5 CONDUCTING QUALITY CONTROL ACTIVITIES

During the field period, it will be your responsibility to conduct quality control field visits and telephone follow-up calls in order to monitor your teams' performance. You will also be responsible for obtaining any missing student demographic data. The procedures you must follow are discussed in detail in this chapter.

5.1 Overview of Quality Control Activities

Westat has established detailed quality control (QC) procedures for all stages of NAEP 2007, beginning with the selection of the school and student samples, and extending to all aspects of the data collection. As part of this overall focus, we have put in place a QC program to ensure that ACs and AAs are performing their duties according to the established procedures. A thorough training program for the assessment teams is the first step of the QC process. At the conclusion of training, responsibility for maintaining the assessment teams' performance shifts to you. Throughout the data collection period, supervisors will make visits to a subset of schools to observe assessment teams as they implement all aspects of the assessment. To supplement this measure, supervisors and others will also make telephone follow-up calls to a random sample of schools a few days after the assessment to obtain any comments the school coordinators have about the performance of the assessment teams. If a school selected for the QC telephone call has had an in-person QC visit by the supervisor, then the QC telephone call is not needed. The telephone follow-up call should be counted as complete. It will be your responsibility to monitor the results of both of these QC steps and keep your field manager informed if you identify assessment team members who may require additional training or other corrective actions.

5.2 Conduct Quality Control Field Visits

5.2.1 Overview of Responsibilities

The purpose of the field visit is to give you a firsthand view of how the team handles the full array of assessment responsibilities. The field visit will afford you the best opportunity to decide whether ACs and AAs are functioning effectively, need additional training, or in rare cases, lead you to the conclusion that an individual may not be suited for the role of AC or AA. It goes without saying that, given the compact field period for the 2007 assessment, it is extremely important that you identify as soon as possible ACs/AAs who are having difficulties. The QC field visits will help you to do so. Your responsibilities regarding QC field visits are discussed in detail below.

5.2.2 Scheduling Field Visits

The intensity of the 6-week field period makes it impractical for Westat to predesignate schools for supervisory QC visits. Instead, you will have the flexibility to schedule the visits in a manner that will have the maximum effect, given the constraints on your time.

Here are some guidelines for scheduling the visits:

- Each assessment team should be observed within the first 2 weeks of the field period. During the initial visit, all members of the team should be observed, to the extent possible.
- The order in which you observe teams will depend on a number of factors, including:
  - your impressions of the assessment team from the AC and AA training sessions;
  - your own schedule, the weather, and logistical factors; and
  - the schedules of your assessment teams during the first 2 weeks of the assessment period.
- After the first observation, you should schedule another visit only if you feel the assessment team needs to be observed again based on any problems or issues you noted. The scheduling of the team’s next observation should be based on a variety of factors, including:
  - your evaluation of the team and individual team members after the first observation;
  - the results of post-assessment telephone calls to school coordinators;
  - any negative feedback you receive about the team from school representatives, NAEP State Coordinators, or other NAEP observers; and
  - your overall impression of the quality of the team’s work, based on your report calls with the AC and other communications.

You should observe all of your assessment teams once during the assessment field period; and teams that are having problems, as discussed in the previous paragraph, should be observed twice. These observations should be “front-loaded” in the first half of the field period. If meeting this goal presents operational problems for you, be sure to consult with your field manager so he/she can help you arrange an optimal observation schedule for your region.

5.2.3 Using the Field Assessment Team Quality Control Form In-Person Version

You will use the in-person version of the QCF to help structure the observations you make. The form has been set up to capture information about the team’s overall cohesion under the direction of the AC, as well as the performance of each AA as he/she administers an assessment session. There is only one version of the form and it accommodates all session types and grades.

Basic Contents of the Form
The QCF has two distinct sections:

- **Section A:** This contains observations you will make about the AC’s supervision and coordination of all the assessment activities at the school.
- **Section B:** This contains observations you will make about a specific session conducted by the AA. Five copies of Section B are included in each form, which will accommodate almost all multi-session schools.

Exhibit 5-1 lists the observation items that are covered by each section of the form.

- **Column A** specifies the observation you are to make.
- **Column B** provides an area for you to code your evaluation of the observation you make. You will typically code “met,” “partially met,” “did not meet,” “cannot determine,” or “not applicable.”
- When you have assigned a “did not meet” rating or otherwise indicated that the AC’s or AA’s performance has been deficient, you must record a description of the problem in **Column C**.

As a general rule, you are encouraged to observe each team member during the visit, particularly on the first visit. For schools with simultaneous sessions, this means you will only be able to observe portions of a session administered by each AA. If you are unable to observe an AA performing a task specified on the QCF, you will score the item as “cannot determine.”

Exhibit 5-1. List of Items in the Assessment Team Quality Control Form In-Person Version

<u>Section A:</u> AC's Coordination of Assessment Activities

PREPARING FOR THE ASSESSMENT:

AC arrived on time
AC's attire
AC's general demeanor
Wore NAEP ID badge upon arrival
Collected a signed and dated copy of the parent notification letter before the sessions began
Brought a copy of AC and AA manuals with scripts into the school
Session scheduling, workload management, and general organization
Interaction with SC and other school staff
Level of preparedness – *(i.e. team has sufficient materials for all sessions and problem situations)*
Completion of the activities just prior to the assessment including reviewing Administration Schedule(s), and giving out session materials.
Inquired about any parent or student refusals and update the Admin. Codes appropriately on the Administration Schedule(s)
Provided instructions to school staff observers and collected signed copies of Affidavit of Nondisclosure
Interaction with the AAs including informing AAs of procedures for dismissing students and answering AAs questions correctly and courteously

DURING THE ASSESSMENT:

Completed QC check after room was prepared
Assisted AAs in locating and accounting for all students
Conducted AC check of each session/AA
Identified and managing problem situations
Answered questions appropriately

AFTER ALL SESSIONS:

Conducted QC check of completed Administration Schedule(s) for accuracy and correctly determined whether makeup was needed
Conducted QC check of booklet covers
IF MAKEUP NEEDED: Negotiating makeup schedule with school coordinator
Collected questionnaires and completing/reviewing the Rosters
Review the Session Debriefing Form and discussed problems with AAs
Conducted QC check of packing materials
Maintained security of NAEP materials at all stages of the assessment process
Correctly prepared the NAEP Storage Envelope
Debriefed the school coordinator

Exhibit 5-1. List of Items in the Assessment Team Quality Control Form In-Person Version (continued)

Section A: AC's Coordination of Assessment Activities (continued)

IF SCHOOL IS NIES:
Assembled students selected to participate in NIES
Checked in students, handled latecomers, accounted for all NIES students
Read the NIES script verbatim
Read the NIES questions and answer categories verbatim (Grade 4 or Grade 8 Read Aloud only)
Monitored the session and walked around the room
Answered student questions using the NIES QxQs
Assisted students needing help with reading/recording answers
Allowed sufficient time for students to complete the NIES Questionnaire
Ended the session, collected materials, and dismissed students
Correctly assigned Admin Codes on the NIES Linking Form
Correctly completed summary information at the top of the Linking Form
Correctly coded the questionnaire covers
Packed NIES Questionnaires correctly

Section B: Evaluation of AA Administering the Session (5 copies within each form)

PREPARING FOR THE SESSION:
Arrived on time
Proper attire
General demeanor
Wore NAEP ID badge upon arrival
Brought the Assessment Information Form into the school
Brought a copy of AA Manual with scripts into the school
Correctly prepared the room

ADMINISTERING THE SESSION:
Checked students in, handled latecomers, accounted for all students
Started the session without undue delay
Passed out booklets and materials
Read the script verbatim
Distributed and collected calculators (MATHEMATICS ONLY)
Correctly timed assessment sessions
Engaged and interacted appropriately with students, observers, and school staff
Monitored the session and walked around the room
Managed disorderly students and problem situations
Answered cognitive questions appropriately

Exhibit 5-1. List of Items in the Assessment Team Quality Control Form In-Person Version (continued)

IF ACCOMMODATED STUDENTS IN REGULAR SESSION: Handled accommodated students properly
IF ACCOMMODATED STUDENTS IN SEPARATE SESSION: Used the appropriate accommodation script
Answered background questions by reviewing the appropriate QxQs
IF ESBQ: Appropriately administered the questionnaire
Ended the session, collected materials, and dismissed students
IF NIES CONDUCTED AFTER SESSION: Dismissed students according to AC's instruction

AFTER THE SESSION:
Correctly assigned Admin Codes to the Administration Schedule
Correctly completed the top portion of the Administration Schedule
IF ACCOMMODATIONS WERE OFFERED: Coded booklet covers accurately entered time in the extended time box for any students receiving that accommodation; recorded additional accommodations offered, if necessary
Quality of scannable entries made by AA
Completed the Session Debriefing Form
Reviewed materials prior to packing
Maintained security of NAEP materials at all stages of the assessment process
Packed shipment in correct order and followed all packing procedures
Interaction with AC and other AAs (willingness to receive direction from AC, work as a team member, assist other AAs with QC'ing documents and materials)

At the core of the form is a simple three-column format, as seen in the example below:

	(A) OBSERVATION	(B) OBSERVER'S EVALUATION	(C) DESCRIPTION OF ANY PROBLEM (*RATINGS OF "DID NOT MEET" MUST BE EXPLAINED)*
2	Interacting with school coordinator and other school staff	MET................................ 1 PARTIALLY MET .... 2 DID NOT MEET .... 3 CANNOT DETERMINE.. 4 NOT APPLICABLE......... 5	

This is the observation item #

You are instructed to evaluate an AC/AA's performance on each procedure listed. The evaluation definitions are as follows:

1. **Met:** The AA/AC conducted all procedures according to NAEP standards, in a professional manner, with no or only very minor deviations.
2. **Partially Met:** The AA/AC conducted some, but not all procedures according to NAEP standards. Performance of procedures, while adequate, had rough spots that need improvement.
3. **Did Not Meet:** The AA/AC conducted few, if any procedures according to NAEP standards. Whenever it is necessary for the AC or supervisor to intervene, a "3" rating should be assigned. Ratings of "3" must be elaborated upon in the adjacent Column C.
4. **Cannot Determine:** Should be used for situations where you were not able to observe the AA/AC completing a procedure.
5. **Not Applicable:** Use when the procedure did not have to be completed for the particular session.

