5 SELECTING THE STUDENT SAMPLE

Selecting the student sample is one of the most important responsibilities of NAEP supervisors. It is critical that the procedures described in this chapter are followed carefully, including all of the built-in quality checks. Attention to detail will ensure the student sample has been properly selected.

1. Prepare for Student Sampling

Since schools sampled for age 13 will be assessed in the fall, all student sampling for those schools will be done by supervisors using the Student Data System (SDS). Schools sampled for ages 9 and 17 have been given the option to E-File their electronic files of student information directly to Westat. The Westat statistical and data processing staff will sample the schools that E-File and transmit data directly to Pearson and to the SDS on your laptop.

You are responsible for selecting the student sample for schools with age 13 students and the remaining cooperating schools with age 9 or age 17 students that do not E-File in your assignment.

The deadline for schools with age 9 or age 17 students, districts, and states to E-File is November 16, 2007. However, NAEP State Coordinators may have set an earlier deadline for their schools to E-File, so you should refer public schools to the MySchool website to obtain the deadline set by the state. The deadline for supervisors to transmit in-field samples to Westat so they can be sent to Pearson for preprinted Administration Schedules is November 25, 2007. Student sampling can continue after November 25, however, those samples will not be preprinted on Administration Schedules.

For schools with age 13 students, supervisors will visit each school and collect the list of age-eligible students for sampling. Public schools with age 9 or age 17 students that have not E-Filed have been requested to prepare a list of their students and send it to the NAEP State Coordinator by the date set by him/her and published on the MySchool website. Your field manager will be in touch with the NAEP State Coordinator's office to discuss whether he/she will send you the lists of students for sampling or if you will sample the students in the state office.

Student samples in private schools that have not E-Filed are selected using the same steps as described in this chapter for public schools. All schools (public and private) have been sent the Preparing Student Lists for NAEP (Exhibit 5-1). There are two versions of this document, one for the schools sampled for age 13 since they will not have the option of E-Filing, and a version for the schools with age 9 or age 17 students giving them both options: E-Filing or in-field sampling. Following the instructions in this document, schools not E-Filing will prepare a list of all of their eligible students.

Schools should not send field staff electronic files with student names and demographic data. All student information will be sent as hard copy lists with the school's demographic codes clearly explained on the list in an accompanying document from the school.

Field staff will not work with electronic files of students nor send or receive files of students as attachments to e-mail messages.

If a school wants to send a supervisor an Excel file, the school should be encouraged to submit their file electronically (E-File) using the MySchool website (except for schools with age 13 students, which must be sampled using the hard copy lists).

If, for some reason, a school with either age 9 or age 17 students cannot or will not E-File its information, you should request the school print out the student information, clarify in writing all codes used, and send the hard copy to you or the NAEP State Coordinator for sampling with the SDS.

A. Receive Information About Sampling From Your Field Manager

Your field manager has taken the lead in discussing sampling arrangements with the NAEP State Coordinators and will update you on activities including:

- when the state has mailed notification letters to districts and schools,
- which states will submit state-level E-Files or have encouraged their schools to E-File individually (ages 9 and 17 only), and
- which selected schools (ages 9 and 17 only) are expected to submit their list of eligible students in hard copy form.

NAEP State Coordinators are responsible for working with the sampled public schools in their states and determining whether the state will submit electronic files or encourage their schools to E-File individually.

Your field manager will meet with you and the other supervisors at Supervisor Training to discuss sampling arrangements for schools with age 13 students and for private schools in your assignment.

Exhibit 5-1. Preparing Student Lists for NAEP

NAEP
NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS

NAEP 2007-2008
Long Term Trend Age 13
Preparing Student Lists for NAEP

A list of all students born in 1994 must be provided to NAEP so that the sample of students to participate in NAEP may be drawn. This list will be used by the NAEP representative who will select the sample of students during the preassessment visit.

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

- ❑ The list must include **ALL students born in 1994**[1] regardless of grade using the most current enrollment records available.

  Year-round schools should not include the students who will be on break on assessment day[2].

- ❑ Include on the list all students born in 1994, even those who may be excluded from other testing programs (such as some students with disabilities or English language learners).
- ❑ Also include eligible students who were displaced from other locations due to hurricanes and other disasters.
- ❑ Include the following data in the list of eligible students: (See the next page for NAEP's categories for these data elements. Define your categories.)
  - Student **first** and **last name**. (Alphabetical by last name preferred)
  - **Grade** in school[1].
  - **Homeroom** or other locator. This locator information is needed to minimize disruption on assessment day. Indicate homeroom number, track number, or any other type of grouping that you use that will be helpful in locating students and notifying them of the assessment.
  - **Month** and **year of birth** (MM/1994; or MM/94).
  - **Gender.**
  - **Race/Ethnicity**.
  - **School Lunch indicator**.
  - **SD indicator** for students having an Individualized Education Program (IEP) or equivalent classification (such as 504) **for reasons other than being gifted and talented**.
  - **ELL indicator** for students classified by the school as English language learners or limited English proficient.

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

NAEP's categories for student background variables are:

Race/Ethnicity:

- White, not Hispanic: A person having origins in any of the original peoples of Europe (except Spain), North Africa, or the Middle East.
- Black, not Hispanic: A person having origins in any of the Black peoples of Africa.
- Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race.
- Asian or Pacific Islander: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the original peoples of the Pacific Islands. These areas include, for example, China, Japan, India, Korea, the Philippine Islands, Samoa, and Hawaii.
- American Indian or Alaska Native: A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

If necessary, schools may use the following:

- Other: A person who identifies with more than one of the first five categories or has a background other than the ones listed.
- School does not collect this information. (Available for nonpublic schools only.)
- Information unavailable at this time

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[1] In most schools, this list will include students from grades 7, 8, and 9.

[2] The assessment date is noted in the letter from your NAEP State Coordinator (public schools) or your NAEP representative.

Exhibit 5-1. Preparing Student Lists for NAEP (continued)

National School Lunch Program (NSLP):

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

Students with Disability (SD):

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

English Language Learners (ELL):

- Yes, ELL
- No, not ELL
- Formerly ELL (monitored for AYP reporting*) If a student has achieved full English proficiency within the previous 2 years and the state includes formerly ELL students in its AYP reports, the may be coded as "formerly ELL".* Public schools, please contact your NAEP State Coordinator for guidance on using this code.
- Information unavailable at this time

In addition to providing student demographic information, follow the guidelines below:

- Include the school name and address and district name on the list.
- Number the students.
- Double-space the list.
- Allow a right-hand margin of at least 2 inches.
- Define all codes used.
- Include preparer's name and phone number.
- Year-round schools should not include students who will be on break on assessment day.

Student Listing Form:
If necessary, a Student Listing Form is available to be filled out by hand. Notify your NAEP State Coordinator (public schools) or your NAEP representative (private schools) if you will need this form.

Keep your hard copy list at your school until the NAEP representative arrives to select the sample.

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

THANK YOU

Example of a hard copy list of students for a school selected for age 13 assessment:

Main Street School, 12 Main Street, Any Town, MX. Fisk School District.

	Student Name	Grade	Home-room	Birth Date	Gender	Race	NSLP status	SD	ELL
1	Mary K. Albathy	8	101	12/94	2	W	N		
2	Scott L. Barnes	8	101	05/94	1	W	N	Yes	
3	Perry M. Buckley	7	103	03/94	1	A	F		Yes
4	Latisha Jones	8	103	10/94	2	B	R		

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

List current as of 9/18/07. Prepared by Fran Cole. Ph 555-234-9876

Exhibit 5-1. Preparing Student Lists for NAEP (continued)

NAEP
NATIONAL ASSESSMENT OF EDUCATIONAL PROGRESS

NAEP 2007-2008
Long Term Trend Age 9 or 17
Preparing Student Lists for NAEP

A list of all eligible students[1] must be provided to NAEP so that the sample of students to participate in NAEP may be drawn. Lists can be provided in one of two ways:

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

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

- ❑ The list must include **ALL eligible students**[1] using the most current enrollment records available. (Age 9 students must be born in 1998; age 17 students must be born 10/1/90-9/30/91.)

  Year-round schools should not include the students who will be on break on assessment day[2].
- ❑ Include on the list all eligible students, even those who may be excluded from other testing programs (such as some students with disabilities or English language learners).
- ❑ Also include eligible students who were displaced from other locations due to hurricanes and other disasters.
- ❑ Include the following data in the list of eligible students: (See the next page for NAEP's categories for these data elements. Define your categories.)
  - Student **first** and **last name**. (Alphabetical by last name preferred; two columns if E-Filing.)
  - **Grade** in school[1]
  - **Homeroom** or other locator. This locator information is needed to minimize disruption on assessment day. Indicate homeroom number, track number, or any other type of grouping that you use that will be helpful in locating students and notifying them of the assessment.
  - **Month** and **year of birth** (MM/YYYY or MM/YY; two columns if E-Filing). Reminder: age 9 students must be born in 1998; age 17 students must be born 10/1/90-9/30/91.
  - **Gender.**
  - **Race/Ethnicity**.
  - **School Lunch indicator**.
  - **SD indicator** for students having an Individualized Education Program (IEP) or equivalent classification (such as 504) **for reasons other than being gifted and talented**.
  - **ELL indicator** for students classified by the school as English language learners or limited English proficient.

