee Listing Form who will be off-track on assessment day.

- Count the number of <u>off-track</u> highlighted names on the Current Roster.

- Count the number of on-track highlighted names on the Current Roster. If this number is zero (0), skip to Step 6.

- The highlighted names on the Current Roster are the Supplemental Student Sampling Roster.

- If you do not have the New Enrollee Listing Form from the school, go to Step 7. Otherwise, go to Step 5.

Step 5.

- Compare the Supplemental Student Sampling Roster (highlighted names on the Current Roster) with the highlighted names that are not crossed out on the New Enrollee Listing Form.

- For the names that appear on both lists, put a check mark next to those names on both lists.

- Count the highlighted names on the New Enrollee Listing Form that do not have a check mark.

Step 6.

- If there are any highlighted names on the New Enrollee Listing Form that do not have a check mark, ask the school coordinator why they are not on the Current Roster.

- If the students in question are no longer enrolled in the school, cross them off the New Enrollee Listing Form.

- If the students in question are currently enrolled, add their names to the Current Roster and highlight them.

- Count the names that are highlighted and not checked off on the New Enrollee Listing Form.

Step 7. On the Supplemental Student Sampling Roster (highlighted names on the Current Roster), or on the New Enrollee Listing Form (if the school could not provide a Current Roster) consecutively number the names that are highlighted, but not crossed off.

Step 8.

- Using the line numbers on the Instructions for Sampling New Enrollees for this school (in the School Folder), select the sample of new enrollees by recording the session code next to the selected number/student name.

- Count the number of students sampled.

Step 9. Add the selected student names and demographic data to the appropriate Administration Schedules. Be sure to enter a 1 in column M (New Enrollee) on the Administration Schedules.

Step 10. Remind the school coordinator that the parents of all sampled newly enrolled students must be notified about the assessment before they can be assessed.

When you leave the school, enter the recorded responses from questions A, B, C, and D in the SCS. See the *SCS User's Guide* for more information on how to make these entries.

7.5 NAGB Criteria for Inclusion

The NAEP policies and practices on inclusion have evolved over the years. The criteria for inclusion have been evaluated and updated several times. In 1995, NAEP pilot tested administering accommodations for the first time. In 2004, we pilot tested several methods of increasing inclusion. One method was the use of a decision tree that could guide school staff to logical and uniform decisions regarding accommodations and inclusion. Another method was distributing a letters from the Office of Special Education Programs (OSEP), encouraging inclusion. Both of these are incorporated into the 2005 NAEP procedures.

At the same time, as NAEP piloted new inclusion techniques, NAGB convened a group of national experts to address the same issue – increased inclusion in NAEP. This group developed materials that we will pilot in 100 schools. In these schools you will use the NAGB inclusion materials instead of the NAEP inclusion materials.

NAEP strives to include as many students with disabilities (SD) and/or limited English proficiency (LEP) as possible with appropriate accommodations as necessary. Decisions about inclusions and accommodations should be made in consultation with knowledgeable school staff, such as IEP/504 teams, ESL teachers, school psychologists, and classroom teachers. NAEP provides a number of tools to help knowledgeable school staff decide whether to include a SD and/or LEP student without accommodations, with accommodations, or to exclude the student, including:

- SD and/or LEP Questionnaires – collects information about the student's educational experience;
- Criteria for Inclusion – describes NAEP's policy on inclusion;
- Decision Tree – used in conjunction with the SD and/or LEP Questionnaires to guide the inclusion decision; and
- List of Frequently Provided Accommodations – identifies the most frequently used accommodations and indicates whether or not NAEP allows them.

The National Assessment Governing Board (NAGB) is interested in testing a different version of the Decision Tree in 50 grade 4 and 50 grade 8 pilot (beta) schools. In consultation with their field manager, supervisors will select the schools in their region (if any) and conduct the preassessment visit for those selected schools. Once you've selected the schools for which you will be using the NAGB SD and/or LEP inclusion booklets, you should update the SCS using the NAGB Criteria for Inclusion link to record your selections. See the *SCS User Guide* for more information on updating this link.

Exhibit 7-4 displays the Checklist for Administering the NAGB inclusion booklet. Once you have selected the schools for which the NAGB inclusion booklet will be implemented, you will prepare the SD and LEP Questionnaires that will be included in the preassessment packets that are sent to the schools. You should include the 3-page NAGB Inclusion of Students with Disabilities booklet and/or the 3-page NAGB Inclusion of Limited English Proficient Students booklet **instead** of the 4-page NAEP inclusion booklets.

The 3-page NAGB Inclusion of Students with Disabilities booklet contains the following materials:

- Cover Notice for Inclusion of Students with Disabilities (Exhibit 7-5);
- NAGB Decision Tree for Students with Disabilities (Exhibit 7-6); and
- Accommodations Permitted by NAEP for Students with Disabilities (Exhibit 7-7).

The NAEP Inclusion of Students with Disabilities booklet (see Appendix E) contains the NAEP Criteria for Inclusion, which is not included in the NAGB booklet.

Exhibit 7-4. Checklist for Administering the NAGB Criteria for Inclusion

NAEP 2005
Checklist for Administering the NAGB Criteria for Inclusion

- ❒ Prepare for the Preassessment Visit.
  - ❒ Select the eligible schools in your region for which you will administer the NAGB Criteria for Inclusion. You will need to conduct the preassessment visit for these schools (instead of the AC).
  - ❒ For the selected schools, prepare the SD/LEP questionnaires to send in the school packets
    - ➢ Insert the 3-page **NAGB** Inclusion (SD and/or LEP) booklet instead of the 4-page **NAEP** Inclusion booklet (SD and/or LEP).
  - ❒ The supervisor will keep the school folder and contact the school to schedule and confirm the preassessment visit.
    - ➢ Encourage the school coordinator to collect the completed SD and/or LEP Questionnaires by the preassessment visit.
- ❒ Conduct the Preassessment Visit.
  - ❒ For SD students, use the NAGB pilot Inclusion of Students with Disabilities in NAEP booklet and the responses to Q11-15 from the completed SD Questionnaires for those students to guide inclusion and accommodation decisions.
  - ❒ For LEP students, use the NAGB pilot Inclusion of Limited English Proficient Students in NAEP booklet and the responses to Q11-13 from the completed LEP Questionnaires for those students to guide inclusion and accommodation decisions.
  - ❒ Determine which SD and/or LEP students need accommodations and what accommodations they will need. Enter code in column P on the Administration Schedule.
  - ❒ Determine which SD and/or LEP students cannot be assessed and the reason. Enter code in column P on the Administration Schedule.
  - ❒ Complete the NAGB Criteria for Inclusion Debriefing Questionnaire and review with your field manager. Place the completed questionnaire in the School Folder.
  - ❒ Update the SCS using the NAGB Criteria for Inclusion flag, (see the *SCS User's Guide*).

Exhibit 7-5. Cover Notice for Inclusion of Students With Disabilities

Inclusion of Students with Disabilities in NAEP
(NAGB Pilot)

NAEP strives to include as many students as possible with appropriate accommodations as necessary. Decisions about inclusion and accommodations should be made in consultation with knowledgeable school staff, such as IEP teams, 504 teams, school psychologists, and teachers. Decision makers should note that NAEP does not provide individual scores, and group results do not have an effect on state-based performance initiatives or accountability standards.