Generally, the rating scheme is used for those activities for which we expect variations in performance. For other items, you will only assign a "Met" or "Did Not Meet" rating to indicate whether the activity was done correctly or not. "Wore the NAEP ID badge upon arrival" is an example of this. For a narrowly defined activity like this, it was either done or not done; there is really no middle ground. More guidelines for assigning these ratings is provided in Appendix F, which contains QxQs for each observation item.

Initiating the Form

You will receive in-person QCFs as a bulk supply. Since you will be selecting the schools for the QC visit, it will not be possible to provide preprinted labels for the forms. Prior to visiting a school you have selected for a visit, please complete the top of the front cover of the form, as shown in the example below.

SCHOOL ID:	092-010-0	Territory: 3	State: CT		
SCHOOL	Central Middle School	Region: CT2	Area: 5		
ADDRESS:	1100 Swan Way	Session #	Date	Time	Type
	Anywhere, CT 00220	RS0801	2/7	8:05	OP
NAME OF SC:	Jill Jackson	RS0802	2/7	8:05	OP
PHONE:	(640) 555-1212	RS0803	2/7	8:05	OP
			Form 1 of 1		

For each session you will be observing, completely or partially, you will need to complete the information at the top of the first page of Section B.

SECTION B: EVALUATION OF AA ADMINISTERING THE SESSION

SESSION #:	SESSION TYPE:	AA CONDUCTING SESSION:
RM0802	R Regular ~~M~~ Makeup A Accommodation	Richard Lester ☐ CHECK IF THIS IS AC

5.2.4 Conducting the QC Observation at the School

During the visit, your primary focus should be on observing the activities of the team. You may have to resist a natural tendency to “pitch in” to help the team “get things moving.” You want to use this visit as an opportunity to see how the team interacts with school staff, stays on schedule, follows the assessment procedures for administering sessions, and completes all the necessary recordkeeping and packing duties. In short, once you have made your introductions to the school staff, try to stay in the background and observe. Of course, if the AC or an AA is running into difficulties that could be harmful to the assessment, you will step in to get things back on track.

Here are some guidelines for making your observations while at the school:

1. Whenever you conduct a QC visit, make sure to inform the AC ahead of time. Give the AC advance notice of the visit to better coordinate arrival times.
2. Arrive in advance of the assessment team so you can see the early interaction the team has with school staff and how the AC organizes the critical early activities on assessment day.
3. For schools holding simultaneous sessions, you will not be able to observe an AA conduct an entire session. For these situations, use your instincts and impressions from training to determine which AAs are more in need of observation. For AAs you suspect may need more observation, you will definitely want to be present as the AA prepares the room and begins the session. Once the session has started, you will have an opportunity to move to another session, perhaps returning to the original session later.
4. While you want to observe all AAs during your first visit, inevitably you may spend more time with one AA than another. If you make a second visit for the team, be sure to focus on team members whom you did not fully observe during the first visit.
5. If you are able to observe only a partial session, please indicate those items you were unable to observe by marking the “Cannot Determine” box in Column B. Even with simultaneous sessions, you should be able to observe portions of each session. If this proves to be impossible, you will not need to initiate a Section B for the session. Simply make a note by the AA and session on the first page.
6. You should accompany the AC and observe the debriefing he/she conducts with the school coordinator. (This is an item on the QCF.)
7. If you are visiting a school that is holding a separate accommodation session, you may use Section B to observe portions of that session, if your schedule permits. Similarly, makeups can also be observed with Section B.
8. If you have more comments than a section of the form will hold, use additional sheets of paper. Record the NAEP school ID number, session ID, AA or AC name, and QC item number on these inserts and staple to the form.
9. Each form contains five Section Bs; this will be sufficient for almost all schools in the sample. If you observe a school with more than five sessions, start a second QCF for sessions #6, #7, #8, etc. Enter the appropriate cover information on the second booklet and label the QCFs 1 of 2, 2 of 2, etc. on the front cover of the form.
10. The QC items provided in the form are meant to reflect the most common assessment situations you will encounter. If an observation item does not apply to the school you are observing, simply note this.
11. Your observation style should give AAs or ACs some latitude. Allow events to unfold to a degree before you step in so you can get a better sense of how the AA or AC will perform when you are not there. If the AA or AC is having serious difficulties that could negatively impact the assessment, you will need to step in and remedy the situation.

12. If you are at a school and a scheduled team member does not show up, is late, or becomes ill, the assessment administration takes precedence over your role as observer. You will need to suspend the observation and assist the team.
13. Give some thought to the manner in which you will provide the AC and AAs feedback on their performances. In general, for minor performance issues that can easily be remedied (e.g., making an incorrect entry on the Roster) you should provide feedback immediately. Other more sensitive comments are best delivered after the team has left the school. Specific concerns you have about individual AAs should be shared with the AC. All concerns should be shared with your field manager.

Rarely will you need to step in and correct the AA or AC. The only time you should interrupt an AA or AC conducting a session is if they are doing something that would threaten the validity of NAEP. Some examples of when you should step in may include:

- If the AA conducting the session does not distribute or collect the assessment booklets to/from the students properly; that is, the student does not receive the booklet assigned to him/her.
- The AA answers student questions without using the QxQs script.
- The AA makes serious deviations from the script.
- The AA does not time the sections properly, fails to set the timer, or forgets to announce timings.
- The AA fails to correctly distribute and collect calculators.
- The AA fails to maintain security of the assessment booklets.
- The AA admits students after beginning instructions.
- The AA fails to provide proper accommodation(s) to student(s).
- The AA exhibits inappropriate behavior to staff, students, or observers.
- The AA does not properly answer questions or does not answer questions at all.
- The AA allows school staff to answer questions.
- The AA unnecessarily delays the start of a session.
- The AC fails to have staff sign nondisclosure form.

Again, rarely should you need to intervene with the administration of an assessment. If you do need to do so, it is essential you remedy the situation tactfully and with the least amount of disturbance. Avoid demeaning or embarrassing the AA in front of students or school staff by approaching the AA and quietly asking that the correct NAEP procedure be followed. Anytime you must intervene, provide a comment in the QCF.

5.2.5 Completing the Front Cover of the Form

Before the observation, enter the basic AA and session information in the middle section of the front cover of the in-person QCF. Complete the last two columns (How Much Did You Observe? and Rating Assigned) after you have completed the observation.

FROM THE COVER OF THE FORM				TYPE OF SESSION OBSERVED:	HOW MUCH DID YOU OBSERVE?	RATING ASSIGNED:
	Name of AC/AA	☑ IF AC:	SESSION # ASSIGNED	*(R) REGULAR* *(M) MAKEUP* *(A) ACCOM*	*(1) COMPLETE SESSION* *(2) PARTIAL SESSION* *(3) COULD NOT OBSERVE*	*(1) EXCELLENT* *(2) GOOD* *(3) ADEQUATE* *(4) NEEDS IMPROVEMENT* *(5) UNACCEPTABLE* *(8) COULD NOT RATE*
AA #1:	Sam Irwin	☐	RS0801	R M A	1 2 3	1 2 3 4 5 8
AA #2:	Richard Lester	☐	RS0802	R M A	1 2 3	1 2 3 4 5 8
AA #3:	Vivan Bray	☐	RS0803	R M A	1 2 3	1 2 3 4 5 8
AA #4:	Richard Lester	☐	RS0801-3	R M A	1 2 3	1 2 3 4 5 8
AA #5:		☐		R M A	1 2 3	1 2 3 4 5 8

To complete this chart:

- Account for every session by entering the name of each AA, and the AC, if he/she is conducting a session. If sessions are scheduled consecutively and an AA or the AC conducts two sessions, enter each on a separate row of this chart.
- Place a check mark in the adjacent column to indicate whether the AC conducted the session.
- Enter the Session Number from the Administration Schedule.
- Circle whether the session is a “regular,” “makeup,” or separate “accommodation.”
- Circle how much of the assessment session you observed. Reserve the category “complete session” for when you are able to code all of the QCF items because you have witnessed the session from beginning to end. When you move between simultaneous sessions, you will code each as “partial” observations. If you observed only a small portion of a session, such as packing the shipment, this should still be considered a “partial.”
- Assign a rating between “1” and “5” that summarizes your judgment of the AA’s performance, based on what you have been able to observe. Assign an “8” if you did not observe any portions of the session conducted by an AA.

The ratings you assign the AAs and the team are very important. This information will be entered into the NAEP 2007 School Control System (SCS), permitting you, your field manager, and the home office staff to also monitor the performance of AAs and assessment teams throughout the field period. You will also use this information to determine which assessment teams require additional observations.