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

NAEP's categories for student background variables are:

Race/Ethnicity:

- White, not Hispanic: A person having origins in any of the original peoples of Europe (except Spain), North Africa, or the Middle East.
- Black, not Hispanic: A person having origins in any of the Black peoples of Africa.
- Hispanic: A person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish (but not Portuguese) culture of origin, regardless of race.
- Asian or Pacific Islander: A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the original peoples of the Pacific Islands. These areas include, for example, China, Japan, India, Korea, the Philippine Islands, Samoa, and Hawaii.

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[1] In most schools selected for age 9, eligible students will be in grades 3-5, in most schools selected for age 17, students will be in grades 10-12.

[2] The assessment date is noted in the letter from your NAEP state coordinator (public schools) or your NAEP representative.

Exhibit 5-1. Preparing Student Lists for NAEP (continued)

- American Indian or Alaska Native: A person having origins in any of the original peoples of North and South America (including Central America), and who maintains tribal affiliation or community attachment.

If necessary, schools may use the following:

- Other: A person who identifies with more than one of the first five categories or has a background other than the ones listed.
- School does not collect this information. (Available for private schools only.)
- Information unavailable at this time

National School Lunch Program (NSLP):

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

Students with Disability (SD):

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

English Language Learners (ELL):

- Yes, ELL
- No, not ELL
- Formerly ELL (monitored for AYP reporting) *If a student has achieved full English proficiency within the previous 2 years and the state includes formerly ELL students in its AYP reports, the student may be coded as "formerly ELL".* Public schools, please contact your NAEP State Coordinator for guidance on using this code.
- Information unavailable at this time

In addition to providing student demographic information, follow the guidelines below:

- Include the school name and address and district name on the list.
- Number the students.
- Double-space the list.
- Allow a right-hand margin of at least 2 inches.
- Define all codes used.
- Include preparer's name and phone number.
- Year-round schools should not include students who will be on break on assessment day.

Student Listing Form:
If necessary, a Student Listing Form is available to be filled out by hand. Notify your NAEP State Coordinator (public schools) or your NAEP representative (private schools) if you will need this form.

Private schools: Keep your hard copy list at your school until the NAEP representative arrives to select the sample.

Public schools: Send your hardcopy list or Excel file to your NAEP State Coordinator by the date specified on Step 2 of the MySchool web site.

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

THANK YOU

Example of a hard copy list of students for a school selected for age 9 assessment:

Main Street School, 12 Main Street, Any Town, MX. Fisk School District.

	Student Name	Grade	Home-room	Birth Date	Gender	Race	NSLP status	SD	ELL
1	Mary K. Albathy	4	101	12/98	2	W	N		
2	Scott L. Barnes	4	101	05/98	1	W	R	Yes	
3	Perry M. Buckley	3	103	03/98	1	A	F		Yes

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

List current as of 11/1/07. Prepared by Fran Cole. Ph 555-234-9876

After the private schools have been officially transferred from the gaining cooperation staff, supervisors are responsible for contacting those schools and discussing how the samples will be selected.

For schools sampled for ages 9 and 17, you should give the private school coordinators options for sampling:

- E-Sampling: the school E-Files (submits an electronic file of students through the MySchool website) and the sample is selected at Westat. These schools should be encouraged to E-File, but most of them probably won't for many reasons.
- In-field sampling using the SDS: You sample at the school or from a hard copy list of the eligible students sent to you.

However, you should always keep in mind any special arrangements regarding sampling that the gaining cooperation supervisors have negotiated with the private schools in your assignment.

In many private schools, all age-eligible students will be assessed. However, since this is an age-based sample, entire grades will not be included. It is also likely that there will be no students with disabilities (SD) or English language learners (ELL) in these schools. Therefore, when you discuss the number of age-eligible students and student sampling with the school coordinator, you can probably tell him/her that all of the age-eligible students will be assessed. This will allow the school coordinator to send the Parent/Guardian Notification Letters out before you sample since they could be sent to all parents.