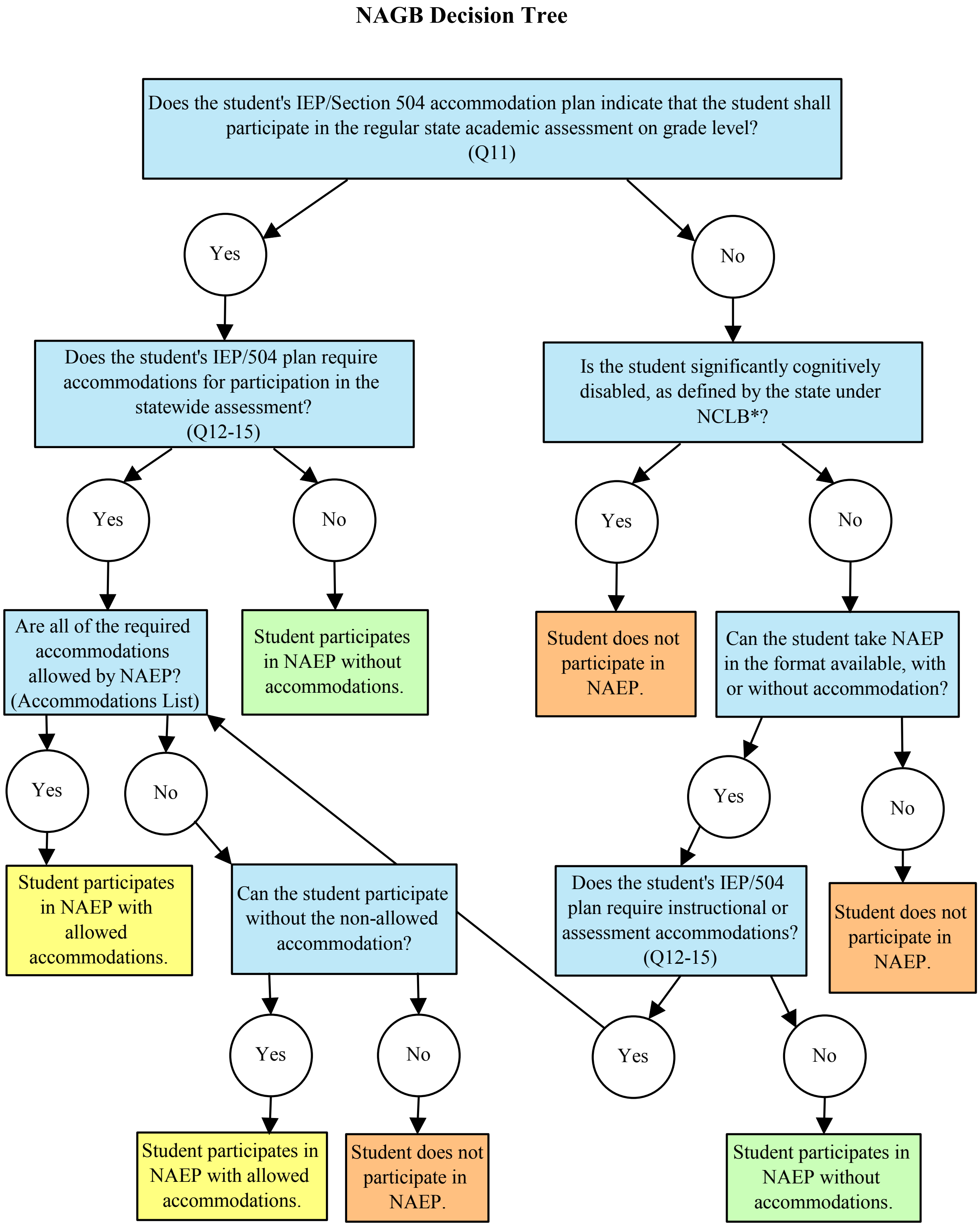
NAEP provides the following tools to help knowledgeable school staff decide whether to include a student with disabilities without accommodations, with accommodations, or to exclude the student:

- **Student with Disabilities (SD) Questionnaire:** Collects information about the student's educational experiences.
- **Decision Tree:** Used in conjunction with the SD Questionnaire to guide the inclusion decision. (page 2, this document)
- **List of Frequently Provided Accommodations:** Identifies the most frequently used accommodations and indicates whether or not NAEP allows them. (page 4, this document)

The staff member most knowledgeable about each student's disability should first complete the SD Questionnaire and then return the completed SD Questionnaire and recommendations for participation to the school coordinator. We ask that this be done prior to the preassessment visit, which occurs about two weeks before the assessment date so that NAEP staff can make arrangements to provide the appropriate accommodations. If you have questions, please contact the NAEP Help Desk at 1-800-283-NAEP (6237) or your NAEP representative.

THANK YOU VERY MUCH!

Exhibit 7-6. NAGB Decision Tree for Students With Disabilities



*NCLB - No Child Left Behind Act of 2001

Exhibit 7-7. List of Frequently Provided Accommodations for Students With Disabilities

LIST OF FREQUENTLY PROVIDED ACCOMMODATIONS FOR STUDENTS WITH DISABILITIES

The most common accommodations are listed below along with an indication of whether they are permitted for NAEP assessments. Other accommodations may be permitted. When in doubt, ask the NAEP representative.

	Permitted by NAEP in:			
Accommodations for SD Students	**Reading**	**Mathematics**	**Science**	**Other**
Presentation Format				
Read directions aloud/Repeat directions*	Yes	Yes	Yes	Yes
Use audio taped version of the test	**No**	**No**	**No**	**No**
Sign directions	Yes[(1)]	Yes[(1)]	Yes[(1)]	Yes[(1)]
Assist with interpretation of directions	Yes	Yes	Yes	Yes
Read problems, passages, test questions, or other test stimuli aloud to the student	**No**	Yes	Yes	Yes
Braille edition of test	**No[(1)]**	**No[(1)]**	**No[(1)]**	**No[(1)]**
Large-print edition of test	Yes	Yes	Yes	No[(1)]
Use magnifying equipment[(1)]	Yes	Yes	Yes	Yes
Person familiar to student administers test	Yes	Yes	Yes	Yes
Response Format				
Respond in Braille	Yes	Yes	Yes	Yes
Respond in sign language	**No[(1)]**	**No[(1)]**	**No[(1)]**	**No[(1)]**
Point to answers	Yes	Yes	Yes	Yes
Oral responses	Yes	Yes	Yes	Yes
Tape record answers	**No**	**No**	**No**	**No**
Use computer or typewriter to respond	Yes	Yes	Yes	Yes
Use template to respond	Yes	Yes	Yes	Yes
Use large marking pen or special writing tool	Yes	Yes	Yes	Yes
Write directly in test booklet*	Yes	Yes	Yes	Yes
Use talking, Braille or other calculators	**No**	**No**	**No**	**No**
Setting Format				
Test in small group or individually	Yes	Yes	Yes	Yes
Administer test in separate room	Yes	Yes	Yes	Yes
Preferential seating, special lighting or furniture	Yes	Yes	Yes	Yes
Other Accommodations				
Extended time	Yes	Yes	Yes	Yes
Breaks during test	Yes	Yes	Yes	Yes
Test sessions over several days	**No**	**No**	**No**	**No**
Abacus, Arithmetic tables, Graph paper, Thesaurus	**No**	**No**	**No**	**No**
Spelling and grammar checking software and devices	**No**	**No**	**No**	**No**

[1]Not provided by NAEP, but school, district, or state may provide after fulfilling NAEP security requirements.

*Part of NAEP, not considered an accommodation.

The 3-page NAGB Inclusion of Limited English Proficient Students booklet contains the following materials:

- Cover Notice for Inclusion of Limited English Proficient Students (Exhibit 7-8);
- NAGB Decision Tree for Limited English Proficient Students (Exhibit 7-9); and
- Accommodations Permitted by NAEP for Limited English Proficient Students (Exhibit 7-10).

The NAEP Inclusion of Limited English Proficient Students booklet (see Appendix E) contains the NAEP Criteria for Inclusion, which is not included in the NAGB booklet.

Since you are conducting the preassessment visit, you will contact the school to schedule the visit. You will keep the school folder in order to conduct the scheduling and confirmation phone calls, as well as the preassessment visit. When you call to confirm the preassessment visit (2 days after the preassessment packet was sent), you will encourage the school coordinator to collect the completed SD and/or LEP Questionnaires before the preassessment visit.

During the preassessment visit, you should use the appropriate NAGB inclusion booklet and the completed SD and/or LEP Questionnaires to guide inclusion and accommodation decisions. Conduct the procedure even if the school coordinator has already determined the participation status of each SD and/or LEP student in order to confirm those accommodation and inclusion decisions. Update column P of the Administration Schedule with appropriate accommodation or exclusion codes.

After you've conducted the procedure outlined above, please complete the short NAGB Criteria for Inclusion Debriefing Questionnaire, which will be included in your bulk supplies (Exhibit 7-11). Review this questionnaire with your field manager during your report calls. Once you've reviewed the debriefing questionnaire with your field manager, include the questionnaire in the School Folder before you send it back to the home office.

Finally, you'll need to update the SCS with the results of the visit. See the *SCS User Guide* for instructions on making this updates in the SCS.

Exhibit 7-8. Cover Notice for Inclusion of Limited English Proficient Students

Inclusion of Limited-English-Proficient Students in NAEP

(NAGB Pilot)

NAEP strives to include as many students as possible with appropriate accommodations as necessary. Decisions about inclusion and accommodations should be made in consultation with knowledgeable school staff, such as ESL teachers, school psychologists, and classroom teachers. Decision makers should note that NAEP does not provide individual scores, and group results do not have an effect on state-based performance initiatives or accountability standards.

NAEP provides the following tools to help knowledgeable school staff decide whether to include a limited English proficient student without accommodations, with accommodations, or to exclude the student:

- **Limited-English-Proficient Student (LEP) Questionnaire:** Collects information about the student's educational experiences.
- **Decision Tree:** Used in conjunction with the LEP Questionnaire to guide the inclusion decision. (page 2, this document)
- **List of Frequently Provided Accommodations:** Identifies the most frequently used accommodations and indicates whether or not NAEP allows them. (page 4, this document)

The staff member most knowledgeable about each student's English proficiency should first complete the LEP Questionnaire and then return the completed LEP Questionnaire and recommendations for participation to the school coordinator. We ask that this be done prior to the preassessment visit, which occurs about two weeks before the assessment date so that NAEP staff can make arrangements to provide the appropriate accommodations. If you have questions, please contact the NAEP Help Desk at 1-800-283-NAEP (6237) or your NAEP representative.

THANK YOU VERY MUCH!

