Appendix C

Document Review Protocol

**KEA Case Studies**

**Document Review Protocol**

**Purpose**

The purpose of this protocol is to review documents in a systematic way to provide background information about a state’s KEA for interviews and more technical or detailed information about some aspects of the processes used for selection, implementation, and reporting and use of results. The data will be used to

* Provide background on a state’s KEA for state interviews and site visits on a state’s KEA development/adoption, implementation, and use for state and final report.
* Gather more technical and detailed information about the KEA tool and process.
* Abstract relevant information from documents obtained at interviews.

**Resources**

Documents may be obtained from the following sources:

1. Applications to Race-to-the-Top Early-Learning Challenge
2. State Department of Education or Department of Early Learning website, which contains the following types of resources:

* KEA strategic plans or planning documentation
* Pilot or field test report
* KEA information for various stakeholders
* KEA training materials
* Assessment manuals
* KEA reports with findings for various stakeholders.

1. State, district, or school interview respondents who share documents with the interviewers.

**General Instructions and Tips**

1. Populate header information first so you do not forget.
2. This is a cumulative document that will first be populated with information from publically available documents and later updated with documents provided to the study team by interview respondents.
3. There will be one document review per state. All sources of information should be listed in the table on page 2, “Document Source for Information.” Each document source should be numbered sequentially and referenced in each section as the review is being conducted.
4. Make notes of any questions you have when reviewing the documents. When unsure of the information, flag it and note the document name and page number, if available, and ask another team member to review. This will allow the interview team to identify areas in which clarification are needed.
5. You are not limited to the format or the table presented. Add any notes as needed.

**Document Source for Information**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Source #** | **Title** | **Date** | **Where document came from**  **If website, list URL** | **Author** |
| 1. |  |  |  |  |
| 2. |  |  |  |  |
| 3. |  |  |  |  |
| 4. |  |  |  |  |
| 5. |  |  |  |  |
| 6. |  |  |  |  |

**Add rows as needed**

**List sources of information used (by source number) next to each item below.**

**Section I: Background on KEA Development or Adoption**

1. What year did the state begin the initiative to implement the KEA? **(Q1)**
2. What agency or department was the key driver of the KEA initiative? List any collaborations with another agency or department during the early stages of the KEA initiative. **(Q1)**
3. What other stakeholders (such as district representatives, Kindergarten teachers, PreK teachers, parents, foundation representatives, outside contractors/expert consultants) were engaged in the KEA selection process and how? **(Q1a)**
4. For what key purposes was the KEA selected or developed? [Check all that apply.] **(Q1b)**

|  |  |  |
| --- | --- | --- |
| **Check** | **Key purposes** | **Source #** |
|  | Screening: To identify children who may need additional supports or further assessment |  |
|  | Data-informed instruction: To identify specific skills to teach to individual students or groups of students |  |
|  | Family engagement: To inform parents about children’s strengths and needs and ways to support learning |  |
|  | Professional development: To inform professional development for teachers about a common student need |  |
|  | Benchmark: To benchmark learning in order to track progress throughout the year |  |
|  | EC program improvement: To inform improvement of early learning programs/policies |  |
|  | Other (specify): |  |

1. What criteria were used in the selection of the KEA? [Check all that apply.] **(Q1c)**

|  |  |  |
| --- | --- | --- |
| **Check** | **Criteria** | **Source #** |
|  | Cost |  |
|  | Match to early learning standards |  |
|  | Burden |  |
|  | Use with certain populations |  |
|  | Connection to a PreK assessment |  |
|  | Connection to a K-3 assessment |  |
|  | Other (specify): |  |

1. Which of the following KEA measures was selected? [Check all that apply.] **(Q1d)**

|  |  |  |
| --- | --- | --- |
| **Check** | **KEA measures** | **Source #** |
|  | Teaching Strategies-Gold |  |
|  | Desire Results Developmental Profile-School Readiness |  |
|  | Work Sampling |  |
|  | BRIGANCE |  |
|  | DIBELS |  |
|  | Other (specify): |  |
|  | Other (specify): |  |

1. How was the above measure modified, if at all, to better fit the state’s needs? **(Q1d)**
2. If state developed its own KEA measure, what was the main reason for doing so? **(Q1d)**
3. What agency or department is currently overseeing the implementation of KEA? **(Q1)**
4. Who was involved in selection of KEA measure? [Check all that apply.] **(Q1a)**

|  |  |  |
| --- | --- | --- |
| **Check** | **People/agencies involved** | **Source #** |
|  | State department leaders |  |
|  | District representatives |  |
|  | Teachers |  |
|  | Parents |  |
|  | Outside contractors (specify): |  |
|  | Experts (specify): |  |
|  | Foundation representatives (specify): |  |
|  | Other (specify): |  |

