

ECTA/DaSy Framework Self-Assessment Comparison Tool

Background and Purpose

The Self-Assessment Comparison (SAC) Tool is for state Part C and Section 619/Preschool programs to use to assess changes in the implementation of one or more components of the ECTA System Framework and/or subcomponents of the DaSy Data System Framework. It is a companion to the ECTA/DaSy Framework Self-Assessment. Key features of the SAC are that it

- provides a way to compare self-assessment ratings across different points in time for one or more components or subcomponents;
- calculates and displays changes in the Quality Indicator (QI) ratings and the Elements of Quality (EQ) ratings across up to three time points; and
- summarizes valuable information to help states assess changes to various aspects of ECTA system or DaSy data system infrastructure, which can be used as part of a State System Improvement Plan evaluation.

States are encouraged to use both the self-assessment and the SAC Tool as part of an improvement planning process of assessing the status of their system, developing a plan for improvement, implementing the plan, and reassessing the system to monitor progress. When used as part of such an ongoing process, reassessment enables states to monitor and document progress on building a high-quality system.

We recommend that the entire component, or Data System subcomponent, be completed at the reassessment. It is certainly possible that improvement efforts may not have been directed at all QIs of a component; but some elements and QIs are interrelated, and the improvement efforts may have had an effect on those not directly targeted. Reassessing the entire component also will contribute to the ongoing improvement planning process and the setting of new priorities.

Overview of the Suggested Process

1. Select the component(s) (or for the Data System, subcomponent[s]) for which the self-assessment will be completed.
2. Identify the appropriate stakeholders for those components/subcomponents.
3. Gather stakeholders and complete the self-assessment.
4. Review the self-assessment results and determine priorities for improvement planning.
5. Develop a plan for improvement.
6. Implement the improvement plan.
7. Establish and maintain a continuous cycle of reassessment and improvement planning, including
 - a. re-administer the self-assessment,
 - b. identify areas of progress and new or ongoing areas for improvement, and
 - c. revise the plan accordingly.

ECTA System Framework Components

Governance
 Finance
 Personnel/Workforce
 Accountability and Quality Improvement
 Quality Standards
 Data System (DaSy Framework)
 Subcomponents:
 Purpose and Vision
 Stakeholder Engagement
 Data Governance and Management
 System Design/Development
 Data Use
 Sustainability

Different sets of stakeholders may be appropriate for assessing different components. If completed openly and thoughtfully by stakeholders, the self-assessment process will stimulate valuable discussions about the status of the system, including the system's strengths and areas for improvement. The SAC Tool can be used to gauge the progress of system improvement efforts as part of a re-assessment.

When a state reassesses a component, the stakeholders may be different from those who completed the self-assessment the first time; some people may no longer be involved, and/or others may have joined the process. These potential changes in the composition of the stakeholders highlight the importance of documenting the evidence in the self-assessment tool so the second group of stakeholders can understand the rationale for the ratings assigned by the first group. Review of the evidence from the first self-assessment will help inform the reassessment and subsequent ratings.

Each state will need to decide how often to reassess. In deciding when to reassess, consider such factors as the scope, intensity, and time frame of the improvement planning efforts.

Assistance with Completing the Self-Assessment

Staff from ECTA and DaSy are available to help states with the self-assessment. This includes

- answering questions about how to work with the self-assessment and the SAC Tool;
- assisting with planning for the process or facilitating the stakeholder discussion;
- developing an improvement plan; and/or
- providing other kinds of assistance the state might need.

If you would like assistance or have questions about the framework or the self-assessment, please contact DaSy for help with the Data System component or ECTA for help with any of the other system components.

Instructions for Using the Self-Assessment Comparison Tool

Overview

The instructions are provided in this document and in the workbook for your convenience. The five major steps are described below. Click on the link for additional details for each step.

Data are NOT entered or edited in the SAC Tool. All of the data are imported from other self-assessment files. The SAC Tool displays the resulting comparisons.

Step 1: Complete self-assessment files. To compare any component or data subcomponent, you must have a self-assessment file representing Time 1 and a self-assessment file representing Time 2. Users may compare ratings across as many as three time points, thus adding a Time 3 file, but this is optional. [Go to Step 1 details.](#)

Step 2: Ensure self-assessment files are named correctly. [Go to Step 2 details.](#)

The names of the self-assessment, or point-in-time source files, must be *exactly* as follows:

ECTA-DaSy_Self-Assessment_T1.xlsm – Time 1

ECTA-DaSy_Self-Assessment_T2.xlsm – Time 2

ECTA-DaSy_Self-Assessment_T3.xlsm – optional Time 3

The comparison file, or SAC Tool, *must* be named **ECTA-DaSy_Self-Assessment_Comparison.xlsm**

Step 3: Open the SAC Tool and the self-assessment files. All files must be open at the same time. [Go to Step 3 details.](#)

Step 4: Use the ImportPanel worksheet in the SAC Tool to import data from the self-assessment files. Select the components for Time 1 that you wish to import. Then select the same components for Time 2 (and for Time 3, as applicable). [Go to Step 4 details.](#)

Step 5: Select one of two views to display the comparison data. After the data are imported, go to the component or data subcomponent worksheet in the SAC Tool and choose Hide Elements to display just the QI ratings, or Show Elements to display the QI and EQ ratings. [Go to Step 5 details.](#)

Details by Step

Step 1: Complete self-assessment files.

- States should complete the self-assessment process at Time1 (baseline) and a later time (Time2) using the self-assessment tool. Comparisons for a third time point, Time3, are possible.
- Each source file must have at least one set of QI (and EQ) ratings for one or more components or one of the data subcomponents.
- The date each component/subcomponent was completed must be entered in the Participants worksheet in the corresponding self-assessment source file. Dates are entered in Row 12 of the Participant worksheet. These dates will be imported into the comparison file along with the QI and EQ ratings.
- The priority ratings for the QIs and EQs also will be imported if they are available in the source file. If you want the priority ratings in the comparison file, enter them in each source file before you import.

Step 2: Ensure self-assessment files are named correctly.

The SAC Tool relies on a strict naming convention for the files that will be used:

- SAC Comparison File
The SAC Tool, or comparison file, *must* be named **ECTA-DaSy_Self-Assessment_Comparison.xlsm**
- Source Files
The names of the point-in-time source files must be *exactly* as follows:
ECTA-DaSy_Self-Assessment_T1.xlsm – Time1
ECTA-DaSy_Self-Assessment_T2.xlsm – Time 2
ECTA-DaSy_Self-Assessment_T3.xlsm – optional Time3

Step 3: Open the SAC Tool and the self-assessment files.

- Open at least two source files named as described above, with T1 and T2. It does not matter which worksheet is visible, just that the file is open. Make sure there are dates in the Participant worksheets in each source file for the components that you plan to import.
- If your file is not open or is not named exactly as required, the following error message will appear and your data will not be copied from your source file into this comparison file:

Oops! Please make sure your Time 1 file is called
'ECTA-DaSy_Self-Assessment_T1.xlsm' and that it is OPEN!

- Be sure to enable the macros after opening the SAC Tool. There are several ways to accomplish this, depending on which version of Microsoft you are using.
 - Microsoft 2013: Click on the *Enable Content* button in the yellow Message Bar.
 - Microsoft Excel 2007 and 2010: Go to File > Info > Enable Content > Enable All Content.
 - Microsoft 2003: Download and install the Compatibility Pack from Microsoft:
<https://www.microsoft.com/en-us/download/details.aspx?id=3>
 - If you cannot enable the macros through one of these methods, you may need to change a setting in your security or trust center settings. Information on how to do this is at
http://www.exceltrick.com/how_to/enable-macros-in-excel/.

Step 4: Use the ImportPanel worksheet in the SAC Tool to import data from the self-assessment files.

- With the source files open, open the comparison file and go to the ImportPanel tab. The ImportPanel is set up so that you can select and import one component or data subcomponent at a time or all the components at once. Selections for Time 1 should be made first, followed by Time 2, and then Time 3, if applicable. Using the ImportPanel worksheet, select the components for Time 1 that you wish to import. Then select the same components for Time 2 and for Time 3.

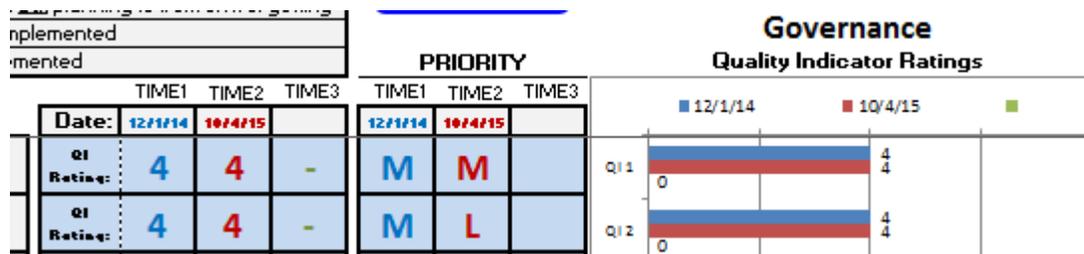
Below is a partial screen shot of the ImportPanel. To import the data for the Governance (GV) component for Time 1, click on the cell **GVT1**. After the import is complete, click on the **GVT2** cell to import the data for Time 2. Continue the process to import additional components and subcomponents.

import:	10/1/14	11/4/15	
	Time 1	Time 2	Time 3
GV	GVT1	GV T2	GV T3
FN	FN T1	FN T2	FN T3
PN	PN T1	PN T2	PN T3

- If, after importing any component, you notice that the date is missing, go back to the Participant worksheet in the source file, enter the date, and rerun the import. The date of your most recent import will be displayed in the top row of the ImportPanel (see screenshot above); however, that field will change if another import occurs for the same time period.
- Use of the ALL button in the ImportPanel imports data for all components for a given time period, e.g., T1 or T2. It may take a few minutes to import data for all the components.

Step 5: Select one of two views to display the comparison data.

- After the ratings for the same component for two (or three) points in time are imported, the comparisons of the QI and EQ ratings are automatically generated and displayed in the worksheet that corresponds to the selected components/subcomponents (there are five ECTA components and six data subcomponents).
- Use the Table of Contents or the tabs at the bottom of the spreadsheet to get to a component worksheet.
- Two views are available: Hide Elements and Show Elements. Buttons for each view are at the top right of each worksheet. The Hide Elements view displays each of the QIs followed by the QI ratings for Time 1, in blue; Time 2, in red; and Time 3, in green. The date the component was completed for each time point is provided atop the ratings. To the right of the QI ratings are the Priority Ratings for Time 1, Time 2, and Time 3. The bar chart to the right depicts the QI ratings for each QI for each time point.



- To view the EQ ratings for each element, click the Show Elements button. Remember that the QI buttons at the top may be used to navigate to each QI. When the EQ ratings are displayed, a smaller version of the bar graph is displayed in the upper right of each worksheet.

Governance QI1:

Implemented				PRIORITY			
		TIME1	TIME2	TIME3	TIME1	TIME2	TIME3
	Date:	12/1/14	10/4/15		12/1/14	10/4/15	
	QI Rating:	4	4	-	M	M	
Public	Element Rating:	2	3		M	M	
	Element Rating:	4	2		H	M	
comes	Element Rating:	3	4		M	M	
	Element Rating:	1	4		M	M	
actively	Element Rating:	2	1		M	M	
	Element Rating:	4	3		M	M	

Saving the Results of the SAC Tool

Save the SAC file as you would any other workbook. If at a later time you wish to do more comparisons, e.g., for other components or data subcomponents or additional points in time, you may use the same comparison file. However, if you have renamed that file for any reason, you will need to change the filename back to ECTA-DaSy_Self-Assessment_Comparison.

Printing the Results of the SAC Tool

Each worksheet in the workbook has an existing default print area. You may redefine or resize the print areas by using the Print Area option in Excel's Page Layout tab.

Hints for Using the SAC Tool

- When you are comparing more than one component, the dates of completion for Time 1 or Time 2 need not be the same for each of the components within Time 1 or Time 2. The only requirement is that the date in the T1 file for a component or data subcomponent) be earlier than the date for the same component in the T2 file.
- The import will work if you have different components in different self-assessment files, e.g., Governance for Time 1 is in one file and Stakeholder Engagement for Time 2 is in another. Just make sure that the component that you wish to import is in a file with the proper name, clearly labeled at T1, T2, or T3, and is open.
- You can always change filenames after you have completed the import/comparison; just make sure the file meets the filename requirements if it is used again in the import process.

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Department of Education, and you should not assume endorsement by the Federal Government.

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