Exhibit 7-9. NAGB Decision Tree for Limited English Proficient Students

NAGB DECISION TREE

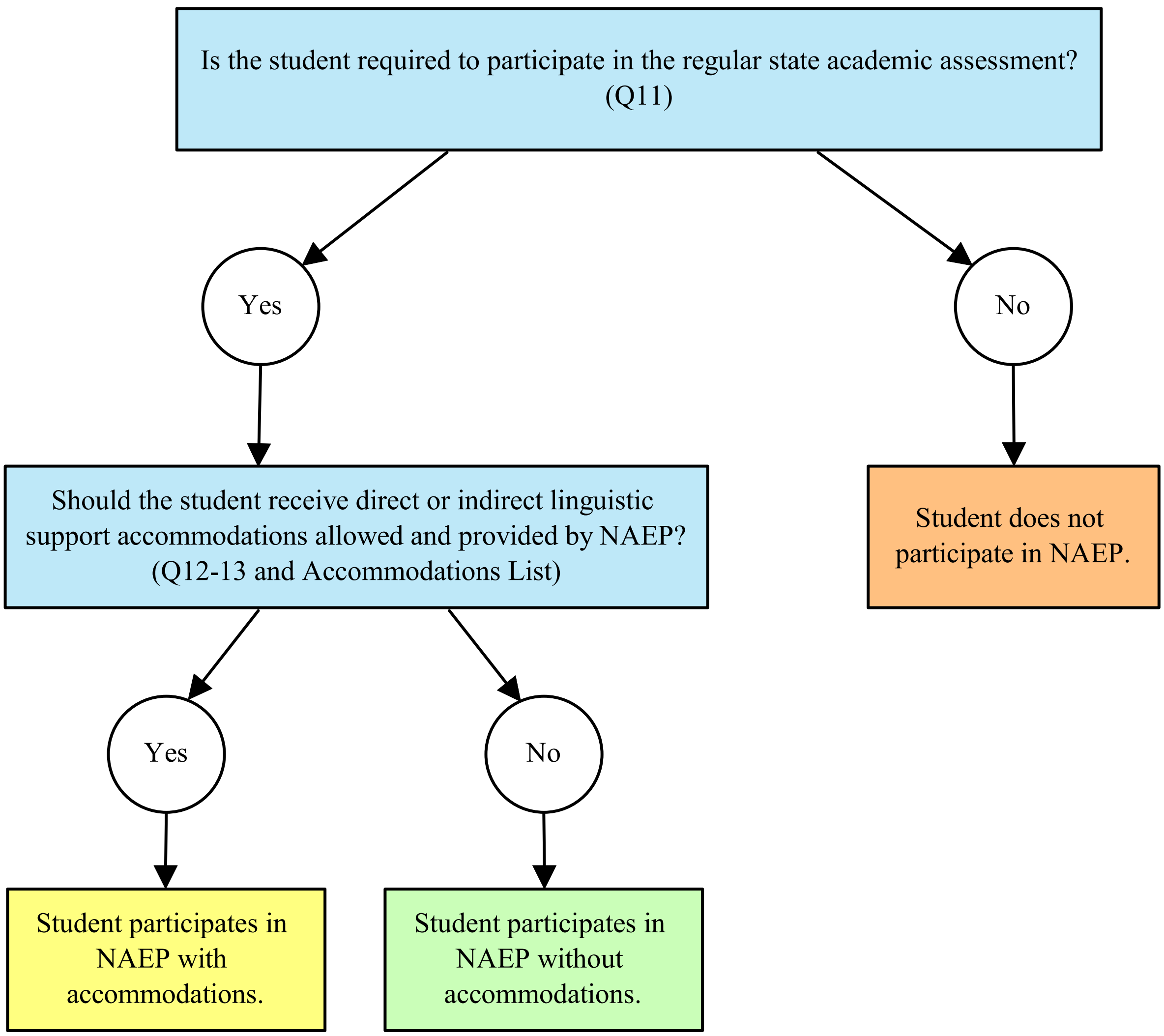


Exhibit 7-10. List of Frequently Provided Accommodations for Limited English Proficient Students

LIST OF FREQUENTLY PROVIDED ACCOMMODATIONS FOR LIMITED-ENGLISH-PROFICIENT STUDENTS

NAEP permits students to use most accommodations that are provided to them on state or district achievement tests. The most common accommodations are listed below along with an indication of whether they are permitted for NAEP assessments. Other accommodations may be permitted. When in doubt, ask your NAEP representative.

Accommodations for LEP Students	Reading	Mathematics	Science	Other
Native language version of test	**No**	**No**	**No**	**No**
Bilingual version of test (Spanish/English)	**No**	**Yes**	**Yes**	**No**
Bilingual word lists or glossaries (Spanish/English)	**No**	**No**	**Yes**	**No**
Bilingual dictionary without definitions	**No**	**Yes**	**Yes**	**Yes**
Directions translated aloud into native language or presented by audiotape	**No**	**No**	**No**	**No**
Student's oral or written responses translated into written English	**No**	**No**	**No**	**No**
Passages, other stimulus materials, or test questions read aloud in English or presented by audiotape	**No**	**Yes**	**Yes**	**Yes**
Directions read aloud in English or presented by audiotape*	**Yes**	**Yes**	**Yes**	**Yes**
Passages, other stimulus material, or test questions translated aloud into native language or presented by audiotape**	**No**	**No**	**No**	**No**
Small group	**Yes**	**Yes**	**Yes**	**Yes**
One-on-one (tested individually)	**Yes**	**Yes**	**Yes**	**Yes**
Extended time	**Yes**	**Yes**	**Yes**	**Yes**
Preferential seating	**Yes**	**Yes**	**Yes**	**Yes**

*Standard NAEP practice. Not considered an accommodation.

**For Spanish/English bilingual math and science, this would be standard NAEP practice. Not allowed otherwise.

Exhibit 7-11. NAGB Criteria for Inclusion Debriefing Questionnaire

NAGB Criteria for Inclusion Debriefing Questionnaire

School Name:____

NAEP ID# _________________________

Territory: __________Region: __________ Area: ____________

Supervisor Name: ____

1. Did you use the NAGB Criteria for Inclusion to help guide the inclusion decisions in this school?
   - ❐ Yes, Criteria for Including Students with Disabilities
   - ❐ Yes, Criteria for Including Limited English Proficient Students
   - ❐ Yes, both
   - ❐ No (End Questionnaire)

2. How helpful was the NAGB Criteria for Inclusion in helping to guide inclusion decisions?
   - ❐ Very helpful
   - ❐ Somewhat helpful
   - ❐ Not helpful at all
   - ❐ Comments: ____

3. Please provide any other comments that you think would be helpful in evaluating this procedure.

7.6 Criteria for Including SD and/or LEP Students in Science Bridge Sessions

As discussed previously, we are conducting science sessions in selected pilot session schools using items and procedures from the NAEP 2000 science assessment. The purpose of this study is to collect data on what, if any, effects result from rearranging the order of the assessment booklet sections and the timing of the science assessment, thus providing a link or "bridge" between the past and future assessments.

Since we must replicate the procedures used for the NAEP 2000 science assessment, we must also use the same criteria for including students with disabilities and limited English proficient students in these sessions that we used in NAEP 2000. When supervisors prepare the preassessment school packets for schools that contain a science bridge session, they must conduct the following special procedures:

- Prepare and insert the Instructions for School Coordinators – Science Bridge (Exhibit 7-12);
- Insert the 1-page (front and back) NAEP 2005 Science Bridge Study Criteria for Including Students with Disabilities or Limited English Proficient Students in Science Bridge Sessions (Exhibit 7-13); and
- Prepare the Science Bridge Accommodations Worksheet (Exhibit 7-14) by listing the students in the science bridge session(s) and indicating if they are SD and/or LEP.

Since it's likely that the science bridge sessions will be conducted along with other operational and/or pilot sessions, supervisors will not only insert the 1-page criteria for including SD and/or LEP students in science bridge sessions, but also the appropriate NAEP inclusion booklets.

You should band together the SD and/or LEP questionnaires for the students in science bridge session and place the Science Bridge Accommodations Worksheet and NAEP 2005 Science Bridge Study Criteria for Including Students with Disabilities or Limited English Proficient Students on top of those questionnaires. Then make a second stack with the remaining SD and/or LEP questionnaires, the regular Accommodations Worksheet and the appropriate NAEP inclusion booklets.

Exhibit 7-12. Instructions for School Coordinators - Science Bridge

Dear:_____________________,

We greatly appreciate your support of the National Assessment of Educational Progress (NAEP) and the participation of your school in the 2005 assessment program. We are pleased that you are serving as the coordinator for NAEP activities at your school.

The assessment at your school is scheduled for: ______________________(Date)

As the NAEP school coordinator, you will need to use the enclosed materials in this Preassessment Packet to complete the activities described below before the assessment. A NAEP representative will visit or call you shortly after you received this packet to review its contents with you, answer any questions you may have, and confirm the scheduled preassessment visit.

Enclosed materials:

Document name	Quantity	Purpose of document
Cover Letter with Instructions for School Coordinator (SB)	One per school; yellow paper	Instructions to the school coordinator for preparing NAEP materials and coordinating assessment arrangements with the AC.
Administration Schedule (school copy)	One per session	Master list of students selected for the assessment. Used to distribute materials, track assessment booklets, and report student attendance.
Roster of Questionnaires (copy of the original)	One per grade – Exception: Grade 8 operational has two rosters – an Operational and a Supplemental SD/LEP Roster	Used to assign and track each of the School, Teacher, SD, and LEP Questionnaires.
School Questionnaire	One per grade per school	Collects information about the school's characteristics, staff, and instructional programs.
Teacher Questionnaire	One per teacher who teaches the subjects being assessed to students in the selected grade	Collects information about teachers' backgrounds and instructional practices.
Economics Dept. Chair Questionnaire (grade 12 only)	One per Economics Department Chair for schools conducting pilot sessions	Collects information about the department chair's background, instructional practices, and the department's staff.
SD Questionnaire	One for each student on the Administration Schedule identified as having a disability	Collects important information about a student's disability.
LEP Questionnaire	One for each student on the Administration Schedule identified as having limited English proficiency	Collects important information about a student's English language proficiency.

