

Appendix A
Consent Form



Case Studies of the Implementation and Use of Kindergarten Entry Assessments PARTICIPANT CONSENT FORM

Purpose

This study, *Case Studies of the Implementation and Use of Kindergarten Entry Assessments (KEAs)*, is sponsored by the U.S. Department of Education and is being carried out by SRI International (SRI), an independent, nonprofit research institute, and Decision Information Resources, Inc. (DIR).

The purpose of the KEA implementation case studies is to document the processes, accomplishments, challenges, and solutions of four states and 12 of their districts and 24 of their schools. Findings will be shared with federal and state policymakers and the public.

As part of the study, we, SRI and DIR, invite you to participate in an interview that will include questions about [*tailored to respondent: KEA selection, development, adoption, and characteristics; KEA implementation; use of KEA results; and lessons learned*]. The interviews are designed to last [*tailored to respondent: 45 minutes with school staff, 60 minutes with district-level respondents, and 90 minutes with state-level respondents*]. The interviews are intended to provide information about the overall KEA process and not to evaluate individuals' capabilities or performance.

Risks and Discomfort

We do not know of any risks or discomforts associated with this interview. Your participation in the interview is voluntary. If you decide to participate, you may discontinue your participation in the interview at any time without penalty of any kind.

Benefits

While there is no direct benefit to you, your participation in the study will contribute to the identification of effective KEA implementation practices that can then be disseminated to the many states engaged in or interested in implementing KEAs and support the technical assistance efforts of the U.S. Department of Education.

Confidentiality

We will assure that individual responses will be kept confidential to the extent possible, except as may be required by law. Only research staff will have access to your interview responses. You will not be identified by name in any report, and data will be reported in a manner that does not reveal your identity. Unique identification numbers will be assigned to individuals and to sites for the data collected. Data will be aggregated across states, districts, and schools. States, however, will be identified by name.

We would like your consent to record the interview. Recordings will be kept in a secure location by SRI International and will not be accessed by anyone outside the study team. The audio recordings will be destroyed at the conclusion of the study. You can participate in the interview but decline to have it recorded. Additionally, if you elect to have the interview recorded, you may stop the recording at any time.



As part of the study, the study team will share its findings with the U.S. Department of Education and other federal agencies. The results of the evaluation will be summarized at the state level as well as across all the states and districts participating in the study. A publicly available final report integrating and consolidating the results from all the research activities is scheduled to be available in February 2016.

More Information

If this explanation leaves you with any unanswered questions, please ask and obtain answers before signing below. If you have questions later, please call the Principal Investigator, Dr. Shari Golan, at 650-859-4007. For questions about your rights as a human participating in this research, you may contact SRI’s Human Subjects Committee at 650-859-2686 and reference HS case number [XXXX].

Informed Consent

By signing this form you are indicating that you have read and understood the information provided to you about your participation in this interview, agree to participate in this study, and received a signed and dated copy of this consent form.

<p>Please check one:</p> <p><input type="checkbox"/> I am willing to participate in this interview and be audio recorded.</p> <p><input type="checkbox"/> I am willing to participate in this interview and not be audio recorded.</p> <p>I understand that this is voluntary and is part of a study sponsored by the U.S. Department of Education and conducted by SRI International and Decision Information Resources, Inc.</p>	
<p>_____</p> <p>Name (please print)</p>	<p>_____</p> <p>Date</p>
<p>_____</p> <p>Signature</p>	<p>_____</p> <p>Job Title</p>

According to the *Paperwork Reduction Act of 1995*, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is xxx-xxxx. Public reporting burden for this collection is estimated to average XX minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. The obligation to respond to this collection is voluntary. If you have comments or concerns regarding the status of your individual submission of this form, application or survey, please contact [Erica S. Lee, U.S. Department of Education, Policy and Program Studies Service, 400 Maryland Ave., SW, 20202](#) directly. (Note: Please do not return the completed instrument, form, application or survey to this address.)

Appendix B
Recruitment Materials

KEA Case Studies Sample (Interview) Recruitment Letter
State Recruiting Letter

[Department of Education letterhead]

Dear [State Superintendent]:

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). [Insert name of state] is one of four states selected to participate. Each state's case study will consist of (1) document reviews, (2) phone interviews with a sample of state-level staff, KEA trainers or professional development providers, and preschool directors; and (3) in-person interviews with a sample of staff in three districts and at two schools within each district. The interviews will take between 45-90 minutes of the respondents' time, and individual responses in the interviews will be kept confidential to the extent possible, except as may be required by law. The result of this effort will be a report that identifies cross-site lessons, revealing how practices work on the ground and implementation challenges and solutions.

States are approaching KEAs in various ways and your state was chosen because the U.S. Department of Education believes that your experiences will help other states think through their decisions about which KEA to use, how to the KEA, and how to use the KEA results.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. A representative from SRI or DIR will contact [Insert name of SEA representative], [Insert role of representative], soon to discuss the study and your state's plan and schedule for KEA training and implementation. If you prefer us to contact someone else in your state, you may contact SRI's Principal Investigator, Dr. Shari Golan, at 650-859-4007. If you have questions about the study, you may contact Dr. Golan or Erica Lee at the U.S. Department of Education at erica.lee@ed.gov.

We appreciate your cooperation in helping us gather and disseminate information about how states, districts, and schools are developing, implementing, and using KEAs in order to strengthen these efforts across the country. We look forward to learning more about the interesting work that you are doing.

Sincerely,

[Name], Director
Policy and Program Studies Service
Office of Planning, Evaluation and Policy Development

[Name], Deputy Assistant Secretary for
Policy and Early Learning
Office of Elementary and Secondary Education

cc: [RTT-ELC Grant State Coordinator]

**KEA Case Studies Sample (Interview) Recruitment Email
(if state contact is not coordinating the recruitment)**

State Version for Key Informants

Dear **[State representative]**,

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). **[Insert name of state]** is one of four states selected to participate. **[Insert name of SEA contact]** identified you as a key informant in your state to talk with about your experiences with and lessons learned about the selection and use of a KEA. We are asking for your participation in a phone interview. This email tells you about the purpose of the interview and how the responses will be used.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. Our study team is inviting state and district administrators as well as local educators to share with us what they have learned about the processes, accomplishments, and challenges of implementing KEAs. We believe information about your experiences will be valuable for other states interested in implementing KEAs and for federal and state policy makers.

The interview will take approximately 90 minutes of your time. We can schedule it at your convenience during **[proposed time period]**. The interviews are intended to provide information about the overall KEA system and not to evaluate individuals' capabilities or performance. Questions cover topics such as the purpose of your state's KEA, the reasons for choosing your state's KEA, funding of the KEA, administration of the KEA, and uses of KEA results.

Our study team will summarize our findings from your state's case study as well as integrate and consolidate the results across all the states and districts in the study. We will present the results to the U.S. Department of Education and produce a public final report planned to be available in 2016. Your responses to the interview questions will be kept confidential to the extent possible, except as may be required by law. Names and other identifying information will not be included in any reports.

A representative from SRI or DIR will contact you soon to find out your availability for an interview during **[propose time period]**. If you have questions about the interview, please email me or contact me at the number below. We appreciate your cooperation in helping us gather and disseminate information about how states, districts, and schools are developing, implementing, and using KEAs in order to strengthen these efforts across the country. We look forward to learning more about the interesting work that you are doing.

Respectfully,
[SRI Interviewer name and contact information]

Follow-up email reminder about scheduled interview

Dear **[State representative]**,

This is a friendly reminder about our 90-minute phone interview about the selection, implementation, and use of your kindergarten entry assessment (KEA). We are scheduled to talk on **[Day]**, **[Date]**, at **[Time]**.

Please use the following toll-free conference line and password at the time of our call:

Phone number: (866)xxx-xxxxx

Password: XXXXXXXX

In preparation for the interview, I am sending a few sample questions and a list of documents that might be helpful to have on hand during the call. The sample questions are:

- For what key purposes was the KEA selected or developed in your state?
- What were the primary reasons you chose the particular KEA(s) for your state?
 - How, if at all, does the KEA align with the domains of your state's early learning standards?
- How is the KEA currently funded? Is there a plan for sustaining future implementation?
- How is the KEA administered across the state?
- How are KEA results shared and used to inform policy and practice (at the state, district, and school levels)?
- What are the most important lessons learned about KEA selection, implementation, and use of results?

These are the documents that may be helpful to have on hand:

- Summary of the KEA selection process in your state
- Pilot and/or field test findings
- Map of KEA domains/skills to your state's early learning standards
- General information provided to parents, teachers, and administrators about the KEA
- Example reports of KEA results.

If these documents are available electronically, please send them to me before the interview.

I am also attaching a copy of the study consent form. Please read it and fax me a signed copy at [xxx-xxx-xxxx].

If you have any questions about the interview, please don't hesitate to contact me. I look forward to our discussion.

Sincerely,

[SRI Interviewer name and contact information]

Attachment: consent form

KEA Case Studies Sample (Interview) Recruitment Letter
District Recruiting Letter

[Department of Education letterhead]

Dear [District Superintendent]:

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). [Insert name of state] is one of only four states selected to participate. Further, [Insert name of SEA contact] identified your district as a good one to learn from about how KEA implementation works on the ground.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. In each district the study team will conduct in-person interviews with three district staff supporting KEA implementation. The team will also visit two schools per district to interview school administrators and teachers (four staff members per school) and collect and review state and local documents. The study team will also conduct phone interviews with a KEA trainer or professional development provider and some local preschool directors after the site visits. The interviews will take between 45-60 minutes of the respondents' time, and individual responses in the interviews will be kept confidential to the extent possible, except as may be required by law. The result of this effort will be a report that identifies cross-site lessons, revealing how practices work on the ground and implementation challenges and solutions.

A representative from SRI or DIR will contact you soon to discuss the study and your district's plan for KEA implementation. If you prefer us to contact someone else in your district, you may contact SRI's Principal Investigator, Dr. Shari Golan, at 650-859-4007. If you have questions about the study, you may contact Dr. Golan or Erica Lee at the U.S. Department of Education at erica.lee@ed.gov.

We appreciate your cooperation in helping us gather and disseminate information about how states, districts, and schools are developing, implementing, and using KEAs in order to strengthen these efforts across the country. We look forward to learning more about the interesting work that you are doing.

Sincerely,

[Name], Director
Policy and Program Studies Service
Office of Planning, Evaluation and Policy Development

[Name], Deputy Assistant Secretary for
Policy and Early Learning
Office of Elementary and Secondary Education

cc: [RTT-ELC State Coordinator and/or State Superintendent]

KEA Case Studies Sample (Interview) Recruitment Email (if district contact is not coordinating the recruitment) District Version for Key Informants

Dear [District representative],

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). [Insert name of state] is one of four states included in the study, and [Insert name of district] is one of the three districts in [Insert name of state] selected to participate. [District contact name], [role of district contact], identified you as a key informant in your district to talk with about your experiences and lessons learned about the use of a KEA. We are asking for your participation in an in-person interview. This email tells you about the purpose of the interview and how the responses will be used.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. Our study team is inviting district administrators as well as local educators to share with us what they have learned about the processes, accomplishments, and challenges of implementing KEAs. We believe information about your experiences will be valuable for other districts interested in implementing KEAs and for federal and state policy makers.

We will contact you soon to discuss the study and logistics of setting up an interview during an upcoming site visit in [month].