The rating scale for the overall evaluation of the AAs uses a different scale than the rest of the form. It consists of a five-category scale, with values ranging from “1,” signifying “excellent,” to “5,” meaning the performance was “unacceptable.” Ratings of “4” and “5” should be extremely rare and, when assigned, you will need to provide more details about the AA’s performance. Because the scale for the overall AA evaluation is different from the scale used in the rest of the evaluation, you will need to carefully consider the AA’s and AC’s performances before assigning the overall rating.

You should promptly discuss with your field manager any AA or AC who receives an overall rating of “4” or “5.” There is a considerable subjective aspect to this, but the following guidelines illustrate how the rating scale should be applied.

Excellent	(1)	The AA was totally prepared, initiated all stages of assessment, followed the script verbatim, and worked with a high degree of accuracy. Almost all observation items are coded “1.” The AA or AC should not have received any “3s” (“Did Not Meet”) throughout the observation section.
Good	(2)	AA was prepared, knew the material, and worked accurately, but there were a few small missteps or hesitations that kept this from being an “excellent” session. The AA or AC received a majority of “1s” and a few “2s” throughout the observation section. The AA or AC should not have received any “3s” (“Did Not Meet”) throughout the observation section.
Adequate	(3)	AA was adequate and got the job done, but was weak in one or more areas of the assessment. AA needs to spend some time studying the materials. The AA or AC received more “2s” than “1s” in the observation section. The AA or AC may have received a small number of “3s” (“Did Not Meet”) throughout the observation section.
Needs Improvement	(4)	AA acted unprepared and/or unprofessional at times. You may have had to intervene with minor reminders such as posting the “TESTING IN PROGRESS—DO NOT DISTURB” sign. The AA may have requested your help with the routine procedures or asked questions that AAs are expected to address without assistance. The AA’s performance definitely requires improvement. Additional briefing or training may be in order. The AA or AC may have received “2s” and “3s” throughout the observation section.
Unacceptable	(5)	AA was totally unprepared and you had to intervene at critical points to get the AA through the session. This performance was unacceptable and remedial action is definitely required. The AA or AC received mainly “3s” (“Did Not Meet”) throughout the observation section.
Could Not Rate	(8)	Due to the session scheduling, you were unable to observe any portion of the AA’s performance or enough to rate the AA.

Once you have completed the AA rating chart you will need to assign the AC and the team rating.

AC Name *(IF NOT LISTED ABOVE)*	____________________	**ASSESSMENT COORDINATOR RATING**	**1 2 3 4 5**
(Overall rating should factor in performance of individual Assessment Administrators, organization and leadership of the AC, and the functioning of the team as a whole.)		**OVERALL TEAM RATING**	**1 2 3 4 5**

To complete this section of the QCF, you will:

- Enter the AC's name, if it was not recorded in the session listing because he/she did not conduct a session.
- Assign a rating between "1" and "5" that summarizes your judgment of the **AC's** overall performance, based on what you have been able to observe.
- Assign a rating between "1" and "5" that summarizes your judgment of the **team's** overall performance, based on what you have been able to observe. Your overall evaluation of the team should include:
  - the overall organization of the team and the leadership provided by the AC; and
  - the performance of each AA while administering a session.

As with the AA ratings, the team rating is very important. This information will be entered into SCS, permitting you, your field manager, and the home office staff to also monitor the performance of assessment teams throughout the field period. You will also use this information to determine which assessment teams require additional observations.

At the conclusion of your observation, you will also need to complete the remaining items on the cover of the form: your name, the date of the observation, and your arrival and departure times.

QC OBSERVATION MADE BY:	*Janet Thompson* TITLE: *Sup*	OFFICE USE ONLY
DATE OF OBSERVATION:	*2/7/07*	DATE: ________
ARRIVAL TIME:	*7:00 am*	
DEPARTURE TIME:	*2:15 pm*	INIT: ________

5.3 Conduct Quality Control Telephone Follow-up Calls

As an additional QC check, supervisors or other designated staff will call school coordinators from a 25 percent predesignated random sample of schools after the assessment. These schools can be identified in the SCS. The follow-up call should be placed within **3 working days** of the assessment so that the assessment experience is still fresh in the school coordinator's mind, but you should not call on the same day as the assessment. The purpose of the call is to obtain the school coordinator's impression of the assessment team, specifically the team's level of organization, professionalism, and overall performance. You will use a short questionnaire for the call. Many of the questions will be "open-ended"; that is, the answer categories are not specified so that you can record exactly what the school coordinator has to say about a topic. The brief interview will take only 3–5 minutes to complete. Any negative reports you receive through this call should be brought to the attention of your field manager and the assessment team responsible for the school.

5.3.1 Content of the Assessment Team Quality Control Form Telephone Follow-up Version

You will receive supplies of blank QCFs (telephone follow-up version) and preprinted labels for the schools designated for telephone QC. Another school cannot be substituted for a preselected school. Appendix G contains an example of the entire form, including specifications for each of the QxQs.

The label provides all the information you will need to organize your work and make the post-assessment contact, including:

- NAEP school ID number, name, and address;
- NAEP region and area number;
- School coordinator name and telephone number; and
- Session Number and type for each session at the school, including the originally scheduled date and time for the session, to the extent that this information was available before the assessment.

Before you place the call, enter the name of the AC so you may reference him/her by name during the call. Also, update the label to reflect any changes to the assessment dates or times.

SCHOOL ID:	091-020-0	Territory: 3 Region: CT2		State: CT Area: 6		**Assessment Coordinator:**
SCHOOL	Central Elementary School	Session	Date	Time	Type	
ADDRESS:	1100 Main St.					
	Anywhere, CT 00220	RS0801	2/8	9:00	OP	
NAME OF SC:	Bill Lewis	RS0802	2/8	9:00	OP	
SC PHONE:	(640) 555-1222	RS0803	2/8	9:00	OP	

The telephone follow-up version of the QCF contains the following items:

1. How well did the team handle the assessment?
2. Did the team arrive on time?
3. How organized was the team?
4. Did the sessions start on time?
5. How professional was the team?
6. If the school coordinator observed any sessions, how well were they conducted?
7. Did the AC give the school coordinator the NAEP Storage Envelope?
8. How well did the team interact with the school staff?
9. How well did the team interact with the students?
10. Any other comments about the assessment team?
11. Any comments about NAEP in general?

5.3.2 Using the Telephone QCF

You can make your first attempt to reach the school coordinator on the day after the assessment. If you do not reach the school coordinator by the third working day after the assessment, contact the AC for the best time to reach the school coordinator. Make additional attempts for the next few days/weeks before discontinuing your attempts. Document your attempts to conduct this interview on the "record of call attempts" located on the cover of the form. If you have particular concerns about an AA, you may call another school if you were not able to get through to the one that was selected for the QC follow-up.

RECORD OF CALL ATTEMPTS

DATE	TIME	CALLER	SPOKE WITH	RESULT
2/12/07	2:30pm	GMC	Ms. Taylor	BL is sick today, try tomorrow same time
2/13/07	2:30pm	GMC	Bill Lewis	Completed

To administer this brief interview correctly, you should be aware of some of the basic techniques used by survey interviewers. Basically you will want to

- read the questions as worded,
- remain "neutral", and
- use "probing" techniques when you feel the response given by the school coordinator needs expansion or clarification.

An overview of these techniques is provided in Appendix G.

After the interview, you will need to assign a summary rating that reflects the responses to the items listed above, as well as any unsolicited comments the school coordinator makes during your conversation that are relevant to the team's performance. The rating should factor in the school coordinator's overall evaluation of the team, as well as any positive or negative reports about individual team members. In assigning your rating, be sure to differentiate, when possible, a negative attitude about the NAEP program versus a negative evaluation of the assessment team's performance.

The overall rating is identical to the five-category scale used for the QC observation forms (see section 5.2.3), with values ranging from “1,” signifying “excellent,” to “5,” meaning the performance was “unacceptable.” A “not enough information” option is provided, but unless the school coordinator consistently answers your questions with “don’t know,” assign a rating based on the opinions the school coordinator was able to express.

OVERALL RATING BASED ON THIS CALL:	
EXCELLENT..	1
GOOD	2
SATISFACTORY/ADEQUATE	3
UNSATISFACTORY	4
UNACCEPTABLE/PROBLEM	5
NOT ENOUGH INFORMATION TO RATE	8

After you have conducted the telephone follow-up and assigned an overall rating, you will enter this information into the SCS.

5.4 Provide Quality Control Feedback

The feedback you give to the ACs and AAs is very important to the quality control process. The QC procedures are a continuation of the AC and AA training and the feedback you give will fine-tune their knowledge and skills. The feedback you provide will be different for each format: in-person and telephone. The in-person feedback will be on the assessment day and provided to the AAs and the AC, as appropriate. The feedback from the telephone follow-up will be after the follow-up call and is usually provided just to the AC. The AAs will be contacted if they are specifically mentioned by the school coordinator during the call and immediate follow-up is needed.

When giving feedback, be sure to provide both positive and constructive feedback. Review the *Leadership* magazine and chapter 2 of this manual for tips and techniques on providing feedback. If necessary, record your feedback on the Documentation Log (see chapter 2 for more information on using the log).