Exhibit 7-12. Instructions for School Coordinators - Science Bridge (continued)

Document name	Quantity	Purpose of document
Accommodations Worksheet	One or two per school; white paper	Used by school coordinator to keep track of decisions regarding accommodation.
Science Bridge Accommodations Worksheet (only for schools with a science bridge session)	One or two per school; yellow paper	Used by school coordinator to keep track of decisions regarding accommodations for SD/LEP students in the science bridge session.
Inclusion of Students with Disabilities in NAEP	One per school (if school has one or more students identified as SD on the Administration Schedule)	Used by school to determine if students with disabilities can be included in the assessment, and if so, what accommodations, if any, will be needed to assess them. Document contains Criteria for Inclusion, Decision Tree, and List of Frequently Provided Accommodations.
Inclusion of Limited-English-Proficient Students in NAEP	One per school (if school has one or more students identified as LEP on the Administration Schedule)	Used by school to determine if students with limited English proficiency can be included in the assessment, and if so, what accommodations, if any, will be needed to assess them. Document contains Criteria for Inclusion, Decision Tree, and List of Frequently Provided Accommodations.
Science Bridge Criteria for Inclusion (only for schools with a science bridge session)	One per school (if school has one or more students identified as LEP on the Administration Schedule); yellow paper	Used by school to determine if students with disabilities and/or limited English proficiency can be included in the assessment, and if so, what accommodations, if any, will be needed to assess them.
New Enrollee Listing Form	One per school; white paper	Used to list students who have enrolled at the school since the original list of eligible students was sent to NAEP or for students who were inadvertently left off the original list.
U.S. Department of Agriculture Letter	One per school; blue paper	Authorizes the disclosure of the National School Lunch Program information for the selected students.
Example Teacher Notification Letter	One per school; white paper	Explains the assessment and its importance to teachers of students selected for the assessment and lists assessment session locations within the school. May be modified with individual school information.
Sample Parent Notification Letter	One per school; white paper	Explains the assessment and its importance to parents of students selected for the assessment. May be modified to satisfy No Child Left Behind notification requirement and any parental notification requirements of the district and school.
A Teacher's Guide to NAEP	One per Teacher Questionnaire being distributed	Provides information about NAEP that is of interest to teachers.

Exhibit 7-12. Instructions for School Coordinators - Science Bridge (continued)

Document name	Quantity	Purpose of document
Demonstration Booklet	One per school per grade and session type (operational/pilot)	Contains NAEP 2005 background questionnaires accompanied by explanations, rationales, and sample assessment items.
NAEP Reading, Mathematics, and Science Frameworks	One of each subject being assessed in the school	Describes the test design and content of the reading, mathematics, and science assessments.
Student Appreciation Certificates and preprinted labels (grades 8 and 12 only)	One pad per Administration Schedule	May be used as appointment cards for students selected for the assessment. Most schools will be provided with labels that contain student names to affix on the certificate. If grade 12, certificates will provide instructions for students to bring their own calculator to the assessment should be included with the pad.
NAEP Storage Envelope	One per school	Used by the school to hold the NAEP material needed by the NAEP team on assessment day and for storage of the material at the school following the assessment.

<u>School Coordinator Activities</u>:

Step 1. Send Parent Letters

- The No Child Left Behind legislation requires that the parents of students selected for NAEP assessments be notified in writing that their child has been selected for the assessment and that participation is voluntary. You may adapt the enclosed State Parent Letter or Sample Parent Notification Letter to satisfy the No Child Left Behind requirement and any parental notification requirements of your district and/or school. If you have not already done so, you should send the parent letters as soon as possible. You will need to provide the NAEP representative with a dated copy of the notification sent to parents. We will not be able to assess until all parents have been notified.

Step 2. Distribute the School Questionnaire

- Please give the School Questionnaire to the principal to be completed either online, as explained on the questionnaire cover, or in the hard-copy booklet. It should be completed and returned to you before assessment day.

- Record the name of person to whom you will give the questionnaire on the "Distributed to:" line in the top-left corner of the front page of the Roster of Questionnaires. If you wish, you may also write the recipient's name on the removable label affixed to the questionnaire cover.

Step 3. Distribute the Teacher Questionnaires

- **(Grades 4 and 8 with Operational Sessions Only)** Please give an appropriate Teacher Questionnaire to each staff member who teaches mathematics, science, and reading or English at the grade to be assessed.
- **(Grades 4 and 8 with Operational and Pilot Sessions)** Please give an appropriate Teacher Questionnaire to each staff member who teaches mathematics, science, reading or English, and U.S history/civics at the grade to be assessed.
- **(Grades 4 and 8 with Pilot Sessions Only)** Please give a Teacher Questionnaire to each staff member who teaches U.S history/civics.
- **(Grade 12 with Pilot Sessions)** Please give an Economics Teacher Questionnaire to each staff member who teaches Economics and an Economics Chair Questionnaire to the Economics department chairperson(s).

- Teacher Questionnaires may be completed online, as explained on the questionnaire cover, or in the hard-copy booklet. All questionnaires should be completed and returned to you before assessment day.

- Each Teacher Questionnaire has a unique 10-digit ID number printed below the bar code in the lower left corner of the questionnaire. The ID number for each Teacher Questionnaire included in this packet has been recorded on the back of the Roster of Questionnaires in the column labeled "Teacher Questionnaire ID #." Please assign a specific questionnaire to each teacher by linking the questionnaire ID number with a teacher's name. Do this by recording the name of the teacher to whom you will give the questionnaire in the "Teacher's Name" column next to the questionnaire ID number. Please include a copy of the *Teacher's Guide to NAEP* with each Teacher Questionnaire.

- To further help you distribute the assigned questionnaire booklets to the correct teachers, you may write the name of the person to whom you are giving the questionnaire on the removable label affixed to the questionnaire cover.

Step 4. Distribute and Collect the SD and/or LEP Questionnaires

- An SD and/or LEP Questionnaire must be completed for each student classified as SD or LEP on the Administration Schedule, regardless of whether or not the student will be assessed. Please distribute an SD and/or LEP Questionnaire to the school staff member most knowledgeable about the disabilities and/or English proficiency of the student named on each questionnaire cover. SD and LEP Questionnaires must be completed in the hard-copy booklet.

  - The unique 10-digit ID number for each SD and LEP Questionnaire included in this packet has been recorded on the front of the Roster of Questionnaires in the column labeled "SD/LEP Questionnaire ID #." Each questionnaire has already been assigned to a specific student. The student's name and assessment booklet ID number from the Administration Schedule has been recorded next to the questionnaire ID number in the columns labeled "Student's Name" and "Student Booklet ID #." To assist you in distributing the SD and LEP Questionnaires to the appropriate staff member, you may enter the teacher's name in the "Distributed to:" column next to the student's name on the Roster. If you wish, you may also write the name of the person to whom you are giving the questionnaire next to the student's name, which has already been recorded, on the removable label affixed to the questionnaire cover.

- The information that the school staff member(s) provide in these questionnaires should aid you in recording any necessary accommodations that will be needed for the SD and/or LEP students. Therefore, it is necessary for you to collect the completed questionnaires before completing the last bullet in Step 5.

Step 5. Review the Administration Schedule(s)

- If there are any empty boxes in the columns for homeroom, birth date, sex, race/ethnicity, school lunch status, SD, LEP, and Title I on the Administration Schedule(s), please collect the missing information and enter it directly on the Administration Schedule. We will ask you for the missing student information during the preassessment contact. To assist you with collecting the National School Lunch Program participation status from the appropriate staff persons, a letter from the U.S. Department of Agriculture is included in this Preassessment Packet.

- Columns ***F*** and ***H*** of the Administration Schedule show whether or not each student has been identified as having a disability (SD) or as having limited English proficiency (LEP). You will need to determine if any students listed are incorrectly classified as SD and/or LEP and if any students listed have received an SD and/or LEP classification since the original list was prepared. We will ask you to identify any students whose classification has changed during the preassessment contact. The new classification will need to be entered in column ***G*** or column ***I***.

- For each student classified as SD and/or LEP, consult the completed SD and LEP Questionnaires in order to make one of three decisions about the student: 1) can the student be assessed without an accommodation, 2) can the student be assessed with an accommodation, or 3) should the student be excluded from the assessment. Please review the students listed on the yellow Accommodation Worksheet using the yellow Criteria for Inclusion first. The students in the science bridge session must be considered for inclusion using the same criteria that was used in 2000, the last time this version of science was assessed. Then review all other students on the white Accommodation Worksheet using the Criteria document for 2005. The NAEP representative will talk with you further about these students during the preassessment contact.