Even if all eligible students are to be assessed, you must still sample with the SDS, enter the students' demographic data, and transmit the data to Westat. It is important that the data analysis is run at Westat on all student samples.

If you discover sampling is taking much longer than planned and this will prevent you from finishing by your deadline, notify your field manager immediately. The earlier you can notify the field manager, the quicker he/she will be able to provide you with help. Do not view such a request as an admission of failure; it is simply recognition the work is taking longer than anticipated.

B. Determine Which Schools Have E-Filed

You can identify which schools with age 9 or age 17 students have E-Filed by checking the School Control System (SCS). Report 6, the Sampling Report, will include the "Sampling Method" field. If the school has E-Filed, this will be noted in this field.

For public schools that do not E-File, you can monitor the receipt of hard copy lists in the state office by running a Data Selection report using the field labeled "SLF Receipt Date.[1]" As the NAEP State Coordinator receives hard copy lists from schools, he/she should be entering the date received in the SCS.

C. Suggestions for Organizing the Sample Selection Process

Because of the volume of material with which you will be working and the short timeframe in which you must complete the sample selection, it is critical that you are organized. Below are some suggestions designed to assist you in organizing and completing the job.

- Do not try to memorize the instructions and procedures involved in the sampling process. You should have the Sampling Checklist (Exhibit 5-2) and this manual with you throughout the sampling process.
- As you begin the sampling process for each school, make absolutely certain that you are correctly identifying the school to be sampled. Some school names may occur more than once within a state, so you should check the district name and mailing address to be sure you select (in the computer) the school ID number for the correct school. Mistakes will cause severe problems throughout the NAEP sampling and data collection process.

- The sampling directions note that several of the steps that are prone to error are to be rechecked. **These must be done to ensure that the sample is drawn correctly and are required quality control checks.** Quality control checks must be conducted by someone other than the person who performed the original task. You may use other staff to assist you in this process.

- Once you have determined an efficient method of working with other staff, stick with that procedure. Always follow the directions one step at a time, and make sure you are efficiently delegating the work. (See section 3, "Using Other Staff to Assist in Sampling Procedures.")

2. Review the Sampling Process

The sampling process includes the following tasks:

- Once you have determined that the student list is complete, use the SDS on your NAEP laptop computer to select students from the school's list of eligible students. Access the SDS by double-clicking on the SDS icon on your laptop computer.
- Follow the instructions for selecting a school and drawing the student sample in the *SDS User's Guide*. Print the sampling line numbers generated by the computer.

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[1] In the early years of NAEP, all schools were provided with copies of the Student Listing Form (SLF) on which they were expected to record information about all of the students in the selected grade. Today, references to SLF generally mean a hard copy list or Excel file of all eligible students in a school, which is most often produced by a computer system.

- Print out the Instructions for Sampling New Enrollees.[2] This document will be printed from the SDS immediately after the sampling line numbers and stored in the School Folder for future use for schools with age 9 or age 17 students only.
- Enter the names of sampled students (and all available demographic information) in the SDS. If sampling schools with either age 13 students or 9- or 17-year-olds after November 25, write the student information on the Administration Schedules when they are received from Pearson, in addition to entering it in the SDS.
- Put the sampling line number printout in the School Folder.
- Transmit data to Westat daily.

Before you begin sampling, check to make sure you have all the necessary materials:

- computer and printer,
- printer paper and, if traveling and using the portable printer, extra printer cartridges,
- Sampling Checklist (Exhibit 5-2),
- this manual, and
- School Folders.

In addition to these materials, which we will provide, there are other general materials you should have available. These include stapler and extra staples, pencils, paper clips, different color pens and markers, scissors, tape, and extra blank paper. The extra paper may be needed if you have school-generated lists without space to number and designate the selected students. The extra paper can be attached to one side of the list to extend the sheet and give you some additional space to write.

Why don't we draw a new enrollee sample for schools with age 13 students?

Schools with age 9 or age 17 students will submit their student lists for sampling during the fall of 2007. Since we visit the schools to conduct preassessment activities in December/January (age 9) and February/March (age 17), we want to ensure that we give all eligible students a chance to be selected, so we conduct a new enrollee procedure in order to account for students who were not included on the original list used for sampling.

This procedure is not necessary for schools with age 13 students since we are selecting the student sample at the preassessment visit.

[2] For schools with age 9 or age 17 students only, at the preassessment visit you will ask schools to provide a list of currently enrolled students. This will be compared with the originally submitted list from which the sample was selected; any students not on the original list will be put on the New Enrollee Listing Form. You will sample from this form using the Instructions for Sampling New Enrollees.