5.4.1 In-Person Observation Feedback

When conducting the in-person quality control visits, the feedback you provide will take place:

- immediately if the observed activities are or will impact the quality and integrity of the assessment; or
- after the assessment activities if observed activities will not impact the assessment.

While the goal of the observer is not to alter or take part in the assessment, if the observed activity is or will affect the integrity of the assessment you will take action. You will decide the extent of your involvement. Depending upon the situation, you may direct the AA or AC to follow the correct procedure or, in rare cases, you may step into the role of the staff you are observing if the situation warrants.

Immediately following the assessments and post-assessment activities, meet privately with each AA and the AC to give feedback on their performance. You should share the contents of the completed QCF with them and review the form section-by-section. If possible, meet with the AAs first then meet with the AC after the AAs have left.

Review the correct behaviors and implementation of procedures you observed and then review the problems. Be sure to explain specifically what you observed and how it could have been improved. Properly managed observer feedback can greatly enhance the assessor's performance. Everyone responds positively to correction and advice given in a collegial spirit. For experienced staff that continues to do an excellent job, reward them with positive comments. For inexperienced staff, you are a valued role model who reinforces their developing sense of professional style and technique.

While it is important that you balance the feedback with positive and negative comments, it is also important that the AA or AC hear and understand which procedures and behaviors need correction. They also need to understand the consequences of not correcting the behavior or procedure. For example, an AA might not read the script verbatim because he/she has been taught that it ruins the rapport with students. You must make sure this AA understands that NAEP requires AAs to read the script verbatim and, if not, they will not be allowed to conduct the assessments.

In addition to reviewing the form, you can use this time to review other procedures and administrative issues that may need attention (e.g., timesheet completion and paperwork). Observations of severe breaches of procedure may result in additional training and a follow-up QC observation. Situations of a severe nature should be discussed with your field manager. Remember to document all feedback on the Documentation Log (see chapter 2 for more information on filling out the log).

5.4.2 Telephone Follow-up Feedback

Feedback from the telephone follow-up should occur as soon as possible after the call if there was a problem. However, feedback can be given during your regularly scheduled report call if everything was OK. Review the QCF and let the AC know those parts of the assessment that went well and those that need improvement. If an AA is specifically mentioned, either have the AC pass on the information or, if the comment indicates that additional training is necessary, contact the AA directly. Again, remember to enter all feedback on the Documentation Log.

5.4.3 Additional Feedback Procedures

Regularly update your field manager on the positive and negative results of your observations. Depending on the severity of problems discovered, you might need to

- schedule another in-person observation for the team,
- select additional schools for telephone follow-up,
- give remedial training, or
- terminate the staff member.

These decisions are made by you in consultation with your field manager. The home office staff and troubleshooter supervisors can assist with the additional calls or visits.

5.5 Update the SCS

As you complete QC field visits and make telephone follow-up calls, you will document your efforts and findings by making entries into the SCS (see the *SCS User's Guide*). Entry in the SCS needs to be made immediately after the observation or call so reports can be run and the field managers, field directors, and the home office can monitor the results.

5.6 Other Quality Control Activities

The National Center for Education Statistics (NCES) has contracted with the Human Resources Research Organization (HumRRO) to conduct independent quality assurance (QA) activities throughout the NAEP test cycle. HumRRO's QA efforts include randomly selecting schools to conduct site-visit observations of NAEP test administration.

A HumRRO staff member will contact the field manager (or other contact provided by Westat) affiliated with each selected site via telephone to inform him/her the site has been selected for QA observation. At that time, he/she will discuss the details of the visit and make arrangements to meet the team on the day of the administration.

5.6.1 Observation Protocol

A team of two observers conducts most HumRRO site visits. Observation teams are instructed to split up during the visit in order to observe all session types being conducted in a given school (e.g., regular and accommodation sessions) and remain as unobtrusive as possible. HumRRO staff members may need to ask questions of NAEP staff in order to ascertain whether or not certain activities have been performed, but should do so only when it will not disrupt the assessment administration activities. Anytime a task is not observed being performed as trained, HumRRO observers are trained to provide full documentation of the situation (for example, any extenuating circumstances that may have prevented the task from being performed).

5.6.2 Observation Checklist Items

HumRRO has designed separate ratings sheets for preassessment, assessment and post-assessment activities, and for both AC and AA duties. It is important to note that these are only activities that Westat NAEP staff members are expected to perform on the day of the assessment. An additional checklist addressing the secure handling of NAEP materials is also completed. Checklists include items related to (though not limited to) the following assessment day responsibilities:

- booklet preparation,
- room preparation,
- informing AAs of school protocol,
- classroom management during testing,
- completion of paperwork, and
- general handling of materials.

5.6.3 Interactions Between HumRRO and NAEP Staff Members

Based on the above checklist items, it is clear that HumRRO observation teams and NAEP assessment administration teams may experience a variety of interactions, including the following:

- observation from a distance;
- personal inquiry (as to whether or not a specific task was performed); and
- “looking over the shoulder” observation.

Observation From a Distance. The majority of assessment day activities will be easily observable by HumRRO staff. It should be possible for NAEP staff perform job tasks while taking little or no notice of the HumRRO team. Observers generally try to find a seat in which they can observe all activities while maintaining a comfortable distance between themselves and the assessment administration team.

Personal Inquiry. In some instances, job tasks were performed prior to the arrival of the HumRRO team or were simply not directly observable. If the opportunity arises, a HumRRO staff member may approach a member of the administration team to verify a given task was indeed performed.

“Looking Over the Shoulder” Observation. HumRRO staff members are instructed to observe detailed job tasks including the proper completion of testing materials and paperwork. In some situations, HumRRO staff may quietly walk amongst team members to view their work.

A collegial atmosphere has emerged between HumRRO and NAEP staff during many site visits, which has led to more frequent interchanges between members of the groups. As a result, it may seem that when HumRRO staff members are present, they are working with NAEP staff. It is important, however, to note that HumRRO staff members are not present to advise NAEP staff on proper procedure. Some additional examples of what should **NOT** be expected of HumRRO observation staff include:

- preparing or assisting in the preparation and/or completion of assessment materials,
- monitoring classrooms/answering students’ questions,
- maintaining security of test materials, and
- answering questions about procedures.

At the end of each site visit, time permitting, HumRRO observers will ask a series of questions designed to gather information on how the efficiency and accuracy of future administrations might be improved. Any feedback from this brief interview, along with any comments made during the visit, may be included in the site visit report and clearly noted as NAEP staff comments.

5.7 Reviewing School Folders After the Assessment

Once the assessments are completed in a school (including makeup sessions), the AC will be sending you the completed School Folder. It is your responsibility to review the contents of the School Folder and make sure everything is complete. You should provide feedback to the AC after receiving the first shipment of School Folders and as necessary after that. Whenever information is incomplete or inaccurate, you must contact the AC to resolve the issues as soon as possible.

There are five primary tasks you need to perform when reviewing the School Folders:

- Use the School Folder Transmittal Form to verify that the School Folder contains all the necessary materials.
- Review the Administration Schedule(s) to
  - verify that all demographic information boxes are filled in, and
  - verify that the entries in the summary box are complete and correct.
- Complete the SD and/or ELL Summary Form (Exhibit 5-2) and enter the results in the SCS.
- Insert the completed in-person or telephone follow-up QC form, if applicable.
- Complete the School Folder Transmittal Form.

Verify the School Folder contains all the necessary materials. Each School Folder contains a School Folder Transmittal Form that you used to prepare the School Folder in December 2006 (see chapter 4). The AC should have initialed each item that he/she included in the School Folder when it was returned to you. Using that School Folder Transmittal Form, verify the School Folder contains all the necessary materials. If any materials are missing, contact the AC to locate them. You must keep the School Folder until the missing materials are located and placed in the School Folder.

Review the Administration Schedule(s). You should carefully review the Administration Schedules to verify they are complete and accurate.

Verify that all demographic information boxes are filled in. All demographic information boxes for all sampled students must be filled in on the Administration Schedules (columns **D–M**). There should be no empty boxes (except in columns **J** [Final SD] and **L** [Final ELL]). During the preassessment visit, it is the AC's responsibility to collect all missing student demographic data from the school coordinator and fill it in on the Administration Schedule(s). The AC also has an opportunity to collect missing demographic information during the assessment visit. If the information is not available from the school or other sources (district, etc.), the AC should record using the code 9 "Information unavailable." This code indicates the AC has requested the information from the school coordinator and it is unavailable. ACs **must not** use this code unless they have specifically requested the information from the school coordinator and been told it is unavailable. You will be reviewing missing demographic data with the ACs during your report calls (see Section 2.2.1).

You will be receiving e-mails from the home office regarding any student demographic data that is missing from the Administration Schedules (see section 5.8). However, in the meantime, you should reiterate to the AC that there should be no missing demographic data (including the New Enrollee column M) on the Administration Schedules. The AC's performance on this procedure should improve immediately.

Verify the entries in the summary box are complete and correct. You should doublecheck the calculations in the summary box at the top of the Administration Schedules. Verify that the Administration Codes have been counted correctly and entered in the correct spaces. You do not need to notify Pearson of any summary box errors.

Also, verify whether a makeup session needs to be held, based on the response rate for the grade (calculate all the Administration Schedules together).

Complete the SD and/or ELL Summary Form and enter the results in the SCS. We are required to gather detailed information about inclusions of SD and ELL students during the field period, from which we generate reports on how SD and ELL students were assessed. Therefore you must complete the SD/ELL Summary Form (Exhibit 5-2) and enter the results in the SCS. The form asks you to record the Administration Codes for all SD and/or ELL students for each NAEP school ID number and, using the completed form, enter the information in the SCS (see the *SCS User's Guide* for more information on how to make this entry).

Be sure to include the completed SD/ELL Summary Form in the School Folder and initial the appropriate space on the School Folder Transmittal Form.

Exhibit 5-2. NAEP 2007 SD/ELL Summary Form

NAEP 2007
SD/ELL Summary Form

Review all of the Administration Schedules in the School Folder. Referring to the SD columns (I and J) and the ELL columns (K and L) in all of the Administration Schedules for this school, record the number of students for each Administration Code noted in the form below and enter the results in the SCS, Post Assessment tab.

School Name: ________________________________ NAEP ID: __________________

	Administration Codes	SD Only	ELL Only	SD <u>and</u> ELL
1.	**Total #**			
2.	**# Assessed** Codes 10-14, 20-24			
3.	**# Assessed with Accommodations** Codes 70-82			
4.	**# Absent** Codes 40-49			
5.	**# Other** Codes 51-56			
6.	**# Excluded** Codes 60-66			

Definitions	SD code in Column I or J =		ELL code in Column K or L =
SD Only =	1	**and**	2,3,9
ELL Only =	2,9	**and**	1
SD and ELL =	1	**and**	1

Insert the completed in-person or telephone follow-up version of the QCF, if applicable. You should insert the completed in-person or telephone QC form, if one was completed for this school and initial the appropriate space on the School Folder Transmittal Form.

Complete the School Folder Transmittal Form. Make sure that the School Folder Transmittal Form is initialed in all the appropriate spots. Include any comments, if necessary. Tear off the blue copy to keep for your records, and then place the remaining copies on top of all of the materials in the School Folder. You will be instructed when you should send the completed School Folders to your field manager.

5.8 Collect Missing Student Demographic Data

5.8.1 Introduction

It is our goal that all student demographic data on the Administration Schedules are complete and accurate. Throughout the field period Westat will send e-mail messages to supervisors with copies to their field managers identifying schools in which there are missing demographic data or questions about the student demographic data. Supervisors may contact ACs to help obtain the necessary information and in some cases, it may be necessary to follow up with school coordinators. This section discusses the procedures to be followed for assuring complete and accurate student demographic data and responding to these e-mail messages. **Although ACs may help obtain the requested information, it is the supervisor's responsibility to provide the requested information using the procedures described in this section.**

5.8.2 NAEPQC Procedures

As assessment materials are received at Pearson, the Administration Schedules are scanned and files containing the data from the Administration Schedules are sent to Westat. Westat will check the student demographic data in these files. If any of the following issues are noted, the data cannot be processed until they are resolved.

- Missing student demographic data,
- No students coded "2" ("No") for New Enrollee, and
- Some, but not all students coded ("universal" codes):
  - "4" for school lunch ("School does not participate in NSLP")
  - "5" for school lunch ("School refused")
  - "7" for race/ethnicity ("School does not collect this information").

> **NOTE:** In the past 2 years, the vast majority of NAEP QC data issues were missing new enrollee codes. Make sure that column **M** (New Enrollee) on the Administration Schedules is <u>complete for every student</u> in all of your schools.

These issues will generate e-mail messages that will be sent to the appropriate supervisors. Copies will be sent to field managers and field directors. The e-mail messages will be “generic” (see Exhibit 5-3). The subject of the e-mail will be in the following format:

Subject: Data Collection Issue: B_0301_4834790 (Name of School)

Identifies issue type:	Date of Pearson file.	NAEP ID and school name.
B = missing data **N** = New Enrollee code **U** = Universal code		

One message will be sent for each school in which there is an issue with the data.

Attached to the message will be an Excel file that will explain the issue with the student demographic data for that school. An example of an attached Excel file is shown in Exhibit 5-4.

Before opening and updating the attached Excel file, you should save the file to your computer’s hard drive. Instructions for saving, updating, reattaching, and returning the file will be included with each e-mail message.

As you know, the NAEP field period is very short. Thus, it is very important that any issues regarding missing or questionable data are resolved as quickly as possible. The e-mail message will remind you that a <u>reply is expected within 48 hours</u> (hopefully with the issue resolved).

After you have saved and opened the Excel file, enter the missing data or resolve the issue that is explained in the file. The only cells in which you will be able to enter data will be those that are highlighted. All other cells in the worksheet are “protected” except the one labeled “Comments.” If you need to add an explanation, you can do so in the Comments area of the worksheet.

When you receive the e-mails from the home office, you will need to contact the AC as soon as possible to clarify the situation. If necessary, you may need to send the School Folder back to the AC so that he/she can contact the school coordinator to collect the missing information. You should not send any School Folders to your field manager until the missing demographic information has been collected. Your field manager will tell you when to send your completed School Folders to him/her.

If the AC or school coordinator cannot give you the information right away or if you cannot get in touch with the AC or school coordinator immediately, you should reply to the e-mail message explaining that you are working on obtaining a resolution to the issue. This will notify NAEPQC (and your field manager) that you have seen the issue and are working on it.

After entering the missing data or resolving the issue, close the Excel file, attach the updated file to the e-mail message that you received from NAEPQC for <u>this issue</u>, and reply (sending the message back) to the NAEPQC mailbox.

Exhibit 5-3. Generic NAEPQC E-Mail Message Text

From: NAEPQC
Sent: Thursday, March 02, 2006 10:27 AM
To: 'SUPERVISORNAME@NAEPMAIL.WESTAT.COM'
Cc: 'FIELDMANAGER@WESTAT.COM'; ‘FIELDDIRECTOR@WESTAT.COM’
Subject: Data Collection Issue: B_0301_4834790 (Name of School)

Dear SUPERVISOR NAME:

This is a computer-generated e-mail resulting from data quality checks that have been conducted on Administration Schedule data received from Pearson. The attached file shows the issue(s) with this school's student data.

The data are received from Pearson once a week. If there are issues with data from other schools, an e-mail message will be sent regarding each school.

To respond to the issue(s) in this message:
- Save the attached file to your computer (see step-by-step instructions below*),
- Respond to the issue(s) as instructed in the file,
- Save the updated file, and,
- Within 48 hours use Reply All and reply to this message with the file attached (see step-by-step instructions below**).

Print this message so that you can easily see these instructions, if necessary.

If you print out the attached file:
- Respond to the issue(s) on the hard copy.
- Within 48 hours, fax the response to Westat, at 301-XXX-XXXX.
- Use a cover sheet for each fax. It should include NAEPQC and all of the information from the e-mail subject including the school name.
- Address the fax cover sheet to xxxxxxxxxx.
- Immediately after faxing the information, using Reply All, reply to this e-mail message entering "See Fax" at the top of this message.

If you have any questions, contact your field manager or field director.

Thank you for your diligence.

NAEPQC.

Exhibit 5-3. Generic NAEPQC E-Mail Message Text (continued)

NAEPQC E-MAIL ATTACHMENT INSTRUCTIONS

*SAVING ATTACHED FILES
- Before opening and updating the attached file, save it to your computer hard drive.
- If you have opened this message in a separate window, the name of the attached file is shown in the "Attach:" window above. Double click on the file name.
- If you are reading this message in the preview pane, click on the paperclip in the upper right. Click on the file name.

- If you see the "Open Attachment Warning," click OK to save the file to disk.
- In the "Save Attachment As" window, save the file in the My Documents folder (which is usually the default "Save in:" location). Click "Save."
- Close this message and close Outlook Express.

OPEN THE SAVED FILE AND UPDATE AS REQUESTED. (Double click on the My Documents folder on your desktop, or click Start, My Documents and locate the file in the list.

SAVE AND CLOSE THE FILE AFTER UPDATING.

**REATTACHING THE FILE TO THE REPLY E-MAIL MESSAGE
- Open Outlook Express and this message from NAEPQC.
- Click "Reply all."
- Click "Insert, File Attachment."
- Locate the name of the file in the My Documents folder and double click on the file name.
- Make sure that the issue ID numbers in the name of the Excel file match those in the subject of the e-mail message.
- Double check the name of the file in the "Attach:" window to make sure it is the right file. (If it is not, click on the file name to highlight it and press the Delete key.)

CLICK "SEND" AND "SEND/RECEIVE."

--end of e-mail—

Exhibit 5-4. Example of NAEPQC Excel File

SUPERVISOR: [NAME HERE]; REGION: TX-1 ; DATE: 03/01/2006

DIRECTIONS FOR PROVIDING MISSING DATA

For the school and Session ID below, student demographic data are missing from that school's Administration Schedule(s). Missing data are in highlighted cells. Do not attempt to change any other data.

Identify as much of the missing data as possible. Enter the data into the highlighted cells either by clicking in them with your mouse and typing in the data or by printing out this form and writing in the missing data.

Email this form to NAEPQC@westat.com or fax this form to 301-517-4003 within 48 hours. If you are unable to locate all of the missing information, please tell us why in the comments area at the bottom of this form.

If you have questions, please contact your Field Manager (FM NAME) or Field Director (FD NAME).