The interview will take approximately 60 minutes of your time. The interviews are intended to provide information about the overall KEA system and not to evaluate individuals' capabilities or performance. Questions cover topics such as the administration of the KEA, the uses of KEA results, and lessons learned.

Our study team will summarize findings from interviews conducted across your district and then integrate and consolidate results across all the districts and states in the study. We will present the results to the U.S. Department of Education and other federal agencies, and we will produce a public final report planned to be available in 2016. Your responses to the interview questions will be kept confidential to the extent possible, except as may be required by law. Names and other identifying information will not be included in any reports.

If you have questions about the interview, please email me or contact me at the number below. We appreciate your cooperation in helping us gather and disseminate information about how states, districts, and schools are developing, implementing, and using KEAs in order to strengthen these efforts across the country. We look forward to learning more about the interesting work that you are doing.

Respectfully,

[SRI Interviewer name and contact information]

CC: [district early learning contact]

Follow-up email reminder about scheduled interview

Dear **[District representative]**,

This is a friendly reminder about our 1-hour interview about the implementation and use of your kindergarten entry assessment (KEA). We are scheduled to meet on **[Day]**, **[Date]**, at **[Time]**.

In preparation for the interview, I am sending a few sample questions and a list of documents that might be helpful to have on hand during the call. The sample questions are:

- How is the KEA administered in your district?
- How are KEA results shared and used to inform policy and practice (at the state, district, and school levels)?
- What are the most important lessons learned about KEA selection, implementation, and use of results?

These are the documents that may be helpful to have on hand:

- General information provided to parents, teachers, and administrators about the KEA
- Example reports of KEA results.

If these documents are available electronically, please send them to me before or after the interview.

If you have any questions about the interview, please don't hesitate to contact me. I look forward to our discussion.

Sincerely,

[SRI Interviewer name and contact information]

KEA Case Studies Sample (Interview) Recruitment Email

School Recruiting Letter

Dear **[School Principal]**:

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). **[Insert name of state]** is one of four states included in the study, and **[Insert name of district]** is one of the three districts in **[Insert name of state]** selected to participate. **[District contact]** identified your school as a good one to learn from about how KEA implementation works on the ground.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. In each district the study team will visit two schools per district to conduct in-person interviews. At each school, we will interview the principal, two kindergarten teachers, and a test administrator or other staff member involved with KEA implementation (four staff members total). Interviews will last approximately 45 minutes, and individual responses in the interviews will be kept confidential to the extent possible, except as may be required by law. The study team will also collect and review state and local documents. The result of this effort will be a report that identifies cross-site lessons, revealing how practices work on the ground and implementation challenges and solutions.

We will contact you soon to discuss the study and logistics of the site visit. If you would like us to coordinate with someone else in your school, you may contact me. If you have questions about the study, please contact me or Erica Lee at the U.S. Department of Education at erica.lee@ed.gov.

We look forward to talking with you.

Respectfully,
[SRI Interviewer name and contact information]

Cc: District superintendent or other district contact

KEA Case Studies Sample (Interview) Recruitment Email

Professional Development Provider

Recruiting Letter

Dear **[Professional Development Provider Director]**:

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). **[Insert name of state]** is one of only four states selected to participate **[State/District contact]** identified you as a key informant to learn from about your experiences in supporting the implementation of the KEA.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. In each state the study team will interview three professional development providers by phone--one provider per case study district. Interviews will last approximately 45 minutes, and individual responses in the interviews will be kept confidential to the extent possible, except as may be required by law. The result of this effort will be a report that identifies cross-site lessons, revealing how KEA implementation looks on the ground and implementation challenges and solutions.

We will contact you soon to discuss the study and logistics of setting up phone interviews. If you have questions, you may email me or Erica Lee at the U.S. Department of Education at erica.lee@ed.gov.

We look forward to talking with you.