Exhibit 5-2. Sampling Checklist

NAEP 2007-2008 LONG-TERM TREND SAMPLING CHECKLIST

- ❑ Review the list of students to ensure it is complete:
  - The last names should cover the alphabet reasonably.
  - Students listed should have birth dates in the appropriate years (all others are ineligible and should be lined through) – Age 9 – 1998; Age 13 – 1994; Age 17 – 10/1/90 – 9/30/91.
  - Given the school size, expect to have eligible students (based on birth dates) listed for the following grades: Age 9 – grades 3-5; Age 13 – grades 7-9; Age 17 – grades 10-12.
  - Lists of eligible students should include students who were displaced from other locations due to hurricanes or other disasters.
  - SD/ELL – For public schools with age 9 or age 17 students, if there are NO students (or if EVERY student is) coded as SD and/or ELL contact your field manager for guidance. For schools with age 13 students, clarify the situation with the school coordinator.
- ❑ Carefully check the codes used for sex, SD, ELL, race, etc. on the school's list. There should be an explanation of the school's codes. If not, contact your field manager for guidance.
- ❑ Year-Round Schools with students "on break:"
  - Eligible students who will be "on break" on assessment day should not be listed, but if they are, they should be clearly marked on the list as "on break."
  - Do not number students who will be "on break" nor include them in the total number of listed students.
  - Record the percent of students who will be "on break" in the SCS on the School Edit, Sampling tab. (See *Supervisor Manual* sampling chapter for calculating this percentage.)
- ❑ Number the eligible students. Do not include students "on break" in multi-track year-round schools. If students "on break" were listed and the list was numbered by the school, the list must be renumbered. (Other staff can help with this task.)
- ❑ Double check the numbering of students even if the list was numbered when received to ensure that no numbers have been duplicated or skipped. (Other staff can help with this task.)
- ❑ Compare the total number listed with the Actual Enrollment from the SCS. If the numbers differ by 5 or more, determine reason for discrepancy. Resolve discrepancy and continue.
- ❑ Use the Student Data System (SDS) on NAEP laptop to select the sample:
  - Locate the school on the SDS, double check the NAEP ID, and click on the school's name.
  - Click on the Student Sampling button and click "Yes" to begin the primary sample process.
  - Enter total number from list of students and click on Select Primary Sample button.
- ❑ Print primary sample line numbers (the Field Sampling Line Numbers Form) and Instructions for Sampling New Enrollees (ages 9 and 17 only).

Exhibit 5-2. Sampling Checklist (continued)

- ❑ Put Instructions for Sampling New Enrollees in the School Folder (ages 9 and 17 only).
- ❑ Using the Field Sampling Line Numbers Form from the SDS, mark the selected students on the school's list of eligible students.
- ❑ Double-check the selected students against the Field Sampling Line Numbers Form. (This quality control check should be performed by someone other than the person who performed the original task.)

All schools with age 9 or age 17 students sampled on or before November 25:

- ❑ Enter the student names and available demographic information in the SDS.
- ❑ Print out the Student Information Report and have someone double check the data entry against the school's list of eligible students. (This quality control check should be performed by someone other than the person who performed the original task.)
- ❑ After making any necessary corrections in the SDS, click on the Data Check button on the SDS and print out and review the report. Missing and duplicate student names and birth dates must be corrected before proceeding.
- ❑ Put Field Sampling Line Numbers Form in the School Folder.
- ❑ Transmit data to Westat daily to back up your data and so that the data quality checks can be run in the home office.

All schools with age 13 students and others sampled after November 25:

- ❑ Enter the student names and available demographic information in the SDS.
- ❑ Print out the Student Information Report and have someone double check the data entry against the school's list of eligible students. (The quality control check should be performed by someone other than the person who performed the original task.)
- ❑ After making any necessary corrections in the SDS, click on the Data Check button on the SDS and print out and review the report. Missing and duplicate student names and birth dates must be corrected before proceeding.
- ❑ Print out a good copy of the Student Information Report.
- ❑ Write sampled student names and available demographic information on the Administration Schedule for the appropriate school and session. (Other staff can help with this task.)
- ❑ Double check the data entry against the school's list of eligible students. (The quality control check should be performed by someone other than the person who performed the original task.)
- ❑ Put Field Sampling Line Numbers Form in the School Folder.
- ❑ Transmit data to Westat daily to back up your data and so that the data quality checks can be run in the home office.