Step 6. Inform Teachers of the Assessment

- Enclosed for your use is an informational letter to teachers that may be helpful in notifying the teachers of sampled students about NAEP. This letter briefly explains NAEP and should be accompanied by a list of selected students, such as a copy of the Administration Schedule, so that teachers will know which of their students have been selected for the assessment.

Step 7. Inform Students of the Assessment (Grades 8 and 12 Only)

- One tablet of Student Appreciation Certificates is included in this packet for each grade 8 or 12 assessment session scheduled at your school. You may use the back of the certificates to write the date, time, and location of the assessment for each student. Although you are not required to use these certificates, NAEP has found that doing so improves attendance at the assessment session.

Thank you in advance for completing these activities before the assessment. Remember, a NAEP representative will call you shortly after you receive this packet to review its contents with you, answer any questions you may have, and confirm the date of the preassessment visit. If you have questions or need more materials before then, please contact me at the number listed on my enclosed business card. If you cannot reach me and need immediate assistance, please call the NAEP Help Desk at 1-800-283-(NAEP) 6237.

We look forward to a successful assessment!

Sincerely,

____

NAEP Supervisor

Exhibit 7-13. Criteria for Including SD and/or LEP Students in Science Bridge Sessions

NAEP 2005 SCIENCE BRIDGE STUDY

Criteria for Including Students with Disabilities and Students with Limited English Proficiency in NAEP Assessments

NAEP has developed strict criteria for all schools around the country to use whenever there is doubt about the assessability of a selected student. For the assessments to be comparable within states and across states, it is very important that all schools adhere to these criteria.

1. Students with Disabilities
A student identified on the Administration Schedule as having a disability (SD), that is, a student with an Individualized Education Plan (IEP) or equivalent classification, **should be included** in the NAEP assessment **unless**:

- The IEP team or equivalent group has determined that the student cannot participate in assessments such as NAEP, **OR**

- The student's cognitive functioning is so severely impaired that he or she cannot participate, **OR**

- The student's IEP **requires** that the student be tested with an accommodation that NAEP does not permit, and the student cannot demonstrate his or her knowledge of science without that accommodation.

2. Students with Limited English Proficiency
A student who is identified on the Administration Schedule as limited English proficient (LEP) and who is a native speaker of a language other than English **should be included** in the NAEP assessment **unless**:

- The student has received science instruction primarily in English for **less than 3** school years including the current year, **AND**

- The student cannot demonstrate his or her knowledge of science in English even with an accommodation permitted by NAEP.

3. Consult with School Staff
The decision regarding whether any of the students identified as SD or LEP cannot be included in the assessment should be made in consultation with knowledgeable school staff. The following questions in the SD and LEP Questionnaires also pertain to this decision:

- Students with disabilities: Questions 12 through 16.
- Students with limited English proficiency: Questions 12 through 14.

WHEN IN DOUBT, INCLUDE THE STUDENT.
SEE BACK FOR FURTHER EXPLANATION AND LIST OF THE OFFERED ACCOMMODATIONS.

Exhibit 7-13. Criteria for Including SD and/or LEP Students in Science Bridge Sessions (continued)

NAEP 2005 SCIENCE BRIDGE STUDY

Further Explanations for LEP Students

The phrase "less than 3 school years including the current year" means 0, 1, or 2 school years. Therefore, in applying the criteria, you should perform the following:

- **Include** without any accommodation all LEP students who have received science instruction primarily in English for 3 years or more and those who are in their third year;
- **Include** without any accommodation all other LEP students who can demonstrate their knowledge of science without an accommodation;
- **Include** and provide accommodations permitted by NAEP to other LEP students who can demonstrate their knowledge of science only with those accommodations; and
- **Exclude** LEP students ONLY **if they cannot** demonstrate their knowledge of science even with an accommodation permitted by NAEP.

Accommodations Most Frequently Offered by NAEP

Science Bridge Sessions

- Glossary in Spanish
- Bilingual dictionary
- Large-print booklet
- Extended time in regular session
- Read aloud in regular session
- Small group
- One-on-one
- Scribe or use of computer – used to record answers
- Other – format or equipment accommodations such as a sign language translator, amplification devices, or magnification equipment

Exhibit 7-14. Science Bridge Accommodations Worksheet

Science Bridge Accommodations Worksheet

Below is a list of students selected to participate in NAEP who have been identified as students with disabilities (SD) and/or limited English proficiency (LEP). After the school staff member completes the SD and/or LEP Questionnaire and provides you with information on the student's participation in NAEP, you may use this worksheet as a tool for tracking the decisions regarding accommodations.

Note: This worksheet is an optional tool for your use only, and will not leave the school premises. If you choose to use it, please provide the completed worksheet to the NAEP representative during the preassessment visit. For more information regarding each SD or LEP student's participation in NAEP, refer to the Science Bridge Criteria for Inclusion.

Student Name	Subject S= Science	SD/ LEP	Include Without Accommodations	Extended Time	Read Aloud in Regular Session *(Not allowed for reading)*	Small Group (without Read Aloud)	Small Group (with Read Aloud) *(Not allowed for reading)*	One-on-one	Bilingual Glossary	Bilingual Dictionary *(Not aloud for reading)*	Scribe	Breaks During Test	Magnification Device	School Staff Administers	Other	Exclude

When the AC conducts the preassessment visit, he/she should discuss the SD and/or LEP students in the science bridge sessions before the others. We want the school coordinator to focus on the science bridge SD and/or LEP students using the inclusion criteria from NAEP 2000 before looking at the criteria booklets for NAEP 2005.

7.7 School E-Filing Summary Report

As in previous years, NAEP is committed to providing data of the highest statistical quality. Generally, this begins with the school and student samples that NAEP uses. Westat, as the sampling contactor, draws both the school sample and the student samples using the lists of eligible students submitted by schools, districts, and states. When those student lists are submitted by E-Filing, the lists are run through a series of data checks to verify the quality of the submission. If the checks identify questions or issues, messages are displayed to the E-Filers giving them an opportunity to correct or verify the submitted data.

During the E-Filing process, we did not require that schools, states or large districts use the same codes on their student lists that we use on the Administration Schedules. Therefore, E-Filers "mapped" their demographic variable codes to NAEP values as defined in section 3.4 (Demographic Variable Codes Used on NAEP 2005 Administration Schedules).

For example, a school may use the following SD codes, which the E-Filer mapped to NAEP SD values during E-Filing:

School SD Codes Map to	NAEP SD Values
X	No, not SD
1	Yes, SD

Another E-Filing school may use different SD, which the E-Filer also mapped to NAEP values:

School SD Codes Map to	NAEP SD Values
1	Yes, SD
2	No, not SD

Even though each school uses different SD codes, the E-Filers had the opportunity to map their codes to NAEP SD values.

The data checks are designed to alert E-Filers to possible problems with mapping their codes to NAEP values.

For all schools that E-Filed, we have developed a School E-Filing Summary Report (Exhibit 7-15), which displays the data checks for each school that are unresolved. This report should be included in the School Folder and you should review it with the AC. In some cases, the AC will not need to address the issues with the school coordinator, while in other cases; the AC should review the issues and attempt to resolve them with the school coordinator. Depending on the issue, you should review the proper course of action with your ACs.

Appendix I contains a summary of the error messages that will be printed on the School E-Filing Summary Report.

Exhibit 7-15. School E-Filing Summary Report

NAEP 2005
School E-filing Summary Report

Territory:______________ Region:________________Area: __________ Type of E-File: ____

School ID#:____ School Name: ____

Grade(s) Sampled: ____ # of Sessions: ____

# of Students in Grade____ # of Students Sampled: ____

Summary of E-filing

Date School E-filed: ____ E-filer Name: ____

		Corrected on Admin Schedule	Verified as Correct
Date: ____________	Error Text	❐	❐
Date: ____________	Error Text	❐	❐
Date: ____________	Error Text	❐	❐
Date: ____________	Error Text	❐	❐
Date: ____________	Error Text	❐	❐

8. STAFF EVALUATIONS

Staff evaluation is a critical part of the supervisor job. This evaluation not only summarizes the staff member's performance on the project, but also serves to communicate the staff member's him/her capabilities to other projects that may want to hire after NAEP. At the end of the NAEP field period, supervisors complete the Westat Staff Evaluation Form for each AC, which includes a summary rating and ratings on productivity, accuracy/quality, cooperation, dependability, and refusal conversion (skills). In addition, supervisors will assist their ACs in completing the same evaluation form for AAs. In Chapter 3 we have described tips, techniques, and guidelines for providing ongoing feedback to field staff. As a supervisor and team leader, it is your obligation to provide both positive and negative feedback throughout the study. Each field staff member should know what their evaluation on NAEP will be. There should be no surprises since all staff members should be receiving feedback on their performance throughout the field period.

8.1 Documenting Feedback for Use in Evaluations

The evaluation process is continual and strengths and weaknesses should be documented throughout the duration of the project. Tips and techniques for documenting feedback are reviewed in Section 3.3.2 in chapter 3. As suggested in Section 3.3.2, you should keep a personnel file for each AC and his/her team. Use this file to document:

- **Problems**—Start with the first incident. Don't wait or let an incident pass without documentation. If there's only a single incident, that's fine, but if the problem persists, you'll want an accurate history beginning with the first occurrence.

- **Records of assistance** you have provided in order to document that you have made every effort to retain this person as a productive part of the team.

- **Praise and compliments**—This could be from a school, a NAEP Alliance member, co-workers, or from you. Stick to the facts and comment only on the specific incident. Do not add anything that indicates that future employment is assured or that the person is the "best" staff person.

There are a number of resources that you can and should use to document performance issues for evaluations. They include:

- Emails sent to field staff with receipt and delivery information;
- Weekly production reports;
- Notes from weekly report calls;
- Results of telephone QC;
- In-person observation forms; and
- Documented discussions with your field manager.

We have also developed a NAEP 2005 Team Member Evaluation Form that you can use to record your general impressions of an AC's performance (Exhibit 8-1). You should complete this form (which can be printed from the "NAEP Documents" folder on your laptop) for ACs reporting to you on the following schedule:

For ACs:	Complete the team member evaluation form:
Recruiting Staff	NA – For field manager use only
Gaining Cooperation	NA – For field manager use only
Sampling in Schools	NA – For field manager use only
Preparing Preassessment Packets	Once (December 2004)
Managing Preassessment Activities	Once (February 2005)
Managing Assessment Teams	Twice ▪ Within the first 2 weeks of the field period (first week of February 2004) ▪ 2-3 weeks after the first form is completed (end of February 2004)

Some ACs will be working on more than one phase of NAEP and you should complete a form for each phase on which they work. This will allow you to track and compare an AC's overall performance over time during different tasks. You should file the forms in the AC's personnel file and refer to them when it's time to complete evaluations.

Exhibit 8-1. NAEP 2005 Team Member Evaluation Form

NAEP 2005 Team Member Evaluation

Name of Team Member:___________________________________ **Date Completed:**___________________________

Task (circle one): Recruiting Staff Gaining Coop Sampling Preassess Assess

Does This Team Member/Is This Team Member…

Know what to do and how to do it?	**Always**	**Sometimes**	**Never**	**Would additional training improve this person's performance?** **Yes**	**No**	**Discussed with Team Member?**
Follows established protocols						
Asks for help when necessary						
Reports problems in a timely manner						
Double checks own work						
Complete work on schedule?						
Meet sdeadlines						
Schedules staff appropriately						
Completes required paperwork on time						
Updates the SCS regularly						
Work well with other team members and contribute constructively to the overall effort						
Considered by others to be a team player						
Reliable						
Motivates staff						
Communicates effectively						
Willing to take on additional responsibility when needed						

8.2 Evaluating and Reviewing AC Performance

As mentioned before, the Westat Fieldworker Evaluation Form asks for a summary rating and ratings on productivity, accuracy/quality, cooperation, dependability, and refusal conversion [skills]. We'll review how to complete the form and how to assign the ratings in Section 8.4. As you evaluate your ACs, here are some additional qualities you should think about. Rating and ranking ACs and other staff on these criteria yields detailed information that can be used to match staff strengths and talents to specific positions and in determining promotions, demotions, and dismissals.

Evaluations should be honest and reflect the true performance of the person, not how likable they are. Failure to accurately evaluate a staff member is not fair to others who may want to rehire this person. If you give a person a high rating, then they may be hired on another project with the expectation that they will perform well.

1. **Professionalism. Does/Is the AC…..?**

   - seek new skills and feedback to improve his/her professional role
   - always maintain professional relationships with all project staff (contractor, home office, field managers, other supervisors and their support staff)
   - dress appropriately for the situation (trainings, meetings, schools, or public situations where contractors and clients may observe him/her)
   - act appropriately in the situations mentioned above
   - display a high degree of integrity
   - set interpersonal boundaries to maintain objectivity with him/her staff, contractors, home office, field managers, supervisors, schools, teachers, students, parents, clients, etc.
   - show discretion and share information appropriately
   - keep personal information of others confidential
   - diplomatic in a spectrum of situations

2. **Communication and Interpersonal Skills. Does/Is the AC…?**

   - seek feedback and participate in activities or studies to improve communication and interpersonal skills
   - an effective trainer, teacher, coach, mentor
   - clearly and effectively communicate directions, corrections, concepts, goals, project needs, and tasks to be completed
   - able to relate positively and comfortably to a variety of situations and persons (persons of other racial/ethnic backgrounds, socioeconomic groups, religious backgrounds, and cultures)
   - effective at maintaining school cooperation
   - proficient in written correspondence (reports, emails, etc.)
   - use active listening

- sensitive to the needs of others (thoughtful, polite, caring, but objective, truthful, but sensitive)
- provide timely and effective feedback to others
- have effective conflict resolution and mediation skills
- fair, consistent, and equal in the treatment of others
- have the ability to see both sides of an issue
- not let personal preferences, likes, and dislikes influence professional relationships
- not carry personal problems to the workplace
- self-disciplined and directed
- maintain a positive attitude
- accept constructive feedback (both positive and negative)

3. **Supervisor and Management Skills. Does/Is the AC…..?**

- have a clear understanding of the project and relevant tasks
- display effective organizational and time management skills
- have good leadership and team-building skills
- have effective problem-solving skills including anticipating problems and offering workable solutions
- have good mentoring and coaching skills
- goal oriented and can define and achieve goals
- motivated
- set appropriate priorities
- accept accountability and instill this in others
- know and follow established procedures (both Westat and project-specific)
- offer constructive and honest feedback of problems in the field or concerns about project procedures and policies
- flexible, able to adapt to change, and able to accept change and new approaches
- delegate appropriate tasks to appropriate staff
- reliable/dependable and punctual
- productive and accurate
- display effective scheduling skills for staff, schools, regions/areas
- require little supervision or micromanagement. Does not need to have work corrected or redone. Does not need to have others assist with completing work unnecessarily
- display stress management skills
- self-evaluating

4. **Technical Skills. Does/Is the AC…..?**

- seek to improve technical skills
- facile with spreadsheets and database manipulation
- able to generate useful reports
- able to interpret reports effectively
- display good public speaking skills
- have adequate computer skills

- able to use other technical equipment specific to a project or to general office use such as a fax, scanner, etc.
- conduct web searches for a variety of purposes and information gathering
- keep up with technology relevant to field and improve existing skills

Although all of the above should be considered when evaluating staff, you can also use a very basic approach. Just ask yourself a few simple questions:

- Was it stressful to manage this person?
- Did I need to unnecessarily assign others to complete this person's work?
- Did I have to do damage control on a situation caused by this person?
- Was it often necessary to correct his/her work or ask that it be redone?
- Did I have to micromanage this person?

The responses to those questions can help you identify the overall areas that are successful or need improvement, and help you pinpoint the specific qualities in those areas for evaluation.

8.3 Assisting ACs with AA Evaluations

Supervisors must sign off on the ACs' evaluations of their AA staff. This process is easier if you train ACs to apply the evaluation principles that we've discussed in this manual. It should be stressed to ACs that this is an ongoing process and ACs should not wait until the last minute. ACs (as leaders of their teams) should also be encouraged to help their staff grow into more responsible positions. Detailed and ongoing evaluations provide us with the ability to more clearly make decisions about promotion readiness.

Encourage your ACs to set up individual personnel folders for each member of their staff and use the folder to file documentation of issues, problems, and successes, along with their feedback. This will be a great asset for the AC when it is time to prepare evaluations. ACs should be having regular discussions with you on AA performance issues during the field period. Set aside time with your ACs to review performance in preparation for completing the Westat Staff Evaluation Forms.

The Westat Fieldworker Evaluation Form should be reviewed and explained to ACs at the beginning of the project. ACs should evaluate AA performance in consultation with their supervisors. AAs should be familiar with the form and understand that all employees including ACs and supervisors will be evaluated using similar criteria appropriate to their job description. We’ll review how to complete the form in the next Section.

8.4 Completing the Westat Fieldworker Evaluation Form

As we’ve mentioned before, a Westat Fieldworker Evaluation Form (Exhibit 8-2) must be completed for each field staff member who completed 1 or more hours of field work. This includes those that quit before or after the start of the project, those who never worked, and those who were fired.

The form should be considered and completed carefully. All fields on the form should have data entered and the form signed and dated. You will sign your evaluation of your ACs and the AC’s evaluation of their AAs. The form is then given to the field manager for sign-off. In turn, these are given to the field director for review and sign-off and delivery to the Westat Field Files department.

8.4.1 Assigning the Ratings

The main purpose of the form is to evaluate the individual performance attributes of PRODUCTIVITY, ACCURACY/QUALITY, COOPERATION, DEPENDABILITY, and (only if it applies) REFUSAL CONVERSION (see Section 8.4.3 for details on NAEP-Specific Guidelines for Rating Individual Performance Categories). For each attribute, one of the numerical values must be assigned. Looking at the Section of the form labeled with the letter **A** on Exhibit 8-2 you will see that each rating and its description are shown for each category on the form. On NAEP, the numerical values for supervisors are described below:

- A numerical value of 1 should only be entered for the <u>best</u> performance among the ACs in your region. A comment **must** be entered for a numerical value of 1.
- A numerical value of 2 should only be entered when the AC’s performance was <u>better</u> than most others in the region.

Exhibit 8-2. Westat Fieldworker Evaluation Form

FIELD WORKER EVALUATION FORM **CONFIDENTIAL**

Field Worker: WINS#:	Supervisor:
Project: Evaluator: __________ Evaluation Date: __________	Field/Project Director: State: County:

A

Detailed Evaluation

never worked: ☐ Not Needed ☐ No Show at Training ☐ Never Completed Training ☐ Trained Only **Skip to Summary Eval**

If worked: For each position, please rate for each category (1=performance excelled that of others [Comment Required], 2=performance was better than most, 3=performed as expected, 4=performance was less than satisfactory, 5=performance was unacceptable). If Refusal Conversion was not one of the activities for the person, please enter 0 (Zero).

B

Position	Category	(1-5	Comment (Required if Category receives 1)
to	Productivity		
	Accuracy/Quality		
	Cooperation		
	Dependability		
	Refusal Conversion		

C

SUMMARY EVALUATION

☐ 1. I would use this person again without reservation.
☐ 2. I would use this person again with some reservation.
☐ 3. I have serious reservations about using this person again. (Comment Required)
☐ 4: This person displayed inappropriate behavior or was otherwise dishonest (Requires Comment and Adequate Documenation. This code will trigger a flag of DO NOT REHIRE.).
☐ 5: This person falsified interviews (Requires Comment and Adequate Documentation. This code will trigger a flag of DO NOT REHIRE.).

COMMENT: ____________________

TYPE OF TRAVEL
(In Position)

☐ None
☐ Limited- 2weeks or less per trip
☐ More than 2 Weeks per trip

Actual Release Date

/ /20

REASON FOR RELEASE FROM POSITION

☐ Work Completed
☐ Promoted
☐ Quit
☐ Illness/Personal Problem
☐ Released, Poor Performance
☐ Released, Other(Specify) __________
☐ I-9 Document Missing
☐ Other Inappropriate Behavior
☐ Falsification
☐ Other (Specify) __________
☐ Unknown (Field Files Use Only)

Evaluation Approval

Name/Initial	Position	Date

SPECIAL INFORMATION (Project Management Use Only)

____

Field Files Department Only

☐ See Folder
☐ See Storage

- A numerical value of 3 should be entered when the AC did a good job and performed as expected. Most of your ACs' performances will fall into this category.

- A numerical value of 4 should be entered when the AC's performance was less than satisfactory. If you enter a numerical value of 4, you cannot indicate that you would use the person again without reservation in the summary evaluation Section of the form.

- A numerical value of 5 should be entered when the AC's performance was unacceptable. If you enter a numerical value of 5, you cannot indicate that you would use the person again without reservation in the summary evaluation Section of the form.

These ratings and any comments are entered in the Section of the form marked with the letter **B**. A zero (0) is entered for any attribute that was not a part of this person's job (attributes to be assigned a zero [0] will be determined by your field director). To give you some guidelines, we expect most ACs who perform in accordance with the Fieldworker Agreement to get an evaluation of 3 (performance as expected). In this Section, all attributes to which you assign a 1 must be justified with a substantive comment that accurately defines the fieldworker's excellence. A rating of 1 should be given **only** to superior performers. Any person receiving a 1 must be a "shining star," not just an extremely good AC, but the best in the category evaluated. You also will be required to provide a concise, quantitative comment explaining what makes this interviewer outstanding in any particular category in which you rate him/her 1.

Moving down the evaluation form to the Section with the letter **C** you will find the Summary Evaluation Section of the form. Here, a box must be checked that represents your overall assessment of this fieldworker's performance. You will select one of the following numerical values to be entered on the form.

1 = You have no reservations about rehiring this person.

2 = You have some slight reservations about rehiring this person (comment required).

3 = You have serious reservations about rehiring this person (comment is required).

4 = You have adequate documentation of this person's inappropriate behavior (comment and documentation are required).

5 = You have adequate documentation of this person's fabrications (comment and documentation are required).

If you rated an AC with 1s, 2s, or 3s in the individual attribute categories, that individual should be rated a 1 in the summary evaluation. To be given a 2 summary evaluation, the AC would need to have at least one rating of 4 or 5 in the individual attribute categories. To be given a 3 summary evaluation, the AC would need to have ratings of 4s and 5s in several of the individual attribute categories.

Any summary evaluation other than 1 requires a brief comment. If someone has even slight reservations about using a fieldworker again, we need to know what those reservations are. It is up to you to clearly state them. So for summary evaluations of 2 or 3, for example, a brief comment could be:

- "Seemed overextended."
- "Other obligations took over."
- "Seemed unable to master the complexity of this study."
- "Did not follow NAEP protocols."
- "Would rehire as AA only."

Please note and communicate to your ACs that summary evaluations can directly affect the person's eligibility to be hired again for NAEP. Please see Section 8.6 for more details on using evaluations for rehiring staff on NAEP.

There will be times when it will be necessary to terminate an employee and you will assign either a code 4 or code 5. When this happens, you will be glad that you have kept good personnel records that indicate accurately the dates and incidents (see Section 3.3.2 on documenting feedback).

8.4.2 Guidelines for Assigning Summary Evaluations of Codes 4 or 5

You must assign a summary evaluation of 5 only for fieldworkers who falsify data or are dishonest in dealing with Westat. Please use the list below as a guide for assigning 4 as a summary evaluation for any fieldworker who demonstrates the following inappropriate behavior:

- Sells or attempts to sell products to respondents;
- Loss, destruction, or misuse of a company laptop (hardware or software);

- Gross insubordination (states a refusal to adhere to Westat policy or project protocols);
- Harassment (of colleagues, in-house staff, respondents, clients, etc.);
- Theft (persistent overcharges after warnings, unauthorized use of incentives or advances);
- Unauthorized use of equipment (including rental cars) or project materials;
- Bizarre, disruptive, rude, or persistently unprofessional (includes dress, phone use, etc);
- Inappropriate litigation against Westat, a client, or respondent, etc.;
- Substance abuse; or
- Persistent unreliability (travels and/or undertakes training, but does no work or disappears with no word).

This list is intended as a set of guidelines that Westat will update, as needed. Additional documentation is required for summary evaluations of 4 and 5. Documents must clearly support the inappropriateness of a fieldworker's behavior and must include records of warning, witnesses, dates, names, discussion with field managers, and all other facts. Confirmation of a summary evaluation of 4 or 5 will result in a fieldworker's termination from all field projects (i.e., termination from Westat). Westat will not rehire any fieldworker with a confirmed summary evaluation of 4 or 5.

8.4.3 NAEP-Specific Guidelines for Rating Individual Performance Categories

You should review these NAEP-specific guidelines for each individual performance category before you assign each category rating. This is a comprehensive list of performance guidelines that may apply to one or more staff types (supervisor, AC, AA).

Productivity*

- Assists with preassessment packets
- Keeps SCS entries up to date
- Completes quality control activities
- Schedules weekly report calls with staff
- Assists with sampling activities
- Confirms calls to schools
- Conducts preassessment contacts with schools

- Keeps SCS entries up to date
- Ships materials to Pearson

Accuracy/Quality*

- Student sampling activities
- Sending of Preassessment Packets
- Timesheet management and processing
- SCS entries up to date
- Followup on problems
- Ensuring all sessions are staffed
- Completing Administration Schedule
- Completing Quality Control Booklet
- Completing Questionnaire Roster
- Accounting for all assessment materials
- Completing timesheets
- Preparing the assessment booklets
- Using the session scripts
- Timing the sessions accurately
- Coding assessment booklet covers
- Completing top of Administration Schedule

Cooperation*

- Responsive to assessment team questions and problems
- Uses teambuilding approaches to problems
- Acts as assessment team leader

Dependability*

- Report calls with staff
- Communicates new policies/procedures
- Follows NAEP protocol
- On time arrival at schools
- Preparedness for sessions

Refusal Conversion*

- A 0 (zero) may be assigned for refusal conversion for all AAs and ACs

* Ratings of 1 must include a comment that **numerically quantifies** the achievement. For example, "Susie Supervisor completed 10 percent more interviews than other supervisors during the same time period." Since NAEP 2005 doesn't measure productivity in the same way as other studies, you should carefully consider assigning a rating of 1 to any staff member.

8.4.4 Typical Errors Made on the Westat Fieldworker Evaluation Forms

Below are some typical errors made when completing the Westat Fieldworker Evaluation Form. Please note that evaluations will be returned if they are not completed correctly. Examples of incorrectly completing the evaluation are as follows:

Individual Performance Categories

- Failure to use the correct number codes to reflect a normal distribution so that 67 percent of all field staff receive subevaluations of 3 in each category:
  - 1 is to be used ONLY for the single person whose performance was the BEST in the category being evaluated. (Do not give more than one person a "1" in any category.)
  - 2 is to be used ONLY for those few people whose performance was BETTER than most others in the category. (Do not give everyone 2.)
  - 3 is to be used for EVERYONE who did exactly what they were hired to do and they did it well. (Do not use 3 to indicate a problem in this Section.)
  - 4 is to be used for anyone whose performance was less than what they were hired to do.
  - 5 is to be used for anyone whose performance failed in the category being evaluated.
- Failure to quantify a brief comment supporting an evaluation of 1.
- Failure to place comments for evaluations of 2, 3, 4, or 5 in the COMMENT Section of the SUMMARY EVALUATION Section (quantitative comments for evaluations of 1 must be entered on the line opposite this evaluation).