Thank You. NAEP QC

SCHOOL: EASTWOOD HIGH SCHOOL; ID: 4834790; REGION: TX-1; AREA: 1
SESSION ID: RW1201

C	"N"	"D"	"D"	"E"	"F"	"G"	"H"	"I"	"J"	"K"	"M"	"P"
Line #	Booklet ID #	Month	Year	Sex	SD	Final SD	ELL	Final ELL	Race/Eth	School Lunch	New Enrollee	Admin Code
6	5210808275	10	1987	2	2		2		3			10
8	5220808162	01	1988	2			2		3	2	2	40
14	5270807950	10	1987		2		2		1	1	2	10
15	5280807758	08	1988	2	2		2		3			47
23	5020807461	01	1988	2			2		3	1	2	10
31	5090806847	03	1988	1	2		2			1	2	10
34	5330825882	11	1987		2		2		3	1	1	47

SCHOOL: EASTWOOD HIGH SCHOOL; ID: 4834790; REGION: TX-1; AREA: 1
SESSION ID: RW1201

C	"N"	"D"	"D"	"E"	"F"	"G"	"H"	"I"	"J"	"K"	"M"	"P"
Line #	Booklet ID #	Month	Year	Sex	SD	Final SD	ELL	Final ELL	Race/Eth	School Lunch	New Enrollee	Admin Code
4	6430810023	06	1988	1	2		2		1		2	10
11	6400810301	01	1988	2			2		3	2	2	10
31	6230811414	07	1988	2			2		1	1	2	10

Comments:

When you reply to the e-mail message, use Outlook's Reply All option so that your field manager will know that you have read the issue and taken action. Reports will be generated and reminder messages will be sent out to those who have not replied within what is considered a reasonable amount of time.

It is important to reattach the Excel file to the e-mail message you received from NAEPQC concerning that issue. Do not change the subject of the e-mail messages. E-mail messages received in the NAEPQC mailbox at Westat are processed based on the issue ID in the subject of the e-mail messages.

5.8.3 Working With the Excel File Attached to a NAEPQC E-mail Message

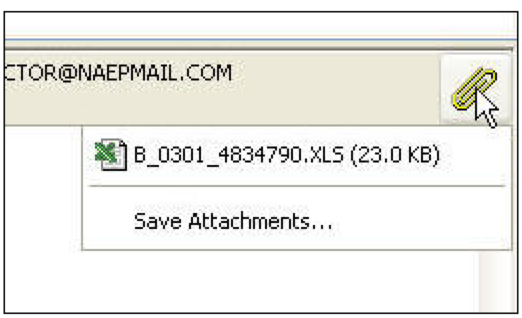
Step-by-step instructions for working with Excel files attached to NAEPQC e-mails are provided below to help you:

- Save the file to your hard drive.
- Locate and open the file.
- Save and reattach the file to the e-mail message.
- Reply to NAEPQC.

5.8.3.1 Saving the Excel File to Your Hard Drive

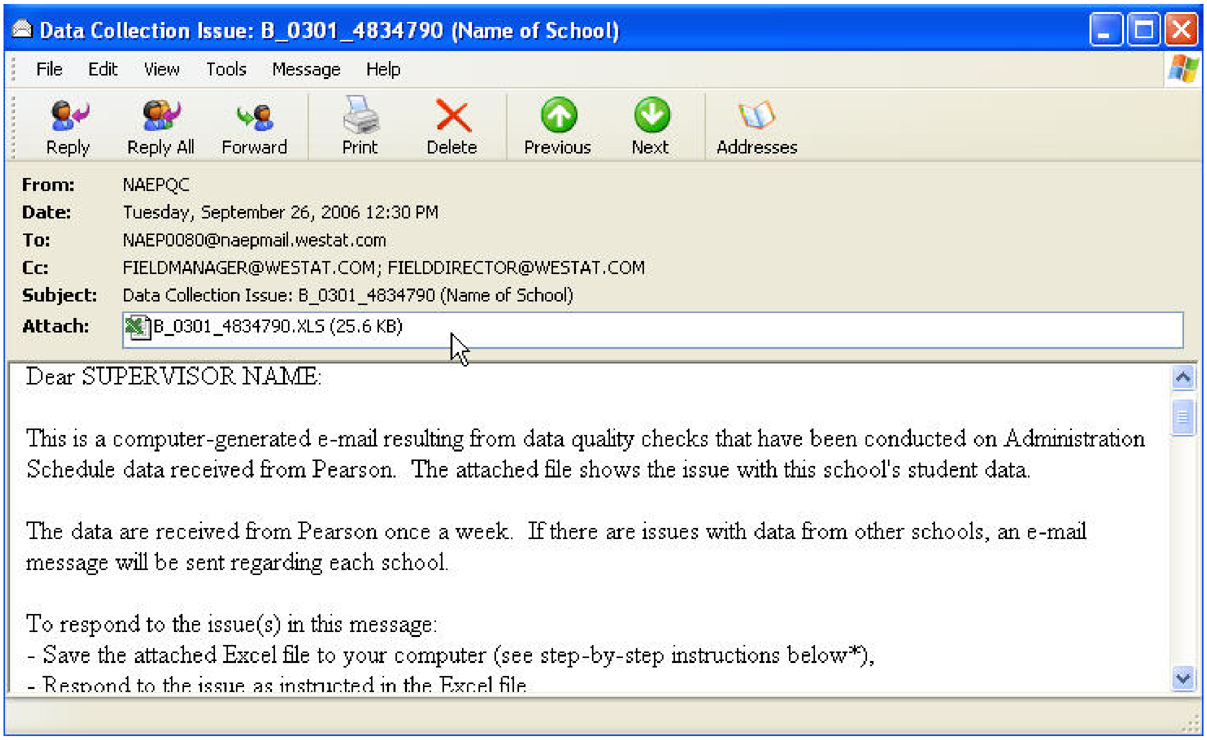
Step 1

If you are reading the e-mail message in the preview pane in the lower section of the Outlook Express Inbox, there will be a paperclip icon in the upper-right corner of the preview pane.



Click once on that paperclip and then once on the file name. (Go to step 2.)

If you are reading the message in a separate window after double-clicking on the message in the list of messages in your Inbox, the name of the attached file will be shown in the "Attach:" window above the message.



Double-click on the file name.

Step 2

If you see the “Open Attachment Warning” popup window, click OK to save the file to your hard drive.

This will open the “Save Attachment As:” popup window.

Step 3

Before you actually save the file, write down the name of the Excel file so that later you will know exactly what file you are looking for. If you receive more than one such e-mail message and Excel file, the names of the files will look very similar and it may be easy to open the wrong file.

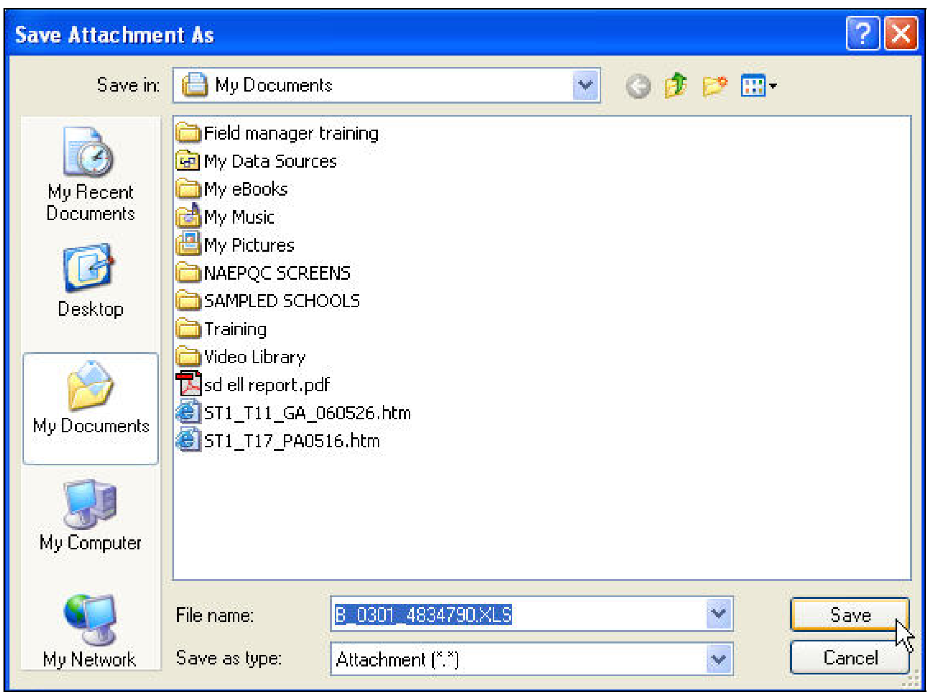
The format of the Excel file name will be as follows:

B_0301_4834790.XLS

As you will note, this is the same number that was in the subject of the e-mail message. It is important that you do not mix up the Excel files and e-mail messages that you receive and attach the wrong file to a message when you return the message to NAEPQC.

Step 4

In the “Save Attachment As” window, save the file to the My Documents folder.

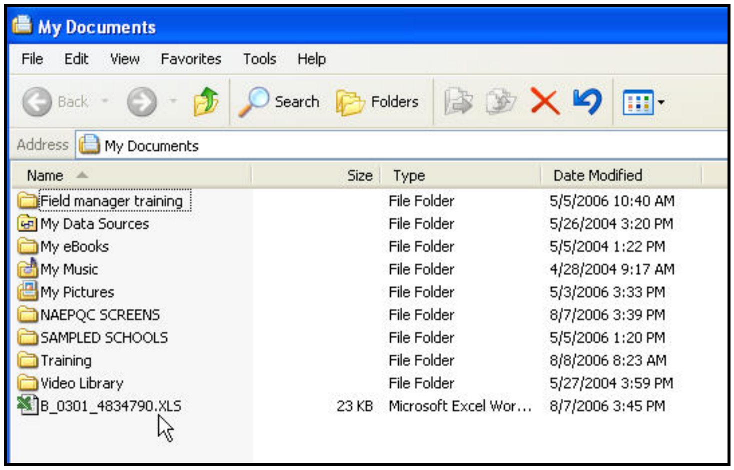


Step 5

Close the e-mail message and then close Outlook Express.

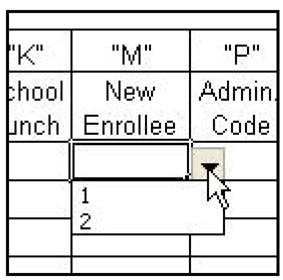
5.8.3.2 Opening and Updating the Excel File

Click Start, My Documents, and locate the file in the list.



Double-click on the file name to open it. After opening the file, read the information at the top of the file. In past years, most of these messages have been sent out because data were not filled in for one or more students on the Administration Schedule.

As you see in Exhibit 5-4, some cells will be outlined in a bold color. These are the only cells that you will have access to. If there are missing data, enter the data in the cells. When you click in a cell, a down arrow button will display next to the cell.



You can enter the code or click on the down arrow and pick from the codes that are displayed. (You will only be allowed to enter valid codes whichever way you do your data entry.)

If SD and/or ELL codes are missing, you will enter the code(s) in the “Final SD” or “Final ELL” column.

Use the Tab key to move from cell to cell.

Comments can be added to the “Comments” area.

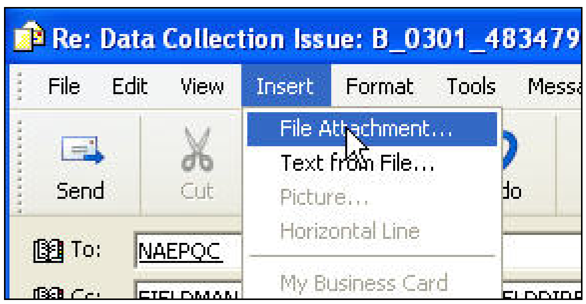
Save and close the file when you have answered the issue and double-checked your work.

5.8.3.3 Reattaching the File to the Reply E-mail Message

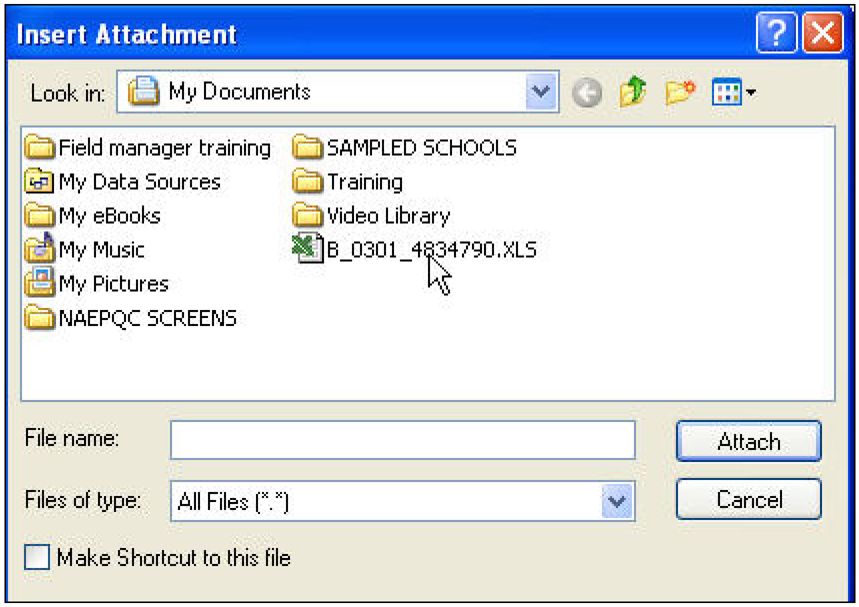
Open Outlook Express and locate the message you received from NAEPQC. Since NAEPQC issues are processed based on the issue ID in the subject of the message, it is important to be sure you are replying using the message that matches the school in the Excel file.

Open the NAEPQC e-mail message and click on the "Reply All" icon at the top of the message window.

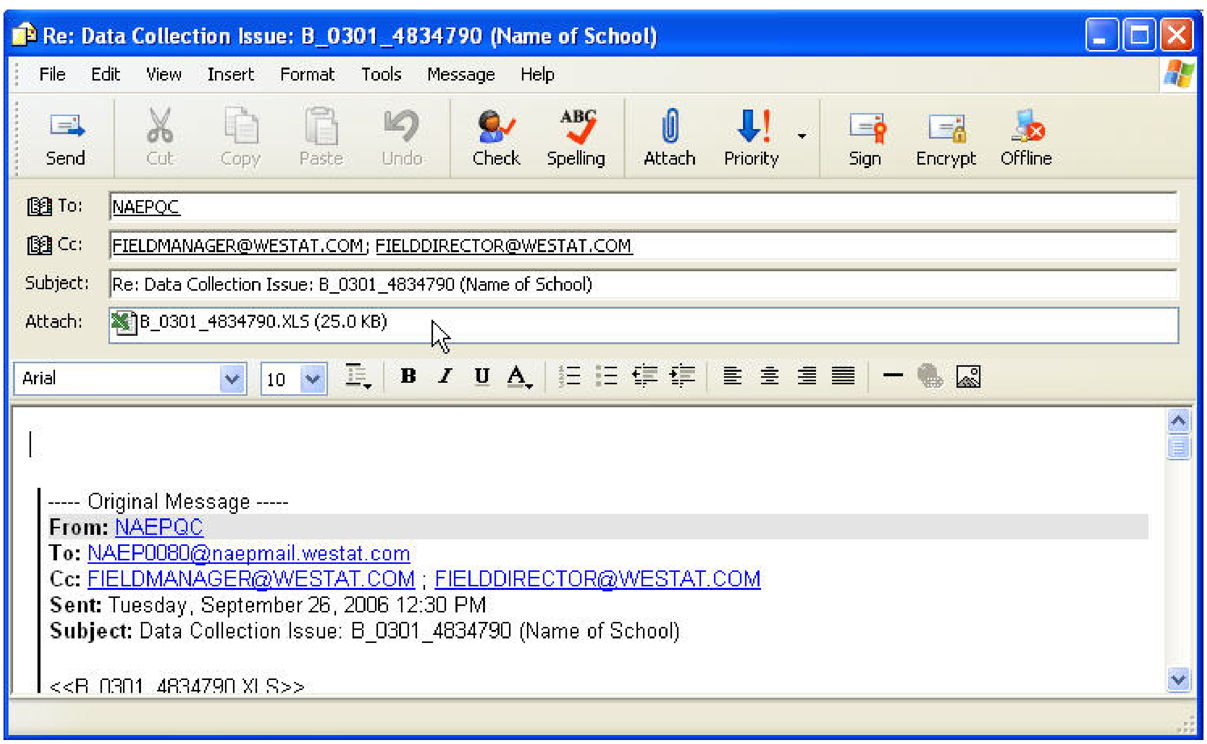
Then at the top of the window, click on Insert, File Attachment.



Locate the name of the file in the My Documents folder making sure that the school ID number matches the ID in the e-mail message.



Click on the file name and on the “Attach” button in the lower-right corner. Double-check the name of the file in the “Attach:” window to make sure you have the right file attached. (If it is not, click on the file name and press the Delete key and repeat the process of attaching a file.)



Since your information is recorded in the Excel file, it is not necessary to include text in the reply e-mail, but you may.

Click “Send” and then “Send/Receive” to send the message to NAEPQC.

5.8.4 Ad Hoc Issues

Ad hoc issues are initiated by supervisors including:

- a student's demographic data needs to be changed, or
- the Administration Code for one or more students needs to be changed.

In both of these examples, the information should be sent to the NAEPQC mail box. **Do not contact Pearson** about any issues regarding the Administration Schedules, including changes to the summary box at the top of the Administration Schedules. Any updates you need to make to students' Administration Codes or student demographic information on the Administration Schedules will be sent to **NAEPQC@Westat.com**.

An Excel file (Ad hoc issue template.xls; Exhibit 5-5) has been saved on your laptop in the NAEP Documents folder for you to use to send ad hoc issues to NAEPQC. As indicated in the text at the top of the worksheet, the first thing you should do with the Excel file is to save it with a different name so the template is available for use regarding another ad hoc issue. With the file open, click **File, Save as** and rename the file using the school's name and NAEP ID (JonesElem0110010.xls, for example). You should report data corrections for only one school in each Excel file.

Exhibit 5-5. Ad Hoc Template

SUPERVISOR: ______________________ T/R/A: ________ DATE: __________

NAEP 2007 -- Ad Hoc Issue

DIRECTIONS FOR PROVIDING CORRECTIONS TO DATA ALREADY SUBMITTED

Before you use this for reporting data changes for a school, select File, Save As and enter the school's name and NAEP ID as the name of this file.

Above, record your name, your Territory/Region/Area, and today's date.

Please use this file for reporting data corrections for one school only.

In the worksheet below:

> Fill in the school's NAEP ID (no spaces or dashes), session ID, the line number, and booklet ID(s).

> Enter only corrected data in the remaining columns (D-P). (Tab from cell to cell.)

> Attach this Excel file to an email message.

> Sent the email with its attached file to NAEPQC@westat.com

> Put the school name and NAEP ID in the subject of the email message.
(For example: "Ad hoc issue Jones Elem 0110010")

> Copy your Field Manager and Field Director on the email message.

If you prefer, you may print out your completed Excel file and fax it to NAEPQC at Westat - 301-517-4003.

If you send a fax, be sure to use a cover sheet addressed to NAEPQC with your name, school name, and NAEP ID.

Thank You. NAEP QC

		"C"	"N"	"D"	"E"	"F"	"G"	"H"	"I"	"J"	"K"	"M"	"P"
Sch ID	Sess ID	Line #	**Booklet ID # (required)**	Birthdate	Sex	SD	Final SD	ELL	Final ELL	Race/ Eth	School Lunch	New Enrollee	Admin. Code

Enter comments below:

In the space provided at the top of the worksheet, enter your name, the Territory/Region/Area of the school, and the date you are recording the information.

In the body of the worksheet, enter the school and session IDs. For each line on which you report demographic data changes or Administration Code changes, enter the line number(s) from the Administration Schedule, and the booklet ID(s). Booklet IDs are required so that the information can be updated in the database for the correct booklet(s).

In columns D through P, only record the data that need to be changed. Leave the other columns blank.

An example of an ad hoc issue is shown in Exhibit 5-6.

After you have entered the data, double-check your entries and save the file. Then, attach the file to an e-mail message and address it to NAEPQC@westat.com with a copy to your field manager and field director. In the subject of the e-mail message, include the school's name and NAEP ID. The subject should be in the following format:

Subject: Ad hoc issue Jones Elem 0110010

If you fax an ad hoc issue, be sure to use a cover sheet clearly identifying the fax as a NAEPQC Ad Hoc issue and include the school's name and ID. If you include printed Excel files for ad hoc issues in two or more schools, record all school names and IDs on the fax cover sheet.

If you send a fax, send an e-mail message to NAEPQC with copies to your field manager and field director. The subject of the e-mail message should be the same format as shown above. In the text of the e-mail message, note that you are sending a fax for an ad hoc issue regarding this school. If the fax contained issues for more than one school, you should send a separate e-mail message for each school.

Exhibit 5-6. Example of Submitted Ad Hoc Issue

SUPERVISOR: Pat Jones T/R/A: 11/MD1/2 DATE: 2/13/2007

NAEP 2007 -- Ad Hoc Issue

DIRECTIONS FOR PROVIDING CORRECTIONS TO DATA ALREADY SUBMITTED

Before you use this for reporting data changes for a school, select File, Save As and enter the school's name and NAEP ID as the name of this file.

Above, record your name, your Territory/Region/Area, and today's date.

Please use this file for reporting data corrections for one school only.

In the worksheet below:

> Fill in the school's NAEP ID (no spaces or dashes), session ID, the line number, and booklet ID(s).

> Enter only corrected data in the remaining columns (D-P). (Tab from cell to cell.)

> Attach this Excel file to an email message.

> Sent the email with its attached file to NAEPQC@westat.com

> Put the school name and NAEP ID in the subject of the email message.
(For example: "Ad hoc issue Jones Elem 0110010")

> Copy your Field Manager and Field Director on the email message.

If you prefer, you may print out your completed Excel file and fax it to NAEPQC at Westat - 301-517-4003.

If you send a fax, be sure to use a cover sheet addressed to NAEPQC with your name, school name, and NAEP ID.

Thank You. NAEP QC

		"C"	"N"	"D"	"E"	"F"	"G"	"H"	"I"	"J"	"K"	"M"	"P"
Sch ID	Sess ID	Line #	**Booklet ID # (required)**	Birthdate	Sex	SD	Final SD	ELL	Final ELL	Race/ Eth	School Lunch	New Enrollee	Admin. Code
9910020	RM0401	5	89002345890										
											1		
											2		
											3		
											4		
											5		
											9		

Ad hoc / Sheet2 / Sheet3

5.8.5 Other Ways to Respond to NAEPQC Issues

The procedures involving the Excel files discussed in section 5.8.3 (saving, updating, and attaching the file to an e-mail message) present new challenges to some. Two alternative procedures are available – fax or e-mail the Excel file.

5.8.5.1 Fax the Excel File

Supervisors may print out the Excel file attached to the NAEPQC e-mail message, write the information on the printed out spreadsheet, and fax it back. NAEPQC requires a reply e-mail message to process each issue. Thus, in addition to faxing the hard copy Excel file, you must reply to the original message indicating that you have sent a fax. Use “Reply All” so your field manager and field director know you have faxed your issue.

When faxing, use a cover sheet to clearly indicate it is a fax for a NAEPQC issue. Record the issue ID from the e-mail message including the school ID and name so the fax can be matched to the e-mail message on record at NAEPQC.

5.8.5.2 E-mailing the Excel File

There is also an alternative to saving the Excel file, opening it to enter the data, resaving it, and attaching the file to the NAEPQC e-mail message. The alternative procedure involves the following steps.

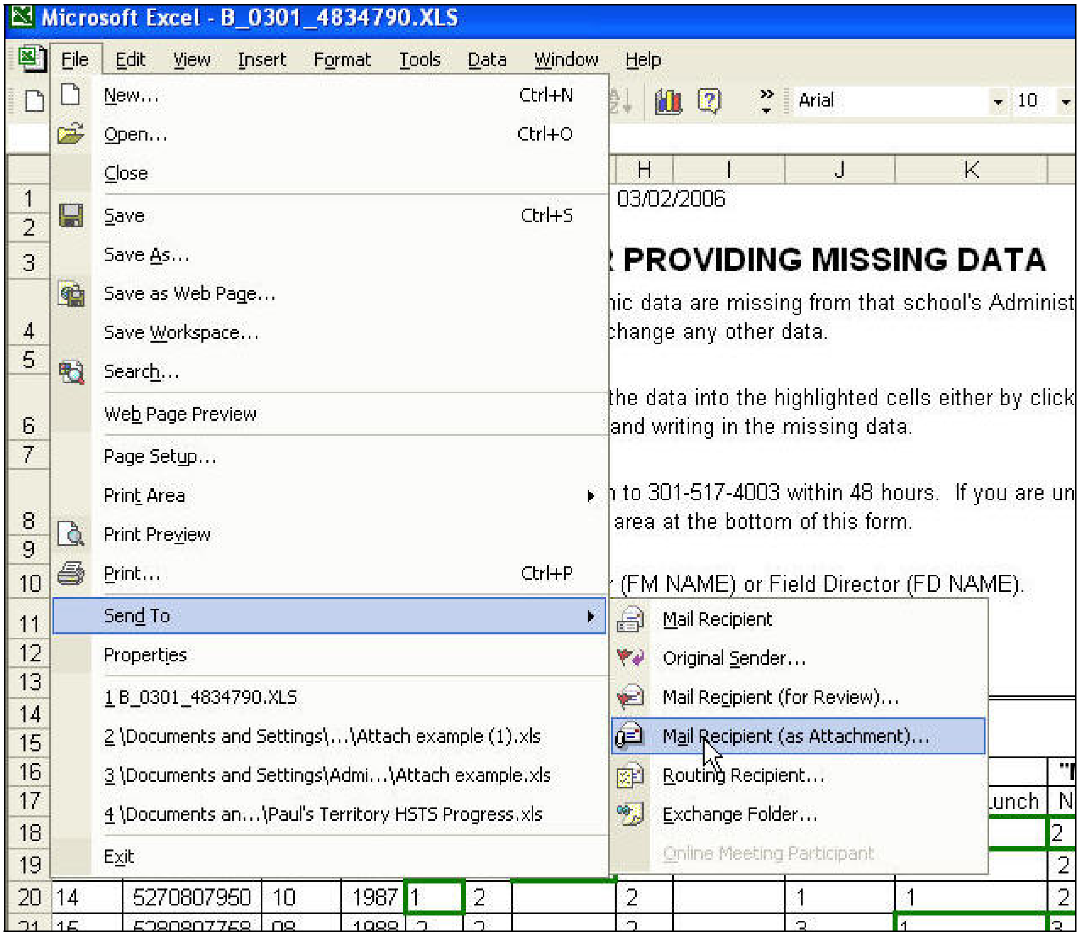
Step 1

With the NAEPQC e-mail message open, open the attached Excel file. If looking at the message in the preview pane, click on the paperclip and on the file name. If looking at the message in a separate window, double click on the file name.

Enter the missing information or correct the data. Save the file.

Step 2

With the Excel file still open, click File, Send To and select the option "Main recipient (as attachment)…"



Step 3

An e-mail message window will open showing the Excel file as an attachment and the name of the file as the subject of the message. Address the message to NAEPQC@westat.com with a copy of the message to your field manager and field director. Then, send the message and attached file.

Step 4

Close the original e-mail message and close the Excel file.

Chapter 5 Summary

After completing this chapter, you should now be able to:

- prepare the in-person QCF;
- know when, and when not, to step in and correct an AA's performance during an assessment;
- know how to assign performance ratings to an AA, AC, and team;
- conduct a QC Telephone Follow-up;
- know how and when to provide QC feedback after an in-person observation and after a telephone follow-up;
- know what types of observations HumRRO may be making of any of the schools in your assignment;
- review the School Folders after you receive them back from your ACs; and
- know how to collect missing student demographic data and respond to NAEPQC e-mails.