Respectfully,
[SRI Interviewer name and contact information]

Follow-up email reminder about scheduled interview

Dear **[Professional Development Provider]**,

This is a friendly reminder about our 45-minute interview about your experiences supporting the implementation of the kindergarten entry assessment (KEA). We are scheduled to talk on **[Day]**, **[Date]**, at **[Time]**.

Please use the following toll-free conference line and password at the time of our call:

Phone number: (866)xxx-xxxxx

Password: XXXXXXXX

In preparation for the interview, I am sending a few sample questions and a list of documents that might be helpful to have on hand during the call. The sample questions are:

- Describe the types of training and support that you provide to district and school staff regarding the administration and use of the [KEA measure].
- What background information do you share with participants about the KEA?
- Please describe any information you provide and activities you do to help staff accurately interpret KEA results/data.
- Do you feel that the training and support you provide is sufficient for teachers and other staff to administer and use KEA data? What additional support do you feel district and/or school staff need to accurately administer the KEA and use its results?

These are the documents that may be helpful to have on hand:

- Presentation and handout materials provided to individuals administering the KEA

If these documents are available electronically, please send them to me before or after the interview.

I am also attaching a copy of the study consent form. Please read it and fax me a signed copy at [xxx-xxx-xxxx].

If you have any questions about the interview, please don't hesitate to contact me. I look forward to our discussion.

Sincerely,

[SRI Interviewer name and contact information]

Attachment: consent form

KEA Case Studies Sample (Interview) Recruitment Email

Preschool Recruiting Letter

Dear **[Preschool Director]**:

The U.S. Department of Education is sponsoring a study to learn about the development, implementation, and use of Kindergarten Entry Assessments (KEAs). **[Insert name of state]** is one of four states included in the study, and **[Insert name of district]** is one of the three districts in **[Insert name of state]** selected to participate. **[District/School contact]** identified your preschool as a good one to learn from about the experiences of preschool programs with KEA implementation.

SRI International and Decision Information Resources, Inc. (DIR) are conducting the study. In each state the study team will conduct phone interviews with 6 directors of preschool programs located in each of the three districts selected to participate. Interviews will last approximately 45 minutes, and individual responses in the interviews will be kept confidential to the extent possible, except as may be required by law. You will receive a \$25 gift card as a token of appreciation for participating in the interview. The result of this effort will be a report that identifies cross-site lessons, revealing how KEA implementation looks on the ground and implementation challenges and solutions.

We will contact you soon to discuss the study and logistics of setting up phone interviews. If you have questions, you may email me or Erica Lee at the U.S. Department of Education at erica.lee@ed.gov.

We look forward to talking with you.

Respectfully,
[SRI Interviewer name and contact information]

Follow-up email reminder about scheduled interview

Dear **[Preschool Director]**,

This is a friendly reminder about our 45-minute phone interview about your experiences with the implementation of the kindergarten entry assessment (KEA). We are scheduled to talk on **[Day]**, **[Date]**, at **[Time]**.

Please use the following toll-free conference line and password at the time of our call:

Phone number: (866)xxx-xxxxx

Password: XXXXXXXX

In preparation for the interview, I am sending a few sample questions and a list of documents that might be helpful to have on hand during the call. The sample questions are:

- What general information did you receive about the KEA before it was administered? What general information was given to PreK teachers in your program?
- How does the KEA measure relate to the goals and focus of your PreK program?
- Do PreK program administrators receive the results of the KEA? If so, what information do they receive?
- Describe how, if at all, you or your PreK program have used or plan to use the results?

These are the documents that may be helpful to have on hand:

- Information sheets or documents you have received about the kindergarten entry assessment
- Summaries of results based on the kindergarten entry assessment

If these documents are available electronically, please send them to me before or after the interview.

I am also attaching a copy of the study consent form. Please read it and fax me a signed copy at [xxx-xxx-xxxx].

If you have any questions about the interview, please don't hesitate to contact me. I look forward to our discussion.

Sincerely,

[SRI Interviewer name and contact information]

Attachment: consent form