Summary Evaluation Section

- Failure to assign a summary evaluation of 2 or 3 to support valid slight or serious reservations that have already been reflected by any assignment of 4 or 5 in the individual performance category Section or stated in any comment on the evaluation.
- Inappropriate use of codes 4 or 5 (these codes are only to be used when a fieldworker is being released from Westat).
- Inappropriate use of Termination Forms (these forms are to be completed only when a fieldworker is being released from Westat with a code of 4 or 5).

Other Sections

- Failure to enter actual release dates;
- Failure to enter the name of the actual evaluator;
- Illegible handwriting
- Failure to enter the "termination reason" (e.g., completed, quit, etc.);
- Entering more than one termination reason, instead of selecting the one most cogent reason; and
- Reluctance to indicate when a person quit.

Evaluators who do a poor job also tend to write all over the evaluations — in margins and on lines intended for other entries. They also tend to address issues related to the *person* and not to the person's *work performance*. Finally, far too many evaluators repeat the same empty nonspecific, bland comments for everyone on their team. The comments entered should be factual and significant for the next recruiter (e.g., what, if any, are the problems the fieldworker needs to overcome, particular talents or skills the fieldworker brings to the team, etc.).

Evaluation forms (blank or completed) are never to be photocopied, scanned, faxed, or otherwise duplicated at any time. All evaluation forms must be submitted as an official Westat document that is treated with strict confidentiality. Evaluations should never be discussed with nonproject-related staff or with NAEP staff in the same or lower position than the person being evaluated. For example, you would never discuss an AC's evaluation with another AC, or AA on NAEP. However, you may discuss an AC's evaluation with your field manager or another supervisor.

8.5 Westat Fieldworker Evaluation Form Review and Sign-Off

All Westat Fieldworker Evaluation Forms completed by the ACs are sent to the supervisors for review and sign-off. Before you sign off on an evaluation, you should ensure that all data is entered and correct. If the supervisor has worked and trained the AC adequately, there should be little need to review the form with the AC again.

Supervisors should look for inconsistencies between the individual performance category ratings and the summary evaluation ratings. If you find these types of inconsistencies, the form should be reviewed with the AC. An AC should only assign a summary evaluation of 4 or 5 with your (and your field manager's) prior approval. In this situation, the reason for giving a 4 or 5 rating must be well documented. Be sure to review the forms for the typical errors listed above and make sure that all required comments and documentation are complete and adequate.

8.6 Using Evaluations for Rehiring Staff on NAEP

Apart from speaking to the person's previous supervisor/manager, the only other way of knowing the capabilities of an employee is by looking at the evaluation. When you see a summary evaluation of 1, then you should have the expectation that this person will do a good job in the position.

A summary evaluation of 1 on NAEP means that this person may be rehired for the same position on NAEP. This person may also be considered for a higher position on NAEP if he or she has exhibited other necessary qualities for the higher position.

If someone has a summary evaluation of 2 on NAEP, then you may rehire this person for the same position, but should certainly speak to the former supervisor or field manager to determine the exact reasons for the 2 rating. Then you should discuss the specific performance expectations with the person before hiring them again, and the person's work would need to be monitored closely. A rating of 2 may also indicate that the person should be considered for a less demanding position (an AA instead of an AC).

A summary evaluation of 3 on NAEP means that the person <u>cannot</u> be hired again on NAEP, although he/she can be hired for other Westat projects.

Persons with summary evaluations of 4 or 5 are terminated from the company and not eligible to be considered for hiring on NAEP or any other Westat project.

9. OTHER ACTIVITIES

This chapter details additional activities that you will perform in the December 2004 to March 2005 time period. You will attend AC and AA training and play an evaluation role for your staff , supervise ACs, review and approve Time and Expense Reports from ACs and AAs, continue to FedEx school packages, and report to your field manager.

9.1 Your Role at the AC and AA Trainings

Your main role at AC training is to observe and complete evaluation forms for each AC who will be on your team. The evaluation forms will review each task the AC is expected to perform. As ACs conduct training exercises and role-plays you should observe and evaluate them on each specific task, including:

- Identifying missing information on the Administration Schedule;
- Accurately entering and updating student information on the Administration Schedule;
- Accurately completing questionnaire covers and rosters;
- Distributing correct questionnaires;
- Conducting the preassessment visit tasks;
- Verifying the assessment materials;
- Preparing booklets;
- Assigning accommodation booklets;
- Assigning Administration Codes on the Administration Schedule;
- Completing the top of the Administration Schedule;
- Conducting the quality control check of booklets;
- Completing post-assessment activities in the school; and
- Finalizing the School Folder.

During AA training, you will assist your ACs in completing evaluation forms for each AA. Again, the AC and AA Evaluation Forms will be distributed after supervisor training, along with a detailed description memo.

9.2 Schedule and Supervise ACs

All of the ACs in your region should report to you weekly at a set time. Allow an hour for the initial calls. The calls should include a discussion of the following topics:

- Review of schools: When you begin your report calls with ACs, you should review the requirements for each school including the contents of the School Folders, missing demographic information on the Administration Schedules that the AC needs to collect, whether the school requires any special procedures (as reviewed in chapter 7), and if you will be attending or conducting the preassessment visit.

- Scheduling telephone calls: All ACs will conduct a scheduling telephone call to each school in their assignment between the end of AC training and January 7. The purpose of the telephone call is to verify the assessment date and to schedule a date and time for the preassessment visit or telephone call;

- Confirmation telephone calls: All ACs will conduct a confirmation telephone call to each school in their assignment two days after the preassessment packet has been sent to the school by the supervisor. The purpose of the telephone call is to confirm that the Preassessment Packet has been received and to confirm the date and time for the preassessment visit and to encourage the school coordinator to distribute the SD and/or LEP questionnaires so the resulting accommodation and inclusion decisions can be made at the preassessment visit;

- Preassessment visits: For most schools, ACs will conduct the preassessment visit at least 2 weeks before the assessment date. In some cases (as discussed in chapter 7), the supervisor will need to either attend the visit or conduct the visit. The purpose of the visit is to assist the school coordinator make accommodation and inclusion decisions for sampled SD and/or LEP students, determine the number of separate accommodation session needed, verify the student demographic information, verify that parents have been notified, sample new enrollees, and make any final arrangements for assessment day.

- For assessments in the upcoming week, review the schedule of AAs to be sure all assessments are properly staffed;

- Determine if there are any materials missing at Pearson 4 days after being shipped; and

- Determine if there are any problems or procedural questions.

ACs will be provided with a Log of Schools to track their preassessment and assessment activities. Supervisors will also receive a copy of this log. It is important that ACs are organized and ready for the report call. If you sense that the log is not up-to-date or the School Folders for the previous and upcoming week(s) are not readily available, you should suggest that the AC take a few minutes to prepare for the call and that you will call back in 15 minutes.

After taking the report, allow a few minutes to "chat" about how assessments are going, how AAs are performing, and the reaction of students and school staff to the assessment. It is also useful to ask about the kinds of questions that are asked by school staff and if the AC is able to respond to them.

9.3 Review and Approve Time and Expense and Trip Expense Reports

ACs will complete their Time and Expense Report (T&E) and, if applicable, a Trip Expense Report (TER) weekly and give or send them to you for approval. You will promptly conduct this review, sign them and FedEx the T&E's to the NAEP Field Room at the home office and the TERs to your field manager for approval.

As you know, Westat will process about 5000 timesheets a week for NAEP field staff alone; therefore it is critical that you review the following carefully before sending them to the home office:

- WINS number and name entered;
- Correct project number is entered;
- The T&E or TER is signed by the employee;
- Mileage expenses are added correctly, at 37.5¢ per mile;
- Hours are entered correctly;
- All receipts are correct and attached; and
- You have signed (approved) the T&E or TER.

Please refer to the *Assessment Coordinator Manual* for a full description of completing the Westat T&E.

9.4 Ship Preassessment Packets

It is the **supervisor's** responsibility to ship preassessment packets to arrive at schools 3 weeks before the assessment date. ACs are not to ship these packages under any circumstances. Work closely with your AC so he/she will know the date each package will be shipped so he/she can schedule the preassessment contacts accordingly. Include the tracking information for the preassessment packet in the school folder. See chapter 4 for more details on how to prepare both the preassessment packets and the school folders.

9.5 Booklet Security

Upon receipt of Session Boxes from Pearson, ACs will record in the School Control System (SCS) that they have received the correct boxes for each session. You will be able to monitor the recordkeeping in the SCS. Details on this procedure will be fully described in the SCS update memorandum. ACs will ship the completed assessment materials to Pearson as soon as possible after each session, but no later than the following day (except if a makeup session is scheduled). The tracking number and date shipped must be recorded in the SCS for each shipment. You will be responsible to oversee the accounting process for all booklets and to verify that ACs have updated the SCS for each of the schools and sessions assigned to them.

9.6 Reporting to Your Field Manager

Just as it is critical that the ACs report to you, you should report weekly to your field manager. Be prepared for this call, just as you would want the AC prepared for your call. The following topics should be discussed:

- Status of preassessment and assessment activities in your region;
- Status of quality control activities;
- Status of shipments to and receipt of materials by Pearson;
- Staffing issues;

- Procedural questions;
- Problems;
- Review of reports; and
- Recurring questions from NAEP staff or school staff.