1. What are the domains assessed by the KEA measure? [Check all that apply.] **(Q2)**

|  |  |  |
| --- | --- | --- |
| **Check** | **Domains** | **Source #** |
|  | Language and literacy |  |
|  | Cognition and general knowledge, including math and early science |  |
|  | Approaches to learning |  |
|  | Physical well-being, including motor development |  |
|  | Social and emotional development |  |
|  | Other (specify): |  |
|  | Other (specify): |  |
|  | Other (specify): |  |
|  | Other (specify): |  |

**Section II: KEA Implementation**

1. What information on the administration of the KEA is provided to *various stakeholders*? **(Q5)**

|  |  |  |
| --- | --- | --- |
| **Stakeholders** | **Topics covered** | **Source #** |
| District administrators |  |  |
| Principals |  |  |
| K teachers |  |  |
| PreK teachers |  |  |
| Parents |  |  |
| Other (specify): |  |  |

1. What training or support do teachers and administrators receive on the administration of the KEA? [Check all that apply.] **(Q5a)**

Is the training/support offered the same for **all** schools and districts statewide or is it school or district specific? **(Q6g)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Check** | **Type and source of training/support** | **How often it is offered** | **How long the  training is** | **Specific to district or same statewide** | **Source #** |
|  | In-person training by: |  |  |  |  |
|  | 1-on-1 coaching by: |  |  |  |  |
|  | TA by: |  |  |  |  |
|  | Webinars by: |  |  |  |  |
|  | Online self-paced courses or modules  List URL: |  |  |  |  |
|  | Other |  |  |  |  |

1. When is the KEA administered (e.g., within what week of school)? **(Q6a)**

First assessment: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Second assessment (if applicable): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Third assessment (if applicable): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Any other administrations: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Who administers or provides information used in the KEA? Also indicate what evidence or types of information are gathered. [Check all that apply.] **(Q6b)** **(Q2,2b)**

Are the procedures the same for all schools and districts statewide or is it school or district specific? **(Q6g)**

**Use multiple rows for each skill/domain, depending on who collects the data and what information is collected.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Skill/ Domain** | **Who collects? (e.g., teachers, classroom aids, families, others)** | **What information is collected? (e.g., checklists,  direct assessments,  observation ratings)** | **Specific to district or same statewide** | **Source #** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

1. How is technology used to support KEA administration and scoring? [Check all that apply.] **(Q6e)**

|  |  |  |
| --- | --- | --- |
| **Check if used** |  | Source # |
|  | Collect documentation for portfolios |  |
|  | Provide direct assessment tasks online |  |
|  | Enter data on ratings and student information |  |
|  | Score data collected by teachers or others |  |
|  | Generate reports on results |  |
|  | Other (specify): |  |

1. What strategies are used to help ensure that children with disabilities and English learners are accurately assessed? [Check all that apply.] **(Q6f)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Strategies used** | **Children with disabilities** | **English Learners** | **Source #** |
| State offers special training and support to those administering the KEA with CWD and/or ELs |  |  |  |
| Offer alternate assessments for CWD |  |  |  |
| Offer additional accommodations during administration of KEA for CWD |  |  |  |
| Offer support to conduct assessment in the child’s native language |  |  |  |
| Provide modified or adapted results |  |  |  |
| Other (specify): |  |  |  |

1. How do schools and districts submit KEA data/results to the state? [Check all that apply.] **(Q7)**

|  |  |  |  |
| --- | --- | --- | --- |
| **Check if used** |  | **Specific to district or same statewide** | **Source #** |
|  | Paper forms |  |  |
|  | Exports |  |  |
|  | Data entry into special KEA data system |  |  |
|  | Data entry into SLDS |  |  |
|  | Other (specify): |  |  |

1. List how the state or districts monitor and evaluate implementation of the KEA. **(Q8)**

* Xx
* Xx

**Section III: Use of KEA**

1. Who receives or has access to the results of the KEAs? [Check all that apply.] **(Q9,9a,9b)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Check if used** | **Who has access to the results?** | **In what format (e.g., printed reports, web data system)?** | **When?** | **What type of information?** | **Source #** |
|  | Families |  |  |  |  |
|  | PreK educators |  |  |  |  |
|  | K teachers |  |  |  |  |
|  | Principals |  |  |  |  |
|  | District administrators |  |  |  |  |
|  | SEA administrators |  |  |  |  |
|  | Other (specify) |  |  |  |  |

1. What supporting information or training do teachers, principals, district staff, and others receive regarding interpreting or using KEA results? [Check all that apply.] **(Q10)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Check if used** | **Staff** | **Type of training/support (coaching, webinars, online modules, manuals or guidebooks, other)** | **Dosage of the training (frequency and length)** | **Source of training (training provider or URL)** | **Source #** |
|  | PreK educators |  |  |  |  |
|  | K teachers |  |  |  |  |
|  | Principals |  |  |  |  |
|  | District administrators |  |  |  |  |
|  | SEA administrators |  |  |  |  |
|  | Other (specify) |  |  |  |  |

1. When was the KEA pilot-tested? When was the KEA field-tested? What were the results?

* Pilot test:
* Field test: