

ITEM 4
PROPOSED DECISION
AND
PARAMETERS AND GUIDELINES

Education Code Section 60640, as amended by Statutes 2013, Chapter 489 (AB 484) and Statutes 2014, Chapter 32 (SB 858); California Code of Regulations, Title 5, Sections 850, 852, 853, 853.5, 857, 861(b)(5), and 864, as added or amended by Register 2014, Nos. 6, 30, and 35

California Assessment of Student Performance and Progress (CAASPP)

14-TC-01 and 14-TC-04

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

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COMMISSION ON STATE MANDATES

980 NINTH STREET, SUITE 300
SACRAMENTO, CA 95814
PHONE: (916) 323-3562
FAX: (916) 445-0278
E-mail: csminfo@csm.ca.gov



February 4, 2016

Mr. Arthur Palkowitz
Artiano Shinoff & Holtz, APC
2488 Historic Decatur Road, Suite 200
San Diego, CA 92106

And Interested Parties and Affected State Agencies (See Enclosed Mailing List)

RE: Corrected Test Claim Decision

California Assessment of Student Performance and Progress (CAASPP), 14-TC-01
Education Code Sections 60602 et al.

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

AND

California Assessment of Student Performance and Progress (CAASPP), 14-TC-04
California Code of Regulations, Title 5, Sections 850-864; Register 2014, No. 6

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, and Santa Ana Unified School District, Claimants

Dear Mr. Palkowitz:

On January 22, 2016, the Commission on State Mandates (Commission) adopted the decision partially approving the above-entitled matter. Corrections were made on February 4, 2016. The corrected decision was prepared pursuant to California Code of Regulations, title 2, section 1187.11(b). The corrections made to the decision are as follows:

This decision has been corrected to reflect an activity approved on page 64 of the decision, but inadvertently omitted from the findings in the conclusion: "Beginning August 27, 2014, the CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individualized aids are entered into the registration system."¹

The corrected decision can be found at <http://www.csm.ca.gov/decisions.shtml#c2> on the Commission's website.

Sincerely,

A handwritten signature in black ink, appearing to read "Heather Halsey".

Heather Halsey
Executive Director

¹ California Code of Regulations, title 5, section 858(d) (Register 2014, No. 35).

BEFORE THE
COMMISSION ON STATE MANDATES
STATE OF CALIFORNIA

IN RE TEST CLAIMS ON:

Education Code Sections 60602, 60602.5, 60603, 60604, 60607, 60610, 60611, 60612, 60640, 60641, 60642.6, 60643, 60643.6, 60648, 60648.5, 60649, 60810, 99300, 99301; as added or amended by Statutes 2013, Chapter 489 (AB 484);¹ Statutes 2014, Chapter 32 (SB 858); Statutes 2014, Chapter 327 (AB 1599)

California Code of Regulations, Title 5, Sections 850-864, as added or amended by Register 2014, Nos. 30 and 35

Filed on December 23, 2014

By, Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

AND

California Code of Regulations, Title 5, Sections 850-864, as added or amended by Register 2014, No. 6

Filed on June 26, 2015

By, Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, and Santa Ana Unified School District, Claimants

Case Nos.: 14-TC-01 and 14-TC-04

California Assessment of Student Performance and Progress (CAASPP)

DECISION PURSUANT TO GOVERNMENT CODE SECTION 17500 ET SEQ.; CALIFORNIA CODE OF REGULATIONS, TITLE 2, DIVISION 2, CHAPTER 2.5, ARTICLE 7.

(Adopted January 22, 2016)

(Served January 27, 2016)

(Corrected February 4, 2016)

(Served February 4, 2016)

¹ This statute was pled as “Statutes 2013-2014, Chapter 489 (AB 484)” in 14-TC-01. However, it was chaptered by the Secretary of State and is later referred to by the Legislature, in the state budget, as “Statutes 2013, chapter 489.” Therefore, this analysis will refer to it as “Statutes 2013, chapter 489.”

DECISION

This decision has been corrected to reflect an activity approved on page 64 of the decision, but inadvertently omitted from the findings in the conclusion: “Beginning August 27, 2014, the CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individualized aids are entered into the registration system.²”

The Commission on State Mandates (Commission) heard and decided this test claim during a regularly scheduled hearing on January 22, 2016. Art Palkowitz appeared as the claimant representative on behalf of the school districts. Micheline Miglis appeared on behalf of the Plumas County Office of Education and Plumas Unified School District; Nate Nelson appeared on behalf of the Porterville Unified School District. Dr. Rick Miller appeared on behalf of the Santa Ana Unified School District; Dr. Ramona Bishop appeared on behalf of the Vallejo City Unified School District; and Josh Daniels appeared on behalf of the California School Boards Association. Amber Alexander and Susan Geanacou appeared on behalf of the Department of Finance (Finance).

The law applicable to the Commission’s determination of a reimbursable state-mandated program is article XIII B, section 6 of the California Constitution, Government Code sections 17500 et seq., and related case law.

The Commission adopted the proposed decision to partially approve the test claim at the hearing by a vote of 6-0, as follows:

Member	Vote
Ken Alex, Director of the Office of Planning and Research	Yes
Richard Chivaro, Representative of the State Controller, Vice Chairperson	Yes
Mark Hariri, Representative of the State Treasurer	Yes
Sarah Olsen, Public Member	Yes
Eraina Ortega, Representative of the Director of the Department of Finance, Chairperson	Yes
Carmen Ramirez, City Council Member	Yes
Don Saylor, County Supervisor	Absent

Summary of the Findings

The Commission finds that the test claim statutes and regulations mandate a new program or higher level of service on school districts to provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.³ In addition, the regulations implementing the computer-based CAASPP assessments mandate new additional reporting and informational

² California Code of Regulations, title 5, section 858(d) (Register 2014, No. 35).

³ Education Code section 60640 (Stats. 2013, ch. 489); California Code of Regulations, title 5, section 853 (Register 2014, Nos. 6, 30, and 35).

requirements, as described herein. And, the Commission finds, based on evidence in the record, that there are increased costs mandated by the state beginning January 1, 2014, above and beyond the funding appropriated by the state for pupil assessment programs, including CAASPP. The decision identifies actual and potential offsetting revenues that will be included in the parameters and guidelines, and which must be identified and deducted from school district reimbursement claims as specified.

COMMISSION FINDINGS

I. Chronology

- 12/23/2014 14-TC-01 was filed with the Commission.
- 01/02/2015 14-TC-01 was deemed complete and issued for comment.⁴
- 01/28/2015 Finance requested an extension of time to file comments, which was approved for good cause.
- 02/12/2015 Vallejo City Unified School District requested to be joined as a claimant in 14-TC-01, which was approved and noticed on February 18, 2015.⁵
- 02/13/2015 Finance filed written comments on the test claim.⁶
- 02/13/2015-
02/24/2015 The following local governments filed written comments on the test claim filing for 14-TC-01: Orange County Board of Education; Visalia Unified School District; Tulare Joint Union High School District; Santa Rosa City Schools; San Lorenzo Valley Unified School District; Del Norte County Office of Education; Cupertino Union School District; Belmont-Redwood Shores School District; Santa Cruz City Schools; and Moreno Valley Unified School District.⁷
- 03/13/2015 The California Educational Technology Professionals Association filed comments on 14-TC-01.⁸
- 03/13/2015 The claimants filed rebuttal comments.⁹
- 03/17/2015 The claimants amended 14-TC-01 with a revised filing which was deemed to replace the original test claim filing and was issued for comment.¹⁰

⁴ Based upon the filing date of December 23, 2014, the potential period of reimbursement begins July 1, 2013. However, since the test claim statutes and regulations became effective after July 1, 2013, the potential period of reimbursement begins on the effective date of the statute or regulation that imposes a state-mandate.

⁵ Exhibit C, Vallejo City Unified Request to Join Test Claim.

⁶ Exhibit D, Finance's Comments on Test Claim 14-TC-01, filed February 13, 2015.

⁷ Exhibit E, Interested Parties and Persons Comments.

⁸ Exhibit E, Interested Parties and Persons Comments.

⁹ Exhibit F, Claimants' Rebuttal on 14-TC-01, filed March 13, 2015.

¹⁰ Exhibit A, Amended Test Claim 14-TC-01. Note that this document is the revised test claim as amended March 17, 2015 which superseded the original filing.

04/27/2015 Finance submitted late comments purporting to rebut claimants’ rebuttal to Finance’s comments on the original test claim filing, which has now been superseded by the amended test claim filing.¹¹

05/11/2015 Claimants submitted additional, late rebuttal comments on Finance’s late comments.¹²

06/01/2015 Commission staff issued the draft proposed decision for 14-TC-01.¹³

06/16/2015 Finance submitted a request for an extension of time and postponement of the hearing, which was denied for failure to state good cause.

06/19/2015 Finance submitted a second request for an extension of time and postponement of the hearing, which was approved for good cause shown.

06/26/2015 Claimants filed 14-TC-04.¹⁴

07/20/2015 Claimants filed comments on the draft proposed decision for 14-TC-01.¹⁵

07/20/2015 Finance filed comments on the draft proposed decision for 14-TC-01.¹⁶

08/14/2015 14-TC-04¹⁷ was deemed complete, consolidated with 14-TC-01, and the consolidated claim was named “CAASPP.”

08/20/2015 Claimants requested postponement of hearing from December 3, 2015 to January 22, 2016, which was granted for good cause shown.

11/13/2015 Commission staff issued the draft proposed decision on the consolidated test claim.¹⁸

12/04/2015 Claimants filed written comments on the draft proposed decision.¹⁹

12/17/2015 Claimants submitted a late Declaration and Supporting Documentation.²⁰

¹¹ Exhibit G, Finance’s Late Comments on 14-TC-01, filed April 27, 2015.

¹² Exhibit H, Claimants’ Late Rebuttal on 14-TC-01, filed May 11, 2015.

¹³ Exhibit I, Draft Proposed Decision on 14-TC-01.

¹⁴ Exhibit B, Test Claim 14-TC-04. Please note that this claim was revised October 22, 2015, only to obtain claim certification from an officer authorized to represent Plumas Unified School District- no substantive changes were made to the filing.

¹⁵ Exhibit J, Claimants’ Comments on Draft Proposed Decision on 14-TC-01.

¹⁶ Exhibit K, Finance’s Comments on Draft Proposed Decision on 14-TC-01.

¹⁷ Exhibit B, Test Claim 14-TC-04.

¹⁸ Exhibit L, Draft Proposed Decision on 14-TC-01 and 14-TC-04.

¹⁹ Exhibit M, Claimant Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04.

²⁰ Exhibit N, Late Declaration and Supporting Documentation filed December 17, 2015.

Because it is late and is unnecessary to the analysis in the proposed test claim decision, which finds a state-mandated new program or higher-level of service and costs mandated by the state

II. Background

A. Federal Law

The Federal Elementary and Secondary Education Act

The Elementary and Secondary Education Act (ESEA) was signed into law in 1965 by President Lyndon Johnson. The ESEA provides basic and incentive grants to schools and school districts having a sizeable enrollment of disadvantaged pupils, as defined by census poverty estimates.²¹ Those grants are intended to be used for programs and projects ‘including the acquisition of equipment and where necessary the construction of school facilities...’ to meet the needs of “educationally deprived children from low-income families...”²²

The Improving America’s Schools Act

The Improving America’s Schools Act of 1994 made the Title I funding of the ESEA conditional upon states implementing statewide systems of assessment and accountability for participating schools, saying: “while title I and other programs funded under [the ESEA] contribute to narrowing the achievement gap between children in high-poverty and low-poverty schools, such programs need to become even more effective in improving schools in order to enable all children to achieve high standards...”²³

No Child Left Behind

The No Child Left Behind Act of 2001 (NCLB), which Congress enacted as a reauthorization of the Elementary and Secondary Education Act of 1965, requires states that participate in and receive federal funds to administer:

[A] set of high-quality, yearly student academic assessments that include, at a minimum, academic assessments in mathematics, reading or language arts, and science that will be used as the primary means of determining the yearly performance of the State and of each local educational agency and school in the State in enabling all children to meet the State’s challenging student academic achievement standards, except that no State shall be required to meet the requirements of this part relating to science assessments until the beginning of the 2007–2008 school year.²⁴

Title I of NCLB also requires that the assessments measure pupil proficiency as follows:

Such assessments shall--

[¶]...[¶]

based on similar declarations and supporting documentation submitted by other co-claimants, this filing will not be addressed in this decision.

²¹ See Public Law 89-10, April 11, 1965, sections 201-205.

²² Public Law 89-10, section 205.

²³ Public Law 103-382, section 1001.

²⁴ 20 USC 6311 (b)(3)(A) (Pub. L. 107-110, Jan. 8, 2002).

(II) beginning not later than school year 2007–2008, measure the proficiency of all students in science and be administered not less than one time during—

(aa) grades 3 through 5;

(bb) grades 6 through 9; and

(cc) grades 10 through 12;

(vi) involve multiple up-to-date measures of student academic achievement, including measures that assess higher-order thinking skills and understanding;

(vii) beginning not later than school year 2005–2006, measure the achievement of students against the challenging State academic content and student academic achievement standards *in each of grades 3 through 8 in, at a minimum, mathematics, and reading or language arts*, except that the Secretary may provide the State 1 additional year if the State demonstrates that exceptional or uncontrollable circumstances, such as a natural disaster or a precipitous and unforeseen decline in the financial resources of the State, prevented full implementation of the academic assessments by that deadline and that the State will complete implementation within the additional 1-year period;²⁵

NCLB also includes the following reporting provisions in Title I, requiring the assessments to:

(xii) produce individual student interpretive, descriptive, and diagnostic reports, consistent with clause (iii) that allow parents, teachers, and principals to understand and address the specific academic needs of students, and include information regarding achievement on academic assessments aligned with State academic achievement standards, and that are provided to parents, teachers, and principals, as soon as is practicably possible after the assessment is given, in an understandable and uniform format, and to the extent practicable, in a language that parents can understand;

(xiii) enable results to be disaggregated within each State, local educational agency, and school by gender, by each major racial and ethnic group, by English proficiency status, by migrant status, by students with disabilities as compared to nondisabled students, and by economically disadvantaged students as compared to students who are not economically disadvantaged, except that, in the case of a local educational agency or a school, such disaggregation shall not be required in a case in which the number of students in a category is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student.²⁶

In a case that focused on the educational requirements and funding provisions of Title I of NCLB, a Federal Appellate court stated the following:

In contrast to prior ESEA iterations, NCLB “provides increased flexibility of funds, accountability for student achievement and more options for parents.” 147

²⁵ 20 USC 6011(b)(3)(C) (Pub. L. 107-110, Jan. 8, 2002) [emphasis added].

²⁶ 20 USC 6011(b)(3)(C) (Pub. L. 107-110, Jan. 8, 2002).

Cong. Rec. S13365, 13366 (2001) (statement of Sen. Bunning). The Act focuses federal funding more narrowly on the poorest students and demands accountability from schools, with serious consequences for schools that fail to meet academic-achievement requirements. *Id.* at 13366, 13372 (statements of Sens. Bunning, Landrieu, and Kennedy). States may choose not to participate in NCLB and forgo the federal funds available under the Act, but if they do accept such funds, they must comply with NCLB requirements. See, e.g., 20 U.S.C. § 6311 (“For any State desiring to receive a grant under this part, the State educational agency shall submit to the Secretary a plan....”) (emphasis added); see also *Spellings*, 453 F.Supp.2d at 469 (“In return for federal educational funds under the Act, Congress imposed on states a comprehensive regime of educational assessments and accountability measures.”).

Title I, Part A, of NCLB, titled “Improving Basic Programs Operated by Local Educational Agencies,” continues to pursue the objectives of the ESEA and imposes extensive educational requirements on participating States and school districts, and, likewise, provides the largest amount of federal appropriations to participating States. For example, in fiscal year 2006, NCLB authorized \$22.75 billion in appropriations for Title I, Part A, compared to \$14.1 billion for the remaining twenty-six parts of NCLB combined. Title I, Part A’s stated purposes include meeting “the educational needs of low-achieving children in our Nation’s highest-poverty schools, limited English proficient children, migratory children, children with disabilities, Indian children, neglected or delinquent children, and young children in need of reading assistance.” 20 U.S.C. § 6301(2).

[¶...¶]

To qualify for federal funding under Title I, Part A, States must first submit to the Secretary a “State plan,” developed by the State’s department of education in consultation with school districts, parents, teachers, and other administrators. 20 U.S.C. § 6311(a)(1). A State plan must “demonstrate that the State has adopted challenging academic content standards and challenging student academic achievement standards” against which to measure the academic achievement of the State’s students. *Id.* § 6311(b)(1)(A). The standards in the State plan must be uniformly applicable to students in all of the State’s public schools, and must cover at least reading or language arts; math; and, by the fourth grade, science skills. *Id.* § 6311(b)(1)(C).

States also must develop, and school districts must administer, assessments to determine students' levels of achievement under plan standards. *Id.*

§ 6311(b)(2) (A). These assessments must show the percentage of students achieving “proficiency” among “economically disadvantaged students,” “students from major racial and ethnic groups,” “students with disabilities,” and “students with limited English proficiency.” *Id.* § 6311(b)(2)(C)(v)(II). Schools and districts are responsible for making “adequate yearly progress” (“AYP”) on these assessments, meaning that a minimum percentage of students, both overall and in each subgroup, must attain proficiency. 34 C.F.R. § 200.20(a)(1).

[¶...¶]

. . . NCLB requires that States use federal funds made available under the Act “only to supplement the funds that would, in the absence of such Federal funds, be made available from non-Federal sources for the education of pupils participating in programs assisted under this part, and not to supplant such funds.” 20 U.S.C. § 6321(b)(1). That is, States and school districts remain responsible for the majority of the funding for public education, and the funds distributed under Title I are to be used only to implement Title I programming, not to replace funds already being used for general programming.²⁷

Common Core State Standards

Not a federal law, but discussed here because the federal law provides the context, the Common Core State Standards (CCSS) were developed on the initiative of the National Governors Association and the Council of Chief State School Officers, in partnership with Achieve, Inc., ACT, and the College Board. The intention was to develop internationally-benchmarked standards of college-and career-readiness, which states could then voluntarily adopt, and which would aid educators in improving teaching and learning.²⁸ The final CCSS were released in June 2010, and as of June 2014, 43 states, the Department of Defense Education Activity, Washington, D.C., Guam, the Northern Mariana Islands, and the U.S. Virgin Islands had adopted the CCSS.²⁹

Race to the Top Grant Program

As part of the American Recovery and Reinvestment Act of 2009, the Race to the Top Assessment Program provided funding, on a grant-award basis, to state-led consortia with the goal of developing pupil assessments aligned with the CCSS. The Department of Education awarded two grants to parallel programs in September 2010; the Partnership for Assessment of Readiness for College and Careers; and the Smarter Balanced Assessment Consortium.³⁰ Both grant recipient consortia have since developed computer-based assessments aligned with the CCSS that are intended to be implemented fully during the 2014-2015 school year.

In addition, the Race to the Top program included \$4.35 billion in grant funding to encourage and reward states that create conditions for education innovation and reform, and achieve improvement in student outcomes, including closing achievement gaps and improving high school graduation rates. Of 500 points available on a state’s grant application, adopting “a common set of high-quality standards” and participating in a multistate consortium to develop and implement “common, high-quality assessments,” earn an applicant up to 50 points.³¹ In

²⁷ *School Dist. of City of Pontiac v. Secretary of U.S. Dept. of Education* (2009) 584 F.3d 253, 257-258.

²⁸ Exhibit N, “Forty-Nine States and Territories Join Common Core Standards Initiative,” National Governors Association press release, June 1, 2009.

²⁹ Exhibit N, “Development Process,” Common Core State Standards Initiative, www.commoncore.org.

³⁰ Exhibit N, “U.S. Secretary of Education Duncan Announces Winners of Competition to Improve Student Assessments,” Department of Education press release, September 2, 2010.

³¹ Exhibit N, Race to the Top Program, Executive Summary, November 2009, pages 2; 7-8.

other words, the Race to the Top grant program incentivizes, to an extent, the adoption of common standards and common assessments. Despite having adopted CCSS in August of 2010, and participating in the Smarter Balanced Assessment Consortium to develop common standards-aligned assessments, as discussed below, California was not awarded a grant under this program.³²

B. Prior California Law

The state has required school districts to administer achievement tests to pupils for decades: achievement tests were required for pupils in grades 6 and 12 under the California School Testing Act of 1969.³³ In 1972, the Legislature expressed its intent regarding pupil testing as follows:

It is the intent of the Legislature . . . to determine the effectiveness of school districts and schools in assisting pupils to master the fundamental educational skills towards which instruction is directed. The program of statewide testing shall provide the public, Legislature, and school districts evaluative information regarding the various levels of proficiency achieved by different groups of pupils of varying socioeconomic backgrounds, so that the Legislature and individual school districts may allocate educational resources in a manner to assure the maximum educational opportunities for all pupils. The program or statewide testing shall identify unusual success or failure and the factors which appear to be responsible, so that appropriate action may be taken at the district and state level to obtain the highest quality education for all public school pupils.³⁴

In 1991, the Legislature expressed that the purpose of California’s public school system is to “facilitate the development of each and every one of its pupils to become a self-motivated, competent, and lifelong learner.”³⁵ The Legislature stated that: “the current pupil assessment system does not meet [these] purposes:”

There is no consistent system that pupils and parents can use to assess the performance of schools and school districts in providing effective programs and to measure the academic achievement of pupils. The five grade levels currently tested under the California school assessment program do not provide the most efficient assessment of overall pupil achievement.³⁶

Statutes of 1991, chapter 760 modified the state’s achievement testing to require the testing of pupils in grades 4, 5, 8, and 10. Former Education Code section 60600.1, as added by Statutes of 1991, chapter 760, provided that the testing requirement would remain in effect until January 1, 1995, unless a later-enacted statute deleted or extended that date.

The Leroy Greene Act

³² Exhibit N, Awards – Race to the Top Program Fund.

³³ Former Education Code sections 12820; 12823 (Stats. 1969, ch. 1552, p. 3152).

³⁴ Former Education Code section 12821 (added, Stats. 1972, ch. 930, p. 1678).

³⁵ Statutes 1991, chapter 760, section 1.

³⁶ Statutes 1991, chapter 760, section 1.3.

The Legislature did not enact a statute before January 1, 1995 that either deleted or extended the date regarding the administration of achievement tests. However, later that year, Statutes 1995, chapter 975 enacted the Leroy Greene California Assessment of Academic Achievement Act,³⁷ which required the Superintendent of Public Instruction (SPI) to design and implement a statewide pupil assessment system, as specified.³⁸ The Act required the State Board of Education (SBE) to adopt statewide content and performance standards for each grade level, and to adopt tests that yield reliable data on school performance, district performance, and statewide performance for pupils in grades 4, 5, 8, and 10.³⁹ In addition, the Act provided an incentive of \$5 per pupil tested using an achievement test selected from among those approved by the SBE for pupils in grades 2 through 10.⁴⁰ As a condition of receiving those funds, the Act required that a school district certify to the SPI its compliance with the requirements of former section 60641: tests were required to be administered at the time of year specified by the SPI; test results must be reported to pupils' parents or guardians; test results must be reported to the school and teachers, and included in pupils' records; and district-wide and school-level results must be reported to the governing board of the school district at a regularly scheduled meeting.⁴¹ The 1995 act stated that it would remain in effect only until January 1, 2000 unless another statute deleted or extended that date.⁴² The following year, Statutes 1996, chapter 69 (SB 430) extended that date to January 1, 2002.⁴³

The Standardized Testing and Reporting Program (STAR)

Statutes 1997, chapter 828 repealed the option for school districts to select standardized tests from a list approved by the SBE, and instead enacted the Standardized Testing and Reporting (STAR) program, which required all school districts, charter schools, and county offices of education to administer to all pupils in grades 2 to 11 (with exceptions, as specified) the single achievement test designated by the SBE.⁴⁴ The statewide testing was thus renamed STAR, expanded to include grade 11 pupils, and made compulsory by the amended code section. The amended section *permitted*, but did not require, school districts to provide to English learners an achievement test in their primary language, and required the same for pupils who had been enrolled less than one year in any public school in the state.⁴⁵ The amended section continued to provide for per pupil funding to administer the tests, of "up to eight dollars (\$8) per test administered to a pupil in grades 2 to 11, inclusive."⁴⁶ And, amended section 60640 made the

³⁷ Education Code section 60600 (Stats. 1995, ch. 975).

³⁸ Education Code section 60604 (Stats. 1995, ch. 975).

³⁹ Education Code section 60605 (Stats. 1995, ch. 975).

⁴⁰ Education Code section 60640 (Stats. 1995, ch. 975).

⁴¹ Education Code section 60641 (Stats. 1995, ch. 975).

⁴² See former Education Code section 60601 (Stats. 1995, ch. 977).

⁴³ See former Education Code section 60601 (Stats. 1996, ch. 69).

⁴⁴ See Exhibit N, Senate Floor Analysis, AB 2812 (2000); Education Code section 60640 (Stats. 1997, ch. 828).

⁴⁵ Education Code sections 60640(f-g) (Stats. 1997, ch. 828).

⁴⁶ Education Code section 60640(h) (Stats. 1997, ch. 828).

apportionment conditional upon the school district reporting the number of pupils enrolled and to whom the achievement test was administered, and the number of students exempted from the test either under section 60640 or at the request of a parent or guardian.⁴⁷ In addition, amended section 60641 made the reporting requirements to pupils' parents or guardians, their schools and teachers, and to the governing board of the school district and the county office of education mandatory, rather than conditioning the funding on satisfying these requirements, as before.⁴⁸

In accordance with the statute, the SBE selected the Stanford Achievement Test Series, Ninth Edition (Stanford 9) test, as the national norm-referenced achievement test for the 1997-1998 through 2001-2002 school years.⁴⁹

In 2000, the STAR program was further amended, repealing and simplifying some requirements of the augmented California achievement tests, but also requiring an additional standards-based achievement test pursuant to Education Code section 60642.5, including, at a minimum, reading, spelling, written expression, and mathematics to be tested in grades 2-8, and reading, writing, mathematics, history-social science, and science to be tested in grades 9 to 11. In addition, the new test required a writing assessment once during elementary school and once during middle or junior high school.⁵⁰

In 2001, the sunset date for the STAR program was extended through January 1, 2005, and the achievement test called for by section 60642.5 was renamed the California Standards Tests (CST).⁵¹ In addition, the CST was amended to require a history-social science assessment and science assessment in at least one elementary or middle school grade level, as selected by SBE.⁵² At the same time, the prior national norm-referenced achievement test (at that time the Stanford 9) was limited in scope, excluding the previously required yearly history-social science test for grades 9 to 11.⁵³ Beginning in the 2002-2003 school year, the Stanford 9 was replaced by the California Achievement Tests, Sixth Edition Survey (CAT/6), and the California Alternate Performance Assessment (CAPA) was added.⁵⁴

In 2004, the sunset date for the STAR program was extended again to January 1, 2011, and the required tests were limited by excluding pupils in grade 2 beginning July 1, 2007 from the

⁴⁷ Education Code section 60640(j) (Stats. 1997, ch. 828).

⁴⁸ Compare Education Code section 60641 (Stats. 1997, ch. 828) with Education Code section 60641 (Stats. 1995, ch. 975).

⁴⁹ Exhibit N, California STAR Program 2006; Former Education Code section 60642 (as added by Stats. 1997, ch. 828).

⁵⁰ See Exhibit N, Senate Floor Analysis, AB 2812 (2000), dated August 25, 2000; Education Code section 60642.5 (added, Stats. 2000, ch. 576). See also, former section 60603 (as amended, Stats. 1999, ch. 83).

⁵¹ Education Code sections 60601; 60642.5 (as amended, Stats. 2001, ch. 722).

⁵² Education Code section 60642.5 (Stats. 2001, ch. 722).

⁵³ Education Code section 60642 (Stats. 2001, ch. 722). Compare to former Education Code section 60603(e) (Stats. 1999, ch. 83).

⁵⁴ Exhibit N, California STAR Program 2006.

standards-based achievement test required pursuant to section 60642.5 (the CST). In addition, beginning in the 2004-2005 school year, the CAT/6 was limited to grades 3 and 7.⁵⁵

In 2007 the sunset date for the STAR program was extended again to January 1, 2012, and the law was amended to include pupils in grade 2 in the standards-based achievement tests provided for in section 60642.5 (the CST).⁵⁶ In 2008, the CAT/6 was repealed.⁵⁷

In 2010 the sunset date for STAR was extended again to July 1, 2013, and the Legislature expressed its intent that the state transition to “a system of high-quality assessments, as defined in the federal Race to the Top guidance and regulations.”⁵⁸ Finally, in 2011, the sunset date was extended through July 1, 2014,⁵⁹ but then the STAR program was superseded by the test claim statutes at issue here as of January 1, 2014.⁶⁰

Thus, immediately prior to the test claim statutes pled in this claim, the STAR program consisted of the following components:

- The California Standards Tests (CSTs) for English language arts (ELA) and mathematics, in grades 2 to 11, inclusive;
- CSTs in science for grades 5, 8, and 10;
- CSTs in history-social science for grades 8 and 11;
- The California Modified Assessment (CMA) and the California Alternate Performance Assessment (CAPA), for eligible pupils in accordance with an individualized education plan (IEP), for English language arts and mathematics in grades 3 to 8 and 11; and for science in grades 5, 8, and 10.
- The Primary Language assessments for Reading/Language Arts and mathematics in grades 2 to 11 (also called the Standards-based Test in Spanish);
- Specified end-of-course assessments in mathematics and science; and,
- The Early Assessment Program (EAP) in Grade 11.⁶¹

As discussed below, the test claim statutes leave in place, pending recommendations of the SBE to replace them, the CSTs for science in grades 5, 8, and 10; the CMA and CAPA for science in grades 5, 8, and 10; The CAPA for ELA and mathematics in grades 2 through 11; the primary

⁵⁵ Education Code section 60640 (as amended, Stats. 2004, ch. 233).

⁵⁶ Education Code sections 60601; 60603; 60640 (as amended, Stats. 2007, ch. 174).

⁵⁷ Former Education Code section 60642 (repealed, Stats. 2008, ch. 757). See also section 60640 (as amended, Stats. 2008, ch. 757).

⁵⁸ Education Code sections 60601; 60604.5 (as added or amended, Stats. 2009-2010, 5th Ex. Sess., ch. 2).

⁵⁹ Statutes 2011, chapter 608, by making the STAR program inoperative on July 1, 2014, and repealing it on January 1, 2015.

⁶⁰ Statutes 2013, chapter 489.

⁶¹ Exhibit N, STAR 2013 Legislative Report, June 2013, pages 5-6.

language assessments (STS) in reading/language arts; the EAP; and end-of-course examinations.⁶² The Smarter Balanced Summative Assessments, as described below, replace the CSTs for English language arts and mathematics in grades 3 to 8 and 11.

C. The *STAR* Test Claims

STAR/National Norm-Referenced Achievement Test

In August 2000, the Commission made a determination on the *STAR* program, as it existed in 1997, in test claim *Standardized Testing and Reporting (STAR)*, 97-TC-23. The Commission found reimbursable activities related to administering only the norm-referenced test (then the Stanford 9, and later the CAT/6) and the designated primary language test (SABE/2).

In 2004, the Legislature ordered the Commission to reconsider the *STAR* decision.⁶³ On reconsideration, the Commission found that the SABE/2 was a federal mandate and, thus, denied reimbursement to administer that test. The Commission determined that administering the CAT/6 exam in grades 3 and 7 imposed a reimbursable state mandate on school districts within the meaning of article XIII B, section 6 of the California Constitution and Government Code sections 17514, effective July 1, 2004.⁶⁴ Specifically, the Commission found the following activities to be reimbursable:

1. Administration of the CAT/6 (or a successor national norm-referenced test) to all pupils in grades 3 and 7. (Ed. Code, §§60640(b) and (c), 60641(a); Cal. Code Regs., tit. 5, §§ 851, 852, (b), 853, and 855.) Costs associated with teacher time to administer the test are not reimbursable.
2. Designation of a *STAR* Program district coordinator. (Cal. Code Regs., tit. 5, §§ 857-859, 865, 867, and 868.) This would only be reimbursable to the extent it applies to the CAT/6.
3. Designation of a *STAR* Program test site coordinator at each test site. (Cal. Code Regs., tit. 5, §§ 857-859, 865, 867, and 868.) This would only be reimbursable to the extent it applies to the CAT/6.
4. Inclusion of CAT/6 test results in each pupil's record of accomplishment. (Ed. Code, §§ 60607(a), 60641(a).)
5. Reporting of individual CAT/6 (or successor national norm referenced test) test results in writing to each pupil's parent or guardian and to the pupil's school and teachers. (Ed. Code, § 60641(b) and (c); Cal. Code Regs., tit. 5, § 863.)⁶⁵

⁶² Education Code sections 60640; 60603. See also, Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, October 2014, page 9.

⁶³ Statutes 2004, chapter 216, § 34.

⁶⁴ *Reconsideration of Standardized Testing and Reporting*, 04-RL-9723-01, adopted July 28, 2005.

⁶⁵ This requirement had been moved to Education Code section 60641(a)(2) since the adoption of the original test claim decision, but was still included as reimbursable as renumbered in the reconsideration and in the later adopted parameters and guidelines.

6. Reporting of district-wide, school-level, and class-level CAT/6 test results to the school district's governing board or county office of education. (Ed. Code, § 60641(d)⁶⁶; 147 Cal. Code Regs., tit. 5, § 864.)
7. Submission of a report on the CAT/6 test to the Superintendent of Public Instruction. (Ed. Code, § 60640(j); Cal. Code Regs., tit. 5, § 862.)
8. Exemption of pupils from the CAT/6 test upon request of their parent or guardian. (Ed. Code, §§ 60615, 60640(j); Cal. Code Regs., tit. 5, § 852(a).)
9. Submission to the State Department of Education whatever information the Department deems necessary to permit the Superintendent of Public Instruction to prepare a report analyzing, on a school-by-school basis, the results and test scores of the CAT/6 test. (Ed. Code, § 60630(b); Cal. Code Regs., tit. 5, § 861.)
10. Training and review of the CAT/6 test requirements as outlined in the test claim legislation and regulations by school district staff.
11. Implementation of procedures relating the administration of the CAT/6 test.⁶⁷

The Commission also found that the following activities initially approved in the test claim decision were not reimbursable because they were mandated by the federal government:

1. Administration of an additional test to pupils of limited English proficiency who are enrolled in grades 2 through 11 if the pupil was initially enrolled in any school district less than 12 months before the date that the English language STAR Program test was given. (Ed. Code, § 60640(g); Cal. Code Regs., tit. 5, § 851(a).)
2. Exemption from testing for pupils if the pupil's IEP has an exemption provision. (Ed. Code, § 60640 (e) and (j); Cal. Code Regs., tit. 5, § 852(b).)
3. Determination of the appropriate grade level test for each pupil in a special education program. (Cal. Code Regs., tit. 5, § 852(b).)
4. Provision of appropriate testing adaptation or accommodations to pupils in special education programs. (Cal. Code Regs., tit. 5, § 852(b).)⁶⁸

Finally, the Commission found that:

- All state funds appropriated for STAR must be used to offset all activities associated with administration of the CAT/6 exam; and that in any fiscal year in which school districts are legally required to, they must, "reduce their

⁶⁶ This requirement was later moved to Education Code section 60641(a)(3) but was still included as reimbursable in the reconsideration and in the later adopted parameters and guidelines.

⁶⁷ *Reconsideration of Standardized Testing and Reporting*, 04-RL-9723-01, adopted July 28, 2005.

⁶⁸ *Reconsideration of Standardized Testing and Reporting*, 04-RL-9723-01, adopted July 28, 2005.

- estimated and actual mandate reimbursement claims by the amount of funding provided to them” from appropriated state funds;⁶⁹ and
- School districts are not required to use Title I funds to offset the activities in the *STAR* statement of decision (i.e., to administer the CAT/6); and
 - All federal Title VI funds appropriated for *STAR*, in any fiscal year in which school districts are legally required to do so, must be used to offset all activities associated with administration of the CAT/6 exam, and that school districts must “reduce their estimated and actual mandate reimbursement claims by the amount of funding provided to them” from appropriated federal Title VI funds.⁷⁰

The Commission did not make findings in either *STAR* or the reconsideration of *STAR*, on any other tests or components of the program: only Statutes 1997, chapter 828, adding the Stanford 9 and the SABC 2 was pled in test claim 97-TC-23, and the Commission found in its reconsideration decision that its jurisdiction was limited to the statutes pled in the original test claim.⁷¹

On May 29, 2009, the Commission amended the parameters and guidelines to end the *STAR* program as of September 29, 2008, based on the effective date of Statutes 2008, chapter 757, which repealed the requirement of school districts to administer the CAT/6 in grades 3 and 7.⁷²

STAR II and III

On August 2005, claimant San Diego Unified School District (SDUSD) filed the *STAR II*, 05-TC-02, test claim with the Commission, alleging that Education Code sections 60601, 60602, 60603, 60604, 60605, 60605.6, 60606, 60607, 60611, 60640, and 60641, as added or amended by Statutes 2004, chapter 233, imposed a new program or higher level of service to administer the achievement test specified by the State Board of Education to all students in grades 3 and 7 and the standards based achievement test to all students in grades 3 - 11, inclusive, commencing in the 2004-2005 fiscal year and each year thereafter.⁷³

On September 21, 2005, claimant Grant Joint Union High School District (GJUHSD) filed another *STAR* test claim, 05-TC-03, with the Commission alleging that Education Code sections 60640, 60641, 60642.5, as added or amended by Statutes 2003, chapter 733, and California Code of Regulations, title 5, sections 850, 851, 852, 853, 855, 857, 858, 859, 861, 862, 863, 864.5, 865, 866, 867, 867.5, 868 as added or amended by Register 2005, No. 34 (eff. 9/21/2005)

⁶⁹ Statutes 2004, chapter 208, Item 6110-113-0001, Schedule 3, Provision 8. Statutes 2005, chapter 38, Item 6110-113-0001, Schedule 2, Provision 8.

⁷⁰ Statutes 2004, chapter 208, Item 6110-113-0890, Schedule 2, Provision 11. Statutes 2005, chapter 38, Item 6110-113-0890, Schedules 4, 7, and 10, Provision 10.

⁷¹ See *Reconsideration of Standardized Testing and Reporting*, 04-RL-9723-01, adopted July 28, 2005, page 23.

⁷² See, Parameters and Guidelines Amendment for *National Norm-Referenced Achievement Test (STAR)*, 05-PGA-03, adopted May 29, 2009.

⁷³ Test Claim *STAR II*, 05-TC-02, page 19.

imposed a new program or higher level of service to administer the STAR testing program beginning in the 2004-2005 fiscal year and each year thereafter.⁷⁴

Test claims 05-TC-02 and 05-TC-03 were consolidated on October 6, 2005 and named *STAR II*.

On June 25, 2009, claimant Twin Rivers Unified School District (which succeeded and took over GJUHSD pursuant to Measure B) filed a test claim that was named *STAR III*, 08-TC-06, alleging the following statutes and regulations imposed a new program or higher level of service to administer the STAR testing program beginning in the 2004-2005 fiscal year and each year thereafter:

Education Code Sections 60640, 60641, 60642.5, 60607, 60615, and 60630 as added or amended by Statutes 1995, chapter 975; Statutes 1997, chapter 828; Statutes 1999, chapter 735; Statutes 2000, chapter 576; Statutes 2001, chapter 20; Statutes 2001, chapter 722; Statutes 2002, chapter 1168; Statutes 2003, chapter 773; Statutes 2004, chapter 183; Statutes 2004, chapter 233; Statutes 2005, chapter 676; Statutes 2007, chapter 174; Statutes 2007, chapter 730; Statutes, 2008, chapter 473; Statutes 2008, chapter 757, and, California Code of Regulations, title 5, sections 850, 851, 852, 853, 855, 857, 858, 859, 861, 862, 863, 864.5, 865, 866, 867, 867.5, and 868, as added or amended by Register 2005, No. 34 (Sept. 21, 2005), Register 2006, No. 45 (Dec. 8, 2006).

Test claims 05-TC-02, 05-TC-03, and 08-TC-06 were consolidated for hearing. On December 12, 2013, the Commission adopted a decision denying the consolidated test claim on two bases:

1. Many of the statutes pled were denied for lack of jurisdiction, since the test claim was filed after the statute of limitations had run. Most relevant to this test claim, are Statutes 2000, chapter 576 and Statutes 2001, chapter 72, (adding and amending section 60642.5) which originally imposed the CST. As a result, there has never been a mandate finding on the CST program which has been required since 2001.⁷⁵
2. The state appropriated state and federal funds that were sufficient as a matter of law to cover the costs of the following new required activities:⁷⁶
 - Beginning July 1, 2004, administer the primary language test to pupils of limited English proficiency enrolled for less than 12 months in a nonpublic school in grades 2 to 11. Beginning October 7, 2005, school districts are required to administer the primary language test to those pupils in nonpublic schools in grades 3 to 11, instead of grades 2 to 11. (Ed. Code, § 60640(g), as amended by Stats. 2004, ch. 233.)
 - Effective September 21, 2005, district STAR coordinators are required to:

⁷⁴ Test Claim *STAR II*, 05-TC-03, page 18.

⁷⁵ See Statement of Decision, *STAR II and III*, 05-TC-02, 05-TC-03, 08-TC-06, pages 3-5.

⁷⁶ See Statement of Decision, *STAR II and III*, 05-TC-02, 05-TC-03, 08-TC-06. Note that since funding was sufficient to cover the costs of all required activities, this decision contained no analysis on whether the required activities mandated a new program or higher level of service.

- Immediately notify CDE of any security breaches or testing irregularities in the district before, during, or after the test administration. (Cal. Code Regs., tit. 5, § 857(b)(9); Register 2005, No. 34.)
- Ensure that an answer document is submitted for scoring for each eligible pupil enrolled in the district on the first day of testing. (Cal. Code Regs., tit. 5, § 857(b)(10), as added by Register 2005, No. 34.)
- Train test site coordinators to oversee the test administration at each school. (Cal. Code Regs., tit. 5, § 857(b)(12); Register 2005, No. 34.)
- Effective September 21, 2005, the STAR test site coordinators are required to:
 - Submit the signed security agreement to the district STAR coordinator prior to the receipt of test materials. (Cal. Code Regs., tit. 5, § 858(b)(4); Register 2005, No. 34.)
 - Ensure that an answer document is submitted for scoring for those pupils enrolled on the first day of testing, but excused from testing. (Cal. Code Regs., tit. 5, § 858(b)(9), as added by Register 2005, No. 34.)
 - Immediately notify the district STAR coordinator of any security breaches or testing irregularities that occur in the administration of the designated achievement test, the standards-based achievement tests, or the CAPA that violate the terms of the STAR Security Affidavit in Section 859. (Cal. Code Regs., tit. 5, § 858(b)(11); Register 2005, No. 34.)
 - Train all test examiners, proctors, and scribes for administering the tests. (Cal. Code Regs., tit. 5, §§ 851(e) and 858(b)(12); Register 2005, No. 34.)
- Effective September 21, 2005, provide all information specified in section 861(a) to the contractor for those pupils enrolled on the first day the tests are administered and who do not in fact take a STAR test. (Cal. Code Regs., tit. 5, § 861(a); Register 2005, No. 34.)
- Effective September 21, 2005, provide the following new information to the contractor for each pupil tested:
 - The pupil's full name;
 - Date of English proficiency reclassification;
 - If R-FEP pupil scored proficient or above on the California English-language arts test three (3) times since reclassification to English proficient;
 - California School Information Services (CSIS) Student Number once assigned;
 - For English learners, length of time in California public schools and in school in the United States;
 - Participation in the National School Lunch Program;

- County and district of residence for pupils with Individualized Education Programs (IEPs);
- Special testing conditions and/or reasons for not being tested. (Cal. Code Regs., tit. 5, § 861(a); Register 2005, No. 34.)
- Effective September 21, 2005, establish a periodic delivery schedule, which conforms to section 866(a) and (b), to accommodate test administration periods within the school district. (Cal. Code Regs., tit. 5, § 866(b); Register 2005, No. 34.)

The STAR program activities remained in the law, and continued to be required for school districts until the STAR program was replaced with CAASPP by the test claim statutes.

D. Replacement of STAR with CAASPP by the Test Claim Statutes

Statutes 2013, chapter 489 replaces the STAR program, effective January 1, 2014, with the “Measurement of Academic Performance and Progress,” which in turn is renamed the California Assessment of Student Progress and Performance (CAASPP) by Statutes 2014, chapter 32, and further refined by Statutes 2014, chapter 327. Statutes 2013, chapter 489, Statutes 2014, chapter 32, and Statutes 2014, chapter 327, as well as California Code of Regulations, title 5, sections 850-864, as amended by Register 2014, Nos. 6, 30, and 35, constitute the test claim statutes and regulations pled in this consolidated claim.

The test claim statutes and regulations require school districts to transition from a set of paper and pencil multiple choice tests by no later than 2017 to computer-based tests aligned to the Common Core State Standards (CCSS), and which are adaptive to the individual pupil’s response, considered highly reliable, and provide the best possible information to pupils, parents, teachers and schools, and help students prepare for college and careers. For the time being, CAASPP includes the Smarter Balanced Summative Assessments (which, beginning in 2014-2015 are computer-adaptive) for English language arts and mathematics in grades 3-8 and 11, and the CST remains for science in grades 5, 8, and 10. In addition, for certain eligible students, the CMA, the CAPA, and Alternative Assessment Field Testing remain in place.⁷⁷ Section 60640 provides that the CST for science and the CAPA shall be replaced in the future with a new assessment recommended by the SPI.⁷⁸ Thus, the CAASPP program replaces the CSTs for

⁷⁷ See Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 9.

⁷⁸ Education Code section 60640(b)(2-3) (Stats. 2013, ch. 489). See also, Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 21:

California students with significant cognitive disabilities did not participate in the 2013–14 Smarter Balanced Field Test, but continued to participate in the CAPA with test results reported and used for accountability. California is eager to move forward with an alternate assessment that is aligned with the CCSS in ELA and mathematics and provide a similar opportunity for students with significant cognitive disabilities to receive the same valuable opportunity to “test the system” as our general education students did.

English language arts and mathematics for grades 3 to 8 and grade 11, with the expressed intent of later replacing the CAPA and the CST for science, all of which are intended to be computer-adaptive assessments aligned with the CCSS.⁷⁹

The goal of CAASPP is “to provide assessments that can assist teachers, administrators, students and parents/guardians with a better understanding of college and career readiness.”⁸⁰ California Code of Regulations, title 5, section 850, identifies the “Smarter Balanced Assessment Consortium” as “the multi-state consortium responsible for the development of the English language arts and mathematics summative assessments administered pursuant to Education Code section 60640(b)(1)...”⁸¹ The Smarter Balanced Assessment Consortium, for its part, states that the new computer-adaptive assessments are intended to provide more accurate and faster results for teachers and pupils.⁸² Section 853 of the implementing regulations states that the primary mode of administration of the CAASPP shall be via computers, including “the use of an assessment technology platform, and the adaptive engine,” but that “[i]f available, an LEA may utilize a paper-pencil version” of the new assessment for up to three years, in accordance with section 60640(e), if the LEA first identifies the pupils that are unable to access the computer-based version.⁸³

California adopted the CCSS in 2010, and became a governing member of the Smarter Balanced in 2011. After Statutes 2013, chapter 489 was enacted, but before it became operative on January 1, 2014, school districts began preparing for the 2014 field test.⁸⁴ The field test served multiple purposes: one purpose was to evaluate the effectiveness of the test, and give students and teachers a glimpse of the types of questions; the second was to allow school districts and CDE to gauge their readiness to administer the full test in 2014-2015.⁸⁵ In the Fall of 2013, prior to the effective date of the test claim statutes and regulations, and prior to the administration of the 2014 field test, CDE asked school districts to rate their level of confidence of readiness to administer the Smarter Balanced assessments. In its “Findings from the California Department

In the 2014–15 school year, California will implement a new computer-based alternate assessment in ELA and mathematics aligned with the CCSS with the intent of field testing all eligible students. This plan is in the best interest of our students, teachers, and schools and consistent with our successful Smarter Balanced Field Test.

⁷⁹ See Education Code sections 60602.5; 60640 (Stats. 2013, ch. 489).

⁸⁰ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 8.

⁸¹ California Code of Regulations, title 5, section 850 (Register 2014, No. 6).

⁸² See www.smarterbalanced.org [entries “About” and “Computer Adaptive Testing”].

⁸³ California Code of Regulations, title 5, section 853 (Register 2014, No. 35).

⁸⁴ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 11.

⁸⁵ Exhibit N, Field Test – Smarter Balanced Assessment Consortium; Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 12.

of Education Technology Preparedness Survey” dated September 26, 2013, CDE reported that 85 percent of respondents stated they had considerable or some level of confidence that they had an adequate number of computers with the minimum operating system requirements, and 90 percent indicated considerable or some confidence that they had adequate network bandwidth.⁸⁶ Ultimately, 90 percent of eligible pupils in grades 3-8 completed the computer-based Spring 2014 ELA field test, and 92 percent completed the computer-based field test in mathematics.⁸⁷ There was no paper-pencil alternative for the 2014 field test.⁸⁸ After the field test, several focus groups were held, beginning in July 2014, to discuss best practices, and areas of improvement.⁸⁹ In particular, LEA CAASPP coordinators identified the following needs for the 2015 test and beyond:

- Preparation – students and staff need to work with and practice with the test, and improve computer literacy and skills;
- Scheduling – a large proportion of coordinators reported difficulty in predicting the amount of time students need to complete the test;
- Technology – coordinators reported a need for increased bandwidth, and more devices for testing;
- Support – coordinators reported a need for onsite technology support;
- Accommodations and Designated Supports – coordinators reported needing a better understanding of designated supports and a process for identifying students’ eligibility for certain supports.⁹⁰

In the 2013-2014 budget, the state provided \$1.25 billion to support the implementation of CCSS, including, “expenditures necessary to support the administration of computer-based assessments and provide high-speed, high-bandwidth Internet connectivity for the purpose of administration of computer-based assessments.”⁹¹ Additionally, the 2013-2014 budget provided approximately \$72.7 million in state funds “for purposes of California’s pupil testing program,” approximately \$42 million of which was specifically tagged for the STAR program under Provision (2).⁹² In addition, the 2013-2014 budget included \$25 million in federal funds for

⁸⁶ Exhibit N, Findings from the California Department of Education Technology Preparedness Survey, page 2.

⁸⁷ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, Appendix E, pages 37; 39.

⁸⁸ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 13.

⁸⁹ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 14.

⁹⁰ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 18.

⁹¹ Statutes 2013, chapter 48, section 85 (AB 86).

⁹² Statutes 2013, chapter 20, Line Item 6110-113-0001.

pupil testing, approximately \$9.4 million of which was specifically identified for the STAR program, with instructions that federal funding should be applied to mandated costs first, then the state funding.⁹³

In the 2014 budget, the Legislature identified \$8.2 million for the STAR program, \$23.5 million for apportionment for 2013-2014 costs, and \$75 million for “the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013.”⁹⁴ In addition, approximately \$8 million in federal funds was identified for statewide testing.⁹⁵

III. Positions of the Parties

A. Claimants

Claimants allege that the test claim statutes and regulations will result in reimbursable statewide increased costs mandated by the state totaling \$1 billion in the 2014-2015 fiscal year.⁹⁶ More specifically, claimants pled their own 2013-2014 and 2014-2015 costs as follows: Santa Ana Unified School District (USD) alleges \$3,217,495.70 in increased costs for fiscal year 2013-2014, and estimates \$8,609,854.23 for fiscal year 2014-2015. Porterville USD alleges \$3,831,924.79 in increased costs for fiscal year 2013-2014, and estimates \$3,340,840.67 for fiscal year 2014-2015. Plumas USD alleges \$509,533.07 in increased costs for fiscal year 2013-2014, and estimates \$1,934,744.40 for fiscal year 2014-2015. And the Plumas County Office of Education (COE) alleges \$356,783.08 in increased costs for fiscal year 2013-2014, and estimates \$380,061.64 for fiscal year 2014-2015.⁹⁷

The claimants allege that those increased costs result from the following mandated new or modified activities:

- Administration of the new assessments, in accordance with sections 60640 and 60641;
- Administration of the 2013-2014 field tests;
- Administration of the tests at the time specified in the regulations;

⁹³ Statutes 2013, chapter 20, Line Item 6110-113-0890 [The amounts cited reflect the figures specifically attributed to the STAR testing, and exclude funding for the California High School Exit Examination, the California English Language Development Test, and others].

⁹⁴ Statutes 2014, chapter 25, Line Item 6110-113-0001 [The amounts cited reflect the figures specifically attributed to the statewide pupil assessment system established pursuant to Statutes 2013, chapter 489, and exclude funding for the California High School Exit Examination, the California English Language Development Test, and others].

⁹⁵ Statutes 2014, chapter 25, Line Item 6110-113-0890 [The amounts cited reflect the figures specifically attributed to the statewide pupil assessment system established pursuant to Statutes 2013, chapter 489, and exclude funding for the California High School Exit Examination, the California English Language Development Test, and others].

⁹⁶ Exhibit A, Amended Test Claim 14-TC-01, page 75.

⁹⁷ Exhibit A, Amended Test Claim 14-TC-01, pages 73-74.

- Making arrangements to test all eligible pupils, including those in alternative education programs or programs conducted off campus;
- Administration of an additional test to pupils with limited English proficiency, as specified;
- Exempting students from CAASPP testing upon request by a pupil's parent or guardian, or if called for by the pupil's individualized education plan (IEP);
- Determination of the appropriate grade level test for pupils enrolled in a special education program;
- Notifying parents or guardians, each year, of their pupil's participation in CAASPP, and of their right to opt-out pursuant to section 60615;
- Administering, scoring, transmitting, and returning the assessments in accordance with the manuals or other instructions provided by the contractor or by CDE;
- Administering the CAASPP test via computer, unless the LEA identifies pupils that are unable to access the computer-based version of the test for the first three years of implementation;
- Providing embedded and non-embedded universal tools, designated supports, and accommodations, as specified;
- Requesting and providing individualized aids, as necessary;
- Providing embedded and non-embedded supports to English learners, as specified;
- Designating a CAASPP coordinator for the LEA, who shall be available through September 30 to complete the LEA testing activities;
- Designating a CAASPP test site coordinator for each test site, who shall be available through September 30 following the school year to resolve discrepancies in materials or errors;
- Ensuring that all LEA CAASPP coordinators and CAASPP test site coordinators sign the security agreement and affidavit, prior to receiving any test materials; and that all coordinators immediately report any security breaches or testing irregularities;
- Including CAASPP assessment results in each pupil's records;
- Providing any and all program and demographic data requested by CDE for inclusion in the California Longitudinal Pupil Achievement Data System;
- Forwarding or transmitting pupil results to the pupil's parent or guardian within 20 days of receipt from the contractor;
- Reporting district-wide, school-level, and class-level results to the school district's governing board or county office of education;
- Abiding by any and all instructions provided by the CAASPP contractor or consortium;

- Providing interim and formative assessments for kindergarten and grades 1-12;
- Training and reviewing the CAASPP program requirements imposed by the test claim statutes and regulations; and
- Developing and implementing policies, training, procedures and forms.⁹⁸

Claimants further allege that they are “unaware” of any dedicated state or federal funds, except the “Common Core Implementation Block Grant.”⁹⁹

In rebuttal comments, the claimants further argue that CAASPP is “fundamentally new” as compared to the prior STAR tests. Specifically, claimants point out that the computer-based assessment is adaptive: “students who answer the first few questions correctly will get progressively harder questions, while students who answer the first few questions incorrectly will get progressively easier questions.” In addition, claimants argue that CAASPP is a new program or higher level of service because “the assessment *mechanism* is entirely different.”¹⁰⁰

The claimants further argue that CAASPP is not mandated by the federal No Child Left Behind Act. Although previous test claims on the STAR requirements did not reach the federal mandate issue, the claimants argue that “California was compliant with NCLB’s requirement...[to test its pupils, but]...California chose – without any change to NCLB – to adopt a new assessment regime that was much more expansive (and expensive).”¹⁰¹

And, the claimants argue that the funding cited by Finance as applicable to or available for the implementation of CAASPP is not sufficient to fund the costs of the mandate, and is mostly one-time. Specifically, the claimants argue that \$1.25 billion in the 2013-2014 budget appropriated for CCSS implementation does not constitute additional revenue specifically intended to fund the costs of the mandate, within the meaning of section 17556(e), because the \$1.25 billion is not specifically aimed at funding CAASPP. Upgrading technology, including network bandwidth “necessary to support the administration of computer-based assessments...” is only one of several permissible purposes of the added funding, and districts are free to use the funds in other ways or for other purposes.¹⁰² Similarly, an additional \$400.5 million included in the 2013-2014 budget for reimbursement of outstanding mandate debt is not “specifically intended to fund the costs of the state mandate...” the claimants argue, because it is intended first to satisfy old debt, not new programs, and once outstanding debt is satisfied, there is no legal restriction on the use of any remaining funds.¹⁰³ And, the claimants argue that \$26.7 million in the 2013-2014 budget for the California K-12 High Speed Network does not constitute additional revenue to satisfy costs of the mandate because “districts and county offices of education do not actually receive these funds directly; they only receive the benefit.”¹⁰⁴ Finally, claimants argue that \$22.7

⁹⁸ Exhibit A, Amended Test Claim 14-TC-01, pages 90-96.

⁹⁹ Exhibit A, Amended Test Claim 14-TC-01, page 76.

¹⁰⁰ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 4.

¹⁰¹ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 5.

¹⁰² Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, pages 6-7.

¹⁰³ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 7.

¹⁰⁴ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 8.

million federal pass-through funding in the 2014 Budget Act should not be considered additional revenues specifically intended to fund the mandate, because California schools received a waiver under the federal No Child Left Behind Act for 2013-2014 and 2014-2015. However, claimants concede that \$126.8 million in state funding constitutes additional revenues within the meaning of section 17556(e), but the amount “is simply woefully inadequate to offset the significant financial need the test claimants have demonstrated in the claim.”¹⁰⁵

In response to the draft proposed decision on 14-TC-01, claimants submitted additional declarations from 77 school districts estimating their technology-related and staffing-related costs for fiscal years 2013-2014 and 2014-2015, combined. This additional documentation also purports to show that the per-pupil cost of administering the CAASPP exceeds the per-pupil funding appropriated, based on 2013-2014 enrollment as a proxy for the number of examinations administered in both 2013-2014 and 2014-2015, and based on the average annual cost over the first two years of implementation, as reported by the 77 survey respondents.¹⁰⁶ Claimants further assert that the cost data already provided, “extrapolated out to all districts in the state greatly, exceed the \$145 million identified as offsetting revenue [for fiscal year 2014-2015].”¹⁰⁷ In addition, claimants vigorously dispute the conclusion in the draft proposed decision that technology upgrades and acquisitions required to administer the CAASPP are a one-time required activity, rather than an ongoing requirement.¹⁰⁸ And, claimants argue that it was not necessary to plead Register 2014, No. 6 in their test claim, because that emergency regulatory package was repealed by operation of law.¹⁰⁹

In 14-TC-04, which was consolidated with 14-TC-01, the claimants nevertheless plead the implementing regulations as amended by Register 2014, No. 6, and declare, under penalty of perjury, that they first incurred costs under these regulations “subsequent to February 3, 2014.”¹¹⁰ The claimants allege that school districts and county offices of education have incurred or will incur costs to review and implement the regulations, and to train and hire administrators, teachers, and other school district personnel.¹¹¹ Attached to this second test claim, claimants submitted declarations including cost information: specifically, invoices and purchase orders for technology costs incurred between February 3, 2014 and June 30, 2014.¹¹²

Finally, in response to the draft proposed decision for the consolidated test claim, claimants submitted declarations stating alleged increased costs for 2014-2015, and noting the sources of funding applied to those costs, and the unfunded balance of expenditures. The claimants also pointed out that they receive funding for a given year’s CAASPP costs in the following year’s

¹⁰⁵ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 8.

¹⁰⁶ Exhibit J, Claimants’ Comments on Draft Proposed Decision on 14-TC-01, page 11 and following.

¹⁰⁷ Exhibit J, Claimants’ Comments on Draft Proposed Decision on 14-TC-01, page 2.

¹⁰⁸ Exhibit J, Claimants’ Comments on Draft Proposed Decision on 14-TC-01, pages 4-8.

¹⁰⁹ Exhibit J, Claimants’ Comments on Draft Proposed Decision on 14-TC-01, page 9.

¹¹⁰ Exhibit B, Test Claim 14-TC-04, pages 13; 42; 52; 66; 70; 79; 88.

¹¹¹ Exhibit B, Test Claim 14-TC-04, pages 16-17.

¹¹² Exhibit B, Test Claim 14-TC-04, page 42 and following.

budget; for example, CAASPP funding for the 2013-2014 school year (the field test year) was appropriated in the 2014-2015 Budget Act, and apportioned by the SBE during fiscal year 2014-2015. Each claimant alleges its 2014-2015 costs, but can only estimate its state-appropriated CAASPP funding for the 2014-2015 school year, to be apportioned during the 2015-2016 school year. For Plumas USD, costs for 2014-2015 are asserted in the amount of \$854,731, of which \$388,461 was paid from Common Core Implementation Block Grant funding, \$64,128.64 was paid from Title I funds, leaving \$402,141.36 to be paid from unrestricted general funds, for which Plumas USD seeks reimbursement. In direct CAASPP funding, Plumas USD states that it received \$2,712 in the 2014-2015 Budget Act for the 2013-2014 school year costs, and expects to be paid a similar amount for 2014-2015 costs during 2015-2016.¹¹³ Claimants provide similar evidence for Plumas COE, Porterville USD, and Santa Ana USD, each of which asserts that the mandate results in significant spending from unrestricted general funds which is not expected to be fully offset by CAASPP funding received during the 2015-2016 fiscal year.¹¹⁴

B. Department of Finance

Finance asserts in its comments that the test claim statutes are not reimbursable primarily because:

- A. The No Child Left Behind Act (NCLB) is a federal mandate; therefore administering the CAASPP System is not a state mandate because it is required to ensure California's compliance with NCLB.
- B. The CAASPP System replaced the Standardized Testing and Reporting (STAR) Program. The Commission has previously denied similar claims relating to the administration of the STAR Program, concluding that the test claim statutes and regulations did not impose a reimbursable state-mandated program on school district because the state has appropriated state and federal funds sufficient to pay for the costs of the claimed activities that were beyond those activities necessary to implement the testing requirements of federal law.¹¹⁵

Finance asserts that the adoption of CCSS by the State Board of Education on August 2, 2010 created "a need to replace STAR with the CAASPP System, which is aligned to the standards." The new system of assessments, Finance asserts, "will be operational in Spring 2015." And, Finance states that while the new assessments are "computer-adaptive," Statutes 2013, chapter 489 "authorizes schools to administer any computer-based CAASPP assessments on paper for up to three years after a new operational test is first administered."¹¹⁶

Finance goes on to assert that because Statutes 2013, chapter 489 "repealed STAR and replaced it with the CAASPP System," the new assessments "should not be considered a new program." In addition, Finance notes that prior to the enactment of NCLB, the Improving America's

¹¹³ Exhibit M, Claimant Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 4-5; 11.

¹¹⁴ Exhibit M, Claimant Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 4-5; 11.

¹¹⁵ Exhibit D, Finance's Comments on Test Claim 14-TC-01, filed February 13, 2015, page 1.

¹¹⁶ Exhibit D, Finance's Comments on Test Claim 14-TC-01, filed February 13, 2015, page 1.

Schools Act (IASA) required “statewide systems of assessment and accountability for schools and districts receiving Title I funds.” Those assessment requirements included: “(1) the testing of all students in each of three grade spans (grades 3 through 5, 6 through 9, and 10 through 12); (2) the provision of reasonable adaptations and accommodations for students with special learning needs; and (3) the provision of individual student assessment results to parents.” Finance notes that NCLB replaced the IASA in 2002, and required states to develop assessments that met specific criteria; specifically, annual testing in mathematics and reading is required for grades 3 through 8 and once in grades 9 through 12, and states are required to begin assessing students in science in the 2007-2008 school year and thereafter. Finance notes that a state not meeting these requirements “would jeopardize the receipt of federal NCLB funds.” Therefore, Finance concludes that “CAASPP is a federal mandate, as defined in Government Code Section 17513...and subsection (c) of Government Code Section 17556...”¹¹⁷

Finance further asserts that to receive Title I and Title VI funding under NCLB, a state must submit a plan to the Secretary of Education “that satisfies the requirements of this section...,” including establishing a statewide assessment and accountability system for all public school students, which must be based on academic standards, and must demonstrate what constitutes “adequate yearly progress of the State, and of all public elementary schools, secondary schools, and local educational agencies in the State, based on those academic assessments.” Finance also notes that “Title I funds are clearly provided for school districts for the CAASPP System, which is the central element of the State’s assessment and accountability system used to satisfy the federal requirements under NCLB.” Moreover, Finance notes that under Title VI of the NCLB Act, “Section 6111 provides that the grants be available for states to enable them to ‘pay the costs of the development of the additional State assessments and standards required by section 1111(b),’ which is referenced above under Title I.”¹¹⁸

Additionally, Finance asserts that if the Commission determines that the CAASPP is not a federal mandate, “the following items and provisions of the 2014 Budget Act explicitly require the offset of state-mandated reimbursable costs for the CAASPP System:

- \$126.8 million in local assistance provided in item 6110-113-0001. Provision 7 of that item states that funds “shall be first used to offset any state-mandated reimbursable costs...for the remaining costs of the STAR 2013-2014 test administration, the California English Language Development Test, the California High School Exit Examination, and the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013.”
- \$22.7 million in Federal Trust Fund local assistance provided in item 6110-113-0890. Provision 6 states that “[f]unds provided to local educational agencies from Schedules (2), (3), and (5) shall first be used to offset any state-mandated reimbursable cost...for the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013...”¹¹⁹

¹¹⁷ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 2.

¹¹⁸ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 3.

¹¹⁹ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 3.

Finance argues that these appropriations provide sufficient funds to cover the costs of the CAASPP activities and “should result in no costs mandated by the state pursuant to Government Code section 17556(e).”¹²⁰

Finance further argues that this test claim presents essentially the same facts and issues as prior test claims on STAR, which the Commission denied. Finance notes that the Commission previously denied test claim *STAR II and III* because the state has appropriated state and federal funds, and there was no evidence in the record showing increased costs beyond the funding provided.¹²¹

Finance further argues that if the Commission were to approve the test claim, it should also consider the \$1.25 billion in common core implementation funds as offsetting revenues, in part because the budget provision states that the funds shall be used for technology upgrades, including “expenditures necessary to support the administration of computer-based assessments and provide high-speed, high-bandwidth Internet connectivity for the purpose of administration of computer-based assessments.”¹²² And, Finance notes that the 2014 Budget Act included \$400.5 million in one-time funding for outstanding mandate claims, which could be used for any one-time purpose determined by the LEAs, including technology infrastructure.¹²³ Additionally, Finance asserts that \$26.7 million included in the 2014 budget is intended to help schools “enhance their network connectivity...”

And, Finance argues that “schools are naturally compelled to invest in technology to adapt instructional delivery and student learning for the 21st century.” Finance asserts: “We believe the claimants have the burden to show that any costs cited under this test claim were incurred solely to accommodate the CAASPP System, and not in part for other education or instructional purposes.”¹²⁴ Finance then notes that even though the test claim statutes call for computer-based assessments, the schools are authorized to administer the CAASPP assessments on paper for up to three years, if necessary, and therefore any new costs prior to the 2016-2017 school year are voluntarily incurred.

In answer to claimants’ rebuttal comments, Finance filed additional late comments, in which it argued that the K-12 High Speed Network funding, even though it provides a service, rather than directly providing funds, results in a school district that is able to avoid incurring new costs, because CDE assumes the procurement and contract costs on a grant basis. Finance reasons as follows: “Had the \$26.7 million not been available, grant recipients that identified lack of adequate internet connectivity as a barrier to administering the CAASPP would have incurred costs to enter into the private market to procure increased broadband services.”¹²⁵

In addition, Finance’s comments assert that even though California received a waiver under NCLB for 2013-2014 and 2014-2015, “[t]he waiver granted by the federal government...does

¹²⁰ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 4.

¹²¹ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 4.

¹²² Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, pages 5-6.

¹²³ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 6.

¹²⁴ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, page 7.

¹²⁵ Exhibit G, Finance’s Late Comments on 14-TC-01, filed April 27, 2015, page 1.

not exempt California from the requirement to administer assessments as a condition of meeting NCLB.” Rather, Finance asserts that the waiver “was contingent on California local education agencies ensuring that, with the exception of students with the most significant cognitive disabilities, all students in grades 3 through 8 participated in the...field test...”¹²⁶

In comments on the draft proposed decision on 14-TC-01, Finance reiterates that the test claim statutes “included a three-year period for local educational agencies to transition to computer-based assessments and specified that costs to administer the CAASPP be incurred up to the amount available for that purpose.” Finance refers to Education Code section 60640(f), as amended, which provides that “[f]rom the funds available for that purpose, each local educational agency shall administer...” In addition, Finance argues that the 2013 Budget Act referenced pupil testing programs authorized by the same Education Code sections which were amended by the test claim statutes (in other words, the former STAR testing program), and thus Finance concludes that “[i]f the Commission finds that local educational agencies were required to incur technology costs...we argue that adequate funds were provided for this purpose.”¹²⁷

Finance did not file comments on the draft proposed decision for the consolidated test claim that was issued on November 13, 2015.

IV. Discussion

Article XIII B, section 6 of the California Constitution provides in relevant part the following:

Whenever the Legislature or any state agency mandates a new program or higher level of service on any local government, the state shall provide a subvention of funds to reimburse such local government for the costs of such programs or increased level of service...

The purpose of article XIII B, section 6 is to “preclude the state from shifting financial responsibility for carrying out governmental functions to local agencies, which are ‘ill equipped’ to assume increased financial responsibilities because of the taxing and spending limitations that articles XIII A and XIII B impose.”¹²⁸ Thus, the subvention requirement of section 6 is “directed to state-mandated increases in the services provided by [local government] ...”¹²⁹

Reimbursement under article XIII B, section 6 is required when the following elements are met:

1. A state statute or executive order requires or “mandates” local agencies or school districts to perform an activity.¹³⁰
2. The mandated activity either:
 - a. Carries out the governmental function of providing a service to the public; or

¹²⁶ Exhibit G, Finance’s Late Comments on 14-TC-01, filed April 27, 2015, pages 1-2.

¹²⁷ Exhibit K, Finance’s Comments on Draft Proposed Decision on 14-TC-01, pages 1-2.

¹²⁸ *County of San Diego v. State of California* (1997) 15 Cal.4th 68, 81.

¹²⁹ *County of Los Angeles v. State of California (County of Los Angeles I)* (1987) 43 Cal.3d 46, 56.

¹³⁰ *San Diego Unified School Dist. v. Commission on State Mandates (San Diego Unified School Dist.)* (2004) 33 Cal.4th 859, 874.

- b. Imposes unique requirements on local agencies or school districts and does not apply generally to all residents and entities in the state.¹³¹
3. The mandated activity is new when compared with the legal requirements in effect immediately before the enactment of the test claim statute or executive order and it increases the level of service provided to the public.¹³²
4. The mandated activity results in the local agency or school district incurring increased costs, within the meaning of section 17514. Increased costs, however, are not reimbursable if an exception identified in Government Code section 17556 applies to the activity.¹³³

The Commission is vested with exclusive authority to adjudicate disputes over the existence of state-mandated programs within the meaning of article XIII B, section 6.¹³⁴ The determination whether a statute or executive order imposes a reimbursable state-mandated program is a question of law.¹³⁵ In making its decisions, the Commission must strictly construe article XIII B, section 6, and not apply it as an “equitable remedy to cure the perceived unfairness resulting from political decisions on funding priorities.”¹³⁶

A. Many of the Code Sections and Regulations Pled Do Not Contain Mandatory or Directory Language; Do Not Impose Any Activities on Local Government; or Are Not New, and Thus, Do Not Mandate a New Program or Higher Level of Service Within the Meaning of Article XIII B, Section 6 of the California Constitution.

1. **Education Code sections 60602, 60602.5, 60603, 60604, 60611, 60612, 60642.6, 60643, 60643.6, 60648, 60648.5, 60649, and 60810; and California Code of Regulations, title 5, sections 850 and 862.5, do not contain any mandatory or directory provisions, or are directed toward state entities or other actors, and therefore do not impose any mandated activities on local government.**

Education Code sections 60602, 60602.5, 60603, 60604, 60611, 60612, 60642.6, 60643, 60643.6, 60648, 60648.5, 60649, and 60810; and California Code of Regulations, title 5, sections 850 and 862.5, do not impose any required activities on local government. These sections state the Legislature’s intent to provide a system of individual assessment of pupils, define terms of the CAASPP program, and provide for the apportionment of funds for the program; or, are directed to state agencies. Although these code sections and regulations provide background and

¹³¹ *Id.*, pages 874-875 (reaffirming the test set out in *County of Los Angeles, supra*, 43 Cal.3d 46, 56).

¹³² *San Diego Unified School Dist., supra*, 33 Cal.4th 859, 874-875, 878; *Lucia Mar Unified School District v. Honig* (1988) 44 Cal.3d 830, 835.

¹³³ *County of Fresno v. State of California* (1991) 53 Cal.3d 482, 487; *County of Sonoma v. Commission on State Mandates* (Cal. Ct. App. 1st Dist. 2000) 84 Cal.App.4th 1265, 1284; Government Code sections 17514 and 17556.

¹³⁴ *Kinlaw v. State of California* (1991) 53 Cal.3d 482, 487.

¹³⁵ *County of San Diego, supra*, 15 Cal.4th 68, 109.

¹³⁶ *City of San Jose v. State of California* (1996) 45 Cal.App.4th 1802, 1817.

help explain the scope of the program, they do not, themselves, impose any required activities on local school districts.

2. Education Code sections 60607, 60610, 60641, 99300, and 99301 as added or amended by Statutes 2013, chapter 489 and Statutes 2014, chapter 327, and California Code of Regulations, title 5, sections 851, 853.5, 853.7, 855, 859, 862, and 863 as amended by Register 2014, Nos. 6, 30, and 35 do not impose any new activities or costs on school districts.

In *Lucia Mar Unified School District v. Honig*, the Court held a mandated activity must be new when compared with the legal requirements in effect immediately before the enactment of the test claim statute or executive order, to impose a new program or higher level of service.¹³⁷

Here, the requirements of sections 60607, 60610, 60641, 99300, 99301, and California Code of Regulations, title 5, sections 851, 853.5, 853.7, 855, 859, 862, and 863 do not impose new activities on school districts.

- a) Education Code section 60607, regarding the inclusion of the CAASPP results in a pupil's permanent school record, does not impose new requirements.

Section 60607, as amended, provides that the new computer-based assessments shall be included in pupils' permanent school records, as follows:

Each pupil shall have an individual record of accomplishment by the end of grade 12 that includes the results of the achievement test required and administered annually as part of the Measurement of Academic Performance and Progress (MAPP), or any predecessor assessments, established pursuant to Article 4 (commencing with Section 60640), results of end-of-course exams he or she has taken, and the vocational education certification exams he or she chose to take.¹³⁸

In addition, amended section 60607 provides that "It is the intent of the Legislature that local educational agencies and schools use the results of the academic achievement tests administered annually as part of the MAPP to provide support to pupils and parents or guardians to assist pupils in strengthening their development as learners, and thereby to improve their academic achievement..."¹³⁹ The claimants cite the entirety of amended section 60607 in their test claim, alleging that the section imposes new activities.¹⁴⁰ However, the language of former section 60607 was substantially the same, with respect to the California Standards Test (CST), and only minor, non-substantive changes were made by the amendment. Former section 60607(a), for example, provided:

Each pupil shall have an individual record of accomplishment by the end of grade 12 that includes the results of the achievement test required and administered annually as part of the Standardized Testing and Reporting (STAR) Program established pursuant to Article 4 (commencing with Section 60640), results of

¹³⁷ *Lucia Mar Unified School District v. Honig* (1988) 44 Cal.3d 830, 835.

¹³⁸ Education Code section 60607 (Stats. 2013, ch. 489; Stats. 2014, ch. 327).

¹³⁹ *Ibid.*

¹⁴⁰ Exhibit A, Amended Test Claim 14-TC-01, page 19.

end-of-course exams he or she has taken, and the vocational education certification exams he or she chose to take.¹⁴¹

Therefore, the only change to subdivision (a) is the replacement of “STAR” with “MAPP.” The later amendments made by Statutes 2014, chapter 327, changed all references to the MAPP to CAASPP, and clarified a reference to “*former* Section 49079.6, as it read on December 31, 2013...”¹⁴² There are no new activities or requirements imposed on school districts in the later-amended section.

Other changes made by Statutes 2013, chapter 489 include substituting “local educational agencies” for “schools” in subdivision (b), and “MAPP” for “statewide pupil assessment program” in subdivision (b) and “California Standards Test” in subdivision (c).¹⁴³ In each case “MAPP” was then amended to “CAASPP” by Statutes 2014, chapter 327.¹⁴⁴ These changes are non-substantive in nature; subdivision (a) requires that schools or school districts must maintain each pupil’s “individual record of accomplishment,” but prior section 60607 imposed the same requirement. The amendment effected by the test claim statute only substitutes the “MAPP” for the “STAR,” and therefore does not change the nature or scope of any required activities.¹⁴⁵ Subdivision (b) states only the *intent of the Legislature* that LEAs use the results of the MAPP to support and assist pupils; that language is not new, and is intent language, which is not, in itself, mandatory or directory.¹⁴⁶

The only remaining change to the section made by the test claim statute is to add the phrase “[e]xcept for research provided for in Section 49079.6...” when describing the requirement that pupils’ records of accomplishment and results of their assessments be kept private without written consent from the pupil or a parent or guardian.¹⁴⁷ However, because that provision does not contain any mandatory or directory language, but is instead prohibitive, or limiting in nature, the change does not result in a mandated new activity or task.

b) Education Code sections 60610 and 60641 do not impose new requirements.

Sections 60610 and 60641, and California Code of Regulations, title 5, section 851, as amended, expressly include charter schools in a school district’s testing program, and make other clarifying changes that are not new, with respect to prior law. These changes do not impose new activities on local government.

¹⁴¹ Education Code section 60607(a) (as amended, Stats. 1997, ch. 828; Stats. 2001, ch. 722; Stats. 2004, ch. 233).

¹⁴² Statutes 2014, chapter 327.

¹⁴³ Education Code section 60640 (Stats. 2013, ch. 489).

¹⁴⁴ Education Code section 60640 (Stats. 2014, ch. 327).

¹⁴⁵ Compare Education Code section 60607(a) (Stats. 2004, ch. 233) with Education Code section 60607(a) (Stats. 2013, ch. 489; Stats. 2014, ch. 327).

¹⁴⁶ See Former Education Code section 60607 (Stats. 2004, ch. 233; Education Code section 60607(b) (Stats. 2013, ch. 489; Stats. 2014, ch. 327).

¹⁴⁷ Education Code section 60607(c) (Stats. 2013, ch. 489; Stats. 2014, ch. 327).

Section 60610, as amended, provides that at the request of the state board, and in accordance with the rules and regulations of the state board, “each county superintendent of schools shall cooperate with and assist school districts and charter schools under his or her jurisdiction in carrying out the testing programs...and other duties imposed on school districts by this chapter.”¹⁴⁸ The plain language is mandatory, and imposes upon the county superintendent a duty to cooperate with and assist the schools within its jurisdiction with respect to the testing requirements of the test claim statutes. However, former section 60610 required county superintendents to perform the same activity, except that charter schools were not expressly named in the prior statute.¹⁴⁹ Former section 60610 stated that the county superintendent of schools “shall cooperate with and assist school districts under his or her jurisdiction in carrying out the testing programs of those districts and other duties imposed on school districts by this chapter.” Charter schools were required under prior law to carry out the testing programs pursuant to Education Code section 60640(b), and county superintendents also had jurisdiction over charter schools under prior law.¹⁵⁰

Section 60641, as amended, provides that the assessments “are scheduled to be administered to all pupils,” including charter school pupils, except those exempted pursuant to section 60640, “during the period prescribed in subdivision (b) of Section 60640.” In addition, the section requires that each pupil’s individual results “shall be reported, in writing, to the parent or guardian of the pupil.” That report must include a clear explanation of the purpose of the test, the pupil’s score, and the LEA’s intended use of that score. The section further provides that valid individual results shall be reported to the school and teachers of a pupil, and shall be included in pupil records. And, the section provides that districtwide, school-level, and grade-level results in each of the grades designated pursuant to section 60640, “but not the score or relative position of any individually ascertainable pupil,” shall be reported to the governing board of the school district and the county office of education at a regularly scheduled meeting. The section further provides that the state board shall adopt regulations for these reporting requirements, including “a calendar for delivery” of the results. And, the section prohibits any reporting other than to the school or LEA where a group of scores includes 10 or fewer pupil assessments; except as required by section 60630, “in no case shall any group score or report be displayed that would deliberately or inadvertently make the score or performance of any individual pupil or teacher identifiable.” Finally, the section provides that pupils in grade 11, or their parents, may request results “for the purpose of determining credit, placement, or readiness for college-level coursework be released to a postsecondary educational institution.”¹⁵¹ The later amendments made by Statutes 2014, chapter 327 changed all “MAPP” references to “CAASPP,” and eliminated an obsolete reference to section 49079.6.

The provision stating that the assessments “are scheduled to be administered” in accordance with section 60640 is not mandatory or directory; rather, it refers to the time in which an activity will be conducted. It appears from the context of this section and section 60640 that LEAs are

¹⁴⁸ Education Code section 60610 (Stats. 2013, ch. 489).

¹⁴⁹ Education Code section 60610 (Stats. 1995, ch. 975).

¹⁵⁰ Education Code section 60640, as last amended by Statutes 2009-2010, chapter 2 (5th Ex Sess.); Education Code section 47605, as last amended by Statutes 2008, chapter 179.

¹⁵¹ Education Code section 60641 (Stats. 2013, ch. 489; Stats. 2014, ch. 372).

required to administer the assessments. In any event, however, LEAs were required to administer the STAR tests under prior law, as explained above, and therefore if a requirement can be read into this section it is not new.

Furthermore, subdivision (d) provides that CDE “shall ensure that pupils in grade 11, or parents or legal guardians of those pupils *may request* results from grade 11 assessments...”¹⁵² for the purpose of determining credit, placement, or readiness for college-level coursework. The plain language refers to a requirement placed on CDE, but it may be expected that schools and LEAs will control the results that pupils or parents seek, and therefore this section might be argued to implicate duties also for schools or LEAs. However, this requirement, too, is found in the prior section: “The department shall ensure that a California Standards Test that is augmented for the purpose of determining credit, placement, or readiness for college-level coursework of a pupil in a postsecondary educational institution inform a pupil in grade 11 that he or she may request that the results from that assessment be released to a postsecondary educational institution.”¹⁵³

Indeed, none of the substantive requirements of section 60641 are new. The CAASPP assessment replaces the STAR tests, and specifically the Smarter Balanced summative assessments replace the CSTs for English language arts and mathematics. Therefore a new and different test is required to be administered, but as the foregoing analysis demonstrates, many of the activities and tasks associated with administering the test are no different, based on the plain language of section 60641. Former section 60641 provided: “The standards based achievement test provided for in Section 60642.5 is scheduled to be administered to all pupils during the period prescribed in subdivision (b) of Section 60640.”¹⁵⁴ As amended, section 60641 now provides: “The achievement tests provided for in Section 60640 are scheduled to be administered to all pupils, inclusive of pupils enrolled in charter schools and exclusive of pupils exempted pursuant to Section 60640, during the period prescribed in subdivision (b) of Section 60640.” The only difference is the source of the test, whether section 60640 (the summative assessments, and the other tests preserved in the law pending a successor test being adopted) or 60642.5 (the CSTs), and the express inclusion of charter school pupils, who were required to be tested under prior law also.¹⁵⁵ Additionally, the reporting requirements, including maintaining pupil records, were substantially the same in prior law. For example, former section 60641 provided:

The individual results of each pupil test administered pursuant to Section 60640 shall be reported, in writing, to the parent or guardian of the pupil. The written report shall include a clear explanation of the purpose of the test, the score of the pupil, and the intended use by the school district of the test score. This

¹⁵² Education Code section 60641 (Stats. 2013, ch. 489; Stats. 2014, ch. 372 [emphasis added]).

¹⁵³ Education Code section 60641 (Stats. 2009, ch.187).

¹⁵⁴ As amended, Statutes 2009, chapter 187.

¹⁵⁵ Compare Education Code section 60641 (as amended, Stats. 2009, ch. 187) with Education Code section 60641 (as amended, Stats. 2013, ch. 489). See also, Exhibit N, Assembly Bill 484, Assembly Floor Analysis.

subdivision does not require teachers or other school district personnel to prepare individualized explanations of the test score of each pupil.¹⁵⁶

As amended by Statutes 2013, chapter 489, section 60641 provides:

For assessments that produce valid individual pupil results, the individual results of each pupil tested pursuant to Section 60640 shall be reported, in writing, to the parent or guardian of the pupil. The report shall include a clear explanation of the purpose of the test, the score of the pupil, and the intended use by the local educational agency of the test score. This subdivision does not require teachers or other local educational agency personnel to prepare individualized explanations of the test score of each pupil. It is the intent of the Legislature that nothing in this section shall preclude a school or school district from meeting the reporting requirement by the use of electronic media formats that secure the confidentiality of the pupil and the pupil's results. State agencies or local educational agencies shall not use a comparison resulting from the scores and results of the Measurement of Academic Performance and Progress (MAPP) assessments and the assessment scores and results from assessments that measured previously adopted content standards.¹⁵⁷

The amended section thus limits the reporting requirement to “assessments that produce valid individual pupil results,” as well as replacing “school district” with “local educational agency,” and stating the intent of the Legislature that nothing in this section should *preclude* a school or district from providing results electronically, so long as the form is secure. When the former and amended sections are compared further, the reporting requirements that apply to the school and teachers, and the inclusion in pupil records, are also found in the prior law. In other words, nothing in this section imposes new activities on local government.¹⁵⁸

- c) Education Code sections 99300 and 99301, regarding the Early Assessment Program and the provision of the CAASPP results to the Chancellor of the Community Colleges, do not impose any new requirements on school districts.

Sections 99300 and 99301, as amended, make clarifying changes to the Early Assessment Program that do not impose any new activities on local government. Section 99300 provides that for purposes of the Early Assessment Program, established by the California State University in 2004, the former California Standards Test (CST) and augmented CST “may be replaced with the grade 11 consortium computer-adaptive assessments in English language arts and mathematics.” The section does not contain any mandatory or directory language aimed at local government, and primarily states the intent of the Legislature with respect to the EAP.

Section 99301, as amended, provides for “individual grade 11 assessment results,” “or a standards-aligned successor assessment,” to be used by community college districts and the CSU system “to provide diagnostic advice to, or for the placement of, prospective community college

¹⁵⁶ As amended, Statutes 2009, chapter 187.

¹⁵⁷ As amended by Statutes 2014, chapter 327, “MAPP” is replaced with “CAASPP.”

¹⁵⁸ Compare Education Code section 60641 (Stats. 2009, ch. 187) with Education Code section 60641 (Stats. 2013, ch. 489; Stats. 2014, ch. 327).

students participating in the [Early Assessment Program].” Pupils’ individual results are “provided to the office of the Chancellor of the California Community Colleges,” which “shall coordinate” with community college districts voluntarily participating in the EAP, and the Chancellor shall release the results to participating districts so that they may provide diagnostic advice to prospective students. The results shall also be used to assess college readiness, and to provide “additional preparation in grade 12 for prospective community college students” but not as a criterion for admission.¹⁵⁹

The claimants cite only paragraph (b)(1), and subparagraph (b)(2)(C) as imposing an alleged mandate. Section 99301(b)(1) provides: “...the individual assessment results, as referenced in Section 60641, or a standards-aligned successor assessment, shall be provided to the office of the Chancellor of the California Community Colleges.” Section 99301(b)(2)(C) provides that the Chancellor shall: “Provide access to the individual assessment results, as referenced in Section 60641, or a standards-aligned successor assessment, to participating community college districts.”¹⁶⁰

Prior to this amendment, however, section 99301 provided substantially the same with respect to pupils’ individual results on the CST.¹⁶¹ For example, section 99301(b)(1) stated as follows:

As authorized pursuant to subparagraph (B) of paragraph (3) of subdivision (a) of Section 60641, the individual results of the CST and the augmented CST, as referenced in Section 60641, shall be provided to the office of the Chancellor of the California Community Colleges.¹⁶²

The amended section replaces “the California Standards Test (CST) and the augmented CST” with “grade 11 assessment” or “assessment” or “assessment referenced in Section 60641,” in accordance with section 99300, discussed above. The amendment makes no substantive change to the requirement to provide results to the Chancellor, or to participating community college districts’ requirements to use the assessments to provide diagnostic advice or for placement purposes. Therefore, this requirement, though now applicable to a successor academic achievement test, is not new.

- d) California Code of Regulations, title 5, section 851, as amended by the test claim regulations addresses general pupil testing requirements and prohibitions, and does not impose any new requirements on school districts.

Section 851 of the regulations generally requires LEAs to administer the assessments to each of its pupils within a specified window of time, and to make arrangements for testing pupils in alternative education programs or programs conducted off campus. Prior to the test claim regulations, section 851 provided that school districts “shall administer the standards-based achievement tests and the primary language test, if any, to each pupils enrolled...on the date testing begins in the pupil’s school or school district.” In addition, the former section required school districts to “make whatever arrangements are necessary to test all eligible pupils in

¹⁵⁹ Education Code section 99301 (Stats. 2013, ch. 489).

¹⁶⁰ Exhibit A, Amended Test Claim 14-TC-01, page 26.

¹⁶¹ Education Code section 99301 (Stats. 2008, ch. 473).

¹⁶² Education Code section 99301 (Stats. 2008, ch. 473).

alternative education programs or programs conducted off campus, including...continuation schools, independent study, community day schools, county community schools, juvenile court schools, or nonpublic schools.” And, the former section prohibited the administration of any test in a home or hospital except by a test examiner, and prohibited testing of any pupil by the parent or guardian of the pupil. As amended by the test claim regulations, section 851 now refers to “LEAs” instead of “school districts;” and states that LEAs “*may administer* the primary language test pursuant to Education Code section 60640...”¹⁶³ Finally, the amended section expressly includes charter schools in the statewide testing, and directs all those not direct-funded to test with the LEA that granted the charter.¹⁶⁴ However, charter schools were required to participate in statewide testing under prior law, and therefore this is not a new provision.¹⁶⁵

These changes do not result in any new mandated activities. Nearly all changes to section 851 are non-substantive, and in fact, by making the primary language test permissive, the test claim regulations may result in a *lower* level of service required.

- e) California Code of Regulations, title 5, sections 853.5 and 853.7, as added and amended by the test claim regulations, address universal tools, designated supports, and accommodations for pupils taking the CAASPP, and do not impose any new requirements on school districts.

Prior to the test claim regulations, section 853.5, described the “Use of Variations, Accommodations, and Modifications” by pupils taking the STAR exam. That section provided that school districts “may provide” to all pupils taking the CST, the CMA, and the Standards-based Tests in Spanish (STS) such supports as having the test directions simplified or clarified; allowing the pupil to write in the test booklets; testing in small group settings; and having as much time as needed within a single sitting to complete a test or part of the standards based achievement tests. Former section 853.5 also required that eligible pupils with disabilities who have an IEP or 504 Plan to have the same presentation, response, or setting accommodations that are specified in the pupil’s IEP or 504 Plan for the CST, the CMA, and the Standards-based Tests in Spanish (STS). These may include, for example, large print versions of the test, Braille transcriptions, Manually Coded English or American Sign Language to present test questions, responses marked in a test booklet transferred to the answer document, responses dictated orally to a scribe, the use of word processing software with spell and grammar check tools, the use of an assistive device that does not interfere with the independent work of the pupil, supervised breaks, administration of the test at the most beneficial time of day to the pupil, administration of the test at home or in the hospital, use of a calculator on the mathematics test, use of manipulatives on the mathematics and science tests, and a dictionary. In addition, the former section required the school district to provide testing variations for English learners, which included testing in separate rooms with other English learners, additional supervised breaks following each section within a test part, translation of the test directions into the pupil’s primary language with an opportunity for the pupil to ask clarifying questions, and access to translation glossaries and word lists for the test.

¹⁶³ California Code of Regulations, title 5, section 851 (Register 2014, No. 35).

¹⁶⁴ California Code of Regulations, title 5, section 851(b) (Register 2014, No. 6).

¹⁶⁵ Education Code section 60640, as last amended by Statutes 2009-2010, chapter 2 (5th Ex Sess.); Education Code section 47605, as last amended by Statutes 2008, chapter 179.

As amended by the test claim regulations in Register 2014, Nos. 6, 30, and 35, sections 853.5 and 853.7, for English learners, now provide for the use of “universal tools, designated supports, and accommodations.” “Universal tools” are resources of the CAASPP tests that are available to all pupils.¹⁶⁶ “Designated supports” are resources which the pupil regularly uses in the classroom for instruction and/or assessment(s) that are available for use by any pupil for whom the need has been indicated, prior to the assessment administration, by an educator or group of educators; or specified in a pupil’s IEP or Section 504 plan.¹⁶⁷ And “accommodations” means resources documented in a pupil’s IEP or Section 504 Plan which the pupil regularly uses in the classroom for instruction and/or assessment(s) and that are either utilized in the assessment environment or consist of changes in procedures or materials that increase equitable access during the assessment and that cannot fundamentally alter the comparability of scores.¹⁶⁸

As discussed below, the Commission finds that sections 853.5 and 853.7, as added and amended by the test claim regulations, do not impose any new activities or costs on school districts.

- 1) *Permitting a pupil to use an embedded universal tool, designated support, or accommodation on the CAASPP tests, pursuant to section 853.5(a), (c), and (e) does not require a school district to incur additional new costs since embedded supports are part of the computer technology platform.*

Section 853.5(a), as amended by the test claim regulations, provides that all pupils, including English learners and students with disabilities, shall be permitted “embedded universal tools” on the CAASPP test for English language arts and mathematics. These embedded tools include breaks, calculators, digital notepads, English dictionary, highlighter, spell check, and math tools. Section 853.5(c) and (e) further provide for “embedded designated supports” for all pupils when determined for use by an educator or group of educators (which include color contrast and masking for reading, writing, listening, and mathematics; text-to speech for writing, listening, mathematics, and reading items; and translations), and “embedded accommodations” specified in a pupil’s IEP or 504 plan (which include American Sign Language, Braille, closed captioning for listening, text-to-speech). “Embedded” means a resource, whether a universal tool, designated support, or an accommodation, that is part of the assessment technology platform for the computer-based CAASPP tests.¹⁶⁹ In March 2015, CDE issued a matrix describing the embedded universal tools, designated supports, and accommodations as “digitally-delivered

¹⁶⁶ California Code of Regulations, title 5, section 850(aa).

¹⁶⁷ California Code of Regulations, title 5, section 850(k). See also, Exhibit N, US Department of Education Publication on IEP Regulations, page 1 [IEP is a written statement prepared for each child with a disability pursuant to federal regulations and must include a statement of present academic achievement and functional performance, a statement of goals, and a statement of “the special education and related services and supplementary aids and services...to be provided...,” as well as a statement of “any individual appropriate accommodations that are necessary to measure the academic achievement and functional performance of the child on State and districtwide assessments...”]. See also, *Hayes v. Commission on State Mandates* (1992) 11 Cal.App.4th 1564, 1584.

¹⁶⁸ California Code of Regulations, title 5, section 850(a).

¹⁶⁹ California Code of Regulations, title 5, section 850(m).

features or settings available as part of the technology platform for the computer-administered CAASPP tests.”¹⁷⁰

In other words, an embedded support is by definition built into the computer-based tests, or the computers themselves that are used for testing, and therefore the provisions in section 853.5(a), (c), and (e) do not require any new activity of school districts, other than providing a computing device and the use of an assessment technology platform as required by Education Code section 60640, which is discussed below.

- 2) *Permitting a pupil to use non-embedded universal tools and non-embedded designated supports, pursuant to section 853.5(b) and (d) does not impose any new costs.*

Section 853.5(b) requires that all pupils be permitted to use non-embedded universal tools, as specified, on the CAASPP tests. As indicated above, “non-embedded” means a resource that is *not* part of the technology platform for the computer-based CAASPP tests, and “universal tools” means that those resources are available to all pupils.¹⁷¹ Section 853.5(b) specifically states the following:

All pupils shall be permitted the following non-embedded universal tools on the CAASPP tests for English language arts (including the components of reading, writing, and listening), mathematics, science, and primary language as specified below:

- (1) Breaks;
- (2) English dictionary for ELA performance task – pupil long essay(s) not short paragraph responses;
- (3) scratch paper;
- (4) thesaurus for ELA performance task – pupil long essay(s) not short paragraph responses;
- (5) color overlay for science and primary language test;
- (6) math tools (i.e., ruler, protractor) for specific mathematics items;
- (7) simplify or clarify test administration directions (does not apply to test questions); or
- (8) pupil marks in paper-pencil test booklet (other than responses including highlighting).

Section 853.5(d), as amended by the test claim regulations, provides that all pupils shall be permitted to use “non-embedded designated supports” when determined for use by an educator or group of educators or specified in a pupil’s IEP or Section 504 Plan on the CAASPP tests for English language arts, mathematics, science, and primary language. “Designated supports” are “resources which the pupil regularly uses in the classroom for instruction and/or assessment(s) and that are available for use by any pupil for whom the need has been indicated, prior to the

¹⁷⁰ Exhibit N, Matrix entitled “Universal Tools, Designated Supports, and Accommodations for the California Assessment of Student Performance and Progress for 2014–15,” revised March 12, 2015.

¹⁷¹ California Code of Regulations, title 5, section 850(aa) and (q).

assessment administration, by an educator or group of educators or specified in a pupil’s IEP or Section 504 plan.”¹⁷² These non-embedded designated supports include translated directions, bilingual dictionary for writing, color contrast and overlay, magnification, read aloud, scribe, separate setting, translations, noise buffers, special lighting, special adaptive furniture, and administration of the test at the most beneficial time of the day for the pupil.

Therefore, sections 853.5(b) and (d) provide that all pupils “shall be permitted” the universal tools, as specified; and pupils for whom a need has been identified by an educator or group of educators, or specified in a pupil’s IEP “shall be permitted” designated supports, as specified. However, some of the tools and supports described are not new, by definition, and some are not new for specific subgroups of pupils; and finally, none constitute a new required activity or cost.

Supervised breaks, calculators and other “mathematics manipulatives,” and dictionaries, were required to be permitted under prior law for pupils with disabilities if the resource was identified in the pupil’s IEP or 504 Plan and, therefore, permitting the use of these tools is not new for these pupils.¹⁷³ Likewise, under prior law, school districts were required to permit pupils with an IEP or Section 504 Plan to use many of these same resources for the STAR tests, pursuant to former section 853.5(c).¹⁷⁴ Thus, permitting pupils with an IEP or Section 504 plan to continue to use the same non-embedded designated supports on the CAASPP tests is not new.

Furthermore, as noted above, the regulations define a designated support as a resource that a pupil *regularly uses in the classroom* for instruction and/or assessment(s). Therefore permitting a pupil to use a non-embedded designated support that is already used regularly in the classroom is not new.

Moreover, prior law *allowed* school districts to “provide” certain testing variations for all pupils, including special lighting, special acoustics, noise canceling devices, visual magnifying or audio amplification equipment, an individual carrel or study enclosure, test individually in a separate room, color overlay or mask to maintain visual attention to the test, Manually Coded English or American Sign Language to present directions for administration of the tests.¹⁷⁵ To the extent some of these testing variations that schools were allowed to provide under prior law are the same or substantially similar to the universal tools or designated supports that schools are now directed “shall be permitted,” the difference between providing such variations at their discretion, and being required to “permit” tools or supports, may constitute a new requirement.

However, the non-embedded tools now universally required to be permitted as a resource for the use by all pupils taking the CAASPP consist of materials that can be used by a pupil taking the tests, like an English dictionary, scratch paper, thesaurus, color overlay, and math tools. And, the plain language of section 853.5(b) states that “all pupils *shall be permitted* the following non-embedded tools, but does not require any affirmative action on the part of schools. To “permit” means to “give permission for,” and to “allow, have, let, or tolerate.”¹⁷⁶ The language does not

¹⁷² California Code of Regulations, title 5, section 850(k) (Register 2014, No. 35).

¹⁷³ California Code of Regulations, title 5, section 853.5(c), (d), and (e) (Register 2011, No. 15).

¹⁷⁴ Register 2011, No. 15.

¹⁷⁵ California Code of Regulations, title 5, section 853.5(b) (Register 2011, No. 15).

¹⁷⁶ Webster’s II New College Dictionary (1999), page 819.

require a school district “to provide” these materials, as it does in subdivision (f) for non-embedded accommodations. To “provide” means to “furnish” or “supply.”¹⁷⁷ When different words are used as part of the same statutory scheme, the words are presumed to have different meanings.¹⁷⁸ Thus, this regulation does not require school districts to incur any new costs to provide, furnish, or supply these materials. Similarly, the amended regulatory section now requires that “[a]ll pupils *shall be permitted* the following non-embedded designated supports when determined for use by an educator or group of educators...” Although the amended section imposes a requirement to permit the use of the support where the prior section authorized school districts to “provide” these supports for pupils that do not have an IEP or Section 504 Plan, *permitting* these non-embedded designated supports does not require a school district to incur any new costs.

This conclusion is further supported by the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines. Appendix C of those guidelines addresses Frequently Asked Questions, and question 14 on page 30, contains the following question: “Are there any supplies that schools need to provide so that universal tools, designated supports, and accommodations can be appropriately implemented?” The response, provided below, states that students can provide these items on their own:

Schools should determine the number of headphones they will provide (for text-to-speech, as well as for the listening test) and other non-embedded universal tools (e.g., thesaurus), designated supports (e.g., bilingual dictionary), and accommodations (e.g., multiplication table) for students. *An alternative is to identify these as items that students will provide on their own.*¹⁷⁹

Other non-embedded universal tools identified in section 853.5(b) involve a pupil’s time during the administration of the test; i.e., breaks and pupil marks in paper-pencil test booklet. These resources were authorized to be provided under prior law to all pupils. For example, former section 853.5(a) authorized school districts to allow pupils to write in test booklets and have as much time as needed within a single sitting to complete a test.¹⁸⁰ Although pupils are now required to be permitted to take breaks and mark up the test booklet, there is no evidence in the law or in the record that this results in any new increased cost for a school district. Similarly, other non-embedded designated supports identified in section 853.5(d) address supports for the administration of the test. For example, pupils are permitted to read aloud provisions of the test, take the test in a separate setting, or at the most beneficial time of the day, if these supports are regularly used by the pupil in the classroom. There is no evidence in the law or in the record that these supports result in any new increased cost for a school district to administer the test when compared to prior law. As previously stated, the requirement to administer the standardized test is not new, and the grade levels of pupils taking the CAASPP test has decreased when compared to prior law.

¹⁷⁷ Webster’s II New College Dictionary (1999), page 891.

¹⁷⁸ *Craven v. Crout* (1985) 163 Cal.App.3d 779, 783.

¹⁷⁹ Exhibit N, The Smarter Balanced Usability, Accessibility, and Accommodations Guidelines, dated August 15, 2015 (emphasis added).

¹⁸⁰ Register 2011, No. 15.

Accordingly, the Commission finds that section 853.5(b) and (d), as amended by the test claim regulations, does not require school districts to incur any new costs.

- 3) *Providing non-embedded accommodations when specified in a pupil's IEP or Section 504 plan, in accordance with section 853.5(f), is not a new requirement.*

Section 853.5(f), as amended by the test claim regulations, requires the school district “to provide” certain non-embedded accommodations on the CAASPP tests when specified in a pupil’s IEP or Section 504 plan. “Accommodations” means “resources documented in a pupil’s IEP or Section 504 Plan which the pupil regularly uses in the classroom for instruction and/or assessment(s) and that are either utilized in the assessment environment or consist of changes in procedures or materials that increase equitable access during the assessment and that cannot fundamentally alter the comparability of scores.”¹⁸¹ The “accommodations” are non-embedded, meaning they are *not* part of the technology platform for the computer-based CAASPP tests.¹⁸² The accommodations include the following: read aloud for specified tests and subjects; American Sign Language for listening, mathematics, and science; braille for paper-pencil tests; abacus for mathematics and science; alternate response options for reading, writing, listening, and mathematics; calculator for specific mathematics items; multiplication table for mathematics; print on demand; scribe; and speech-to-text or large print version of a paper-pencil test.

The Commission finds that providing accommodations on the CAASPP tests when the accommodation is required by the pupil’s IEP or 504 Plan is not new. Under existing state and federal law, pupils with disabilities are guaranteed the right to receive a free and appropriate public education, including special education and related services that are identified in the pupil’s IEP.¹⁸³ Federal law, in NCLB, also requires that all students participate in the standardized assessments, and that “the reasonable adaptations and accommodations for students with disabilities . . . necessary to measure the academic achievement of such students relative to State academic content and State student academic achievement standards” shall be provided.¹⁸⁴ And, under prior state law, former Education Code section 60604 required that individuals with exceptional needs “shall be included in the testing requirement [of the STAR exam]. . . with appropriate accommodations in administration, where necessary. . . .”¹⁸⁵

Thus, providing a non-embedded accommodation to a pupil with a disability does not require a school district to provide a new resource or cost, when the resource is already required by the pupil’s IEP.

¹⁸¹ California Code of Regulations, title 5, section 850(a).

¹⁸² California Code of Regulations, title 5, section 850(q).

¹⁸³ 20 United State Code section 1400(d); 34 Code of Federal Regulations, sections 300.340–300.350; Education Code sections 56000, et al.

¹⁸⁴ 20 United States Code section 6311(b)(3)(C)(ix).

¹⁸⁵ Former Education Code section 60640, as amended by Statutes 2009-2010, 5th Ex. Sess., chapter 2.

Accordingly, the Commission finds that section 853.5(f) does not impose any new requirements or costs on school districts.

4) Submitting a request for approval for an individualized aid pursuant to section 853.5(g) is not a new requirement.

Section 853.5(g), as amended by the test claim regulations, provides that an LEA may submit a request in writing to the CDE prior to the administration of a CAASPP test for approval for the use of an individualized aid. An “individualized aid” is defined in section 850 as “a type of resource that a pupil regularly uses in a classroom for instruction and/or assessment that has not been previously identified as a universal tool, designated support or accommodation.”¹⁸⁶ The LEA CAASPP coordinator or the CAASPP test site coordinator shall make the request on behalf of the LEA ten days before the pupil’s first day of CAASPP testing, and CDE is required to respond within four business days from the date of receipt of the request. The final statement of reasons for these regulations includes CDE’s response to a comment received during the regulatory process that the supports enumerated in the regulations are not exhaustive and that there may be supports included in a pupil’s IEP or Section 504 Plan that are not listed in the regulation. The commenter suggested that the regulation provide that any testing accommodations listed in an IEP or 504 Plan automatically be provided. CDE rejected this proposal, stating the following:

Reject: It is not possible to develop a comprehensive listing of all the possible testing resources for students with every type of disability for all different tests or test items. Section 853.5(g) provides a mechanism to seek approval for the use of a resource that is included in a pupil’s IEP or Section 504 Plan but that is not included in the list of universal tools, designated supports or accommodations in these regulations.¹⁸⁷

However, the authorization to request an accommodation that is already provided in the IEP or 504 Plan is not new. Prior law also provided that if a variation was not listed in the regulation, the school district or pupil’s IEP team may submit to the CDE for review of the proposed variation.¹⁸⁸ A “variation” was defined as “a change in the manner in which a test is presented or administered, or in how a test taker is allowed to respond, and includes, but is not limited to accommodations and modifications.”¹⁸⁹

Accordingly, the Commission finds that section 853.5(g) does not impose any new requirements or costs on school districts.

5) Section 853.7, as added by Register 2014, No. 35 does not impose any new activities on school districts.

Register 2014, No. 35 restated the substance of subdivisions (c) and (d) of section 853.5, describing embedded and non-embedded designated supports, as a new section 853.7, which

¹⁸⁶ California Code of Regulations, title 5, section 850(o) (Register 2014, No. 35).

¹⁸⁷ Exhibit N, Final Statement of Reasons for the CAASPP regulations, page 6.

¹⁸⁸ Former California Code of Regulations, title 5, section 853.5(f) (Register 2011, No. 15).

¹⁸⁹ Former California Code of Regulations, title 5, section 850(x) (Register 2011, No. 15).

applies specifically and exclusively to English learner pupils.¹⁹⁰ Section 853.7 simply continues the requirements of section 853.5, as amended by Register 2014, No. 6, without interruption and therefore no new activities are imposed.

- f) California Code of Regulations, title 5, section 855, as amended by the test claim regulations, describes the timing of the CAASPP tests, and does not impose any new requirements on school districts.

California Code of Regulations, section 855, prior to the test claim amendments, provided that the standards-based achievement tests and the primary language test, if applicable, “shall be administered to each pupil during a testing window of 25 instructional days that includes 12 instructional days before and after completion of 85% of the school’s...instructional days.” The prior section also provided for makeup days, and made exceptions for multitrack year round schools.¹⁹¹ As amended by Register 2014, No. 6, section 855 provides that for the same testing window for the 2013-2014 CAASPP field test, described below, and for the CST, CMA, and CAPA. Also beginning in the 2014-2015 school year, section 855 provides that the CAASPP testing window “shall not begin until at least 66 percent of a school’s annual instructional days have been completed, and testing may continue up to and including the last day of instruction.” And, section 855 provides that “[f]or grade 11 Smarter Balanced assessments and CAASPP tests administered after January 2015, the testing window shall not begin until at least 80 percent of a school’s annual instructional days have been completed...” And finally, section 855 provides that CDE, with approval of SBE, “may require LEAs to more fully utilize the testing window...”¹⁹²

Although section 855 contains some mandatory language (“shall administer” and “shall be administered”), reading the section in context, it does not itself mandate providing the tests. Section 855 describes the timing of the tests, while the requirements to administer or provide the tests, and all other things that administering a statewide assessment entails, are imposed by section 60640 of the Education Code and other provisions of the implementing regulations. Moreover, prior section 855 was also substantially similar: a description of the timing of the various tests required under the STAR program. Therefore, no new requirements or activities are imposed by the amendments to section 855.

- g) California Code of Regulations, title 5, section 859, as amended by the test claim regulations, addresses the security agreement and affidavit for the CAASPP tests, and does not impose any new requirements on school districts.

Prior section 859 of the STAR regulations required all district and test site coordinators to sign a STAR Test Security Agreement before receiving any test materials, and required all test examiners, proctors, translators, scribes, and any other persons having access to any of the test

¹⁹⁰ Compare California Code of Regulations, title 5, section 853.5 (Register 2014, No. 30) with California Code of Regulations, title 5, section 853.5 (Register 2014, No. 35). See also California Code of Regulations, title 5, section 853.7 (Register 2014, No. 35); Exhibit N, CAASPP Final Statement of Reasons, page 2.

¹⁹¹ See Exhibit N, February 2014 Emergency Regulations, page 22.

¹⁹² California Code of Regulations, title 5, section 855 (Register 2014, No. 6).

materials or tests administered pursuant to Education Code section 60640 to acknowledge the limited purpose of their access by signing a STAR Test Security Affidavit.¹⁹³

As amended by the test claim regulations, section 859 provides similarly with respect to who is required to sign the CAASPP Test Security Agreement and CAASPP Test Security Affidavit; and much of the content of the Agreement and Affidavit is similar to prior law. However, because the CAASPP is administered via computer, the Agreement and Affidavit contain certain provisions more applicable to electronic media than paper tests, for example:

(4) I will limit access to the test(s) and test materials by test examinees to the actual testing periods when they are taking the test(s). I understand that only pupils who are testing and LEA staff participating in the test administration who have signed a test security affidavit may be in the room when and where a test is being administered.

(A) I will keep all assigned, generated, or created usernames, passwords and logins secure and not divulge pupil personal information to anyone other than the pupil to whom the information pertains for the purpose of logging on to the assessment delivery system.

(B) I will not allow anyone other than the assigned pupils to log into their assigned test. I may assist a pupil with using their information to log into their assigned test.

(C) I will not use a pupil's information to log in as a pupil or allow a pupil to log in using another pupil's information.¹⁹⁴

These changed provisions of the security agreement and affidavit do not of themselves impose a new activity on local government. The activity required of school districts is to ensure that all coordinators, examiners, translators, proctors, and scribes agree to and sign the security agreement or affidavit, as specified. The changes to the content of the agreement do not alter the scope of the activity required. Therefore, amended section 859 does not impose any new activities on local government.

- h) California Code of Regulations, title 5, section 862, as amended by the test claim regulations, governs the apportionment information report, and does not impose any new requirements on school districts.

California Code of Regulations, title 5, section 862, prior to the test claim regulation amendments, provided that each school district shall receive an annual apportionment information report, including the number of pupils enrolled in the district on the first day of testing, the number tested, the number exempted, the number administered any portion of the CSTs of the modified assessment excluding the STAR writing portion of the ELA tests, the number with demographic information only who were not tested for any reason other than a parental exemption, and the number of English language learners who were administered a primary language test. In addition, prior section 862 stated that to be eligible for apportionment

¹⁹³ Former California Code of Regulation, title 5, section 859 (Register 2011, No. 15).

¹⁹⁴ California Code of Regulations, title 5, section 859(d) (as amended, Register 2014, Nos. 6, 30, and 35).

payment for the standards-based achievement tests and the primary language test, school districts must have returned all test materials, and certified the accuracy of the apportionment information report by December 31.¹⁹⁵

Amended section 862 clarifies that the apportionment information report shall be *made available* electronically to each LEA (replacing “school district”) *by CDE*, but the information included in the report is essentially the same, except that the report must also include the number of pupils who were administered any portion of the CAASPP using paper and pencil assessments, and the number of pupils administered a diagnostic assessment pursuant to Education Code section 60644. In addition, amended section 862 provides that, to be eligible for apportionment, the LEA must return all test materials (just as before) and the LEA CAASPP coordinator must certify the accuracy of the apportionment information report electronically by December 31. The former section placed this responsibility on the district superintendent and required a postmark by December 31.¹⁹⁶

Based on the plain language of this section, very little has changed, and none of it substantively. More importantly, the requirement to “make available” the apportionment information report is directed to CDE, not to local government. And, the requirement of the CAASPP coordinator to certify the report within a certain time, and the requirement to return test materials, are not new requirements, with respect to the school district as an entity of local government. And finally, though the section might be read to require school districts to first report the information listed to the contractor, including, for example the number of pupils administered any portion of the CAASPP test using paper and pencil, the reporting is in fact required by California Code of Regulations, title 5, section 861, as discussed below. Section 862 merely clarifies that the apportionment information report contains “the following information provided to the contractor by the LEA pursuant to sections 853 and 861...”¹⁹⁷

- i) California Code of Regulations, title 5, section 863, as amended by the test claim regulations, addresses CAASPP pupil reports and cumulative record labels, and does not impose any new activities on school districts.

Finally, California Code of Regulations, section 863, prior to the test claim regulation amendments, required school districts to forward the STAR Student Reports provided by the contractor to the pupil’s parent or guardian no more than 20 working days from receipt from the contractor. If the school district received the reports from the contractor after the last day of instruction, it was required to forward the scores to parents within the first 20 working days of the next school year. And, prior section 863 held schools “responsible for affixing cumulative record labels reporting each pupil’s scores to the pupil’s permanent school records or for entering the scores into electronic pupil records...” and forwarding those records if pupils transferred.¹⁹⁸

Amended section 863 changes “school district” to “LEA,” and requires an LEA to “forward or transmit pupil results for the tests conducted pursuant to Education Code section 60640 to each

¹⁹⁵ See Exhibit N, February 2014 Emergency Regulations, pages 37-38.

¹⁹⁶ California Code of Regulations, title 5, section 862 (Register 2014, No. 6.).

¹⁹⁷ California Code of Regulations, title 5, section 862 (Register 2014, No. 6.).

¹⁹⁸ See Exhibit N, February 2014 Emergency Regulations, page 40.

pupil’s parent or guardian within 20 working days, and states that schools are responsible for “maintaining pupil’s scores with the pupil’s permanent school records...” and “forwarding or transmitting” the results to schools to which pupils matriculate or transfer.¹⁹⁹ These are clarifying and consistency changes, and do not alter the scope of activities required of the schools and school districts. Therefore, there are no new required activities imposed by this amended section.

B. Education Code Section 60640 and Sections 852, 853, 857, 858, 861, and 864 of the Title 5 Regulations, as Amended by the Test Claim Statutes and Regulations, Require School Districts to Perform Some New Activities That Were Not Required Under Prior Law.

1. Education Code section 60640, as amended by Statutes 2013, chapter 489, beginning January 1, 2014, and interpreted in light of the implementing regulations imposes a new requirement to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.

Section 60640, as amended by the test claim statutes, replaces the STAR exam with CAASPP, beginning in the 2013-2014 school year. The statute replaces the former CSTs required for grades 2 to 11, inclusive, in English language arts and mathematics with the Smarter Balanced summative assessments for grades 3 to 8 and grade 11, which are designed to be administered on computer, and to be adaptive to student responses. Grades 2, 9, and 10 are no longer required to take the annual assessments previously required,²⁰⁰ and the California Modified Assessment is no longer necessary with the appropriate “universal tools” and “designated supports” available within the computer adaptive Smarter Balanced tests.²⁰¹ Therefore, pursuant to section 60640, as amended, only the following tests are now required:

- A consortium summative assessment in English language arts and mathematics for grades 3-8 and 11, aligned with the Common Core State Standards;
- Science grade level assessments in grades 5, 8, and 10, aligned with standards adopted by SBE, until a successor assessment is implemented on the Superintendent’s recommendation;
- The California Alternate Performance Assessment (CAPA) in grades 2 to 11, inclusive, for pupils with significant cognitive disabilities who are unable to take the other tests, in English language arts and mathematics, and the CAPA for science in grades 5, 8, and 10, which measures content standards adopted pursuant to Section 60605 until a successor assessment is implemented; and
- The Early Assessment Program established by Chapter 6 (commencing with Section 99300).

¹⁹⁹ California Code of Regulations, title 5, section 863 (Register 2014, No. 6).

²⁰⁰ Assembly Third Reading, AB 484, as amended May 24, 2013.

²⁰¹ See Exhibit N, California Modified Assessment Pilot Test, California Department of Education.

School districts are authorized, but not required, to administer a primary language assessment aligned to the English language arts standards adopted pursuant to Section 60605 to pupils who are identified as limited English proficient and enrolled in any of grades 2 to 11, inclusive, until a subsequent primary language assessment aligned to the common core standards in English language arts is developed.²⁰² A school district may also “administer achievement tests in grades other than those required by this section as it deems appropriate.”²⁰³

For the 2013-2014 school year, the summative assessments in English language arts and mathematics “shall be a field test only,” meaning that the results will not be used for state and federal accountability purposes.²⁰⁴ The field test is intended to “enable the consortium to gauge the validity and reliability of these assessments and to conduct all necessary psychometric procedures and studies, including, but not necessarily limited to, achievement standard setting, and to allow the department to conduct studies regarding full implementation of the assessment system.” The full administration of the CAASPP test began in Spring 2015.²⁰⁵

Section 60640(f) requires each LEA, “[f]rom the funds available for that purpose,” to “administer assessments to each of its pupils pursuant to subdivision (b),”²⁰⁶ except that recently arrived English learner pupils are exempted from taking the assessment in English language arts.²⁰⁷ For the 2013-2014 school year, each LEA is required to administer the field test in a manner described by the CDE in consultation with the president or executive director of the state board. “Funds for this purpose shall be utilized to allow for maximum participation in the field test across the state.”²⁰⁸ “As feasible, the CAASPP field tests shall be conducted in a manner that will minimize the testing burden on individual schools...” and shall not produce individual pupil scores unless it is determined that these scores are valid and reliable.²⁰⁹

Pursuant to NCLB, individuals with exceptional needs shall be included in the testing requirements of subdivision (b) with appropriate accommodations in administration, where necessary, and the individuals with exceptional needs who are unable to participate in the testing, even with accommodations, shall be given an alternate assessment.²¹⁰

And finally, section 60640(n) provides that “[a]s a condition to receiving an apportionment pursuant to subdivision (l), a local educational agency shall report to the Superintendent all of the following:

²⁰² Education Code section 60640(b) (Stats. 2013, ch. 489; Stats. 2014, ch. 32).

²⁰³ Education Code section 60640(i) (Stats. 2013, ch. 489; Stats. 2014, ch. 32).

²⁰⁴ Education Code section 60640(b) (Stats. 2013, ch. 489; Stats. 2014, ch. 32).

²⁰⁵ Exhibit N, Field Test – Smarter Balanced Assessment Consortium; Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 12.

²⁰⁶ Education Code section 60640(f)(1) (Stats. 2013, ch. 489).

²⁰⁷ Education Code section 60640(b)(5) (Stats. 2013, ch. 489).

²⁰⁸ Education Code section 60640(f)(2) (Stats. 2013, ch. 489).

²⁰⁹ Education Code section 60640(h) (Stats. 2013, ch. 489; Stats. 2014, ch. 32).

²¹⁰ Education Code section 60640(k) (Stats. 2013, ch. 489).

- (1) The pupils enrolled in the local educational agency in the grades in which assessments were administered pursuant to subdivisions (b) and (c).
- (2) The pupils to whom an achievement test was administered pursuant to subdivisions (b) and (c) in the local educational agency.
- (3) The pupils in paragraph (1) who were exempted from the test pursuant to this section.”²¹¹
 - a) Many of the plain-language requirements in section 60640, as amended by the test claim statutes, are not new, or require a lower level of service when compared to prior law.

Many of the requirements in section 60640, as amended by the test claim statutes, are not new or require a lower level of service when compared to prior law. For example, the requirement *to administer a statewide assessment* pursuant to section 60640(b), (f), (g), and (k) is no different from that under prior law. Former section 60640(b) provided: “From the funds available for that purpose, each school district, charter school, and county office of education shall administer to each of its pupils in grades 2 to 11, inclusive, the standards-based achievement test provided for in Section 60642.5.”²¹² Section 60642.5, in turn, required the Superintendent to develop an assessment, “to be called the California Standards Tests,” which included “reading, spelling, written expression, and mathematics” for pupils in grades 2 to 8, and “reading, writing, mathematics, history-social science, and science” for pupils in grades 9 to 11.²¹³ Amended section 60640(f) requires that “[f]rom the funds available for that purpose, each local agency shall administer assessments to each of its pupils pursuant to subdivision (b).” Amended section 60640(b) provides for the assessments to include “[a] consortium summative assessment in English language arts and mathematics for grades 3 to 8, inclusive, and grade 11...” and “[s]cience grade level assessments in grades 5, 8, and 10...” Therefore, the subject matter of the assessments under the prior law is substantively the same as under CAASPP, but because pupils in grades 2, 9, and 10 are no longer required to participate in the English and mathematics assessments, the number of pupils required to be assessed under sections 60640(f) and 60640(b) is fewer than that required under former sections 60640 and 60642.5.

Moreover, section 60640(b)(1)(B) explains that “[i]n the 2013-14 school year, the consortium summative assessment in English language arts and mathematics *shall be a field test only*, to enable the consortium to gauge the validity and reliability of these assessments... and to allow the department to conduct studies regarding full implementation of the assessment system.” The field test is not intended to include all of the otherwise-applicable components of the assessments, and indeed the field test was implemented in that manner. In the CDE report to the State Board and the Legislature, it is clear that students in grade 11 were not required to participate in the field test, and many students only participated in either the computer-based test

²¹¹ Education Code section 60640(n) (Stats. 2013, ch. 489; Stats. 2014, ch. 32).

²¹² Former Education Code section 60640(b) (Stats. 2009-2010, 5th Ex. Sess., ch. 2).

²¹³ Education Code section 60642.5 (Stats. 2008, ch. 752); See also, former Education Code section 60603 (Stats. 2004, ch. 233).

or the performance task, but not both.²¹⁴ In addition, school districts were not required to report the results of the field test, either to parents, or for state and federal accountability purposes.²¹⁵ Therefore, the requirements of section 60640 for the 2013-2014 school year to administer the field test assessments to all eligible pupils are a lower level of service, and not new, *except with respect* to the use of computers, as discussed below.

As indicated above, school districts have long been required to administer standardized assessments to pupils under the STAR program and, thus, the requirement to administer assessments is not new. In addition, prior law required pupils with disabilities to be included in statewide testing; that requirement in section 60640(k) is not new.²¹⁶

And finally, section 60640(n) provides that “[a]s a condition to receiving an apportionment pursuant to subdivision (l), a local educational agency shall report to the Superintendent all of the following:

- (1) The pupils enrolled in the local educational agency in the grades in which assessments were administered pursuant to subdivisions (b) and (c).
- (2) The pupils to whom an achievement test was administered pursuant to subdivisions (b) and (c) in the local educational agency.
- (3) The pupils in paragraph (1) who were exempted from the test pursuant to this section.”²¹⁷

This requirement was added to section 60640 by Statutes 2009-2010, 5th Extraordinary Session, chapter 2 (SB 1), and is therefore not new.

Based on the foregoing, there is very little in the plain language of amended section 60640 that imposes any new requirements or activities, and indeed some of the prior requirements have been reduced or eliminated.

- b) A new requirement is imposed, however, to provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.

Notwithstanding the findings above, that the majority of section 60640 does not impose any new requirements on school districts, there is a new requirement inherent in the administration of the new CAASPP tests via computer, which is best understood when interpreted in light of sections 850, 853, and 853.5 of the implementing regulations. These regulations elucidate the essential

²¹⁴ Education Code section 60640(f)(2) (Stats. 2013, ch. 489); Education Code section 60603 (Stats. 2013, ch. 489). See also, Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, pages 16; 41.

²¹⁵ Exhibit N, Smarter Balanced Field Test Questions and Answers, page 1.

²¹⁶ Compare Former Education Code section 60640(e) (as amended, Stats. 2009-2010, 5th Ex. Sess., ch. 2) with Education Code section 60640(k) (as amended, Stats. 2013, ch. 489).

²¹⁷ Education Code section 60640(n) (Stats. 2014, ch. 32).

nature of the CAASPP tests as a battery of computer-based assessments, which section 857 expressly makes an ongoing requirement.²¹⁸

Section 60640(f)(1) states: “From the funds available for that purpose, each local educational agency shall administer the assessments to each of its pupils pursuant to subdivision (b).” Section 60640(b) states that beginning in the 2013-2014 school year, the CAASPP shall include “[a] consortium summative assessment in English language arts and mathematics for grades 3 to 8 and grade 11...” and “[s]cience grade level assessments in grades 5, 8, and 10 that measure content standards pursuant to Section 60605, until a successor assessment is implemented...” And, section 60640(b) provides that “[i]n the 2013–14 school year, the consortium summative assessment in English language arts and mathematics shall be a field test only, to enable the consortium to gauge the validity and reliability of these assessments and to conduct all necessary psychometric procedures and studies...”²¹⁹ As discussed above, the elements of the consortium summative assessment, and the grade levels tested in particular subjects, represent a lower level of service than under prior law, based only on the number and frequency of subject matter tests required.

However, the Assembly Appropriations Committee analysis states:

The consortium assessments are vastly different than the current STAR assessments. For example, these assessments are designed to be online and computer adaptive as opposed to the paper - and - pencil STAR assessments currently administered to pupils.²²⁰

Additionally, the definitions found in section 60603 and California Code of Regulations, title 5, section 850, demonstrate the Legislature’s intent that the new assessments are to be computer-based. Education Code section 60603(d-e), as amended by Statutes 2013, chapter 489, provides that: “‘Computer-adaptive assessment’ means a computer-based test that utilizes a computer program to adjust the difficulty of test items through a testing session based on a test taker’s responses to previous test items during that testing session”; and, “‘Computer-based assessment’ means a test administered using an electronic computing device.”²²¹ Moreover, section 853 of the title 5 regulations, as amended by Register 2014, No. 35, states the following: “The primary mode of administration of a CAASPP test shall be via a computing device, the use of an assessment technology platform, and the adaptive engine.”²²² Section 850(e), in turn defines an “assessment technology platform” as follows:

²¹⁸ California Code of Regulations, title 5, section 850, 853, 853.5, and 857 are evaluated independently elsewhere in this analysis; these sections are discussed here only to the extent that they help to elucidate the requirements of section 60640 with respect to the acquisition and ongoing maintenance of adequate minimum technology requirements to administer the CAASPP.

²¹⁹ Education Code section 60640(b) (Stats. 2013, ch. 489).

²²⁰ Exhibit N, AB 484, Appropriations Committee Analysis, page 1.

²²¹ See also, California Code of Regulations, title 5, section 850(i) (definition originally added by Register 2014, No. 6).

²²² California Code of Regulations, title 5, section 853(b) (Register 2014, No. 35).

...the electronic systems used to display items, accept item responses, store, deliver, score the tests and restrict access to outside sources, as well as report and manage assessment results. Assessment technology includes, but is not limited to, computing devices, testing software applications, network hardware, and other technology required to administer the tests.²²³

Moreover, section 853.5 of the regulations requires that English learners and all pupils with disabilities be provided “embedded” tools on the CAASPP tests for English language arts and mathematics, and while those requirements are specifically denied above because they are built into the software of the computer-based assessments, and not required of the local government, the phrase “embedded tools” is important in the interpretation of what is required to provide the technology necessary for the CAASPP. Section 850(l) of the regulations defines “embedded” to mean “a resource, whether a universal tool, designated support, or accommodation, *that is part of the assessment technology platform* for the computer-based CAASPP tests.”²²⁴ Thus, the CAASPP test includes embedded tools, which are built into the testing technology. These embedded tools are necessary because, as discussed above, the CAASPP is intended to be adaptive to the needs of students who would formerly have been assessed using the CMA.²²⁵

And finally, the LEA CAASPP coordinator is required by section 857 of the regulations to “ensure current and ongoing compliance with the minimum technology specifications as identified by the CAASPP contractors.”²²⁶ This ongoing duty not only aids in understanding the requirements of the test claim statute, but it also expressly requires continuing activity and expenditures for school districts. In addition to the likely inevitable, but intermittent, replacement of testing devices and hardware, the Smarter Balanced Assessment Consortium has also published a projected schedule of the “End-of Support Date[s]” for various operating systems. For example, “Mac OS 10.5” and “Windows Vista” are two common operating systems that SBAC expects to cease supporting after the 2016-2017 school year, and newer operating system software will be required at that time.²²⁷ Thus, not only do section 857 and Education Code section 60640, require replacing or upgrading testing devices and hardware, but a certain degree of obsolescence for various software, including the underlying operating systems, is also planned.

School districts were not required under prior law to provide computers and adequate technology necessary to administer standardized assessments under the STAR program. Thus, beginning January 1, 2014, the requirement to provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP test on computers, is new. Based on the committee analysis noted above, and the definitions in Education Code section 60603 and California Code of Regulations, title 5, section 850, an interpreted in light of

²²³ California Code of Regulations, title 5, section 850(f) (Register 2014, No. 35).

²²⁴ California Code of Regulations, title 5, section 850(m) (Register 2014, No. 35).

²²⁵ See Exhibit N, California Modified Assessment Pilot Test, California Department of Education.

²²⁶ California Code of Regulations, title 5, section 857 (Register 2014, No. 6).

²²⁷ Exhibit N, Smarter Balanced Technology Strategy Framework and Testing Device Requirements, page 26.

references made in California Code of Regulations, title 5, sections 853, 853.5, and 857 to computer and technology requirements, the CAASPP program imposes new requirements to acquire and maintain adequate “minimum technology” to administer the assessments via computer.²²⁸

Finance argues, however, that the plain language of sections 60640(e) and (f) demonstrates the Legislature’s intent that statewide testing under CAASPP was not meant to impose a reimbursable state mandate, and does not impose any new requirements for the first three years.²²⁹ Section 60640(e) provides as follows:

The Superintendent shall make available a paper and pencil version of any computer-based CAASPP assessment for use by pupils who are unable to access the computer-based version of the assessment for a maximum of three years after a new operational test is first administered.²³⁰

Finance reasons that “[t]hese statutes established the CAASPP system to eventually be administered exclusively on computers...[however]...[d]uring this three year period, including from January 1, 2014 to June 30, 2014, administering the CAASPP on computers is optional.”²³¹ In addition, and relatedly, Finance further argues that section 60640(f) expresses a “clear intent that local educational agencies are not required to bear the financial burden of immediately implementing the CAASPP on computers before state funding is specifically provided...”²³²

The Commission disagrees with Finance’s interpretation. Interpreting the statutes as a whole, the Commission finds, as explained below, that the three year “grace period” is intended to be the rare exception, not to undermine the state requirement to administer the test via computer; and that the language “from the funds available” in subdivision (f) does not undermine the state’s requirement that all LEAs comply with CAASPP in time for the 2013-2014 field test (i.e., beginning January 1, 2014).

The plain language of section 60640(e) requires the Superintendent to assist schools that are not able to administer the CAASPP to all pupils by providing a paper and pencil version of the test. Therefore, a district that is not able to fully implement the computer-based CAASPP tests within the first one to three years will not be entirely out of compliance with the law. However, the regulations make clear that the paper and pencil version of the CAASPP is not the required method: section 853 states expressly that “[t]he primary mode of administration of a CAASPP test *shall be via a computing device...*” In addition, section 853 provides that LEAs may make use of the paper and pencil version of the CAASPP “*if the LEA identifies the pupils that are*

²²⁸ California Code of Regulations, title 5, sections 853, 853.5, and 857 are analyzed below on their merits, to the extent that the plain language of each imposes some new activities; the analysis here relies on these sections only to the extent that they provide context for the imperative nature of Education Code section 60640, and demonstrate that the Legislature intended for technology requirements to be ongoing.

²²⁹ Exhibit K, Finance’s Comments on the Draft Proposed Decision on 14-TC-01, page 1.

²³⁰ Education Code section 60640(e) (Stats. 2013, ch. 489; Stats. 2014, ch. 32).

²³¹ Exhibit K, Finance’s Comments on the Draft Proposed Decision on 14-TC-01, page 1.

²³² Exhibit K, Finance’s Comments on the Draft Proposed Decision on 14-TC-01, page 1.

unable to access the CBA version of the test.”²³³ These provisions make clear that school districts are required to implement the computer-based assessments broadly, and expediently. Moreover, section 851 requires LEAs to make arrangements for the CAASPP testing for *all pupils*, as follows:

LEAs *shall make arrangements* for the testing of all eligible pupils in alternative education programs or programs conducted off campus, including, but not limited to, non-classroom based programs, continuation schools, independent study, community day schools, county community schools, juvenile court schools, or NPSs.²³⁴

And finally, because the underlying purpose of the CAASPP is that the test should be adaptive to student responses, and thus require less time and provide more accurate assessment, Finance’s presumption that the paper and pencil version of the test could suffice undermines the entire program. In other words, a paper and pencil version of the CAASPP is not the CAASPP, because it is not adaptive, and not computer-based.²³⁵ Therefore, the Commission finds that the three year “grace period” provided in section 60640(e) cannot be interpreted to delay the operative date of the state requirement, or otherwise provide for a gradual implementation of the Legislature’s intent. Rather, the paper and pencil version of the assessments is intended to be a rare exception, utilized only for a small number of students, as *identified by the LEA*, who are unable to access the computer-based version of the test.

Finance also argues that the phrase “from the funds available for that purpose” should be interpreted to limit section 60640 to require the Commission to find that the activities are required only *when and to the extent* funding is provided. And indeed, the Commission has previously found language referencing available funds to constitute a conditional statement affecting whether certain statutory duties were in fact mandated. In *Williams Case Implementation I, II, and III*, 05-TC-04; 07-TC-06; 08-TC-01; for example, the Commission found that all of the new requirements of Education Code section 1240, as amended from 2004 to 2007, were required only, based on the plain language, “*to the extent that funds are appropriated for purposes of this paragraph.*”²³⁶ Similarly, the Commission found that the phrase “*to the extent possible and with funds provided for that purpose...*” as used in section 44258.9 “means that the activities provided for are mandated insofar as funds are provided, and

²³³ California Code of Regulations, title 5, section 853 (Register 2014, No. 35) [emphasis added].

²³⁴ California Code of Regulations, title 5, section 851 (Register 2014, No. 35) [emphasis added].

²³⁵ See also, Exhibit N, Assembly Floor Analysis, AB 484 [“[T]hese assessments are designed to be online and computer adaptive as opposed to the paper - and - pencil STAR assessments currently administered to pupils.”].

²³⁶ Statement of Decision, *Williams Case Implementation I, II, and III*, 05-TC-04; 07-TC-06; 08-TC-01, Adopted December 7, 2012, page 29 [discussing Education Code section 1240(c)(2), as amended by Stats. 2004, ch. 900 § 1; Stats. 2005, ch. 118 § 1; Stats. 2006, ch. 704 § 1; Stats. 2007, ch. 526 § 1].

only mandated to the extent that the activities are capable of completion with the funds provided.”²³⁷

But here, the Legislature chose a different phrase. The phrase “from the funds available for that purpose,” when interpreted with section 862.5 of the implementing regulations, does not limit the activities required by the state. Rather, this phrase directs the use of offsetting revenues appropriated by the state for this program, which will be further analyzed below in Section D of this decision addressing the issue of costs mandated by the state.

This interpretation is also consistent with how the Commission has historically interpreted the phrase in prior *STAR* test claims. The phrase “from funds available for that purpose” has been included in section 60640 from 1997 to the present.²³⁸ The Commission found in *STAR*, 97-TC-23, that Education code section 60640, as amended by Statutes 1997, chapter 828, imposed a reimbursable state mandate for school districts and county offices of education to administer “the achievement test designated by the State Board of Education pursuant to Section 60642” despite the existence of the phrase “[c]ommencing in the 1997-98 fiscal year...and from the funds available for that purpose...”²³⁹ In the reconsideration of *STAR*, 04-RL-9723-01, the Commission restated its determination that only the achievement test designated by the SBE pursuant to section 60642 was reimbursable; however, the Commission did not consider that the language “from the funds available for that purpose...” in Education Code section 60640 should limit the required activities.²⁴⁰ The Commission’s decision on *STAR II and III* addressed former section 60640, as amended by Statutes 2003, chapter 773, which begins: “Commencing in the 2004–05 fiscal year and each fiscal year thereafter, and from the funds available for that purpose...” The Commission found that the amended section “reduces existing requirements” because certain grade-levels were exempted from testing beginning in the 2004-2005 school year; but the Commission *did not* make findings that “from the funds available for that purpose...” should limit the required activities to the extent of funding available. Rather, the Commission, in these prior test claims, interpreted the language as identifying offsetting revenue provided by the state for the *STAR* program.

Based on the foregoing, the Commission finds that Education Code section 60640, as amended by Statutes 2013, chapter 489, beginning January 1, 2014, and interpreted in light of the

²³⁷ Statement of Decision, *Williams Case Implementation I, II, and III*, 05-TC-04; 07-TC-06; 08-TC-01, Adopted December 7, 2012, page 41 [discussing Education Code section 44258.9, as amended by Stats. 2004, ch. 902 § 3; Stats. 2005, ch. 118 § 9].

²³⁸ Former Education Code section 60640 was added by Statutes 1997, chapter 828; amended by Statutes 1998, chapter 485; Statutes 1998, chapter 330; Statutes 1999, chapter 78; Statutes 1999, chapter 83; Statutes 1999, chapter 735; Statutes 2000, chapter 576; Statutes 2001, chapter 20; Statutes 2002, chapter 492; and Statutes 2003, chapter 773, section 4. Current section 60640 was first added by Statutes 2003, chapter 773, section 5, and amended by Statutes 2004, chapter 183; statutes 2004, chapter 233; Statutes 2005, chapter 676; Statutes 2007, chapter 174; Statutes 2007, chapter 730; Statutes 2008, chapter 757; Statutes 2009-2010, 5th Extraordinary Session, chapter 2; Statutes 2013, chapter 489; and Statutes 2014, chapter 32.

²³⁹ Former Education Code section 60640(b) (Stats. 1997, ch. 828).

²⁴⁰ Former Education Code section 60640(b) (Stats. 2001, ch. 20).

implementing regulations, including California Code of Regulations, title 5, sections 850, 853, 853.5, and 857, imposes a new requirement to provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.

2. California Code of Regulations, title 5, section 852, as amended by Register 2014, No. 6, imposes a new requirement on school districts to provide an annual parental notification of CAASPP testing containing information about the test and information on the right to request an exemption from testing for their child.

Under existing law, Education Code section 60615 requires a school district to grant a written request by a parent or guardian to excuse his or her pupil from any or all parts of the assessments. Prior section 852 of the regulations stated that a parent or guardian “may submit to the school a written request to excuse his or her child from any or all parts of any test provided...” under the STAR program, and that “[a] school district and its employees may discuss the STAR Program with parents and may inform parents of the availability of exemptions under Education Code section 60615.” However, the school district was forbidden to “solicit or encourage any written exemption request...”²⁴¹ These provisions have remained, with clarifying changes, including clarification that an exemption request must be renewed annually.²⁴² And, section 852(c) continues to provide, as before, that school district employees may discuss the testing with parents and inform them of the exemption, but may not solicit or encourage any written exemption request on behalf of any child or group of children.²⁴³ These provisions, now applicable to CAASPP, are not new, and the small consistency or clarifying changes do not impose new required activities.

However, as amended by the test claim regulations, section 852 now also requires school districts to *notify parents each year* of their pupil’s participation in the CAASPP testing, and that notification must include “a notice of the provisions outlined in Education Code section 60615.”²⁴⁴ Section 60615, in turn, states, in its entirety: “Notwithstanding any other provision of law, a parent’s or guardian’s written request to school officials to excuse his or her child from any or all parts of the assessments administered pursuant to this chapter shall be granted.”²⁴⁵ Therefore, although parents were already permitted under the Education Code to request an exemption, school districts are now required to inform them of the availability of the exemption, and to do so each year that the pupil is participating in the CAASPP testing.

Therefore, based on the foregoing, the Commission finds that California Code of Regulations, title 5, section 852, as amended, requires school districts, beginning February 3, 2014, to notify

²⁴¹ See Exhibit N, February 2014 Emergency Regulations, page 12.

²⁴² And, in keeping with the amendments made elsewhere in the regulations and the statutes, “STAR Program” is now “CAASPP assessment system,” and “school district” is now “LEA.”

²⁴³ Exhibit N, February 2014 Emergency Regulations, page 12.

²⁴⁴ California Code of Regulations, title 5, section 852(a-b).

²⁴⁵ Education Code section 60615 (Stats. 1995, ch. 975).

parents or guardians each year of their pupil’s participation in the CAASPP assessment system, including notification that notwithstanding any other provision of law, a parent’s or guardian’s written request to exempt his or her child from any or all parts of the CAASPP assessments shall be granted.

3. California Code of Regulations, title 5, section 853, as amended by Register 2014, Nos. 6, 30, and 35, imposes a new requirement on school districts to score and transmit the CAASPP tests in accordance with the manuals or other instructions provided by the contractor or CDE, and to identify pupils, if applicable, who are unable to access the computer-based version of the test.

Prior to the test claim regulations, former section 853 provided that the STAR tests shall be administered and returned by school districts in accordance with the manuals or other instructions provided by the contractor, including instructions for administering the test with variations, accommodations, and modifications. As amended by Register 2014, No. 6, effective February 3, 2014, the section now refers to “CAASPP tests pursuant to Education Code section 60640...”, and requires that they be “administered, scored, transmitted, and/or returned” by “LEAs” (replacing “school districts”) in accordance with the instructions provided by the contractor “or CDE.” The amended section also provides, as discussed above, that “[i]f available, an LEA may utilize a paper-pencil version of any [computer based test (CBT)] of the CAASPP assessment system... if the LEA identifies the pupils that are unable to access the CBT version of the test.” And, the amended section provides that interim assessments and “formative assessment tools” shall be made available for school districts, and that use of interim assessments and formative assessment tools “shall not be considered advance preparation for a CAASPP test...”²⁴⁶ As further amended by Register 2014, No. 35, effective August 27, 2014, section 853 more explicitly provides that the “primary mode of administration of a CAASPP test shall be via a computing device, the use of an assessment technology platform, and the adaptive engine.”²⁴⁷

As discussed above, Education Code section 60640 already required school districts, beginning January 1, 2014, to administer the CAASPP tests via computer. And section 60640(e) requires the Superintendent to make available a paper and pencil version of any computer-based CAASPP assessment for pupils who are unable to access the computer-based version, for up to three years. The amended section 60640 has an effective date of January 1, 2014, while California Code of Regulations, title 5, section 853 was amended effective February 3, 2014, and again effective August 27, 2014.²⁴⁸ Therefore, the provisions of section 853, which state that the primary mode of administration of the CAASPP shall be via a computing device, but that a school district may utilize a paper and pencil version of “any CBT of the CAASPP assessment system,” are clarifying changes, and do not impose any new activities on local school districts.

In addition, provisions of section 853 describing the availability of interim assessments and formative assessments tools do not contain any mandatory or directory language requiring school districts to use these assessments or tools.

²⁴⁶ California Code of Regulations, title 5, section 853 (Register 2014, No. 6).

²⁴⁷ California Code of Regulations, title 5, section 853 (Register 2014, No. 35).

²⁴⁸ Register 2014, Nos. 6, 30, and 35.

However, section 853 does impose new requirements on school districts to score and transmit the tests in accordance with manuals and instructions provided by the contractor or CDE. The prior regulation did not require school districts to score and transmit the tests to the contractor or CDE, and because all tests were given with paper and pencil, a lack of computer access for some pupils was not an issue.

Based on the foregoing, the Commission finds that California Code of Regulations, title 5, section 853 requires school districts, beginning February 3, 2014, to score and transmit the CAASPP tests in accordance with manuals or other instructions provided by the contractor or CDE.

- 4. California Code of Regulations, title 5, section 857, as amended by Register 2014, Nos. 6 and 35, imposes new requirements on the school district and LEA CAASPP coordinator to identify pupils unable to access the computer-based version of the CAASPP tests; report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test; and to ensure current and ongoing compliance with the minimum technology specifications required for the new computer based assessment.**

Prior to the test claim regulations, section 857 provided that on or before September 30 of the school year, the superintendent of each school district shall designate a “district STAR coordinator,” who, according to the prior section “shall be available through August 15 of the following school year to complete school district testing.” The district STAR coordinator’s responsibilities “shall include, but not be limited to...” responding to correspondence and inquiries from the testing contractor and CDE; determining school district and test site needs; ensuring delivery of tests and test materials; coordinating makeup tests; maintaining security over the tests; overseeing the administration of the tests, and the collection and return of all test materials; assisting the contractor and CDE in resolving any discrepancies; notifying CDE of any security breaches or testing irregularities; ensuring that an answer document is submitted for each pupil; and reviewing files and reports from the contractor for accuracy and completeness.²⁴⁹

Section 857, as amended by the test claim regulations, is not substantially different from prior law with respect to the STAR program. For example, the activities in section 857(b) of designating an LEA CAASPP coordinator, to be available through September 30 of the following school year to complete testing activities, to notify the contractor of the identity and contact information for the LEA coordinator and superintendent, and to serve as the LEA representative and liaison between the LEA and the contractor and between the LEA and CDE for all matters relating to CAASPP, are not new. And, section 857(e) requires the district’s CAASPP coordinator to ensure the training of test site coordinators who will oversee the test administration at each school site.²⁵⁰ Although the Commission recognizes that the training required to administer the CAASPP is likely new, the requirement for the coordinator to

²⁴⁹ California Code of Regulations, title 5, section 857 (Register 2011, No. 15).

²⁵⁰ Former California Code of Regulations, section 857(b)(12) (Register 2011, No. 15).

“ensure” training is no different than under prior law.²⁵¹ These activities are identical to those imposed by former section 857 on the district STAR coordinator under prior law.²⁵²

In addition, section 857(c) provides that the responsibilities of the coordinator “shall be those defined in the contractor’s(s’) or consortium’s administrative manuals and documentation...” including overseeing the LEA’s preparation, registration, coordination, training, assessment technology, administration, security, and reporting of the CAASPP tests. Though the description of the LEA coordinator’s responsibilities is abbreviated in the amended section 857(c), preparation, coordination, administration, security, and reporting are all terms that generally describe the same responsibilities held by the district STAR coordinator that were described in somewhat greater detail under prior law. The Commission finds that these activities are not new.

However, section 857, as amended by the test claim regulations does include certain requirements that are entirely new, as compared to prior law. Section 857(a) requires the superintendent of each school district to identify pupils unable to access the computer-based version of the CAASPP tests; and to report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test.²⁵³ These requirements were not imposed by prior law and are new.

In addition, section 857(c) and (d) requires that the CAASPP coordinator be responsible for assessment technology, and “shall ensure current and ongoing compliance with the minimum

²⁵¹ As indicated above, the Legislature recognized that the “consortium assessments are vastly different than the current STAR assessments,” since the assessments are designed to be online and computer adaptive as opposed to the paper-and-pencil STAR assessments formerly administered to pupils (Exhibit N, Assembly Appropriations Committee analysis.) In addition, the Smarter Balanced Test Administration Manual states that:

Test Administrators (and any other individuals who will be administering any secure Smarter Balanced assessment) will read the CAASPP Smarter Balanced Online Test Administration Manual, the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines, and the Test Administrator (TA) Reference Guide, and view the associated Smarter Balanced training modules. (Exhibit N, Online Test Administration Manual Excerpt, page 9.)

The Online Test Administration Manual for 2015 runs to nearly 100 pages of instruction, while the Test Administrator Reference Guide holds another 90 pages of required reading. In addition, the training modules currently available include a number of archived “webcast” videos and audio-video slide presentations that require several hours to view in full. (<http://www.caaspp.org/training/sbft/index.html>, accessed October 5, 2015.)

However, even though the content of the training may be different, the plain language requirement of section 857 is for the CAASPP coordinator to ensure the training of CAASPP test site coordinators. To the extent the training itself results in increased costs, those issues can be best addressed as a reasonably necessary activity at the parameters and guidelines stage of this claim.

²⁵² Register 2011, No. 15.

²⁵³ California Code of Regulations, title 5, section 857(a) (Register 2014, No. 6).

technology specifications as identified by the CAASPP contractor(s) or consortium.” These activities are newly required.

Accordingly, the Commission finds that California Code of Regulations, title 5, section 857, as amended by Register 2014, Nos. 6 and 35, beginning February 3, 2014, imposes new requirements on school district superintendents to identify pupils unable to access the computer-based version of the CAASPP tests; and to report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test. The regulation also requires the LEA CAASPP coordinator to be responsible for assessment technology, and “ensure current and ongoing compliance with the minimum technology specifications as identified by the CAASPP contractor(s) or consortium.”

5. California Code of Regulations, title 5, section 858, as amended by Register 2014, Nos. 6 and 35 imposes new requirements on school district CAASPP test site coordinators to be responsible for ensuring that all designated supports, accommodations, and individualized aids are entered into the registration system.

Under prior law section 858 of the STAR regulations provided that at each test site, the superintendent or the district STAR coordinator shall designate a STAR test site coordinator, who is required to be available through August 15 of the following school year to resolve “discrepancies or inconsistencies in materials or errors in reports.”²⁵⁴ In addition, former section 858 provided that a STAR test site coordinator’s duties shall include determining test site material needs and communicating to the district STAR coordinator; overseeing the acquisition and distribution of tests and test materials; cooperating with the district STAR coordinator to provide testing days and makeup days within required time periods; maintaining security over the tests and test data; signing the security agreement set forth in section 859; arranging for and overseeing the administration of the tests and the collection and return of all test materials; assisting the district STAR coordinator, the contractor, and CDE in the resolution of discrepancies; overseeing the collection of pupil data required by sections 861 and 862; ensuring that an answer document, and only one answer document, is submitted for each eligible pupil; notifying the STAR district coordinator of any security breaches or testing irregularities; and training test examiners, translators, proctors, and scribes.²⁵⁵

Section 858(a) as amended by the test claim regulations, similarly provides that the CAASPP coordinator shall designate a test site coordinator to be available to the CAASPP coordinator by telephone through September 30 of the following school year for purposes of resolving discrepancies or inconsistencies in materials or errors in reports. This activity is not new.²⁵⁶

Section 858(b) also provides that the test site coordinator’s responsibilities shall be those defined in the contractor’s and CDE’s administrative manuals and documentation, and shall include, but not be limited to, overseeing the test site’s preparation, coordination, administration, security and reporting of the CAASPP tests. Though the description of the test site coordinator’s responsibilities is abbreviated in the amended section 858(b), preparation, coordination,

²⁵⁴ California Code of Regulations, title 5, section 858(a) (Register 2011, No. 15).

²⁵⁵ California Code of Regulations, title 5, section 858 (Register 2011, No. 15).

²⁵⁶ California Code of Regulations, title 5, section 858(a) (Register 2011, No. 15).

administration, security, and reporting are all terms that generally describe the same responsibilities held by the district STAR coordinator that were described in somewhat greater detail under prior law.²⁵⁷ The Commission finds that these activities are not new.

In addition, section 858(d) as amended, requires the test site coordinator to be responsible for ensuring that all designated supports, accommodations, and individualized aids are provided to the pupils identified to receive these resources. This activity is not new. As indicated in the analysis above, providing these resources for the tests is not new. In addition, the STAR test site coordinator was required to determine the test material needs and distribute the test materials to the test examiners on each day of testing.²⁵⁸ And, as above, the language in section 858(c), as amended by Register 2014, No. 6, requiring the test site coordinator to be responsible for the training of test examiners, translators, proctors, and scribes, is substantially the same as prior law,²⁵⁹ and therefore the Commission finds that the requirement of section 858(c) is not new.

However, a new activity is imposed by section 858(d), as amended by Register 2014, No. 35 beginning August 27, 2014, to provide that the CAASPP test site coordinator “shall be responsible for ensuring that all designated supports, accommodations and individualized aids are entered into the registration system” This activity was not required under prior law.

6. California Code of Regulations, title 5, section 861, as amended by Register 2014, No. 6 (eff. February 3, 2014), imposes a new requirement on school districts to report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards.

Under prior law, section 861 of the Title 5 regulations required school districts to “provide the contractor for the standards-based achievement tests and the primary language test...the following information for each pupil enrolled on the first day the test are administered for purposes of the reporting required by the Academic Performance Index of the Public Schools Accountability Act...” The reporting information required included, for example, each pupil’s name, date of birth, grade level, gender, English proficiency, program participation, use of accommodations or modifications, the education level of parents or guardians, eligibility to participated in the National School Lunch Program, race or ethnicity, any disability, whether a pupil was enrolled in a nonpublic school based on an IEP and that school’s code, and any special testing conditions or reasons for not being tested. School districts were also required to provide the same information for each pupil enrolled in an alternative or off campus program or for pupils placed in nonpublic schools. The information was for purposes of aggregate analyses only and was required to be provided and collected as part of the testing materials for STAR tests.²⁶⁰

As amended by Register 2014, No. 6, section 861(a) requires school districts to report “any and all program and demographic pupil data requested by CDE...” to assess pupils under the

²⁵⁷ California Code of Regulations, title 5, section 858(b) (Register 2011, No. 15).

²⁵⁸ California Code of Regulations, title 5, section 858(b)(1), (2) (Register 2011, No. 15).

²⁵⁹ California Code of Regulations, title 5, section 858(b)(12) (Register 2011, No. 15).

²⁶⁰ Register 2011, No. 15.

CAASPP requirements of Education Code section 60640 and for inclusion in the California Longitudinal Pupil Achievement Data System (CALPADS).²⁶¹ And section 861(c) requires school districts to ensure that the CALPADS data elements are up to date and accurate prior to registration and throughout the testing window. The “program and demographic pupil data” collected for CALPADS is not substantively different from what was required to be collected under the STAR program. Indeed, CALPADS was authorized prior to the enactment of CAASPP, and was required to have “[t]he ability to sort by demographic element collected from the STAR tests...”²⁶² Moreover, pursuant to section 6311 of NCLB, states are required to submit a plan to the Secretary of the Department of Education that details academic assessments that enable the state to measure “adequate yearly progress,” including “separate measurable annual objectives for continuous and substantial improvement for...” disadvantaged students, students from racial and ethnic groups, students with disabilities, and students with limited English proficiency.²⁶³ Accordingly, the academic assessments implemented in each state must “enable results to be disaggregated within each State, local educational agency, and school by gender, by each major racial and ethnic group, by English proficiency status, by migrant status, by students with disabilities as compared to nondisabled students, and by economically disadvantaged students as compared to students who are not economically disadvantaged...”²⁶⁴ The bill authorizing the creation of CALPADS included \$10.3 million “for data gathering and to develop longitudinal databases, including unique student identifiers to obtain the individual student-level assessments required by NCLB.”²⁶⁵ Thus, the requirement in section 861(a) to report program and demographic pupil data is not new.

Section 861(b), as amended by Register 2014, No. 6, also requires school districts to report to CDE the following information: if a pupil is not tested due to a significant medical emergency; if a pupil used an accommodation; if a pupil has special testing conditions and/or reasons for not being tested (e.g., parent or guardian exemption); if a pupil is enrolled in a nonpublic school based on an IEP; and if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.²⁶⁶ Register 2014, No. 35 added to section 861(b) the

²⁶¹ CALPADS is a longitudinal data system used to maintain individual-level data including student demographics, course data, discipline, assessments, staff assignments, and other data for state and federal reporting.

²⁶² See Exhibit N, SB 1453 (2002) Senate Floor Analysis, page 4.

²⁶³ 20 U.S.C. § 6311(b)(2)(C) (Pub. L. 107-110).

²⁶⁴ 20 U.S.C. § 6311(b)(3)(C) (Pub. L. 107-110).

²⁶⁵ See Exhibit N, SB 1453 (2002) Senate Floor Analysis, page 5.

²⁶⁶ Education Code section 60644 was added by Statutes 2013, chapter 479, to provide for diagnostic assessments of second grade students in language arts and mathematics that are aligned to the common core academic content standards. The assessments are used to aid teachers and gain information about the developing language arts and computational skills of pupils in grade two. Education Code section 60644(b) provides that the cost savings realized from the elimination of the grade two standards-based achievement testing shall be used by local educational agencies to administer the assessments.

requirement to report to CDE if a pupil used a designated support or individualized aid. Some of these reporting requirements are not new. For example, prior section 861 also required school districts to report program participation, use of accommodations or modifications used by a pupil, any special testing conditions or reasons for not being tested, and whether the pupil was enrolled in a nonpublic school based on an IEP.²⁶⁷ Thus, these activities are not new.

However, the activity required by section 861(b)(5), to report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644, is a new reporting requirement.

In addition, section 861(b) as further amended by Register 2014, No. 35, which added two additional items to be reported to CDE: if a pupil used a designated support, and if a pupil used an individualized aid. The reporting of this information is not new. “Designated supports” are “resources which the pupil regularly uses in the classroom for instruction and/or assessment(s) and that are available for use by any pupil for whom the need has been indicated, prior to the assessment administration, by an educator or group of educators or specified in a pupil’s IEP or Section 504 Plan.”²⁶⁸ “Individualized aid” means “a type of resource that a pupil regularly uses in a classroom for instruction and/or assessment that has not been previously identified as a universal tool, designated support or accommodation, and it “may or may not invalidate the measurement of the test.”²⁶⁹ Although the terminology has changed, school districts were required by prior law to report the same information regarding the use of “accommodations” or “modifications” on the test.²⁷⁰ “Accommodations” were defined as “any variation in the assessment environment or process that does not fundamentally alter what the test measures or affect the comparability of scores.”²⁷¹ “Modification” was defined as “any variation in the assessment environment or process that fundamentally alters what the test measures or affects the comparability of scores.”²⁷² Thus, the reporting of designated supports and individualized aids is not new.

Accordingly, the Commission finds that section 861(b)(5) imposes a new requirement on school districts, beginning February 3, 2014, to report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.

7. California Code of Regulations, title 5, section 864, as amended by Register 2014, No. 6, imposes new requirements on school districts to comply with any and all requests from CAASPP contractors and abide by any and all instructions provided by the CAASPP contractor or consortium.

²⁶⁷ California Code of Regulations, title 5, former section 861(a)(9), (10), (20), (21), (22). (Register 2011, No. 15).

²⁶⁸ California Code of Regulations, title 5, section 850(k) (Register 2014, No. 35).

²⁶⁹ California Code of Regulations, title 5, section 850(o) (Register 2014, No. 35).

²⁷⁰ California Code of Regulations, title 5, former section 861(a)(10) (Register 2011, No. 15).

²⁷¹ California Code of Regulations, title 5, former section 850(a) (Register 2011, No. 15).

²⁷² California Code of Regulations, title 5, former section 850(k) (Register 2011, No. 15).

Former California Code of Regulations, title 5, section 864, addressed the reporting of test scores. As repealed and replaced by Register 2014, No. 6, section 864 now provides that an LEA is an agent of CDE for purposes of the CAASPP program, and that in order for the state to meet its obligations in the development, administration, and security of valid and reliable tests, LEAs shall:

- (1) comply with any and all requests from CAASPP contractor(s) in accordance with Education Code section 60641; and
- (2) abide by any and all instructions provided by the CAASPP contractor or consortium, whether written or oral, that are presented for training or provided for in the administration of a CAASPP test.

These requirements, though non-specific, are newly required by the amended section, beginning February 3, 2014.

C. The New Requirements Impose a State-Mandated New Program or Higher Level of Service on School Districts.

As indicated above, the Commission finds that the following activities are newly required of school districts:

- Beginning January 1, 2014, provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.²⁷³
- Beginning February 3, 2014, the LEA CAASPP coordinator shall be responsible for assessment technology, and shall ensure current and ongoing compliance with minimum technology specifications as identified by the CAASPP contractor(s) or consortium.²⁷⁴
- Beginning February 3, 2014, notify parents or guardians each year of their pupil’s participation in the CAASPP assessment system, including notification that notwithstanding any other provision of law, a parent’s or guardian’s written request to excuse his or her child from any or all parts of the CAASPP assessments shall be granted.²⁷⁵
- Beginning February 3, 2014, score and transmit the CAASPP tests in accordance with manuals or other instructions provided by the contractor or CDE.²⁷⁶
- Beginning February 3, 2014, identify pupils unable to access the computer-based version of the CAASPP tests; and report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test.²⁷⁷

²⁷³ Education Code section 60640 (Stats. 2013, ch. 489), interpreted in light of California Code of Regulations, title 5, sections 850, 853, 853.5, and 857 (Register 2014, Nos. 6, 30, 35).

²⁷⁴ California Code of Regulations, title 5, section 857(d) (Register 2014, No. 6).

²⁷⁵ California Code of Regulations, title 5, section 852 (Register 2014, No. 6).

²⁷⁶ California Code of Regulations, title 5, section 853 (Register 2014, No. 6).

²⁷⁷ California Code of Regulations, title 5, section 857(a) (Register 2014, No. 6).

- Beginning August 27, 2014, the CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individualized aids are entered into the registration system.²⁷⁸
- Beginning February 3, 2014, report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.²⁷⁹
- Beginning February 3, 2014, comply with any and all requests from CAASPP contractors, and abide by any and all instructions provided by the CAASPP contractor or consortium, whether written or oral, that are provided for training or provided for in the administration of a CAASPP test.²⁸⁰

Finance argues that the CAASPP program, like the STAR testing program that preceded it, is not mandated by the state, but is required to meet federal program requirements and was enacted to avoid a loss of federal funding. Finance states: “we reiterate comments previously submitted as part of the proceedings for the STAR test claim...that NCLB is a federal mandate, and therefore the STAR program could not be found to be a state mandate because it is required to comply with NCLB.”^{281,282} In this respect, during the reconsideration of the *STAR* mandate, Finance asserted that nonparticipation in the statewide testing requirements “incentivized” by federal funding “would jeopardize the receipt of approximately \$4.3 billion *annually* in federal NCLB funds.”²⁸³ The Director of Fiscal and Administrative Services for CDE at the time stated that the loss would represent “approximately 7.6% of our state’s K-12 education expenditures.” The Director continued:

In order to receive the more than \$3 Billion under NCLB, California is required to implement a statewide accountability system that is effective in every district in the State and that ensures all public elementary and secondary schools make adequate yearly progress in meeting academic goals as defined by NCLB. STAR is a primary component of this accountability system.²⁸⁴

²⁷⁸ California Code of Regulations, title 5, section 858(d) (Register 2014, No. 35).

²⁷⁹ California Code of Regulations, title 5, section 861(b)(5) ((Register 2014, No. 6).

²⁸⁰ California Code of Regulations, title 5, section 864 (Register 2014, No. 6).

²⁸¹ Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, pages 1-2.

²⁸² SBE, for its part, asserts that the test claim regulations do not impose a state mandate because they do not extend beyond the scope and purpose of the test claim statutes. See, e.g., Exhibit N, Final Statement of Reasons for CAASPP Regulations [discussing proposed changes to sections 853.5 and 853.7: “Mandating in the regulations that LEAs make an affirmative determination concerning every ELs need for a designated support(s) is not required by federal law and would create an unfunded mandate when there is nothing in the CAASPP law creating a state mandate.”].

²⁸³ Exhibit N, Finance’s Comments on *STAR* Reconsideration, February 24, 2005, page 1.

²⁸⁴ Exhibit N, California Department of Education Comments on *STAR* Reconsideration, June 9, 2005, page 3.

These state agencies relied on the Supreme Court’s decision in *City of Sacramento*, where the court found federal legislation that contained incentives and penalties (“carrot and stick”) to encourage state participation would constitute a federal mandate in circumstances when the state does what is “necessary to avoid certain and severe federal penalties;” i.e., where “[t]he alternatives [to participating] were so far beyond the realm of practical reality that they left the state ‘without discretion’ to depart from federal standards.”²⁸⁵

The claimants counter that the *STAR* test claim determined that some of the testing requirements were a reimbursable mandate, notwithstanding the underlying federal requirement to administer standardized academic assessments; and that the *STAR II and III* test claim did not reach the federal mandate issue. And, the claimants argue, “regardless of whether *STAR* itself was a federal mandate, *CAASPP* certainly is not.” The claimants reason that “California was compliant with NCLB’s requirement to administer assessments to determine students’ levels of academic achievement under *STAR*...[but the Legislature] chose – without any change to NCLB – to adopt a new assessment regime that was much more expansive (and expensive).”²⁸⁶

Fundamentally, NCLB is an incentive program, consistent with “the vast bulk of cost-producing federal influence on government at the state and local levels [being] by inducement or incentive rather than direct compulsion.”²⁸⁷ States are required to comply with NCLB to receive federal funding for education. Federal law also states that if “any recipient of funds under any applicable program is failing to comply substantially with any requirement of law applicable to such funds...” the Secretary of Education may “withhold further payments under that program...” and may seek a recovery of funds already provided.²⁸⁸

The Commission, however, finds that even if NCLB imposes a federal mandate on the states to provide “a set of high-quality, yearly student academic assessments” in mathematics, reading or language arts, and science,²⁸⁹ the new activities required by the test claim statutes and regulations go beyond that requirement, are mandated by state law, and do not impose costs mandated by the federal government.

Like the *STAR* program that preceded it, there is no dispute that the *CAASPP* tests satisfy the requirements of NCLB. In fact, the elimination of grades 2, 9, and 10 from yearly English language arts and mathematics testing appears to track the requirements of NCLB more precisely than before.²⁹⁰ In *Hayes*, the court held that even if the state enacts legislation to comply with a federal mandate, the activities required by the legislation may still impose a state-mandated program if the manner of implementation of the federal program is left to the true discretion of the state. “If the state freely chooses to impose the costs upon the local agency as a means of implementing a federal program[,] then the costs are the result of a reimbursable state mandate

²⁸⁵ *City of Sacramento, supra*, 50 Cal.3d 51, 74.

²⁸⁶ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 5.

²⁸⁷ *City of Sacramento v. State of California* (1990) 50 Cal.3d 51, 73.

²⁸⁸ 20 USC § 1324c.

²⁸⁹ 20 USC 6311 (b)(3)(A) (Pub. L. 107-110, Jan. 8, 2002).

²⁹⁰ 20 USC 6011 (b)(3)(C) (Pub. L. 107-110, Jan. 8, 2002).

regardless whether the costs were imposed upon the state by the federal government.”²⁹¹ In addition, Government Code section 17556(c) provides that the Commission shall not find costs mandated by the state where the test claim statute or regulations impose a requirement that is mandated by a federal law or regulation and results in costs mandated by the federal government, “*unless the statute or executive order mandates costs that exceed the mandate in that federal law or regulation.*”²⁹²

The court’s holding in *Hayes* applies in this case. Here, the state was not forced to adopt the computerized CAASPP tests to comply with federal law. The state, within its discretion, chose to adopt the CAASPP program, in part, to receive grant funding under the Race to the Top program.²⁹³ However, that grant funding was awarded between July 2010 and March 2013, prior to the effective dates of any of the test claim statutes, and California was not awarded any of that funding, despite having promptly adopted the Common Core in 2010 and actively participating in the Smarter Balanced consortium to develop the new assessments which would eventually be adopted as a part of CAASPP.²⁹⁴ Therefore, the Commission finds that the new requirements imposed by the test claim statutes and regulations are mandated by the state.

In addition, the new mandated activities are unique to government in that they are only required of school districts and they provide a service to the public “to provide assessments that can assist teachers, administrators, students and parents/guardians with a better understanding of college and career readiness.”^{295,296}

²⁹¹ *Hayes v. Commission on State Mandates* (1992) 11 Cal.App.4th 1564, 1593-1594.

²⁹² Government Code section 17556(c) (Stats. 2010, ch. 719) [emphasis added].

²⁹³ Exhibit N, Race to the Top Executive Summary, page 3 [The Race to the Top program, enacted as a part of the American Recovery and Reinvestment Act of 2009, provided grant funding to two multistate consortia for the development of new high-quality standards-aligned assessments: the Smarter Balanced Assessment Consortium and the Partnership for Assessment of Readiness for College and Careers (PARCC). That funding was provided to the consortia, respectively, to develop new assessments; it was not intended to incentivize the states to adopt and implement the new assessments. (Exhibit N, US Department of Education, “US Secretary of Education Duncan Announces Winners of Competition to Improve Student Assessments.”). An additional fund of \$4.35 billion was made available on a competitive basis to states that could demonstrate a commitment to improving education outcomes and closing achievement gaps among different populations. One criteria for the awarding of those grants was the adoption of common standards (i.e., the Common Core State Standards or other common standards) and a commitment to adopt standards-aligned common high-quality assessments (i.e., either the Smarter Balanced or the PARCC consortium assessments). (Exhibit N, Race to the Top Program, Executive Summary, November 2009, pages 2; 7-8.)].

²⁹⁴ Exhibit N, Race to the Top Executive Summary; Awards – Race to the Top Program Fund; “Four Years Later, Are Race to the Top States on Track?” Center for American Progress.

²⁹⁵ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 8.

²⁹⁶ *San Diego Unified School Dist., supra*, 33 Cal.4th 859, 874-875; See also, *Long Beach Unified School Dist. v. State of California* (1990) 225 Cal.App.3d 155, 172, where the court

Accordingly, the activities required by the test claim statutes and regulations impose a state-mandated a new program or higher level of service on school districts.

D. There Are Costs Mandated by the State Pursuant to Government Code Section 17514 Beginning January 1, 2014.

Government Code section 17514 defines “costs mandated by the state” as any increased cost that a local agency or school district incurs as a result of any statute or executive order that mandates a new program or higher level of service. The claimants have alleged a total of \$8,568,068 in increased costs for the fiscal year 2013-2014,²⁹⁷ and initially alleged “a total of more than \$15 million in increased costs for 2014-2015.”²⁹⁸ Claimants have recently provided declarations and evidence from Plumas USD, Plumas COE, Porterville USD, and Santa Ana USD, each of which alleges, more specifically, increased costs beyond the funding received from the state.²⁹⁹

Finance argues that several sources of funding are or may be available to cover the costs of any mandate, and therefore the Commission must not find costs mandated by the state, pursuant to section 17556(e).³⁰⁰

Government Code section 17556(e) provides that the Commission shall not find costs mandated by the state if:

The statute, executive order, or an appropriation in a Budget Act or other bill provides for offsetting savings to local agencies or school districts that result in no net costs to the local agencies or school districts, or includes additional revenue that was specifically intended to fund the costs of the state mandate in an amount sufficient to fund the cost of the state mandate.

Government Code section 17556(e) implements article XIII B, section 6, which requires subvention only when the costs in question can be recovered solely from local tax revenues. The Supreme Court has determined that

[Article XIII B, section 6] was intended to preclude the state from shifting financial responsibility for carrying out governmental functions onto local entities that were ill equipped to handle the task. [Citations omitted.] Specifically, it was designed to protect the tax revenues of local governments from state mandates that would require expenditures of such revenues. Thus, although its language broadly declares that the “state shall provide a subvention of funds to reimburse

finds that “education in our society is considered to be peculiarly governmental function;” that “public education is administered by local agencies to provide service to the public;” and that, therefore, “public education constitutes a ‘program’ within the meaning of Section 6.”

²⁹⁷ Exhibit A, Amended Test Claim 14-TC-01, page 74; Exhibit C, Vallejo City Unified School District Request to Join Claim, pages 5-6.

²⁹⁸ Exhibit J, Claimants’ Comments on Draft Proposed Decision on 14-TC-01, page 2.

²⁹⁹ Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 4-5; 12; 24; 32; 111.

³⁰⁰ See Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015; Exhibit G, Finance’s Late Comments on 14-TC-01, filed April 27, 2015.

... local government for the costs [of a state-mandated new] program or higher level of service,” read in its textual and historical context section 6 of article XIII B requires subvention only when the costs in question can be recovered solely from tax revenues.

... As the discussion makes clear, the Constitution requires reimbursement only for those expenses that are recoverable solely from taxes.³⁰¹

Accordingly, in *Kern*,³⁰² the Supreme Court held that claimant school districts were *not entitled to reimbursement* for costs incurred in complying with notice and agenda requirements for meetings of a school site council “because the state, in providing program funds to claimants, already has provided funds that may be used to cover the necessary notice and agenda-related expenses.”³⁰³ The Commission had previously approved a unit cost of \$106 per meeting for the reimbursement of the mandated activities in that case. Thus, the court found the costs to be “rather modest,” and “qualify as ‘reasonable district administrative expenses’” that were fully funded by the underlying school site council programs.³⁰⁴ The Court “found nothing to suggest that a school district is precluded from using a portion of the funds obtained from the state for the implementation of the underlying funded program to pay the associated [mandated] costs.” The Court concluded, therefore, that “we view the state’s provision of *program funding as satisfying, in advance, any reimbursement requirement.*” (Emphasis added.)³⁰⁵

Below, the Commission finds that the state has appropriated funds in the Budget Acts for 2014-2015 and 2015-2016, which are apportioned by SBE to school districts for several pupil assessment programs, including CAASPP. Based on the plain language of these statutes, these funds are *specifically intended* to fund the costs of the mandated activities for CAASPP. However, as explained below and in contrast to *Kern High School Dist.*, the additional funding is not *sufficient* as a matter of law to cover the costs of the mandate, and therefore Government Code section 17556(e) does not apply to deny the test claim. Accordingly, the Commission finds that school districts have incurred increased costs mandated by the state, within the meaning of article XIII B, section 6 and Government Code section 17514, beginning January 1, 2014.

1. Some of the funding apportioned to school districts for costs incurred for CAASPP from January 1, 2014, to June 30, 2014 is specifically intended to fund the costs of the new mandated activities, but the funding is not sufficient as a matter of law to cover the costs of the mandate pursuant to Government Code section 17556(e).

The earliest of the three test claim statutes pled, Statutes 2013, chapter 489, has an effective date of January 1, 2014. The administration of the 2013-2014 field test of the Smarter Balanced computer-based assessments was scheduled to take place, in accordance with the February 2014 emergency regulations, “during a testing window of 25 instructional days that includes 12 instructional days before and after completion of 85 percent of the school’s, track’s, or program’s

³⁰¹ *County of Fresno*, 53 Cal.3d 482, page 487.

³⁰² *Department of Finance v. Commission on State Mandates (Kern)* (2003) 30 Cal.4th 727.

³⁰³ *Id.*, page 747.

³⁰⁴ *Ibid.*

³⁰⁵ *Ibid.*

instructional days.”³⁰⁶ As a result, all students were administered the field test between March 25 and June 13 of 2014.³⁰⁷ Therefore, at least some school districts likely incurred costs between January 1, 2014 and June 30, 2014, for the activity to provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP field test on computers.

The Department of Finance argues that several statutes have appropriated funds to pay for CAASPP and that Government Code section 17556(e) applies to deny the test claim. In order for Government Code section 17556(e) to apply, the Commission is required to find, based on substantial evidence in the record,³⁰⁸ that

- A statute appropriates additional revenue that was specifically intended to fund the costs of the state mandate, and
 - The funds appropriated and apportioned to school districts are in an amount sufficient to fund the cost of the state mandate.
- a) Statutes enacted in 2013, including the 2013-2014 Budget Act, appropriated funds that are not specifically intended to fund the costs of the mandate, within the meaning of Government Code section 17556(e).

Finance asserts that the 2013-2014 Budget Act and Statutes 2013, chapter 48, appropriated funds to school districts for fiscal year 2013-2014, which Finance alleges are specifically intended and available to cover costs of this mandated program within the meaning of Government Code section 17556(e):

- Line Item 6110-113-0001, Statutes 2013, chapter 20 (AB 110) provides \$72,706,000 in local assistance, “for purposes of California’s pupil testing program...,” and states: “The funds appropriated in this item shall be for the pupil testing programs authorized by Chapter 3 (commencing with Section 48410) of Part 27 of Division 4 of Title 2 of the Education Code and Chapter 5 (commencing with Section 60600), Chapter 6 (commencing with Section 60800), Chapter 7 (commencing with Section 60810), and Chapter 9 (commencing with Section 60850) of Part 33 of Division 4 of Title 2 of the Education Code.” In addition, Provision 7 of Item 6110-113-0001 states: “Funds provided to local educational agencies from Schedules (2), (3), (4), and (5) shall first be used to offset any state-mandated reimbursable costs within the meaning of Section 17556 of the Government Code, that otherwise may be claimed through the state mandates reimbursement process for the STAR Program, the California English Language Development Test, and the California High School Exit Examination. Local educational agencies receiving funding from these schedules shall reduce

³⁰⁶ California Code of Regulations, title 5, section 855 (Register 2014, No. 6).

³⁰⁷ Exhibit N, Report and Recommendations for the Full Implementation of Smarter Balanced Summative Assessments, page 42.

³⁰⁸ Government Code section 17559(b); *Topanga Assoc. for a Scenic Community v. County of Los Angeles* (1974) 11 Cal.3d 506, 514-515.

their estimated and actual mandate reimbursement claims by the amount of funding provided to them from these schedules.”

- Line Item 6110-113-0890, Statutes 2013, chapter 20 (AB 110) provides \$25,111,000 in local assistance from “Department of Education – Title VI Flexibility and Accountability, payable from the Federal Trust Fund.” Provision 6 of this Item states: “Funds provided to local educational agencies from Schedules (2), (3), and (4) shall first be used to offset any state-mandated reimbursable costs, within the meaning of subdivision (e) of Section 17556 of the Government Code, that otherwise may be claimed through the state mandates reimbursement process for the STAR Program, the California English Language Development Test, the California High School Exit Examination, and the California Alternate Performance Assessment. Local educational agencies receiving funding from these schedules shall reduce their estimated and actual mandate reimbursement claims by the amount of funding provided to them from these schedules.
- Statutes 2013, chapter 48 (AB 86), section 85 provides for \$1.25 billion to “support the integration of academic content standards...” which may include, “expenditures necessary to support the administration of computer-based assessments and provide high-speed, high-bandwidth Internet connectivity for the purpose of administration of computer-based assessments.”

The Commission finds, however, that none of these revenues are specifically intended to cover the costs of the mandated activities for the CAASPP program within the meaning of Government Code section 17556(e).

Schedule (2) of Line Item 6110-113-0001 of the 2013-2014 Budget Act provides \$41,571,000 that is earmarked for the STAR assessments.³⁰⁹ And schedule (5) of Line Item 6110-113-0001 provides \$23,747,000 for “Assessment Apportionments.” Provision 7 of Item 6110-113-0001, on which Finance relies for its assertion that the Budget Act contains funds that are specifically intended to fund the mandate within the meaning of section 17556(e), states as follows:

Funds provided to local educational agencies from Schedules (2), (3), (4), and (5) shall first be used to offset any state-mandated reimbursable costs within the meaning of Section 17556 of the Government Code, that otherwise may be claimed through the state mandates reimbursement process for the STAR Program, the California English Language Development Test, and the California High School Exit Examination. Local educational agencies receiving funding from these schedules shall reduce their estimated and actual mandate reimbursement claims by the amount of funding provided to them from these schedules.³¹⁰

However, Provision 2 of Line Item 6110-113-0001 states that the funds appropriated in Schedule (2) “are provided for approved *contract costs* for the development and administration of...” the STAR assessments. And, Provision 10 of Line Item 6110-113-0001 states that the funds

³⁰⁹ Statutes 2013, chapter 489, Line Item 6110-113-0001.

³¹⁰ Statutes 2013, chapter 489, Line Item 6110-113-0001.

appropriated in Schedule (5) “shall be used to pay approved apportionment costs *from the 2012-2013 and prior fiscal years for the STAR Program,*” (the year before the period of reimbursement in this case), the California English Language Development Test, and the California High School Exit Examination.³¹¹

Schedule (2) of Line Item 6110-113-0890 of the 2013-2014 Budget Act provides \$9,379,000 from the Federal Trust Fund that are also earmarked for the STAR assessments.³¹² Provision 6 of Item 6110-113-0890 requires that the funds be first used to offset any state-mandated reimbursable costs several pupil assessment programs, including STAR, as follows:

Funds provided to local educational agencies from Schedules (2), (3), and (4) shall first be used to offset any state-mandated reimbursable costs, within the meaning of subdivision (e) of Section 17556 of the Government Code, that otherwise may be claimed through the state mandates reimbursement process for the STAR Program, the California English Language Development Test, the California High School Exit Examination, and the California Alternate Performance Assessment. Local educational agencies receiving funding from these schedules shall reduce their estimated and actual mandate reimbursement claims by the amount of funding provided to them from these schedules.

However, Provision 1 states that the funds appropriated in Schedule (2) are provided for approved *contract costs* for the development and administration of other tests. Provision 2 states that the funds appropriated in Schedule (3) shall be available for approved contract costs for the administration of the California English Language Development Test, and Provision 3 provides that the funds appropriated in Schedule (4) are for approved contract costs for the High School Exit Exam. None of the schedules in the 2013-2014 Budget Act, however, provide funding to school districts for the new state-mandated activities in the CAASPP program beginning January 1, 2014. Accordingly, these funds from the 2013-2014 Budget Act cannot constitute funds “specifically intended” for the CAASPP mandate within the meaning of Government Code section 17556(e), and do not apply to this program.

Similarly, although Statutes 2013, chapter 48 recognizes the pending improvements in internet connectivity that may be necessary to administer computer-based assessments, the \$1.25 billion in Common Core implementation funding is not *required* to fulfill those needs first. The statute implies the Legislature’s awareness of the impending expenses to be incurred to implement Common Core, and to transition to a system of standards-aligned computer-based assessments,³¹³ but the statute expressly states that a school district shall expend funds “for *any* of the following purposes...” including professional development for teachers and other staff;

³¹¹ Statutes 2013, chapter 489, Line Item 6110-113-0001 [emphasis added].

³¹² Statutes 2013, chapter 489, Line Item 6110-113-0890.

³¹³ E.g., Statutes 2013, chapter 489, section 85(d) [Providing that school districts shall expend the funds for any of the following: “Integration of these academic content standards through technology-based instruction for purposes of improving the academic performance of pupils, including, but not necessarily limited to, expenditures necessary to support the administration of computer-based assessments and provide high-speed, high-bandwidth Internet connectivity for the purpose of administration of computer-based assessments.”].

instructional materials aligned to the new standards; or integration of the standards “through technology-based instruction...including, but not necessarily limited to, *expenditures necessary to support the administration of computer-based assessments...*” That last provision makes clear that the \$1.25 billion is *available* for some of the costs involved in this test claim, but not required to be used solely for this program. Moreover, the same provision also states that “Funding apportioned pursuant to this section is specifically intended to fund, and shall first be used to offset, the costs of any new programs or higher levels of service associated with implementation of the academic content standards...pursuant to Sections 60605.8, 60605.85, 60605.10, 60605.11, and 60811.3...”³¹⁴ Therefore, the first priority for the funding provided is not the assessments themselves, but “implementation of the content standards...”³¹⁵

Based on the foregoing, the Commission finds that the funding identified in the 2013-2014 Budget Act (Line Items 6110-113-0001 and 6110-113-0890) and the \$1.25 billion appropriated for Common Core implementation by Statutes 2013, chapter 48 are not specifically intended to fund the costs of the state-mandated activities within the meaning of Government Code section 17556(e). However, funds for Common Core implementation (Statutes 2013, chapter 48) are potentially offsetting revenues that must be identified and deducted from the costs claimed, to the extent that a school district received these funds and applied them to “expenditures necessary to support the administration of computer-based assessments” required by the CAASPP program during the period of reimbursement.

- b) The 2014-2015 Budget Act (Statutes 2014, chapter 25) appropriated funds to school districts, in Line Item 6110-113-0001, schedule (8), which are specifically intended to fund costs for the 2013-2014 CAASPP mandate.

Finance has identified the following revenues appropriated in fiscal year 2014-2015 for the costs incurred to implement the CAASPP program, beginning in fiscal year 2013-2014, which Finance alleges are specifically intended and are sufficient to cover the costs of the mandate:

- Provision 7 of Line Item 6110-113-0001, Statutes 2014, chapter 25, provides \$126.8 million in local assistance for statewide pupil assessments. The Line Item states the following: “Funds provided to local agencies from Schedules (2), (3), (4), (5), (6), (7), and (8) *shall first be used to offset any state-mandated reimbursable costs...* that may otherwise be claimed through the state mandates reimbursement process for the remaining costs of the STAR 2013-14 test administration, the California English Language Development Test, the California High School Exit Examination, and the statewide pupil assessment system established *pursuant to Chapter 489 of the Statutes of 2013.*”
- Line Item 6110-113-0890, Statutes 2014, chapter 25, provides \$22.7 million in local assistance from the Federal Trust Fund for statewide pupil assessments. Provision 6 of this Line Item states the following: “Funds provided to local educational agencies from Schedules (2), (3), and (5) *shall first be used to offset any state-mandated reimbursable cost...* that otherwise may be claimed through the state mandates reimbursement process for the statewide pupil assessment system established *pursuant to Chapter 489 of the*

³¹⁴ Statutes 2013, chapter 48.

³¹⁵ Statutes 2013, chapter 48 (AB 86), section 85(d) [emphasis added].

Statutes of 2013, the California English Language Development Test, the California High School Exit Examination, and the California Alternate Performance Assessment.”

- Approximately \$400.5 million in one-time mandate debt reduction funds was added by Statutes 2014, chapter 32 and Line Item 6110-488 of the 2014 Budget Act (Statutes 2014, chapter 25) for outstanding mandate claims, which, Finance argues “after satisfying any outstanding mandate claims the funds could be used for any one-time purpose determined by a local educational agency’s (LEA’s) governing board, including technology infrastructure.”
- Additionally, the 2014 Budget Act included \$26.7 million to address broadband infrastructure needs: \$26,689,000 was appropriated in Provision 2 of Line Item 6110-182-0001 of the 2014 Budget Act “to support network connectivity infrastructure grants and completion of a statewide report of network connectivity infrastructure by the K-12 High-Speed Network...”³¹⁶

The claimants acknowledge that these revenue sources exist, but argue that they are either not specifically intended to fund the costs of the mandated activities, or “simply woefully inadequate...”³¹⁷ Specifically, the claimants argue that the \$400.5 million provided in Statutes 2014, chapter 32 is intended to be used to reimburse outstanding mandate debt, not to cover the costs of new mandates. In addition, the claimants argue that the “K-12 High Speed Network” funding does not constitute revenue specifically intended for mandate costs “because districts and county offices do not receive these funds directly; they only receive the benefit.”³¹⁸ With respect to the state and federal funds that expressly reference the test claim statutes, the claimants state:

Finally, claimants do not contest that the \$126.8 million from Provision 7 of Item 6110-113-0001 of the 2014 Budget Act constitutes “additional revenues” under Government Code section 17556(e). This uncontested \$126.8 million (or even \$149.5 million if combined with the [federal] funds) is simply woefully

³¹⁶ See Exhibit D, Finance’s Comments on Test Claim 14-TC-01, filed February 13, 2015, pages 6-7.

³¹⁷ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, pages 7-8.

³¹⁸ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, pages 7-8 [Finance has argued, in response to claimants’ rebuttal comments, that to the extent a district or county office of education receives a portion of the K-12 High Speed Network funding, which is a grant-based program, that school district would not incur actual increased costs mandated by the state to improve its internet connectivity. Finance further argues that the waiver received by CDE for NCLB does not render the federal funding inapplicable to the mandate; the waiver applies only to the federal accountability reporting requirements, and “was contingent on California local education agencies ensuring that, with the exception of students with the most significant cognitive disabilities, all students in grades 3 through 8 participated in the Smarter Balanced Assessment Consortium (SBAC) field test in English language arts/literacy and mathematics.” (Exhibit G, Finance’s Late Comments on 14-TC-01, filed April 27, 2015, pages 1-2.)].

inadequate to offset the significant financial need the test claimants have demonstrated in the claim.³¹⁹

The Commission finds that the outstanding mandate debt funding (\$400.5 million in 2014-2015) and the K-12 High Speed Network funding (\$26.7 million) do not directly or expressly refer to the test claim statutes and, thus, are not specifically intended to fund the cost of the CAASPP mandate within the meaning of Government Code section 17556(e). However, the plain language of these appropriations, at least facially, allows districts to use any remaining funds available to cover some costs of the mandated activities, and therefore some of these funds could be potentially offsetting if used by a claimant for the mandated program in fiscal year 2013-2014.

The Commission further finds, as explained below, that the funds appropriated in Line Item 6110-113-0001, schedule (8), totaling \$23,482,000, are specifically intended to fund the costs of several pupil testing programs, including CAASPP, for fiscal year 2013-2014. These funds, pursuant to Provision 10, “*shall be used to pay approved apportionment costs from the 2013-14 and prior fiscal years for the California English Language Development Test, the California High School Exit Examination, the Standard Testing and Reporting (STAR) Program, and the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013.*”

Line item 6110-113-0001 of the 2014-2015 Budget Act provides nearly \$127 million for “California’s pupil testing program,” as follows:³²⁰

6110-113-0001 For local assistance, Department of Education (Proposition 98), for purposes of California’s pupil testing program 126,850,000

Schedule:

(1) 20.70.030.005- Assessment Review and Reporting 1,494,000
(2) 20.70.030.006- STAR Program8,196,000
(3) 20.70.030.007- English Language Development Assessment6,667,000
(4) 20.70.030.008- High School Exit Examination5,894,000
(5) 20.70.030.012- Statewide Pupil Assessment System75,117,000
(6) 20.70.030.033- Next Generation Science Standards Assessment4,000,000
(7) 20.70.030.034- Primary Languages other than English Assessments
.....2,000,000
(8) 20.70.030.209- Assessment Apportionments23,482,000
(9) 20.70.030.015- California High School Proficiency Examination
..... 1,244,000
(10) Reimbursements-1,244,000

Provision 7 of Line Item 6110-113-0001 states: “Funds provided to local educational agencies from Schedules (2), (3), (4), (5), (6), (7), and (8) shall first be used to offset any state-mandated

³¹⁹ Exhibit F, Claimants’ Rebuttal on 14-TC-01, filed March 13, 2015, page 8.

³²⁰ Statutes 2014, chapter 25.

reimbursable costs...that otherwise may be claimed through the state mandates reimbursement process for the remaining costs of the STAR 2013–14 test administration, the California English Language Development Test, the California High School Exit Examination, and the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013.”³²¹

However, despite the plain language of Provision 7, provisions 2, 3, 4, and 5 of the 2014-2015 Budget Act direct the application of the funds in schedules (2) through (7) to activities performed by the state, or to other programs, and not to pay for the mandated activities performed by local school districts. Provision 2 of Line Item 6110-113-0001 of the 2014-2015 Budget Act states that funds in schedules (5), (6), and (7) are “provided for *contract costs* for the implementation of the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013, as approved by the State Board of Education, and are contingent upon Department of Finance review of the related contract...” Those “contract costs” include, for example, activities performed on behalf of CDE by Educational Testing Service (ETS):

ETS, through a contract with the CDE, provided administration assistance, help with resources development, and ongoing communication to LEAs about Field Test administration. ETS staff developed a test-delivery portal customized for California to protect student-level data from leaving the state; produced a customized test administration manual; organized the Field Test administration, including test content (i.e., content areas by school and grade level) and testing window assignments to LEAs; developed Webcasts to train LEAs in the uploading of student information in conjunction with CALPADS; produced videos about key procedures and concepts; provided an online forum in collaboration with the CDE to help problem solve LEA administration issues; and provided ongoing support to LEAs through the California Technical Assistance Center. ETS, on behalf of the CDE, conducted 30 in-person regional workshops for LEA CAASPP coordinators and technology coordinators and, in coordination with the CDE, Smarter Balanced, and other CDE contractors, presented a series of training modules for California LEAs to prepare for the spring 2014 Field Test. ETS developed and conducted a mid-test and a post-test survey as well as eight post-test focus groups of LEA coordinators, site coordinators, and test administrators to obtain feedback on training, support, technology, scheduling, accommodations, and Field Test format issues.³²²

In addition, a contract extension with ETS was approved in July 2014 to, among other things, “[c]ontinue work on science assessments including development of the test blueprints, and initiate the item development of the new CAASPP science assessments aligned to the Next Generation Science Standards (NGSS).”³²³ Schedule (6), above, provides \$4 million for the development of NGSS, which provision 2 states “are provided for contract costs for the implementation of the statewide pupil assessment system.” These are not activities performed by or required of school districts. Similarly, Provisions 3, 4, and 5 limit schedules (3) and (4) to

³²¹ Statutes 2014, chapter 25 [Line Item 6110-113-0001].

³²² Exhibit N, Report and Recommendations for Full Implementation of Smarter Balanced Assessments, page 31.

³²³ Exhibit N, July 2014 State Board of Education Hearing Item 5, page 1.

contract costs for the English Language Proficiency Assessments and the High School Exit Examination, respectively. And, schedule (2), by its plain language, is earmarked for remaining costs of the discontinued STAR program. Therefore, even though provision 7 states that funds “provided to” LEAs in schedules (2), (3), (4), (5), (6), (7), and (8) shall first be used to offset mandate reimbursement, the funds in schedules (2) through (7) are not meant to be provided to LEAs in the first instance, and are not specifically intended to fund the new state-mandated activities.

Similarly, Provision 6 of Line Item 6110-113-0890 provides, with regard to the \$22.7 million appropriation from the Federal Trust Fund, that “Funds provided to local educational agencies from Schedules (2), (3), and (5) *shall first be used to offset any state mandated reimbursable costs...that otherwise may be claimed through the state mandates reimbursement process for the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013, the California English Language Development Test, the California High School Exit Examination, and the California Alternate Performance Assessment.*”³²⁴ However, only schedule (5), which appropriated \$7.9 million, is earmarked for CAASPP. But Provision 1 of Line Item 6110-113-0890 states that “funds appropriated in Schedule (5) are provided for *contract costs* for the implementation of the statewide pupil assessment system...” Therefore, although provision 6 states that funds provided “from Schedules (2), (3), and (5) shall first be used to offset any state-mandated reimbursable costs...,” the money is required to be used for other pupil assessment programs and for CAASPP contract costs, and not for the activities mandated by the state in this case.

Accordingly, the only funds appropriated that are specifically intended to fund the new mandated CAASPP activities from January 1, 2014 through June 30, 2014, are those in Line Item 6110-113-0001, schedule (8), totaling \$23,482,000. These funds, pursuant to Provision 10, “shall be used to pay approved apportionment costs from the 2013-14 and prior fiscal years for the California English Language Development Test, the California High School Exit Examination, the Standard Testing and Reporting (STAR) Program, and the statewide pupil assessment system established pursuant to “*Chapter 489 of the Statutes of 2013,*” the test claim statute.

- c) Based on the evidence in the record, however, the funds appropriated by Statutes 2014, chapter 25, Line Item 6110-113-0001, schedule (8), and apportioned by SBE to school districts for the 2013-2014 CAASPP costs, are not sufficient as a matter of law to fund the costs of the mandate pursuant to Government Code section 17556(e).

Because the Commission’s decisions must be supported by substantial evidence to withstand review under Code of Civil Procedure section 1094.5,³²⁵ the burden is on the claimants to present sufficient evidence to support a finding that the funding provided by the state is not sufficient to fund the cost of the state-mandated program and that school districts have incurred increased costs mandated by the state.

³²⁴ Statutes 2014, chapter 25. (Emphasis added.)

³²⁵ Government Code section 17559; *Topanga Assoc. for a Scenic Community, supra*, 11 Cal.3d 506, 514-515.

The courts have described the substantial evidence standard as follows: “evidence that is reasonable, credible, and of solid value—such that a reasonable trier of fact could find the defendant guilty beyond a reasonable doubt.”³²⁶

“Substantial” is a term that “clearly implies that such evidence must be of ponderable legal significance. Obviously the word cannot be deemed synonymous with “any” evidence. It must be reasonable in nature, credible, and of solid value; it must actually be “substantial proof” of the essentials which the law requires in a particular case.”³²⁷

The Supreme Court has also stated that “the power of the appellate court begins and ends with a determination as to whether there is any substantial evidence, contradicted or uncontradicted, which will support the conclusion reached by the jury.”³²⁸ Thus, the standard upon which Commission findings are based is whether there is evidence “that is reasonable, credible, and of solid value...” which represent “substantial proof” of the essentials which the law requires...” and “which will support the conclusion reached...”³²⁹

As explained above, Education Code section 60640(1), as amended by Statutes 2014, chapter 32 (eff. June 20, 2014) requires the Superintendent of Public Instruction to apportion funds appropriated for CAASPP to school districts to meet the requirements of this program, and provides that the SBE shall establish the amount of funding to be apportioned to school districts.³³⁰ Section 862.5 of the title 5 regulations implementing the CAASPP program states that the apportionment made to each LEA for the administration of the tests includes:

- (1) All staffing costs, including the LEA CAASPP coordinator and the CAASPP test site coordinators, staff training and other staff expenses related to testing.
- (2) All expenses incurred at the LEA and school/test site(s) related to testing.
- (3) All transportation costs of delivering and retrieving tests and test materials within the LEA and to NPSs.
- (4) All costs associated with transmitting the pupil report(s) to parents/guardians.
- (5) All costs associated with activities intended to provide the complete and accurate data required in section 861.³³¹

The new mandated activities required to be performed beginning in the 2013-2014 fiscal year include providing technology for administering the CAASPP tests; specific activities performed by the LEA CAASPP coordinator to ensure current and ongoing compliance with minimum

³²⁶ *People v. Olmsted* (2000) 84 Cal.App.4th 270, 277.

³²⁷ *Ibid.* [citing *People v. Bassett* (1968) 69 Cal.2d 122, 138-139 (quoting *Estate of Teed* (1952) 112 Cal.App.2d 638, 644).]

³²⁸ *People v. Bassett* (1968) 69 Cal.2d 122, 138.

³²⁹ *People v. Olmsted* (2000) 84 Cal.App.4th 270, 277; *People v. Bassett* (1968) 69 Cal.2d 122, 138.

³³⁰ Education Code section 60640(1) (Stats. 2014, ch. 32).

³³¹ California Code of Regulations, title 5, section 862.5 (Register 2014, No. 6).

technology specifications identified by the CAASPP contractor; notifying parents or guardians of the pupil's participation in the CAASPP assessment; scoring and transmitting CAASPP tests; and identifying pupils unable to access the computer-based version of the CAASPP tests and report that number to the contractor. Based on the plain language of section 862.5, above, the apportionment provided is intended to fund these new state-mandated activities. Therefore, to the extent claimants have declared, and through documentation supported, costs incurred from January 1, 2014 through June 30, 2014, that exceed the funding that they have received from the state apportionments and other funds, the claimants have met their burden to show increased costs mandated by the state for that time period.

In an order adopted in January 2015, SBE explains that “assessment apportionments are not distributed until the following fiscal year when all testing for the previous year has been completed (i.e., LEAs will be reimbursed in 2015-16 for testing that occurs in 2014-15.)³³² This is consistent with Provision 10 of Line Item 6110-113-0001 of the 2014-2015 Budget Act. The order further states that “[i]n 2014, approximately \$12.4 million was appropriated in the 2014 Budget Act for the 2013-14 CAASPP apportionments.”³³³ SBE adopted the following per-pupil apportionment rates:

- \$3.00 per student administered any portion of the Smarter Balanced computer-based summative assessment
- \$2.52 per student for the completion of demographic information and administration of any portion of the California Standards Test (CSTs) or California Modified Assessment (CMA) in science
- \$5.00 per student for the completion of any portion of the new computer-based alternate assessment field test
- \$5.00 per student for the completion of demographic information and administration of any portion of the California Alternate Performance Assessment (CAPA) in science
- \$0.38 for the completion of demographic information for each student not tested with any portion of the required CAASPP assessments
- \$2.52 per eligible English learner student administered, at the option of the LEA, the Standards-based Tests in Spanish (STS) for reading/language arts.³³⁴

The claimants state that, based on these per-pupil apportionment amounts, they received funds appropriated in the 2014-2015 Budget Act for the 2013-2014 CAASPP costs, but each claimant has also introduced evidence that its technology costs alone far exceed the amount apportioned for 2013-2014. Plumas USD states that it received \$4,044.76 in 2014-2015, based on the

³³² Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 11

³³³ *Ibid.*

³³⁴ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 8-9.

number of test-takers in 2013-2014.³³⁵ Plumas COE states that it received \$79.22 in 2014-2015.³³⁶ However, Plumas USD also introduced evidence, including supporting documentation in the form of invoices and purchase orders made during 2013-2014, totaling more than \$255,697.70 for both the district and the county office of education.³³⁷ Similarly, Porterville USD states that it received \$26,337.66 during fiscal year 2014-2015 for the 2013-2014 CAASPP administration.³³⁸ However, Porterville USD introduced evidence and supporting documentation of technology costs during 2013-2014 totaling over \$1 million.³³⁹ And Santa Ana USD states that it received \$73,923.00,³⁴⁰ but introduced evidence and documentation showing that its technology costs for 2013-2014 exceeded \$3 million.³⁴¹ There is no evidence in the record rebutting the declarations and evidence provided by the claimants showing increased costs beyond the funds apportioned for CAASPP.

Accordingly, the Commission finds that the funding identified in the 2014-2015 Budget Act (Provision 8 of Line Item 6110-113-0001) as apportioned by SBE for 2013-2014 costs, is not sufficient as a matter of law to fund the costs of the mandate within the meaning of Government Code section 17556(e). Thus, there are costs mandated by the state pursuant to article XIII B, section 6 and Government Code section 17514 to comply with the new mandated activities from January 1, 2014 to June 30, 2014. Any amounts received from the appropriation in Line Item 6110-113-0001, schedule (8), and apportioned by SBE for CAASPP are offsetting revenues that must be identified and deducted from the costs claimed. In addition, the following funds are considered potentially offsetting revenues that must be identified and deducted from a claim for reimbursement *to the extent* a school district receives the funding and uses the funding to pay for the new activities mandated by the CAASPP program:

³³⁵ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 12 [Declaration of Micheline Miglis, former superintendent of Plumas County Office of Education, dated December 4, 2015].

³³⁶ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 24 [Declaration of Micheline Miglis, former superintendent of Plumas County Office of Education, dated December 4, 2015].

³³⁷ Exhibit B, Test Claim 14-TC-04, pages 52 [Declaration of Edward Thompson, Director of Student Performance, Assessment, and Instructional Services for Plumas Unified School District and Plumas County Office of Education, dated August 6, 2015]; 93-101 [Supporting documentation included at pages 102-106 is dated during fiscal year 2014-2015, and therefore is not included in the total stated above.].

³³⁸ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 32 [Declaration of Nate Nelson, Assistant Superintendent of Human Resources, Porterville Unified School District, dated December 4, 2015].

³³⁹ Exhibit B, Test Claim 14-TC-04, pages 109-169.

³⁴⁰ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 111 [Declaration of Michelle Rodriguez, Assistant Superintendent, Teaching and Learning, Santa Ana Unified School District, dated December 4, 2015].

³⁴¹ Exhibit B, Test Claim 14-TC-04, pages 170-204.

- Statutes 2013, chapter 48, Common Core implementation funding.
 - Statutes 2014, chapter 32 and Line Item 6110-488 of the 2014 Budget Act, appropriated for outstanding mandate claims.
 - Statutes 2014, chapter 25, Line Item 6110-182-0001, Provision 2, appropriated “to support network connectivity infrastructure grants and completion of a statewide report of network connectivity infrastructure by the K-12 High-Speed Network.”
- 2. Some of the funding apportioned to school districts for 2014-2015 CAASPP costs is specifically intended to fund the costs of the new mandated activities, but the funding is not sufficient as a matter of law to cover the costs of the mandate pursuant to Government Code section 17556(e).**

As noted above, Government Code section 17556(e) provides that the Commission shall not find costs mandated by the state if it determines that the test claim statute or an appropriation in a Budget Act or other bill includes additional revenue that was specifically intended to fund the costs of the state mandate in an amount sufficient to fund the cost of the state mandate. For 2014-2015 CAASPP activities, the Commission finds that there are both potential and required offsetting revenues, but the funding is not sufficient as a matter of law to fund the costs of the mandate.

- a) The 2014-2015 Budget Act does not contain state appropriations that are specifically intended to fund the costs of the mandate for the 2014-2015 fiscal year within the meaning of Government Code section 17556(e).

As explained above, the SBE’s apportionment order, dated January 2015, states that funds for CAASPP administration are appropriated by the Legislature in the budget year following the testing, and are appropriated to schools based on the number of pupils meeting the various elements of the apportionment. For 2013-2014 and 2014-2015, the order apportions \$3.00 per student administered any portion of the Smarter Balanced computer-based assessments; \$2.52 for pupils who are administered any portion of the CSTs or CMAs in science; \$5.00 per pupil who completes any portion of the computer-based alternate assessment field test; \$5.00 per pupil administered any portion of the CAPA in science; \$0.38 for the completion of demographic information for any pupil not tested; and \$2.52 per English learner pupils administered the STS.³⁴²

Furthermore, Provision 10 of Line Item 6110-113-0001 states that the funds appropriated in Schedule (8), which are, as discussed above, the only funds clearly available for apportionment to school districts for CAASPP (as well as the California English Language Development Test and the High School Exit Examination), “shall be used to pay approved apportionment costs from the 2013-2014 and prior fiscal years.”³⁴³

Based on the foregoing, the Commission finds that the 2014-2015 Budget Act does not provide funds specifically intended to fund the costs of CAASPP for the 2014-2015 fiscal year.

³⁴² Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 8-9.

³⁴³ Statutes 2014, chapter 25.

- b) The 2015-2016 Budget Act (Statutes 2015, chapter 10) contains an appropriation, in Line Item 6100-113-0001, schedule (7), which is specifically intended to fund the costs of the mandate for fiscal year 2014-2015.

In the 2015-2016 Budget Act, Line Items 6100-113-0001 and 6100-113-0890 provide about the same as the prior year, with respect to the state (\$126,463,000) and federal (\$20,439,000) funds for statewide testing of pupils.³⁴⁴ In Line Item 6100-113-0001, only the \$23,723,000 earmarked in schedule (7) for “Assessment Apportionments” is required to be applied to several pupil assessment programs, including the test administration for CAASPP. Provision 10 states that Schedule (7) “shall be used to pay approved apportionment costs from the *current and prior* test administrations for the California English Language Development Test, the California High School Exit Examination, the Standardized Testing and Reporting (STAR) Program, *the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013*, and the grade two diagnostic assessments pursuant to Section 60644 of the Education Code.” Furthermore, Provision 7 states:

*Funds provided to local educational agencies from Schedules (2), (3), (4), and (7) shall first be used to offset any state-mandated reimbursable costs within the meaning of Section 17556 of the Government Code, that otherwise may be claimed through the state mandates reimbursement process for the California English Language Development Test, the California High School Exit Examination, and the statewide pupil assessment system established pursuant to Chapter 489 of the Statutes of 2013.*³⁴⁵

However, schedules (2), (3), and (4), according to Provisions 2-4, are provided for *contract costs* for all of the pupil assessment programs, and are not intended to fund the mandated activities performed by local school districts under the CAASPP program.³⁴⁶

Line Item 6100-113-0890 of the 2015-2016 Budget Act appropriates funds from the Federal Trust Fund, but none of these funds are specifically intended to fund the costs of the state-mandated activities for CAASPP. Provision 5 states that the funds appropriated in schedule (1) are for providing LEAs information regarding federal requirements associated with assessments. Provisions 2 through 4 state that the funds appropriated in schedules (2) through (4) are for contract costs for other pupil assessment programs (the California English Language Development Test and the High School Exit Exam), and for instruction in the standards covered in the High School Exit Exam. And, pursuant to Provision 1, the funds appropriated in schedule (5) are provided for *contract costs* for the implementation of CAASPP, and not for the mandated activities performed by local school districts.

Therefore, schedule (7) of Line Item 6100-113-0001 of the 2015-2016 Budget Act is the only provision that clearly provides some funding specifically intended to fund the administration of the CAASPP program beginning July 1, 2014.

³⁴⁴ Statutes 2015, chapter 10.

³⁴⁵ Statutes 2015, chapter 10, [emphasis added].

³⁴⁶ Statutes 2015, chapter 10.

- c) Based on evidence in the record, the appropriation in Statutes 2015, chapter 10, Line Item 6100-113-0001, schedule (7), which will be apportioned by SBE to school districts for the 2014-2015 costs, is not sufficient as a matter of law to fund the costs of the mandate pursuant to Government Code Section 17556(e).

As stated above, a finding that there are funds specifically intended to fund the costs of a mandated program shifts the burden to the claimants to establish that the funds appropriated are not sufficient as a matter of law to fully fund the costs of the mandate.

The SBE's published apportionment order, dated January 2015, states that the estimated apportionment for 2014-2015 testing *will be* approximately \$12.3 million, and that "[t]he recommended apportionment rates for the Smarter Balanced, CSTs, CMA, CAPA, and STS are the *same apportionment rates* as approved by the SBE for the 2013-2014 CAASPP test administration."³⁴⁷ For 2013-2014 and 2014-2015, the order apportions \$3.00 per student administered any portion of the Smarter Balanced computer-based assessments; \$2.52 for pupils who are administered any portion of the CSTs or CMAs in science; \$5.00 per pupil who completes any portion of the computer-based alternate assessment field test; \$5.00 per pupil administered any portion of the CAPA in science; \$0.38 for the completion of demographic information for any pupil not tested; and \$2.52 per English learner pupils administered the STS.³⁴⁸ As discussed above, the claimants declared an amount of funding received from SBE for 2013-2014 CAASPP costs, and stated that based on the number of pupils taking the 2015 assessments, they expected to receive a similar amount (in the 2015-2016 Budget Act) for 2014-2015 costs.³⁴⁹

All claimants, however, contend that the funding appropriated for fiscal year 2014-2015 is not sufficient to fund the mandated activities within the meaning of Government Code section 17556(e). In response to the draft proposed decision on the consolidated test claim, the four claimants on 14-TC-04 each provided supporting documentation and declarations stating their own expected per-pupil funding for 2014-2015 based on SBE's apportionment order of \$3.00 per pupil administered any part of the Smarter Balanced computer-based test; as well as funding applied from other nonlocal sources (Common Core State Standards implementation funding and Title 1 funds), and the projected shortfall when compared to alleged CAASPP-related costs for 2014-2015.³⁵⁰ As described below, the declarations and supporting documentation submitted by the claimants, and the SBE's apportionment letter which the Commission takes official notice of,³⁵¹ provide substantial evidence that at least three of the claimants have experienced increased

³⁴⁷ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 9; 11.

³⁴⁸ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 8-9.

³⁴⁹ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 11; 12; 24; 32; 111.

³⁵⁰ Exhibit M, Claimants' Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 12; 24; 32; 111.

³⁵¹ Under the Commission's regulations, the Commission has the authority to take official notice of any fact which may be judicially noticed by the courts. (Cal. Code of Regs., tit. 2, § 1187.5(c);

costs mandated by the state within the meaning of article XIII B, section 6 and Government Code section 17514, just for the mandated technology costs, above and beyond available grant funding and the funding expected to be apportioned by the state for 2014-2015.

Specifically, Plumas USD states that its total “CAASPP 2014-2015 costs” were \$854,731, of which it paid \$388,461 from Common Core State Standards implementation funding; \$64,128.64 from Title I federal funds; and \$402,141.36 from general funds. In addition, Plumas states that “costs paid with unrestricted general funds included electronic devices in the amount of \$73,433.49; Bandwidth improvements for \$30,471.00; Personnel costs for \$141,032.00; and Training for \$157,500.00.” To fund these activities, Plumas USD states that it received, based on the number of pupils taking the CAASPP test in 2013-2014, \$4,044.76; and that based on SBE’s apportionment order, it expects to receive “a similar reimbursement amount for its 2014-2015 CAASPP administration.”³⁵² Plumas USD attached “samples of the purchase orders for CAASPP 2014-2015 expenditures...” which total \$71,207.13.³⁵³

Similarly, Plumas COE states that it incurred \$105,373 in CAASPP costs for 2014-2015, “that included costs for electronic devices of \$2,556.00; Personnel Costs of \$100,717.00; and Training costs of \$2100.00.” Plumas COE states that it paid all of these costs from unrestricted general funds, and that it received \$79.22 apportioned by the state for the prior administration of CAASPP, and expects to receive a similar amount for 2014-2015. Plumas COE attached purchase orders for the electronic devices “paid by unrestricted general funds totaling \$2,556.47.”³⁵⁴

Porterville USD stated in its declaration that total 2014-2015 CAASP costs amounted to \$3,458,349.64, which was paid from “Common Core Funding in the amount of \$1,418,968.88, Title I in the amount of \$808,947.20 and \$1,455,801.39 unrestricted general funds...”

Porterville USD does not identify exactly what activities are included in its total alleged costs, nor what activities were paid for with unrestricted general funds and with “Common Core Funding,” for example. However, Porterville USD does state that it received \$26,337.66 for 2013-2014 testing, and expects to receive a similar amount for 2014-2015, and the district attaches purchase orders for technology acquisitions that far exceed that amount.³⁵⁵

Santa Ana USD stated in its declaration that 2014-2015 CAASPP costs totaled \$7,479,203.23, of which \$6,735,240.08 was paid for with Common Core Funding, and \$743,963.15 was paid with

see also, Gov. Code, § 11511.) Pursuant to Evidence Code section 452(c), the court may take judicial notice of the official records and files of the executive branch of state government. (*Chas L. Harney, Inc. v. State* (1963) 217 Cal.App.2d 77, 86.)

³⁵² Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 12.

³⁵³ Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 12.

³⁵⁴ Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 24-31.

³⁵⁵ Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, pages 32-110.

unrestricted general funds. Santa Ana USD states that “District’s CAASPP 2014-2015 costs paid with unrestricted general funds included Personnel costs for \$605,710.40 and Training for \$64,329.75. Santa Ana USD also states that it received a \$73,923.00 apportionment for 2013-2014 CAASPP test administration, and expects to receive a similar amount for 2014-2015.”³⁵⁶ Santa Ana USD did not elaborate on what “Personnel costs” are included in the claimed total, nor attach purchase orders or other supporting documentation showing that these costs are within the scope of the new mandated activities.

Based on the foregoing, the Commission finds that there are increased costs mandated by the state for the new mandated activities within the meaning of Government Code section 17514 beginning July 1, 2014, and that Government Code section 17556(e) does not apply to deny this claim. Any amounts received from the appropriation in schedule (7) of Line Item 6100-113-0001 of the 2015-2016 Budget Act apportioned by SBE for the cost of the CAASPP activities in fiscal year 2014-2015, must be identified and deducted from the costs claimed.

V. Conclusion

Based on the foregoing analysis, the Commission partially approves this test claim and finds that the test claim statutes and regulations impose a reimbursable state-mandated program within the meaning of article XIII B, section 6 of the California Constitution for the following activities only:

- Beginning January 1, 2014, provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.³⁵⁷
- Beginning February 3, 2014, the LEA CAASPP coordinator shall be responsible for assessment technology, and shall ensure current and ongoing compliance with minimum technology specifications as identified by the CAASPP contractor(s) or consortium.³⁵⁸
- Beginning February 3, 2014, notify parents or guardians each year of their pupil’s participation in the CAASPP assessment system, including notification that notwithstanding any other provision of law, a parent’s or guardian’s written request to excuse his or her child from any or all parts of the CAASPP assessments shall be granted.³⁵⁹
- Beginning February 3, 2014, score and transmit the CAASPP tests in accordance with manuals or other instructions provided by the contractor or CDE.³⁶⁰

³⁵⁶ Exhibit M, Claimants’ Comments on Draft Proposed Decision on 14-TC-01 and 14-TC-04, page 111.

³⁵⁷ Education Code section 60640 (Stats. 2013, ch. 489), interpreted in light of California Code of Regulations, title 5, sections 850, 853, 853.5, and 857 (Register 2014, Nos. 6, 30, 35).

³⁵⁸ California Code of Regulations, title 5, section 857(d) (Register 2014, No. 6).

³⁵⁹ California Code of Regulations, title 5, section 852 (Register 2014, No. 6).

³⁶⁰ California Code of Regulations, title 5, section 853 (Register 2014, No. 6).

- Beginning February 3, 2014, identify pupils unable to access the computer-based version of the CAASPP tests; and report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test.³⁶¹
- Beginning February 3, 2014, report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.³⁶²
- Beginning February 3, 2014, comply with any and all requests from CAASPP contractors, and abide by any and all instructions provided by the CAASPP contractor or consortium, whether written or oral, that are provided for training or provided for in the administration of a CAASPP test.³⁶³
- Beginning August 27, 2014, the CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individualized aids are entered into the registration system.³⁶⁴

The following sources of nonlocal funds will be identified in the parameters and guidelines as offsetting revenues:

- Funding apportioned by SBE from Statutes 2014, chapter 25, Line Item 6110-113-0001, schedule (8), for fiscal year 2013-2014 CAASPP costs.
- Funding apportioned by SBE from Statutes 2015, chapter 10, Line Item 6100-113-0001, schedule (7) for fiscal year 2014-2015 CAASPP costs.
- Statutes 2013, chapter 48 (Common Core implementation funding), *if* used by a school district on the reimbursable CAASPP activities.
- Statutes 2014, chapter 25 (Line Item 6110-488) and chapter 32 (appropriation for outstanding mandate claims) *if* used by a school district on the reimbursable CAASPP activities.
- Statutes 2014, chapter 25, Line Item 6110-182-0001, Provision 2 (appropriation “to support network connectivity infrastructure grants) *if* used by a school district on the reimbursable CAASPP activities.
- Any federal funds received and applied to the reimbursable CAASPP activities.

All other statutes, regulations, and claims for reimbursement are denied.

³⁶¹ California Code of Regulations, title 5, section 857(a) (Register 2014, No. 6).

³⁶² California Code of Regulations, title 5, section 861(b)(5) (Register 2014, No. 6).

³⁶³ California Code of Regulations, title 5, section 864 (Register 2014, No. 6).

³⁶⁴ California Code of Regulations, title 5, section 858(d) (Register 2014, No. 35).

COMMISSION ON STATE MANDATES

980 NINTH STREET, SUITE 300
SACRAMENTO, CA 95814
PHONE: (916) 323-3562
FAX: (916) 445-0278
E-mail: csminfo@csm.ca.gov

**RE: Corrected Decision**

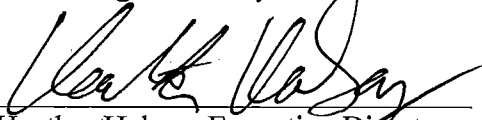
*California Assessment of Student Performance and Progress (CAASPP),
14-TC-01 and 14-TC-04*

Education Code Sections 60602 et al.

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

On January 22, 2016, the foregoing decision of the Commission on State Mandates was adopted on the above-entitled matter. Corrections were made on February 4, 2016. The corrected decision was prepared pursuant to California Code of Regulations, title 2, section 1187.11(b). The corrections made to the decision are as follows:

This decision has been corrected to reflect an activity approved on page 64 of the decision, but inadvertently omitted from the findings in the conclusion: "Beginning August 27, 2014, the CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individualized aids are entered into the registration system."¹


Heather Halsey, Executive Director

Dated: February 4, 2016

¹ California Code of Regulations, title 5, section 858(d) (Register 2014, No. 35).

DECLARATION OF SERVICE BY EMAIL

I, the undersigned, declare as follows:

I am a resident of the County of Sacramento and I am over the age of 18 years, and not a party to the within action. My place of employment is 980 Ninth Street, Suite 300, Sacramento, California 95814.

On February 4, 2016, I served the:

Corrected Test Claim Decision

California Assessment of Student Performance and Progress (CAASPP), 14-TC-01
Education Code Sections 60602 et al.

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

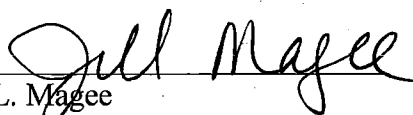
AND

California Assessment of Student Performance and Progress (CAASPP), 14-TC-04
California Code of Regulations, Title 5, Sections 850-864; Register 2014, No. 6

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, and Santa Ana Unified School District, Claimants

by making it available on the Commission's website and providing notice of how to locate it to the email addresses provided on the attached mailing list.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on February 4, 2016 at Sacramento, California.



Jill L. Magee
Commission on State Mandates
980 Ninth Street, Suite 300
Sacramento, CA 95814
(916) 323-3562

COMMISSION ON STATE MANDATES

Mailing List

Last Updated: 1/27/16

Claim Number: 14-TC-01 and 14-TC-04

Matter: California Assessment of Student Performance and Progress (CAASPP)

Claimants: Plumas County Office of Education
Plumas Unified School District
Porterville Unified School District
Santa Ana Unified School District
Vallejo City Unified School District

TO ALL PARTIES, INTERESTED PARTIES, AND INTERESTED PERSONS:

Each commission mailing list is continuously updated as requests are received to include or remove any party or person on the mailing list. A current mailing list is provided with commission correspondence, and a copy of the current mailing list is available upon request at any time. Except as provided otherwise by commission rule, when a party or interested party files any written material with the commission concerning a claim, it shall simultaneously serve a copy of the written material on the parties and interested parties to the claim identified on the mailing list provided by the commission. (Cal. Code Regs., tit. 2, § 1181.3.)

Amber Alexander, *Department of Finance*

915 L Street, Sacramento, Ca

Phone: (916) 445-0328

Amber.Alexander@dof.ca.gov

Socorro Aquino, *State Controller's Office*

Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-7522

SAquino@sco.ca.gov

Harmeet Barkschat, *Mandate Resource Services, LLC*

5325 Elkhorn Blvd. #307, Sacramento, CA 95842

Phone: (916) 727-1350

harmeet@calsdrc.com

Lacey Baysinger, *State Controller's Office*

Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-0254

lbaysinger@sco.ca.gov

Andrea Bennett, Executive Director, *California Educational Technology Professionals As*

915 L Street, Sacramento, CA 95814

Phone: (916) 402-2471

andrea.bennett@cetpa.net

Keith Bray, General Counsel, CSBA Director, ELA, *California School Boards Association*
3251 Beacon Boulevard, West Sacramento, CA 95691
Phone: (916) 669-3270
kbray@csba.org

Mike Brown, *School Innovations & Advocacy*
5200 Golden Foothill Parkway, El Dorado Hills, CA 95762
Phone: (916) 669-5116
mikeb@sia-us.com

Laurie Bruton, Superintendent, *San Lorenzo Valley Unified School District*
325 Marion Ave, Ben Lomond, CA 95005
Phone: (831) 336-5194
lbruton@slvusd.org

J. Bradley Burgess, *MGT of America*
895 La Sierra Drive, Sacramento, CA 95864
Phone: (916) 595-2646
Bburgess@mgtamer.com

Gwendolyn Carlos, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-0706
gcarlos@sco.ca.gov

Carolyn Chu, Senior Fiscal and Policy Analyst, *Legal Analyst's Office*
925 L Street, Sacramento, CA 95814
Phone: (916) 319-8326
Carolyn.Chu@lao.ca.gov

David Cichella, *California School Management Group*
3130-C Inland Empire Blvd., Ontario, CA 91764
Phone: (209) 834-0556
dcichella@csmcentral.com

Marieta Delfin, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 322-4320
mdelfin@sco.ca.gov

Andra Donovan, *San Diego Unified School District*
Legal Services Office, 4100 Normal Street, Room 2148, , San Diego, CA 92103
Phone: (619) 725-5630
adonovan@sandi.net

Donna Ferebee, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
donna.ferebee@dof.ca.gov

Chris Ferguson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-3274
Chris.Ferguson@dof.ca.gov

Susan Geanacou, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
susan.geanacou@dof.ca.gov

Paul Golaszewski, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8341
Paul.Golaszewski@lao.ca.gov

Robert Groeber, *Assistan Superintendent, Visalia Unified School District*
5000 West Cypress Ave P.O. Box, Visalia, CA 93278-5004
Phone: (559) 730-7529
rgroeber@visalia.k12.ca.us

Wendy Gudalewicz, *Superintendent, Cupertino Union School District*
10301 Vista Drive, Cupertino, CA 95014-2091
Phone: (408) 252-3000
gudalewicz_wendy@cusdk8.org

Rebecca Hamilton, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Rebecca.Hamilton@dof.ca.gov

Ed Hanson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
ed.hanson@dof.ca.gov

Jeff Harris, *County and District Superintendent, Del Norte County Unified School District*
301 W. Washington Blvd, Crescent City, CA 95531
Phone: (707) 464-0200
jharris@delnorte.k12.ca.us

Mark Ibele, *Senate Budget & Fiscal Review Committee*
California State Senate, State Capitol Room 5019, Sacramento, CA 95814
Phone: (916) 651-4103
Mark.Ibele@sen.ca.gov

Ian Johnson, *Principal Program Budget Analyst, Department of Finance*
Education Systems Unit, 915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Ian.Johnson@dof.ca.gov

Matt Jones, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 323-3562
matt.jones@csm.ca.gov

Jill Kanemasu, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-9891
jkanemasu@sco.ca.gov

Dan Kaplan, Fiscal & Policy Analyst, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8353
Dan.Kaplan@lao.ca.gov

Anne Kato, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-5919
akato@sco.ca.gov

Sarah Koligian, Superintendent, *Tulare Joint Union High School District*
426 North Blackstone, Tulare, CA 93274-4449
Phone: (559) 688-2021
sarah.koligian@tulare.k12.ca.us

Jennifer Kuhn, Deputy, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8332
Jennifer.kuhn@lao.ca.gov

Jay Lal, *State Controller's Office (B-08)*
Division of Accounting & Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0256
JLal@sco.ca.gov

George Landon, Deputy Superintendent, Admin. Fiscal Support, *Lake Elsinore Unified School District*
545 Chaney Street, Lake Elsinore, CA 92530
Phone: (951) 253-7095
George.Landon@leusd.k12.ca.us

Nancy Lentz, Administrative Assistant to the Superintendent, *Santa Cruz City Schools District*
405 Old San Jose Road, Soquel, CA 95073
Phone: (831) 429-3410
nlentz@sccs.net

Michelle Mendoza, *MAXIMUS*
17310 Red Hill Avenue, Suite 340, Irvine, CA 95403
Phone: (949) 440-0845
michellemendoza@maximus.com

Yazmin Meza, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Yazmin.meza@dof.ca.gov

Richard L. Miller, Superintendent, *Santa Ana Unified School District*
1601 East Chestnut Avenue, Santa Ana, CA 92701
Phone: (714) 558-5512
rick.miller@sausd.us

Meredith Miller, Director of SB90 Services, *MAXIMUS*
3130 Kilgore Road, Suite 400, Rancho Cordova, CA 95670
Phone: (972) 490-9990
meredithcmiller@maximus.com

Michael Milliken, Superintendent, *Belmont-Redwood Shores School District*
2960 Hallmark Drive, Belmont, CA 94802-2999
Phone: (650) 637-4800
mmilliken@brssd.org

Robert Miyashiro, *Education Mandated Cost Network*
1121 L Street, Suite 1060, Sacramento, CA 95814
Phone: (916) 446-7517
robertm@sscal.com

Keith Nezaam, *Department of Finance*
915 L Street, 8th Floor, Sacramento, CA 95814
Phone: (916) 445-8913
Keith.Nezaam@dof.ca.gov

Andy Nichols, *Nichols Consulting*
1857 44th Street, Sacramento, CA 95819
Phone: (916) 455-3939
andy@nichols-consulting.com

Terry Oestreich, Interim Superintendent, *Plumas County Office of Education/Plumas Unified S*
1446 East Main Street, Quincy, CA 95971
Phone: (530) 283-6500
toestreich@pcoe.k12.ca.us

Christian Osmena, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
christian.osmena@dof.ca.gov

Arthur Palkowitz, *Artiano Shinoff & Holtz, APC*
Claimant Representative
2488 Historic Decatur Road, Suite 200, San Diego, CA 92106
Phone: (619) 232-3122
apalkowitz@sashlaw.com

Keith Petersen, *SixTen & Associates*
P.O. Box 340430, Sacramento, CA 95834-0430
Phone: (916) 419-7093
kbsixten@aol.com

Mollie Quasebarth, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
mollie.quasebarth@dof.ca.gov

Mark Rewolinski, *MAXIMUS*
625 Coolidge Drive, Suite 100, Folsom, CA 95630

Phone: (949) 440-0845
markrewolinski@maximus.com

Sandra Reynolds, *Reynolds Consulting Group, Inc.*
P.O. Box 894059, Temecula, CA 92589
Phone: (951) 303-3034
sandrareynolds_30@msn.com

Carla Shelton, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 327-6490
carla.shelton@csm.ca.gov

Steve Shields, *Shields Consulting Group, Inc.*
1536 36th Street, Sacramento, CA 95816
Phone: (916) 454-7310
steve@shieldscg.com

Socorro Shiels, Superintendent, *Santa Rosa City Schools*
211 Ridgway Ave, Santa Rosa, CA 95401
Phone: (707) 528-5181
sshiels@srcs.k12.ca.us

John Snavely, Superintendent, *Porterville Unified School District*
600 West Grand Avenue, Porterville, CA 93257
Phone: (559) 792-2455
jsnavely@portervilleschools.org

Jim Spano, Chief, Mandated Cost Audits Bureau, *State Controller's Office*
Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-5849
jspano@sco.ca.gov

Dennis Speciale, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0254
DSpeciale@sco.ca.gov

Meg Svoboda, *Senate Office of Research*
1020 N Street, Suite 200, Sacramento, CA
Phone: (916) 651-1500
meg.svoboda@sen.ca.gov

Amy Tang-Paterno, Educational Fiscal Services Consultant, *California Department of Education*
Government Affairs, 1430 N Street, Suite 5602, Sacramento, CA 95814
Phone: (916) 322-6630
ATangPaterno@cde.ca.gov

Thomas Todd, Assistant Program Budget Manager, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Thomas.Todd@dof.ca.gov

Jolene Tollenaar, *MGT of America*

2251 Harvard Street, Suite 134, Sacramento, CA 95815

Phone: (916) 443-4111

jolene_tollenaar@mgtamer.com

Marichi Valle, *San Jose Unified School District*

855 Lenzen Avenue, San Jose, CA 95126

Phone: (408) 535-6141

mvalle@sjusd.org

Ronald D. Wenkart, General Counsel, *Orange County Department of Education*

200 Kalmus Drive P.O. Box, Costa Mesa, CA 92628-9050

Phone: (714) 966-4220

rwenkart@ocde.us

Judy D. White, Superintendent, *Moreno Valley Unified School District*

25634 Alessandro Blvd, Moreno Valley, CA 92553

Phone: (915) 571-7500

jdwhite@mvusd.net

COMMISSION ON STATE MANDATES

980 NINTH STREET, SUITE 300
SACRAMENTO, CA 95814
PHONE: (916) 323-3562
FAX: (916) 445-0278
E-mail: csminfo@csm.ca.gov



Exhibit B

January 27, 2016

Mr. Arthur Palkowitz
Artiano Shinoff & Holtz, APC
2488 Historic Decatur Road, Suite 200
San Diego, CA 92106

And Parties, Interested Parties, and Interested Persons (See Mailing List)

Re: **Test Claim Decision, Draft Expedited Parameters and Guidelines,
Schedule for Comments, and Notice of Hearing**

*California Assessment of Student Performance and Progress (CAASPP), 14-TC-01
Education Code Sections 60602 et al.*

Plumas County Office of Education, Plumas Unified School District, Porterville Unified
School District, Santa Ana Unified School District, and Vallejo City Unified School
District, Claimants

AND

*California Assessment of Student Performance and Progress (CAASPP), 14-TC-04
California Code of Regulations, Title 5, Sections 850-864; Register 2014, No. 6*

Plumas County Office of Education, Plumas Unified School District, Porterville Unified
School District, and Santa Ana Unified School District, Claimants

Dear Mr. Palkowitz:

On January 22, 2016, the Commission on State Mandates (Commission) adopted the test claim decision partially approving the above-entitled matter. State law provides that reimbursement, if any, is subject to Commission approval of parameters and guidelines for reimbursement of the mandated program, approval of a statewide cost estimate, a specific legislative appropriation for such purpose, a timely-filed claim for reimbursement, and subsequent review of the claim by the State Controller's Office.

Following is a description of the responsibilities of all parties and of the Commission during the parameters and guidelines phase.

Draft Expedited Parameters and Guidelines. Pursuant to California Code of Regulations, title 2, section 1183.9, the Commission staff is expediting the parameters and guidelines process by enclosing draft parameters and guidelines to assist the claimant. The proposed reimbursable activities are limited to those approved in the decision by the Commission.

Review of Draft Expedited Parameters and Guidelines. Comments may be filed on the draft expedited parameters and guidelines by **February 16, 2016**. (Cal. Code Regs., tit. 2, § 1183.9(b).)

Rebuttals. Written rebuttals may be filed within 15 days of service of comments. (Cal. Code Regs., tit. 2, § 1183.9(c).)

Adoption of Parameters and Guidelines. After review of the draft expedited parameters and guidelines and all proposed comments, Commission staff will prepare a proposed decision and recommend adoption by the Commission.

Reasonable Reimbursement Methodology and Statewide Estimate of Costs

Test Claimant and Department of Finance Submission of Letter of Intent. Within 30 days of the Commission's adoption of a decision on a test claim, the test claimant and the Department of Finance may notify the executive director of the Commission in writing of their intent to follow the process described in Government Code sections 17557.1–17557.2 and section 1183.11 of the Commission's regulations to develop a *joint reasonable reimbursement methodology and statewide estimate of costs* for the initial claiming period and budget year for reimbursement of costs mandated by the state. The written notification shall provide all information and filing dates as specified in Government Code section 17557.1(a).

Test Claimant and Department of Finance Submission of Draft Reasonable Reimbursement Methodology and Statewide Estimate of Costs. Pursuant to the plan, the test claimant and the Department of Finance shall submit the *Draft Reasonable Reimbursement Methodology and Statewide Estimate of Costs* to the Commission. See Government Code section 17557.1 for guidance in preparing and filing a timely submission.

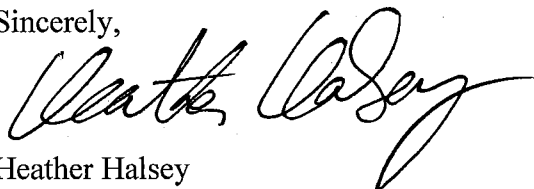
Review of Proposed Reasonable Reimbursement Methodology and Statewide Estimate of Costs. Upon receipt of the jointly developed proposals, Commission staff shall notify all recipients that they shall have the opportunity to review and provide written comments concerning the draft reasonable reimbursement methodology and proposed statewide estimate of costs within 15 days of service. The test claimant and Department of Finance may submit written rebuttals to Commission staff.

Adoption of Reasonable Reimbursement Methodology and Statewide Estimate of Costs. At least 10 days prior to the next hearing, Commission staff shall review comments and issue a staff recommendation on whether the Commission should approve the draft reasonable reimbursement methodology and adopt the proposed statewide estimate of costs pursuant to Government Code section 17557.2.

You are advised that comments filed with the Commission are required to be simultaneously served on the other interested parties on the mailing list, and to be accompanied by a proof of service. However, this requirement may also be satisfied by electronically filing your documents. Please see <http://www.csm.ca.gov/dropbox.shtml> on the Commission's website for instructions on electronic filing. (Cal. Code Regs., tit. 2, § 1181.3.) If you would like to request an extension of time to file comments, please refer to section 1187.9(a) of the Commission's regulations.

The parameters and guidelines for this matter are set for hearing on **March 25, 2016**.

Sincerely,



Heather Halsey
Executive Director

DRAFT EXPEDITED PARAMETERS AND GUIDELINES

Education Code Section 60640, as amended by Statutes 2013, Chapter 489 (AB 484) and Statutes 2014, Chapter 32 (SB 858); California Code of Regulations, Title 5, Sections 850, 852, 853, 853.5, 857, 861(b)(5), and 864, as added or amended by Register 2014, Nos. 6, 30, and 35

California Assessment of Student Performance and Progress (CAASPP)

14-TC-01 and 14-TC-04

The period of reimbursement begins on the effective date of the statute or regulations that impose the state-mandated program.

I. SUMMARY OF THE MANDATE

On January 22, 2016, the Commission on State Mandates (Commission) adopted a decision finding that the test claim statutes and regulations impose a reimbursable state-mandated program upon school districts within the meaning of article XIII B, section 6 of the California Constitution and Government Code section 17514. The Commission partially approved the test claim, finding only the following activities to be reimbursable:

- Beginning January 1, 2014, provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.¹
- Beginning February 3, 2014, the local educational agency (LEA) CAASPP coordinator shall be responsible for assessment technology, and shall ensure current and ongoing compliance with minimum technology specifications as identified by the CAASPP contractor(s) or consortium.²
- Beginning February 3, 2014, notify parents or guardians each year of their pupil’s participation in the CAASPP assessment system, including notification that notwithstanding any other provision of law, a parent’s or guardian’s written request to excuse his or her child from any or all parts of the CAASPP assessments shall be granted.³
- Beginning February 3, 2014, score and transmit the CAASPP tests in accordance with manuals or other instructions provided by the contractor or the California Department of Education (CDE).⁴

¹ Education Code section 60640 (Stats. 2013, ch. 489), interpreted in light of California Code of Regulations, title 5, sections 850, 853, 853.5, and 857 (Register 2014, Nos. 6, 30, 35).

² California Code of Regulations, title 5, section 857(d) (Register 2014, No. 6).

³ California Code of Regulations, title 5, section 852 (Register 2014, No. 6).

⁴ California Code of Regulations, title 5, section 853 (Register 2014, No. 6).

- Beginning February 3, 2014, identify pupils unable to access the computer-based version of the CAASPP tests; and report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test.⁵
- Beginning February 3, 2014, report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.⁶
- Beginning February 3, 2014, comply with any and all requests from CAASPP contractors, and abide by any and all instructions provided by the CAASPP contractor or consortium, whether written or oral, that are provided for training or provided for in the administration of a CAASPP test.⁷

The Commission also found that the following state and federal funds must be identified and deducted as offsetting revenues from any school district's reimbursement claim:

- Statutes 2013, chapter 48 (\$1.25 billion in Common Core implementation funding), *if* used by a school district on the reimbursable CAASPP activities to support the administration of computer-based assessments.
- Funding apportioned by SBE from Statutes 2014, chapter 25, Line Item 6110-113-0001, schedule (8), for fiscal year 2013-2014 CAASPP costs.
- Funding apportioned by SBE from Statutes 2015, chapter 10, Line Item 6100-113-0001, schedule (7) for fiscal year 2014-2015 CAASPP costs.
- Statutes 2014, chapter 25 (Line Item 6110-488) and chapter 32 (appropriation for outstanding mandate claims) *if* used by a school district on the reimbursable CAASPP activities.
- Statutes 2014, chapter 25, Line Item 6110-182-0001, Provision 2 (appropriation "to support network connectivity infrastructure grants) *if* used by a school district on the reimbursable CAASPP activities.
- Any federal funds received and applied to the reimbursable CAASPP activities.

II. ELIGIBLE CLAIMANTS

Any "school district" as defined in Government Code section 17519, except for community colleges, that incurs increased costs as a result of this mandate is eligible to claim reimbursement.

III. PERIOD OF REIMBURSEMENT

Government Code section 17557(e) states that a test claim shall be submitted on or before June 30 following a given fiscal year to establish eligibility for reimbursement for that fiscal year. The claimants filed test claim 14-TC-01 on December 23, 2014. On March 17, 2015, claimants filed an amended test claim on 14-TC-01, to replace the original filing. On June 26, 2015, a second test claim (14-TC-04) was filed and consolidated with 14-TC-01. These test claims, all

⁵ California Code of Regulations, title 5, section 857(a) (Register 2014, No. 6).

⁶ California Code of Regulations, title 5, section 861(b)(5) (Register 2014, No. 6).

⁷ California Code of Regulations, title 5, section 864 (Register 2014, No. 6).

filed before June 30, 2015, establish eligibility for reimbursement pursuant to Government Code section 17557(e), beginning July 1, 2013. However, because the test claim statute and regulations each have later effective dates, the period of reimbursement begins on the effective date of each statute or regulation that imposes the reimbursable state-mandated activity, as specified in Section IV. of these parameters and guidelines.

Reimbursement for state-mandated costs may be claimed as follows:

1. Actual costs for one fiscal year shall be included in each claim.
2. Pursuant to Government Code section 17561(d)(1)(A), all claims for reimbursement of initial fiscal year costs shall be submitted to the State Controller (Controller) within 120 days of the issuance date for the claiming instructions.
3. Pursuant to Government Code section 17560(a), a school district may, by February 15 following the fiscal year in which costs were incurred, file an annual reimbursement claim that details the costs actually incurred for that fiscal year.
4. If revised claiming instructions are issued by the Controller pursuant to Government Code section 17558(c), between November 15 and February 15, a school district filing an annual reimbursement claim shall have 120 days following the issuance date of the revised claiming instructions to file a claim. (Gov. Code §17560(b).)
5. If the total costs for a given fiscal year do not exceed \$1,000, no reimbursement shall be allowed except as otherwise allowed by Government Code section 17564(a).
6. There shall be no reimbursement for any period in which the Legislature has suspended the operation of a mandate pursuant to state law.

IV. REIMBURSABLE ACTIVITIES

To be eligible for mandated cost reimbursement for any fiscal year, only actual costs may be claimed. Actual costs are those costs actually incurred to implement the mandated activities. Actual costs must be traceable and supported by source documents that show the validity of such costs, when they were incurred, and their relationship to the reimbursable activities. A source document is a document created at or near the same time the actual cost was incurred for the event, or activity in question. Source documents may include, but are not limited to, employee time records or time logs, sign-in sheets, invoices, and receipts.

Evidence corroborating the source documents may include, but is not limited to, worksheets, cost allocation reports (system generated), purchase orders, contracts, agenda, and declarations. Declarations must include a certification or declaration stating, "I certify (or declare) under penalty of perjury under the laws of the State of California that the foregoing is true and correct," and must further comply with the requirements of Code of Civil Procedure section 2015.5. Evidence corroborating the source documents may include data relevant to the reimbursable activities otherwise in compliance with local, state, and federal government requirements. However, corroborating documents cannot be substituted for source documents.

The claimant is only allowed to claim and be reimbursed for increased costs for reimbursable activities identified below. Increased cost is limited to the cost of an activity that the claimant is required to incur as a result of the mandate.

For each eligible claimant that incurs increased costs, the following activities are reimbursable:

- Beginning January 1, 2014, provide “a computing device, the use of an assessment technology platform, and the adaptive engine” to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements.⁸
- Beginning February 3, 2014, the LEA CAASPP coordinator shall be responsible for assessment technology, and shall ensure current and ongoing compliance with minimum technology specifications as identified by the CAASPP contractor(s) or consortium.⁹
- Beginning February 3, 2014, notify parents or guardians each year of their pupil’s participation in the CAASPP assessment system, including notification that notwithstanding any other provision of law, a parent’s or guardian’s written request to excuse his or her child from any or all parts of the CAASPP assessments shall be granted.¹⁰
- Beginning February 3, 2014, score and transmit the CAASPP tests in accordance with manuals or other instructions provided by the contractor or CDE.¹¹
- Beginning February 3, 2014, identify pupils unable to access the computer-based version of the CAASPP tests; and report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test.¹²
- Beginning February 3, 2014, report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.¹³
- Beginning February 3, 2014, comply with any and all requests from CAASPP contractors, and abide by any and all instructions provided by the CAASPP contractor or consortium, whether written or oral, that are provided for training or provided for in the administration of a CAASPP test.¹⁴

V. CLAIM PREPARATION AND SUBMISSION

Each of the following cost elements must be identified for each reimbursable activity identified in Section IV., Reimbursable Activities, of this document. Each claimed reimbursable cost must be supported by source documentation as described in Section IV. Additionally, each reimbursement claim must be filed in a timely manner.

⁸ Education Code section 60640 (Stats. 2013, ch. 489), interpreted in light of California Code of Regulations, title 5, sections 850, 853, 853.5, and 857 (Register 2014, Nos. 6, 30, 35).

⁹ California Code of Regulations, title 5, section 857(d) (Register 2014, No. 6).

¹⁰ California Code of Regulations, title 5, section 852 (Register 2014, No. 6).

¹¹ California Code of Regulations, title 5, section 853 (Register 2014, No. 6).

¹² California Code of Regulations, title 5, section 857(a) (Register 2014, No. 6).

¹³ California Code of Regulations, title 5, section 861(b)(5) (Register 2014, No. 6).

¹⁴ California Code of Regulations, title 5, section 864 (Register 2014, No. 6).

A. Direct Cost Reporting

Direct costs are those costs incurred specifically for the reimbursable activities. The following direct costs are eligible for reimbursement.

1. Salaries and Benefits

Report each employee implementing the reimbursable activities by name, job classification, and productive hourly rate (total wages and related benefits divided by productive hours). Describe the specific reimbursable activities performed and the hours devoted to each reimbursable activity performed.

2. Materials and Supplies

Report the cost of materials and supplies that have been consumed or expended for the purpose of the reimbursable activities. Purchases shall be claimed at the actual price after deducting discounts, rebates, and allowances received by the claimant. Supplies that are withdrawn from inventory shall be charged on an appropriate and recognized method of costing, consistently applied.

3. Contracted Services

Report the name of the contractor and services performed to implement the reimbursable activities. If the contractor bills for time and materials, report the number of hours spent on the activities and all costs charged. If the contract is a fixed price, report the services that were performed during the period covered by the reimbursement claim. If the contract services are also used for purposes other than the reimbursable activities, only the pro-rata portion of the services used to implement the reimbursable activities can be claimed. Submit contract consultant and attorney invoices with the claim and a description of the contract scope of services.

4. Fixed Assets

Report the purchase price paid for fixed assets (including computers) necessary to implement the reimbursable activities. The purchase price includes taxes, delivery costs, and installation costs. If the fixed asset is also used for purposes other than the reimbursable activities, only the pro-rata portion of the purchase price used to implement the reimbursable activities can be claimed.

B. Indirect Cost Rates

Indirect costs are costs that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. After direct costs have been determined and assigned to other activities, as appropriate, indirect costs are those remaining to be allocated to benefited cost objectives. A cost may not be allocated as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been claimed as a direct cost.

Indirect costs may include: (a) the indirect costs originating in each department or agency of the governmental unit carrying out state mandated programs; and (b) the costs of central governmental services distributed through the central service cost allocation plan and not otherwise treated as direct costs.

School districts must use the CDE approved indirect cost rate for the year that funds are expended.

VI. RECORD RETENTION

Pursuant to Government Code section 17558.5(a), a reimbursement claim for actual costs filed by a local agency or school district pursuant to this chapter¹⁵ is subject to the initiation of an audit by the Controller no later than three years after the date that the actual reimbursement claim is filed or last amended, whichever is later. However, if no funds are appropriated or no payment is made to a claimant for the program for the fiscal year for which the claim is filed, the time for the Controller to initiate an audit shall commence to run from the date of initial payment of the claim. In any case, an audit shall be completed not later than two years after the date that the audit is commenced. All documents used to support the reimbursable activities, as described in Section IV, must be retained during the period subject to audit. If an audit has been initiated by the Controller during the period subject to audit, the retention period is extended until the ultimate resolution of any audit findings.

VII. OFFSETTING REVENUES AND REIMBURSEMENTS

The following state and federal funds must be identified as offsetting revenues:

- Funding apportioned by SBE from Statutes 2014, chapter 25, Line Item 6110-113-0001, schedule (8), for fiscal year 2013-2014 CAASPP costs.
- Funding apportioned by SBE from Statutes 2015, chapter 10, Line Item 6100-113-0001, schedule (7) for fiscal year 2014-2015 CAASPP costs.
- Statutes 2013, chapter 48 (Common Core implementation funding), *if* used by a school district on the reimbursable CAASPP activities.
- Statutes 2014, chapter 25 (Line Item 6110-488) and chapter 32 (appropriation for outstanding mandate claims) *if* used by a school district on the reimbursable CAASPP activities.
- Statutes 2014, chapter 25, Line Item 6110-182-0001, Provision 2 (appropriation “to support network connectivity infrastructure grants) *if* used by a school district on the reimbursable CAASPP activities.

Any other offsetting revenue the claimant experiences in the same program as a result of the same statutes or executive orders found to contain the mandate shall be deducted from the costs claimed. In addition, reimbursement for this mandate from any source, including but not limited to, service fees collected, federal funds, and other applicable state funds, shall be identified and deducted from any claim submitted for reimbursement.

VIII. STATE CONTROLLER’S CLAIMING INSTRUCTIONS

Pursuant to Government Code section 17558(b), the Controller shall issue claiming instructions for each mandate that requires state reimbursement not later than 90 days after receiving the adopted parameters and guidelines from the Commission, to assist local agencies and school districts in claiming costs to be reimbursed. The claiming instructions shall be derived from these parameters and guidelines and the decisions on the consolidated test claim and parameters and guidelines adopted by the Commission.

¹⁵ This refers to title 2, division 4, part 7, chapter 4 of the Government Code.

Pursuant to Government Code section 17561(d)(1), issuance of the claiming instructions shall constitute a notice of the right of the local agencies and school districts to file reimbursement claims, based upon parameters and guidelines adopted by the Commission.

IX. REMEDIES BEFORE THE COMMISSION

Upon request of a local agency or school district, the Commission shall review the claiming instructions issued by the Controller or any other authorized state agency for reimbursement of mandated costs pursuant to Government Code section 17571. If the Commission determines that the claiming instructions do not conform to the parameters and guidelines, the Commission shall direct the Controller to modify the claiming instructions and the Controller shall modify the claiming instructions to conform to the parameters and guidelines as directed by the Commission.

In addition, requests may be made to amend parameters and guidelines pursuant to Government Code section 17557(d), and California Code of Regulations, title 2, section 1183.17.

X. LEGAL AND FACTUAL BASIS FOR THE PARAMETERS AND GUIDELINES

The decisions adopted for the consolidated test claims and parameters and guidelines are legally binding on all parties and provide the legal and factual basis for the parameters and guidelines. The support for the legal and factual findings is found in the administrative record. The administrative record is on file with the Commission.

DECLARATION OF SERVICE BY EMAIL

I, the undersigned, declare as follows:

I am a resident of the County of Sacramento and I am over the age of 18 years, and not a party to the within action. My place of employment is 980 Ninth Street, Suite 300, Sacramento, California 95814.

On January 27, 2016, I served the:

**Test Claim Decision, Draft Expedited Parameters and Guidelines,
Schedule for Comments, and Notice of Hearing**

California Assessment of Student Performance and Progress (CAASPP), 14-TC-01
Education Code Sections 60602 et al.

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

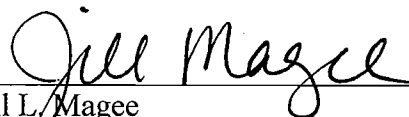
AND

California Assessment of Student Performance and Progress (CAASPP), 14-TC-04
California Code of Regulations, Title 5, Sections 850-864; Register 2014, No. 6

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, and Santa Ana Unified School District, Claimants

by making it available on the Commission's website and providing notice of how to locate it to the email addresses provided on the attached mailing list.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on January 27, 2016 at Sacramento, California.



Jill L. Magee
Commission on State Mandates
980 Ninth Street, Suite 300
Sacramento, CA 95814
(916) 323-3562

COMMISSION ON STATE MANDATES

Mailing List

Last Updated: 1/14/16

Claim Number: 14-TC-01 and 14-TC-04

Matter: California Assessment of Student Performance and Progress (CAASPP)

Claimants: Plumas County Office of Education
Plumas Unified School District
Porterville Unified School District
Santa Ana Unified School District
Vallejo City Unified School District

TO ALL PARTIES, INTERESTED PARTIES, AND INTERESTED PERSONS:

Each commission mailing list is continuously updated as requests are received to include or remove any party or person on the mailing list. A current mailing list is provided with commission correspondence, and a copy of the current mailing list is available upon request at any time. Except as provided otherwise by commission rule, when a party or interested party files any written material with the commission concerning a claim, it shall simultaneously serve a copy of the written material on the parties and interested parties to the claim identified on the mailing list provided by the commission. (Cal. Code Regs., tit. 2, § 1181.3.)

Amber Alexander, *Department of Finance*

915 L Street, Sacramento, Ca

Phone: (916) 445-0328

Amber.Alexander@dof.ca.gov

Socorro Aquino, *State Controller's Office*

Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-7522

SAquino@sco.ca.gov

Harmeet Barkschat, *Mandate Resource Services, LLC*

5325 Elkhorn Blvd. #307, Sacramento, CA 95842

Phone: (916) 727-1350

harmeet@calsdrc.com

Lacey Baysinger, *State Controller's Office*

Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-0254

lbaysinger@sco.ca.gov

Andrea Bennett, Executive Director, *California Educational Technology Professionals As*

915 L Street, Sacramento, CA 95814

Phone: (916) 402-2471

andrea.bennett@cetpa.net

Mike Brown, *School Innovations & Advocacy*
5200 Golden Foothill Parkway, El Dorado Hills, CA 95762
Phone: (916) 669-5116
mikeb@sia-us.com

Laurie Bruton, Superintendent, *San Lorenzo Valley Unified School District*
325 Marion Ave, Ben Lomond, CA 95005
Phone: (831) 336-5194
lbruton@slvusd.org

J. Bradley Burgess, *MGT of America*
895 La Sierra Drive, Sacramento, CA 95864
Phone: (916) 595-2646
Bburgess@mgtamer.com

Gwendolyn Carlos, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-0706
gcarlos@sco.ca.gov

Carolyn Chu, Senior Fiscal and Policy Analyst, *Legal Analyst's Office*
925 L Street, Sacramento, CA 95814
Phone: (916) 319-8326
Carolyn.Chu@lao.ca.gov

David Cichella, *California School Management Group*
3130-C Inland Empire Blvd., Ontario, CA 91764
Phone: (209) 834-0556
dcichella@cscentral.com

Joshua Daniels, Attorney, *California School Boards Association*
3251 Beacon Blvd, West Sacramento, CA 95691
Phone: (916) 669-3266
jdaniels@csba.org

Marieta Delfin, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 322-4320
mdelfin@sco.ca.gov

Andra Donovan, *San Diego Unified School District*
Legal Services Office, 4100 Normal Street, Room 2148, , San Diego, CA 92103
Phone: (619) 725-5630
adonovan@sandi.net

Donna Ferebee, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
donna.ferebee@dof.ca.gov

Chris Ferguson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-3274
Chris.Ferguson@dof.ca.gov

Susan Geanacou, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
susan.geanacou@dof.ca.gov

Paul Golaszewski, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8341
Paul.Golaszewski@lao.ca.gov

Robert Groeber, *Assistan Superintendent, Visalia Unified School District*
5000 West Cypress Ave P.O. Box, Visalia, CA 93278-5004
Phone: (559) 730-7529
rgroeber@visalia.k12.ca.us

Wendy Gudalewicz, *Superintendent, Cupertino Union School District*
10301 Vista Drive, Cupertino, CA 95014-2091
Phone: (408) 252-3000
gudalewicz_wendy@cusdk8.org

Rebecca Hamilton, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Rebecca.Hamilton@dof.ca.gov

Ed Hanson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
ed.hanson@dof.ca.gov

Jeff Harris, *County and District Superintendent, Del Norte County Unified School District*
301 W. Washington Blvd, Crescent City, CA 95531
Phone: (707) 464-0200
jharris@delnorte.k12.ca.us

Mark Ibele, *Senate Budget & Fiscal Review Committee*
California State Senate, State Capitol Room 5019, Sacramento, CA 95814
Phone: (916) 651-4103
Mark.Ibele@sen.ca.gov

Ian Johnson, *Principal Program Budget Analyst, Department of Finance*
Education Systems Unit, 915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Ian.Johnson@dof.ca.gov

Matt Jones, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 323-3562
matt.jones@csm.ca.gov

Jill Kanemasu, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-9891
jkanemasu@sco.ca.gov

Dan Kaplan, Fiscal & Policy Analyst, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8353
Dan.Kaplan@lao.ca.gov

Anne Kato, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-5919
akato@sco.ca.gov

Sarah Koligian, Superintendent, *Tulare Joint Union High School District*
426 North Blackstone, Tulare, CA 93274-4449
Phone: (559) 688-2021
sarah.koligian@tulare.k12.ca.us

Jennifer Kuhn, Deputy, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8332
Jennifer.kuhn@lao.ca.gov

Jay Lal, *State Controller's Office (B-08)*
Division of Accounting & Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0256
JLal@sco.ca.gov

George Landon, Deputy Superintendent, Admin. Fiscal Support, *Lake Elsinore Unified School District*
545 Chaney Street, Lake Elsinore, CA 92530
Phone: (951) 253-7095
George.Landon@leusd.k12.ca.us

Nancy Lentz, Administrative Assistant to the Superintendent, *Santa Cruz City Schools District*
405 Old San Jose Road, Soquel, CA 95073
Phone: (831) 429-3410
nlentz@sccs.net

Michelle Mendoza, *MAXIMUS*
17310 Red Hill Avenue, Suite 340, Irvine, CA 95403
Phone: (949) 440-0845
michellemendoza@maximus.com

Yazmin Meza, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Yazmin.meza@dof.ca.gov

Richard L. Miller, Superintendent, *Santa Ana Unified School District*
1601 East Chestnut Avenue, Santa Ana, CA 92701
Phone: (714) 558-5512
rick.miller@sausd.us

Meredith Miller, Director of SB90 Services, *MAXIMUS*
3130 Kilgore Road, Suite 400, Rancho Cordova, CA 95670
Phone: (972) 490-9990
meredithcmiller@maximus.com

Michael Milliken, Superintendent, *Belmont-Redwood Shores School District*
2960 Hallmark Drive, Belmont, CA 94802-2999
Phone: (650) 637-4800
mmilliken@brssd.org

Robert Miyashiro, *Education Mandated Cost Network*
1121 L Street, Suite 1060, Sacramento, CA 95814
Phone: (916) 446-7517
robertm@sscal.com

Keith Nezaam, *Department of Finance*
915 L Street, 8th Floor, Sacramento, CA 95814
Phone: (916) 445-8913
Keith.Nezaam@dof.ca.gov

Andy Nichols, *Nichols Consulting*
1857 44th Street, Sacramento, CA 95819
Phone: (916) 455-3939
andy@nichols-consulting.com

Terry Oestreich, Interim Superintendent, *Plumas County Office of Education/Plumas Unified S*
1446 East Main Street, Quincy, CA 95971
Phone: (530) 283-6500
toestreich@pcoe.k12.ca.us

Christian Osmena, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
christian.osmena@dof.ca.gov

Arthur Palkowitz, *Artiano Shinoff & Holtz, APC*
Claimant Representative
2488 Historic Decatur Road, Suite 200, San Diego, CA 92106
Phone: (619) 232-3122
apalkowitz@sashlaw.com

Keith Petersen, *SixTen & Associates*
P.O. Box 340430, Sacramento, CA 95834-0430
Phone: (916) 419-7093
kbsixten@aol.com

Mollie Quasebarth, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
mollie.quasebarth@dof.ca.gov

Mark Rewolinski, *MAXIMUS*
625 Coolidge Drive, Suite 100, Folsom, CA 95630

Phone: (949) 440-0845
markrewolinski@maximus.com

Sandra Reynolds, *Reynolds Consulting Group, Inc.*
P.O. Box 894059, Temecula, CA 92589
Phone: (951) 303-3034
sandrareynolds_30@msn.com

Carla Shelton, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 327-6490
carla.shelton@csm.ca.gov

Steve Shields, *Shields Consulting Group, Inc.*
1536 36th Street, Sacramento, CA 95816
Phone: (916) 454-7310
steve@shieldscg.com

Socorro Shiels, Superintendent, *Santa Rosa City Schools*
211 Ridgway Ave, Santa Rosa, CA 95401
Phone: (707) 528-5181
sshiels@srcs.k12.ca.us

John Snavely, Superintendent, *Porterville Unified School District*
600 West Grand Avenue, Porterville, CA 93257
Phone: (559) 792-2455
jsnavely@portervilleschools.org

Jim Spano, Chief, Mandated Cost Audits Bureau, *State Controller's Office*
Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-5849
jspano@sco.ca.gov

Dennis Speciale, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0254
DSpeciale@sco.ca.gov

Meg Svoboda, *Senate Office of Research*
1020 N Street, Suite 200, Sacramento, CA
Phone: (916) 651-1500
meg.svoboda@sen.ca.gov

Amy Tang-Paterno, Educational Fiscal Services Consultant, *California Department of Education*
Government Affairs, 1430 N Street, Suite 5602, Sacramento, CA 95814
Phone: (916) 322-6630
ATangPaterno@cde.ca.gov

Thomas Todd, Assistant Program Budget Manager, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Thomas.Todd@dof.ca.gov

Jolene Tollenaar, *MGT of America*

2251 Harvard Street, Suite 134, Sacramento, CA 95815

Phone: (916) 443-4111

jolene_tollenaar@mgtamer.com

Marichi Valle, *San Jose Unified School District*

855 Lenzen Avenue, San Jose, CA 95126

Phone: (408) 535-6141

mvalle@sjusd.org

Ronald D. Wenkart, General Counsel, *Orange County Department of Education*

200 Kalmus Drive P.O. Box, Costa Mesa, CA 92628-9050

Phone: (714) 966-4220

rwenkart@ocde.us

Judy D. White, Superintendent, *Moreno Valley Unified School District*

25634 Alessandro Blvd, Moreno Valley, CA 92553

Phone: (915) 571-7500

jdwhite@mvusd.net

2488 Historic Decatur Road
Suite 200
San Diego, California 92106
(619) 232-3122
Fax (619) 232-3264
www.sashlaw.com

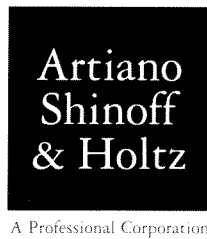


Exhibit C

Arthur M. Palkowitz
apalkowitz@sashlaw.com



February 11, 2016

Heather Halsey
Executive Director
COMMISSION ON STATE MANDATES
980 9th Street, Suite 300
Sacramento, CA 95814

**Re: Claimants' Rebuttal Comments on Draft Parameters & Guidelines
California Assessment of Student Performance and Progress (CAASPP)
Test Claim 14-TC-01 and 14-TC-04**

Dear Ms. Halsey:

The following is provided in response to the Draft Parameters & Guidelines ("P & G's") dated January 27, 2016. Claimants request the following be included in the P & G's:

1. Please add the following activity to the P & G's:

Beginning February 3, 2014, the local educational agency (LEA)/CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individuals aids are entered into the registration system.

2. Please add the following italics to the first activity (bullet) listed on page four of the P & G's:

Beginning January 1, 2014, *the local educational agency (LEA)* shall provide "a computing device, the use of an assessment technology platform, and the adaptive engine" to administer the CAASPP assessments to all pupils via computer, which includes the acquisition of and ongoing compliance with minimum technology requirements. *The reimbursement costs shall include, but is not limited to, the following: computers, laptops, Ipads, tablets, Professional Development, training, Consultants, servers, broadband, carts, peripheral infrastructure equipment; fiber optic cabling, headphones; earplugs; keyboards; microphones, electrical cords; hardware and software.*

**Claimants' Comments on Draft Parameters & Guidelines
California Assessment of Student Performance and Progress (CAASPP)
Test Claim 14-TC-01 And 14-TC-04**

3. Please add the following italics to the second activity (bullet) listed on page four of the P & G's:

Beginning February 3, 2014, *the local educational agency (LEA)/CAASPP coordinator shall be responsible for assessment technology, and shall ensure current and ongoing compliance with minimum technology specifications as identified by the CAASPP contractor(s) or consortium.*

4. Please add the following italics to the third activity (bullet) listed on page four of the P & G's:

Beginning February 3, 2014, *the local educational agency (LEA) shall notify parents or guardians each year of their pupil's participation in the CAASPP assessment system, including notification that notwithstanding any other provision of law, a parent's or guardian's written request to excuse his or her child from any or all parts of the CAASPP assessments shall be granted. The reimbursement costs shall include, but is not limited to, the following: Making arrangements for the testing of all eligible pupils in alternative education programs or programs conducted off campus, including, but not limited to, non-classroom based programs, continuation schools, independent study, community day schools, county community schools, juvenile court schools, or NPSs.*

5. Please add the following italics to the fourth activity (bullet) listed on page four of the P & G's:

Beginning February 3, 2014, *the local educational agency (LEA) shall score and transmit the CAASPP tests in accordance with manuals or other instructions provided by the contractor or CDE.*

6. Please add the following italics to the fifth activity (bullet) listed on page four of the P & G's:

Beginning February 3, 2014, *the local educational agency (LEA) shall identify pupils unable to access the computer-based version of the CAASPP tests; and report to the CAASPP contractor the number of pupils unable to access the computer-based version of the test.*

Heather Halsey
Executive Director
COMMISSION ON STATE MANDATES

February 11, 2016
Page 3

**Claimants' Comments on Draft Parameters & Guidelines
California Assessment of Student Performance and Progress (CAASPP)
Test Claim 14-TC-01 And 14-TC-04**

7. Please add the following italics to the sixth activity (bullet) listed on page four of the P & G's:

Beginning February 3, 2014, *the local educational agency (LEA) shall* report to CDE if a pupil in grade 2 was administered a diagnostic assessment in language arts and mathematics that is aligned to the common core academic content standards pursuant to Education Code section 60644.

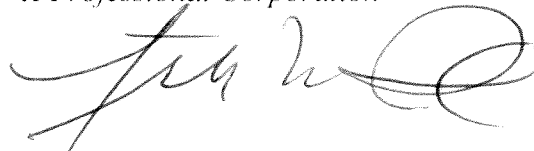
8. Please add the following italics to the seventh activity (bullet) listed on page four of the P & G's:

Beginning February 3, 2014, *the local educational agency (LEA) shall* comply with any and all requests from CAASPP contractors, and abide by any and all instructions provided by the CAASPP contractor or consortium, whether written or oral, that are provided for training or provided for in the administration of a CAASPP test.

Claimants assert the above information is required to provide clarity to the P & G's and to assist the claimants and other interested parties during the claiming process. If you have any questions regarding this request, please contact me.

Sincerely,

ARTIANO SHINOFF & HOLTZ
A Professional Corporation



Arthur M. Palkowitz

AMP: ml

DECLARATION OF SERVICE BY EMAIL

I, the undersigned, declare as follows:

I am a resident of the County of Sacramento and I am over the age of 18 years, and not a party to the within action. My place of employment is 980 Ninth Street, Suite 300, Sacramento, California 95814.

On February 11, 2016, I served the:

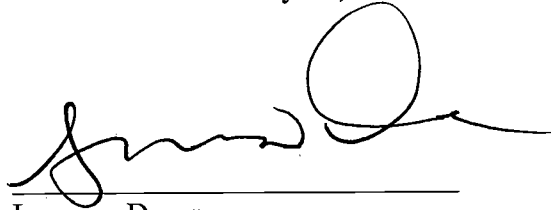
Claimant Comments on Draft Expedited Parameters and Guidelines

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Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

By making it available on the Commission's website and providing notice of how to locate it to the email addresses provided on the attached mailing list.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on February 11, 2016 at Sacramento, California.



Lorenzo Duran
Commission on State Mandates
980 Ninth Street, Suite 300
Sacramento, CA 95814
(916) 323-3562

COMMISSION ON STATE MANDATES

Mailing List

Last Updated: 2/9/16

Claim Number: 14-TC-01 and 14-TC-04

Matter: California Assessment of Student Performance and Progress (CAASPP)

Claimants: Plumas County Office of Education
Plumas Unified School District
Porterville Unified School District
Santa Ana Unified School District
Vallejo City Unified School District

TO ALL PARTIES, INTERESTED PARTIES, AND INTERESTED PERSONS:

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Amber Alexander, *Department of Finance*

915 L Street, Sacramento, Ca

Phone: (916) 445-0328

Amber.Alexander@dof.ca.gov

Socorro Aquino, *State Controller's Office*

Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-7522

SAquino@sco.ca.gov

Harmeet Barkschat, *Mandate Resource Services, LLC*

5325 Elkhorn Blvd. #307, Sacramento, CA 95842

Phone: (916) 727-1350

harmeet@calsdrc.com

Lacey Baysinger, *State Controller's Office*

Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-0254

lbaysinger@sco.ca.gov

Andrea Bennett, Executive Director, *California Educational Technology Professionals As*

915 L Street, Sacramento, CA 95814

Phone: (916) 402-2471

andrea.bennett@cetpa.net

Keith Bray, General Counsel, CSBA Director, ELA, *California School Boards Association*
3251 Beacon Boulevard, West Sacramento, CA 95691
Phone: (916) 669-3270
kbray@csba.org

Mike Brown, *School Innovations & Advocacy*
5200 Golden Foothill Parkway, El Dorado Hills, CA 95762
Phone: (916) 669-5116
mikeb@sia-us.com

Laurie Bruton, Superintendent, *San Lorenzo Valley Unified School District*
325 Marion Ave, Ben Lomond, CA 95005
Phone: (831) 336-5194
lbruton@slvusd.org

J. Bradley Burgess, *MGT of America*
895 La Sierra Drive, Sacramento, CA 95864
Phone: (916) 595-2646
Bburgess@mgtamer.com

Gwendolyn Carlos, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-0706
gcarlos@sco.ca.gov

Carolyn Chu, Senior Fiscal and Policy Analyst, *Legal Analyst's Office*
925 L Street, Sacramento, CA 95814
Phone: (916) 319-8326
Carolyn.Chu@lao.ca.gov

David Cichella, *California School Management Group*
3130-C Inland Empire Blvd., Ontario, CA 91764
Phone: (209) 834-0556
dcichella@cscentral.com

Marieta Delfin, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 322-4320
mdelfin@sco.ca.gov

Andra Donovan, *San Diego Unified School District*
Legal Services Office, 4100 Normal Street, Room 2148, , San Diego, CA 92103
Phone: (619) 725-5630
adonovan@sandi.net

Donna Ferebee, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
donna.ferebee@dof.ca.gov

Chris Ferguson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-3274
Chris.Ferguson@dof.ca.gov

Susan Geanacou, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
susan.geanacou@dof.ca.gov

Paul Golaszewski, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8341
Paul.Golaszewski@lao.ca.gov

Robert Groeber, *Assistan Superintendent, Visalia Unified School District*
5000 West Cypress Ave P.O. Box, Visalia, CA 93278-5004
Phone: (559) 730-7529
rgroeber@visalia.k12.ca.us

Wendy Gudalewicz, *Superintendent, Cupertino Union School District*
10301 Vista Drive, Cupertino, CA 95014-2091
Phone: (408) 252-3000
gudalewicz_wendy@cusdk8.org

Rebecca Hamilton, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Rebecca.Hamilton@dof.ca.gov

Ed Hanson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
ed.hanson@dof.ca.gov

Jeff Harris, *County and District Superintendent, Del Norte County Unified School District*
301 W. Washington Blvd, Crescent City, CA 95531
Phone: (707) 464-0200
jharris@delnorte.k12.ca.us

Mark Ibele, *Senate Budget & Fiscal Review Committee*
California State Senate, State Capitol Room 5019, Sacramento, CA 95814
Phone: (916) 651-4103
Mark.Ibele@sen.ca.gov

Ian Johnson, *Principal Program Budget Analyst, Department of Finance*
Education Systems Unit, 915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Ian.Johnson@dof.ca.gov

Matt Jones, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 323-3562
matt.jones@csm.ca.gov

Jill Kanemasu, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-9891

jkanemasu@sco.ca.gov

Dan Kaplan, Fiscal & Policy Analyst, *Legislative Analyst's Office*

925 L Street, Suite 1000, Sacramento, CA 95814

Phone: (916) 319-8353

Dan.Kaplan@lao.ca.gov

Anne Kato, *State Controller's Office*

Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-5919

akato@sco.ca.gov

Diann Kitamura, Superintendent (Interim), *Santa Rosa City Schools*

211 Ridgway Avenue, Santa Rosa, CA 95401

Phone: (707) 528-5181

dkitamura@srs.k12.ca.us

Sarah Koligian, Superintendent, *Tulare Joint Union High School District*

426 North Blackstone, Tulare, CA 93274-4449

Phone: (559) 688-2021

sarah.koligian@tulare.k12.ca.us

Jennifer Kuhn, Deputy, *Legislative Analyst's Office*

925 L Street, Suite 1000, Sacramento, CA 95814

Phone: (916) 319-8332

Jennifer.kuhn@lao.ca.gov

Jay Lal, *State Controller's Office (B-08)*

Division of Accounting & Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-0256

JLal@sco.ca.gov

George Landon, Deputy Superintendent, Admin. Fiscal Support, *Lake Elsinore Unified School District*

545 Chaney Street, Lake Elsinore, CA 92530

Phone: (951) 253-7095

George.Landon@leusd.k12.ca.us

Nancy Lentz, Administrative Assistant to the Superintendent, *Santa Cruz City Schools District*

405 Old San Jose Road, Soquel, CA 95073

Phone: (831) 429-3410

nlentz@sccs.net

Michelle Mendoza, *MAXIMUS*

17310 Red Hill Avenue, Suite 340, Irvine, CA 95403

Phone: (949) 440-0845

michellemendoza@maximus.com

Yazmin Meza, *Department of Finance*

915 L Street, Sacramento, CA 95814

Phone: (916) 445-0328

Yazmin.meza@dof.ca.gov

Richard L. Miller, Superintendent, *Santa Ana Unified School District*
 1601 East Chestnut Avenue, Santa Ana, CA 92701
 Phone: (714) 558-5512
 rick.miller@sausd.us

Meredith Miller, Director of SB90 Services, *MAXIMUS*
 3130 Kilgore Road, Suite 400, Rancho Cordova, CA 95670
 Phone: (972) 490-9990
 meredithcmiller@maximus.com

Michael Milliken, Superintendent, *Belmont-Redwood Shores School District*
 2960 Hallmark Drive, Belmont, CA 94802-2999
 Phone: (650) 637-4800
 mmilliken@brssd.org

Robert Miyashiro, *Education Mandated Cost Network*
 1121 L Street, Suite 1060, Sacramento, CA 95814
 Phone: (916) 446-7517
 robertm@sscal.com

Keith Nezaam, *Department of Finance*
 915 L Street, 8th Floor, Sacramento, CA 95814
 Phone: (916) 445-8913
 Keith.Nezaam@dof.ca.gov

Andy Nichols, *Nichols Consulting*
 1857 44th Street, Sacramento, CA 95819
 Phone: (916) 455-3939
 andy@nichols-consulting.com

Terry Oestreich, Interim Superintendent, *Plumas County Office of Education/Plumas Unified S*
 1446 East Main Street, Quincy, CA 95971
 Phone: (530) 283-6500
 toestreich@pcoe.k12.ca.us

Christian Osmena, *Department of Finance*
 915 L Street, Sacramento, CA 95814
 Phone: (916) 445-0328
 christian.osmena@dof.ca.gov

Arthur Palkowitz, *Artiano Shinoff & Holtz, APC*
Claimant Representative
 2488 Historic Decatur Road, Suite 200, San Diego, CA 92106
 Phone: (619) 232-3122
 apalkowitz@sashlaw.com

Keith Petersen, *SixTen & Associates*
 P.O. Box 340430, Sacramento, CA 95834-0430
 Phone: (916) 419-7093
 kbpsixten@aol.com

Mollie Quasebarth, *Department of Finance*
 Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-0328
mollie.quasebarth@dof.ca.gov

Mark Rewolinski, *MAXIMUS*
625 Coolidge Drive, Suite 100, Folsom, CA 95630
Phone: (949) 440-0845
markrewolinski@maximus.com

Sandra Reynolds, *Reynolds Consulting Group, Inc.*
P.O. Box 894059, Temecula, CA 92589
Phone: (951) 303-3034
sandrareynolds_30@msn.com

Carla Shelton, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 327-6490
carla.shelton@csm.ca.gov

Steve Shields, *Shields Consulting Group, Inc.*
1536 36th Street, Sacramento, CA 95816
Phone: (916) 454-7310
steve@shieldscg.com

John Snavely, Superintendent, *Porterville Unified School District*
600 West Grand Avenue, Porterville, CA 93257
Phone: (559) 792-2455
jsnavely@portervilleschools.org

Jim Spano, Chief, Mandated Cost Audits Bureau, *State Controller's Office*
Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-5849
jspano@sco.ca.gov

Dennis Speciale, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0254
DSpeciale@sco.ca.gov

Meg Svoboda, *Senate Office of Research*
1020 N Street, Suite 200, Sacramento, CA
Phone: (916) 651-1500
meg.svoboda@sen.ca.gov

Amy Tang-Paterno, Educational Fiscal Services Consultant, *California Department of Education*
Government Affairs, 1430 N Street, Suite 5602, Sacramento, CA 95814
Phone: (916) 322-6630
ATangPaterno@cde.ca.gov

Thomas Todd, Assistant Program Budget Manager, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Thomas.Todd@dof.ca.gov

Jolene Tollenaar, *MGT of America*

2251 Harvard Street, Suite 134, Sacramento, CA 95815

Phone: (916) 443-4111

jolene_tollenaar@mgtamer.com

Marichi Valle, *San Jose Unified School District*

855 Lenzen Avenue, San Jose, CA 95126

Phone: (408) 535-6141

mvalle@sjusd.org

Ronald D. Wenkart, General Counsel, *Orange County Department of Education*

200 Kalmus Drive P.O. Box, Costa Mesa, CA 92628-9050

Phone: (714) 966-4220

rwenkart@ocde.us

Judy D. White, Superintendent, *Moreno Valley Unified School District*

25634 Alessandro Blvd, Moreno Valley, CA 92553

Phone: (915) 571-7500

jdwhite@mvusd.net



Exhibit D

RECEIVED
February 11, 2016
Commission on
State Mandates

BETTY T. YEE
California State Controller
Division of Accounting and Reporting

February 11, 2016

Ms. Heather Halsey
Executive Director
Commission on State Mandates
980 Ninth Street, Suite 300
Sacramento, CA 95814

Re: Test Claim Decision, Draft Expedited Parameters and Guidelines,
Schedule for Comments, and Notice of Hearing
California Assessment of Student Performance and Progress (CAASPP), 14-TC-01
Education Code Sections 60602 et al.
Plumas County Office of Education, Plumas Unified School District, Porterville Unified
School District, Santa Ana Unified School District, and Vallejo City Unified School
District, Claimants

AND

California Assessment of Student Performance and Progress (CAASPP), 14-TC-04
California Code of Regulations, Title 5, Sections 850-864; Register 2014, No. 6
Plumas County Office of Education, Plumas Unified School District, Porterville Unified
School District, and Santa Ana Unified School District, Claimants

Dear Ms. Halsey:

The State Controller's Office reviewed the draft expedited Parameters and Guidelines for the California Assessment of Student Performance and Progress program and recommends no changes.

If you have any questions regarding the above, please contact Everett Luc by telephone at (916) 323-0766, or by email at ELuc@sco.ca.gov.

Sincerely,

JAY LAL, Manager
Local Reimbursements Section

DECLARATION OF SERVICE BY EMAIL

I, the undersigned, declare as follows:

I am a resident of the County of Sacramento and I am over the age of 18 years, and not a party to the within action. My place of employment is 980 Ninth Street, Suite 300, Sacramento, California 95814.

On February 16, 2016, I served the:

SCO Comments on Draft Expedited Parameters and Guidelines

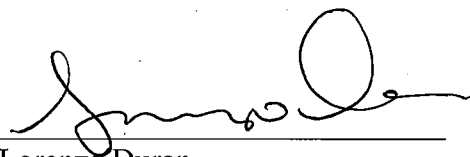
California Assessment of Student Performance and Progress (CAASPP), 14-TC-01

Education Code Sections 60602 et al.

Plumas County Office of Education, Plumas Unified School District, Porterville Unified School District, Santa Ana Unified School District, and Vallejo City Unified School District, Claimants

By making it available on the Commission's website and providing notice of how to locate it to the email addresses provided on the attached mailing list.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on February 16, 2016 at Sacramento, California.



Lorenzo Duran

Commission on State Mandates

980 Ninth Street, Suite 300

Sacramento, CA 95814

(916) 323-3562

COMMISSION ON STATE MANDATES

Mailing List

Last Updated: 2/9/16

Claim Number: 14-TC-01 and 14-TC-04

Matter: California Assessment of Student Performance and Progress (CAASPP)

Claimants: Plumas County Office of Education
Plumas Unified School District
Porterville Unified School District
Santa Ana Unified School District
Vallejo City Unified School District

TO ALL PARTIES, INTERESTED PARTIES, AND INTERESTED PERSONS:

Each commission mailing list is continuously updated as requests are received to include or remove any party or person on the mailing list. A current mailing list is provided with commission correspondence, and a copy of the current mailing list is available upon request at any time. Except as provided otherwise by commission rule, when a party or interested party files any written material with the commission concerning a claim, it shall simultaneously serve a copy of the written material on the parties and interested parties to the claim identified on the mailing list provided by the commission. (Cal. Code Regs., tit. 2, § 1181.3.)

Amber Alexander, *Department of Finance*

915 L Street, Sacramento, Ca

Phone: (916) 445-0328

Amber.Alexander@dof.ca.gov

Socorro Aquino, *State Controller's Office*

Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-7522

SAquino@sco.ca.gov

Harmeet Barkschat, *Mandate Resource Services, LLC*

5325 Elkhorn Blvd. #307, Sacramento, CA 95842

Phone: (916) 727-1350

harmeet@calsdrc.com

Lacey Baysinger, *State Controller's Office*

Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-0254

lbaysinger@sco.ca.gov

Andrea Bennett, Executive Director, *California Educational Technology Professionals As*

915 L Street, Sacramento, CA 95814

Phone: (916) 402-2471

andrea.bennett@cetpa.net

Keith Bray, General Counsel, CSBA Director, ELA, *California School Boards Association*
3251 Beacon Boulevard, West Sacramento, CA 95691
Phone: (916) 669-3270
kbray@csba.org

Mike Brown, *School Innovations & Advocacy*
5200 Golden Foothill Parkway, El Dorado Hills, CA 95762
Phone: (916) 669-5116
mikeb@sia-us.com

Laurie Bruton, Superintendent, *San Lorenzo Valley Unified School District*
325 Marion Ave, Ben Lomond, CA 95005
Phone: (831) 336-5194
lbruton@slvusd.org

J. Bradley Burgess, *MGT of America*
895 La Sierra Drive, Sacramento, CA 95864
Phone: (916) 595-2646
Bburgess@mgtamer.com

Gwendolyn Carlos, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-0706
gcarlos@sco.ca.gov

Carolyn Chu, Senior Fiscal and Policy Analyst, *Legal Analyst's Office*
925 L Street, Sacramento, CA 95814
Phone: (916) 319-8326
Carolyn.Chu@lao.ca.gov

David Cichella, *California School Management Group*
3130-C Inland Empire Blvd., Ontario, CA 91764
Phone: (209) 834-0556
dcichella@cscentral.com

Marieta Delfin, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 322-4320
mdelfin@sco.ca.gov

Andra Donovan, *San Diego Unified School District*
Legal Services Office, 4100 Normal Street, Room 2148, , San Diego, CA 92103
Phone: (619) 725-5630
adonovan@sandi.net

Donna Ferebee, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
donna.ferebee@dof.ca.gov

Chris Ferguson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-3274
Chris.Ferguson@dof.ca.gov

Susan Geanacou, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
susan.geanacou@dof.ca.gov

Paul Golaszewski, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8341
Paul.Golaszewski@lao.ca.gov

Robert Groeber, *Assistan Superintendent, Visalia Unified School District*
5000 West Cypress Ave P.O. Box, Visalia, CA 93278-5004
Phone: (559) 730-7529
rgroeber@visalia.k12.ca.us

Wendy Gudalewicz, *Superintendent, Cupertino Union School District*
10301 Vista Drive, Cupertino, CA 95014-2091
Phone: (408) 252-3000
gudalewicz_wendy@cusdk8.org

Rebecca Hamilton, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Rebecca.Hamilton@dof.ca.gov

Ed Hanson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
ed.hanson@dof.ca.gov

Jeff Harris, *County and District Superintendent, Del Norte County Unified School District*
301 W. Washington Blvd, Crescent City, CA 95531
Phone: (707) 464-0200
jharris@delnorte.k12.ca.us

Mark Ibele, *Senate Budget & Fiscal Review Committee*
California State Senate, State Capitol Room 5019, Sacramento, CA 95814
Phone: (916) 651-4103
Mark.Ibele@sen.ca.gov

Ian Johnson, *Principal Program Budget Analyst, Department of Finance*
Education Systems Unit, 915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Ian.Johnson@dof.ca.gov

Matt Jones, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 323-3562
matt.jones@csm.ca.gov

Jill Kanemasu, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-9891
jkanemasu@sco.ca.gov

Dan Kaplan, Fiscal & Policy Analyst, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8353
Dan.Kaplan@lao.ca.gov

Anne Kato, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-5919
akato@sco.ca.gov

Diann Kitamura, Superintendent (Interim), *Santa Rosa City Schools*
211 Ridgway Avenue, Santa Rosa, CA 95401
Phone: (707) 528-5181
dkitamura@srs.k12.ca.us

Sarah Koligian, Superintendent, *Tulare Joint Union High School District*
426 North Blackstone, Tulare, CA 93274-4449
Phone: (559) 688-2021
sarah.koligian@tulare.k12.ca.us

Jennifer Kuhn, Deputy, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8332
Jennifer.kuhn@lao.ca.gov

Jay Lal, *State Controller's Office (B-08)*
Division of Accounting & Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0256
JLal@sco.ca.gov

George Landon, Deputy Superintendent, Admin. Fiscal Support, *Lake Elsinore Unified School District*
545 Chaney Street, Lake Elsinore, CA 92530
Phone: (951) 253-7095
George.Landon@leusd.k12.ca.us

Nancy Lentz, Administrative Assistant to the Superintendent, *Santa Cruz City Schools District*
405 Old San Jose Road, Soquel, CA 95073
Phone: (831) 429-3410
nlentz@sccs.net

Michelle Mendoza, *MAXIMUS*
17310 Red Hill Avenue, Suite 340, Irvine, CA 95403
Phone: (949) 440-0845
michellemendoza@maximus.com

Yazmin Meza, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Yazmin.meza@dof.ca.gov

Richard L. Miller, Superintendent, *Santa Ana Unified School District*
1601 East Chestnut Avenue, Santa Ana, CA 92701
Phone: (714) 558-5512
rick.miller@sausd.us

Meredith Miller, Director of SB90 Services, *MAXIMUS*
3130 Kilgore Road, Suite 400, Rancho Cordova, CA 95670
Phone: (972) 490-9990
meredithcmiller@maximus.com

Michael Milliken, Superintendent, *Belmont-Redwood Shores School District*
2960 Hallmark Drive, Belmont, CA 94802-2999
Phone: (650) 637-4800
mmilliken@brssd.org

Robert Miyashiro, *Education Mandated Cost Network*
1121 L Street, Suite 1060, Sacramento, CA 95814
Phone: (916) 446-7517
robertm@sscal.com

Keith Nezaam, *Department of Finance*
915 L Street, 8th Floor, Sacramento, CA 95814
Phone: (916) 445-8913
Keith.Nezaam@dof.ca.gov

Andy Nichols, *Nichols Consulting*
1857 44th Street, Sacramento, CA 95819
Phone: (916) 455-3939
andy@nichols-consulting.com

Terry Oestreich, Interim Superintendent, *Plumas County Office of Education/Plumas Unified S*
1446 East Main Street, Quincy, CA 95971
Phone: (530) 283-6500
toestreich@pcoe.k12.ca.us

Christian Osmena, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
christian.osmena@dof.ca.gov

Arthur Palkowitz, *Artiano Shinoff & Holtz, APC*
Claimant Representative
2488 Historic Decatur Road, Suite 200, San Diego, CA 92106
Phone: (619) 232-3122
apalkowitz@sashlaw.com

Keith Petersen, *SixTen & Associates*
P.O. Box 340430, Sacramento, CA 95834-0430
Phone: (916) 419-7093
kbsixten@aol.com

Mollie Quasebarth, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-0328
mollie.quasebarth@dof.ca.gov

Mark Rewolinski, *MAXIMUS*
625 Coolidge Drive, Suite 100, Folsom, CA 95630
Phone: (949) 440-0845
markrewolinski@maximus.com

Sandra Reynolds, *Reynolds Consulting Group, Inc.*
P.O. Box 894059, Temecula, CA 92589
Phone: (951) 303-3034
sandrareynolds_30@msn.com

Carla Shelton, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 327-6490
carla.shelton@csm.ca.gov

Steve Shields, *Shields Consulting Group, Inc.*
1536 36th Street, Sacramento, CA 95816
Phone: (916) 454-7310
steve@shieldscg.com

John Snavely, Superintendent, *Porterville Unified School District*
600 West Grand Avenue, Porterville, CA 93257
Phone: (559) 792-2455
jsnavely@portervilleschools.org

Jim Spano, Chief, Mandated Cost Audits Bureau, *State Controller's Office*
Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-5849
jspano@sco.ca.gov

Dennis Speciale, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0254
DSpeciale@sco.ca.gov

Meg Svoboda, *Senate Office of Research*
1020 N Street, Suite 200, Sacramento, CA
Phone: (916) 651-1500
meg.svoboda@sen.ca.gov

Amy Tang-Paterno, Educational Fiscal Services Consultant, *California Department of Education*
Government Affairs, 1430 N Street, Suite 5602, Sacramento, CA 95814
Phone: (916) 322-6630
ATangPaterno@cde.ca.gov

Thomas Todd, Assistant Program Budget Manager, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Thomas.Todd@dof.ca.gov

Jolene Tollenaar, *MGT of America*

2251 Harvard Street, Suite 134, Sacramento, CA 95815

Phone: (916) 443-4111

jolene_tollenaar@mgtamer.com

Marichi Valle, *San Jose Unified School District*

855 Lenzen Avenue, San Jose, CA 95126

Phone: (408) 535-6141

mvalle@sjusd.org

Ronald D. Wenkart, General Counsel, *Orange County Department of Education*

200 Kalmus Drive P.O. Box, Costa Mesa, CA 92628-9050

Phone: (714) 966-4220

rwenkart@ocde.us

Judy D. White, Superintendent, *Moreno Valley Unified School District*

25634 Alessandro Blvd, Moreno Valley, CA 92553

Phone: (915) 571-7500

jdwhite@mvusd.net



February 16, 2016

Exhibit E

Ms. Heather Halsey
Executive Director
Commission on State Mandates
980 Ninth Street, Suite 300
Sacramento, California 95814

Re: California Assessment of Student Performance and Progress (CAASPP) Parameters and Guidelines

Dear Ms. Halsey:

The Department of Finance (Finance) has reviewed the draft expedited parameters and guidelines and the claimants' rebuttal comments dated February 11, 2016 for the consolidated test claim 14-TC-01 and 14-TC-04, California Assessment of Student Performance and Progress (CAASPP).

Draft Parameters and Guidelines

Finance believes that the following amendments to the draft expedited parameters and guidelines are necessary to ensure that the parameters and guidelines conform to the Commission's February 4, 2016, corrected decision on the test claim:

Section I summarizes the decision of the Commission; the bullets beginning on page one list the activities that are reimbursable. The first bullet indicates that administering the CAASPP assessments to all pupils via computer is a reimbursable activity. This bullet should be amended to specify that costs are only reimbursable for administration of the CAASPP summative assessments. Administering the CAASPP interim and formative assessments (including the digital library) are optional, and therefore are not reimbursable activities. This amendment is supported by the Commission's finding that "provisions of section 853 describing the availability of interim assessment and formative assessment tools do not contain any mandatory or directory language requiring school districts to use these assessments or tools." Further, this bullet should be amended to clarify that only costs associated with assessments for pupils in specified grade levels, as defined in Education Code Section 60640 and California Code of Regulations, title 5, section 850(k) (Register 2014, No. 35), are reimbursable.

Section I, beginning on page two, includes bullets listing the state and federal funds that must be deducted as offsetting revenues from any reimbursement claims. The first bullet references \$1.25 billion in Common Core implementation funding that was provided in 2013 *if* used by a school district on reimbursable CAASPP activities to support the administration of computer-based assessments. The phrase "...to support the administration of computer-based assessments" is unnecessary and could be interpreted as referencing a subset of the reimbursable activities—only those explicitly using computers and not those related to parent notifications and state reporting, for example. This bullet should be amended to clarify that the

\$1.25 billion in Common Core implementation funding is considered offsetting revenues *if* used by a school district on any of the reimbursable CAASPP activities.

Section V, subsection A, beginning on page five, specifies the direct costs that are eligible for reimbursement, and how those costs must be reported. When claiming reimbursement for fixed assets, including computers, the parameters and guidelines appropriately specify that only the pro-rata portion of the purchase price used to implement the reimbursable activities can be claimed. However, the "Fixed Assets" section should be amended to require claimants to report: (1) the dates and times within the assigned testing window they administered the CAASPP summative assessments; and (2) the technology infrastructure and device inventory that was replaced to accommodate the CAASPP summative assessments. These amendments are necessary to ensure that the costs for fixed assets used for purposes other than CAASPP summative assessment administration are not reimbursed. Further, these amendments will ensure that only the costs for fixed assets that were absolutely necessary for meeting the minimum technology requirements of the CAASPP summative assessments are reimbursed.

As background, the 2014 Smarter Balanced Field Test was administered from March 25 through June 6, 2014, during a testing window assigned by the testing contractor. Schools in California were assigned to two of the following four windows, within which they established their own unique testing schedules:

- Window 1: March 25 through April 4, 2014
- Window 2: April 7 through April 25, 2014
- Window 3: April 28 through May 16, 2014
- Window 4: May 19 through June 6, 2014

Per California Code of Regulations, Title 5, Sections 855(b)(1) and 855(b)(2), the testing window for the 2014-15 Smarter Balanced assessments in English Language Arts and mathematics was as follows:

- For grades 3-8, the testing window shall not begin until at least 66 percent of a school's annual instructional days have been completed, and testing may continue up to and including the last day of instruction for the regular school calendar. This allows for a 12-week testing window.
- For grade 11, the testing window shall not begin until at least 80 percent of a school's annual instructional days have been completed, and testing may continue up to and including the last day of instruction for the regular school calendar year. This allows for a 7-week testing window.

The parameters and guidelines specify that "...the acquisition of and ongoing compliance with *minimum* technology requirements" are reimbursable costs [emphasis added]. The computer-based CAASPP assessments were designed to work on a variety of older hardware and operating system configurations. In order to determine if a purchase is reimbursable, it will be necessary to first know whether a district already had infrastructure and/or devices in place that met the minimum technology requirements for test administration.

Details about the minimum technology requirements can be found in the Smarter Balanced report, *Technology Strategy Framework and Testing Device Requirements*, available on the Smarter Balanced Technology Website (<http://www.smarterbalanced.org/smarter-balanced-assessments/technology/>). We note that the Smarter Balanced report describes two levels of hardware specifications: minimum and recommended. As previously stated, only the costs associated with acquiring and maintaining the minimum technology requirements for administering the CAASPP summative assessments are reimbursable.

Claimants' Rebuttal Comments

Finance requests that comment number one, requesting to add "Beginning February 3, 2014, the local educational agency/CAASPP test site coordinator shall be responsible for ensuring that all designated supports, accommodations and individuals aids are entered into the registration system" to the list of reimbursable activities be amended to conform to the Commission's corrected decision. The Commission, in its February 4, 2016 corrected test claim decision, found this activity to be reimbursable beginning August 27, 2014.

Finance opposes comment number two, requesting to add "The reimbursement costs shall include, but is not limited to, the following: computers, laptops, Ipads, tablets, Professional Development, training, Consultants, servers, broadband, carts, peripheral infrastructure equipment: fiber optic cabling, headphones; earplugs; keyboards; microphones, electrical cords; hardware and software." As noted above, the Commission found that the costs associated with acquiring and maintaining the minimum technology requirements are reimbursable. Therefore, it is critical that the parameters and guidelines are clear that any technology costs claimed that are in excess of the minimum technology requirements will not be reimbursed. We believe including loose terms, including, but not limited to, "computers", "headphones", "microphones", and "earplugs" could be interpreted in a way that expands the scope of reimbursable technology costs, because it is possible that many computers and headphones, and all microphones and earplugs, claimed under these parameters and guidelines will exceed the minimum technology requirements. Our concerns are supported by the minimum technology requirements, which: (1) establish the minimum computer specifications; (2) state that *standard* headphones connected via standard TRS connections will suffice; (3) state that microphones are not required; and (4) make no reference to earplugs.

Finance opposes comment number four, requesting to add "The reimbursement costs shall include, but is not limited to, the following: Making arrangements for the testing of all eligible pupils in alternative education programs or programs conducted off campus, including, but not limited to, non-classroom based programs, continuation schools, independent study, community day schools, county community schools, juvenile court schools, or NPSs" to the third bullet listed on page four of the parameters and guidelines. We oppose the claimants' request because making arrangements for students in these types of nontraditional programs is not new under CAASPP, and the Commission has already ruled accordingly. Specifically, in its January 22, 2016 adopted test claim decision, the Commission found that California Code of Regulations, title 5, section 851, as amended by the test claim regulations, does not impose any new requirements on school districts. Prior to the test claim regulations, section 851 required school districts to "make whatever arrangements are necessary to test all eligible pupils in alternative education programs or programs conducted off campus, including...continuation schools, independent study, community day schools, county community schools, juvenile court schools, or nonpublic schools."

Ms. Heather Halsey
February 16, 2016
Page 4 of 4

If you have any questions regarding this letter, please contact Ian Johnson, Principal Program Budget Analyst for the Department of Finance, at (916) 445-0328.

Sincerely,

A handwritten signature in blue ink, appearing to read 'TT', with a stylized flourish extending to the right.

THOMAS TODD
Assistant Program Budget Manager

DECLARATION OF SERVICE BY EMAIL

I, the undersigned, declare as follows:

I am a resident of the County of Sacramento and I am over the age of 18 years, and not a party to the within action. My place of employment is 980 Ninth Street, Suite 300, Sacramento, California 95814.

On February 18, 2016, I served the:

**Finance Comments on Draft Expedited Parameters and Guidelines and Claimant
Rebuttal Comments**

California Assessment of Student Performance and Progress (CAASPP), 14-TC-01
Education Code Sections 60602 et al.

Plumas County Office of Education, Plumas Unified School District, Porterville Unified
School District, Santa Ana Unified School District, and Vallejo City Unified School
District, Claimants

By making it available on the Commission's website and providing notice of how to locate it to the email addresses provided on the attached mailing list.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct, and that this declaration was executed on February 18, 2016 at Sacramento, California.



Lorenzo Duran
Commission on State Mandates
980 Ninth Street, Suite 300
Sacramento, CA 95814
(916) 323-3562

COMMISSION ON STATE MANDATES

Mailing List

Last Updated: 2/9/16

Claim Number: 14-TC-01 and 14-TC-04

Matter: California Assessment of Student Performance and Progress (CAASPP)

Claimants: Plumas County Office of Education
Plumas Unified School District
Porterville Unified School District
Santa Ana Unified School District
Vallejo City Unified School District

TO ALL PARTIES, INTERESTED PARTIES, AND INTERESTED PERSONS:

Each commission mailing list is continuously updated as requests are received to include or remove any party or person on the mailing list. A current mailing list is provided with commission correspondence, and a copy of the current mailing list is available upon request at any time. Except as provided otherwise by commission rule, when a party or interested party files any written material with the commission concerning a claim, it shall simultaneously serve a copy of the written material on the parties and interested parties to the claim identified on the mailing list provided by the commission. (Cal. Code Regs., tit. 2, § 1181.3.)

Amber Alexander, *Department of Finance*

915 L Street, Sacramento, Ca

Phone: (916) 445-0328

Amber.Alexander@dof.ca.gov

Socorro Aquino, *State Controller's Office*

Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-7522

SAquino@sco.ca.gov

Harmeet Barkschat, *Mandate Resource Services, LLC*

5325 Elkhorn Blvd. #307, Sacramento, CA 95842

Phone: (916) 727-1350

harmeet@calsdrc.com

Lacey Baysinger, *State Controller's Office*

Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 324-0254

lbaysinger@sco.ca.gov

Andrea Bennett, Executive Director, *California Educational Technology Professionals As*

915 L Street, Sacramento, CA 95814

Phone: (916) 402-2471

andrea.bennett@cetpa.net

Keith Bray, General Counsel, CSBA Director, ELA, *California School Boards Association*
3251 Beacon Boulevard, West Sacramento, CA 95691
Phone: (916) 669-3270
kbray@csba.org

Mike Brown, *School Innovations & Advocacy*
5200 Golden Foothill Parkway, El Dorado Hills, CA 95762
Phone: (916) 669-5116
mikeb@sia-us.com

Laurie Bruton, Superintendent, *San Lorenzo Valley Unified School District*
325 Marion Ave, Ben Lomond, CA 95005
Phone: (831) 336-5194
lbruton@slvusd.org

J. Bradley Burgess, *MGT of America*
895 La Sierra Drive, Sacramento, CA 95864
Phone: (916) 595-2646
Bburgess@mgtamer.com

Gwendolyn Carlos, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-0706
gcarlos@sco.ca.gov

Carolyn Chu, Senior Fiscal and Policy Analyst, *Legal Analyst's Office*
925 L Street, Sacramento, CA 95814
Phone: (916) 319-8326
Carolyn.Chu@lao.ca.gov

David Cichella, *California School Management Group*
3130-C Inland Empire Blvd., Ontario, CA 91764
Phone: (209) 834-0556
dcichella@cscentral.com

Marieta Delfin, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 322-4320
mdelfin@sco.ca.gov

Andra Donovan, *San Diego Unified School District*
Legal Services Office, 4100 Normal Street, Room 2148, , San Diego, CA 92103
Phone: (619) 725-5630
adonovan@sandi.net

Donna Ferebee, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
donna.ferebee@dof.ca.gov

Chris Ferguson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-3274
Chris.Ferguson@dof.ca.gov

Susan Geanacou, *Department of Finance*
915 L Street, Suite 1280, Sacramento, CA 95814
Phone: (916) 445-3274
susan.geanacou@dof.ca.gov

Paul Golaszewski, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8341
Paul.Golaszewski@lao.ca.gov

Robert Groeber, *Assistan Superintendent, Visalia Unified School District*
5000 West Cypress Ave P.O. Box, Visalia, CA 93278-5004
Phone: (559) 730-7529
rgroeber@visalia.k12.ca.us

Wendy Gudalewicz, *Superintendent, Cupertino Union School District*
10301 Vista Drive, Cupertino, CA 95014-2091
Phone: (408) 252-3000
gudalewicz_wendy@cusdk8.org

Rebecca Hamilton, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Rebecca.Hamilton@dof.ca.gov

Ed Hanson, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
ed.hanson@dof.ca.gov

Jeff Harris, *County and District Superintendent, Del Norte County Unified School District*
301 W. Washington Blvd, Crescent City, CA 95531
Phone: (707) 464-0200
jharris@delnorte.k12.ca.us

Mark Ibele, *Senate Budget & Fiscal Review Committee*
California State Senate, State Capitol Room 5019, Sacramento, CA 95814
Phone: (916) 651-4103
Mark.Ibele@sen.ca.gov

Ian Johnson, *Principal Program Budget Analyst, Department of Finance*
Education Systems Unit, 915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Ian.Johnson@dof.ca.gov

Matt Jones, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 323-3562
matt.jones@csm.ca.gov

Jill Kanemasu, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816

Phone: (916) 322-9891
jkanemasu@sco.ca.gov

Dan Kaplan, Fiscal & Policy Analyst, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8353
Dan.Kaplan@lao.ca.gov

Anne Kato, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-5919
akato@sco.ca.gov

Diann Kitamura, Superintendent (Interim), *Santa Rosa City Schools*
211 Ridgway Avenue, Santa Rosa, CA 95401
Phone: (707) 528-5181
dkitamura@srs.k12.ca.us

Sarah Koligian, Superintendent, *Tulare Joint Union High School District*
426 North Blackstone, Tulare, CA 93274-4449
Phone: (559) 688-2021
sarah.koligian@tulare.k12.ca.us

Jennifer Kuhn, Deputy, *Legislative Analyst's Office*
925 L Street, Suite 1000, Sacramento, CA 95814
Phone: (916) 319-8332
Jennifer.kuhn@lao.ca.gov

Jay Lal, *State Controller's Office (B-08)*
Division of Accounting & Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0256
JLal@sco.ca.gov

George Landon, Deputy Superintendent, Admin. Fiscal Support, *Lake Elsinore Unified School District*
545 Chaney Street, Lake Elsinore, CA 92530
Phone: (951) 253-7095
George.Landon@leusd.k12.ca.us

Nancy Lentz, Administrative Assistant to the Superintendent, *Santa Cruz City Schools District*
405 Old San Jose Road, Soquel, CA 95073
Phone: (831) 429-3410
nlentz@sccs.net

Michelle Mendoza, *MAXIMUS*
17310 Red Hill Avenue, Suite 340, Irvine, CA 95403
Phone: (949) 440-0845
michellemendoza@maximus.com

Yazmin Meza, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
Yazmin.meza@dof.ca.gov

Richard L. Miller, Superintendent, *Santa Ana Unified School District*
1601 East Chestnut Avenue, Santa Ana, CA 92701
Phone: (714) 558-5512
rick.miller@sausd.us

Meredith Miller, Director of SB90 Services, *MAXIMUS*
3130 Kilgore Road, Suite 400, Rancho Cordova, CA 95670
Phone: (972) 490-9990
meredithcmiller@maximus.com

Michael Milliken, Superintendent, *Belmont-Redwood Shores School District*
2960 Hallmark Drive, Belmont, CA 94802-2999
Phone: (650) 637-4800
mmilliken@brssd.org

Robert Miyashiro, *Education Mandated Cost Network*
1121 L Street, Suite 1060, Sacramento, CA 95814
Phone: (916) 446-7517
robertm@sscal.com

Keith Nezaam, *Department of Finance*
915 L Street, 8th Floor, Sacramento, CA 95814
Phone: (916) 445-8913
Keith.Nezaam@dof.ca.gov

Andy Nichols, *Nichols Consulting*
1857 44th Street, Sacramento, CA 95819
Phone: (916) 455-3939
andy@nichols-consulting.com

Terry Oestreich, Interim Superintendent, *Plumas County Office of Education/Plumas Unified S*
1446 East Main Street, Quincy, CA 95971
Phone: (530) 283-6500
toestreich@pcoe.k12.ca.us

Christian Osmena, *Department of Finance*
915 L Street, Sacramento, CA 95814
Phone: (916) 445-0328
christian.osmena@dof.ca.gov

Arthur Palkowitz, *Artiano Shinoff & Holtz, APC*
Claimant Representative
2488 Historic Decatur Road, Suite 200, San Diego, CA 92106
Phone: (619) 232-3122
apalkowitz@sashlaw.com

Keith Petersen, *SixTen & Associates*
P.O. Box 340430, Sacramento, CA 95834-0430
Phone: (916) 419-7093
kbsixten@aol.com

Mollie Quasebarth, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814

Phone: (916) 445-0328
mollie.quasebarth@dof.ca.gov

Mark Rewolinski, *MAXIMUS*
625 Coolidge Drive, Suite 100, Folsom, CA 95630
Phone: (949) 440-0845
markrewolinski@maximus.com

Sandra Reynolds, *Reynolds Consulting Group, Inc.*
P.O. Box 894059, Temecula, CA 92589
Phone: (951) 303-3034
sandrareynolds_30@msn.com

Carla Shelton, *Commission on State Mandates*
980 9th Street, Suite 300, Sacramento, CA 95814
Phone: (916) 327-6490
carla.shelton@csm.ca.gov

Steve Shields, *Shields Consulting Group, Inc.*
1536 36th Street, Sacramento, CA 95816
Phone: (916) 454-7310
steve@shieldscg.com

John Snavely, Superintendent, *Porterville Unified School District*
600 West Grand Avenue, Porterville, CA 93257
Phone: (559) 792-2455
jsnavely@portervilleschools.org

Jim Spano, Chief, Mandated Cost Audits Bureau, *State Controller's Office*
Division of Audits, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 323-5849
jspano@sco.ca.gov

Dennis Speciale, *State Controller's Office*
Division of Accounting and Reporting, 3301 C Street, Suite 700, Sacramento, CA 95816
Phone: (916) 324-0254
DSpeciale@sco.ca.gov

Meg Svoboda, *Senate Office of Research*
1020 N Street, Suite 200, Sacramento, CA
Phone: (916) 651-1500
meg.svoboda@sen.ca.gov

Amy Tang-Paterno, Educational Fiscal Services Consultant, *California Department of Education*
Government Affairs, 1430 N Street, Suite 5602, Sacramento, CA 95814
Phone: (916) 322-6630
ATangPaterno@cde.ca.gov

Thomas Todd, Assistant Program Budget Manager, *Department of Finance*
Education Systems Unit, 915 L Street, 7th Floor, Sacramento, CA 95814
Phone: (916) 445-0328
Thomas.Todd@dof.ca.gov

Jolene Tollenaar, *MGT of America*

2251 Harvard Street, Suite 134, Sacramento, CA 95815

Phone: (916) 443-4111

jolene_tollenaar@mgtamer.com

Marichi Valle, *San Jose Unified School District*

855 Lenzen Avenue, San Jose, CA 95126

Phone: (408) 535-6141

mvalle@sjusd.org

Ronald D. Wenkart, General Counsel, *Orange County Department of Education*

200 Kalmus Drive P.O. Box, Costa Mesa, CA 92628-9050

Phone: (714) 966-4220

rwenkart@ocde.us

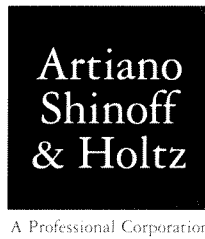
Judy D. White, Superintendent, *Moreno Valley Unified School District*

25634 Alessandro Blvd, Moreno Valley, CA 92553

Phone: (915) 571-7500

jdwhite@mvusd.net

2488 Historic Decatur Road
Suite 200
San Diego, California 92106
(619) 232-3122
Fax (619) 232-3264
www.sashlaw.com



Arthur M. Palkowitz
apalkowitz@sashlaw.com

RECEIVED
February 23, 2016
**Commission on
State Mandates**

February 23, 2016

Exhibit F

Heather Halsey
Executive Director
COMMISSION ON STATE MANDATES
980 9th Street, Suite 300
Sacramento, CA 95814

**Re: Claimants' Rebuttal Comments to Department of Finance Comments-
Draft Parameters & Guidelines
California Assessment of Student Performance and Progress (CAASPP)
Test Claim 14-TC-01 and 14-TC-04**

Dear Ms. Halsey:

The following is provided in rebuttal to the Department of Finance's ("DOF") comments to the Draft Parameters & Guidelines ("P & G's") dated February 16, 2016.

Section I.

Claimants' oppose DOF's comments regarding Section I that the phrase, "to support the administration of computer-based assessments" is limited to activities related to using computers. The decision states, "..., the state provided \$1.25 billion to support the implementation of CCSS, including, "expenditures necessary to support the administration of computer-based assessments and provide high-speed, high-bandwidth Internet connectivity for the purpose of administration of computer-based assessments." (Decision, p.20)

As such, we oppose DOF's proposed changes to the Draft Parameters & Guidelines that the \$1.25 billion in Common Core implementation funding is considered offsetting revenues if used by a school district on *any* of the reimbursable CAASPP activities.

Section V.

Claimants' oppose DOF's comments regarding Section V, requiring that the claimants maintain a "technology infrastructure and device inventory that was replaced to accommodate the CAASPP summative assessments." DOF's proposal is not supported by the test claim statute, regulation or any other authority.

**Claimants' Comments on Draft Parameters & Guidelines
California Assessment of Student Performance and Progress (CAASPP)
Test Claim 14-TC-01 And 14-TC-04**

Generally the devices or other equipment replaced are below the fixed asset threshold for inventories / audits / and reporting. Additionally, having an inventory list would not determine if the equipment met the CAASPP standards and if the equipment is still used by the LEA for its intended non-CAASPP purpose. Effectively, DOF is requesting an inventory of pencils that have been replaced by computing devices.

Equally important is that the test claim statute and regulations do not require Local Education Agencies ("LEA") to use existing equipment during the "administration of computer-based assessments." As such, LEA have the discretion to purchase the necessary tools to implement the mandate, regardless of their pre-CAASPP fixed assets inventory. The legislature provided the LEA with the discretion to purchase the necessary equipment without other government agencies reviewing the decision. Otherwise, claimants would be required to maintain another set of mandated reports annually to analyze existing resources and minimum standards necessary to run the most current version of CAASPP.

These fixed assets were purchased to benefit other organizational goals including student access to technology and digital learning resources. Furthermore, the test claim statutes/regulations did not require that equipment purchased for CAASPP be used exclusively for assessments. Therefore, LEA need not "lock up the equipment" when it is not being used for assessments. Students use of equipment for instruction and assessments eliminates problems of transitioning from their normal device to the SBAC device, that otherwise might affect their performance on the test.

Hardware Specifications.

LEA mandated activities to provide hardware specifications: minimum and recommended; is well supported by the test claim statute and regulations. DOF's comments are misguided. Earplugs and microphones must be included in thousands of students with special needs (504 plans/IEPs), as well as students that may have limited keyboarding skills and require microphones to perform optimally on the assessment. Further, there are issues of health and safety that surround sharing the equipment.

DOF's comments that "it is critical that the parameters and guidelines are clear that any technology costs claimed that are in excess of the minimum technology requirements will not be reimbursed," and that there is "no reference to earplugs" must be denied. There is also no reference to keyboards; power off buttons; electricity, internet connection, etc. DOF's unreasonable attempts to narrowly define the LEA's ability to seek reimbursement is unsupported by the test claim statutes and regulations.

Heather Halsey
Executive Director
COMMISSION ON STATE MANDATES


February 23, 2016
Page 3

**Claimants' Comments on Draft Parameters & Guidelines
California Assessment of Student Performance and Progress (CAASPP)
Test Claim 14-TC-01 And 14-TC-04**

Thank you for your cooperation.

Sincerely,

ARTIANO SHINOFF & HOLTZ
A Professional Corporation



Arthur M. Palkowitz

AMP: ml



**The Smarter Balanced Technology Strategy Framework and
Testing Device Requirements**

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

Smarter Balanced Assessment Consortium

Smarter Balanced is a state-led consortium developing assessments aligned to the Common Core State Standards in English language arts/literacy and mathematics that are designed to help prepare all students to graduate high school college- and career-ready.

Introduction

This report presents a framework for collective technology planning among the Smarter Balanced Assessment Consortium member states. The plan emphasizes the critical need for technology to support student learning with the Smarter Balanced Assessment System minimum requirements as context and milestones. The minimum requirements are based on expert judgments regarding instructional technology, district interviews, input and feedback from various national experts, specific guidance and direction from the Smarter Balanced executive team and the Technology Approach Work Group, and an independent review of data collected from the Smarter Balanced Technology Readiness Tool.

These data and reviews indicate that the administration of online adaptive assessments, similar to those administered in a number of Smarter Balanced states at this time, can largely be executed with the hardware and infrastructure that exists in schools today. Key strategies for successful implementation of the Smarter Balanced Assessment System will include:

- Implementing strategic approaches to testing schedules that leverage the testing window.
- Evaluating and addressing any problems with actual bandwidth levels at a given school site (i.e. the pipeline throughout the school, not just the bandwidth to the school).
- Ensuring continual basic maintenance and upkeep of existing assets.



This report describes two levels of hardware specifications: minimum specifications and recommended guidelines. A school that implements only the minimum specifications (e.g., bandwidth and computers) will be able to implement the Smarter Balanced Assessment System successfully, but the individual testing experience for any particular student may have periods of slowness during which the computer experiences brief moments of data lag or delay, which will not disable the exam, but will merely result in the system taking a few additional seconds to capture student responses and render the next question or item. In addition, some students with special needs may not be able to use computers that meet only the minimum specifications. Students in schools that implement the Smarter Balanced Assessment System in a manner consistent with the recommended guidelines will tend to experience few, if any, periods of slowness as described and will have a more fluid testing experience.

Smarter Balanced intends for there to be at least two methods by which states are able to implement the Smarter Balanced Assessment System.

- 1) States will be able to administer the Smarter Balanced Assessment System using the Smarter Balanced–developed applications by procuring hosting and helpdesk services.
- 2) States will be able to procure test administration platforms, hosting and help desk services that vendors have verified using the Smarter Balanced Implementation Readiness Package. Smarter Balanced’s Architecture Review Board is considering methods to establish comparability among test administration platforms.

Although comparable approaches to administering the Smarter Balanced Assessment System are likely to have similar requirements to the Smarter Balanced–developed applications, this document only describes the requirements to use the Smarter Balanced–developed applications.

Two additional factors should be considered when reviewing this document:

- 1) The specifications described in this document are minimum specifications necessary for the Smarter Balanced assessment only. Minimum specifications to support instruction and other more media-heavy applications are higher than those necessary for the assessment.
- 2) The Smarter Balanced minimum specifications for assessment were deliberately established as a low entry point to help ensure that technology-purchasing decisions are made based on instructional plans and to increase the likelihood that schools will successfully engage in online testing.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

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The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

I. Overview of the Smarter Balanced Technology Strategy Framework

By 2014–15, most students in public schools will engage with a variety of computer-based instructional modules and/or computer-based assessments. The rationale for this trend is well described in the U.S. Department of Education’s regulations regarding the Race to the Top Assessment Program:

States need assessment systems that better reflect good instructional practices and support a culture of continuous improvement in education by providing information that can be used in a timely and meaningful manner to determine school and educator effectiveness, identify teacher and principal professional development and support needs, improve programs, and guide instruction.

— Overview Information; Race to the Top Fund Assessment Program, USDOE Federal Register, Vol. 75, No. 68 (<http://www.gpo.gov/fdsys/pkg/FR-2010-04-09/pdf/2010-8176.pdf>)

As a continuing part of their local efforts to better serve their students and as participants in the Smarter Balanced Assessment Consortium, schools, districts, and states are evaluating the capacity of their schools through surveys of existing technical infrastructure and devices and potential future purchasing trends. These data are being used to derive strategies in response to the desire to move national assessment instruments, processes, and data aggregation and reporting into the digital age.

Implementing a watershed change in the use of educational technology by 2014–15 is made more complex by the growing shift in computing device form factors, which will inevitably involve one of the largest hardware/software migrations encountered within education over the last 25 years. During this transitional period, districts will rely heavily upon the traditional desktops and laptops that all educational institutions have used as the core framework for their technical ecosystems, while simultaneously testing and planning for more mobile data- and network-enabled devices (tablets, e-readers, smartphones, etc.) that have penetrated the consumer markets and the lives of students and teachers.



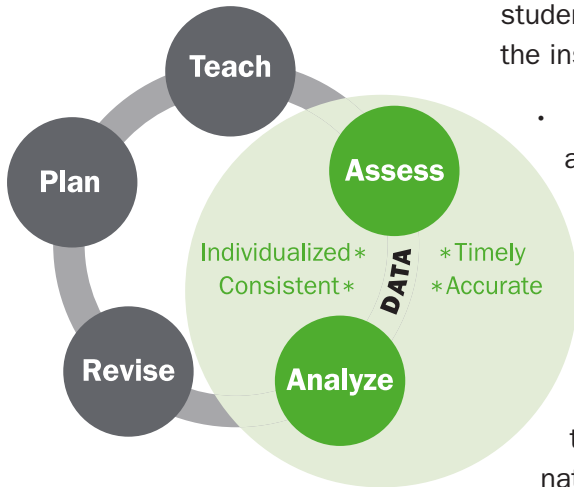
Despite significant challenges, there is a clear opportunity for dramatic success. By developing a common assessment with common technology requirements, states and districts create a roadmap for the requirements of the future. In addition, the diversity of device types that are available provides districts with a range of options that can best address their specific program needs. Finally, there are many states that can serve as exemplars of success regarding online assessment, online instruction, and technology planning. By combining the expertise of these states, the best elements of existing programs and descriptions of educational technology best practices can be identified.

As such, this document is intended to be a living document that provides districts with basic information that is necessary to assist them in their plans for the continued use of legacy systems as instructional resources and as delivery devices for online assessments. Many districts will, by design or by need, have to consider the implementation of changes to their systems of information technology. This may include some elements of new hardware in the form of desktops, laptops, and thin clients, as well as devices less familiar to district IT support personnel, including mobile devices such as tablets. Changes in devices may require subsequent changes to networks such as including new wireless networks or upgrading existing wireless networks. Many districts will have to establish new policies to address the new technologies such as 1:1 initiatives, processes for checking computers out through the school's library/media center, moving devices from class to class in a cart, and the use of student-owned/-managed devices.

Districts will be asked on various levels to explain the impetus for changes to their local technology plans and the reasons behind them. Whether working with individual schools and the instructional staff or communicating with their local stakeholder organizations and community, this document will also assist districts in better articulating that the national programs and local strategies require different technologies to yield the full anticipated benefits of teaching and learning improvements.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

These advantages include:



- **Timely Data:** Immediate access to individual student performance data to help educators more readily know where students are on a given continuum of skills can better support the instructional planning processes.
- **Individualized, Accurate Assessment:** Districts' teachers and instructional leaders can deliver specific computer-adaptive interim and summative assessments tailored to the needs of various students. As students encounter assessments that actively calibrate performance item-by-item, a more precise pathway is generated to understand students' levels of proficiency and to better identify the specific individual skills they possess as well as the gaps that persist in their performance over time. The adaptive nature of this test is particularly suited to addressing the special needs of some learners with specific adaptations tailored to their unique designations.
- **Accessible Reports:** Structured and adaptable information on student achievement across grades and subject areas enables teachers, administrators, and district leaders to have focused, data-supported dialogue on students' needs to better articulate support, communication, and budgets around those needs.
- **Increased Efficiency and Security:** There will be a significantly reduced need to produce and physically secure, transport, and disseminate hard-copy assessments and to require constant and scrupulous monitoring of millions of paper items across districts and states.

Defining Learning Analytics

Learning analytics loosely joins a variety of data-gathering tools and analytic techniques to study student engagement, performance, and progress in practice, with the goal of using what is learned to revise curricula, teaching, and assessment in real time...A key application of learning analytics is monitoring and predicting students' learning performance and spotting potential issues early so that interventions can be provided to identify students at risk of failing a course or program of study.

— Johnson, L., Smith, R., Willis, H., Levine, A., and Haywood, K., (2011). The 2011 Horizon Report. Austin, Texas: The New Media Consortium.

States that use computer-based assessments typically have more capacity in the form of data structures to quickly pinpoint student progress toward learning outcomes. The strategic type of **Learning Analytics** that can be generated from these data structures increases schools' and districts' capacity to convert the data into information that can inform the instructional analysis and planning cycle. Intervention plans for students not meeting achievement expectations can be targeted and specific to precise skill gaps. Finally, computer-based assessments are more conducive to identifying successful programs that can be replicated.



With a robust technology system that supports computer-based instruction and assessment, the understanding of student needs allows educators to more quickly identify gaps in effective instructional content and address those gaps by procuring a diversity of materials aligned to the Common Core State Standards as to share successful instructional strategies that leverage those materials. Policymakers at district and state levels can make informed decisions about the strategic allocation of resources by analyzing where investments have generated results, and the degree to which students are experiencing similar success consistently across schools and districts.

The information provided herein is a compilation of data, research, general form-factor specifications, and field-based analysis generated through a broad spectrum of input, recommendations, and interviews. The intent of this material is to assist districts within Smarter Balanced in creating a forward-looking vision and related strategies for the implementation of next-generation assessments that accurately measure student progress toward college- and career-readiness as aligned to the Common Core State Standards by 2014–15.

As a lead-in point, it is important to note that a common theme resonated across numerous direct interviews and inquiries with state department-level personnel and district technology and assessment coordinators directly involved with administering online computer-adaptive tests; these tests save time and money, and teachers are vehement that the tests have helped them to better understand their students' needs. They are able to have better conversations about students and learning, and they would be averse to returning to their traditional assessment methods.

Based on the general research and data reviews conducted for the development of these guidelines, we believe that most districts will find much of their existing infrastructure and device inventory will serve to administer the online assessments. By all estimations at this time, the need for states and districts to secure large volumes of hardware and infrastructure purchases between now and the 2014–15 school year is not consistent with the implementation data available. Where purchasing considerations are necessary, the information within this document will assist in early thinking and considerations for districts and schools.

.....
“When considering the transition to online tests, I would want other districts in other states to emphasize money; resource and time savings; ease of exam organization and administration; and immediate feedback, as direct benefits to teachers and students.”
— Oregon School District
Administrator of Technology
and Assessment

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

II. Summary of Statewide Technology Readiness Survey

*School Systems Trends Nationally

Common survey data from United States schools continues to illuminate an array of existing hardware/software deployed across myriad networks and infrastructures. However, even with this seemingly diverse tapestry, certain trends or configuration patterns surface in terms of how K-12 provisioning of hardware, operating systems, and network data infrastructures have been designed over the past decade.

.....
*Technical trends data are largely drawn from *A Summary Report for the July 15, 2012 Data Snapshot* as prepared by Pearson for Smarter Balanced and PARCC.

- **Hardware:** Primarily Windows-based desktops and laptops
- **Operating Systems:** Primarily Windows XP or 7
- **Productivity Software:** Microsoft Office Suite (2003–2010)
- **Network Data Bandwidth:** (incoming/internal):
10 Mbps/10–100 Mbps

To rely exclusively on this “majority profile” would misrepresent the whole picture; however, as there are significant numbers of schools in all states running everything from Mac OS 10.3 on “clamshell”-style iBooks to new tablets running Android’s Ice Cream Sandwich.

Therefore, this document will examine a number of these data, as related to the trends that have surfaced across the nation, and ask that districts then consider this global information prior to distilling it to a more specific study of their own technology readiness for implementation of the online computer-adaptive assessments to be executed in the 2014–15 school year.



Overview of Report Data	Type of Site-Based Devices in General
Total Device Counts in Report: 5,977,387	<ul style="list-style-type: none"> • 59.6% of devices are desktops/laptops • 10.1% are netbooks, tablets, or other mobile-type units <p><i>30.3% of devices in count were not specified by type.</i></p>
Total District Counts in Report: 11,789	
Total School Counts in Report: 56,268	

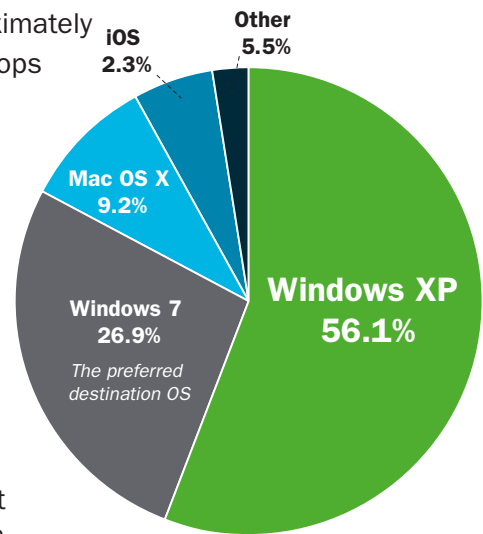
As shown above, the data set for assertions made within this document is derived from a large device count. While some discrepancies can be found in the more granular information collected from states, in terms of non-responses and culling of federal data in place of a direct, current accounting for some items, the overall trends presented are valid and persistent across states due to the overall size of the sample.

As such, if we can assume that the 30.3% of devices that went unidentified (primarily due to two states' failure to report information on device type) were to follow the desktop/laptop-to-mobile device ratio established by those states that did report device type, approximately 85% of the computing devices in districts are desktops or laptops and 15% are mobile devices.

Operating System Trends in U.S. K-12 Schools

District Takeaway #1: Plan to migrate from Windows XP to newer OS within two years of Microsoft's support end date of April, 2014.

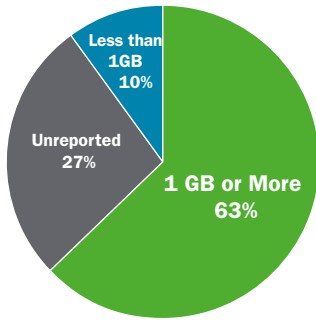
While the online assessment will be able to run on Windows XP in 2014–15, districts are strongly urged to consider a transition plan to migrate units off of Windows XP, as it will be a non-supported OS by April of 2014 according to Microsoft. At this time, Windows 7 is a preferred destination OS. Windows 8 has not been fully tested, but is anticipated as an acceptable OS for Smarter Balanced assessments in coming years. Please note that this is only a recommendation; Windows XP will continue to be a viable OS to execute the assessment solution package beyond Microsoft's support end date, and many districts will still have other programs that are dependent on XP in various instances.



Operating Systems Deployment

The graph above shows current operating systems usage. Districts are strongly urged to consider a transition plan to migrate units off of Windows XP.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements



Internal Memory

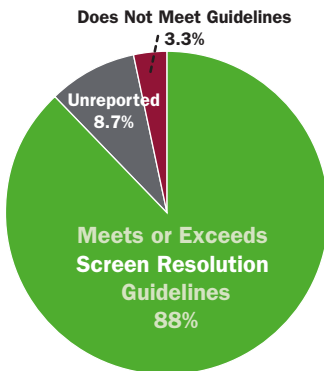
The graph above shows current internal memory usage. Districts should upgrade computers to at least 1 GB of internal memory.

Internal Memory Trends in U.S. K-12 Schools

District Takeaway #2: all districts should upgrade computers to at least 1 GB of internal memory.

It is anticipated through projecting the trends seen above that the majority of the unreported numbers would most likely end up coming in at 1 GB or more in internal memory. New purchase guidelines call for at least 1 GB and in terms of upgrading older machines, internal memory is one of the least expensive and easiest upgrades to conduct.

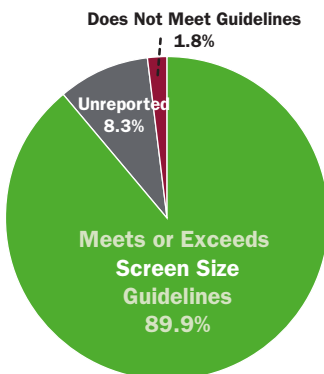
It is important to note that computers meeting the minimum required operating systems, with ample bandwidth, can and will be largely marginalized in their overall performance if enough internal memory is not accessible to run browsers simultaneously with other core operations on a given unit. And, given the relatively low-costs for upgrading memories as stated above, it is recommended that district's perform such upgrades as a means to enable more units for effective assessment use.



Screen Resolution and Screen Size Trends in U.S. K-12 Schools

District Takeaway #3: Ensure that devices have a visual display of no less than 9.5-inch screen dimension (10-inch class) supporting at least 1024x768 resolution.

While smaller screens can achieve the required resolution, a minimum display size is also required to ensure that all text and diagrams are legible. Ten-inch class devices (defined as a minimum of 9.5 inches measured diagonally) are the minimum requirement for Smarter Balanced Assessments. Districts planning to use tablets will need to provide external keyboards for students to maximize viewing space on their devices.



Screen Resolution and Screen Size Trends

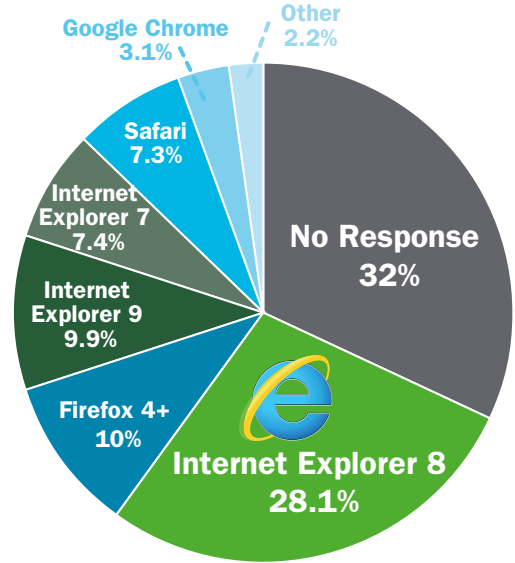
The graphs on the left show current screen resolution and screen sizes.



Internet Browser Trends in U.S. K-12 Schools

District Takeaway #4: The student testing site ultimately operates on secure browsers.

While various components of the online assessment package (such as the test administrator live site, training site, and the online student practice tests) are executed on various web browser/OS configurations, the actual student testing site can only be operated on a series of secure browsers as generated by the Smarter Balanced solution for various operating systems. (An example of the AIR’s existing secure browser download interface is below.)



Windows
2000, XP, Vista, 7

MAC OS X
10.4 and 10.5
(with PowerPC processors)

MAC OS X
10.5, 10.6, and 10.7
(with Intel processors)

Linux
Fedora Core 6 (K12LTSP 4.2+) and Ubuntu 9-12

Download Secure Browser 6.0 for Windows



Download Browser

Click here to download the newest version of the DCAS Secure Browser.

Notes

- Installing Windows secure browser 6.0 will uninstall version 5.0 automatically. Version 6.0 will be installed and the files will be removed.
- The installation file for Windows computers is an .msi file, which requires administrator privileges to install the secure browser.

Installing Windows Secure Browser 6.0

- Click the [Download Browser] link above. A dialog box will pop up.

Secure Internet Browsers

The graph above shows current Internet browser usage. Districts should plan to download the latest secure browser from the AIR website.

In general, various versions of Internet Explorer, Safari, and Firefox are supported on the non-student assessment tools online. A full table of browser and OS compatibility specifications is available in Section III of this document for accessing those other, various parts of the assessment bundle.

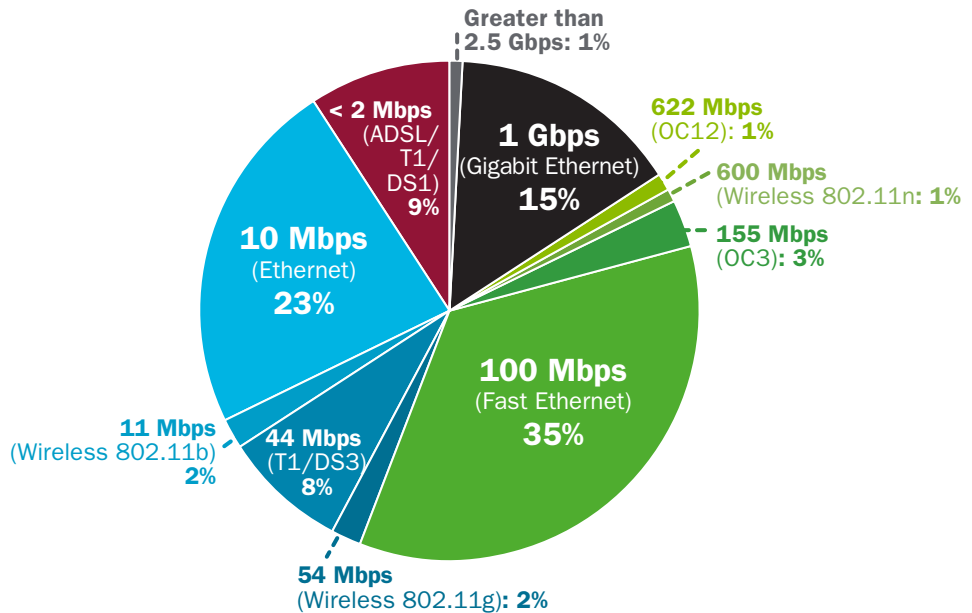
The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

Internet Connection and Internal Bandwidth Trends in U.S. K-12 Schools

District Takeaway #5: Once the assessment is running, estimates show it draws approximately 5–10 Kbps per student for most current testing.

Site Internet Connection

*In addition to the graph's connectivity data, schools' internal network bandwidth is largely reported at 100 Mbps to 1 Gbps (90% of responding sites).



American Institute for Research

The American Institute for Research (AIR) has received the Smarter Balanced contract to develop the online adaptive assessment component. The following information is a compilation of materials and information published courtesy of AIR and can be used as general, preliminary assertions for bandwidth calculations.

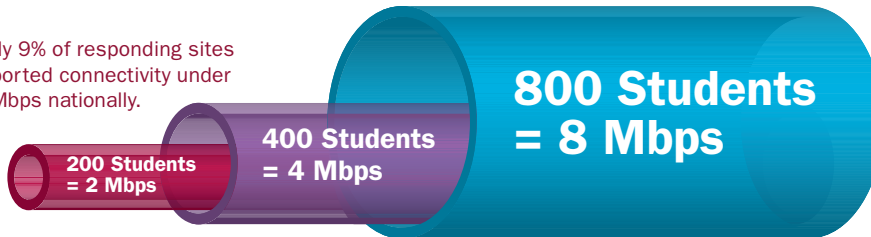
These tests include animations, technology-enhanced items, and other state-of-the-art functionality.

The actual bandwidth demands will depend on the media included in the Smarter Balanced tests. For example, one English language proficiency test includes recorded audio and a speaking component, which captures oratory responses. This type of media can increase the bandwidth. We currently estimate that the Smarter Balanced assessment will require 10–20 Kbps per student or less.

For basic calculations, consider the typical bandwidth draw of 10 Kbps and multiply by number of students for an estimate of bandwidth needs to deliver the assessment in its most intensive iteration. Therefore, 100 students assessing simultaneously could draw up to 1,000 Kbps (1 Mbps) as a reasonable estimate.



Only 9% of responding sites reported connectivity under 2 Mbps nationally.



Bandwidth Note

Sites with lower bandwidth (such as those still operating on T1 connections) can still deliver the assessment effectively, but will experience some latency in data transfer.

If districts base their general calculations for every **100** students as a multiple of **1 Mbps** to predict the highest estimated bandwidth needs for the most “network-intensive” parts of the test, they can create basic, peak requirement calculations.

Of course, **it is important to note** that all districts will ultimately want to make use of the network diagnostic assessment tools that will be developed to finalize local testing and calibrate definitive load specifications for each school site and devices therein, **particularly when the school is in session and drawing bandwidth to other, daily network and data-intensive operations on campus.**

For wireless access, connections using an 802.11g access point can reliably support a maximum of 20 PC and/or Mac workstations that use wireless cards with either the 802.11g or the 802.11n standard. If your access point is 802.11n, and the devices are equipped with 802.11n cards, then up to 40 units can be supported over wireless given appropriate network connectivity.

(All estimates are dependent on ample bandwidth coming to the site and/or to the wireless access unit for distribution out to testing devices.)

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

III. Overview of the Smarter Balanced Assessment System Implementation

Smarter Balanced's online assessment solution will use a standards-based computer-adaptive testing system in which items are selected to a) ensure that every student is tested on the full breadth and depth of content and b) provide each student with items that are both accessible and challenging. All public-facing components of the system are accessible via an online remote portal and can be accessed by a variety of common web browsers for the administrative and diagnostic resources, while the actual student test itself is accessible online via a secure browser released for supported operating systems. Access to various applications is dependent on user roles, which will be defined by the Consortium. The Smarter Balanced assessment is a web-based application and requires no local servers. For privacy and security, all communication is encrypted using https. Local Web proxy caching servers are not recommended and are typically ineffective when using an encrypted protocol.

Current versions of the online assessment solution are made up of the following primary components: Test Information Distribution Engine, Training Site, Student Practice Tests, and Operational Testing Sites.

Data Reporting Facets and Dashboards

Amplify Insight has been identified as the Smarter Balanced vendor for data-aggregation and reporting systems and features. While they are just now beginning their initial steps in analyzing the reporting needs of Smarter Balanced districts and schools, initial recommendations for browsers to access data reports include **Google Chrome, Safari on iOS (Apple devices), Firefox, and Internet Explorer 8 and above.**

Each year, Smarter Balanced anticipates releasing a new set of secure browsers. These browsers prevent students from accessing other applications and copying or creating screenshots. The browser must be installed on each computer used for online testing. The secure browser must be installed on a yearly basis due to implementation of new features in the test delivery system and to support operating system

"In our state, we were planning to phase in computer-based, online testing with AIR starting in 2008 with an anticipated full implementation to occur over a 3 year cycle, but when we encountered significant budget constraints in '09-'10, we opted to implement the online assessments as a replacement to our existing paper/pencil programs as a cost-savings decision. Despite that some allocations had to be made to increase our device numbers in certain schools, we were ultimately able to significantly decrease our overall assessment administration budget and had a fraction of the security incidents we previously had to investigate and document."

— State Dept. of
Education Technology
& Assessment
Personnel



updates. The browser can be installed individually on each computer or deployed to all computers through a distributed, remote administrative process across multiple computers on a school's network.

Secure browsers are necessary for delivery and access of the student assessments exclusively. However, all of the other components of the assessment package, including the Test Administration Tools, the Student Practice Tests, and the Test Administrator Interface, are facets that can be accessed by standard web browsers.

Secure Browser Specifications

Secure browsers are released annually for the student summative assessment in order to create a simple, secure interface for students to access only the test without any other online-enabled utility. With the secure browsers, students may only access the exam.

To deliver a secure summative assessment, the desktop needs to be restricted. This prevents students from accessing resources that compromise assessment results and otherwise allow students to breach the security of the assessment. To protect computers from malicious websites, browsers block access to operating system functions and do not generally allow server-side commands to control the computer. For example, without modification, off-the-shelf web browsers generally do not know if there are other programs running in the background (e.g., a recording program that might take pictures of the assessment items or record students' keystrokes). In contrast, the secure browser must monitor other activity on the computer and stop testing if any other programs run that may compromise the security of the test.

Although Smarter Balanced will continue to investigate the option of providing access to the assessment through server-based applets or commands, it is likely that secure browsers will continue to be required for at least the first two years of the operational assessment for most operating systems.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

Operating System	Operating System Version	Secure Browser
Windows*	XP SP3, Vista, 7, 8, 8.1 Windows Server 2003, 2008, and 2012	Windows Secure Browser as released prior to school start
Mac OS X	10.4.4, 10.5 with PowerPC	Mac Secure Browser as released prior to school start
Mac OS X with Intel	10.4.4, 10.5, 10.6, 10.7, 10.8, 10.9	Mac Secure Browser as released prior to school start
Linux	Fedora 6 (K12LTSP 4.2) Ubuntu 9-12	Linux Secure Browser as released prior to school start
iOS	iOS 6 to iOS 7.1	iOS Secure Browser as released prior to school start
Android	Please see http://www.smarterbalanced.org for the current set of approved secure browsers and the devices for which they are approved.	Android Secure Browser as released prior to school start
Chrome OS	Chrome OS (v31–v34)	Chrome Secure Browser as released prior to school start

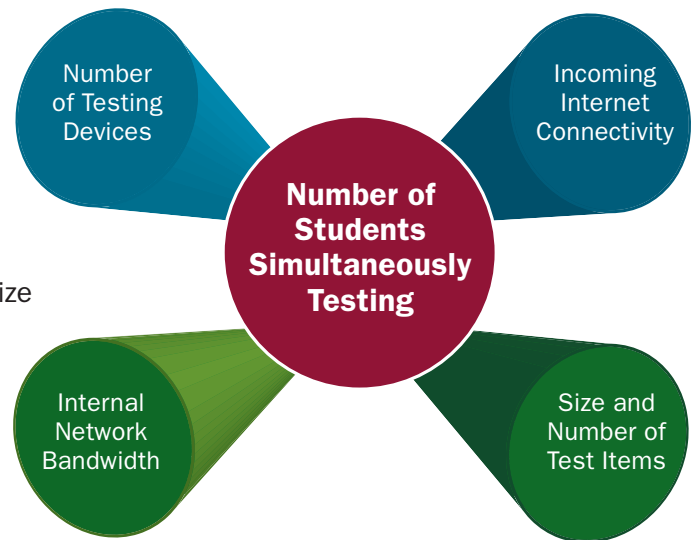
Operating system support is current as of August 2014. Please see <http://www.smarterbalanced.org> for the current set of certified secure browsers and the devices for which they are approved.

* Microsoft Windows tablets are subject to the same requirements as other Windows devices such as laptops and desktops. As of August 2014, Windows RT is not yet supported.



When administering the operational student test, the numbers of students that can simultaneously access and complete the assessment depends upon numbers of available devices and both the Internet connectivity and the internal network's capacity to distribute the incoming bandwidth delivered by that connectivity. Additionally, the size of the test itself and the size of each item as measured by bits of data per second can factor into delivery scenarios.

In preliminary interviews with both AIR and various districts administering the AIR solution it has been reported that its current states administer tests that can render within an average 5–10 Kbps per student bandwidth threshold. Additionally, all districts interviewed operated with an 8:1 to 11:1 student-to-computer ratio and were able to manage processing all students in a three-to-four-week assessment window. Smarter Balanced's assessment will render between 10–20 Kbps depending on whether or not a student is presented with a multimedia-based item. Smarter Balanced has reported its support of a twelve-week administration window to administer assessment components. Therefore, given data solicited for this report, districts should be able to accommodate even large-scale administrations by cycling rotations of grade-level assessment groups over time.



IV. Hardware and Software Requirements Overview

Basic hardware and operating system requirements developed by AIR for the Smarter Balanced assessment solution work to include a broad range of legacy systems and devices so that schools and districts can make use of many, if not most, of their existing investments.

Detailed information will be published by AIR as Smarter Balanced finalizes the test design and specifications. The chart below summarizes hardware and software specifications for both existing and new systems and can give districts a preliminary idea about their own local implementation planning for desktops/laptops/tablets.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

Operating System	Minimum Smarter Balanced Requirements for Current Computers ¹²³	Recommended Smarter Balanced Minimum for New Purchases
Windows	Windows XP (service pack 3) Pentium 233 MHz processor 128 MB RAM 52 MB hard drive free space	Windows 7 to Windows 8.1 1GHz processor 1GB RAM 80 GB hard drive or at least 1GB of hard drive space available
Mac OS X	Mac OS X 10.4.4 Macintosh computer with Intel x86 or PowerPC G3 (300 MHz) processor, 256 MB RAM, 200 MB hard drive free space	Mac OS X 10.7 to OS X 10.9 1 GHz processor 1GB RAM 80 GB hard drive or at least 1GB of hard drive space available
Linux	Linux (Ubuntu 9-10, Fedora 6) Pentium II or AMD K6-III 233 MHz processor 64 MB RAM 52 MB hard drive free space	Linux (Ubuntu 11.10, Fedora 16) 1 GHz processor 1GB RAM 80 GB hard drive or at least 1GB of hard drive space available
iOS	iPads 2 running iOS6	iPads 3+ running iOS6
Android	Please see http://www.smarterbalanced.org for the current set of approved secure browsers and the devices for which they are approved.	Please see http://www.smarterbalanced.org for the current set of approved secure browsers and the devices for which they are approved.
Chrome OS	Chromebooks running Chrome OS (v31–v34)	Chromebooks running Chrome OS (v31–v34)

Minimum Computer Requirements

Minimum requirements represent a low compliance threshold. Districts should attempt to exceed these requirements as many machines operating at these levels could struggle with sufficient on-board memory and processing to run secure browsers as well as other simultaneous running programs accumulated on the device over time.

¹ The minimum Smarter Balanced requirements are generally equivalent to the minimum requirements of the associated eligible operating system. Users should refer to the minimum requirements of the operating system as a means of resolving any ambiguities in the minimum Smarter Balanced requirements.

² These guidelines do not supersede the minimum requirements of the operating systems.

³ All hardware choices should consider the individual needs of students. Some students may need hardware that exceeds these minimum guidelines, and some students may require qualitatively different hardware. Tablets may require the use of a mouse.



Additional Requirements Applicable Across Operating Systems:

Device Requirements	Minimum Smarter Balanced Requirements for Current Computers
Screen Size	10" class or larger with 1024 x 768 display resolution
Headphones/earphones	Available to students for use during the English language arts test and for students who require text-to-speech features on the mathematics test
Security	The device must have the administrative tools and capabilities to temporarily disable features, functionalities, and applications that could present a security risk during test administration.
Keyboards	<p>External keyboards are required in all cases unless specified differently by a student's Individualized Education Program (IEP) or 504 plan. Any form of external keyboard that disables the on-screen virtual keyboard is acceptable. This includes mechanical, manual, plug and play, and wireless-based (e.g., Bluetooth, RF, IR) keyboards. The intent of this specification is to ensure the required display area is available to allow students to read multiple sources of complex item text and respond to source evidence for analytical purposes.</p> <p>While wireless keyboards are permissible, districts should be aware that high-density deployments of wireless keyboards and mice might interfere with each other or with the wireless network. Therefore, they should test the room configuration before the examination date and consider wired alternatives.</p>
Pointing Device	A pointing device must be included. This may consist of a mouse, touch screen, touchpad, or other pointing device with which the student is familiar.
Form Factors	No restriction as long as the device meets the other stated requirements. These forms include desktops, laptops, netbooks, virtual desktops and thin clients ⁴ , tablets (iPad, Windows, Chromebooks, and Android), and hybrid laptop/tablets.
Network	Must connect to the Internet with a minimum of 20 Kbps available per student to be tested simultaneously. Local Web proxy caching servers are not recommended.

Minimum Requirements for Other Devices

Minimum requirements represent a low compliance threshold. Ultimately, districts should attempt to exceed these requirements as many machines operating at these levels could struggle with sufficient on-board memory and processing to run secure browsers as well as other simultaneous running programs accumulated on the device over time.

⁴ The resources (e.g., memory and processors) available to each client need to be equivalent or greater to the requirements for standalone hardware.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

Printers

Test administrators can print out test session information and in certain situations can approve student requests to print reading passages, and in very restricted circumstances print test items. It is strongly recommended however that test administrators be connected to a single local or network printer in the testing room.

Headphones

The English-language arts assessments contain audio (recorded and/or computer-based read-aloud), and students must be provided with headphones so they have the option to clearly listen to the audio in these tests. Similarly, some students may need the support of text read-aloud by the computer as part of the mathematics assessment. In these cases, students should be provided headphones as well. Districts are encouraged to test the quality of the headphones in advance, as many districts and schools opt to purchase fairly inexpensive, bulk-type units when it comes to headphones for general student use.

USB headphones are recommended, as they are typically plug-and-play devices. However, standard headphones connected via standard TRS (headphone jack) connections will suffice. Additionally, the computer-based read-aloud accommodation requires voice packs to be preinstalled on computers that will be used for testing. For Windows and Mac operating systems, default voice packs are typically preinstalled. For computers running Linux Fedora Core 6 (K12LTSP 4.2+) or Ubuntu 9–12, voice packs may need to be downloaded and installed. AIR tests a number of existing Windows and Mac internal voice packs as well as a number of fee-based external, third-party voice packs and releases a list of those best suited to the audio portions of their assessments.

It is assumed that most computers and similar devices come with requisite sound cards, but it is important to run the sample test, student tests, and diagnostic programs on all devices, particularly those that will be supporting audio in some form. At this time, neither microphones nor stylus devices have been identified as necessary input devices for the 2014–15 assessment implementation. However, Smarter Balanced anticipates integrating manipulative media and interactive data elements for students as a means to generate more authentic input capacities.

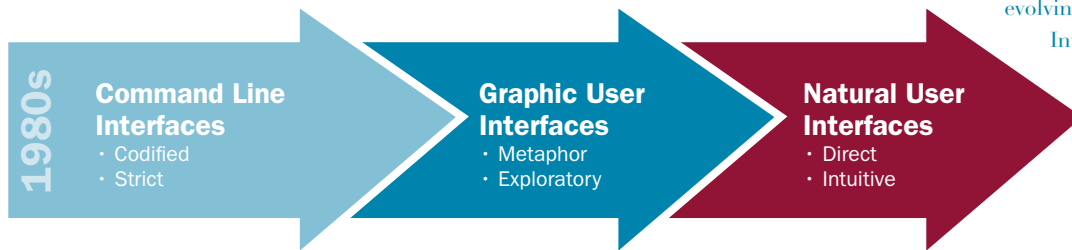


These advancements will ultimately help to capture predominant reasoning, drafting, revising, and general formative thinking processes taken by students when approaching solutions to various test items. Development in the arena of creating more Natural User Interfaces (NUI) that move away from the more codified and limited input facets of windows, icons, menus, and pointers and allow a student to create generative logic through writing, notation, computation, diagramming, and drawing, will assist in documenting student reasoning and overall performance. Multi-touch technologies like those present on most tablets will further enable these more natural input options; however, even stylus and pad devices made to operate on existing desktops and laptops can help expedite implementation of such features in the next three to five years on traditional form factors as well.

.....

*The Progression of
Input Technologies*

Input technologies transitioned from Command Line Interfaces (CLI) to Graphic User Interfaces (GUI) in the '80s and are now evolving into Natural User Interfaces (NUI).



V. Planning for Future Technology Enhancement and Procurement

Smarter Balanced will review the minimum specifications annually and will target its end of support to align with the support timeline from the operating systems manufacturers. However, Smarter Balanced may determine based on input from its member states that Smarter Balanced’s timeline needs to extend beyond the timeline from operating systems manufacturers.

Based on the general research and data reviews conducted for the development of this guideline, most districts will find that much of their


The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

A Reading Assessment Excerpt

The screenshot on the right shows a reading assessment excerpt from a recent AIR adaptive exam.

The screenshot displays a digital reading assessment interface. At the top, it shows 'Grade 7 Reading (6 out of 20)' and 'Past/Marked Questions: 6 - 12'. The main content area is titled 'THE BREAKER BOYS' and includes an introductory paragraph, a photograph of a group of boys, and a second paragraph. To the right of the text is a question box containing a multiple-choice question with four options (A, B, C, D). The interface also features navigation icons and a progress indicator.

THE BREAKER BOYS
According to the law, most children and early teens must attend school, so we don't usually think of their right to healthy working conditions. Read the following article to find out about a group of boys who fought for their rights at a time when such laws didn't exist.



THE BREAKER BOYS WORKED FROM seven in the morning until six or seven-thirty at night. All day, they sat hunched over the coal chutes, picking out the slate and other useless material mixed in with the coal.

The breaker boss watched the boys carefully. He carried a stick or broom that he used to probe blocked coal chutes or to jab boys who daydreamed, fell asleep, talked, or performed slow or careless work. "If you let some rock go through," said Joe Sudol, "he would poke you in the back with the stick."

6 Even though the children often broke rules on the job and angered their bosses, they were still offered a compromise. This indicates that

- A the bosses felt bad and wanted to begin treating the boys well.
- B the bosses actually enjoyed having the boys at the factories.
- C the boys were desperately needed to return to work to do their jobs.
- D the boys were hard workers and bosses wanted to reward them.

existing infrastructure and device inventory will serve to administer the online assessments. By all estimations at this time, the fear that states and districts will be forced to make large volumes of hardware and infrastructure purchases between now and the 2014–15 school year is not consistent with the implementation data available. However, some more specific areas will need a degree of review and consideration based on national trends at this time. While the Smarter Balanced assessment plans to support Windows XP configurations and will continue to include Windows XP in its specifications moving to 2015, it is recommended that districts consider migrating existing devices to Windows 7 where possible. This recommendation is due to the high number of Windows-based machines still using XP in the K-12 environment, and the fact that Microsoft will not provide security support to this OS beyond April of 2014. In general, Smarter Balanced will set a goal to support all prevalent operating systems at least two years beyond their own life cycle as indicated by the date in which they are removed from mainstream support by their authoring companies/agencies. The following is a table identifying the anticipated end-of-support dates for various operating systems in use today.



Operating System (OS)	OS Release Date	Anticipated Smarter Balanced End-of-Support Date
Mac OS 10.4.4	January 2006	End of 2014-2015 School Year
Mac OS 10.5 (Power PC)	October 2007	End of 2014-2015 School Year
Mac OS 10.5 (Intel)	October 2007	End of 2016-2017 School Year
Mac OS 10.6	August 2009	End of 2018-2019 School Year
Mac OS 10.7	July 2011	End of 2020-2021 School Year
Mac OS 10.8	October 2007	End of 2021-2022 School Year
Mac OS 10.9	TBD	TBD
Windows XP (SP 3)	October 2008	End of 2015-2016 School Year
Windows Vista	January 2007	End of 2016-2017 School Year
Windows 7	October 2009	End of 2019-2020 School Year
Windows 8	October 2007	End of 2021-2022 School Year
Windows Server 2003	April 2003	End of 2015-2016 School Year
Windows Server 2008	October 2009	End of 2018-2019 School Year
Linux (Fedora Core 6 (K12LTSP 4.2+))	November 2007	End of 2016-2017 School Year
Linux Ubuntu 9-12	October 2009	End of 2018-2019 School Year
iOS 6	June 2012	TBD
iOS 7	September 2013	TBD
Chrome OS	Rolling Release	TBD

See <http://www.smarterbalanced.org> for the current table of anticipated end-of-support dates.

(For Mac OS 10.4.4, 10.5, and Windows XP) The Smarter Balanced Anticipated End-of-Support Date is after the end-of-support date from the manufacturer of the operating system. Smarter Balanced highly recommends upgrading to current versions of these operating systems prior to the Smarter Balanced Anticipated End-of-Support Date.

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

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“While the use of technology presents new and unique challenges, California looks forward to providing teachers and administrators immediate student performance data in relation to California’s Common Core Standards as part of a growing need to move from paper and pencil assessment solutions to computer adaptive tests that can generate digitally-rich data for all stakeholders.”

— José Ortega,
Administrator
California Department
of Education &
Smarter Balanced
State Readiness

There will be instances in which districts might consider pooling more mobile units, like laptops or tablets within their district for transport from one school site to the next as testing windows are staggered across sites. In some instances, however, certain equipment was purchased and deployed to specific sites and to specific user populations with program funding that requires it be kept at a single site, or be appropriated for a single population as a condition of the corresponding funds. Districts will want to check out the use provisions for all assets in accordance with such documentation.

There will also be a need in certain scenarios for various districts to consider the purchase of additional computers or computational devices. As is standard for most districts, there will be purchasing guidelines and vendor relationships in place to dictate the types and specifications of units to be secured and integrated into existing site inventories. Most new hardware will naturally fall well into the specifications released so far by Smarter Balanced. District purchasing agents and technology officers should be diligent in working with their existing vendors to make them aware of the new hardware minimum recommendations to ensure that all new purchases meet or exceed those specifications.

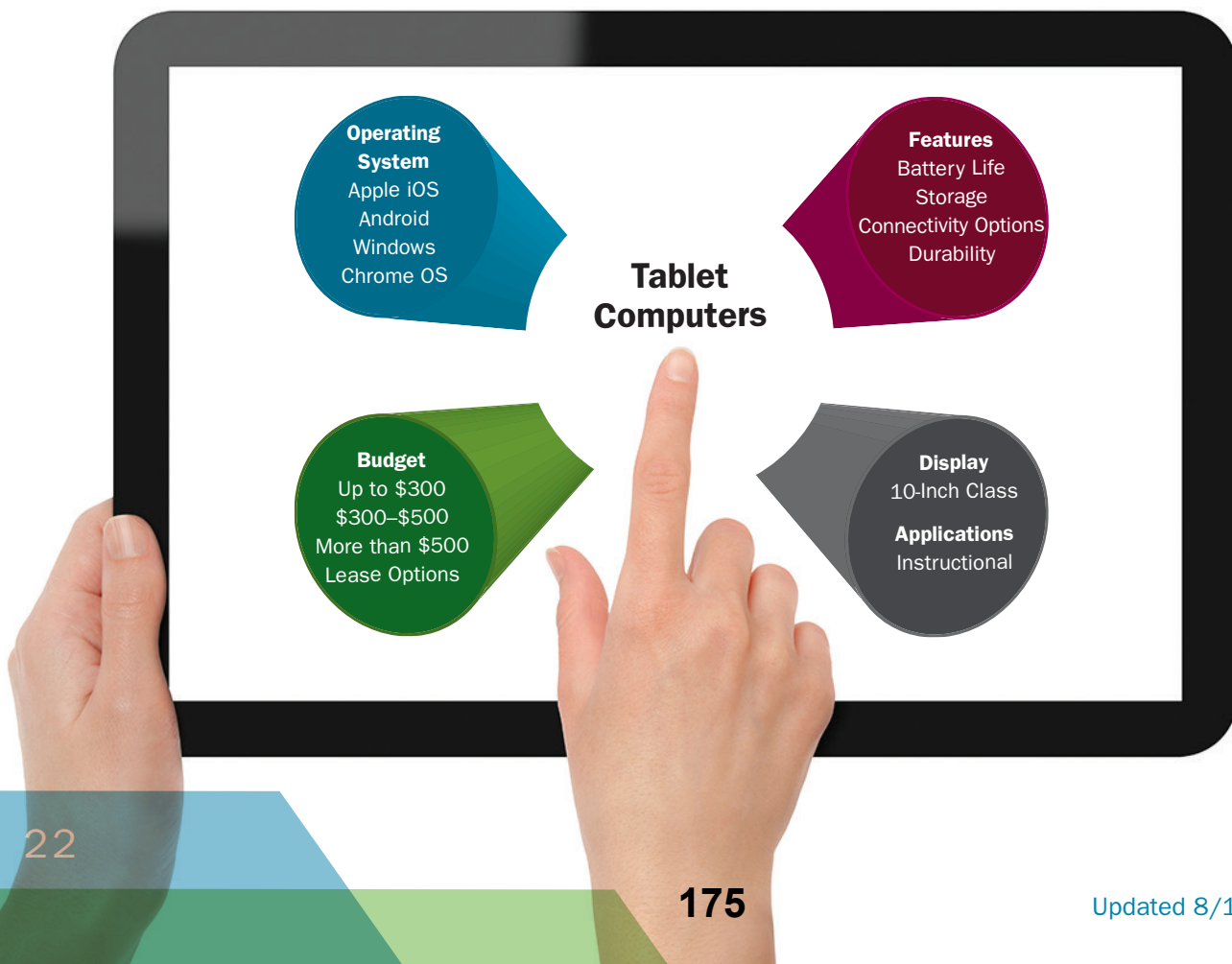
Many districts have forayed into the mobile computing device market in the past few years. Whether deploying netbooks, tablets, or handheld devices, districts are opting to replenish some aging hardware with smaller, mobile units that are considerably different than their predecessors. One unique challenge this presents is when these new purchasing considerations fall outside of long-standing vendor arrangements that have historically obligated a district to use certain brands and models.

Like traditional computers, tablet-based computing devices run on a variety of operating systems (OS). The majority of tablets operate on one of the Android OS versions from Google since it can be operated across numerous vendor devices. Apple’s popular tablet series (iPad, iPad2, the new iPad, and the iPad mini) operates exclusively on Apple’s iOS. Microsoft has provided a tablet OS in the way of Windows 7 and recently released the Windows 8 version that is purported to be device agnostic. The Chromebook, also from Google, primarily operates as a cloud-computing device built around the Chrome browser with traditional features such as word processing handled via web-based applications as opposed to on-board software.



The tablet field will continue to grow. But like most logic models utilized by IT departments when considering any technologies, it is important to review a series of basic questions when analyzing available options on operating systems, such as display settings (specifically, on-screen keyboards that use some of the available interface), features, and price. Some considerations to keep in mind as part of an ongoing discussion among instructional specialists, district IT leads, and vendors should resonate around the various features desired in new mobile devices.

Districts should directly consult upcoming specification documents from Smarter Balanced and consider: storage space offered on the device, connectivity methods such as Wi-Fi and SIM-Based (cellular data provider plans), access to instructional applications and learning content providers, and durability for active transport and use by student population. While districts have a significant history with purchasing and support of more traditional form factors like laptops and desktops, the tablet and mobile computing device arena will pose a new consideration process for many.



The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

VI. Matching Device and Content Needs with Assessment Capacity

A key strategy that unifies all states is ensuring that the devices used to execute upcoming assessments are also legitimate instructional support assets that serve the needs of teachers and students every day of the school year. As part of this effort, IT leaders will need to closely partner with instructional staff, administrators, library media specialists, and education technologists to chart a clear course toward enabling devices for both instruction and assessment.

“Districts and institutions of higher education need to understand that their information technology department is part of the effort to improve instruction but is not the only responsible department. Establishing a data-driven culture requires much more than simply buying a computer system. District staff from the information technology department need to join with assessment, curriculum, and instruction staff as well as top decision makers and work together to iteratively develop and improve data collection, processing, analysis, and dissemination.”

— Enhancing Teaching and Learning Through Educational Data Mining and Learning Analytics: An Issue Brief, 2012; US Dept. of Education Technology

Historically, standardized assessments have not been synonymous with timely data tied intimately to instructional objectives and pacing from a given district, school, or teacher’s perspective. Therefore, in many states, the major annual assessments have been seen as a limited method, at best, of assessing a school’s efficacy. The assessment instruments and data-aggregation and delivery systems have been largely deemed inconsistent with the instructional planning and analyses process. The move to online, digitized assessments will help provide teachers and education leaders with a means to integrate strong summative pictures of student learning and accompanying interim performance data into yearlong planning and support.

Coordinating the most promising technical tools with growing amounts of quality, digitized content, rich, open data, and locally generated information on each student will help revise the image standardized assessments hold with educators. Considering the adaptive nature of



the Smarter Balanced Assessment Consortium model, the hope is to move teachers from the margins of the assessment dialogue to the center of the conversation. These assessments are not meant to be a means to an end, but a beginning to a better conversation about learning, instruction, and equity. With more quality data, we can ask questions like, “What are the critical skills students will require to not just live, but thrive in the 21st century?” And once we have identified those skills, how can we best measure them in a way that harmoniously underpins, not fractures, the creative, individualized, reflective environments teachers work to create in their own classrooms?

Students’ performances are most significantly informed by the skills and expertise of the staff that teach them. Because of this, it is imperative that we work to give teachers the best information and tools possible as an instructionally valuable, internally threaded component to their practice. It is critical that teachers become stewards in assisting with the validity and consistency of these new tools and the data that is generated to help them better gauge practices that reinforce learning.

Each district will be joining thousands of other districts to respond to one of the largest and most critical directives given to education in the last 50 years: deploy a common set of standards and the means by which to assess them—in the next three years. This document and the research that supports it, as guided by partnering state input, district interviews, and principal agency and stakeholder review, is one of many points of information that will help public education respond to this historical imperative.

Delivering instructionally useful information to further enable the efficacy of teachers and provide all students individualized learning opportunities is a goal we must promise to keep.

Delivering programmatically useful data to aid in site-and district-level evaluation of support services is an overall objective we must work to embrace.

Delivering assessments online is the first step we must prepare to take.

.....

For the most up-to-date information, please visit
<http://www.smarterbalanced.org>.

.....

“While my school-site lauds a battery of frequently administered homogeneous assessments as vital to quality education, I do not. On the contrary: My experience suggests that standardization of pedagogical practice and quality education are inversely related. Over the past thirteen years as a teacher, I’ve learned that the most meaningful, potentially life-changing classroom experiences are those least likely to leave a ‘data trail.’”

— High School
English Instructor

Testing and accountability should remain at the heart of national education policy. Equity and national prosperity depend on a system that will stretch educators, the education system, and communities to work toward high achievement and that will enable clear accountability when achievement goals are missed. But there should be new forms of assessment, functioning in new ways within the education system, to meet the needs.

— An American Examination System, Wireless Generation, Inc.; Resnick & Berger, et al. 2010

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements

Appendix A: Revision History

August 2014

- Remove the “+” signs after device and operating system versions, correct typographical errors, change Chrome release versions and add references to SmarterBalanced.org for additional information [page 13]
- Remove the “+” signs after device and operating system versions, change Chrome release versions and add references to SmarterBalanced.org for more information [page 15]
- Add references to SmarterBalanced.org and remove a reference to Android 4.x (Smarter Balanced-certified devices) [page 20]

November 2013

- Rename the document to “Smarter Balanced Technology Strategy Framework and Testing Device Requirements”
- Add support for iOS 7.x and Mac OS 10.9 for Field Test (March 2014) [page 13]
- Clarify “Smarter Balanced certified devices” including, but not limited to, Android-based devices [page13]
- Clarify the Anticipated Smarter Balanced End of Support Dates for operating systems by using “end of school year” instead of “spring” [page 20]
- Change Anticipated End of Support for Microsoft Windows XP to End of 2015-16 School Year (previously 2014-15) [page 20]
- Separated Mac OS 10.5 into PowerPC and Intel items [page 20]
- Change Anticipated End of Support for Mac OS 10.5 (PowerPC) to End of 2014-15 School Year (previously 2016-17) [page 20]
- Clarify the minimum screen size and keyboard requirement [page 16]
- Clarify Android devices must be certified by Smarter Balanced [page 15]
- Add recommendation to not use Web Proxy Caching servers and how typically Web proxies are bypassed due to encrypted network traffic [pages 11 and 16]
- Add requirement for a pointing device (e.g., mouse, touch screen, touch pad, etc.) [page 16]
- Change minimum operating system for Chrome OS from v19+ to rolling release [page 15]

February 2013

- Add exclusion of Windows RT operating system from supported list

December 2012

- Original release of the Smarter Balanced Technology Strategy Framework and System Requirement Specifications document



Operating System Support Plan for the 2015–16 Test Delivery System

A supported operating system is one for which American Institutes for Research (AIR) provides updates to the secure browser for that operating system. AIR provides such updates as the supported operating systems are updated or as bugs in the secure browser are detected and fixed.

The support plan describes AIR’s plan for supporting operating systems during the upcoming test administration and following years. This plan helps local educational agencies (LEAs) and schools manage operating system deployments based on the support timelines.

There are two parts to the support plan: the Timing of Secure Browser Updates subsection which is next, and the Supported Operating Systems table starting on the next page.

Timing of Secure Browser Updates

A “major version upgrade” of an operating system is usually denoted by an increase in the version designation’s whole number. For example, the upgrade from Windows 8 to Windows 10 is a major version upgrade. For major version upgrades to a device operating system released before May 1, AIR will provide a secure browser update for that operating system version for the upcoming school year. For example, if an upgrade is released in April 2015, AIR will provide a secure browser that works on that upgrade for the 2015–16 school year.

For major version upgrades to a device operating system released after May 1, AIR will not provide a secure browser update until the following school year, and the existing secure browser may or may not be compatible with the upgrade. For example, if an upgrade is released in June 2016, AIR will not provide a secure browser that works on that upgrade until the 2017–18 school year. Exceptions may be made on a case-by-case basis.

A “minor version upgrade” is usually denoted by an increase in a number after a decimal point. For example, the upgrade from MacOS 10.1 to 10.2 is a minor version upgrade. For minor version upgrades to iOS, Android, or Chrome operating systems, AIR will provide mobile secure browser updates to ensure compatibility.

Support Plan for Operating Systems

Table 1 lists the operating systems and the anticipated end-of-support dates. The shaded cells in Table 1 indicate the following:

- Light (yellow) shading—AIR ends support for operating systems after the 2015–16 school year.
- Dark (gray) shading—AIR ends support for operating systems after the 2016–17 school year.

Table 1. Supported Operating Systems

Supported Operating Systems	Release Date	Anticipated End-of-Support Date	Notes
Windows^a			
XP (Service Pack 3)	Oct. 2001	End of 2015–16 School Year	Except for XP (Service Pack 3), AIR's support for a Windows operating systems ends 10 school years after its release date. For the most part, this coincides with Microsoft's official end-of-life policies for its operating systems.
Vista	Jan. 2007	End of 2016–17 School Year	
7	Oct. 2009	End of 2019–20 School Year	
8.0, 8.1	Oct. 2012	End of 2021–22 School Year	
10	Jul. 2015	End of 2025–26 School Year	
Server 2003	April 2003	End of 2015–16 School Year	
Server 2008	Oct. 2009	End of 2018–19 School Year	
Server 2012	April 2012	End of 2022 School Year	
Mac OS X (Intel)^a			
10.5	Oct. 2007	End of 2015–16 School Year	Mac OS X computers with PowerPC processors are not supported.
10.6	Aug. 2009	End of 2018–19 School Year	
10.7	July 2011	End of 2020–21 School Year	Apple does not document end-of-life status for its products. AIR recommends using the most recent releases.
10.8	July 2012	End of 2021–22 School Year	
10.9	Oct. 2013	End of 2022–23 School Year	
10.10	Oct. 2014	End of 2023–24 School Year	AIR support for a given version of OS X ends 10 school years after its release date.
10.11	Oct. 2015	End of 2024–25 School Year	
Linux^b			
Fedora 19	July 2013	End of 2015–16 School Year	Official Fedora support typically ends one to two years after a release.
Fedora 20	Dec. 2013	End of 2016–17 School Year	
Fedora 21	Dec. 2014	End of 2017–18 School Year	
Fedora 22	May 2015	End of 2017–18 School Year	
openSUSE 13.1	Nov. 2013	End of 2016–17 School Year	Official openSUSE 13.1 support ends November 2016.

^a If Microsoft or Apple ends support for an operating system sooner than 10 years after its release, then AIR will stop supporting that system after one full school year.

^b For Linux distributions, AIR will end support at the end of the school year after the official distributor's announced end-of-life support date.

^c Users of iOS 9.0 and 9.1 were required to update to iOS 9.2 prior to the January 19, 2016, release date of the Smarter Balanced Summative Assessments. As of January 18, iOS 9.2 is the only supported operating system for accessing both interim and summative assessments on iPad devices running on version 9.x.

Supported Operating Systems	Release Date	Anticipated End-of-Support Date	Notes
Red Hat Enterprise 6.5	Nov. 2013	End of 2020–21 School Year	Official Red Hat Enterprise 6.5 support ends November 2020.
Ubuntu 12.04 (LTS)	April 2012	End of 2016–17 School Year	Ubuntu typically supports long term support (LTS) distributions for five years after a release.
Ubuntu 14.04 (LTS)	April 2014	End of 2018–19 School Year	
iOS			
7.0, 7.1	Sept. 2013	Apple iOS operating systems are released on a rolling basis. The supported operating system versions will be updated as required each year to support advances in technology and online assessments.	Supported iPads: <ul style="list-style-type: none"> • iPad 2 • iPad 3 • 4th Generation (Retina display) • iPad Air
8.0–8.2	Sept. 2014		
9.x^c	Jan. 2016		
Android			
4.3–5.1	Oct. 2011; rolling	Android operating systems are released on a rolling basis. The supported operating system versions will be updated as required each year to support advances in technology and online assessments.	Supported tablets: <ul style="list-style-type: none"> • Google Nexus 10 • Motorola Xoom • Samsung Galaxy Note (2014 edition) • Samsung Tab 3 and 4 • LearnPad Quarto
Chrome OS			
41–46	Sept. 2013; rolling	Chrome operating systems are released on a rolling basis. The supported operating system versions will be updated as required each year to support advances in technology and online assessments.	Google releases new versions of Chrome OS every six weeks. AIR will review each release and support them after quality assurance testing is completed. Support may require updating the Chrome kiosk application.

^a If Microsoft or Apple ends support for an operating system sooner than 10 years after its release, then AIR will stop supporting that system after one full school year.

^b For Linux distributions, AIR will end support at the end of the school year after the official distributor’s announced end-of-life support date.

^c Users of iOS 9.0 and 9.1 were required to update to iOS 9.2 prior to the January 19, 2016, release date of the Smarter Balanced Summative Assessments. As of January 18, iOS 9.2 is the only supported operating system for accessing both interim and summative assessments on iPad devices running on version 9.x.



Smarter Balanced Assessment Consortium: California Online Field Test Administration Manual

For Spring 2014 Field Tests of English Language Arts/Literacy and
Mathematics

Published April 23, 2014

Prepared by Educational Testing Service (ETS)



Modified on Behalf of the California Department of Education



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Descriptions of the operation of the Test Delivery System, Test Information Distribution Engine, and related systems are property of the American Institutes for Research (AIR) and are used with permission of AIR.

SUPPORT FOR THE SMARTER BALANCED FIELD TEST IN CALIFORNIA

The California Smarter Balanced Portal at <http://sbac.portal.airast.org/ca/> is the home for all California Smarter Balanced Field Test administration information. Manuals, brochures, and information related to the Field Test in California are available through this portal. Additionally, all Smarter Balanced Field Test applications, including the California Test Information Distribution Engine (TIDE), can be accessed through this portal. Finally, the California Smarter Balanced Portal is where all general announcements and news related to the Smarter Balanced Field Tests for California will be posted.

Additional instructions and forms for the California Assessment of Student Performance and Progress (CAASPP) in general and California's implementation of the Field Test in particular can be found on the Web site of the California Technical Assistance Center (CaTAC), <http://californiatac.org/about/smarter-balanced/>.

To ensure the best possible service to all districts, district test coordinators should act as the point of contact between CaTAC and test sites in the districts, collecting and relaying questions and requests to CaTAC on behalf of the test sites.

For questions regarding the online testing system or for additional assistance, district coordinators contact:

CaTAC
CaTAC@ets.org
800-955-2954

CaTAC is open Monday through Friday from **7 a.m. to 5 p.m.** PT. During these hours, staff will respond promptly to calls.

CaTAC should be contacted for situations such as the following:

1. Testing environment is down or unavailable. (The California portal will display a chart showing all anticipated "downtimes" for the system. If the downtime is during a prescheduled time, it is not necessary to contact CaTAC.)
2. User accounts are not available or users are not able to administer tests.
3. Student(s) are not registered or student demographic information is incorrect or missing.

When contacting CaTAC, provide as much detail as possible about the issue(s) encountered and the system on which it occurred. This should include the following:

- any error messages that appeared;
- operating system and browser information;
- information about network configuration;
- your contact information for follow-up, including email and phone number; and
- any relevant student and school information.

The California Technical Assistance Center Contact Information for LEAs

Phone 800-955-2954

Email CaTAC@ets.org

Web site: <http://californiatac.org/about/smarter-balanced/>

State Contact Information for the District Test Coordinator	District Contact Information for the School Test Coordinator
<p>Your CDE CAASPP Contact Name: CAASPP Office Phone: 916-445-8765 Email: caaspp@cde.ca.gov</p> <p>California Technical Assistance Center 800-955-2954 CalTAC@ets.org http://californiatac.org/about/smarter-balanced/</p>	<p>Your District Test Coordinator Contact (also referred to in California as the LEA CAASPP Coordinator)</p> <p>Name: _____ Phone: _____ Email: _____</p> <p>Your District Technology Coordinator Contact</p> <p>Name: _____ Phone: _____ Email: _____</p>

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1.0 OVERVIEW OF THE SMARTER BALANCED FIELD TEST

1.1 About the Smarter Balanced Assessment Consortium

The Smarter Balanced Assessment Consortium is a state-led consortium working to develop next-generation assessments aligned to the Common Core State Standards in English language arts (ELA)/literacy and mathematics that accurately measure student progress toward college- and career-readiness. For more information about the Smarter Balanced Assessment Consortium, go to www.smarterbalanced.org.

1.2 About the Field Test

The Field Test is a “trial run” of the assessment that helps ensure that the assessments are valid, reliable, and fair for all students. For test developers, the Field Test is used to show which items work well and which ones need to be improved so that they can contribute to the operational assessment in the spring of 2015. The Field Test is an evaluation of items and processes, so schools and local educational agencies (LEAs) will not receive individual student results; however, broad participation of schools from across the state and the country is extremely important to the overall development of the assessments.

The Smarter Balanced Field Test will be delivered to over five million students from within the 23 member states. The Field Test provides the Consortium an opportunity to:

1. gather and analyze student response data on items,
2. establish Smarter Balanced scoring and reporting scales,
3. stress-test the test-delivery systems, and
4. offer students and Test Administrators the opportunity to experience a testing environment that will be very similar to the operational system.

The Field Test will be administered to all students in grades 3 through 8 and grade 11 and selected students in grades 9 and 10 and will include over 21,000 items including performance tasks. The data from the Field Test will provide the Consortium with important information on how these items and tasks perform in a real-world setting and will inform the construction of the scale on which the operational assessments will be scored and reported.

Student participation

In California, the following students are expected to participate in the Field Test:

- grades 3 through 8—all students;
- grades 9 and 10— only students in schools selected by Smarter Balanced; and
- grade 11— students in schools selected by Smarter Balanced are expected to participate, and all other grade 11 students are encouraged to participate

LEAs should have received a list of participation information about schools testing students in grades 9, 10, and 11 from CalTAC and should contact CalTAC if they do not know which students are to be tested in these upper grades.

All students in the specified grade levels will participate in the Smarter Balanced Field Test unless the students will take the California Alternate Performance Assessment (CAPA), are English learners who have attended school in the United States for less than 12 months (for the ELA/literacy FT only), or have a parent/guardian exemption (see section 6.2 *Field Test Participation* for more information). Generally, if a student participated in the California Standards Tests (CSTs) or takes the California Modified Assessment (CMA) and attends a school participating in the Field Test, he or she is eligible to participate.

1.3 User Roles and Responsibilities for the Field Test

User roles and their responsibilities for the Field Test are provided in Table 1.

Table 1: User Roles in the Online Testing System for the Smarter Balanced Field Test

User Role	Description
State Users (State) (California Department of Education [CDE])	<p>The CDE and its contractor, ETS, will be responsible for:</p> <ul style="list-style-type: none"> uploading student information into the Test Information Distribution Engine (TIDE); adding other State Users and District Test Coordinators (DCs) into TIDE who have submitted a signed CAASPP Test Security Agreement; reviewing and resolving test security incidents as submitted by LEAs; and communicating and providing support to LEAs regarding which schools are participating in the Field Test.
District Test Coordinator (DC)	<p>The District Test Coordinator was designated by the district superintendent at the beginning of the 2013–14 school year. (<i>Note: In the state regulations, this role is referred to as the LEA CAASPP Coordinator.</i>) The DC will be added to TIDE by a State User. A signed CAASPP Test Security Agreement from the DC must be on file with CalTAC.</p> <p>DCs are responsible for the following:</p> <ul style="list-style-type: none"> adding School Test Coordinators (SCs) and Test Administrators (TAs) into TIDE; coordinating with SCs so that tests are administered in the appropriate grade(s) and content area(s) for their schools; updating student information in the California Longitudinal Pupil Achievement Data System (CALPADS); ensuring that the SCs and TAs in their districts are appropriately trained regarding Smarter Balanced test administration and security policies and procedures; relaying SC and TA questions to CalTAC; and reporting all test security irregularities and/or breaches that occur before, during, or after test administration to the CDE within 24 hours of discovery using the Irregularity and/or Breach Report Form found on the Forms Web page at http://californiatac.org/administration/forms/. (<i>California Code of Regulations [CCR], Title 5, Education, Section 859 [e]</i>) <p>DCs also have oversight responsibilities for all administration activities in their district schools. Please see the DC Checklist in <i>Appendix E</i> for details.</p>

User Role	Description
<p>School Test Coordinator (SC)</p>	<p>The School Test Coordinator was designated by the District Test Coordinator at the beginning of the 2013–2014 school year. SCs can be added to TIDE by a District Test Coordinator. <i>(Note: In the state regulations, this role is referred to as the CAASPP Test Site Coordinator. There can be more than one school test coordinator as required by school need.)</i></p> <p>An SC can be a principal, vice principal, technology coordinator, counselor, or other staff member. If possible, an SC should be a person with noninstructional or limited instructional duties so that he or she can coordinate and monitor testing activity in the school.</p> <p>SCs are accountable for ensuring that testing at their school is conducted in accordance with the test security and other policies and procedures established by the Smarter Balanced Assessment Consortium, the CDE, the CDE contractor, and state regulations. SCs are responsible for:</p> <ul style="list-style-type: none"> • identifying Test Administrators (TAs) and ensuring that they have submitted signed Test Security Affidavits (5 CCR Section 850 [w]) to the DC and are properly trained; • coordinating with TAs so that they administer tests in the appropriate grade(s) and content area(s) for their school; • creating or approving testing schedules and procedures for the school (consistent with district and state policies); • working with technology staff to ensure that necessary secure browsers are installed and any other technical issues are resolved; • monitoring testing progress during the testing window and ensuring that all students participate, as appropriate; • using the school’s procedure for correcting student data errors reported by TAs in CALPADS, verifying the corrections in TIDE, and ensuring that the student’s test session is rescheduled; • relaying site questions and issues to the DC, who is responsible for contacting CalTAC; • addressing testing problems, as needed; and • reporting all test security incidents that occur before, during, or after test administration to the DC immediately. <p>SCs also have oversight responsibilities for all administration activities in their school, and they oversee TAs. Please see the SC Checklist in <i>Appendix F</i> for details.</p>

User Role	Description
Test Administrator (TA) <i>Note: The Smarter Balanced Field Test should be administered to individuals with an existing state certification in education (e.g., teachers, school psychologists, principals, etc.). California regulations have expanded the TA role to include any employee or contractor of an LEA or an NPS who has been trained to administer the tests and has signed a CAASPP Test Security Affidavit.</i>	Test Administrators administer the Smarter Balanced Field Test. School Test Coordinators should identify school personnel to act as TAs. (<i>Note: In the California regulations, this role is referred to as the Test Examiner.</i>) TAs are responsible for: <ul style="list-style-type: none"> reading and signing the Test Security Affidavit, which is returned to the DC; completing Smarter Balanced test administration training (see section 1.4 Training Requirements) and reviewing all Smarter Balanced policy and administration documents prior to administering any Smarter Balanced assessments; viewing student information prior to testing to ensure the right student is getting the right test with the correct supports. TAs cannot add, edit, or remove students from TIDE and should report any potential data errors to SCs and DCs as appropriate; administering the Smarter Balanced assessment; and reporting all potential test security incidents immediately to their SC and DC. <i>Note: TA questions about passwords, TIDE, technology issues, and test administration should be relayed to his or her SC or DC.</i>

For TIDE User Roles, see section 7.0 *Designating Student Accessibility and Accommodation Options in TIDE* for the detailed table of roles and permissions assigned to each role. For a checklist of activities to complete for State Users (State) at the CDE, see *Appendix D*. For DCs, see *Appendix E*. For SCs, see *Appendix F*. For TAs, see *Appendix G*.

1.4 Training Requirements

All DCs, SCs, TAs, and school administrative staff who will be involved in the Smarter Balanced assessment administration **should complete the Smarter Balanced Field Test online training modules (see Table 5 in section 2.2 Field Test Resources)** in addition to the supplemental videos, which can be found on the Training Web page at <http://californiatac.org/training/sbft/> and the California Smarter Balanced Portal at <http://sbac.portal.airast.org/ca/>. These modules are self-paced and will provide training on technology requirements, TIDE/user roles, online test administration from the perspective of the TA and the student, and an overview of the performance task administration.

The DC, SC, and/or other staff designated by the state are responsible for ensuring all appropriate trainings have been completed. Such training should include, but not be limited to, training on item security and professional conduct associated with the administration of standardized assessments.

Smarter Balanced also recommends that states ensure that individuals have read and understand the *Online Field Test Administration Manual* and the *Usability, Accessibility, and Accommodation Guidelines*.

2.0 INTRODUCTION TO THE ONLINE FIELD TEST ADMINISTRATION MANUAL

This *California Online Field Test Administration Manual (CA TAM)* is intended for staff who play a role in the administration of Smarter Balanced assessments (State Users, District Test Coordinators, School Test Coordinators, and Test Administrators). To help you quickly locate areas that pertain to each role, tabs have been placed on the margin of each page that identify the role for which the section is primarily intended.

In addition, this manual is designed to provide Smarter Balanced policies and procedures to ensure standard administration and to support the integrity and validity of the test. This manual also gives an overview of Smarter Balanced guidance on topics such as: test security, test scheduling, and general administration, tailored to the audience of California users.

2.1 Frequently Used Terms

Table 2 defines terms that are specific to the Smarter Balanced Field Test and the online testing environment.

Table 2: Frequently Used Terms

Term	Definition
Accommodation	Changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. Assessment accommodations generate valid assessment results for students who need them; they allow these students to show what they know and can do. Accommodations are available for students with documented individualized education programs (IEPs) or Section 504 Plans. Consortium-approved accommodations do not compromise the construct, grade-level standard, or intended outcome of the assessment. See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> for complete information. http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf
Break	There is no limit on the number of breaks or the length of a break that a student might be given according to his or her unique needs. The number of items per session can be based on the student's need. However, for some portions of the test, breaks of more than 20 minutes will prevent the student from returning to items already attempted by the student. For a performance task (PT), the student can break for any amount of time and still return to any previously answered item within the PT current segment only.
Classroom Activity	The classroom activity is a short teacher (Test Administrator or other authorized staff)-led activity designed to provide students with information and key terms that would be helpful for him or her to know prior to taking the performance task. A classroom activity is required before the performance task portion of the Field Test for both mathematics and ELA. There should not be a lag of more than three days between the classroom activity and the performance task.

Term	Definition
Computer Adaptive Test (CAT)	Based on student responses, the computer program adjusts the difficulty of items throughout the assessment. By adapting to the student as the assessment is taking place, these assessments present an individually tailored set of items to each student and can quickly identify which skills students have mastered. The Field Test will not be adaptive because the items need to first be calibrated. However, the Field Test will provide the data necessary to allow the operational Smarter Balanced Assessment to be computer adaptive.
Confirmation Code	A number or alphanumeric code assigned to a student that is designated by a state and needed for a student to login to the Field Test. For California, the confirmation code will be the student's first name as it appears in CALPADS. More information about the confirmation code is available in section <i>6.1 Student Enrollment and Login Process</i> .
Consortium	The Smarter Balanced Assessment Consortium.
Designated Supports	Features that are available for use by any pupil for whom the need has been indicated, prior to the assessment administration, by an educator or group of educators (e.g., team of educators with parent/guardian and student). See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> for complete information. http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf
District Test Coordinator (DC) <i>alternatively known as LEA CAASPP Coordinator</i>	District-level personnel responsible for the overall administration of the Field Test in a district. DCs should ensure that the School Test Coordinators (SCs) and Test Administrators (TAs) in their districts are appropriately trained and aware of policies and procedures. In the event there is no DC, another designated individual will be assigned these responsibilities by the district superintendent.
Force Majeure	An extraordinary circumstance (e.g., a power outage or network disturbance lasting for more than one full school day) or act of nature (e.g., flooding, earthquake, volcano activity) that directly prevents a school from making reasonable attempts to adhere to the Field Test schedule.
Full-write	A component of the ELA performance task that requires the student to develop an informative/explanatory, narrative, or opinion/argumentative multiparagraph piece of writing for which the student engages the full writing process.
Invalidation	The act of omitting test results and student responses from the testing and accountability systems for a given testing opportunity for which the student may not retest. Invalidation is often the outcome for tests impacted by a test security incident.
Non-Performance Task (PT) Items	The Field Test is comprised of two components: a classroom activity/performance task (see definitions) and non-performance task (non-PT) items, such as Multiple Choice, Matching Tables, and Drag and Drop. For a full list of item types, please see <i>Appendix C</i> . The items in the non-PT will become the CAT portion of the operational assessment.

Term	Definition
<p>Pause</p>	<p>A student or Test Administrator may pause any part of the test as needed. Depending on the section of the test, the consequences of a student’s pausing the test will differ. Pauses of more than 20 minutes in the non-PT component of the test will prevent the student from returning to items already attempted.</p> <p>For a performance task, the student can pause for any amount of time and still return to any previously answered item within the PT current segment only. More information on test pausing is available in section 6.4 <i>General Rules of Online Testing</i>.</p>
<p>Performance Task (PT)</p>	<p>The Field Test is comprised of two components: a performance task, which is comprised of a classroom activity with an individually administered, computer-generated task, and non-PT items (see definition).</p> <p>A PT is a required portion of the Field Test that requires students to answer a set of complex questions that are centered on a common theme or problem. Prior to the PT, teachers or instructional staff conduct a classroom activity for all students in the class to ensure that the context of the task does not interfere with a student’s ability to address the content of the task.</p>
<p>Reset</p>	<p>Resetting a test allows the student to restart the test. For example, this may occur if a student’s test event was administered inconsistently with the student’s IEP (this is extremely rare). In most cases, the TA can stop the test, contact the SC to enable the approved accommodation(s), and then proceed with the test session without a reset.</p> <p>Permission for a reset is initiated through the Appeals process in TIDE. See section 7.0 <i>Designating Student Accessibility and Accommodation Options in TIDE</i> for more information on the Appeals process.</p>
<p>School Test Coordinator (SC) <i>alternatively known as</i> CAASPP Test Site Coordinator</p>	<p>School personnel responsible for monitoring the Field Test schedule, process, and TAs. SCs are also responsible for ensuring that TAs have been appropriately trained and that testing is conducted in accordance with the test security and other policies and procedures established by the Smarter Balanced Assessment Consortium.</p>
<p>Secure Browser</p>	<p>A Web browser that is downloaded and installed on a computer prior to a student’s beginning the test. The browser is specifically designed for use with the Smarter Balanced Assessment to provide secure access to the Field Test and prevent students from accessing specific hardware and software functions (e.g., other browsers, screenshot programs) that are not allowed during the assessment.</p>
<p>Segment <i>alternatively known as</i> Part</p>	<p>Tests are broken up into segments within the Test Delivery System. Depending on the test, segments typically separate items from others if the eligible tools are different (i.e., the mathematics test may have two segments, one segment which allows calculator use and another segment which does not). When a student completes a segment of the test, he or she will receive a message that indicates that once that segment is submitted it is no longer possible to return to that segment.</p>
<p>Session</p>	<p>A timeframe in which students actively test. The length of a test session is determined by building administrators who are knowledgeable about the periods in the building and the timing needs associated with the assessment. Smarter Balanced recommends that session durations range between 40 and 120 minutes. However, Smarter Balanced tests are <i>not</i> timed and an</p>

Term	Definition
	<p>individual student may need more or less time overall. Further, individual students will have unique needs regarding the length of a test session.</p> <p>Though a session is most often set up by an administrator in the TA Interface, the performance task includes a classroom activity, which does not require students to be currently logged in to the Test Delivery System, but may still be administered as an independent session.</p> <p>Smarter Balanced recommends the non-PT portion of the ELA and mathematics tests be administered in at least two sessions.</p> <p>Note: A test session does not need to end when a segment ends.</p> <p>Smarter Balanced recommends the ELA PT portion of the test be administered in two sessions corresponding with the segments (Part 1 and Part 2) of the PT. The mathematics PT portion should be administered in one session. Additional information on session recommendations is in section 6.5 <i>Testing Time and Recommended Order of Administration</i>.</p>
Statewide Student Identifier (SSID)	<p>A statewide, unique student identifier, as assigned for use in TIDE, assigned to each student by the CDE.</p> <p>Note: Additional information about the SSID is in section 6.1 <i>Student Enrollment and Login Process</i>.</p>
Test Administrator (TA) <i>alternatively known as Test Examiner</i>	<p>District or school personnel responsible for administering the Smarter Balanced Field Test in a secure manner in compliance with the policies and procedures outlined in the <i>California Online Field Test Administration Manual</i>.</p>
Test Information Distribution Engine (TIDE)	<p>The overall registration system used by the Smarter Balanced Assessment. This is the system through which users interact with and inform the test delivery system. In California, the TIDE receives student data from CALPADS. TIDE is also used by DCs and SCs to assign designated supports and accommodations. TIDE uses a role-specific design to restrict access to certain tools and applications based on the user's designated role.</p> <p>See the <i>California Tide User Guide</i> for complete information.</p> <p>http://sbac.portal.airast.org/ca/field-test-ca/resources/</p>
Testing Breach	<p>An event that poses a threat to the validity of the test; in the state regulations, called a "testing irregularity." Examples may include such situations as a release of secure materials or a repeatable security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported by the DC to the CDE within 24 hours.</p> <p>For specific details on how to proceed when an incident has occurred, please refer to <i>Appendix B</i> of this manual.</p>
Testing Impropriety	<p>An unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level. (<i>Note: In California, these may be referred to as Testing Incidents.</i>)</p> <p>For specific details on how to proceed when an incident has occurred, please refer to <i>Appendix B</i> of this manual.</p>

Term	Definition
Testing Irregularity	An unusual circumstance that impacts an individual or group of students who is testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level, but should also be submitted by the DC to the CDE within 24 hours. For specific details on how to proceed when an incident has occurred, please refer to <i>Appendix B</i> of this manual.
Universal Tools	Available to all students based on student preference and selection. See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> for complete information. http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf

2.2 Field Test Resources

The *California Online Field Test Administration Manual (CA TAM)* provides information regarding policies and procedures for the Smarter Balanced Field Test as well as screenshots and step-by-step instructions on how to administer the online Field Tests. This manual is designed to complement a variety of other resources listed in Table 3 (manuals), Table 4 (online training modules from CalTAC), Table 5 (online training modules from Smarter Balanced), Table 6 (online training modules from Smarter Balanced on accessibility-related topics), and Table 7 (other resources). Please ensure all of these are reviewed prior to test administration.

Table 3: Manuals

Resource	Description
<i>California Technology Specifications Manual for Online Testing (TSM)</i>	Provides the technical specifications for online testing for School and District Technology Coordinators, including information about Internet and network requirements, hardware and software requirements, secure browser installation, and text-to-speech function. This manual is tailored for use in California only. http://sbac.portal.airast.org/ca/
<i>California Test Information Distribution Engine (TIDE) User Guide</i>	Provides information on how to allow authorized personnel to create user accounts and manage students' test settings for the Field Test administration. This guide is tailored for use in California only. http://sbac.portal.airast.org/ca/field-test-ca/resources/
<i>California Test Administration User Guide</i>	Provides detailed information about the test delivery system (coming in March 2014). This guide is tailored for use in California only. http://sbac.portal.airast.org/ca/
<i>Usability, Accessibility, and Accommodations Guidelines</i>	Describes the Smarter Balanced universal tools, designated supports, and accommodations available at this time for the Smarter Balanced assessments. http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf
Universal Tools, Designated Supports, and Accommodations	Table of universal tools, designated supports, and accommodations; includes the California-specific non-embedded accommodations. http://californiatoc.org/administration/instructions/

Resource	Description
for the California Assessment of Student Performance and Progress Assessment System table	

* Please access the California Smarter Balanced Portal for resources at <http://sbac.portal.airast.org/ca/>.

Table 4: Online Training Modules—CaITAC

Module Name	Primary Audience	Objective
Windows Network Secure Browser	District/School Test Coordinators, District/School Technology Coordinators	This module provides step-by-step instructions on how to install the secure browser for Windows computers over a network.
Windows One-by-One Secure Browser Installation	District/School Test Coordinators, District/School Technology Coordinators	This module provides step-by-step instructions on how to install the secure browser for individual Windows computers.
Mac® Network Secure Browser Installation	District/School Test Coordinators, District/School Technology Coordinators	This module provides step-by-step instructions on how to install the secure browser for Macintosh® computers over a network.
Mac One-by-One Secure Browser Installation	District/School Test Coordinators, District/School Technology Coordinators	This module provides step-by-step instructions on how to install the secure browser for individual Macintosh® computers.
Smarter Balanced Field Test Workshop Archived Webcast	District/School Test Coordinators, District/School Technology Coordinators	This recorded Webcast presents an overview of the topics in this manual and is specific to the California implementation of the Smarter Balanced Field Test. This workshop was also presented throughout California during February 2014. Some of the contents are specific to the California implementation of the Smarter Balanced Field Test.

Module Name	Primary Audience	Objective
Smarter Balanced Field Test Technology Requirements Archived Webcast	District/School Test Coordinators, District/School Technology Coordinators	This recorded Webcast presents the technology requirements for schools. Some of the contents are specific to the California implementation of the Smarter Balanced Field Test.
Setting Up and Using the Smarter Balanced Practice Test Archived Webcast	District/School Test Coordinators, District/School Technology Coordinators	This recorded Webcast describes the procedures to set up and use the Smarter Balanced Practice tests. Some of the contents are specific to the California implementation of the Smarter Balanced Field Test.
Smarter Balanced Field Test Secure Browser Archived Webcast	District/School Test Coordinators, District/School Technology Coordinators	This recorded Webcast discusses the secure browser and demonstrates its installation. Some of the contents are specific to the California implementation of the Smarter Balanced Field Test.

* Please access the California Technical Assistance Center Web page for additional videos, Webcasts, and resources that have been added since publication, at <http://californiatac.org/training/sbft/>.

Table 5: Online Training Modules—Smarter Balanced

Module Name	Primary Audience	Objective
Accessibility and Accommodations	Test Administrators and School Test Coordinators	This module describes the recommended uses of available universal tools, designated supports, and documented accommodations for student accessibility to Smarter Balanced assessments.
Let’s Talk Universal Tools	Students, Test Administrators, teachers	This module acquaints students and teachers with the online, universal tools (e.g., types of calculators, expandable text) available in the Smarter Balanced assessment. This module should be shown to students in a classroom setting. For grades 3–8, it is encouraged that the teachers be in the room to answer questions from the students as they view the module.
Performance Task Overview	District/School Test Coordinators, teachers	This module provides an overview of what a performance task is and the purpose of the classroom activity as it pertains to the performance task.
Student Interface for Online Testing	District/School Test Coordinators, Test Administrators, teachers	This module explains how to navigate the Student Interface.

Module Name	Primary Audience	Objective
Technology Requirements for Online Testing	District/School Technology Coordinators	This module provides current information about technology requirements, site readiness, supported devices, and secure browser installation.
Test Administrator (TA) Interface for Online Testing	District/School Test Coordinators, Test Administrators, teachers	This module presents an overview on how to navigate the Test Administrator Interface.
Smarter Balanced Test Administration Overview	District/School Test Coordinators, Test Administrators, teachers	This module prepares District/School Test Coordinators and Test Administrators with an overview of procedures, including policy matters and test security processes.
Test Information Distribution Engine (TIDE)	District/School Test Coordinators, Test Administrators	This module provides detailed information on how to upload student information, manage users, and use other features of the TIDE system.
What is a CAT? (Computer Adaptive Test)	State, District/School Test Coordinators, teachers	This module provides the characteristics and advantages of a Computer Adaptive Test (CAT).
What is a Field Test?	Students, teachers	This module is designed for students and should be shown to students in a classroom setting. This module is intended to answer student questions on what a field test is and why it is important for students to participate in the Smarter Balanced Field Test. For grades 3–8, it is encouraged that the teachers be in the room to answer questions from the students as they view the module.

* Please access the California Smarter Balanced Portal for resources at <http://sbac.portal.airast.org/ca/field-test-ca/resources/>.

Table 6: Online Training Modules—Accessibility

Module Name	Primary Audience	Objective
Accessibility and Accommodations	Test Administrators and School Test Coordinators	This module describes the recommended uses of available universal tools, designated supports, and documented accommodations for student accessibility to Smarter Balanced assessments.

Module Name	Primary Audience	Objective
Let's Talk Universal Tools	Students, Test Administrators, teachers	This module acquaints students and teachers with the online, universal tools (e.g., types of calculators, expandable text) available in the Smarter Balanced assessment. This module should be shown to students in a classroom setting. For grades 3–8, it is encouraged that the teachers be in the room to answer questions from the students as they view the module.

Table 7: Other Resources

Resource	Description
<i>Practice Test for the Field Test</i>	<p>Practice Tests include items and performance tasks for each grade level (3–8 and 11). The Practice Tests provide a preview of the item types included in the Smarter Balanced assessments.</p> <p>Practice Tests are accessed via the California Smarter Balanced Portal and do not require use of the secure browser. This is the direct link to the Practice Tests: http://sbac.portal.airast.org/ca/practice-test-ca/.</p>
<i>Training Test for the Field Test</i>	<p>Training Tests are located on the California portal for TAs and students to become familiar with the format and functionality of the online test. This resource will be available by grade band (3–5, 6–8, high school) and will have approximately eight to nine mathematics and six ELA items per grade band.</p> <p>Training Tests are accessed via the California Smarter Balanced Portal and do not require use of the secure browser.</p> <p>Access the Training Tests using the following link: http://sbac.portal.airast.org/ca/practice-test-ca/.</p>

3.0 TEST SECURITY

The security of assessment instruments and the confidentiality of student information are vital to maintaining the validity, reliability, and fairness of the results.

All test items and test materials are secure and must be appropriately handled. Secure handling protects the integrity, validity, and confidentiality of assessment items, prompts, and student information. Any deviation in test administration must be reported as a test security incident to ensure the validity of the assessment results. Failure to honor security severely jeopardizes student information and/or puts the operational test at risk.

*To ensure consistent administration across all participating schools in every Smarter Balanced state, all Test Administrators (TAs) **should** complete the Test Administration training modules located on the California Smarter Balanced Assessment Portal, at <http://sbac.portal.airast.org/ca/field-test-ca/resources/>.*

3.1 Security of the Test Environment

The test environment refers to all aspects of the testing situation while students are testing. The test environment includes what a student can see, hear, or access (including access via technology). A violation of the security of the test environment may result in a test irregularity.

Requirements of a secure test environment include, but are not limited to, the following:

- A quiet environment, void of talking or other distractions that might interfere with a student’s ability to concentrate or might compromise the testing situation. Please see section *9.1 Establishing Appropriate Testing Conditions* for more detail.
- Students are actively supervised and the students are free from access to unauthorized electronic devices that allow availability to outside information, communication among students, or photographing or copying test content. This includes, but is not limited to, cell phones, personal digital assistants (PDAs), iPods, cameras, and electronic translation devices.
- SCs or TAs should post the “Unauthorized Electronic Devices May Not Be Used at Any Time During the Testing Session” signs so that they are clearly visible to all students. A master of this sign can be downloaded from the Forms Web page at <http://californiatac.org/administration/forms/>.
- Information displayed on bulletin boards, chalkboards or dry-erase boards, or charts (e.g., wall charts that contain literary definitions, maps, mathematics formulas, etc.) and that might assist students in answering questions. These materials **must be removed or covered**.
- Students should be seated so there is enough space between them to minimize opportunities to look at each other’s work, or should be provided with table-top partitions.
- Students should have access to and use of only those allowable resources identified by Smarter Balanced that are permitted for each specific assessment (or portion of an assessment).
- Only students who are testing can observe assessment items. Students who are not being tested or unauthorized staff must not be in the room where a test is being administered. Based on the item type (i.e., performance tasks), trained TAs may also have limited exposure to assessment items in the course of properly administering the assessment; however, even TAs may not actively review or analyze any assessment items.

- Administration of the Smarter Balanced Field Test is permitted only through the Student Interface via a secure browser.

3.2 Secure Handling of Printed Test Materials and Scratch Paper: Printing, Storage, and Disposal

Printing

Under extremely rare circumstances, a TA may be allowed to print individual test items or stimuli for a student who meets the criterion for this accommodation. The printing of items/stimuli is intended for those extremely rare instances where a student's condition (e.g., photosensitive epilepsy) prevents him or her from accessing material online. Access to printed items/stimuli should **not** be assigned based solely on a student's personal preference. The decision to allow this accommodation must be based on each individual student's need.

Printing Individual Test Items

Printing **individual test items** for students with this accommodation will require a request to CalTAC to have the accommodation set for the student—please see the Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines* for complete information (http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf).

Printing Passages or Stimuli

For those students whose Section 504 Plan or IEP expresses a need for a paper copy of **passages or stimuli**, permission for the students to request this accommodation must first be set in TIDE one to two weeks prior to testing by the School or District Test Coordinator.

Print requests will need to be approved and processed by the TA during test administration. The decision to allow students to use print on demand must be made on an individual student basis and is available only for students with an IEP or Section 504 Plan.

***Note:** It is a testing impropriety to apply this resource for a student without documentation of actual need. The use of this resource should be minimal.*

Once a student is approved to receive the printing of test items/stimuli, that student may send a print request to the TA during testing by clicking on the print icon on the screen. Before the TA approves the student's request to print a test item/stimulus, the TA must ensure that the printer is on and is monitored by staff who have trained using the Test Administrator training modules for the Field Test.

Destruction of printed materials and scratch paper

Any scratch paper or printed assessment items and passages must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration who have signed the CAASPP Security Affidavit. All test materials must remain secure, both prior to the testing event and following a testing event, until test materials, including printed materials, are securely shredded at the end of each test session.



Caution: Printed materials are secure test information. Printed test items/stimuli, including embossed Braille printouts, and scratch paper must be collected and inventoried at the end of each test session and then immediately shredded.

The only exception to this rule is when notes are used during the ELA and mathematics performance tasks. During the ELA PT, the notes on the embedded notepad ("Global Notes") are retained from Part 1 to Part 2 so that the student may go back to the notes even though the student is not able to go back to specific items in Part 1. While the embedded notepad is the preferred mode for note

taking, students may use scratch paper to make notes. To ensure that students using scratch paper for notes have the same allowance as students using the online notes, TAs should collect students' scratch paper at the completion of Part 1 of the ELA PT and securely store them for students' use during Part 2 of the ELA PT. Likewise, the mathematics PT may extend beyond one testing session. Global Notes is not available for the mathematics PT and students should use scratch paper and/or graph paper to take notes. In this situation, TAs should collect scratch paper and/or graph paper used in the first session and securely store it for students' use in the subsequent testing session. The retention of scratch paper is only allowed for the PTs. Following the conclusion of the PT all scratch paper and/or graph paper must be collected and securely destroyed to maintain test security. Prior to collecting scratch or graph paper for use in a subsequent session, TAs should ensure that students have written their names (or some appropriate identifying information) on the notes so that they can be redistributed securely.

The following test materials must be securely shredded:

- Scratch paper and all other paper handouts written on by students during testing, including copies of the classroom activity;
- Any reports or other documents that contain personally identifiable student information; and
- Printed test items or stimuli.

4.0 TESTING IMPROPRIETIES, IRREGULARITIES, AND BREACHES

Test security incidents, such as improprieties, irregularities, and breaches, are behaviors prohibited during test administration, either because they give a student an unfair advantage or because they compromise the secure administration of the assessment. Whether intentional or by accident, failure to comply with security rules, either by staff or students, constitutes a test security incident. Improprieties, irregularities, and breaches need to be reported in accordance with the instructions in this section for each severity level.

Appendix B contains more details about improprieties, irregularities, and breaches and should be reviewed by State Users (State), District Test Coordinators (DCs), School Test Coordinators (SCs), and Test Administrators (TAs) prior to test administration. The *California TIDE User Guide* will contain specific instructions on invalidating, resetting, re-opening, or restoring a test when an incident has occurred. DCs, SCs, and TAs should review *Appendix B* of this manual and the *California TIDE User Guide* located on the California portal at <http://sbac.portal.airast.org/ca/field-test-ca/resources/>. Definitions are provided in Table 8 below.

Table 8: Definitions for Test Security Incidents

Type	Definition
Testing Breach	An event that poses a threat to the validity of the test; in the state regulations, called a “testing irregularity.” Examples may include such situations as a release of secure materials or a repeatable security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported by the DC to the CDE within 24 hours.
Testing Impropriety	An unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level. (<i>Note: In California, these may be referred to as “testing incidents.”</i>)
Testing Irregularity	An unusual circumstance that impacts an individual or group of students who is testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level, but should also be submitted by the DC to the CDE within 24 hours.

Item security rules include but are not limited to the following:

- Unless assigned as an accommodation, no copies of the test items, stimuli, reading passages, PT materials, or writing prompts may be made or otherwise retained. This includes using any digital, electronic, or manual device to record or retain an item.
- Descriptions of test items, stimuli, printed reading passages, or writing prompts must not be retained, discussed, or released to anyone. All printed test items, stimuli, and reading passages must be securely shredded immediately following a test session.
- Test items, stimuli, reading passages, or writing prompts must never be sent by email or fax, or replicated/displayed electronically.
- Secure test items, stimuli, reading passages, or writing prompts must not be used for instruction.
- No review, discussion, or analysis of test items, stimuli, reading passages, or writing prompts at any time, including before, during, or between sections of the test, is allowed by students, staff, or TAs. Student interaction with test content during a test is limited to what is dictated for the purpose of a performance task.

- No form or type of answer key may be developed for test items.

TAs and SCs or other individuals who have witnessed, been informed of, or suspect the possibility of a test security incident that could potentially affect the integrity of the tests or the data should follow the steps outlined in *Appendix B* of this manual and the *California TIDE User Guide* located on the California portal at <http://sbac.portal.airast.org/ca/>.

5.0 TECHNOLOGY INFRASTRUCTURE

Prior to test administration, District Test Coordinators (DCs), School Test Coordinators (SCs), Technology Coordinators, and Test Administrators (TAs) should review the technology infrastructure at their schools.

5.1 Technology Resources

The *Technology Strategy Framework and System Requirements* specifications document is available for download at http://www.smarterbalanced.org/wordpress/wp-content/uploads/2011/12/Tech_Framework_Device_Requirements_11-1-13.pdf. This document provides information about supported technology and technology requirements and can be used to confirm that your school meets the minimum requirements for online testing.

The California Smarter Balanced Portal provides a **link to a diagnostic testing tool that Technology Coordinators can use to test their school's bandwidth** (see the instructions at <http://www.smarterbalanced.org/wordpress/wp-content/uploads/2012/11/Bandwidth-Check-Instructions.pdf>).

To use the diagnostic tool:

1. Select the test your school will administer.
2. Enter the total number of students who will take the test.
3. Click [**Run Network Diagnostics Tests**].

Note: You may want to run this test more than once and at different times of the day because estimates change as the network conditions change and can vary from run to run.

The California *Technical Specifications Manual for Online Testing*, located on the portal (<http://sbac.portal.airast.org/ca/field-test-ca/resources/>), provides Technology Coordinators with the technical specifications for online testing, including information about Internet and network requirements, hardware and software requirements, secure browser installation, and text-to-speech functionality.

5.2 The Secure Browser

The Smarter Balanced Field Test secure browser must be installed on all computers that will be used for testing at least two weeks prior to the Field Test.

Students must use the secure browser to log in to the Student Interface and access the Smarter Balanced Field Test. The secure browser is designed to ensure test security by prohibiting access to external applications or navigation away from the test.

Your School Technology Coordinator is responsible for ensuring that the secure browser has been correctly installed on all computers to be used for testing at your school.



For information about accessing and installing the secure browsers or accessing the Field Test, refer to the *California Technical Specifications Manual* on the California Smarter Balanced Portal (<http://sbac.portal.airast.org/ca/field-test-ca/resources/>).

While the secure browser is an integral component of test security, TAs perform an equally important role in preserving test integrity and security. In addition to the security guidelines presented in this manual, DCs and SCs should understand and adhere to the security guidelines listed in the CAASPP Security Agreement. TAs and other personnel associated with the Field Test should understand and

adhere to the security guidelines listed in the CAASPP Security Affidavit. Both documents are available for download from the Forms Web page at <http://californiatac.org/administration/forms/>. In addition, TAs should be aware of the following guidelines and employ the necessary precautions while administering online assessments:

1. Close External User Applications

Prior to administering the online assessments, TAs should check all computers that will be used and close all applications except those identified as necessary by the school's Technology Coordinator. After closing these applications, the TA should open the secure browser on each computer. *The secure browser will not work if the computer detects that a forbidden application is running (see below).*

2. No Testing on Computers with Dual Monitors

Students must not take online assessments on computers that are connected to more than one monitor. Systems that use a dual monitor setup typically display an application on one monitor screen while another application is accessible on the other screen.

Forbidden application detection

The secure browser and Student Interface automatically detect certain applications that are prohibited from running on a computer while the secure browser is open. When the secure browser is launched, the system checks all applications currently running on a computer. If a forbidden application is detected, the student will not be able to log in. A message will also be displayed that lists the forbidden application(s) that needs to be closed.

Note: If a forbidden application is launched in the background while the student is already in a test, the student will be logged out and a message displayed. The student will have to reopen the secure browser and log in to continue working on the assessment. This would be considered a test security incident.

Before administering tests, TAs should take proper measures to ensure that forbidden applications are not running on student computers. TAs may contact their School Technology Coordinator or District Technology Coordinator for assistance in closing forbidden applications.

Secure browser error messages

1. Secure Browser Not Detected

The system automatically detects whether a computer is using the secure browser to access the online testing system. The system will not permit access to the test other than through the secure browser; under no condition may a student access a Field Test using a nonsecure browser.

2. Unable to Establish a Connection with the Test Delivery System

If a computer fails to establish a connection with the Test Delivery System, the message below will be displayed. This is most likely to occur if there is a network-related problem. The causes may include an unplugged network cable or a firewall not allowing access to the site.

Unable to establish a connection with the Test Delivery System (TDS).

[CLICK HERE TO TRY AGAIN](#)

Force-quit commands for secure browsers

In the rare event that the secure browser or test becomes unresponsive and you cannot pause the test or close the secure browser, you have the ability to “force quit” the secure browser.

To force the browser to close, use the following keyboard commands. (Reminder: This will log the student out of the test he or she is taking. When the secure browser is opened again, the student will have to log back in to resume testing.)



We strongly advise against using the force-quit commands, as the secure browser treats this action as an abnormal termination. The secure browser hides features such as the Windows taskbar, and if the secure browser is not closed correctly then the taskbar may not reappear correctly.

These commands should be used only if the [Close Secure Browser] button does not work.

Force-quit Commands

Windows: [Ctrl] + [Alt] + [Shift] + [F10]

Mac OS X: [Ctrl] + [Alt] + [Shift] + [F10]

Linux: [Ctrl] + [Alt] + [Shift] + [Esc]

Note for Windows and Mac Users:

If you are using a laptop or netbook, you may also need to press the [FN] key before pressing [F10].

6.0 TEST ADMINISTRATION

This section provides an overview of the online testing environment. Use this section to familiarize yourself with what your students will experience in accessing the assessment, how to prepare for the assessment, and general rules for online testing. Information about the Training Test, test pauses, and resumptions is also included in this section. Test Administrators (TAs) should become familiar with this section well in advance of the test date so materials for login and accommodations described below can be assembled.

6.1 Student Enrollment and Login Process

Student enrollment

Only students who are enrolled in a school and grade participating in the Smarter Balanced Field Test may take the assessments. **Each student must be correctly assigned to his or her school and grade in the Smarter Balanced TIDE system.** If an eligible student does not appear in TIDE, has missing or incorrect designated supports and accommodations, or is associated with an incorrect school or grade, this information must be updated in CALPADS before the student can test. District Test Coordinators (DCs) and School Test Coordinators (SCs) will need to add/update student information in CALPADS at least three business days in advance of testing.

Students cannot access a test if their student enrollment or accessibility and accommodation information is incorrect.

Refer to the *California TIDE User Guide* on the California Smarter Balanced Portal for additional information: <http://sbac.portal.airast.org/ca/field-test-ca/resources/>.

Student login

Each student will log in to the Smarter Balanced Field Test using a confirmation code*, his or her state abbreviation (e.g., California = CA) followed by a hyphen and his or her Statewide Student Identifier (SSID)** , and a test session ID.

Note: When a Test Administrator creates a test session, a unique session ID is randomly generated. This session ID must be provided to the students before they log in. Please refer to the Test Administrator User Guide located at <http://sbac.portal.airast.org/ca/field-test-ca/resources/> for detailed information on how to obtain session IDs.

* **Confirmation Code:** This is a number or alphanumeric code (that may not be unique) assigned to a student that is designated by, state, or in some cases, district. In California, the confirmation code is the student's first name as it appears in CALPADS.

Districts and schools will have the capability of viewing student confirmation codes by running a search in the "View/Edit" student tab within the Student Information tab in TIDE. This will allow a file export of all students in a school, or allow you to search specific students to determine their confirmation code.

More information on confirmation code can be found on the portal at <http://sbac.portal.airast.org/wp-content/uploads/2014/01/Confirmation-Code-1.14.14.pdf>.

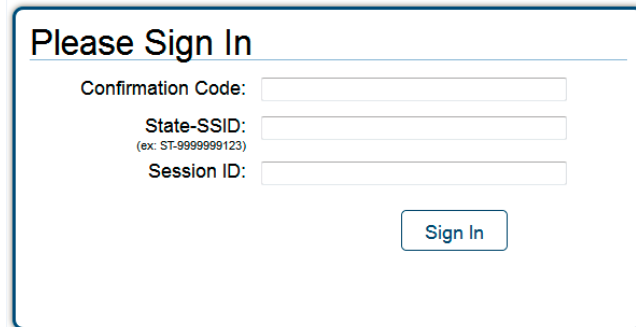
** **SSID:** A unique number or alphanumeric code assigned to a student by the state.

Sample for a California
Demo Session:

Confirmation: John (First name)

State-SSID: CA-123456789

Session ID: Demo-123-abc



Please Sign In

Confirmation Code:

State-SSID:
(ex: ST-9999999123)

Session ID:

Verifying student information

DCs, SCs, and TAs can verify students' SSIDs in TIDE prior to starting test administration. However, it is important for anyone with access to this information to remember that student personal information, including SSIDs, is confidential. **If materials containing the student name and/or the SSID are distributed to students, these materials must be collected before the students leave the testing room and either securely stored to be used in a subsequent test session or shredded.** For additional information about security protocols, refer to section 3.0 *Test Security* of this manual.

6.2 Field Test Participation

Smarter Balanced has crafted a comprehensive accessibility and accommodations framework, *Usability, Accessibility, and Accommodations Guidelines*, for all students and those with special assessment needs. It is also developing a variety of innovative digital accessibility tools that will be embedded in the Smarter Balanced test delivery engine. The Field Test will feature several universal digital accessibility tools and a variety of designated supports and accommodations.

The *Usability, Accessibility, and Accommodations Guidelines* (Smarter Balanced Guidelines) can be found at http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf. The Universal Tools, Designated Supports, and Accommodations for the California Assessment of Student Performance and Progress Assessment System table can be found at <http://californiatac.org/administration/instructions/>.

If a student requires a designated support or accommodation that is not listed in the Smarter Balanced Guidelines or the CDE table, you may request approval of an undefined support or accommodation by submitting a request to the CDE using the online form available at www.californiatac.org/administration/forms.

Consistent with the Smarter Balanced field-testing plan, all students, including students with disabilities, English language learners (ELLs), and ELLs with disabilities, should have equal opportunity to participate in the Smarter Balanced Field Test.

All students enrolled in grades 3 through 8 and grade 11 and selected students in grades 9 and 10 are required to participate in the Smarter Balanced mathematics assessment except:

- Students with the most significant cognitive disabilities who meet the criteria for the California Alternate Performance Assessment (CAPA).

- Students whose parents/guardians have submitted written requests to exempt their children from all or any part of the Field Test. All such requests must be honored as indicated in *California Education Code (EC) Section 60615*.

All students enrolled in grades 3 through 8 and grade 11 and selected students in grades 9 and 10 are required to participate in the Smarter Balanced English language arts/literacy assessment except:

- Students with the most significant cognitive disabilities who meet the criteria for the CAPA.
- ELLs who enrolled within the last 12 months prior to the beginning of testing in a U.S. school.
- Students whose parents/guardians have submitted written requests to exempt their children from all or any part of the Field Test. All such requests must be honored as indicated in *California EC Section 60615*.

School personnel should follow federal, state, and local policies regarding student participation.

For answers to questions about the tools and accommodations available for the Field Test, school personnel should contact their DC; DCs should contact the California Technical Assistance Center at CalTAC@ets.org or 800-955-2954.

6.3 Preparing Students for Testing

Practice and Training Tests

In preparation for the Field Test and to expose students to the various items (see *Appendix C* for item types) in ELA and mathematics, it is highly recommended that all students access the Practice Test for the Field Test (<http://sbac.portal.airast.org/ca/practice-test-ca/>) and/or the Training Test for the Field Test (<http://sbac.portal.airast.org/ca/>). Each resource offers students a unique opportunity to experience a test in a manner similar to what they will see on the Field Test and prepare students for the Field Test.

Overview of the Practice Tests

Practice Tests are grade-specific (3–8 and 11) and include a range of item types, grade-level content, and difficulty. There are approximately 30 items, including a performance task, on a Practice Test in each content area. Smarter Balanced will increase the number of items and features in the Practice Tests over time.

In addition, the Practice Tests include an initial set of accessibility features that will be available to all students in the final assessment system, such as highlighting text, zooming in and out, marking items for review, and the digital notepad. A user guide that provides direct guidance on accessing the Practice Tests, as well as frequently asked questions that provide additional information about the assessment and how to use it, are available through the California Smarter Balanced Portal at <http://sbac.portal.airast.org/ca/>.

Overview of the Training Tests Sites

Training Tests are not grade specific and provide students and teachers with an opportunity to become familiar with the software and all interfaces features and functionality that will be used in the Smarter Balanced Field Test. The Training Tests are available by grade bands (3–5, 6–8, and high school) and have six items in ELA and eight to nine in mathematics. The Training Tests do not

include performance tasks. The site is accessible from the Training Test section of the California Smarter Balanced Portal (<http://sbac.portal.airast.org/ca/>). Note that the text-to-speech functionality is available *only* when using the Training Test through the secure browser.

- The TA Training Test Site may be used only by authorized state-level users, DCs, SCs, and TAs. This site provides Test Administrators with an opportunity to become familiar with the tools needed to proctor online tests.
- The Student Training Test Site may be used by anyone. Students can log in as guests or use their confirmation code and State-SSID. Students who log in using their credentials may log into a guest session or into a proctored training session with a training session ID set up through the TA Training Test Site.

The Training Tests can be used alone or in conjunction with the TA Training Test Site. These applications can be used together to simulate an online test session so that both TAs and students can become comfortable with the online testing environment. For additional information, refer to the *Practice Test and Training Test User Guide* located on the California Smarter Balanced Portal (<http://sbac.portal.airast.org/ca/>).



Do NOT use the live Student Interface or TA Interface for practice. Doing so constitutes a test security incident. For all Training Test sessions, use the TA Training Site and the Training Tests.

It is *highly recommended* that **ALL** students access the Training Test Site before taking the Field Test. The Training Tests will be especially beneficial for those students who have not previously participated in online testing. Teachers are encouraged to conduct a group walk-through of the Smarter Balanced Training Test or Practice Test with their students to promote familiarity with the testing format and basic test rules (see section 6.4 *General Rules of Online Testing*). A comparison of the Training Test and Practice Test is provided in Table 9.

Table 9: Comparison of the Training Test and Practice Test

Feature	Practice Test	Training Test
Purpose	Provide students the opportunity to experience a range of grade-specific item types (as well as performance tasks) similar in format and structure to the Smarter Balanced assessments.	Provide students with an opportunity to become familiar with the software and interface features that will be used in the Smarter Balanced assessments.
Grade Level	Individual assessments at each grade <ul style="list-style-type: none"> • Grades 3–8 and 11 	Three assessments by grade band: <ul style="list-style-type: none"> • Grades 3–5 • Grades 6–8 • high school
Type of Items	Approximately 30 items in ELA and 30 items in mathematics per grade level One ELA and one mathematics performance task per grade level	Approximately 14–15 items per grade band (6 in ELA and 8–9 in mathematics) No performance tasks Includes new item types not currently present in the Practice Test (matching tables, table fill-in, evidence-based selected response)

Feature	Practice Test	Training Test
Available Embedded Universal Tools, Designated Supports, and Accommodations	<p>All universal tools</p> <p>Most designated supports, including:</p> <ul style="list-style-type: none"> • Color contrast • Masking • Text-to-speech items • Translations (glossary): Spanish <p>Most accommodations, including:</p> <ul style="list-style-type: none"> • American Sign Language for all mathematics items and ELA Listening stimuli and items • Braille • Streamlining* 	<p>All universal tools</p> <p>All designated supports, including:</p> <ul style="list-style-type: none"> • Color contrast • Masking • Text-to-speech items • Translated test directions: Spanish • Translations (glossary): Spanish, Arabic, Cantonese, Filipino, Korean, Mandarin, Punjabi, Russian, Ukrainian, Vietnamese • English glossary • Full translation: Spanish <p>All accommodations, including:</p> <ul style="list-style-type: none"> • American Sign Language for all mathematics items and ELA Listening stimuli and items • Braille • Streamlining* • Text-to-speech for reading passages in grades 6 to high school
Access	http://sbac.portal.airast.org/ca/practice-test-ca/	http://sbac.portal.airast.org/ca/

* Streamlining is an embedded accommodation on the computer-administered test system that allows a student to select and alternate display of an item and stimulus with more white space and a separation of the instructions from the question.

6.4 General Rules of Online Testing

This section provides a brief overview of the general test administration rules as well as information about test tools and accommodations. For more advanced information, refer to the *Practice Test and Training Test User Guide* located on the California Smarter Balanced Portal (<http://sbac.portal.airast.org/ca/>).

Basic test rules

- Non-PT items and performance tasks will be presented in the Field Test administration as separate tests. Students may not return to a test once it has been submitted.
- Within each test there may be segments. A student may not return to a segment once it has been submitted.
- Students **must answer all test items on a page** before going to the next page. Some pages contain multiple test items. Students may need to use the vertical scroll bar to view all items on a page.
- Students must answer all test items before the test can be submitted.

- Mark items for review and use the Past/Marked drop-down list to return to those items.

Pause rules

- **During the non-PT portion of the test, if a test is paused for more than 20 minutes** the student is:
 - Required to log back into the student interface;
 - Presented with the test page containing the test item(s) he or she was working on when the test was paused (if the page contains at least one unanswered item) OR with the next test page (if all items on the previous test page were answered); and
 - NOT permitted to review or change any previously answered test items (with the exception of items on a page that contains at least one item that was not answered yet).
- **During the performance task portion of the test, there are no pause restrictions.** If a test is paused for 20 minutes or more, the student can return to the section and continue typing his or her responses. Please note that there are specified recommendations provided in section 6.5 *Testing Time and Recommended Order of Administration*.
- Any highlighted text, notes on the digital notepad, or items marked for review will not be saved when a test is paused.
- In the event of a technical issue (e.g., power outage or network failure), students will be logged out and the test will automatically be paused. The students will need to log in again upon resuming the test.

Scenarios:

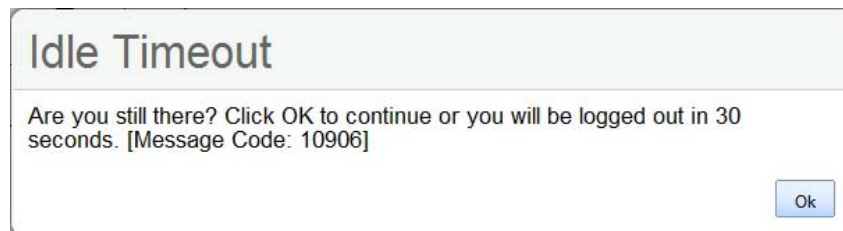
1. If during the non-PT portion of the Field Test a test is paused for less than 20 minutes (or does not pause at all), the student can return to previous test pages and change the response to any question he or she has already answered within a segment.
2. If during the non-PT portion of the Field Test a test is paused for more than 20 minutes, when the student resumes testing, the test will return the student to the last page with unanswered items. If a page has both answered and unanswered items, the student may change any answers present on that page. However, he or she may not return to previous pages and consequently cannot change answers to items on previous pages.
 - a. Example: A single test page has questions 4–10. A student answers questions 4–7 and pauses the test for more than 20 minutes. When the student resumes testing, he or she can change answers to questions 4–10 but cannot return to questions 1–3 on an earlier page.
3. If during the non-PT portion of the Field Test a test is paused for more than 20 minutes and there is no answered item on that individual page, the student will not have access to any items on previous pages for which a response has already been provided.
 - a. Example: Question 6 is the only item on a test page and the student does not answer it before pausing the test. The student resumes testing after pausing for more than 20 minutes and is directed to the page with question 6. The student may not return to questions 1–5.
 - b. Example: A page contains questions 9–11 and a student answers all of those items before pausing the test for more than 20 minutes. When the student resumes testing, he or she will begin on question 12 and cannot return to questions 1–11.

- If during the performance task portion of the Field Test a test is paused for more than 20 minutes, the student will return to the section and continue typing his or her responses. There are no pause restrictions for the PT portion of the test.

Test timeout (due to inactivity)

As a security measure, students are automatically logged out of the test after 20 minutes of test inactivity. *Activity* is defined as selecting an answer or navigation option in the test (e.g., clicking [Next] or [Back] or using the **Past/Marked Questions** drop-down list to navigate to another item). Moving the mouse or clicking on an empty space on the screen is not considered activity.

Before the system logs the student out of the test, a warning message will be displayed on the screen. If the student does not click [Ok] within 30 seconds after this message appears, he or she will be logged out. Clicking [Ok] will restart the 20 minute inactivity timer.



Test expiration

Non-PT Items

A student’s non-PT test section remains active until the student completes and submits the test or 45 calendar days after the student has begun the test, whichever occurs sooner. However, Smarter Balanced recommends that students complete the non-PT items portion of the test within five days of starting the designated content area.

Note: The 45-day limit does not extend past the official end of the Field Test, June 6. If a student starts the test a week before the Field Test end date, the student must finish before the administration window officially closes. The test will automatically end on June 6 even if the student has not finished.

Performance Task (PT)

The PT is a separate test section that remains active only for ten calendar days after the student has begun the PT. However, Smarter Balanced recommends that students complete the PT within three days of starting. A summary of recommendations for the number of sessions and session durations is provided in section 6.5 *Testing Time and Recommended Order of Administration*.

6.5 Testing Time and Recommended Order of Administration

All students participating in the Field Test, regardless of content area (ELA, mathematics, or both), will receive non-PT items, a classroom activity, and a performance task. If you are unsure which content areas or grades are being administered to your students, please confirm with your SC.

6.5.1 Testing Time in California

Testing Windows

The Field Test is being administered March 25–June 6, 2014.

For the Field Test in California, LEAs were provided a six-week testing window for each school. The assigned Field Test window falls within the overall administration dates. The CDE and Smarter Balanced will be using this information to ensure that there is sufficient server capacity for all scheduled students to test. Please ask your SC for the dates if you are unsure of your school’s testing window(s) or download the county list that includes your school from the Testing Window Web page at <http://californiatac.org/about/smarter-balanced/testing-windows/>. If the DC requested window reassignment and you are not sure if your list was updated, the DC should contact CalTAC for a current list.

Scheduling Time for Testing:

Table 10 contains the estimated times it will take most students to complete the California Smarter Balanced Field Test based on the time it took students to complete the Smarter Balanced Pilot Test.

Table 10: Estimated Testing Times for California Smarter Balanced Field Tests

	Content Area	Grades	Non-Performance Task items hrs : mins	Classroom Activity (administered prior to the PT)* hrs : mins	Performance Task (PT) hrs : mins	Estimated Total hrs : mins	Estimated Grand Total hrs : mins
Single Content area	ELA	3-5	1: 30	:30	2:00	3:30	4:00
		6-8	1:30	: 30	2:00	3:30	4:00
		HS	2:00	: 30	2:00	4:00	4:30
	Math	3-5	1:30	: 30	1:00	2:30	3:00
		6-8	2:00	: 30	1:00	3:00	3:30
		HS	2:00	: 30	1:30	3:30	4:00

	Content Area	Grades	Non-Performance Task items hrs : mins	Classroom Activity (administered prior to the PT)* hrs : mins	Performance Task (PT) hrs : mins	Estimated Total hrs : mins	Estimated Grand Total hrs : mins
Both Content areas	ELA+Math, with ELA PT	3-5	1:30	: 30	2:00	3:30	4:00
		6-8	1:45	: 30	2:00	3:45	4:15
		HS	2:00	: 30	2:00	4:00	4:30
	ELA+Math, with Math PT	3-5	1:30	: 30	1:00	2:30	3:00
		6-8	1:45	: 30	1:00	2:45	3:15
		HS	2:00	: 30	1:00	3:00	3:30

* Classroom activities are designed to fit into a 30-minute window and will vary due to the complexity of the topic and individual student needs.

When developing a testing schedule, you may use the estimated testing times to calculate the number of days and the amount of time it will take to complete a test by grade level for each of the four testing scenarios in California—ELA only, mathematics only, ELA and mathematics with an ELA PT, and ELA and mathematics with a mathematics PT.

These estimates do not account for any time needed to start computers, load secure browsers, and log in students. TAs should work with SCs to determine precise testing schedules.

Local Capacity and the Impact on Scheduling

The following information, tools, and recommended configuration details have been developed to assist school and district technology staff evaluate local testing capacity and prepare computers to be used for the Smarter Balanced assessment.

- Districts should ensure that computers meet the minimum technology requirements, described on the California Smarter Balanced Technology Portal (<http://sbac.portal.airast.org/ca/>).
- Prior to testing, the Smarter Balanced secure browser should be installed on all computers in the schools that will be used for testing. Details and download instructions for the secure browser can be found in the *Technical Specifications Manual* located on the Smarter Balanced Web page at <http://sbac.portal.airast.org/browsers/>.
- Smarter Balanced has developed Technology Readiness Tool (TRT) for schools and districts to assess their technology readiness: <https://www.techreadiness.net>. Frequently asked questions for using this tool can be found here: <http://techreadiness.org/r/Resources/> (note that many districts have conducted this exercise already and may have user IDs established already). Schools should work with their District Technology Coordinators prior to utilizing this tool.

- To help estimate the number of days and associated network bandwidth required to administer the Smarter Balanced assessment, schools should access the online calculator at <http://www3.cde.ca.gov/sbactechcalc/>. Divide the resulting estimate by two for California testing. The calculated days and bandwidth information are based on the number of students, number of computers, and number of hours per day computers are available for testing.

6.5.2 Recommended Order of Administration

The Field Test in California is comprised of either two or three components (tests), as assigned for each grade within each California school.

Scenario 1: Two components (tests):

Students receive a single content area, either ELA or mathematics. There is a computer-administered test consisting of non-performance task items *and* a computer-administered test consisting of a **performance task**.

Scenario 2: Three components (tests):

Students receive both content areas, ELA and mathematics. There are two computer-administered tests, one for each content area, consisting of non-performance task items. A third computer-administered test consists of a **performance task** in either ELA or mathematics.

Overall testing time is approximately the same for either scenario. Refer to Table 10 through Table 14 for more specific estimates and guidelines.

All performance tasks must be preceded by the administration of a classroom activity.

All components must be administered and submitted in order to have a valid assessment for the student.

Recommended Order of Test Administration

Administer First: Non-performance task assessment(s)

Administer Second: Performance task assessment

- a. Classroom activity (first, approximately one to three days prior to administering the PT)
- b. Individually administered, computer-generated performance task (second)

The performance task component of the assessment should not be administered on the same day as the non-PT items.

6.5.3 Duration and Timing Information for Testing in California

The scheduling/rules for each of these components is included in Table 11 through Table 14 below. Note that the duration, timing, break/pause rules, and session recommendations vary in each content area and component.

Assessment Sequence

Smarter Balanced recommends that students take the PT and the non-PT items on separate days. Smarter Balanced also recommends that students begin with the non-PT items, followed by the classroom activity, and then the PT. Districts/Schools may opt to administer in a different order if needed; however, the classroom activity, which is designed to introduce the PT, **must** occur prior to the administration of the PT component.

Table 11: California Assessment Sequence for Single Content Area—ELA

	Non-Performance Task Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> No fewer than two sessions (recommended) and no more than six sessions (rare/extreme) Session durations range from 40–60 minutes 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in one session Approximate session duration: 30 minutes, session may vary due to the complexity of the topic and individual student needs Should occur one to three days prior to PT Should NOT occur on the same day as the ELA PT 	<p>The PT is presented in two parts.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> Administer in two sessions corresponding to Parts 1 and 2 of the PT Session durations range from 60–120 minutes.
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous pages.</p>	NA	<p>The PT is presented in two parts. Students can take breaks within Parts 1 and 2; however, once a student moves to Part 2, he or she will not be able to review or revise items in part one.</p> <ul style="list-style-type: none"> Recommendation: Students complete Part 1 in one test session and Part 2 the next school day.
Total Duration	<p>Once a student has started the non-PT items, they will be available for 45 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes this component within five days of starting. 	NA	<p>Once a student has started the PT, it will be available for 10 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes each part of the PT within one day
Additional Required Resources	<p>Headphones are required for the listening portion of the ELA assessment.</p>	NA	<p>Headphones are required for some performance tasks.</p>

Table 12: California Assessment Sequence for Single Content Area—Mathematics

	Non-Performance Task Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in two sessions Session durations range from 40–60 minutes <p>Most students will complete the non-PT items in two sessions of 60 minutes or less or one long session of more than 60 minutes.</p>	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in one session Approximate session duration: 30 minutes, session may vary due to the complexity of the topic and individual student needs Should occur as close to the PT as is feasible, and no more than three days prior to the PT MAY occur on the same day as the PT 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in one session Session duration ranges from 40–120 minutes
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous pages.</p>	NA	<p>Students can take breaks during PT test sessions. Mathematics PT items are presented on a single screen. Following a break, the student will have access to the same items.</p>
Total Duration	<p>Once a student has started the non-PT items, they will be available for 45 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes this component within five days of starting it. 	NA	<p>Once a student has started the PT, it will be available for 10 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes the PT in one day
Additional Required Resources	<p>Graph paper is required beginning in sixth grade and can be used on all mathematics assessments.</p>	NA	<p>Graph paper is required beginning in sixth grade and can be used on all mathematics assessments.</p>

Table 13: California Assessment Sequence for Both Content Areas + ELA Performance Task

	Non-Performance Task Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> No fewer than two sessions (recommended) and no more than six sessions (rare/extreme) Session durations range from 40–60 minutes 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in one session Approximate session duration: 30 minutes, session may vary due to the complexity of the topic and individual student needs Should occur one to three days prior to PT Should NOT occur on the same day as the ELA PT 	<p>The PT is presented in two parts.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> Administer in two sessions corresponding to Parts 1 and 2 of the PT Session durations range from 60–120 minutes
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous pages.</p>	NA	<p>The PT is presented in two parts. Students can take breaks within Parts 1 and 2; however, once a student moves to Part 2, he or she will not be able to review or revise items in Part 1.</p> <ul style="list-style-type: none"> Recommendation: Students complete Part 1 in one test session and Part 2 the next school day.
Total Duration	<p>Once a student has started the non-PT items, they will be available for 45 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes this component within five days of starting. 	NA	<p>Once a student has started the PT, it will be available for 10 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes each part of the PT within one day
Additional Required Resources	<p>Headphones are required for the listening portion of the ELA assessment.</p> <p>For mathematics non-PT items, graph paper is required beginning in sixth grade and can be used on all mathematics assessments.</p>	NA	<p>Headphones are required for some performance tasks.</p>

Table 14: California Assessment Sequence for Both Content Areas + Mathematics Performance Task

	Non-Performance Task Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> No fewer than two sessions (recommended) and no more than six sessions (rare/extreme) Session durations range from 40–60 minutes 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in one session Approximate session duration: 30 minutes, session may vary due to the complexity of the topic and individual student needs Should occur one to three days prior to PT Should NOT occur on the same day as the Mathematics PT 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in one session Session duration ranges from 40–120 minutes
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous pages.</p>	NA	<p>Students can take breaks during PT test sessions. Mathematics PT items are presented on a single screen. Following a break, the student will have access to the same items.</p>
Total Duration	<p>Once a student has started the non-PT items, they will be available for 45 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes this component within five days of starting. 	NA	<p>Once a student has started the PT, it will be available for 10 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes the PT in one day
Additional Required Resources	<p>Headphones are required for the listening portion of the ELA assessment.</p> <p>For mathematics non-PT items, graph paper is required beginning in sixth grade and can be used on all mathematics assessments.</p>	NA	<p>Graph paper is required beginning in sixth grade and can be used on all mathematics assessments.</p>

Additional administration recommendations

- For the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student’s schedule.
- Minimize the amount of time between beginning and completing each test within a content area.

Important reminders:

1. The number of items in the non-PT items portion of the Field Test will vary.
2. The tests are not timed, so all time estimates are approximate. Students should be allowed extra time if they need it.
3. The Field Test can be spread out over multiple days as needed.
4. The classroom activity must be completed prior to administration of the PT.

7.0 DESIGNATING STUDENT ACCESSIBILITY AND ACCOMMODATION OPTIONS IN TIDE

Prior to testing, specific designated supports and accommodations **must be enabled in TIDE** by the School Test Coordinator (SC) or District Test Coordinator (DC), or other appropriate LEA staff member as assigned. Designated supports and accommodations are set in the system by content area (English language arts/literacy and mathematics).

Table 15 lists features and functions described included in TIDE.

The DC must use CALPADS to add/edit/delete students. Changes to CALPADS will take approximately three business days to appear in TIDE. The DC and SCs can set embedded and non-embedded designated supports and accommodations in TIDE for a student who requires them. Test Administrators (TAs) may view student information. However, TAs cannot add, upload, or edit student information. Within the TA Interface, a TA can change the default font size and turn off Universal Tools prior to the start of the Field Test.

The embedded settings are marked with an asterisk (*) in Table 15.

Table 15: User Access to Tasks in TIDE

Group	Description	Test settings and Available Resources	User Roles			
			State	DC	SC	TA
User Management	Add, upload, view, and edit information for users in the state, district, or school who are below your role level.		✓	✓	✓	
Student Information	Add, view, and edit student information, including test settings. <i>Note: All users can VIEW student information. DCs must use CALPADS to add/delete students or edit student demographic information. DCs and SCs are responsible for adding/editing designated supports and accommodations through TIDE.</i>	Upload Student File	✓			
		Add/Delete Students	✓			
		Edit Students	✓			
		Color Contrast*		✓	✓	
		Masking*		✓	✓	
		Translations* (stacked, glossary)		✓	✓	

Group	Description	Test settings and Available Resources	User Roles			
			State	DC	SC	TA
	<p>The table check mark (✓) indicates edit permission.</p> <p>The asterisk (*) indicates that the capability is an embedded resource.</p>	Permissive Mode		✓	✓	
		Print Size*		✓	✓	
		Non-embedded Designated Supports		✓	✓	
		ASL*		✓	✓	
		Braille*		✓	✓	
		Closed Captioning**		✓	✓	
		Print on Demand***		✓	✓	
		Streamlined Interface*		✓	✓	
		Text to Speech*		✓	✓	
		Non-embedded Accommodations		✓	✓	
Appeals	Security incidents in the online administration system	Create	✓			
		View	✓	✓	✓	✓
		View pending appeals	✓			
		Upload	✓			
Voice Pack	Download the NeoSpeech™ Julie voice pack.	NA		✓	✓	

The Closed Captioning accommodation, marked with two asterisks, (**), will not be available for the Field Test. However, for students who would have received this accommodation, the Closed Captioning option should still be selected in TIDE. For the Field Test only, selecting the Closed Captioning option will suppress the ELA Listening and allow these students to participate in the rest of the ELA test.

The *Print on Demand* accommodation, marked with three asterisks, (***) , will require a request by the DC to CalTAC if the student needs the *Print on Demand* option for individual items. The *Print on Demand* option for passages and stimuli can be set in TIDE by the DC or SC.

For more detailed information on these resources, please see the Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines* for complete information:

(http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf). See also the Universal Tools, Designated Supports, and Accommodations for the California Assessment of Student Performance and Progress Assessment System table at <http://californiatac.org/administration/instructions/>.

For information on how to view, add, upload, and edit student designated supports and/or accommodations, please refer to the *California TIDE User Guide* located on the portal: <http://sbac.portal.airast.org/ca/field-test-ca/resources/>.

8.0 UNIVERSAL TOOLS, DESIGNATED SUPPORTS, AND ACCOMMODATIONS

The Smarter Balanced Assessment Consortium's *Usability, Accessibility, and Accommodations Guidelines* are intended for school-level personnel and decision-making teams, including individualized education program (IEP) teams, as they prepare for and implement the California Smarter Balanced assessments. The Guidelines provide information for classroom teachers, English development educators, special education teachers, and related services personnel to use in selecting and administering universal tools, designated supports, and accommodations for those students who need them. The Guidelines are also intended for assessment staff and administrators who oversee the decisions that are made in instruction and assessment.

The Smarter Balanced Guidelines apply to all students. They emphasize an individualized approach to the implementation of assessment practices for those students who have diverse needs and participate in large-scale content assessments. The Guidelines focus on universal tools, designated supports, and accommodations for the Smarter Balanced content assessments of English language arts/literacy and mathematics. At the same time, the Guidelines support important instructional decisions about accessibility and accommodations for students who participate in the Smarter Balanced assessments. The Guidelines recognize the critical connection between accessibility and accommodations in instruction and accessibility and accommodations during assessment.

The complete set of *Usability, Accessibility, and Accommodations Guidelines* can be found at http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf.

See also the Universal Tools, Designated Supports, and Accommodations for the California Assessment of Student Performance and Progress Assessment System table at <http://californiatac.org/administration/instructions/>.

Please be sure to review these guidelines thoroughly before test administration.

If a student requires a designated support or accommodation that is not listed in the Smarter Balanced Guidelines or the CDE table, you may request approval of an undefined support or accommodation by submitting a request to the CDE using the online form available at www.californiatac.org/administration/forms.

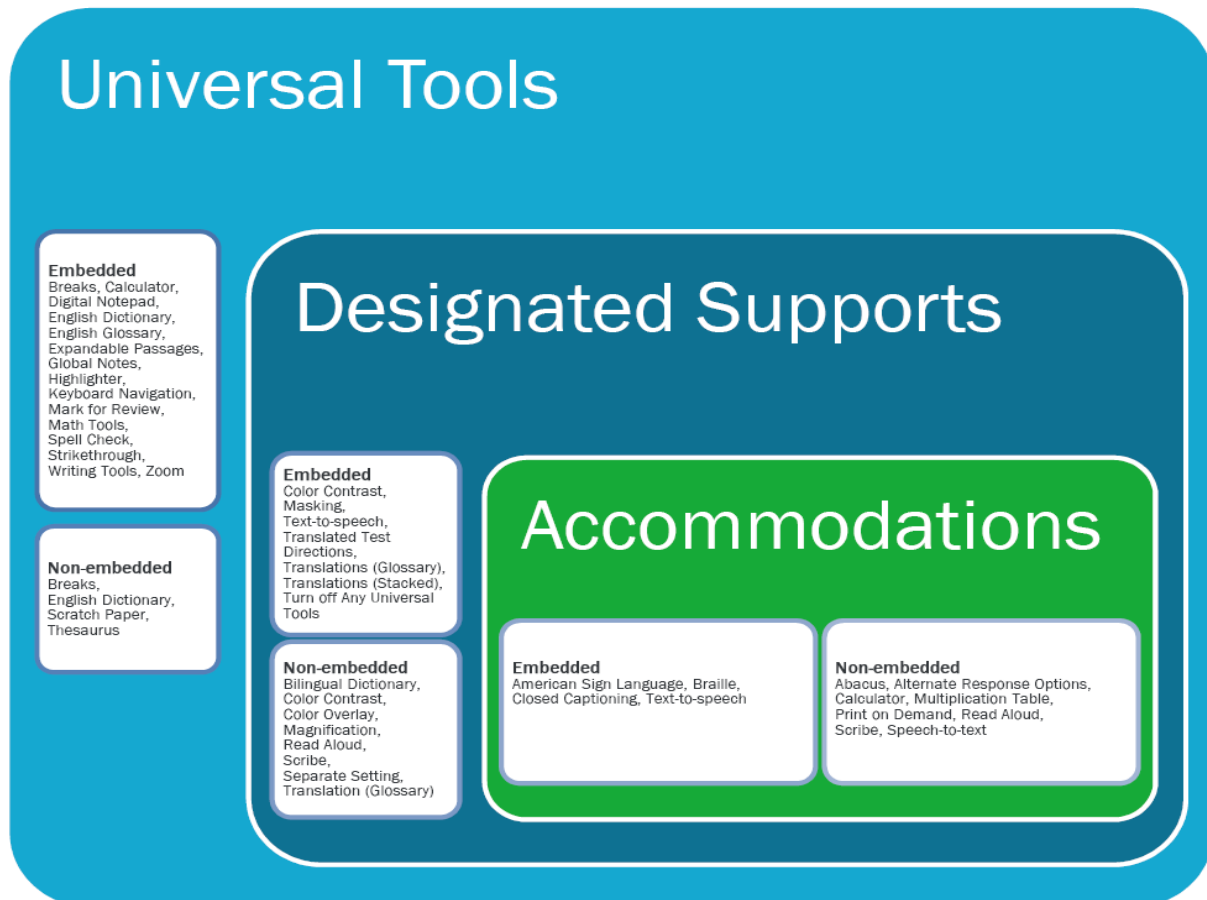
The Field Test and Training Tests contain embedded universal tools, designated supports, and accommodations; these are defined in Table 16. Embedded resources are those that are part of the computer administration system, whereas non-embedded resources are provided outside of that system.

Table 16: Definitions for Universal Tools, Designated Supports, and Accommodations

Type	Definition
Universal Tools	Access features of the assessment that are either provided as digitally delivered components of the test administration system or separate from it. Universal tools are available to all students based on student preference and selection.
Designated Supports	Access features of the assessment available for use by any student for whom the need has been indicated by an educator or group of educators. They are either provided as digitally delivered components of the test administration system or separate from it.

Type	Definition
Accommodation	Accommodations are changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. Assessment accommodations generate valid assessment results for students who need them; they allow these students to show what they know and can do. Accommodations are available for students with documented IEPs or Section 504 Plans. Consortium-approved accommodations do not compromise the learning expectations, construct, grade-level standard, or intended outcome of the assessment.

The Conceptual Model below recognizes that all students should be held to the same expectations for instruction in the Common Core State Standards (CCSS) and have available to them universal accessibility features. It also recognizes that some students may have certain characteristics and access needs that require the use of accommodations for instruction and when they participate in the Smarter Balanced assessments. (*Note: This model may not include all universal tools, designated supports, and accommodations that may be available in the Field Test.*)



District Test Coordinators, and School Test Coordinators have the ability to set embedded and non-embedded designated supports and accommodations. **LEAs must set embedded designated supports and accommodations in TIDE prior to starting a test session.**

For additional information about the availability of designated supports and accommodations, refer to the Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines* for complete information: http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf. See also the Universal Tools, Designated Supports, and Accommodations for the California Assessment of Student Performance and Progress Assessment System table at <http://californiatac.org/administration/instructions/>.

If a student requires a designated support or accommodation that is not listed in the Smarter Balanced Guidelines or the CDE table, you may request approval of an undefined support or accommodation by submitting a request to the CDE using the online form available at www.californiatac.org/administration/forms.

For information on updating student settings, refer to the *California TIDE User Guide* on the portal at <http://sbac.portal.airast.org/ca/field-test-ca/resources/>.

9.0 DIRECTIONS FOR ADMINISTRATION



Note: This section includes directions for administration and a script to use in the administration of tests.

9.1 Establishing Appropriate Testing Conditions

The School Test Coordinators (SCs) and Test Administrators (TAs) will need to work together to determine the most appropriate testing option(s) and testing environment based on the number of computers available, the number of students in each tested grade, and the estimated time needed to complete each test. Testing students in classroom-sized groups is preferable. Establishing classroom-sized groups reduces test fear and anxiety for the students and facilitates monitoring and control for the TA.

The test administration should be conducted in a room that does not crowd students. Good lighting, ventilation, and freedom from noise and interruptions are important factors to be considered when selecting a site.

Prepare rooms for test administration following the requirements for a secure test environment described in section 3.0 *Test Security*. As a reminder, information that is displayed on bulletin boards, chalkboards or dry-erase boards, or charts and that might be used by students to help answer questions **must be removed or covered**. This applies to rubrics, vocabulary charts, student work, posters, graphs, charts, etc. **Cell phones or other electronic devices are not allowed to be used during testing (i.e., turned off and put away)**. It may be helpful to place a “TESTING—DO NOT DISTURB” sign on the door. It may also be helpful to post signs in halls and entrances rerouting hallway traffic, if necessary, in order to promote optimum testing conditions. Finally, post a sign so that it is clearly visible to all students that states that unauthorized electronic devices may not be used at any time during the testing session.

Appropriate seating arrangements must be used to discourage students from aiding one another. Students should be seated so that they cannot view the answers of others. To prevent confusion, arrangements for student seating must be completed prior to the test administration.

Establish procedures to maintain a quiet testing environment throughout the test session, recognizing that some students will finish more quickly than others. If students are allowed to leave the testing room when they finish, explain the procedures for leaving without disrupting others and where they are expected to report once they leave. If students are expected to remain in the testing room until the end of the session, instruct them on what activities they may do after they finish the test.

9.2 Components of the Field Test

The Field Test components are comprised of two separate assessments: the non-performance task (non-PT) items and the classroom activity/PT. Smarter Balanced recommends that students take the non-PT and the PT items on separate days. Smarter Balanced also recommends that students begin with the non-PT items, followed by the classroom activity, and then the PT items. Districts/Schools may opt to administer in a different order if needed; however, the classroom activity, which is designed to introduce the PT, **must** occur prior to the PT.

Important Recommendations:

- If a student begins the assessment with the non-PT items, he or she should complete all the non-PT items prior to moving on to the classroom activity and PT. Similarly, if a student begins the assessment with the classroom activity and PT, he or she should complete the entire PT prior to moving on to the non-PT items. It is recommended that you not have more than one test event open for any student at a given time.
- It is recommended that an entire content session (ELA or mathematics) be completed before starting another, but it is not required and would be up to the discretion of the School or District Test Coordinator.

9.3 Classroom Activity Administration Guidelines

The Smarter Balanced Assessment Consortium Field Test administration provides an opportunity to collect information about student performance on items and tasks. It is also an opportunity to explore how to improve the testing experience by offering new ways of ensuring that all students are allowed the opportunity to show what they know about the content.

All Field Test participants will receive information provided in a classroom activity before students complete a PT in the assigned content area. The purpose of the classroom activity is to provide students with information and key terms that would be helpful for him or her to know prior to taking the performance task.

Classroom activities may be administered in a classroom and may take place on a separate day from the performance task. Regardless of where the classroom activity is administered, the teacher or TA should be able to record information for students to see (such as on a chalkboard or dry-erase board). Computers, projectors, and other technology are allowed but not required for the classroom activity.

The classroom activity involves the participation of all students in an instructional task. Students may take notes during this time, but the notes must be collected before proceeding to the PT and stored in a secure location until securely shredded.

Please read the following information carefully to prepare for administering the classroom activity for ELA or mathematics:

- The classroom activity involves interactions between the teacher and students. The performance task that follows will be completed by individual students in the computer-based test delivery system.
- The classroom activity should be administered close to the performance task administration but it can occur on different days. The recommendation is that there is no more than a three-day lapse between the classroom activity and the PT administration.
- Classroom activities are designed to fit into a 30-minute window and will vary due to the complexity of the topic and individual student needs. These activities will be administered in a classroom or in any area deemed appropriate for classroom activity administration.
- The SC will download and provide the assigned classroom activity at least one or two days before the planned administration of your classroom activity and performance task.
- Determine an appropriate space for completing the classroom activity. Decide how to display information that students will need to see, where to record student responses or notes from the discussion, and any other logistic details.

- Consider the appropriate accommodations that should be provided to students in the class that would normally be provided during instruction. Provide these accommodations during the classroom activity.
- Any tables, graphics, formulas, or other information contained in the materials for the classroom activity may be displayed for students.

9.4 Classroom Activity/Performance Tasks

Classroom preparation

The SC, or other designated individual, will need to take the following steps before testing:

1. **Identify which classroom activity has been selected for your class to administer.** Classroom activities are assigned by grade for each individual school.

Assignments can be found on the californiatac.org Assignments Web page at <http://californiatac.org/instructions/assignments/>. Select your county to access lists of LEAs within the county. Each linked file contains a list of schools, with classroom activities and content area assignments by grade within each school.

2. **Download the classroom activity.**

Once you know your classroom activity, you will need to download and review the materials at least one or two days prior to the planned delivery of your classroom activity and PT.

Materials are posted on the California Smarter Balanced Portal at <http://sbac.portal.airast.org/ca/field-test-ca/> and are in alphabetical order. By clicking on your classroom activity, you will have the ability to print and/or save the materials. Review the teacher directions for the classroom activity carefully to ensure that you know how to prepare for and carry out the classroom activity.

3. **Complete the classroom activity.**

Ensure that the teacher or other instructional staff has presented the classroom activity to the students prior to PT administration. It is recommended that the classroom activity be administered one to three days prior to the administration of the PT.

Classroom activities include directions associated with that specific classroom activity.

Note: The classroom activity is not administered online (i.e., does not require a computer) and does not require a login.

4. **Administer the make-up classroom activity.**

For students who are absent on the day of the classroom activity, it is recommended that a make-up session is scheduled.

5. **Administer the performance task.**

The students must work independently on the performance task responses; instructions will be delivered to them in the Test Delivery System.

ELA

The ELA PT consists of two parts: Part 1 and Part 2. It is recommended that each part be administered on separate days. In Part 1, students will read sources and answer three research questions. During Part 2 (the full write), students will provide a written response using those

sources. Only in Part 2 of the ELA PT may students have access to a hard-copy (non-embedded universal tool) or online dictionary or online thesaurus (embedded universal tools).

Note 1: if you opt to offer a hard-copy dictionary to your students, it must be a commercially published dictionary in print form. Teacher- or student-created dictionaries are not allowed.

Note 2: ELA performance tasks may require headsets.

Mathematics

The mathematics performance task should be administered in one session.

Note: Mathematics performance tasks do not require headsets unless needed as an accommodation.

9.5 Directions for Administration

Use the following information and script to assist students with the login procedures. This script is reproduced in *Appendix A* for ease of printing. Please refer to the *California Test Administrator User Guide* at <http://sbac.portal.airast.org/ca/field-test-ca/resources/> to familiarize yourself with the Online Testing System.

Login script

RECOMMENDATION: Consider printing this section to be used on the day of testing the PT and the non-PT items. Remember that the PT and the non-PT items are considered two unique tests, and as such, adherence to the process that follows is needed when initiating both tests.

To ensure that all students are tested under the same conditions, you should adhere strictly to the script for administering the test. These instructions can be found in the boxes in bold on the following pages. When asked, you should answer questions raised by students, but you should never help the class or individual students with specific test items. **No test items can be read to any student for any content area, unless specified as an accommodation.**

Please remember that the script must be followed exactly and used each time a test is administered. If you are resuming a test and are sure that all students are able to log in without hearing the login directions again, you may skip the italicized portions of the directions.

All directions that you are to read to students are indicated by the word “SAY” and are in boxes so they stand out from the regular text. Read these directions exactly as they are written, using a natural tone and manner. If you make a mistake in reading a direction, stop and say, “I made a mistake. Listen again.” Then read the direction again.

Try to maintain a natural classroom atmosphere during the test administration. Before each test begins, encourage students to do their best.

Any time a student logs into the testing system, the Test Administrator should follow this script. This includes logging in to complete the non-PT items or the performance task.

SAY: Today, you will take the Smarter Balanced [insert name of ELA or mathematics] test. You will be given a test session ID that is required to start the test. If you need an individual break during the test, raise your hand and wait for my instructions and permission.

Once you have logged in, you will have to wait for me to approve the test before you can start. I'll be checking that you have correctly entered your ID number and other information.

Give Students the Test Session ID

The test session ID, the SSID, and the confirmation code may be provided to students ahead of time on a card or piece of paper to help them type it in the computer accurately. TAs may also write the test session ID on the board or another place where students can see it. Make sure students know that the test session ID must be entered **exactly** as it is written, without extra spaces or characters. Student information is confidential; therefore, the cards/paper with this information will need to be collected and securely shredded if used. Please refer to the *California Test Administrator User Guide* at <http://sbac.portal.airast.org/ca/field-test-ca/resources/> to familiarize yourself with the Online Testing System.

SAY: Enter your confirmation code which is your full first name, your two-letter state abbreviation followed by a hyphen, and your SSID. Then enter the test session ID. *Raise your hand if you cannot see these numbers well enough to type them on your keyboard.*

Please do not share your SSID with anyone. This is private information.

Once you have successfully logged in, you will see a page on your screen with your full first name, SSID, school, and grade. If all of the information on your page is correct, select YES to continue. If any of the information is incorrect, please raise your hand so that you can show me what is wrong.

Make sure all students have successfully entered their information. Since you are using the student name as the confirmation code, be sure that the students use their first names as it appears in CALPADS, not nicknames. If a student is unable to log in, he or she will be prompted to try again and provided with a message describing the reason (an invalid SSID, for example). If the student is still having difficulty, the TA can look up the correct information using the Student Lookup function on the TA Interface. TAs may assist students with logging in if necessary.

If the problem cannot be resolved, please contact your School Test Coordinator.

SAY: On the next page, select the test you will be taking today labeled [INSERT NAME OF TEST], and then click START TEST. After you have selected your test, you will see a page with a moving bar and message saying that you are waiting for Test Administrator approval. This step helps ensure that you are taking the correct test. Please wait quietly while I verify each of your tests.

In the event of technical difficulties with the secure browser, contact your School or District Technology Coordinator or your School Test Coordinator.

Approving Students for Testing

After students log in, you must confirm that these are the correct students to take the test and approve the students' login requests. By choosing "select all" to initiate your test session, it is

possible that a student may have inadvertently selected a test that you were not planning to administer during the upcoming session—for example, a student may have chosen the PT instead of the non-PT, or started mathematics when you intended for him or her to start ELA. It is very important that you pay close attention to the test name prior to approving to be sure it is the right test to be administered at that time. The upper right corner of your screen will always display a list of students who are awaiting approval at any time. **Please make sure the correct student has logged in.**

Once students begin appearing in the preview box, you can click [Approvals (#)] to open the Approvals pop-up window, shown below. Review each student’s test settings and edit as necessary. You can either click [Approve] for each individual student (recommended) or, when you are satisfied that all students in the list can be approved, click [Approve All Students]. *Reminder. If any student’s test settings are incorrect, do NOT approve that student.*

Note: The SSID is required.

To refresh the list of students awaiting approval at any time, click the [Refresh] button at the top of the pop-up window.

Approvals and Student Test Settings					✓ Approve All Students	↻ Refresh	✗ Done
G3 ELA							
Student Name	State-SSID	Opp #	Test Settings	Action			
▶ STUDENT A	AI-99999991843	1	Standard Settings	✍ See/Edit Details	✓ Approve	✗ Deny	
G3 Math							
Student Name	State-SSID	Opp #	Test Settings	Action			
▶ STUDENT B	AI-99999991086	1	Standard Settings	✍ See/Edit Details	✓ Approve	✗ Deny	
▶ STUDENT C	AI-99999990553	1	Custom Settings	✍ See/Edit Details	✓ Approve	✗ Deny	

SAY: After I approve you to begin testing, you will see a page asking you to check your test content area and settings. If all the information is correct, you may select YES, START MY TEST. If any of it is incorrect, please raise your hand and I’ll be with you shortly.

Each student will be logging in at a different time. Monitor the sessions and log in all students who are currently ready before assisting any students who are having problems.

SAY: Before your test appears, you will see a tutorial page listing the test tools and buttons that you may use during the test or that will appear on the test. Please read this carefully. You can also find this information during your test by clicking the HELP button in the top right corner.

You must answer each question on the page before going on to the next question. During the test, you may see a page with no test questions. Follow the directions on the page to continue taking the test.

If you are unsure of an answer, provide what you think is the best answer; there is no penalty for guessing. If you would like to review that answer at a

later time, mark the item for review by clicking the box next to the flag in the upper right corner of the screen before going on to the next question. Flagging the item will remind you to go back and decide whether you need to change the answer during this test segment.

You may PAUSE at any point in the test by clicking PAUSE rather than NEXT after answering an item. [The following statement only applies to the non-PT test.] The PAUSE button is used to stop the test. Note that PAUSING for more than 20 minutes will prevent you from changing any answer on previous pages of the test. Please raise your hand if you need a break and ask me prior to clicking PAUSE.

Your answers need to be your own work. Please keep your eyes on your own test and remember that there should be no talking.

When you are ready to begin your test, click BEGIN TEST NOW at the bottom of the page.

Please keep in mind that this test is divided into segments. When you get to the end of each segment, you will be prompted to review your answers before moving on. Once you submit your answers and move on to the next segment, you will not be able to return to the previous segment.



Note: For the Non-PT test, after a pause, the student's test can be resumed at any time within the testing window up to 45 days from the start date. For the performance task, there is no pause limit, but the test expires 10 days after the start. See section 6.5 Testing Time and Recommended Order of Administration for recommended testing.

9.6 Testing Over Multiple Sessions or Days

For some tests, particularly the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student's schedule. Smarter Balanced recommends that the ELA PT be administered in two sessions corresponding with Part 1 and Part 2 of the PT. Students can be provided with breaks within each part; however, once a student moves on to Part 2, he or she will not be able to review or revise items in Part 1. For this reason it is recommended that students complete Part 1 in one test session. Part 2 would ideally be delivered the next school day. For the mathematics PT, Smarter Balanced recommends that it be administered in one session of 40–120 minutes.

If you intend to administer the test over the course of multiple days for a student or group of students, it may be important for all of the students to pause after they reach a designated point. For most tests, there is nothing built into the system to prevent students from progressing from one section of the test to another. In those cases, the TA should give the students clear directions on when to pause. For example, Test Administrators may designate a certain amount of time for testing. Likewise, the end of Part 1 of the ELA performance task might be a logical stopping point. This guidance may be written on a dry-erase board, chalkboard, or another place that students can easily see. Students will receive a notification when they reach the end of the segment.

When testing is resumed on a subsequent day, the TA will need to start a new test session and provide a new session ID. When instructing the students to log in, TAs should read the unitalicized

sections of the general script to the students from the beginning in section 9.5 *Directions for Administration*. For printing purposes, the entire script will also be available in *Appendix A* of this manual.

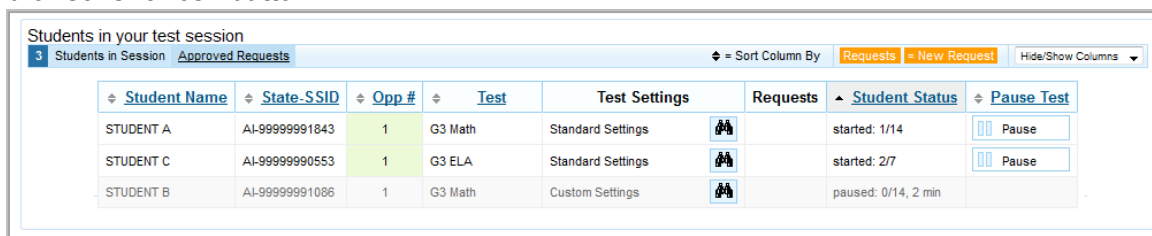
A summary of recommendations for the number of sessions and session durations is in section 6.5 *Testing Time and Recommended Order of Administration*.

9.7 Monitoring Testing

Once students have started their tests, circulate through the room to ensure that all conditions of test security are maintained. If you witness or suspect the possibility of a test security incident, contact your SC immediately.

You may also use the TA Interface to view the testing progress of any student. This site will not show test items or scores but will let you see how many items have been delivered to each student (e.g., question 24 of 40).

While the TA Interface is designed to automatically refresh every minute, you can manually refresh at any time by clicking the [Refresh Now] button at the top left of the page. Do NOT click the Web browser's refresh button.



Student Name	State-SSID	Opp #	Test	Test Settings	Requests	Student Status	Pause Test
STUDENT A	AI-99999991843	1	G3 Math	Standard Settings		started: 1/14	Pause
STUDENT C	AI-99999990553	1	G3 ELA	Standard Settings		started: 2/7	Pause
STUDENT B	AI-99999991086	1	G3 Math	Custom Settings		paused: 0/14, 2 min	

If you notice that a student is off task, you may say the following statement to the student, verbatim, to keep him or her focused.

SAY: It is important that you do your best. Do you need to pause the test and take a break?

If a student asks for assistance either in answering an item or manipulating an item type, gently instruct the student to review the tutorial for help and let the student know that he or she should try his or her best, but that you cannot help answer an item.

SAY: I can't help with the test. Try to do your best.

Warn students before the end of the test session.

When there are approximately five minutes left for the test session, give students a brief warning.

SAY: We are nearing the end of this testing period. Please review any completed or marked items now. If you have not finished, you will have the chance to finish the test at another time.

End the test session and log out of the Test Administrator Site.

After answering the last item in each segment, each student is presented with a screen prompting him or her to review answers (marked and unmarked) for all items available to the student

(presented after any pause taken) or to end the test. Tests can no longer be paused after the last item has been presented.

After answering the last question, students must end their test. If students would like to review their answers before ending their test, they do so by clicking **[REVIEW MY ANSWERS]** and then **[SUBMIT TEST]** once they are done reviewing. Once a student clicks **[SUBMIT TEST]**, the student will not be able to review answers.

SAY: This test session is now over. If you have not finished, click PAUSE, and you will be able to finish at another time. If you have finished, click SUBMIT TEST. I will now collect any scratch paper or other materials.

Collect any scratch paper. Then click **[Stop Session]** to end the test session and pause any student tests in your session that are still in progress. When you are finished, you can log out of the TA Interface by clicking the **[Logout]** button at the top right.

10.0 FOLLOWING TEST ADMINISTRATION

10.1 Destroying Test Materials



Federal law—the Family Educational Rights and Privacy Act—and state law (*California Government Code* Section 11019.9) prohibit the release of any student’s personally identifiable information. Any printouts must be securely stored and then shredded.

As a reminder, those test materials identified in section 3.0 *Test Security* must be securely shredded immediately following each test session and may not be retained from one test session to the next.

10.2 Reporting Testing Improprieties, Irregularities, and Breaches

At the close of the testing window, ensure that all test security incidents were reported in accordance with the guidelines in *Appendix B* in this manual.

APPENDIX A: DIRECTIONS FOR ADMINISTRATION SCRIPT

Use the following information and script to assist students with the login procedures. Please refer to the *California Test Administrator User Guide* at <http://sbac.portal.airast.org/ca/field-test-ca/resources/> to familiarize yourself with the Online Testing System.

Login script

RECOMMENDATION: Consider printing this section to be used on the day of testing the PT and the non-PT items. Remember that the PT and the non-PT items are considered two unique tests, and as such, adherence to the process that follows is needed when initiating both tests.

To ensure that all students are tested under the same conditions, you should adhere strictly to the script for administering the test. These instructions can be found in the boxes in bold on the following pages. When asked, you should answer questions raised by students, but you should never help the class or individual students with specific test items. **No test items can be read to any student for any content area, unless specified as an accommodation.**

Please remember that the script must be followed exactly and used each time a test is administered. If you are resuming a test and are sure that all students are able to log in without hearing the login directions again, you may skip the italicized portions of the directions.

All directions that you are to read to students are indicated by the word “SAY” and are in boxes so they stand out from the regular text. Read these directions exactly as they are written, using a natural tone and manner. If you make a mistake in reading a direction, stop and say, “I made a mistake. Listen again.” Then read the direction again.

Try to maintain a natural classroom atmosphere during the test administration. Before each test begins, encourage students to do their best.

Any time a student logs into the testing system, the Test Administrator should follow this script. This includes logging in to complete the non-PT items or the performance task.

SAY: Today, you will take the Smarter Balanced [insert name of ELA or mathematics] test. You will be given a test session ID that is required to start the test. If you need an individual break during the test, raise your hand and wait for my instructions and permission.

Once you have logged in, you will have to wait for me to approve the test before you can start. I'll be checking that you have correctly entered your ID number and other information.

Give Students the Test Session ID

The test session ID, the SSID, and the confirmation code may be provided to students ahead of time on a card or piece of paper to help them type it in the computer accurately. TAs may also write the test session ID on the board or another place where students can see it. Make sure students know that the test session ID must be entered **exactly** as it is written, without extra spaces or characters. Student information is confidential; therefore, the cards/paper with this information will need to be collected and securely shredded if used. Please refer to the *California Test Administrator User Guide*

at <http://sbac.portal.airast.org/ca/field-test-ca/resources/> to familiarize yourself with the Online Testing System.

SAY: Enter your confirmation code which is your full first name, your two-letter state abbreviation followed by a hyphen, and your SSID. Then enter the test session ID. *Raise your hand if you cannot see these numbers well enough to type them on your keyboard.*

Please do not share your SSID with anyone. This is private information.

Once you have successfully logged in, you will see a page on your screen with your full first name, SSID, school, and grade. If all of the information on your page is correct, select YES to continue. If any of the information is incorrect, please raise your hand so that you can show me what is wrong.

Make sure all students have successfully entered their information. Since you are using the student name as the confirmation code, be sure that the students use their first names as it appears in CALPADS, not nicknames. If a student is unable to log in, he or she will be prompted to try again and provided with a message describing the reason (an invalid SSID, for example). If the student is still having difficulty, the TA can look up the correct information using the Student Lookup function on the TA Interface. TAs may assist students with logging in if necessary.

If the problem cannot be resolved, please contact your School Test Coordinator.

SAY: On the next page, select the test you will be taking today labeled [INSERT NAME OF TEST], and then click START TEST. After you have selected your test, you will see a page with a moving bar and message saying that you are waiting for Test Administrator approval. This step helps ensure that you are taking the correct test. Please wait quietly while I verify each of your tests.

In the event of technical difficulties with the secure browser, contact your School or District Technology Coordinator or your School Test Coordinator.

Approving Students for Testing

After students log in, you must confirm that these are the correct students to take the test and approve the students' login requests. By choosing "select all" to initiate your test session, it is possible that a student may have inadvertently selected a test that you were not planning to administer during the upcoming session—for example, a student may have chosen the PT instead of the non-PT, or started mathematics when you intended for him or her to start ELA. It is very important that you pay close attention to the test name prior to approving to be sure it is the right test to be administered at that time. The upper right corner of your screen will always display a list of students who are awaiting approval at any time. **Please make sure the correct student has logged in.**

Once students begin appearing in the preview box, you can click [Approvals (#)] to open the Approvals pop-up window, shown below. Review each student's test settings and edit as necessary. You can either click [Approve] for each individual student (recommended) or, when you are satisfied that all students in the list can be approved, click [Approve All Students]. *Reminder: If any student's test settings are incorrect, do NOT approve that student.*

Note: The SSID is required.

To refresh the list of students awaiting approval at any time, click the [Refresh] button at the top of the pop-up window.

Approvals and Student Test Settings					✓ Approve All Students	🔄 Refresh	✗ Done
G3 ELA							
Student Name	State-SSID	Opp #	Test Settings	Action			
▶ STUDENT A	AI-99999991843	1	Standard Settings	✏ See/Edit Details	✓ Approve	✗ Deny	
G3 Math							
Student Name	State-SSID	Opp #	Test Settings	Action			
▶ STUDENT B	AI-99999991086	1	Standard Settings	✏ See/Edit Details	✓ Approve	✗ Deny	
▶ STUDENT C	AI-99999990553	1	Custom Settings	✏ See/Edit Details	✓ Approve	✗ Deny	

SAY: After I approve you to begin testing, you will see a page asking you to check your test content area and settings. If all the information is correct, you may select YES, START MY TEST. If any of it is incorrect, please raise your hand and I'll be with you shortly.

Each student will be logging in at a different time. Monitor the sessions and log in all students who are currently ready before assisting any students who are having problems.

SAY: *Before your test appears, you will see a tutorial page listing the test tools and buttons that you may use during the test or that will appear on the test. Please read this carefully. You can also find this information during your test by clicking the HELP button in the top right corner.*

You must answer each question on the page before going on to the next question. During the test, you may see a page with no test questions. Follow the directions on the page to continue taking the test.

If you are unsure of an answer, provide what you think is the best answer; there is no penalty for guessing. If you would like to review that answer at a later time, mark the item for review by clicking the box next to the flag in the upper right corner of the screen before going on to the next question. Flagging the item will remind you to go back and decide whether you need to change the answer during this test segment.

You may PAUSE at any point in the test by clicking PAUSE rather than NEXT after answering an item. [The following statement only applies to the non-PT test.] The PAUSE button is used to stop the test. Note that PAUSING for more than 20 minutes will prevent you from changing any answer on previous pages of the test. Please raise your hand if you need a break and ask me prior to clicking PAUSE.

Your answers need to be your own work. Please keep your eyes on your own test and remember that there should be no talking.

When you are ready to begin your test, click **BEGIN TEST NOW** at the bottom of the page.

Please keep in mind that this test is divided into segments. When you get to the end of each segment, you will be prompted to review your answers before moving on. Once you submit your answers and move on to the next segment, you will not be able to return to the previous segment.



Note: For the Non-PT test, after a pause, the student's test can be resumed at any time within the testing window up to 45 days from the start date. For the performance task, there is no pause limit, but the test expires 10 days after the start. See section 6.5 Testing Time and Recommended Order of Administration for recommended testing.

Testing Over Multiple Sessions or Days

For some tests, particularly the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student's schedule. Smarter Balanced recommends that the ELA PT be administered in two sessions corresponding with Part 1 and Part 2 of the PT. Students can be provided with breaks within each part; however, once a student moves on to Part 2, he or she will not be able to review or revise items in Part 1. For this reason it is recommended that students complete Part 1 in one test session. Part 2 would ideally be delivered the next school day. For the mathematics PT, Smarter Balanced recommends that it be administered in one session of 40–120 minutes.

If you intend to administer the test over the course of multiple days for a student or group of students, it may be important for all of the students to pause after they reach a designated point. For most tests, there is nothing built into the system to prevent students from progressing from one section of the test to another. In those cases, the TA should give the students clear directions on when to pause. For example, Test Administrators may designate a certain amount of time for testing. Likewise, the end of Part 1 of the ELA performance task might be a logical stopping point. This guidance may be written on a dry-erase board, chalkboard, or another place that students can easily see. Students will receive a notification when they reach the end of the segment.

When testing is resumed on a subsequent day, the TA will need to start a new test session and provide a new session ID. When instructing the students to log in, TAs should read the unitalicized sections of the general script to the students from the beginning in section 9.5 *Directions for Administration*. For printing purposes, the entire script will also be available in *Appendix A* of this manual.

A summary of recommendations for the number of sessions and session durations is in section 6.5 *Testing Time and Recommended Order of Administration*.

Monitoring Testing

Once students have started their tests, circulate through the room to ensure that all conditions of test security are maintained. If you witness or suspect the possibility of a test security incident, contact your SC immediately.

You may also use the TA Interface to view the testing progress of any student. This site will not show test items or scores but will let you see how many items have been delivered to each student (e.g., question 24 of 40).

While the TA Interface is designed to automatically refresh every minute, you can manually refresh at any time by clicking the **[Refresh Now]** button at the top left of the page. Do NOT click the Web browser’s refresh button.

Students in your test session									
3 Students in Session		Approved Requests		Sort Column By		Requests = New Request		Hide/Show Columns	
Student Name	State-SSID	Opp #	Test	Test Settings	Requests	Student Status	Pause Test		
STUDENT A	AI-99999991843	1	G3 Math	Standard Settings		started: 1/14	<input type="button" value="Pause"/>		
STUDENT C	AI-99999990553	1	G3 ELA	Standard Settings		started: 2/7	<input type="button" value="Pause"/>		
STUDENT B	AI-99999991086	1	G3 Math	Custom Settings		paused: 0/14, 2 min			

If you notice that a student is off task, you may say the following statement to the student, verbatim, to keep him or her focused.

SAY: It is important that you do your best. Do you need to pause the test and take a break?

If a student asks for assistance either in answering an item or manipulating an item type, gently instruct the student to review the tutorial for help and let the student know that he or she should try his or her best, but that you cannot help answer an item.

SAY: I can't help with the test. Try to do your best.

Warn students before the end of the test session.

When there are approximately five minutes left for the test session, give students a brief warning.

SAY: We are nearing the end of this testing period. Please review any completed or marked items now. If you have not finished, you will have the chance to finish the test at another time.

End the test session and log out of the Test Administrator Site.

After answering the last item in each segment, each student is presented with a screen prompting him or her to review answers (marked and unmarked) for all items available to the student (presented after any pause taken) or to end the test. Tests can no longer be paused after the last item has been presented.

After answering the last question, students must end their test. If students would like to review their answers before ending their test, they do so by clicking **[REVIEW MY ANSWERS]** and then **[SUBMIT TEST]** once they are done reviewing. Once a student clicks **[SUBMIT TEST]**, the student will not be able to review answers.

SAY: This test session is now over. If you have not finished, click PAUSE, and you will be able to finish at another time. If you have finished, click SUBMIT TEST. I will now collect any scratch paper or other materials.

Collect any scratch paper. Then click [**Stop Session**] to end the test session and pause any student tests in your session that are still in progress. When you are finished, you can log out of the TA Interface by clicking the [**Logout**] button at the top right.

APPENDIX B: REPORTING TESTING IMPROPRIETIES, IRREGULARITIES, AND BREACHES

Test security incidents are behaviors prohibited during test administration, either because they give a student an unfair advantage or because they compromise the secure administration of the assessment. Whether intentional or by accident, failure to comply with security rules, either by staff or students, constitutes a testing incident. Improperities, irregularities, and breaches need to be reported in accordance with the instructions in this section for each severity level.

Three portions of the manual refer to documentation and reporting of incidents involving test security.

1. **Reporting Timelines and Activities** (page 65) describes the actions to be taken by DCs, SCs, and TAs for each type of incident, including when the action should be reported.
2. **The Test Security Chart** (page 69) shows the test security incident levels and examples of types of issues.
3. **The Test Security Incident Log** (page 68) provides instructions on how to submit your request to invalidate a test, reset a test, report a problem with an item, re-open a test, and restore a test that has been reset. This log is sent by the DC to the CDE for resolution.

All of these references should be used as needed during test administration to report incidents and inform staff of test security measures.

Impact and Definitions:

Improprity: Misconduct or Anomaly: An unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level. (Note: In California, these may be referred to as “testing incidents.”)

Irregularity: An unusual circumstance that impacts an individual or group of students who is testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level, but should also be submitted by the DC to the CDE within 24 hours.

Breach: An event that poses a threat to the validity of the test; in the state regulations, called a “testing irregularity.” Examples may include such situations as a release of secure materials or a repeatable security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported by the DC to the CDE within 24 hours.

At times it will be up to the Test Administrator (TA) and/or District Coordinator (DC) to distinguish among improprieties, irregularities, and breaches in accordance with the minimum guidelines included in this manual and in keeping with state policy.

It is important to be vigilant before, during, and after testing for any situations that could lead to or be an impropriety, irregularity, or breach.

- Actively supervise students throughout the test session to ensure that students do not access unauthorized electronic devices, such as cell phones, or other unauthorized resources or tools at any time during testing.
- Make sure students clear their desks of and put away all books, backpacks, purses, cell phones, electronic devices of any kind, as well as other materials not explicitly permitted for the test.

- Make sure the physical conditions in the testing room meet the criteria for a secure test environment. Students should be seated so there is enough space between them to minimize opportunities to look at each other’s work or be provided with table-top partitions.
- Students who are not being tested and unauthorized staff must not be in the room where a test is being administered. Determine where to send these students during testing and prepare appropriate assignments for them as needed.
- Make sure no instructional materials directly related to the content of the tests are visible to students, including posters or wall charts.
- States should ensure that specific guidance is provided for districts that have minimal personnel and may experience potential conflicts of interest in the identification, investigation, and/or reporting of test security incidents.

Reporting Timelines and Activities

A **Test Security Breach** requires notification within 24 hours to the CDE by the DC using the Irregularity and/or Breach Report Form found on the Forms Web page at <http://californiatac.org/administration/forms/>. Breaches may occur before, during, or after testing. This form may be e-mailed to CAASPPirreg@cde.ca.gov or faxed to the number on the form.

Irregularities may occur before, during, or after testing and must be escalated within 24 hours to the CDE by the DC using the Irregularity and/or Breach Report Form found on the Forms Web page at <http://californiatac.org/administration/forms/>. This form must be e-mailed to CAASPPirreg@cde.ca.gov or faxed to the number on the form.

Improprieties may be reported by the TA to the SC. The SC should notify the DC immediately of any test administration incidents that occur before, during, or after testing. The SC may use the Impropriety Report Form found on the Forms Web page at <http://californiatac.org/administration/forms/> for documenting the incident. The DC should submit a report to the CDE only if the incident is determined to be an irregularity.

Note: The only incidents that can be reported by the CDE in the online TIDE Appeals system are those that involve a student and test and that require an action for the test. TIDE does not serve as a log for all incidents.)

Recommended reporting timelines are provided in Table 17.

Table 17: Test Security Incident Types

Incident Type	California Smarter Balanced—Required Reporting Timeline
Breach	TA/SC reports to DC immediately. DC reports to the CDE within 24 hours.
Irregularity	TA/SC reports to DC immediately. DC reports to the CDE within 24 hours.
Impropriety	SC reports to the DC immediately.

Test Security Required Action Steps

Impropriety

Unusual circumstances that have a low impact on the individual or group of students who are testing and have a low risk of potentially affecting student performance on the test, test security, or test validity. An impropriety should be reported immediately by a TA to the SC and/or the DC.

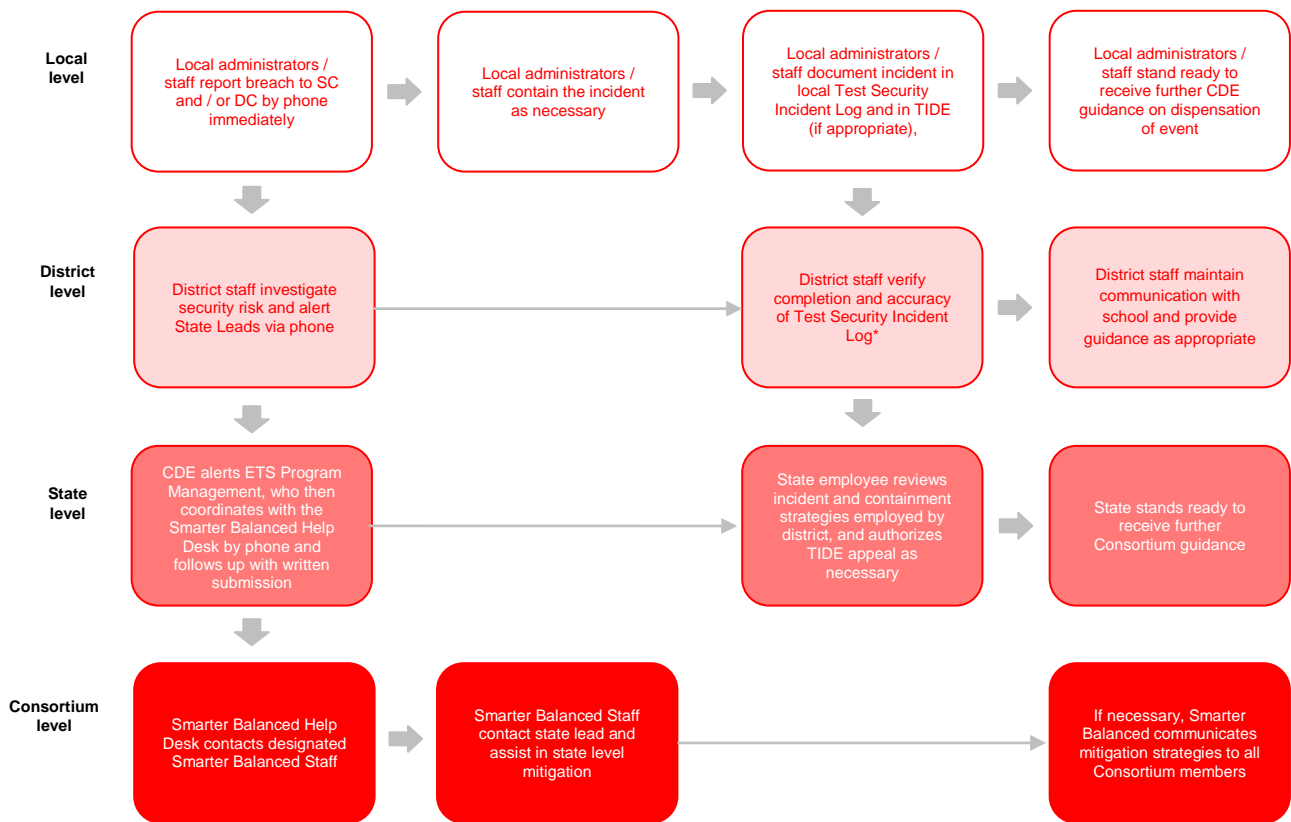
Irregularity

Unusual circumstances that impact an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be contained at the local level. An irregularity should be reported immediately by a TA to the SC and/or the DC. The DC should report the irregularity to the CDE within 24 hours.

Breach

A test administration event that poses a threat to the validity of the test. Examples may include such situations as exposure of secure materials or a repeatable security/system risk. These circumstances have external implications. Breaches should be reported immediately by a TA to the SC and/or the DC. The DC should report the breach to the CDE within 24 hours.

The reporting flow looks like this:



IMPORTANT Information regarding Security Breaches: For severe incidents requiring immediate attention (such as a release of secure materials or a repeatable security/system risk), the District Test Coordinator should immediately contact the CDE.

For examples of test incidents, please see **The Test Security Chart** on page 69

District and School Test Coordinators and Test Administrators

Documenting in the Test Security Incident Log

The **Test Security Incident Log** is located on the California Smarter Balanced Portal (<http://sbac.portal.airast.org/ca/>). TAs must download the template and log incidents immediately upon identification and submit via email (or alternate agreed-upon process) to their SCs and DCs. The columns described in Table 18 must be completed. Districts can decide how frequently these logs should be submitted and communicate this preference to schools.

The log should only be used in cases where an incident report results in a need to invalidate, reset, re-open, or restore individual student assessments.

#	Severity level *Impropropriety *Irregularity *Breach	Date Occurred/ Reported	District Name	State District ID	School Name	State School ID	Grade of Enrollment	Content Area *Math-PT *ELA *ELA-PT	Adult or Student Initiated?	Description of Incident (see Test Security Chart) *500 character max	State SSID	How was the issue addressed locally?	Local recommendation regarding dispensation of test entered onto the online system *Invalidate *Reset *Reopen *Restore Invalidate the Test
1	Irregularity	1/16/2013	District A	456889	School A	3456	4	ELA	Student	Student cheating	XY-12345	Student removed from testing	Invalidate the Test

Table 18: Test Security Incident Log Headings

Column Header	Description
#	The entry number for that incident.
Severity Level	Enter the incident severity level. Options: Impropropriety, Irregularity, or Breach
Date Occurred/Reported	Enter the date the incident occurred if an Impropropriety, or occurred and reported if Irregularity or Breach.
District Name	Enter the name of the district in which the incident occurred.
State District ID	Enter the ID of the district in which the incident occurred.
School Name	Enter the name of the school in which the incident occurred.
State School ID	Enter the ID of the school in which the incident occurred.
Grade of Enrollment	Enter the grade in which the incident occurred.
Content Area	Enter the content area that was being tested when the incident occurred. Options: ELA, ELA-PT, Math, Math-PT
Adult or Student Initiated?	Did the incident begin with an adult or student behavior/action?
Description of Incident	Provide a description of the incident (see examples in the Test Security Chart).
State and Student Identifiers	If the incident was student-based, list the state initials and the student SSID.
How was the issue addressed locally?	Describe how the issue was addressed, mitigated, or contained.
Local recommendation regarding dispensation of test entered onto the online system	What do the local administrators and coordinators recommend happen with the test. Options: Invalidate a test, Reset a test, Re-open a test, or Restore a test that has been reset

Reporting Incidents in the Online Administration System

Incidents are reported in TIDE by the CDE; details are found in the *California TIDE User Guide* (<http://sbac.portal.airast.org/ca/field-test-ca/resources/>). The online reporting system is only appropriate for reporting an action related to a student incident that impacts a test. All other incidents (involving adults or not involving tests) should be reported using the appropriate Breach and/or Irregularity Form or Impropriety Form; use the Test Security Log process described previously if the incident involves an Appeal. Types of Appeals are described in Table 19.

Table 19: Online System Appeals Types

Appeal Type	Description
Invalidate a Test	Invalidating a student’s test eliminates the test. The student loses that test and does not receive a score. Invalidations are often requested due to test security incidents; e.g., a TA sees two students discussing answers to questions during a test session.
Reset a Test	Resetting a student’s test removes that test from the system and enables the student to start a new test. Scores associated with this test are removed from the system. A test reset is often requested due to an accommodation not being set properly for test (e.g., a student realizes that the required Text-To-Speech accommodation was not set). Only the most recent test may be reset.
Re-open a Test	Re-open is for a test that has already been submitted or has expired. The system will prevent an unsubmitted test from being re-opened if the student has already started a reset test for that content area.
Restore a test that has been reset	Return a test from the Reset status to its prior status. This action can only be performed on tests that have been reset. A test can be restored if it was reset in error.

Note: The Appeals system should be used by California DCs to address incidents that are not security related such as re-opening an assessment for a student who becomes ill and is unable to resume testing until after testing has expired.

Test Security Chart

District and School Test Coordinators and Test Administrators

Level of Severity & Potential Effect on Test Security	Types of Issues
<p>LOW Impropriety - Misconduct Anomaly</p> <p>Unusual circumstances that have a low impact on the individual or group of students who are testing and have a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level.</p>	<p>Student(s) making distracting gestures or sounds during the test session that creates a disruption in the testing session for other students.</p> <p>Student(s) leave the test room without supervision.</p> <p>Students talking during testing.</p> <p>Administrators or coordinators leaving unrelated instructional materials on the walls in the testing room.</p> <p>Student cheating or providing answers to each other, including passing notes, giving help to other students during testing, or using graphing calculators to exchange information.</p> <p>Student(s) accessing the internet or any unauthorized software or applications during a testing event.</p> <p>Student(s) accessing or using electronic equipment (e.g., cell phones, PDAs, iPads, or electronic translators) during testing.</p> <p>Disruptions to a testing session - such as fire drill, school-wide power outage, earthquake, or other acts.</p> <p>Administrator or Coordinators failing to ensure administration and supervision of the Smarter Balanced Field Test by qualified, trained personnel.</p> <p>Administrator gives incorrect instructions that are not corrected prior to testing.</p> <p>Administrator or teacher does not present class activity prior to Performance Task administration.</p> <p>Administrator or Coordinators giving out the username and password for authorized users to other individuals, including other authorized users.</p> <p>Administrator allowing students to continue testing beyond the close of the selected testing window.</p> <p>Administrator or teacher coaching or providing any other type of assistance to students that may affect their responses. This includes both verbal cues (e.g., interpreting, explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice inflection, pointing, or nodding head) to the correct answer. This also includes leading students through instructional strategies such as think-aloud, asking students to point to the correct answer or otherwise identify the source of their answer, or requiring students to show their work.</p> <p>Administrator providing students with non-allowable materials or devices during test administration or allowing inappropriate accommodations during test administration.</p> <p>Administrator allowing anyone other than a student to log into the Field Test unless prescribed as an allowable accommodation in the student's IEP. This includes test administrators or other staff using student information to log in or allowing a student to log in using another student's information.</p> <p>Administrator or Coordinator sending student log in information to others via email.</p> <p>Administrator providing a student access to another person's work/responses.</p> <p>Administrator or Coordinator modifying student responses or records at any time.</p> <p>Administrator allowing students to take home test items, reading passages, writing prompts, or scratch paper that was used during the Field Test or failing to otherwise securely store test materials.</p> <p>Administrator or student copying, discussing, or otherwise retaining test items, stimuli, reading passages, writing prompts, or answers for any reason. This includes the use of photocopyers or digital, electronic, or manual devices to record or communicate a test item. This also includes using secure test items, modified secure test items, reading passages, writing prompts, or answer keys for instructional purposes.</p> <p>Secure test materials are shared with the media (such as the writing prompts, test items or reading passages) or media is allowed to observe a secure test administration.</p> <p>Administrator, Coordinator, or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment.</p>
<p>MEDIUM Irregularity</p> <p>Unusual circumstances that impact an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. The circumstances causing the irregularity should be corrected at the local level, but submitted in the online system for resolution of the Appeal for testing impact.</p>	<p>Administrator allowing students to continue testing beyond the close of the selected testing window.</p> <p>Administrator or teacher coaching or providing any other type of assistance to students that may affect their responses. This includes both verbal cues (e.g., interpreting, explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice inflection, pointing, or nodding head) to the correct answer. This also includes leading students through instructional strategies such as think-aloud, asking students to point to the correct answer or otherwise identify the source of their answer, or requiring students to show their work.</p> <p>Administrator providing students with non-allowable materials or devices during test administration or allowing inappropriate accommodations during test administration.</p> <p>Administrator allowing anyone other than a student to log into the Field Test unless prescribed as an allowable accommodation in the student's IEP. This includes test administrators or other staff using student information to log in or allowing a student to log in using another student's information.</p> <p>Administrator or Coordinator sending student log in information to others via email.</p> <p>Administrator providing a student access to another person's work/responses.</p> <p>Administrator or Coordinator modifying student responses or records at any time.</p> <p>Administrator allowing students to take home test items, reading passages, writing prompts, or scratch paper that was used during the Field Test or failing to otherwise securely store test materials.</p> <p>Administrator or student copying, discussing, or otherwise retaining test items, stimuli, reading passages, writing prompts, or answers for any reason. This includes the use of photocopyers or digital, electronic, or manual devices to record or communicate a test item. This also includes using secure test items, modified secure test items, reading passages, writing prompts, or answer keys for instructional purposes.</p> <p>Secure test materials are shared with the media (such as the writing prompts, test items or reading passages) or media is allowed to observe a secure test administration.</p> <p>Administrator, Coordinator, or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment.</p>
<p>HIGH BREACH</p> <p>An event that poses a significant threat to the validity of the test. Examples may include such situations as a significant release of secure materials or a significant repeatable security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test question(s) from the available secure bank. A breach incident must be reported immediately.</p>	<p>Administrator allowing students to continue testing beyond the close of the selected testing window.</p> <p>Administrator or teacher coaching or providing any other type of assistance to students that may affect their responses. This includes both verbal cues (e.g., interpreting, explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice inflection, pointing, or nodding head) to the correct answer. This also includes leading students through instructional strategies such as think-aloud, asking students to point to the correct answer or otherwise identify the source of their answer, or requiring students to show their work.</p> <p>Administrator providing students with non-allowable materials or devices during test administration or allowing inappropriate accommodations during test administration.</p> <p>Administrator allowing anyone other than a student to log into the Field Test unless prescribed as an allowable accommodation in the student's IEP. This includes test administrators or other staff using student information to log in or allowing a student to log in using another student's information.</p> <p>Administrator or Coordinator sending student log in information to others via email.</p> <p>Administrator providing a student access to another person's work/responses.</p> <p>Administrator or Coordinator modifying student responses or records at any time.</p> <p>Administrator allowing students to take home test items, reading passages, writing prompts, or scratch paper that was used during the Field Test or failing to otherwise securely store test materials.</p> <p>Administrator or student copying, discussing, or otherwise retaining test items, stimuli, reading passages, writing prompts, or answers for any reason. This includes the use of photocopyers or digital, electronic, or manual devices to record or communicate a test item. This also includes using secure test items, modified secure test items, reading passages, writing prompts, or answer keys for instructional purposes.</p> <p>Secure test materials are shared with the media (such as the writing prompts, test items or reading passages) or media is allowed to observe a secure test administration.</p> <p>Administrator, Coordinator, or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment.</p>

Consortium Test Security Protocols

Background

Members of the Smarter Balanced Assessment Consortium, including Governing States, Advisory States, and Affiliate members, have a vested interest in ensuring that assessments are supported by security protocols that establish both fairness for student engagement and validity in the interpretation of results. With regard to the Smarter Balanced assessment system, security needs are amplified due to the increased consequences associated with the broader membership.

Disclosure or dissemination of secure assessment items or other secure materials will adversely affect the validity of assessment results across the Consortium. The confidentiality of assessment items and corresponding student responses is paramount in maintaining the integrity and validity of any assessment. The action or inaction of one Consortium member will have consequences for the Consortium as a whole. Accordingly, Consortium members administering assessments provided by Smarter Balanced will be expected to take appropriate steps to assure the security of the assessments.

Membership Expectation

Prior to beginning any secure Smarter Balanced assessment, Consortium members will be expected to have processes in place to support test security.

With regard to overall security of the Consortium assessments, each member will be **required** to have in place:

- Comprehensive protocols and associated procedures to respond to possible security breaches (including test and/or item exposure). Minimum standards outlining how to discriminate security breaches from other testing incidents are included in the Smarter Balanced Test Administration Manual.
- Plans supporting adequate training on test security procedures for Test Administrators, Test Coordinators, and any individuals supporting test administration. Such training should include, but not be limited to, training on item security and professional conduct associated with the administration of standardized assessments.
- Prior to administration of the Operational assessment, a process for implementing established Consortium protocols to certify operational assessment systems.

With regard to overall test security, the Consortium **recommends** that each member have in place a process and associated timeline for ensuring that:

- Test Administrators (and any other individuals who will be administering any secure Smarter Balanced assessment) have read and understand the Smarter Balanced Test Administration Manual; the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines; and associated Smarter Balanced training modules.
- Each member has clearly defined state protocols and/or guidelines that describe which individuals (staff or otherwise) may be designated as Test Administrators or other roles related to administering a secure Smarter Balanced assessment.

APPENDIX C: ITEM TYPES

The Smarter Balanced Field Test includes the item types shown in Table 20 (though all tests may not contain all item types) and scoring methods:

Table 20: Item and Scoring Types

Content Area	Available Response Types	Available Scoring Types	Description Notes
Math	Multiple Choice, single correct response	automatic with key	four-option multiple choice
	Multiple Choice, multiple correct responses	automatic with key(s)	multiple-option multiple choice
	Matching Tables (variation True/False or Yes/No)	automatic with machine rubric	table format, click entry
	Hot Text	automatic with machine rubric	select and order text
	Drag and Drop	automatic with machine rubric	drag and drop single or multiple elements
	Hot Spot	automatic with machine rubric	select text
	Graphing	automatic, graphic response scoring	plot points and or draw lines
	Equation/Numeric	automatic, equation scoring	enter equation or numeric response
	Short Text	hand-scored	keyboard alphanumeric entry
	Table Fill-In	automatic with machine rubric	keyboard numeric table fill in
ELA	Multiple Choice, single correct response	automatic with key	four-option multiple choice
	Two-part Multiple Choice, with evidence responses	automatic with keys	two part, multiple-option multiple choice
	Multiple Choice, multiple correct responses	automatic with key(s)	multiple-option multiple choice
	Matching Tables (variation True/False or Yes/No)	automatic with machine rubric	table format, click entry
	Hot Text	automatic with machine rubric	select and/or move text
	Short Text	hand-scored	keyboard alphanumeric entry
	Essay	hand-scored	keyboard alphanumeric entry

APPENDIX D: CDE-USER (STATE) CHECKLIST

CDE Activities	Reference in Manual	Target Completion Date	Notes/Resources
Direct Responsibilities			
<input type="checkbox"/> 1. Ensure all districts and schools know if they are participating in the Field Test and which grades/content areas they are to administer.	None	Complete at least 5–6 weeks prior to testing.	
<input type="checkbox"/> 2. Designate roles in the event that these roles are not assigned but needed (not every state may have every role): <ul style="list-style-type: none"> District Test Coordinator and School Test Coordinator 	California TIDE User Guide, page 5, 16	Complete at least 5–6 weeks prior to testing.	In the event that there is no DC, the principal may likely fit in this role. http://sbac.portal.airast.org/ca/field-test-ca/resources/
<input type="checkbox"/> 3. Add other users to TIDE, including DCs.	California TIDE User Guide, page 16, 21	Complete at least 5–6 weeks prior to testing.	http://sbac.portal.airast.org/ca/field-test-ca/resources/
<input type="checkbox"/> 4. Review manuals to identify areas where information needs to be adapted to your state policy(s).	None	Complete at least 5–6 weeks prior to testing.	
<input type="checkbox"/> 5. On an ongoing basis, share and communicate important information to districts/schools that they need to prepare for administration, such as when the training modules are available, when the administration materials are available, where they are posted, and timelines and calendars.	None	4–5 weeks prior to testing and throughout the test window(s)	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 6. Communicate a state-level policy with your districts around required training expectations.	None	Complete 4–5 weeks prior to testing.	

	CDE Activities	Reference in Manual	Target Completion Date	Notes/Resources
<input type="checkbox"/>	7. Communicate state requirements for test security procedures to districts/schools.	None	Complete 4–5 weeks prior to testing.	
<input type="checkbox"/>	8. Determine whether your state will use the existing SSID or an alternate SSID. If alternate, state would be responsible for determining alternate SSIDs, loading them, and ensuring districts/schools are aware of these.	None	Complete prior to loading the TIDE file, by 2/21 (for California only).	States are encouraged (but not required) to use an ID that is unique to the assessment and unrelated to the educational record of the student.
<input type="checkbox"/>	9. Communicate confirmation codes and provide the general guidelines—for example “use student first name as it appears in CALPADS”—to schools/districts for the students expected to take the Field Test.	None	Determine codes prior to loading the TIDE file, by 2/21 (for California only). Communicate codes to districts/schools prior to testing.	http://sbac.portal.airast.org/wp-content/uploads/2014/01/Confirmation-Code-1.14.14.pdf
	10. Prepare the TIDE file for upload with all students taking the Field Test and upload the file into TIDE. <ul style="list-style-type: none"> Review Accessibility Support Request Forms submitted by DCs and add these to TIDE when approved for a student. 	None	Complete by 2/21 (for California only).	For California, this process has been customized with the contractor to work with CALPADS.
Monitor Administration Activities				
<input type="checkbox"/>	11. Periodically update TIDE with corrected CALPADS extracts.	None	At least two weeks prior to testing and throughout the window as needed	

	CDE Activities	Reference in Manual	Target Completion Date	Notes/Resources
<input type="checkbox"/>	12. Investigate and make a decision on all test security incidents reported in TIDE.	<i>TAM, Appendix B California TIDE User Guide, page 47</i>	Ongoing	http://sbac.portal.airast.org/ca/field-test-ca/resources/ Follow the process outlined in the TIDE User Guide.
<input type="checkbox"/>	13. Monitor and review all test security incidents submitted within the state and make an appropriate Appeal in TIDE as necessary. <ul style="list-style-type: none"> Review Irregularities within 24 hours of reporting. 	<i>California TAM, Appendix B California TIDE User Guide, page 47</i>	Throughout the testing window(s)	http://sbac.portal.airast.org/ca/field-test-ca/resources/
<input type="checkbox"/>	14. Review breaches immediately. <ul style="list-style-type: none"> Review incident and containment strategies employed by the district. Authorize a TIDE Appeal as necessary. Prepare for further Consortium guidance. 	<i>California TAM, Appendix B California TIDE User Guide, page 47</i>	Throughout testing window(s)	http://sbac.portal.airast.org/ca/field-test-ca/resources/

APPENDIX E: DISTRICT TEST COORDINATOR CHECKLIST

District Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Direct Responsibilities				
<input type="checkbox"/> 1. Notify schools when training materials are available.	CA TAM, section 2.2, Table 4		Complete at least 5–6 weeks prior to testing.	http://sbac.portal.airast.org/ca/ http://californiatac.org/training/sbft/
<input type="checkbox"/> 2. Notify schools when administration manuals are available.	CA TAM, section 2.2, Table 3		Complete at least 5–6 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 3. Review all Smarter Balanced policy and test administration documents posted to the California Smarter Balanced Portal.	CA TAM, section 2.1	60–90 minutes	Complete at least 3 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 4. Review scheduling and testing requirements with SCs.	CA TAM, section 6.5	60–90 minutes	Complete at least 3 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 5. Plan training for SCs and TAs.	None		Complete at least 3 weeks prior to testing.	
<input type="checkbox"/> 6. Review training modules and schedule training session for SCs.	CA TAM, section 2.2, Table 4	2–3 hours	Spaced over 2–3 weeks prior to testing	http://sbac.portal.airast.org/ca/ http://californiatac.org/training/sbft/
<input type="checkbox"/> 7. Review security procedures with SCs and TAs.	CA TAM, section 3.0, Appendix B		Complete at least 2–3 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 8. Work with District Technology Coordinators to ensure timely computer set up. <ul style="list-style-type: none"> • Conduct network diagnostics. • Download the secure browser (beginning late November or early December). • Verify that schools meet the minimum technology requirements. 	TSM, section I, Network Diagnostic Tools TSM, section V TSM, sections I and II	5–10 hours	Complete at least 2 weeks prior to testing.	http://sbac.portal.airast.org/ca/ http://sbac.portal.airast.org/wp-content/uploads/2013/07/SmarterBalanced_TechnicalSpecificationsManual.pdf

	District Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	9. Work with schools to review TIDE student enrollment information and update information in CALPADS.	CA TIDE User Guide, pages 30–35	2–4 hours	Complete at least 2 weeks before testing and during testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	10. Perform an equipment needs assessment based on individual student requirements. <ul style="list-style-type: none"> • Work with the SC to identify students who will need specialized equipment for accommodations. • Communicate with the SC/TA to identify the number of headsets needed in order to take the ELA Listening portions of the assessment. Place order for the number of headsets needed plus extra. 	None	1–2 hours	Complete at least 2 weeks prior to testing.	Students are permitted and encouraged to use their own ear buds or headsets—but districts and schools should also plan on having some available.
Monitor Administration Activities					
<input type="checkbox"/>	11. Investigate all test improprieties, irregularities, and breaches reported by TAs. <ul style="list-style-type: none"> • Follow reporting procedure according to Appendix B. 	CA TAM, Appendix B	As needed	Ongoing. Deadline for all submissions will be one week after the testing window closes.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	12. Report any test security incident to the CDE, if necessary, according to the guidelines in Appendix B.	CA TAM, Appendix B	As needed within 24 hours of receiving a report		http://sbac.portal.airast.org/ca/ http://californiatac.org/administration/forms/ CDE CAASPP Office CAASPPirreg@cde.ca.gov 916-445-8765

District Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 14. Monitor with the District Technology Coordinator any technical problems to apply resolutions or disseminate information at other school sites prior to testing.	None		Ongoing throughout the testing window	

District Test Coordinator Activities	Reference in Manual	Target Completion Date	Notes/Resources
Oversight Responsibilities			
<input type="checkbox"/> 15. Ensure that SCs and TAs in the district are appropriately trained and aware of policies and procedures, especially related to security.	CA TAM, section 3.0	Complete at least 3 weeks prior to testing.	http://sbac.portal.airast.org/ca/ http://californiatac.org/training/sbft/
<input type="checkbox"/> 16. Review school test administration schedules for adequate time and resource planning.	CA TAM, section 6.5	Complete at least 3 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 17. Verify that SCs and TAs have reviewed student information in CA TIDE and are verifying student accessibility in CA TIDE and settings.	CA TIDE User Guide, pages 30–35	Complete at least 2 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 18. You or your designee must be available during your testing window for questions and problem solving.	None	Complete during your entire testing window.	

Contact Information for the District Test Coordinator	
Questions about state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 Email: caaspp@cde.ca.gov</p> <p>California Department of Education (in the event of a security breach or irregularity)</p> <p>Name: CAASPP Office Fax: 916-319-0969 Email: CAASPPirreg@cde.ca.gov</p>	<p>California Technical Assistance Center 800-955-2954 CalTAC@ets.org http://californiatac.org/about/smarter-balanced/ Hours of operation: Monday through Friday, 7 a.m. to 5 p.m. PT</p>

APPENDIX F: SCHOOL TEST COORDINATOR CHECKLIST

School Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Direct Responsibilities				
<input type="checkbox"/> 1. Confirm the grades and content areas that are participating in the Field Test for your school with your DC.	None	60 minutes	Complete at least 3 weeks prior to testing.	
<input type="checkbox"/> 2. Attend trainings your district offers and review all Smarter Balanced policy and test administration documents posted to the California Smarter Balanced Portal.	CA TAM, section 2.2, Table 3	60–90 minutes	Complete at least 3 weeks prior to testing.	http://sbac.portal.airast.org/ca/ http://californiatac.org/training/sbft/
<input type="checkbox"/> 3. Ensure that all TAs attend your school's or district's training and review the self-paced online training modules posted to the portal. Review with TAs the videos ("Introduction to the Field Test" and "What are Universal Tools?") and encourage them to show their students in preparation for the Field Test.	CA TAM, section 2.2, Table 4	2–3 hours	Complete at least 3 weeks prior to testing.	http://sbac.portal.airast.org/ca/ http://californiatac.org/training/sbft/
<input type="checkbox"/> 4. Work with technology personnel to ensure timely computer setup: <ul style="list-style-type: none"> • Conduct network diagnostics. • Download the secure browser. • Verify that your school has met the minimum technology requirements. • Ensure that other technical issues are resolved before and during testing. 	TSM, section I, Network Diagnostic Tools TSM, section V TSM, sections I and II	5–10 hours	Complete at least 3–4 weeks prior to testing.	http://sbac.portal.airast.org/wp-content/uploads/2013/07/SmarterBalanced_TechnicalSpecificationsManual.pdf http://sbac.portal.airast.org/ca/

School Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 5. Communicate with the TA to identify the number of headsets needed for the site (with TA) and ensure that needed number are available at least 2 weeks prior to the testing window. Headsets are required for the ELA Listening portions of the assessment.	None	1–2 hours	Complete at least 2 weeks prior to testing.	Order the number needed plus extra.
<input type="checkbox"/> 6. Determine which students will use allowable test accommodations and designated supports and establish a place to test those students. <ul style="list-style-type: none"> If a student requires a support or accommodation that is not listed, request the support or accommodation by downloading the Accessibility Support Request Form and faxing or emailing the completed form to the CDE using the information on the form. 	<i>Usability, Accessibility, and Accommodations Guidelines</i> <i>Universal Tools, Designated Supports, and Accommodations for the California Assessment of Student Performance and Progress Assessment System</i>	1–2 hours	Complete at least 2 weeks prior to testing.	http://www.smarterbalanced.org/wordpress/wp-content/uploads/2013/09/SmarterBalanced_Guidelines_091113.pdf http://californiatac.org/administration/instructions/ http://californiatac.org/administration/forms/
<input type="checkbox"/> 7. Perform an equipment needs check based on individual student requirements. <ul style="list-style-type: none"> Work with the TA to identify students who will need specialized equipment for accommodations. Communicate with the DC to identify the number of headsets needed in order to take the ELA Listening portions of the assessment. Place an order for the number 	None	1–2 hours	Complete at least 2 weeks prior to testing.	Students are permitted and encouraged to use their own ear buds or headsets—but districts and schools should also plan on having some available.

	School Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
	of headsets needed plus extra.				
<input type="checkbox"/>	8. Based on the test administration windows assigned to the school, work with the TA to establish a testing schedule.	CA TAM, Section 6.5	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	9. Work with the TA to review student information in CA TIDE applications before the student is tested to ensure that correct student information and test settings and accommodations are applied.	CA TIDE User Guide, pages 30–35 CA TAM, section 7.0	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	10. Work with the TA to plan a quiet activity for each test session for students who finish early.	None	30 minutes	Complete the week of testing.	The activity should not be related to the test being given. For example, students who finish early may work on assignments for unrelated subjects or read a book.
<input type="checkbox"/>	11. All Field Tests will have non-PT items plus a performance task (PT) with a classroom-based activity. <ul style="list-style-type: none"> Download and review the classroom activity for your grade(s). Work with your TA(s) to plan the administration of the classroom activity. 	CA TAM, sections 9.2, 9.3, and 9.4	60 minutes planning the day prior to administering the PT	Complete the week of testing.	<ul style="list-style-type: none"> Administration of the non-PT items plus a PT with a classroom-based activity will require advance preparations. Classroom Activity Administration Guidelines and Instructions for Downloading Classroom Activities can be accessed at: http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	12. Ensure proper handling of all printed test materials and scratch paper. Collect all test materials on each day of testing to keep in a secure location until after the test session, and then	CA TAM, sections 3.0 and 10.0		Complete during and after each testing window.	http://sbac.portal.airast.org/ca/

School Test Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
destroy according to security policy.				
<input type="checkbox"/> 13. Ensure adherence to all security policies. <ul style="list-style-type: none"> Ensure that all TAs read and sign the CAASPP Test Security Affidavit. 	CA TAM, section 3.0			http://sbac.portal.airast.org/ca/field-test-ca/resources/ http://californiatac.org/administration/forms/
<input type="checkbox"/> 14. Document containment of any impropriety, irregularity, or breach and report to the DC immediately after learning of the incident.	CA TAM, Appendix B	As needed	Ongoing	http://sbac.portal.airast.org/ca/field-test-ca/resources/
Monitor Administration Activities				
<input type="checkbox"/> 15. Monitor testing progress during the testing window and ensure that all students participate as appropriate, addressing student issues as needed.	None	As needed	Ongoing	
<input type="checkbox"/> 16. Raise any technical issues with the School Technology Coordinator for resolution.	None	As needed	Ongoing	
<input type="checkbox"/> 17. Review, investigate, and report on all potential improprieties, irregularities, and breaches reported by the TA. Mitigate incidents when appropriate.	CA TAM, Appendix B	As needed	Ongoing	http://sbac.portal.airast.org/ca/

School Test Coordinator Activities	Reference in Manual	Target Completion Date	Notes/Resources
Oversight Responsibilities			
<input type="checkbox"/> 18. Verify that TAs have been verifying student accessibility and accommodations in TIDE.	CA TIDE User Guide, pages 30–35	Complete at least 1–2 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 19. Verify that TAs or other instructional staff have administered the classroom activity.	None	Complete at least 1–2 weeks prior to testing.	


	School Test Coordinator Activities	Reference in Manual	Target Completion Date	Notes/Resources
<input type="checkbox"/>	20. Verify that TAs have scheduled make-up reviews of the classroom activity for students who were absent for the first review.	None	Complete at least 1–2 weeks prior to testing if possible.	
<input type="checkbox"/>	21. Assist TAs in taking proper measures to ensure that students have access only to allowable non-embedded resources during testing.	None	Complete prior to testing.	
<input type="checkbox"/>	22. Verify that TAs are adhering to all test security policies and practices and that they have access to the Test Security Incident Log, and that they understand how to complete this document if improprieties, irregularities, or breaches occur.	CA TAM, section 3.0 and Appendix B	Complete during testing.	http://sbac.portal.airast.org/ca/field-test-ca/resources/

Contact Information for the School Test Coordinator	
Questions about the overall administration and state policies	Questions about technology and the overall administration procedures
California Department of Education Accommodations, Test Policy, Testing Irregularities Name: CAASPP Office Phone: 916-445-8765 Email: caaspp@cde.ca.gov	School Technology Coordinator Name: _____ Phone: _____ Email: _____ District Test Coordinator Name: _____ Phone: _____ Email: _____

APPENDIX G: TEST ADMINISTRATOR CHECKLIST

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	1. Review all Smarter Balanced policy and test administration documents posted to the portal, particularly the <i>California Test Administration Manual (CA TAM)</i> .	CA TAM, section 2.2, Table 3	60–90 minutes	Complete at least 2–3 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	2. Review the training modules that are posted to the Smarter Balanced Portal and attend any school or district training sessions if any are offered.	CA TAM, section 2.2, Table 4	2–3 hours	Complete at least 2–3 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	3. Show students the videos “Introduction to the Field Test” and “What are Universal Tools?”	CA TAM, section 2.2, Table 4	1 hour	Spaced over 2–3 weeks prior to testing	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	4. Provide students with a walk-through of the Training Test and/or Practice Test for familiarity with navigation of the system and tools.	CA TAM, section 6.3	1 hour	Spaced over 2–3 weeks prior to testing	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	5. Perform an equipment needs check based on individual student requirements. <ul style="list-style-type: none"> Work with the SC to identify students who will need specialized equipment for accommodations. 	None	1–2 hours	Complete at least 2 weeks prior to testing.	Students are permitted and encouraged to use their own ear buds or headsets—but districts and schools should also plan on having some available. http://sbac.portal.airast.org/ca/

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	6. Ensure that students will have ear buds or headsets for the ELA Listening portion.	None	60 minutes	Complete at least 1–2 weeks prior to testing.	Administration of the ELA assessment will contain a listening portion. Students will need ear buds or headsets. Make sure your school has extras available for students who may need them on the day of testing.
<input type="checkbox"/>	7. Work with the SC to determine precise testing schedules based on the test administration windows selected by the school schedule. <ul style="list-style-type: none"> • Make sure your students' test administration schedule includes allowable breaks and time for the classroom activity prior to the performance task. 	CA TAM, section 6.5		Complete at least 1–2 weeks prior to testing	http://sbac.portal.airast.org/field-test-ca/ca/resources/
<input type="checkbox"/>	8. Confirm that you have received your CA TIDE login information from your SC. This username and password will also be used for the Online Testing System.	CA TIDE User Guide, pages 8–9	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/>	9. Work with your SC to ensure that each student has an SSID number and that you know the student's first name as entered in CALPADS, and that the student has been loaded into CA TIDE.	CA TIDE User Guide, pages 30–32	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://sbac.portal.airast.org/ca/

Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 10. Confirm each student's accommodations in CA TIDE against their IEP or other relevant documentation as appropriate.	<i>CA TIDE User Guide</i> , pages 30–35	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 11. Ensure that the secure browser has been downloaded to any computer(s) on which students will be testing by checking for the [Secure Browser] icon on each testing computer. 	<i>TSM</i> , sections V and VI	1–2 hours	Complete at least 1–2 weeks prior to testing. <i>and again</i> Complete the day before testing or morning of testing.	http://sbac.portal.airast.org/wp-content/uploads/2013/07/SmarterBalanced_TechnicalSpecificationsManual.pdf Check with your SC or School Technical Coordinator if the [Secure Browser] icon is missing.
<input type="checkbox"/> 12. Communicate to students the need for headsets in order to take the ELA Listening portions of the assessment. <ul style="list-style-type: none"> • Identify any students who may not have their own headsets and make arrangements with the school to have headsets available for those students. Counts should be determined prior to testing. • Also have extra headsets on hand for students who may forget to bring theirs. • Reminders should be sent several days before and the day prior to testing to ensure 	None		Make a count of needed headsets (vs students who have their own) at least 3 weeks prior to testing and tell your SC the number needed. Three days before testing, remind students to have their headsets available the day of tests. One day before testing, remind students to bring their headsets.	Have extra headsets on hand in case students forget. http://sbac.portal.airast.org/ca/

Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
students remember to bring headsets.				
<input type="checkbox"/> 13. All Field Tests will have non-PT items plus a performance task (PT) with a classroom activity. <ul style="list-style-type: none"> Obtain the classroom activity from you SC and plan for the administration. Administer the classroom activity. 	CA TAM, sections 9.2, 9.3, and 9.4	60 minutes planning the day prior to administering the PT 30 minutes actual classroom activity administration time	Complete the week of testing.	<ul style="list-style-type: none"> Administration of the non-PT items plus a PT with a classroom-based activity will require advance preparations. Classroom Activity Administration Guidelines and Instructions for Downloading Classroom Activities can be accessed at: http://sbac.portal.airast.org/field-test-ca/ca/resources/
<input type="checkbox"/> 14. Plan a quiet activity for each test session for students who finish early. The activity should not be related to the test being given. For example, students who finish early may work on assignments for unrelated subjects or read a book.	None	15–30 minutes	Complete the week of testing.	
<input type="checkbox"/> 15. Prior to administration, check all computers that will be used and close all applications except those identified as necessary by the school’s Technology Coordinator. Make sure that no computer has dual monitors. <ul style="list-style-type: none"> Work with your SC to set system volume prior to students launching the secure browser to ensure students can hear the audio 	None	1–2 hours	Complete the morning of testing.	The TA should open the secure browser on each computer after closing any unnecessary applications.

Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
portions of the ELA segment.				
<input type="checkbox"/> 16. Administer the Smarter Balanced assessments, following the script and directions for administration. Provide any necessary accommodation supports.	CA TAM, section 9.5, Login script		Complete the day(s) of testing.	http://sbac.portal.airast.org/ca/field-test-ca/resources/
<input type="checkbox"/> 17. On the day of testing, verify that the students have their login information (first name from CALPADS, SSID, and session ID).	CA TIDE User Guide, page 30–32		Complete the day(s) of testing.	http://sbac.portal.airast.org/ca/field-test-ca/resources/
<input type="checkbox"/> 18. Review all guidelines for creating a secure test environment. <ul style="list-style-type: none"> Review all security procedures and guidelines in the CA TAM. Make sure you have carefully read and signed the CAASPP Test Security Affidavit. 	CA TAM, section 3.0		Prior to and during day(s) of testing.	http://sbac.portal.airast.org/ca/field-test-ca/resources/ http://californiatac.org/administration/forms/
<input type="checkbox"/> 19. Make sure the physical conditions of the testing room are satisfactory. <ul style="list-style-type: none"> Make sure that no instructional materials directly related to the content of the tests are visible. Students should be seated so that there is enough space between them or provide desktop partitions to minimize opportunities to 	CA TAM, section 3.0		Complete the day(s) of testing.	<ul style="list-style-type: none"> Make sure students clear their desks and put away all books, backpacks, purses, cell phones, electronic devices of any kind, and other materials not needed for the test. Ensure that students do not access unauthorized electronic devices (such as cell phones) at any time during testing. Post an “Unauthorized Electronic Devices

Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<p>look at each other's screen.</p> <ul style="list-style-type: none"> Actively supervise students throughout the test sessions. Students who are not being tested may not be in the room where a test is being administered. 				<p>May Not Be Used at Any Time During the Testing Session” sign so that it is clearly visible to all students.</p> <p>http://sbac.portal.airast.org/ca/ http://californiatac.org/administration/forms/</p>
<input type="checkbox"/> 20. Report any testing improprieties, irregularities, and breaches to the SC in writing immediately following an impropriety, irregularity, or breach.	CA TAM, section 4.0 and <i>Appendix B</i>		Complete as soon as possible during or immediately following testing.	http://sbac.portal.airast.org/ca/
<input type="checkbox"/> 21. Securely dispose of all printed testing materials, including student login information, print-on-demand documents, and scratch paper in a secure manner.	CA TAM, section 10.0		Complete after testing.	http://sbac.portal.airast.org/ca/

Contact Information	
Questions about the overall administration and state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 Email: caaspp@cde.ca.gov</p>	<p>School Technology Coordinator</p> <p>Name: _____ Phone: _____ Email: _____</p> <p>School Test Coordinator</p> <p>Name: _____ Phone: _____ Email: _____</p> <p>District Test Coordinator</p> <p>Name: _____ Phone: _____ Email: _____</p>

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CALIFORNIA

Assessment of Student Performance and Progress

Smarter Balanced Online Test Administration Manual

Winter/Spring 2015

Smarter Balanced Summative Assessments
for English Language Arts/Literacy and Mathematics



Updated March 2015.

Prepared by the Smarter Balanced Assessment Consortium®

California customization prepared by Educational Testing Service®

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Table of Acronyms and Initialisms in the *Online Test Administration Manual*

Term	Meaning
ASL	American Sign Language
CAASPP	California Assessment of Student Performance and Progress
CALPADS	California Longitudinal Pupil Achievement Data System
CaITAC	California Technical Assistance Center
CAT	computer adaptive test
CCC	California Community Colleges
CCR	California Code of Regulations
CDE	California Department of Education
CSU	California State University
EAP	Early Assessment Program
ELA	English language arts/literacy
ELs	English learners
IEP	individualized education program
LEA	local educational agency
non-PT	non-performance task
PDA	personal digital assistant
PT	performance task
SC	CAASPP Test Site Coordinator
SSID	statewide student identifier
TA	Test Administrator
TAM	<i>Online Test Administration Manual</i>
TOMS	Test Operations Management System
TSM	<i>Technical Specifications Manual for Online Testing</i>

California Support for the Smarter Balanced Online Assessments

The California Assessment of Student Performance and Progress (CAASPP) portal at <http://caaspp.org/> is the home for all online Smarter Balanced assessment administration information as well as for information on paper-pencil test administration.



Note: Requests for paper-pencil versions of the online summative assessments were due to the California Technical Assistance Center (CaTAC) by September 30, 2014. *California Code of Regulations*, Title 5 (5 CCR), Education, Section 857(a)(3)

For questions regarding the online testing system or for additional assistance:

- **Local educational agency (LEA) CAASPP Coordinators should contact the California Technical Assistance Center (CaTAC) by phone at 800-955-2954, by e-mail at caltac@ets.org, or by using the chat function linked on the CAASPP portal at <http://caaspp.org>.**
- **CAASPP Test Site Coordinators should contact their LEA CAASPP Coordinator.**
- **Test Administrators and other school personnel should contact their CAASPP Test Site Coordinator.**

CaTAC is open from 7 a.m. to 5 p.m. Monday through Friday. During these hours, staff will respond promptly to calls.

When contacting CaTAC, provide the representative with as much detail as possible about the issue(s) encountered and the system on which it occurred. This should include the following:

- type of device being used for the test;
- any error messages that appeared (code and description);
- operating system and browser (Web browser or secure browser) information;
- network configuration information;
- your contact information for follow-up, including an e-mail address and phone number; and
- any relevant and authorized student and school information, including statewide student identifier (SSID), grade level, content area, and performance task (PT) or computer adaptive test (CAT) (also known as a non-performance task [non-PT] test).

For your convenience, a Microsoft Word form that you can use to log and save your issue has been posted to the CAASPP Forms Web page at <http://caaspp.org/administration/forms/>.

CaTAC may be contacted by LEA CAASPP Coordinators for situations and questions that include the following:

1. The testing environment is down or unavailable.
2. User accounts are not available or users are not able to administer tests.
3. Student information is incorrect or missing.
4. You experience difficulty loading student test settings into the Test Operations Management System (TOMS).
5. You have questions about or need assistance with Appeals functionality.
6. You need help preparing for online testing—downloading the secure browser, voice packs, etc.
7. Tests are incorrectly showing as available to students when they log on to begin testing.
8. You want to request password resets for LEA and/or school users.
9. Settings are not presenting as intended.

1.0 OVERVIEW OF THE SMARTER BALANCED ASSESSMENTS

1.1 About the Smarter Balanced Assessment Consortium

The Smarter Balanced Assessment Consortium is a multi-state, state-led consortium that developed next-generation assessments aligned to the Common Core State Standards in English language arts/literacy (ELA) and mathematics that accurately measure student progress toward college and career readiness. For more information about the Smarter Balanced Assessment Consortium, go to www.smarterbalanced.org.

1.2 About the Test

The Smarter Balanced summative assessments are available in ELA and mathematics to students in grades three through eight and eleven. Each content area of the online test consists of a computer adaptive test (CAT) (also called a non-performance task [non-PT]) as well as a performance task (PT).

1.3 Test Administration Roles and Responsibilities

Users' roles and responsibilities for the test are provided in Table 1.

Table 1: User Roles in the Online Testing System

User Role	Description
LEA CAASPP Coordinator	<p>LEA CAASPP Coordinators were designated by the district superintendent at the beginning of the 2014–15 school year. A signed <i>Superintendent Designation Form</i> appointing the LEA CAASPP Coordinator and a signed <i>CAASPP Test Security Agreement</i> from the LEA CAASPP Coordinator must be on file with the California Technical Assistance Center (CalTAC). LEA CAASPP Coordinators are responsible for the following:</p> <ul style="list-style-type: none"> • adding CAASPP Test Site Coordinators (SCs) and Test Administrators (TAs) into the Test Operations and Management System (TOMS); • ensuring that the SCs and TAs in their LEA are appropriately trained regarding the state and Smarter Balanced assessment administration as well as security policies and procedures; • reporting all test security irregularities and/or breaches that occur before, during, or after test administration to the California Department of Education (CDE) within 24 hours of discovery using the <i>Online Security Breach and Testing Irregularity Report Form</i> found on the CAASPP Forms Web page at http://caaspp.org/administration/forms/. (5 CCR, Section 859 [e]) • assuming general oversight responsibilities for all administration activities in their LEA schools; and • printing out checklists for SCs and TAs to review in preparation for the summative assessments.

User Role	Description
<p>CAASPP Test Site Coordinator (SC)</p> <p><i>Note: An SC can be a principal, vice principal, technology coordinator, counselor, or other staff member.</i></p> <p><i>If possible, an SC should be a person with non-instructional or limited instructional duties so he or she can coordinate and monitor testing activity in the school.</i></p>	<p>SCs are designated by the LEA CAASPP Coordinator. SCs are added to TOMS by the LEA CAASPP Coordinator. <i>(Note: There can be more than one CAASPP Test Site Coordinator as required by school need.)</i> SCs are responsible for:</p> <ul style="list-style-type: none"> identifying TAs, ensuring that they are properly trained, and ensuring that they have submitted signed CAASPP Test Security Affidavits (5 CCR Section 850 [w]); adding TAs into TOMS; coordinating with TAs so they administer all assessments; entering and/or verifying test settings for students; creating or approving testing schedules and procedures for the school (consistent with state and LEA policies); working with technology staff to ensure that necessary secure browsers are installed and any other technical issues are resolved; monitoring testing progress during the testing window and ensuring that all students participate, as appropriate; using the school’s procedure for correcting student data errors reported by TAs in the California Longitudinal Pupil Achievement Data System (CALPADS), verifying the corrections in TOMS, and ensuring that the student’s test session is rescheduled; addressing testing problems, as needed; mitigating and reporting all test security incidents in a manner consistent with Smarter Balanced, state, and LEA policies; and assuming general oversight responsibilities for all administration activities in their school and for all TAs.
<p>Test Administrator (TA)</p> <p><i>Note: The Smarter Balanced assessments should be administered by individuals with an existing state certification in education (e.g., teachers, school psychologists, principals, etc.). California regulations have expanded the TA role to include any employee or contractor of an LEA or a nonpublic, noncertified school who has been trained to administer the tests and has signed a CAASPP Test Security Affidavit.</i></p>	<p>TAs administer the Smarter Balanced assessments. SCs should identify school personnel to act as TAs. <i>(Note: In the California regulations, this role is referred to as the Test Examiner.)</i> TAs are responsible for:</p> <ul style="list-style-type: none"> reading and signing the CAASPP Test Security Affidavit, which is returned to the SC; completing Smarter Balanced assessment administration training (see section 1.4 Training) and reviewing all Smarter Balanced policy and administration documents prior to administering any Smarter Balanced assessments; viewing student information prior to testing to ensure that the correct student receives the proper test with the appropriate supports. TAs should report any potential data errors to SCs and LEA CAASPP Coordinators as appropriate; administering the Smarter Balanced assessments; and reporting all potential test security incidents to their SC and LEA CAASPP Coordinator in a manner consistent with Smarter Balanced, state, and LEA policies. <p><i>Note: TA questions about passwords, TOMS, technology issues, and test administration should be relayed to his or her SC or LEA CAASPP Coordinator.</i></p>



See the following for checklists of example activities:

- For LEA CAASPP Coordinators, see [Appendix I](#).
- For CAASPP Test Site Coordinators, see [Appendix J](#).
- For Test Administrators, see [Appendix K](#).

1.4 Training

All LEA CAASPP Coordinators, CAASPP Test Site Coordinators (SCs), Test Administrators (TAs), and school administrative staff who will be involved in the Smarter Balanced assessment administration should review the applicable supplemental videos and archived Webcasts, which can be found on the CAASPP Current Administration Training Web page at <http://caaspp.org/training/caaspp/>.

The LEA CAASPP Coordinator, SC, and/or other staff designated by the state are responsible for ensuring all appropriate trainings have been completed. Such training should include, but is not limited to, training on item security and professional conduct associated with the administration of standardized assessments.

Prior to administering a test, Test Administrators (and any other individuals who will be administering any secure Smarter Balanced assessment) will read the CAASPP *Smarter Balanced Online Test Administration Manual*, the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*, and the *Test Administrator (TA) Reference Guide*, and view the associated Smarter Balanced training modules. All of these documents are linked on the CAASPP Instructions and Manuals Web page at <http://caaspp.org/administration/instructions/>.

2.0 TEST ADMINISTRATION RESOURCES

This *Online Test Administration Manual (TAM)* for summative assessments is intended for staff who play a role in the administration of Smarter Balanced assessments, including LEA CAASPP Coordinators, CAASPP Test Site Coordinators (SCs), and Test Administrators (TAs). This manual provides procedural and policy guidance to implement the Smarter Balanced assessments. To help quickly locate areas that pertain to each role, tabs that identify the primary user of that section have been placed on the margin of each page. The appendixes of this manual, which contain important information that can be used as stand-alone materials, are easily extracted for printing or distribution. For a list of frequently used terms associated with the Smarter Balanced assessments, see [Appendix A](#). For specific questions not addressed in this manual, TAs can contact their SC; SCs can contact their LEA CAASPP Coordinator; and LEA CAASPP Coordinators can contact the California Technical Assistance Center (CaTAC).

2.1 Summative Assessment Administration Resources

The TAM is designed to complement a variety of other resources developed by Smarter Balanced and the California Department of Education (CDE) listed in Table 2 (manuals), Table 3 (training modules), and Table 4 (other resources).

Table 2: Manuals and Resources

Resource	Description
CALPADS resources	The CDE’s California Longitudinal Pupil Achievement Data System (CALPADS) Web page at http://www.cde.ca.gov/ds/sp/cl/ contains links to CALPADS system documents, updates, and other useful information for maintaining student data.
Test Operations Management System (TOMS) user guides	The CAASPP Test Operations Management System (TOMS) Web page at http://caaspp.org/administration/toms/ contains links and resources for LEA CAASPP Coordinators, including manuals to set up test administrations, assign and manage student test registration, and add and manage SC and TA users.
<i>Appeals User Guide</i>	The <i>Appeals User Guide</i> includes information about how LEA CAASPP Coordinators can enter an appeal. http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf
<i>Braille Requirements for Online Testing Manual</i>	The <i>Braille Requirements for Online Testing Manual</i> includes information about supported operating systems and required hardware and software for braille testing. It also includes a quick guide for Test Administrators who are testing students with a braille accommodation. This manual consolidates information that was previously divided between the <i>Technical Specifications Manual for Online Testing</i> and the <i>Test Administrator User Guide</i> . http://caaspp.org/rsc/pdfs/CAASPP.braille-requirements.2015.pdf
<i>Secure Browser Installation Manual</i>	The <i>Secure Browser Installation Manual</i> provides instructions for installing the secure browser on supported operating systems and is organized by operating system. This document is a supplement to the <i>Technical Specifications Manual for Online Testing</i> . http://caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2015.pdf
<i>Technical Specifications Manual for Online Testing (TSM)</i>	The <i>Technical Specifications Manual</i> provides technology staff with the technical specifications for online testing, including information on Internet and network requirements, general hardware and software requirements, secure browser installation, and the text-to-speech function. http://caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2015.pdf

Resource	Description
<i>Test Administrator (TA) Reference Guide</i>	The <i>Test Administrator (TA) Reference Guide</i> supports individuals using the test delivery system applications to manage testing for students participating in the summative assessments and provides the scripts to be used when providing instructions to students on the day of testing. This resource also provides information about the test delivery system, including the Test Administrator and student applications. http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf
<i>Test Administrator (TA) Directions for Administration</i>	The <i>Test Administrator (TA) Online Directions for Administration</i> provide TAs at all grade levels with step-by-step instructions for the TA Interface and student applications as well as the test administration script in <i>Section 10</i> . These instructions are intended for the day of test administration. http://caaspp.org/rsc/pdfs/CAASPP.ta-odfa.2015.pdf
<i>Usability, Accessibility, and Accommodations Guidelines</i>	The <i>Usability, Accessibility, and Accommodations Guidelines</i> focus on universal tools, designated supports, and accommodations for the Smarter Balanced assessments. The <i>Guidelines</i> are intended for school-level personnel and decision-making teams, particularly individualized education program (IEP) and Section 504 teams, as they prepare for and implement the Smarter Balanced assessments. The <i>Guidelines</i> provide information for classroom teachers, English language development educators, special education teachers, and instructional assistants to use in selecting and providing universal tools, designated supports, and accommodations for those students who need them during the administration of the assessments. The <i>Guidelines</i> are also intended for assessment staff and administrators who oversee the decisions that are made in instruction and assessment. linked at http://caaspp.org/administration/instructions/

All Roles

Table 3: Training Modules

Training modules are available at http://caaspp.org/training/caaspp/ .		
Module Name	Primary Audience	Objective
<i>Accessibility and Accommodations</i>	TAs/Teachers, SCs	This module describes the recommended uses of available universal tools, designated supports, and accommodations for student accessibility to Smarter Balanced assessments.
<i>Performance Task Overview</i>	LEA CAASPP Coordinators, SCs, TAs, Teachers	This module provides an overview of a performance task and the purpose of the Classroom Activity as it pertains to the performance task.
<i>Student Interface for Online Testing</i>	Students, LEA CAASPP Coordinators, SCs, TAs, Teachers	This module explains how to navigate the Student Interface.
<i>Technology Requirements for Online Testing</i>	LEA CAASPP Coordinators, LEA or School Technology Coordinators	This module provides current information about technology requirements, site readiness, supported devices, and secure browser installation.

Training modules are available at <http://caaspp.org/training/caaspp/>.

Module Name	Primary Audience	Objective
<i>Test Administrator (TA) Interface for Online Testing</i>	LEA CAASPP Coordinators, SCs, TAs, Teachers	This module presents an overview on how to navigate the TA Interface.
<i>What is a CAT (Computer Adaptive Test)?</i>	LEA CAASPP Coordinators, SCs, TAs, Teachers, Students	This module provides the characteristics and advantages of a non-performance task test.

Table 4: Other Resources

Resource	Description
Practice Test*	<p>Practice Tests include items and performance tasks for each grade level (three through eight and eleven). The Practice Tests provide a preview of the item types included in the Smarter Balanced assessments. Item types are listed and described in Appendix B: Item Types in this manual.</p> <p>This is the link to the Practice Tests: http://caaspp.org/practice-and-training/. See also <i>Appendix B: Accessing the Practice and Training Tests in the Test Administrator (TA) Reference Guide</i> located at http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf for additional information about the Practice Tests.</p>
Training Test*	<p>Training Tests are for TAs and students to become familiar with the format and functionality of the online test. This resource is available by grade band (three through five, six through eight, eleven) and has approximately eight to nine mathematics and six English language arts/literacy (ELA) items per grade band.</p> <p>The link to the Training Test is: http://caaspp.org/practice-and-training/. Also see <i>Appendix B: Accessing the Practice and Training Tests in the Test Administrator (TA) Reference Guide</i> located at http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf for additional information about the Training Tests.</p>

* The Practice and Training Tests can be used as a “guest” without logon credentials; however, if users want to access either of these Web sites as a TA (required if they want to administer a braille Practice or Training Test), a logon will be required. TAs can contact their SC; SCs can contact their LEA CAASPP Coordinator; and LEA CAASPP Coordinators can contact CalTAC to get logon credentials. The Practice and Training Tests do not require use of the secure browser, but some accessibility features (such as text-to-speech) are only available through the secure browser (see section 6.2 *The Secure Browser* and the *Technical Specifications Manual*).

3.0 ENSURING TEST SECURITY

The security of assessment instruments and the confidentiality of student information are vital to maintaining the validity, reliability, and fairness of the results.

All summative test items and test materials are secure and must be appropriately handled. Secure handling protects the integrity, validity, and confidentiality of assessment items, prompts, and student information. Any deviation in test administration must be reported as a test security incident to ensure the validity of the assessment results. It is the responsibility of each person participating in the administration of the Smarter Balanced summative assessments to immediately report any violation or suspected violation of test security or confidentiality. The CAASPP Test Site Coordinator (SC) is responsible for immediately reporting any security violation to the LEA CAASPP Coordinator.

In the case of student cheating, the Test Administrator (TA) must stop the cheating; however, the student must be allowed to complete the remainder of the test. After testing, the TA must notify the SC. **Do not call** the California Department of Education (CDE) or the California Technical Assistance Center (CaITAC) to report student cheating.

3.1 Security of the Test Environment

Table 5 describes security requirements for the test environment during various stages of testing. The test environment refers to all aspects of the testing situation while students are testing and includes what a student can see, hear, or access (including access via technology).

Table 5: Requirements of the Test Environment

Requirement	Description
BEFORE TESTING	
Instructional materials removed or covered	Instructional materials must be removed or covered, including but not limited to information that might assist students in answering questions that is displayed on bulletin boards, chalkboards or dry-erase boards, or on charts (e.g., wall charts that contain literary definitions, maps, mathematics formulas, etc.).
Student seating	Students must be seated so there is enough space between them to minimize opportunities to look at each other’s work, or they should be provided with tabletop partitions.
Signage	If helpful, place a “TESTING—DO NOT DISTURB” sign on the door or post signs in halls and entrances, rerouting hallway traffic in order to promote optimum testing conditions. SCs or TAs should post the “Unauthorized Electronic Devices May Not Be Used at Any Time During the Testing Session” signs so that they are clearly visible to all students. A master of this sign can be downloaded from the CAASPP Instructions and Manuals Web page at http://caaspp.org/administration/instructions .
DURING TESTING	
Quiet environment	Provide a quiet environment void of talking or other distractions that might interfere with a student’s ability to concentrate or might compromise the testing situation.

Requirement	Description
Student supervision	Students are actively supervised and are prohibited from access to unauthorized electronic devices that allow availability to outside information, communication among students, or photographing or copying test content. This includes any device with cellular, messaging, or wireless capabilities, but is not limited to cell phones, personal digital assistants (PDAs), iPods, cameras, and electronic translation devices.
Access to allowable resources only	Students must only have access to and use of those allowable resources identified by Smarter Balanced (see section 9.1 <i>Establishing Appropriate Testing Conditions</i> for examples) that are permitted for each specific test (or portion of a test).
Access to assessments	Only students who are testing can view items. Students who are not being tested or unauthorized staff or other adults must not be in the room where a test is being administered. Based on the item type (i.e., performance tasks), trained TAs may also have limited exposure to items in the course of properly administering the assessments; however, even TAs and other trained staff may not actively review or analyze any items.
No answer key development	No form or type of answer key may be developed for test items.
Testing through secure browser	Administration of the Smarter Balanced assessments is permitted only through the Student Interface via a secure browser or a method of securing the student device.
DURING AND AFTER TESTING	
No access to responses	LEA CAASPP Coordinators, SCs, TAs, and other staff are not permitted to review student responses in the testing interface or students' notes on scratch paper.
No copies of test materials	Unless needed as a print-on-demand or braille accommodation, no copies of the test items, stimuli, reading passages, performance task materials, or writing prompts may be copied or otherwise retained.
No access to digital, electronic, or manual devices	No digital, electronic, or manual device may be used to record or retain test items, reading passages, or writing prompts. Similarly, these materials must not be discussed with or released to anyone via any media, including fax, e-mail, social media Web sites, etc.
No retaining, discussing, or releasing test materials	Descriptions of test items, stimuli, printed reading passages, or writing prompts must not be retained, discussed, or released to anyone.
No retaining of test "tickets" or any materials created to assist students with logging on to the summative assessments	All students' ID information must be collected at the end of each test session, stored securely, and then securely destroyed.
No reviewing, discussing, or analyzing test materials	LEA CAASPP Coordinators, SCs, TAs, and other staff may not review, discuss, or analyze test items, stimuli, reading passages, or writing prompts at any time, including before, during, or after testing. Student interaction during a test is limited to what is necessary for the purpose of the performance task.
All test materials must remain secure at all times	Printed materials from the print-on-demand accommodation, scratch paper, and documents with student information must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration.

Requirement	Description
AFTER TESTING	
No test materials used for instruction	Test items, stimuli, reading passages, or writing prompts must not be used for instruction.
Destroy test materials securely	Printed test items/passages, including embossed braille printouts, and scratch paper must be collected and inventoried at the end of each test session and then immediately shredded. See section 3.2 <i>Secure Handling of Printed Materials</i> for details. Note: The Classroom Activities for the performance task (PT) are not secure materials.

TAs and SCs or other individuals who have witnessed, been informed of, or suspect the possibility of a test security incident that could potentially affect the integrity of the assessments or the data should follow the steps outlined in section 4.0 *Responding to Testing Improprieties, Irregularities, and Breaches* and section 5.0 *Appeals* (as necessary) of this manual.

3.2 Secure Handling of Printed Materials

Using print-on-demand materials

For those students whose individualized education program (IEP) or Section 504 plan expresses a need for a paper copy of **passages or items**, permission for the students to receive this accommodation—called “print on demand”—must first be set in the Test Operations Management System (TOMS) by the LEA CAASPP Coordinator at least one to two weeks prior to testing.

Printing **individual test items** for students with this accommodation will require that the LEA CAASPP Coordinator make a request to CalTAC to have the accommodation set for each student. **All requests must be approved by CalTAC; a CalTAC representative will also contact the California Department of Education for approval.**

Print requests must be approved and processed by the TA during test administration. The decision to allow students to use print on demand must be made on an individual student basis and is available only for students with an IEP or Section 504 plan. However, utilizing the print-on-demand functionality does not allow a printed version of the online test due to its adaptive nature. A very small percentage of students should need this accommodation. The use of this accommodation may result in the student needing additional time to complete the assessment.

Once a student is approved to receive the printing of test items/passages, that student may send a print request to the TA during testing by selecting the print icon on the screen.

Follow these guidelines when using the print-on-demand accommodation:

- 1. Before the TA approves the student’s request to print a test item/stimulus, the TA must ensure that the printer is on and is monitored by staff.**
- 2. Immediately after printing a print-on-demand request, the file should be securely deleted from the TA’s computer in such a way that the file does not remain in a temporary storage file where it can be undeleted. See the *Destruction of secure files* section on the next page for additional instructions.**
- 3. The TA must collect the previously printed item from the student after the student has requested the next item to be printed. Printed items must be securely stored and then securely destroyed after the test session.**

Before the TA approves the student’s request to print a test item/stimulus, the TA must ensure that the printer is on and is monitored by staff. This request needs to be made for each individual item.

Destruction of printed materials and scratch paper

Printed materials from the print-on-demand accommodation and scratch paper must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration who have signed a CAASPP Test Security Affidavit. All test materials must remain secure at all times. Printed test items/passages, including embossed braille printouts and scratch paper, must be collected and inventoried at the end of each test session and then immediately shredded according to LEA and/or California policies or procedures. **DO NOT** keep printed test items/passages or scratch paper for future test sessions except as noted below for PTs.

Destruction of electronic files

Immediately after printing a print-on-demand request, the file produced by the process should be securely deleted from the TA's computer. It must be deleted in such a way that the file does not remain in a temporary storage location such as Windows' Recycle Bin, where it can be undeleted. TAs and SCs should use the school's or LEA's preferred method of secure file deletion.

While there are many ways to permanently delete a file, including using a "shredding" tool that might be part of a virus scanning tool, what follows are basic ways to remove a file from a Windows or Macintosh system:

- **Windows**—Hold the <Shift> key when deleting the file or empty the Recycle Bin after deleting.
- **Macintosh and Macintosh equivalent devices using OS X**—Press the <Command> + <Delete> keys with any file or folder selected to send a file to the Trash and then press the <Shift> + <Command> + <Delete> keys or open the Finder menu and then select "Secure Empty Trash" to immediately empty the Trash.

Use of scratch paper on PTs

The only exception to the requirement governing the destruction of printed materials and scratch paper is when notes are used during the ELA and mathematics PTs.

During the ELA PT, the notes on the embedded universal tool, Global Notes, are retained from Part 1 to Part 2 so that the student may return to the notes even though the student is not able to go back to specific items in Part 1.

While the embedded Global Notes is the preferred mode for note taking during the ELA PT, students may use scratch paper to make notes. To ensure that students using scratch paper for notes have the same allowance as students using the online notes, TAs should tell students to write their name (or some appropriate identifying information) on each piece of scratch paper. TAs must collect the scratch paper at the completion of Part 1 of the ELA PT, and securely store it for students' use during Part 2 of the ELA PT.

Likewise, the mathematics PT may extend beyond one test session. When this happens, TAs should tell students to write their name on the scratch paper (and graph paper for grades six and up); collect the paper used in the first session; and securely store it for students' use in the subsequent test session.



The retention of scratch paper is only allowed for the PTs. Following the conclusion of the performance task, all scratch paper and graph paper must be collected, inventoried, and immediately shredded to maintain test security.

4.0 RESPONDING TO TESTING IMPROPRIETIES, IRREGULARITIES, AND BREACHES

Test security incidents, such as improprieties, irregularities, and breaches, are behaviors prohibited either because they give a student an unfair advantage or because they compromise the secure administration of the assessments. Whether intentional or by accident, failure to comply with security rules, either by staff or students, constitutes a test security incident. Improprieties, irregularities, and breaches need to be reported in accordance with the instructions in this section for each severity level. Definitions for test security incidents are provided in Table 6.

This section refers to documentation and reporting of incidents involving test security. Refer to [Appendix C](#) for a list of test security incident levels and examples of test security issues.

4.1 Impact and Definitions

Table 6: Definitions for Test Security Incidents

Type	Definition
Impropriety	An unusual circumstance that has a low impact on the individual or group of students who are testing, and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level. An impropriety should be reported to the LEA CAASPP Coordinator and CAASPP Test Site Coordinator (SC) immediately using the <i>Test Administration Testing Incident or Impropriety Report Form</i> available on the CAASPP Forms Web page at http://caaspp.org/administration/forms/ . The LEA CAASPP Coordinator may enter the impropriety or incident in the Appeals module should an appeal be required.
Irregularity	An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level and submitted in the online Appeals system for resolution. An irregularity must be reported to the LEA CAASPP Coordinator and/or the CAASPP Test Site Coordinator who will fill out the <i>Online Security Breach and Testing Irregularity Report Form</i> available on the CAASPP Forms Web page at http://caaspp.org/administration/forms/ and then e-mail the form to the California Department of Education (CDE) at caasppirreg@cde.ca.gov .
Breach	An event that poses a threat to the validity of the test. Examples may include such situations as a release of secure materials or a security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported to the LEA CAASPP Coordinator and SC immediately. The LEA CAASPP Coordinator will fill out the <i>Online Security Breach and Testing Irregularity Report Form</i> available on the CAASPP Forms Web page at http://caaspp.org/administration/forms/ and e-mail the form to the CDE at caasppirreg@cde.ca.gov .

It is important for Test Administrators (TAs) to ensure the physical conditions in the testing room meet the criteria for a secure test environment. See section 3.1 *Security of the Test Environment* for more detail.

4.2 Reporting Timelines and Activities

Improprieties are escalated in accordance with state policies and procedures, protocols, and/or guidelines **within 24 hours of the incident** by individual LEAs.

Irregularities must be escalated **by the end of the day of the incident** to the CDE using the *Online Security Breach and Testing Irregularity Report Form* and the online Appeals module (if appropriate¹).

A Breach requires immediate notification/escalation by telephone to the CDE by the LEA CAASPP Coordinator, followed by documentation in the *Online Security Breach and Testing Irregularity Report Form* and escalation in the online Appeals module¹.



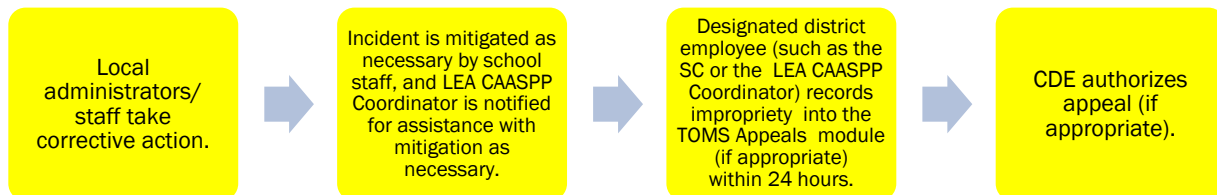
For examples of test security incidents, please see the **Test Security Chart** located in [Appendix C](#).

4.3 Test Security Required Action Steps

The **Test Security Required Action Steps** depict the required actions for each test security incident in a process flow diagram format.

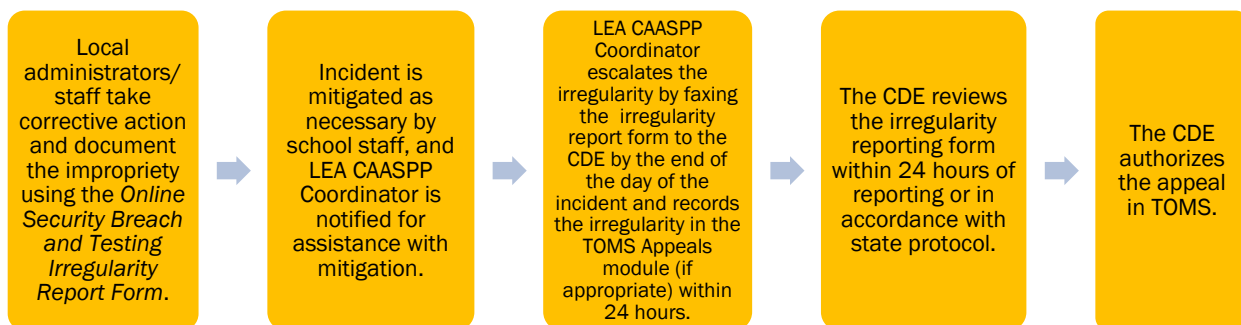
Impropriety

An unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. (Example: Student(s) leaving the testing room without authorization.)



Irregularity

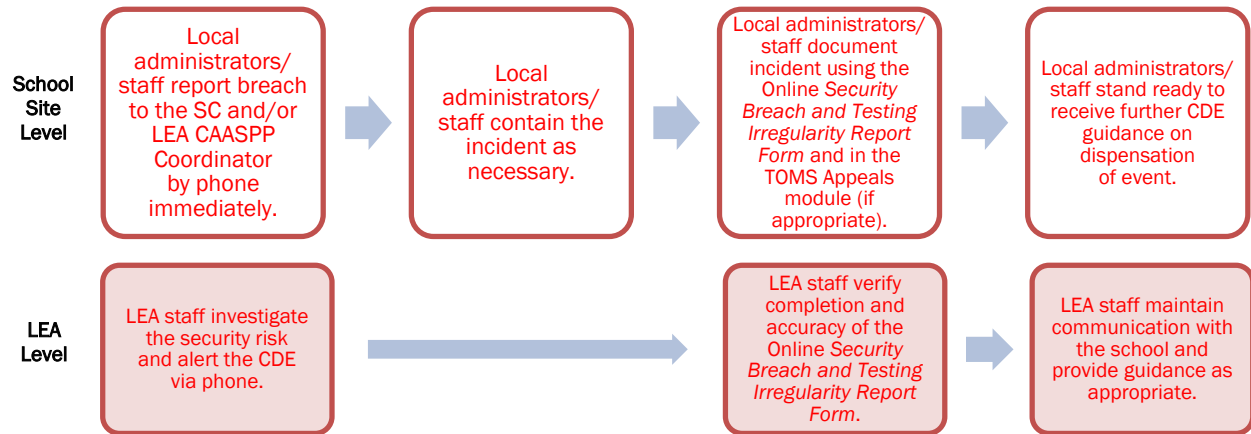
An unusual circumstance that affects an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be contained at the local level. (Example: Disruption during the test session such as a fire drill.)



¹ The only security incidents that are reported in the Appeals system are those that involve a student and test, and that require an action for the test such as to reset, reopen, invalidate, or restore a test that a student was taking at the time of the incident. The Appeals system does not serve as a log for all incidents.

Breach

A test administration event that poses a threat to the validity of the test. Breaches require immediate attention and escalation to the CDE. Examples may include such situations as exposure of secure materials or a repeatable security/system risk. These circumstances have external implications. (Example: Test Administrators modifying student answers, or test items shared in social media.)



All Roles

4.4 Documentation of Security Incidents: Use of the Forms and the Appeals Module

LEA CAASPP Coordinators and SCs should ensure that all test security incidents are documented using the *Test Administration Testing Incident or Impropriety Report Form* or the *Online Security Breach and Testing Irregularity Report Form*, depending on the incident type. TAs must download the form from the CAASPP Forms Web page at <http://caaspp.org/administration/forms/> and use the form to log incidents immediately upon identification and submit them, via e-mail or alternate agreed-upon process, to their SCs and LEA CAASPP Coordinators.

LEA staff should establish a process that includes a plan for having test sites submit forms to the LEA and communicate this preference to schools; and submitting forms to the CDE as required in each of the action steps. In addition to filling out a form for all test security incidents, incidents requiring specific actions to be taken regarding the test itself are to be escalated—following the procedures noted in section 4.3 *Test Security Required Action Steps*—to the appropriate office or agency.

5.0 APPEALS

For security incidents that result in a need to reset, reopen, invalidate, or restore individual online student assessments, **the request must be approved by the California Department of Education (CDE)**. In most instances, an appeal will be submitted to address a test security breach or irregularity. *In some cases, an appeal may be submitted to address incidents that are not security related such as reopening an assessment for a student who becomes ill and is unable to resume testing until after testing has expired. The LEA CAASPP Coordinator or the CAASPP Test Site Coordinator (SC) may submit appeals.*

Because the appeals system is for action only, all appeals should also be entered in the Appeals module in the Test Operations Management System (TOMS) located at <https://caaspp.caltesting.org/>. The online Appeals process and conditions for use are described in the *Appeals User Guide*, located at <http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf>.

5.1 Online System Appeals Types

Table 7 contains descriptions of the types of online appeals.

Table 7: Online System Appeals Types

Type of Appeal	Description	Conditions for Use
RESET	Resetting a student's test removes that test from the system and enables the student to start a new test.	<p>The CDE may reset any test (computer adaptive test [CAT] or performance task [PT]) if any of the following settings need to be changed because they were incorrectly set:</p> <ul style="list-style-type: none"> American Sign Language (for mathematics and English language arts/literacy [ELA] listening) Braille (braille is a language setting) Closed captioning (for ELA listening stimuli) Streamlined interface (the streamlined interface is a test shell setting) Translation—stacked (for mathematics tests only) Note: Stacked translations are automatically provided when the selected language is Spanish. Translation—glossary (for mathematics tests only) Text-to-speech as an accommodation (e.g., for ELA reading passages in grades 6–8 or 11). Note: Text-to-speech for items only is a designated support and NOT a valid reset request. Any non-embedded accommodation(s) Log as Testing Irregularity: YES. <p>Additional Testing Irregularity considerations:</p> <p>CAT:</p> <ol style="list-style-type: none"> Student has been presented with five items or fewer. Log as Testing Irregularity: NO. Student has been presented with more than five items. Log as Testing Irregularity: YES. <p>PT:</p> <ol style="list-style-type: none"> Student has been presented with any items in a performance task. Log as Testing Irregularity: YES.

Type of Appeal	Description	Conditions for Use
INVALIDATION	<p>Invalidating a student’s test eliminates the test. The test will not be scored.</p>	<p>The CDE may invalidate any test (CAT or PT) if:</p> <ol style="list-style-type: none"> 1. There is a test security breach. Log as Test Breach: YES. 2. The test is administered in a manner inconsistent with the <i>Online Test Administration Manual (TAM)</i>. Log as Testing Irregularity: YES. 3. There is a testing session in which a student deliberately does not attempt to respond appropriately to items. Log as Testing Irregularity: YES. <p><i>Note: After reviewing the circumstances of an incident, a state may elect only to document the above conditions as testing irregularities, rather than to invalidate the test.</i></p>
REOPEN	<p>Reopening a test allows a student to access a test that has already been submitted or has expired.</p> <p>If an expired test is reopened, the test will reopen at the location at which the student stopped the assessment.² The student will be able to review items within the current segment of the assessment but cannot return to previous segments.</p> <p>If a submitted test is reopened, the test will reopen at the last page of the test. The student can review items in the current segment but cannot return to previous segments.</p>	<p>The CDE may reopen any test (CAT or PT) if:</p> <ol style="list-style-type: none"> 1. A student is unable to complete a test due to a technological difficulty that results in the expiration of the test. Log as Testing Irregularity: YES. <p>The CDE may reopen a CAT if:</p> <ol style="list-style-type: none"> 1. A student is unable to complete the test before it expires (45 days) due to an unanticipated excused absence or unanticipated school closure. Log as Testing Irregularity: YES. <p>The CDE may reopen a PT if:</p> <ol style="list-style-type: none"> 1. A student is unable to complete the test before it expires (10 days) due to an unanticipated excused absence or unanticipated school closure. Log as Testing Irregularity: YES. 2. A student starts a PT unintentionally—for example, selects a PT instead of a CAT, or selects a mathematics PT instead of an ELA PT—and the student is unable to complete the test before it expires (10 days). Log as Testing Irregularity: YES. 3. A student unintentionally submits a test before he or she has completed it—for example, a student submits the ELA PT before completing Part 2. Log as Testing Irregularity: NO.
RESTORE	<p>Restoring a test returns the test from the Reset status to its prior status. This action can only be performed on tests that have been reset.</p>	<p>The CDE may only restore a test if a test was inadvertently or inappropriately reset.</p>

All Roles

5.2 Retake Opportunity

Students are not permitted to retake the online tests unless given direct permission by the CDE as part of the appeals process. Under no circumstance can the performance task be retaken.

² A test that is reopened following an expiration will remain open for 10 calendar days from the date it was reopened.

6.0 TECHNOLOGY INFRASTRUCTURE

Prior to assessment administration, Technology Coordinators, and/or LEA CAASPP Coordinators, and/or CAASPP Test Site Coordinators (SCs) should review the technology infrastructure at their schools to ensure it meets the minimum requirements for administering the Smarter Balanced assessments.

6.1 Technology Resources

The Smarter Balanced *Technology Strategy Framework and Testing Device Requirements* document is available for download at <http://www.smarterbalanced.org/smarter-balanced-assessments/technology/>. This document provides information about supported technology and technology requirements and can be used to confirm that your school meets the minimum requirements for online testing.

The *Technical Specifications Manual for Online Testing*, located at <http://caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2015.pdf>, provides Technology Coordinators with the technical specifications for online testing, including information about Internet and network requirements, hardware and software requirements, and text-to-speech functionality.

The bandwidth checker, linked on the CAASPP portal at <http://caaspp.org/> and available directly at http://cadiagnostic.airast.org/pages/default.aspx?c=California_PT&url=https://capt.tds.airast.org/student, can assist Technology Coordinators to assess network readiness by performing a real-time check of a school's network bandwidth. Note that technology coordinators may want to run this test more than once and at different times of the day because estimates change as the network conditions change and can vary from run to run.

The California Department of Education (CDE) also hosts a Smarter Balanced Technology Readiness Resources Web page at <http://www.cde.ca.gov/ta/tg/sa/sbac-itr-index.asp>. This Web page includes links to tools, requirements, and topics that LEAs will find useful in planning for the 2015 online testing.

6.2 The Secure Browser

All students must use a secure browser to access operational assessments. The secure browser prevents students from accessing other computer or Internet applications or copying test information. ***All computers that will be used for testing must have the correct secure browser installed prior to assessment.***

The secure browser is designed to support test security by prohibiting access to external applications or navigation away from the assessment.



Alert: The secure browser is updated each year and therefore must be downloaded and installed even if the device was used for testing in a prior year.

LEA Technology Coordinators are responsible for ensuring that each device to be used for testing at each school is properly secured by installing the most current secure browser.

See the *Secure Browser Installation Manual* at <http://caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2015.pdf> for additional information about the secure browsers and installation instructions.

See [Appendix G: About the Secure Browser](#) for additional guidelines about using the secure browser.

7.0 GENERAL TEST ADMINISTRATION INFORMATION

This section provides an overview of the online testing environment and guidelines for test administration. Use this section to become familiar with what students will experience in accessing the assessments, how to prepare for the assessments, and to review general rules for online testing. Information about the Practice and Training Tests, test pauses, and test resumptions is also included in this section. Test Administrators (TAs) should become familiar with this section well in advance of the start of testing so materials for logon, accommodations, and exemptions described below can be assembled.

7.1 Assessment Participation

Participation of Students with Disabilities and/or English Learners

Consistent with the Smarter Balanced testing plan, all students, including students with disabilities, English learners (ELs), and ELs with disabilities, should have equal opportunity to participate in the Smarter Balanced assessments.

The Smarter Balanced Assessment Consortium has crafted a comprehensive accessibility and accommodations framework, the *Usability, Accessibility, and Accommodations Guidelines*, for all students, including those with special assessment needs. The Consortium has also developed a variety of innovative digital accessibility tools that will be embedded in the Smarter Balanced test delivery engine as well as a variety of designated supports and accommodations. The *Usability, Accessibility, and Accommodations Guidelines* and the *Usability, Accessibility, and Accommodations Implementation Guide* are linked on the CAASPP Instructions and Manual Web page at <http://caaspp.org/administration/instructions/>.

The following are exceptions to the participation requirements for students in grades three through eight and eleven:

Table 8. Exceptions to Participation Requirements

	English language arts/literacy (ELA)	Mathematics
Students with cognitive disabilities	Students with the most significant cognitive disabilities who meet the criteria for a state-selected or -developed English language arts/literacy alternate assessment based on alternate achievement standards (approximately one percent or fewer of the student population).	Students with the most significant cognitive disabilities who meet the criteria for a state-selected or -developed mathematics alternate assessment based on alternate achievement standards (approximately one percent or fewer of the student population).
English learners (ELs)	ELs enrolled in a school in the United States or one of its territories less than twelve months have a one-time exemption. These students may instead participate in California’s English language proficiency assessment, the California English Language Development Test, consistent with state and federal policy.	

School personnel should follow the California policies and regulations regarding student participation. More information can be found at the following locations:

- California Department of Education’s CAASPP Description – *CalEdFacts* Web page—
<http://www.cde.ca.gov/ta/tg/ai/cefcaaspp.asp>
- *California Code of Regulations* CAASPP Regulations Web document—
<http://www.cde.ca.gov/ta/tg/ca/documents/caaspt5regs.doc>
- California *Education Code*, Section 5, California Assessment of Academic Achievement:
 - Article 1 General Provisions—<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=60001-61000&file=60600-60603>
 - Article 2 Program Provisions—<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=60001-61000&file=60604-60618>
 - Article 4 California Assessment of Student Performance and Progress—
<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=60001-61000&file=60640-60649>



Attemptedness Rules for Participation

It has been proposed by the Consortium that a student counts as a participant and is assigned the lowest achievement level if, at minimum, the student logs on to the computer adaptive test (CAT) and performance task (PT).

7.2 General Rules of Online Testing

This section provides a brief overview of the general test administration rules for different portions of the assessment as well as information about test tools and accommodations. For more information, refer to the *Test Administrator (TA) Reference Guide* located at <http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf>.

Basic online testing parameters

- CAT items and PTs will be presented as separate tests. Students may not return to a test once it has been completed and submitted.
- Within each test, there may be segments. For example, the grade six through eight and grade eleven mathematics tests include a segment with an embedded calculator available and another segment where the embedded calculator is not allowed and is not available for testing. A student may not return to a segment once it has been completed and submitted.
- Some pages contain multiple items. Students **must enter an answer for all items on a page** before going to the next page. Students may need to use the vertical scroll bar to view all items on a page.
- Students may mark items for review and use the **Past/Marked Questions** drop-down list to return to those items within a segment. If this option is selected, students need to make sure they review their past/marked questions before they sign out of the test session. Once a test session is closed, questions from the session can no longer be accessed in subsequent sessions.

Pause rules for the CAT portion of the test

- If a test is paused for more than 20 minutes the student is:
 - Required to log back onto the student interface;

- Presented with the page containing the item(s) he or she was working on when the assessment was paused (if the page contains at least one unanswered item) OR with the next page (if all items on the previous page were answered); and
- NOT permitted to review or change any previously answered items, even if they are marked for review (with the exception of items on a page that contains at least one item that was not answered yet).
- Any highlighted text and notes on the digital notepad will not be saved when a test is paused regardless of how long the test is paused.
- In the event of a technical issue (e.g., power outage or network failure), students will be logged off and the test will automatically be paused. The students will need to log on again upon resuming the test.

See [Appendix H: CAT Pause Rules Scenarios](#) to review the rules that govern pausing during the test.

Pause rules for the PT portion of the test

- **There are no pause restrictions.** If a test is paused for 20 minutes or more, the student will be logged off but can return to the section after logging back on and continuing to enter his or her responses.
- Any highlighted text and notes on the digital notepad will not be saved when a test is paused regardless of how long the test is paused.
- In the event of a technical issue (e.g., power outage or network failure), students will be logged off and the test will automatically be paused. The students will need to log on again upon resuming the test.

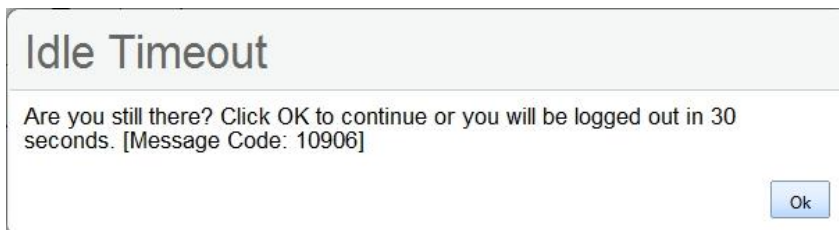
Please note that there are recommendations for breaks in Table 9: Assessment Sequence—ELA, and Table 10: Assessment Sequence—Mathematics.

Test timeout (due to inactivity)

As a security measure, students and TAs are automatically logged off of the test after 30 minutes of inactivity. *Activity* is defined as selecting an answer or navigation option in the test (e.g., selecting [Next] or [Back] or using the **Past/Marked Questions** drop-down list to navigate to another item). **Moving the mouse or selecting an empty space on the screen is not considered activity.**

Before the system logs the student off of the test, a warning message—shown in Figure 1—will be displayed on the screen. If the student does not select [Ok] within 30 seconds after this message appears, he or she will be logged off. Selecting [Ok] will restart the 30-minute inactivity timer.

Figure 1. Test timeout warning message



Caution: As a security measure, TAs are automatically logged off the TA Interface after 30 minutes of user inactivity in the online session, regardless of whether or not the TA is actively monitoring the test session away from his or her computer. The inactivity will result in the closing of the test session.

Test expiration

Computer Adaptive Test (CAT) Items

A student's CAT remains active until the student completes and submits the test or **45 calendar days** after the student has begun the test, whichever occurs first. However, it is recommended that students complete the CAT items portion of the test within **five days** of starting the designated content area.

Performance Task (PT)

The PT is a separate test that remains active for only **10 calendar days** after the student has begun the PT. However, Smarter Balanced recommends that students complete the PT in each content area within **three days** of starting. A summary of recommendations for the number of sessions and session durations is provided in section 7.3 *Testing Time and Recommended Order of Administration*.



If a student starts the test near the end of the testing window, the student must finish before the administration window officially closes. The test will automatically end on the last day of the scheduled administration window, even if the student has not finished.

7.3 Testing Time and Recommended Order of Administration

All students participating in the assessments will receive a CAT, a Classroom Activity, and a PT in both English language arts/literacy (ELA) and mathematics.

Testing time and scheduling

Testing Windows

Pursuant to the *California Code of Regulations*, Title 5 (5 CCR), Sections 855(b)(1) and 855(b)(2), the rules for the establishment of the testing windows for the Smarter Balanced assessments are as follows:

Grades three through eight

- Testing shall not begin until at least 66 percent (66%) of a school's annual instructional days have been completed, and
- Testing may continue up to and including the last day of school.

Grade eleven

- Testing shall not begin until at least 80 percent (80%) of a school's annual instructional days have been completed, and
- Testing may continue up to and including the last day of school.

LEA CAASPP Coordinators set up test dates in the Test Operations Management System (TOMS) Test Administration Setup module. Testing windows can be viewed in TOMS by LEA CAASPP Coordinators by following the instructions to "View the Details of the Windows Summary" in the *TOMS Test Administration Setup Guide* at http://caaspp.org/rsc/pdfs/CAASPP.test_admin_setup.2015.pdf.



Sixty-six percent of a school year occurs after the 120th instructional day in a 180-day year, leaving a 12-week window for grades three through eight testing; 80 percent of a school year occurs after the 144th instructional day in a 180-day year, leaving a seven-week window for grade eleven testing.

Scheduling Time for Testing:

Table 9 contains rough estimates of the time it will take most students to complete the Smarter Balanced assessments based on the time it took students to complete the Smarter Balanced Pilot and Field Tests. This information is for scheduling purposes only, as the assessments are not timed.

Table 9: Estimated Testing Times for Smarter Balanced Assessments

Content Area	Grades	Computer Adaptive Test (CAT) items hrs : mins	Performance Task (PT) hrs : mins	Total hrs : mins	Classroom Activity (administered prior to the PT)* hrs : mins	Total hrs : mins
English Language Arts/Literacy	3-5	1:30	2:00	3:30	:30	4:00
	6-8	1:30	2:00	3:30	:30	4:00
	11	2:00	2:00	4:00	:30	4:30
Mathematics	3-5	1:30	1:00	2:30	:30	3:00
	6-8	2:00	1:00	3:00	:30	3:30
	11	2:00	1:30	3:30	:30	4:00
Both	3-5	3:00	3:00	6:00	1:00	7:00
	6-8	3:30	3:00	6:30	1:00	7:30
	11	4:00	3:30	7:30	1:00	8:30

* Classroom Activities are designed to fit into a 30-minute window; however, the time within the window will vary due to the complexity of the topic and individual student needs.

When developing a testing schedule, use the estimated testing times to calculate the number of days and the amount of time it will take to complete an assessment in each content area and grade level.

These estimates do not account for any time needed to start computers, load secure browsers, and log students on; nor do they account for breaks. TAs should work with SCs to determine precise testing schedules.

Recommended order of online administration

The assessments are comprised of two components (tests) for ELA and mathematics: a CAT and a PT. All PTs must be preceded by the administration of a Classroom Activity.

Smarter Balanced recommends that students take the CAT and PT items on separate days. For each content area, Smarter Balanced also recommends that students begin with the CAT items, followed

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by the Classroom Activity, and then the PT. LEAs/Schools may opt to administer in a different order if needed; however, the Classroom Activity, which is designed to introduce the PT, **must** occur prior to the PT.

Recommended Order of Test Administration



Classroom Activity

The purpose of the Classroom Activity is to introduce students to the context of a performance task so they are not disadvantaged in demonstrating the skills the task intends to assess. Classroom Activities do not address content information; instead, they focus on vocabulary and key contextual topics. The Classroom Activity is designed to be an introduction, not an assessment.

Guidelines for administering the Classroom Activity for ELA or mathematics are as follows:

- Classroom Activities should be administered by a teacher. It is preferable—but not essential—that the teacher or TA administering the Classroom Activity has content knowledge in the area of the assessment.
- The teacher/TA should be able to record information—including any tables, graphics, formulas, or other information contained in the Classroom Activity materials—for students to see, such as on a chalkboard or dry-erase board. Computers, projectors, and other technology are allowed but not required for the Classroom Activity. Recorded information should not be available when students participate in the PT. When the PT is being administered, content from the Classroom Activity should not be available (i.e., do not put any content from the Classroom Activity on the board, in handouts, etc.).
- Students may take notes during the Classroom Activity, but the notes may not be used during the PT. Notes must be collected before proceeding to the PT and stored in a secure location until securely shredded.
- There should be no more than a **three-day lapse** between the Classroom Activity and the PT administration. Inadvertently administering the PT before or without the Classroom Activity constitutes a testing irregularity and is not eligible for any appeal if students are administered the PT without the Classroom Activity.
- The Classroom Activity should only be administered to students once and is designed to be completed in approximately 30 minutes.
- The Classroom Activity is nonsecure; however, it should not be supplemented with any other content that the administrator may think is helpful. Supplementing the Classroom Activity may detract from the intended purpose of the Classroom Activity and is not advised.
- Consider the appropriate accommodations that should be provided to students in the class that would normally be provided during instruction. [Appendix D: Accessibility Guidelines for Classroom Activities](#) contains information on student resources that can be provided during the Classroom Activity.
- In the event a student is absent during the Classroom Activity, a make-up session must be scheduled. The Classroom Activity may be recorded; however, the make-up session should provide students with an experience similar to that of his or her peers. To the greatest extent possible, the

make-up session should provide students an opportunity to interact with the teacher or TA and his or her peers. A make-up Classroom Activity session must be administered by an SC or TA.

See section 3.1 *Security of the Test Environment* for more security guidance.

Duration and timing information for English–language arts and mathematics

The scheduling/rules for each of these components is included in Table 10 and Table 11 on the next page. Note that the duration, timing, break/pause rules, and session recommendations vary for each content area and component.

Table 10: Assessment Sequence—ELA

ELA	Computer Adaptive Test (CAT) Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> No fewer than two sessions (recommended) and no more than six sessions (rare/extreme). Session durations range from 40–60 minutes. 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in one session Approximate session duration: 30 minutes Should occur one to three days prior to PT Should NOT occur on the same day as the ELA PT 	<p>The PT is presented in two parts.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> Administer in two sessions corresponding to Parts 1 and 2 of the PT. Session durations range from 60–120 minutes.
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous screens.</p>	NA	<p>The PT is presented in two parts. Students may take breaks within Parts 1 and 2; however, once a student moves to Part 2, he or she will not be able to review or revise items in Part 1.</p> <ul style="list-style-type: none"> Recommendation: Students complete Part 1 in one test session and Part 2 the next school day.
Total Duration	<p>Once a student has started the CAT items, they will be available for 45 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes this portion within five days of starting. 	NA	<p>Once a student has started the PT, it will be available for 10 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes each part of the PT within one day.

Additional administration recommendations for ELA

- For the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student’s schedule.
- Minimize the amount of time between beginning and completing each test within a content area.

Important reminders:

1. The number of items will vary on the CAT portion of each student's test.
2. The tests are not timed, so all time estimates are approximate.
3. Students should be allowed extra time if they need it, but test administrators need to use their best professional judgment when allowing students extra time. Students should be actively engaged in responding productively to test questions.
4. The test can be spread out over multiple days as needed.
5. The Classroom Activity must be completed prior to administration of the PT. Inadvertently administering the PT before the Classroom Activity is considered a testing irregularity.

Table 11: Assessment Sequence—Mathematics

Mathematics	Computer Adaptive Test (CAT) Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in two sessions. Session durations range from 40–60 minutes. <p>Most students will complete the CAT items in two sessions of 60 minutes or less or one long session of more than 60 minutes.</p>	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in one session Approximate session duration: 30 minutes Should occur as close to the PT as is feasible, and no more than three days prior to the PT May occur on the same day as the PT 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in one session. Session duration ranges from 40–120 minutes.
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous screens.</p>	NA	<p>Students may take breaks during PT test sessions. Mathematics PT items are presented on a single screen. Following a break, the student will have access to the same items.</p>
Total Duration	<p>Once a student has started the CAT items, they will be available for 45 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes this portion within five days of starting it. 	NA	<p>Once a student has started the PT, it will be available for 10 days.</p> <ul style="list-style-type: none"> Recommendation: Student completes the PT in one day.

Additional administration recommendations for mathematics

- For the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student’s schedule.
- Minimize the amount of time between beginning and completing each test within a content area.

Important reminders:

- The number of items will vary on the CAT portion of each student’s test.
- The tests are not timed, so all time estimates are approximate.
- Students should be allowed extra time if they need it, but test administrators need to use their best professional judgment when allowing students extra time. Students should be actively engaged in responding productively to test questions.
- The test can be spread out over multiple days as needed.
- The Classroom Activity must be completed prior to administration of the PT. Inadvertently administering the PT before the Classroom Activity is considered a testing irregularity.

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7.4 Sensitive Responses

Taking appropriate action with student responses or student actions that cause concern

Throughout the test administration process, student safety is always the primary consideration.

During testing, TAs may encounter student actions that disrupt the assessment administration and may endanger the student or others. In addition, it is possible that TAs will encounter student responses to questions or notes on scratch paper that necessitate some action to ensure student safety.

Smarter Balanced security protocols make it clear that TAs are not permitted to review student responses in the testing interface or students' notes on scratch paper. However, during or after the Smarter Balanced assessments, a TA might unexpectedly encounter a student response that raises sufficient concern to warrant adult action. Topics that may require the TA to take action include, but are not limited to, student references to:

1. Suicide
2. Criminal activity
3. Alcohol or drug use
4. Extreme depression
5. Extreme violence
6. Sexual assault or physical abuse
7. Self-harm or intent to harm others
8. Neglect

Collecting information

Prior to administration, each TA should have a thorough understanding of school, LEA, and/or California policies regarding documentation of student actions or responses during a secure test event. The TA should document as much information as possible in accordance with school, LEA, and/or California Department of Education (CDE) policies.

Escalating information

Should the TA encounter a sensitive situation while supervising the test session, the TA should immediately escalate this concern in accordance with school, LEA, and/or CDE policies and procedures.

7.5 Early Assessment Program (EAP)

The Early Assessment Program (EAP) is a joint program of the CDE, California State University (CSU), and the California Community Colleges (CCC). The EAP provides students with an early indicator of their college readiness in English and mathematics prior to starting the senior year. In addition, EAP may earn students an exemption from the CSU and participating CCC English and/or mathematics placement tests that are required for entering freshmen. EAP is now embedded in the CAASPP grade eleven ELA and mathematics assessments.

Students taking the grade eleven CAASPP ELA and mathematics assessments will automatically be participating in the EAP. To provide appropriate information to students on their college readiness, students may voluntarily release their grade eleven CAASPP ELA and/or mathematics results to the CSU and CCCs. The results will not be used for admissions.

At the end of the Smarter grade eleven ELA and mathematics tests, students will be asked whether or not they want to release their results to the CSU and CCCs. Students who want to release their results should mark the check box that indicates their understanding that their CAASPP/EAP results will be shared directly with the CSU and/or the CCC. Students who choose not to release their results to the CSU and CCC will need to provide those results upon request at a later date.

8.0 UNIVERSAL TOOLS, DESIGNATED SUPPORTS, AND ACCOMMODATIONS

8.1 Smarter Balanced Guidelines

The Smarter Balanced Assessment Consortium’s *Usability, Accessibility, and Accommodations Guidelines* are intended for school-level personnel and decision-making teams, including individualized education program (IEP) and Section 504 plan teams, as they prepare for and implement the Smarter Balanced assessments. The *Guidelines* provide information for classroom teachers, English language development educators, special education teachers, and instructional assistants to use in selecting and administering universal tools, designated supports, and accommodations for those students who need them. The *Guidelines* are also intended for assessment staff and administrators who oversee the decisions that are made in instruction and assessment.

The Smarter Balanced *Guidelines* apply to **all** students. They emphasize an individualized approach to the implementation of assessment practices for those students who have diverse needs and participate in large-scale content assessments. The *Guidelines* focus on universal tools, designated supports, and accommodations for the Smarter Balanced assessments of English language arts/literacy (ELA) and mathematics. At the same time, the *Guidelines* support important instructional decisions about and connection between accessibility and accommodations for students who participate in the Smarter Balanced assessments.

The complete set of *Usability, Accessibility, and Accommodations Guidelines*, as well as the full list of universal tools, designated supports, and accommodations, can be found at: <http://caaspp.org/administration/instructions/>.

Please be sure to review these guidelines thoroughly before test administration.



To help identify similarities between the test resources and classroom practices, Smarter Balanced has developed a *Resources and Practices Comparison Crosswalk*. The *Crosswalk* can be found in [Appendix E](#).

8.2 Definitions

The summative assessments and the Practice and Training Tests contain embedded universal tools, designated supports, and accommodations. Embedded resources are those that are part of the computer administration system, whereas non-embedded resources are provided outside of that system; these are defined in Table 12.

Table 12: Definitions for Universal Tools, Designated Supports, and Accommodations

Type	Definition
Universal Tools	Access features of the assessments that are either provided as embedded or non-embedded components of the test administration system. Universal tools are available to all students based on student preference and selection.
Designated Supports	Access features of the assessments available for use by any student for whom the need has been indicated by an educator (or team of educators working with the parent/guardian and student). These features are either provided as embedded or non-embedded components of the test administration system.

Type	Definition
Accommodation	Accommodations are changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. Accommodations generate valid assessment results for students who need them; they allow these students to show what they know and can do. Accommodations are available for students with documented IEPs or Section 504 plans. Consortium-approved accommodations do not compromise the learning expectations, construct, grade-level standard, or intended outcome of the assessments.

All Roles

8.3 Setting Embedded and Non-embedded Designated Supports and Accommodations

LEA CAASPP Coordinators and CAASPP Test Site Coordinators (SCs) have the ability to set embedded and non-embedded designated supports and accommodations. **Designated supports and accommodations must be either uploaded to or set in the Test Operations Management System (TOMS) by LEA CAASPP Coordinators or SCs prior to starting a test session and with sufficient time to become available in the Practice Test, where the student can familiarize him- or herself with the support or accommodation prior to operational testing. Note that it may take up to 24 hours for test settings to be available for students after setting in TOMS.**



One particular non-embedded accommodation for grade four and above is a multiplication table for mathematics items, which can be found in [Appendix F: Multiplication Table](#). The multiplication table is also available as a standalone, downloadable document on the CAASPP Test Administrator (TA) Resources Web page at <http://caaspp.org/ta-resources/>.

Smarter Balanced developed the **Individual Student Assessment Accessibility Profile (ISAAP) Tool** to facilitate selection of the accessibility resources that match student access needs for the Smarter Balanced assessments, as supported by the *Guidelines*. The ISAAP Tool should be used in conjunction with these *Guidelines* as well as with state regulations and policies related to assessment accessibility as a part of the ISAAP process; see the CDE Matrix One Web document at <http://www.cde.ca.gov/ta/tg/ai/documents/caasppmatrix1.pdf> for more information.

LEA personnel, including IEP and Section 504 plan teams, can use the ISAAP Tool to determine the selection of designated supports and accommodations a student will need for the online Smarter Balanced assessments. LEA CAASPP Coordinators also have the option to enter student settings into an Excel template to upload into TOMS. Both the ISAAP Tool and the template can be downloaded from the CAASPP TOMS Web page at <http://caaspp.org/administration/toms/>; direct links are as follows:

- ISAAP Tool—http://caaspp.org/rsc/pdfs/CAASPP.isaap-tool.2014_2015.v1.xlsm
- Online Student Test Settings Template—http://caaspp.org/rsc/pdfs/CAASPP.online-test-settings-template.2014_2105.v1.xls

For additional information about the availability of designated supports and accommodations, refer to the Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines*, linked on the CAASPP Instructions and Manuals Web page at <http://caaspp.org/administration/instructions/> for complete information.

For information on using the ISAAP Tool and the template, and configuring or updating student settings in TOMS, refer to the *TOMS Online Student Test Settings Manual* located at <http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf>. The *Test Administrator (TA) Reference Guide*, located at <http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf>, also contains information on how to use some of these settings.

To help identify similarities between the test resources and classroom practices, [Appendix E: Resources and Practices Comparison Crosswalk](#) lists the resources that are currently included in the *Usability, Accessibility, and Accommodations Guidelines* document and assists educators and decision-makers by providing a description of both the resource and its classroom equivalent.

8.4 Individualized Aids

If an IEP team or a Section 504 plan identifies and designates a resource not identified in Matrix One, the LEA CAASPP Coordinator or the CAASPP Test Site Coordinator may submit an Individualized Aid Request located on the CAASPP Forms Web page at <http://caaspp.org/administration/forms/>. Approval will be granted by the CDE for use of the individualized aid based on the IEP or Section 504 plan team's designation, and if the individualized aid does not compromise the test's integrity or security. The Smarter Balanced Assessment Consortium, in concert with the CDE, shall make a determination of whether the requested individualized aid changes the construct being measured. This determination will be done after all testing has been completed.

9.0 PRIOR TO TEST ADMINISTRATION

9.1 Establishing Appropriate Testing Conditions

CAASPP Test Site Coordinators (SCs) and Test Administrators (TAs) will need to work together to determine the most appropriate testing option(s) and testing environment based on the number of computers available, the number of students in each grade tested, and the estimated time needed to complete each test. Testing students in classroom-sized groups is preferable. Establishing classroom-sized groups reduces test fear and anxiety for the students and facilitates monitoring and control for the TA. However, this also includes setting up testing rooms for students whose individualized education programs (IEPs) or Section 504 plans specify universal tools, designated supports, and/or accommodations that necessitate testing the students in a separate setting (that is, reading test questions aloud, extended testing time, additional breaks, and so forth).

The test administration should be conducted in a secure environment (see section 3.1 *Security of the Test Environment*).

Establish procedures to maintain a quiet testing environment throughout the test session, recognizing that some students will finish more quickly than others. If students are allowed to leave the testing room when they finish, explain the procedures for leaving without disrupting others and where they are expected to report once they leave. If students are expected to remain in the testing room until the end of the session, instruct them on what activities they may engage in after they finish the test.

During test administration, students may have access to and use of these additional required resources in Table 13 specific to each assessment and content area.

Table 13: Additional Required Resources

Mathematics	Computer Adaptive Test (CAT) Items	Classroom Activity	Performance Task (PT)
ELA	<ul style="list-style-type: none"> Headphones are required for the listening portion of the English language arts/literacy (ELA) assessment and for students requiring text-to-speech. Scratch paper should be provided for note taking if necessary. 	NA	<ul style="list-style-type: none"> Headphones are required for some performance tasks and for students requiring text-to-speech. Scratch paper should be provided for note taking if necessary.

Mathematics	Computer Adaptive Test (CAT) Items	Classroom Activity	Performance Task (PT)
Mathematics	<ul style="list-style-type: none"> Headphones are required for students requiring text-to-speech and for students requiring Audio Glossaries. An embedded calculator will be available for some mathematics items in grade six and above. Scratch paper is required for all grades. Graph paper is also required for grade six and above. 	NA	<ul style="list-style-type: none"> Headphones are required for students requiring text-to-speech and for students requiring Audio Glossaries. An embedded calculator will be available for all mathematics performance task (PT) items in grade six and above. Scratch paper is required for all grades. Graph paper is also required for grade six and above.

9.2 Tasks to Complete Prior to Test Administration

- ✓ **LEA CAASPP Coordinators, SCs, and TAs should verify that students are provided the opportunity to practice on the Training Test and Practice Test prior to testing.**

It is highly recommended that ALL students be provided the opportunity to practice on the Training Test and Practice Test prior to testing. This allows students the opportunity to become familiar with all of the item types, the universal tools, buttons, and any allowable designated supports and/or accommodations. Practice and Training Tests are found at <http://caaspp.org/practice-and-training/>.

- ✓ **LEA CAASPP Coordinators and SCs should ensure all TAs have logon information for the TA interface.**
- ✓ **LEA CAASPP Coordinators, SCs, and TAs should verify and/or update student demographic information and test settings.**

Each student must be correctly assigned to his or her LEA, school, and grade in the Test Operations Management System (TOMS). SCs and TAs will need to work with LEAs to have demographic student information added and updated in the California Longitudinal Pupil Achievement Data System (CALPADS), including Statewide Student Identifiers (SSIDs).

In addition to the correct demographic student information in CALPADS, SCs and TAs should verify that all students have accurate test settings configured in TOMS, including designated supports and accommodations (embedded and non-embedded) for each content area prior to testing.

Only CALPADS Coordinators may add/modify/delete student demographic information in CALPADS. LEA CAASPP Coordinators and SCs may also set embedded and non-embedded designated supports and accommodations in TOMS for students who require them. TAs may view student information; however, TAs cannot add, upload, or modify student information. Within the TA Interface, a TA may change the default font size and turn off universal tools prior to the start of the test.



IMPORTANT: Any additions/modifications/deletions of students and changes to student test settings must be completed **before the student can test**. The update, once made, may take **up to 24 to 48 hours to appear in the TA interface**. Failure to correct test settings before testing could result in the student not being provided with the needed accommodations and/or designated supports at the time of testing. This is considered a testing irregularity.

For information on how to view, add, upload, and modify student test settings, please refer to the *TOMS Online Student Test Settings User Guide* at <http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf>.



It is important for anyone with access to student information to remember that student personal information, including the student's SSID, is confidential. **If materials containing student personal information and/or SSIDs are distributed to students, these materials must be collected before the students leave the testing room and either securely stored to be used in a subsequent test session or shredded.** For additional information about security protocols, refer to section 3.0 *Ensuring Test Security* of this manual.

✓ **SCs should ensure that TAs have necessary student logon information.**

Each student will log on to the Smarter Balanced testing system using his or her first name, SSID, and a test Session ID. Prior to starting a test session, TAs must have a record of each student's first name and SSID. This information must be provided to each student to complete the logon process. It is suggested that the SSID and the student's first name be printed on a card or piece of paper and distributed to each student just prior to testing to help him or her type it in the computer accurately. Student information is confidential; therefore, the cards/papers with this information must be kept secure until used during a test session.



When a TA creates a test session on the TA Interface, a unique Session ID is randomly generated. This Session ID must be provided to students before they log on. Please refer to the *Test Administrator (TA) Reference Guide* located at <http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf> for detailed information on how to obtain Session IDs.

✓ **LEA CAASPP Coordinators should ensure SCs and TAs understand protocols in the event a student moves to a new LEA and/or school.**

When students move within the state, their data record must be updated with the student's new school and/or district codes in CALPADS at least 24 hours before the student begins or resumes testing in the new school or district. The California Department of Education's (CDE's) California Longitudinal Pupil Achievement Data System (CALPADS) Web page at <http://www.cde.ca.gov/ds/sp/cl/> contains links to CALPADS system document, updates, and other useful information for maintaining student data.

✓ **Retrieve Classroom Activity materials.**

1. **Identify which Classroom Activity has been selected for administration.**

LEA CAASPP Coordinators will be advised when Classroom Activities have been assigned and are available for download from the CAASPP portal at <http://caaspp.org>. Classroom Activity PDFs will be arranged by county and then by LEA. LEA CAASPP Coordinators will download the appropriate PDF, which lists its schools/test sites and the Activity to which each content area and grade level has been assigned.

2. Retrieve and administer the Classroom Activity.

Retrieve and review the Classroom Activity at least one to two days prior to the planned delivery of the Classroom Activity. The Classroom Activity should be administered one to three days before the performance task is to be administered.

Students with disabilities are allowed to have accommodations, and English learners should have access to the language supports they regularly use during classroom instruction. For more information on the options that may be implemented during the Classroom Activity, please see [Appendix D: Accessibility Guidelines for Classroom Activities](#).



IMPORTANT: If a student begins a performance task without participating in the assigned Classroom Activity, the student should continue with and complete the performance task. The Test Administrator must report this misadministration as a **testing irregularity**. As described in section 4.0 *Responding to Testing Improprieties, Irregularities, and Breaches*, LEA CAASPP Coordinators must report irregularities by the end of the day of the incident to the CDE using the online *Security Breach and Testing Irregularity Report Form* available on the CAASPP Forms Web page at <http://caaspp.org/administration/forms/>.

SECTION 10.0. TEST ADMINISTRATION INSTRUCTIONS AND SCRIPTS FOR THE DAY OF TESTING



Use the following information and script to assist students with the logon procedures. Please refer to the *Test Administrator (TA) Reference Guide* at <http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf> to become familiar with the online test delivery system.

RECOMMENDATION: Consider printing this section to be used on the day of testing for both the non-performance task (CAT) and performance task (PT) portions of each content area test. Remember that the CAT and PT portions are considered two unique tests and, as such, adherence to the process that follows is needed when initiating both tests.

The Test Administrator (TA) should verify the security of the testing environment prior to beginning a test session. (See section 3.1 *Security of the Test Environment*.) TAs **must** ensure that students do not have access to digital, electronic, or manual devices during testing.

To ensure that all students are tested under the same conditions, the TA should adhere strictly to the script for administering the test. These instructions can be found in the boxes in bold on the following pages. When asked, the TA should answer questions raised by students but should never help the class or individual students with specific test items. **No test items can be read to any student for any content area, unless specified as an accommodation as listed in the *Usability, Accessibility, and Accommodations Guidelines*.**

Please remember that the script must be followed exactly and used each time a test is administered. If the class is resuming a test and the TA is sure that all students are able to log on without hearing the logon directions again, the TA may skip the italicized portions of the directions.

All directions that a TA needs to read to students are indicated by the word “SAY” and are in boxes so they stand out from the regular text. They should be read exactly as they are written, using a natural tone and manner. If the TA makes a mistake in reading a direction, the TA should stop and say, “I made a mistake. Listen again.” Then the direction should be reread.

The TA should try to maintain a natural classroom atmosphere during the test administration. Before each test begins, he or she should encourage students to do their best.

Any time a student logs on to the testing system, the TA should follow this script. This includes logging on to complete the CAT items or the PT.

10.1 Starting a Test Session

The TA must create a test session before students can log on to the Student Testing System (**but no more than 20 minutes prior or the system will time out**). When a TA creates a test session, a unique Session ID is randomly generated. This Session ID must be provided to the students before they log on and should be written down. TAs should follow these steps to create a session. (See also [Generating the Session ID](#) for additional details about test sessions.)

1. *The TA logs on to the TA Interface link.*

The TA logs on to the TA Interface by going to the California Assessment of Student Performance and Progress (CAASPP) portal at <http://caaspp.org>, selecting the [Test Administrator Interface] button (Figure 2), and then entering the username and password on the *Sign In* Web form (Figure 3) and selecting [Log In]. (See *Section II Accessing the Test Administrator Sites* for more information about using the Single Sign-On system.)

Figure 2. [Test Administrator Interface] button

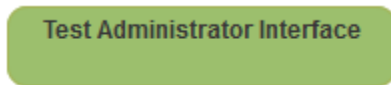
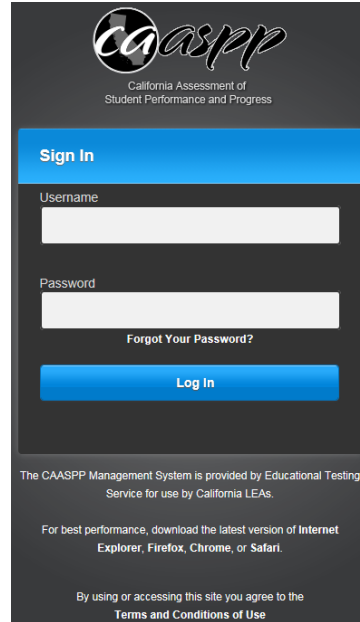


Figure 3. Sign In Web form



2. The TA begins the test session by selecting tests.



Note: Students are pre-assigned assessments. The pre-assigned assessments are the only ones available to each student when they log on to the Student Testing Site through the secure browser.

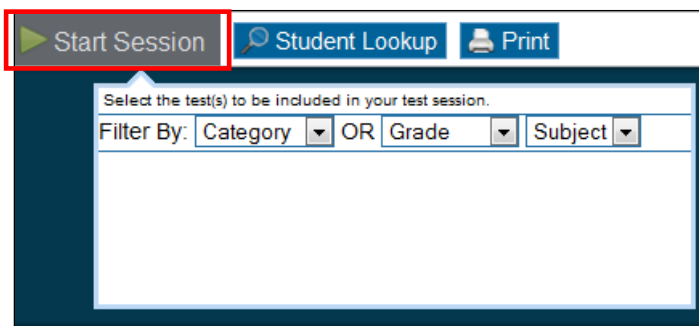
Test Administrators will note that both interim and summative assessments are being administered using the same test delivery system in 2015. To help ensure the correct selection of tests when student testing sessions are created, the TA interface has been modified to include required test filter selections.

When you log on to the TA Interface, no tests will be automatically listed in the test selection box. TAs will be required to select a *Category* (interim or summative) or both a *Grade* and *Subject*. These Smarter Balanced Tests are **summative**.

Once a selection is made, the filtered test list will display, and you will be able to select one or more tests to include in the session.

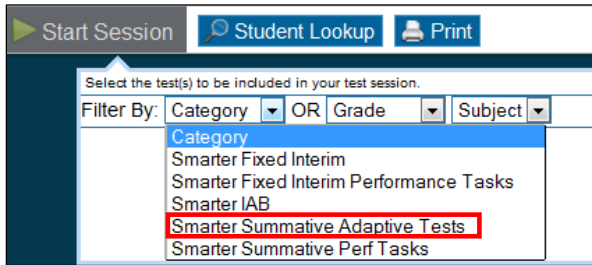
- a. To begin, select the [Start Session] button, which is highlighted in Figure 4.

Figure 4. Start the Session



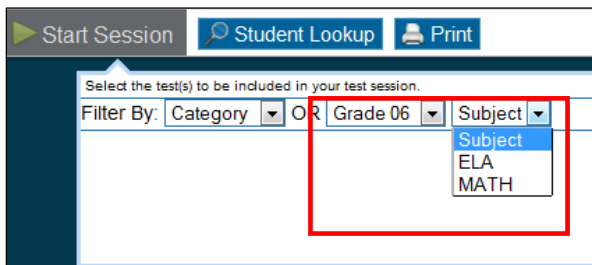
- b. **The TA selects the test category.** Select one of the “Summative” tests—“Smarter Summative Adaptive Tests” for a computer adaptive test or “Smarter Summative Perf Tasks” for a PT—from the *Category* drop-down list, which is highlighted in Figure 5.

Figure 5. Select a test category



- c. **The TA selects the grade and content area.** Select the appropriate grade and content area for the class being tested in the session, which is highlighted in Figure 6. This action has the effect of selecting all tests for the class.

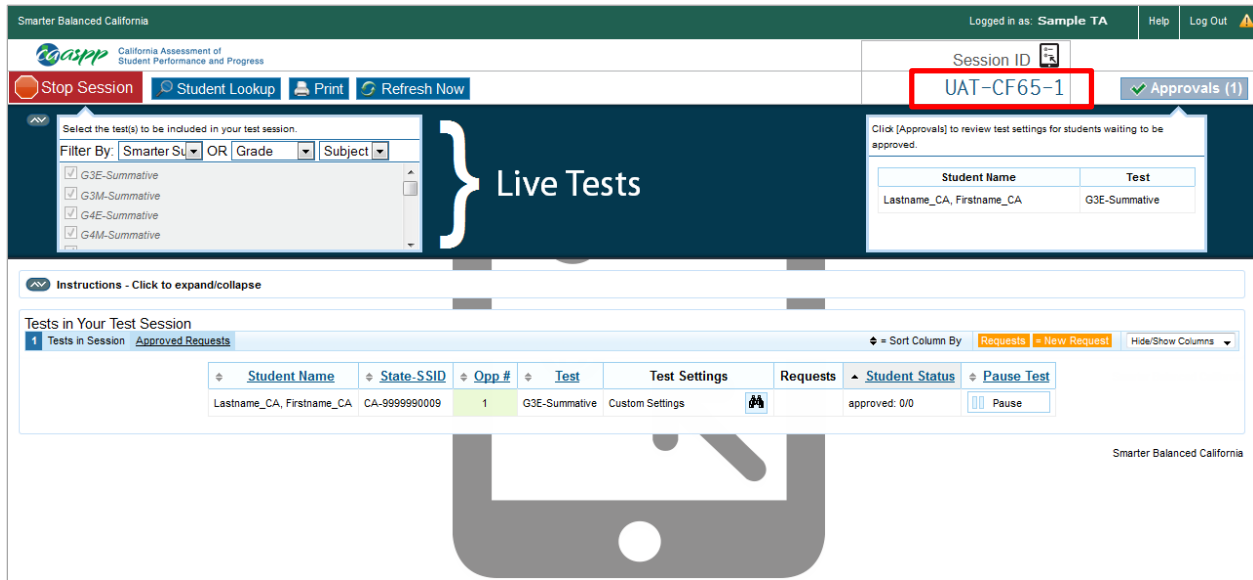
Figure 6. Select a grade and content area



3. *The TA informs students of the test Session ID.*

The system-generated Session ID appears in the top-right corner of the screen. **The TA should write down the Session ID for his or her own records, in case he or she gets involuntarily logged off of the system.** The TA will be logged off of the session if there is no activity for 30 minutes by the TA or a student. Having the Session ID will allow the TA to resume the session. The Session ID is indicated in Figure 7.

Figure 7. Sample Session ID in the TA Interface



Test Site Coordinators and Test Administrators

SAY: Today, you will take the Smarter Balanced [insert grade, ELA/mathematics, and CAT/PT] test. I will give you a test Session ID that is required to start the test. If you need an individual break during the test, raise your hand and wait for my instructions and permission. At this time, you must turn off and put away all unauthorized electronic devices. This includes cell phones, music players, and PDAs (personal digital assistants).

Once you have logged on, you must wait for me to approve the test and hear additional directions before you can start. I'll be checking that you have correctly entered the test Session ID and other information.

Give students the test Session ID and other logon information.

The Session ID, the statewide student identifier (SSID), and the student's first name as provided in the California Longitudinal Pupil Achievement Data System (CALPADS) may be provided to students ahead of time on a card or piece of paper to help them type it in the computer accurately. Student information is confidential; therefore, the cards/papers with this information must be collected after each test session and securely shredded after testing is complete.

TAs may write the Session ID on a classroom dry-erase or chalk board or another place where students can see it. Make sure students know that the Session ID must be entered **exactly** as it is written—it is case sensitive—without extra spaces or characters.



Alert: If the Session ID is not written down or known and the TA tries to log on to the session after getting involuntarily logged off of the system, the TA will be logged off for eight hours before he or she is able to start a new session.

SAY: Enter your first name and our state abbreviation (CA) followed by your SSID number. Then enter the test Session ID. *Raise your hand if you need help typing this information on your keyboard.*

Please do not share your SSID with anyone. This is private information.

SAY: Now select “Sign In.” Once you have successfully logged on, you will see a screen with your first name, SSID, school, and grade. If all of the information on your screen is correct, select YES to continue. If any of the information is incorrect, please raise your hand and show me what is incorrect.

Ensure that all students have successfully entered their information.

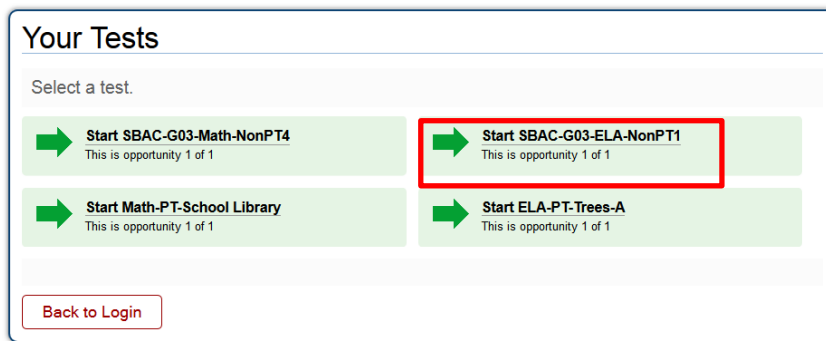
The TA should ensure that the students use their legal first names, not nicknames. If a student is unable to log on, he or she will be prompted to try again and provided with a message describing the reason (an invalid SSID, for example). If the student is still having difficulty, the TA can look up the correct information using the Student Lookup function on the TA Interface. TAs may assist students with logging on if necessary.

4. The TA informs students of the test session in which they are participating.

SAY: On the next screen, select the [INSERT NAME OF TEST (i.e., ELA Grade 4 CAT)], and then select [START TEST]. After you have selected your test, you will see a screen with a moving bar and message saying that you are waiting for Test Administrator approval. This step helps ensure that you are taking the correct test. Please wait quietly while I verify each of your tests.

If TAs are unsure of which content area or test students are participating in during that session, TAs should contact the California Assessment of Student Performance and Progress (CAASPP) Test Site Coordinator (SC). The student test selection screen is shown in Figure 8.

Figure 8. Student Test Selection



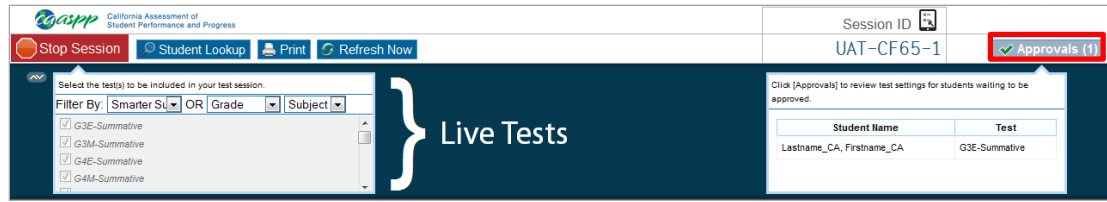
Students may be able to select from more than one test, for example, a PT and a CAT in both English language arts/literacy (ELA) and mathematics. TAs should direct students to select the appropriate test name based on what the TA is planning to administer at that time—to the content area “ELA” or “Math” and the test type “NonPT” or “PT.” Students may only select from assessments for which they are eligible.

5. The TA views and approves students who are waiting for test session approval.

After students have selected a test, the TA verifies that each student selected the appropriate test before approving that student for testing. **It is very important that the TA pay close attention to the test name prior to approving to be sure it is the correct test to be administered at that time.** To do this:

- a. Select the [Approvals (#)] button located in the right top section (shown in Figure 9).

Figure 9. Approve Student Test in the TA Interface



Test Site Coordinators and
Test Administrators

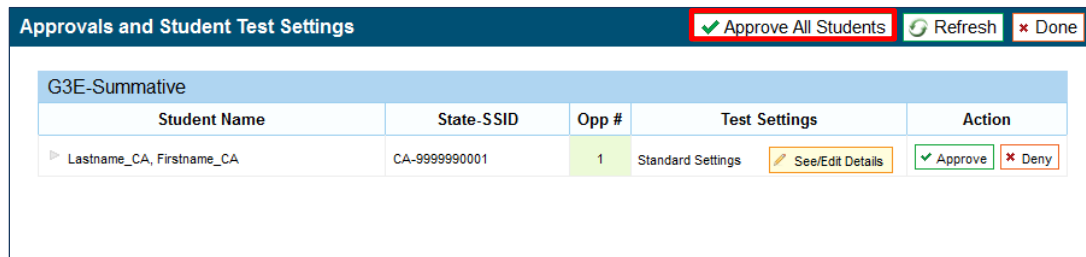
- b. A new window opens that shows a list of students, organized by test name. The TA should review the list to ensure that students are taking the correct content area (mathematics or ELA) and type of test (CAT or PT).
 - i. If a student selected a test other than the one the TA plans to administer that day (for example, selected a PT instead of a CAT or selected mathematics instead of ELA), the TA must deny the student entry to the test session. The student may then log on again and select the correct test.
- c. The TA should also review the test settings assigned to each student to ensure that they are correct.
 - i. If a student's settings are incorrect, do *not* approve that student to begin testing. The TA will need to work directly with an SC or local educational agency (LEA) CAASPP Coordinator to correct the test settings in the Test Operations Management System (TOMS) before approving the student to begin testing. *(Reminder: It may take 24–48 hours for changes to appear in the TA interface.)* **Ensuring the test settings are correct before the student begins testing is critical to avoid the need for a test reset that may result in additional testing for the student later.**



Note: This process is described in more detail in the Viewing and Editing Students' Test Settings subsection of [Section IV Administering Online Tests](#).

- d. When the TA approves students to test, he or she will see the students' selected tests. As seen in the *Approvals and Student Test Settings* screen in Figure 10, the TA Interface is organized by test; students who are attempting to log on to each test appear under the appropriate test heading.

Figure 10. Approve student(s) to begin in the TA Interface



The processes to select tests, start the test session, add tests, view student settings, and approve students for testing are described in more detail in [Section IV Administering Online Tests](#).

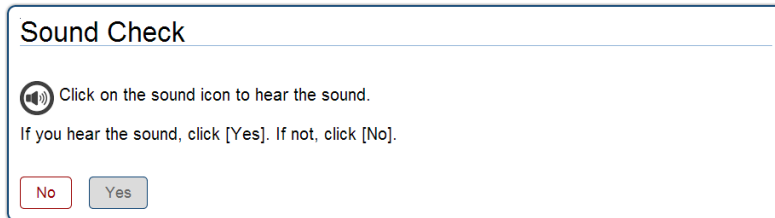
SAY: After I approve you to begin testing, you will see a screen asking you to check your test content area and settings. If all the information is correct, you may select YES, START MY TEST. If any of it is incorrect, please raise your hand.

Each student will be logging on at a different time. The TA should monitor the sessions and log on all students who are currently ready before assisting any students who are having problems.

If students will be taking an ELA assessment during the test session, read the next blue box so the students will know how to verify that their headsets are working properly (Figure 11).

SAY (only for ELA test): Next you should see a screen that prompts you to verify that the sound on your computer is working. Put your headsets on and select the icon of the speaker in the circle to hear the sound. If you hear the chime, select [YES]. If not, raise your hand.

Figure 11. Student Sound Check



If a student's volume is not working, troubleshoot basic steps such as ensuring that the headset is fully plugged in, mute is not inadvertently selected, and the volume setting is turned up. If the student is still experiencing issues, contact your LEA Technology Coordinator, SC, or LEA CAASPP Coordinator.

SAY: *Before your test appears, you will see a tutorial page listing the test tools and buttons that you may use during the test or that will appear on the test. Please read this carefully. You can also find this information during your test by selecting the HELP button in the top right corner.*

You must answer each question on the screen before going on to the next page. During the test, you may see a page with no test questions. Follow the directions on the page to continue taking the test.

You must make an answer selection in order to move to the question on the next page. If you are unsure of an answer, provide what you think is the best answer; there is no penalty for guessing. If you would like to review that answer at a later time, mark the item for review by selecting the box next to the flag in the upper-right corner of the screen before going on to the next question. Flagging the item will remind you to go back and decide whether or not you want to change the answer during this test segment.

You may PAUSE at any point in the test by selecting [PAUSE] rather than [NEXT] after answering an item. [The following statement only applies to the CAT.] The PAUSE button is used to stop the test. Note that PAUSING for more than 20 minutes will prevent you from changing any answer on previous pages of the test. Please raise your hand if you need a break and ask me before you select [PAUSE].

Your answers need to be your own work. Please keep your eyes on your own test and remember that there should be no talking.

Please keep in mind that this test is divided into segments. When you get to the end of each segment, you will be prompted to review your answers before moving on. Once you submit your answers and move on to the next segment, you will not be able to return to the previous segment.

When you are ready to begin your test, select BEGIN TEST NOW at the bottom of the page.



Note: For the CAT portion of the test, after a pause, the student’s test can be resumed at any time within the testing window up to 45 days from the start date. For the performance task, there is no pause limit, but the test expires 10 days after it is started. See section [7.3 Testing Times](#) for estimated testing times and estimated test durations.

6. The TA monitors student progress.



Monitoring is described in more detail in [Section IV Administering Online Tests](#).

Monitoring Test Selection

It is very important that TAs monitor student progress throughout the test session. This includes verifying that students are participating in the appropriate content area and type of test (CAT or PT). The TA monitors the test each student is taking by referring to the *Tests in Your Test Session* table in the TA Interface, shown in Figure 12. Note that the list of student names can be sorted by linked (underlined) column headings.

In the event a student is taking an incorrect test, the TA should pause the student’s test. The TA should then instruct the student to log off and log on again to select the correct test. The *Test* column is called out in Figure 12.



Warning: If the student has already begun to test with incorrect test settings, the test settings would have to be corrected in TOMS by the SC or LEA CAASPP Coordinator and the test would have to be reset, which is part of the Appeals process. The California Department of Education will determine the impact of resetting a test due to incorrect test settings and will either approve or deny a request to reset within two business days of receiving the request.

Figure 12. Monitoring student progress in the TA Interface

Tests in Your Test Session		Sort Column By		Requests	New Request	Hide/Show Columns	
Student Name	State-SSID	Opp #	Test	Test Settings	Requests	Student Status	Pause Test
Lastname_CA, Firstname_CA	CA-9999990001	1	G3E-Summative	Custom Settings	approved: 0/0	Pause	

In the rare event that a student starts a test unintentionally (for example, selected a PT instead of a CAT, or selected mathematics instead of ELA), the test’s expiration timeline will be activated. If a student is unable to return to and complete the test before it expires in 10 days (PT) or 45 days (CAT), the SC or LEA CAASPP Coordinator will need to submit an appeal using the Appeals module in TOMS to reopen the test.

Monitoring Test Progress

Once students have started their tests, the TA should circulate through the room to ensure that all conditions of test security are maintained. If the TA witnesses or suspects the possibility of a test security incident, the SC and LEA CAASPP Coordinator should be contacted immediately in accordance with the security guidance provided in this manual.

The TA may also use the TA Interface to view the testing progress of any student. This Web site will not show test items or scores but will let the TA see how many items have been delivered to each student (e.g., question 24/40). The *Student Status* column is called out in Figure 13. Student sessions can be sorted by selecting any of the linked column heads.

While the TA Interface is designed to automatically refresh every minute, the TA can refresh it manually at any time by selecting the [Refresh Now] button at the top left of the page. Do **not** use the Web browser’s refresh button to refresh the TA Interface.

Figure 13. Monitoring student status in the TA Interface

Student Name	State-SSID	Opp #	Test	Test Settings	Requests	Student Status	Pause Test
Lastname_CA, Firstname_CA	CA-9999990001	1	G3E-Summative	Custom Settings		approved: 0/0	

If the TA notices that a student is off task, the TA may say the following statement to the student, verbatim, to keep him or her focused.

SAY: It is important that you do your best. Do you need to pause the test and take a break?

If a student asks for assistance either in answering an item or manipulating an item type, the TA should gently instruct the student to review the tutorial for help and let the student know that he or she should try his or her best, but that the TA cannot help answer an item. The TA may remind the student to reread the instructions for that item.

SAY: I can’t help you with your test. Try to do the best that you can.

Allowing the students to practice on the Training Test and Practice Test prior to testing is strongly encouraged to ensure that students are able to manipulate each item type and use the various tools and supports during testing.

Warnings:



- If the TA is using the TA Interface and navigates to the TA Practice or Training Web site, the session will stop, and all students in the session will be logged off. The session cannot be resumed. A new session will have to be created, and the students will have to log on to the new session to resume testing. When starting a new session, give the new Session ID to the students so they can log on and resume testing.
- If the TA Interface or TA Training Web site browser is accidentally closed while students are still testing, the session will remain open until it times out after 30 minutes. The TA can open the browser and navigate back to the TA Interface. The TA will be prompted to enter the active Session ID.
- As a security measure, TAs are automatically logged off of the TA Interface after 30 minutes of TA user inactivity and student inactivity in the test session, which will result in closing the test session. If this occurs, the TA will have to create a new session and the

students will have to log on to the new session to resume testing. When starting a new session, the TA should give the students the new Session ID so they can log on and resume testing.

7. The TA ends the test session and logs off of the Test Administrator Web site (grades three through eight).

When there are approximately 10 minutes left in the test session, the TA should give students a brief warning.

SAY: We are nearing the end of this test session. Please review any completed or marked items now. Do not submit your test unless you have answered all of the questions.

After answering the last item in each segment, each student is presented with a screen prompting him or her to review answers (marked and unmarked) for all items available to the student or prior to submitting the test. A test cannot be paused after the last item has been presented to the student.

After answering the last question, students must submit their tests. If students would like to review their answers before submitting their test, they should select [REVIEW MY ANSWERS] and then [SUBMIT TEST] after they finish reviewing. Once a student selects [SUBMIT TEST], the student will not be able to review answers.

SAY: This test session is now over. If you have not finished, select PAUSE, and you will be able to finish at another time. If you have finished, select SUBMIT TEST. I will now collect any scratch paper or other materials.

TAs should select [Stop Session] to end the test session and pause any student test in the session that is still in progress. When finished, TAs can log off of the TA Interface by selecting the [Logout] button at the top right. TAs should also collect any scratch paper (and graph paper for grades six and up).

8. The TA ends the test session and logs off of the Test Administrator Web site (grade eleven).

When there are approximately 10 minutes left in the test session, the TA should give students a brief warning.

SAY: We are nearing the end of this test session. Please review any completed or marked items now. Do not submit your test unless you have answered all of the questions.



Alert: Students in grade eleven taking a CAT will see an additional question at the end of their test sessions for both ELA and mathematics, such as is shown in Figure 14.

This question is not part of the assessment, but is presented to allow students the option of selecting whether or not they will share their scores on the CAASPP Smarter Balanced assessments with the California State University (CSU) system and the California Community Colleges (CCC) system as part of the Early Assessment Program (EAP). If you are administering a test to students in grade eleven, please read the text in the next box below. Otherwise, skip the text in that box and continue with the test administration.

Figure 14. EAP question on grade eleven tests

Survey Question(s)

Early Assessment of Readiness for College English

The CAASPP results will assist the California State University (CSU) system and the California Community Colleges (CCC) system in providing you an early assessment of your readiness for college-level English placement tests that are required for entering freshmen. Your results are not required or used for admissions.

Your CAASPP results will be provided to the institutions for which you have applied by marking the release circle. If you mark the "Do Not Release" circle, you will be required to submit the results at a later date if requested.

Release Authorization

By filling in the bubble below, I acknowledge that I am voluntarily releasing the results of my English/Mathematics college readiness assessment to be shared with appropriate officials at the California State University (CSU) and California Community Colleges (CCC).

Release Do Not Release

EAP SECTION—READ TO STUDENTS IN GRADE ELEVEN ONLY

SAY: The Early Assessment Program (EAP) will assist the California State University (CSU) system and the California Community Colleges (CCC) system in providing you information on your readiness for college-level English and/or mathematics coursework. Additionally, the EAP may help you to earn an exemption from the CSU and participating CCC English and mathematics placement tests that are required for entering freshmen. However, providing EAP results is not a requirement to be admitted to the CSU or CCC.

The EAP for [insert test subject: ELA or mathematics] includes questions from the Smarter Balanced assessment you are finishing now.

If you choose to participate in the EAP, please carefully read the statement presented as the last question in this test session. If you are considering or plan to enroll at CSU or CCC, select "Release" and then the [Submit] button. Your Smarter Balanced results will be provided to both institutions by selecting the Release circle and then submitting. If you do not select to release your results, you may be requested to provide a copy of your results to the campus at a later time.

Your CAASPP Student Report will provide a Web site, where additional information is available on what your EAP results mean. If you do not wish your results to be sent to the CSU and CCC, select "Do Not Release."

END OF EAP SECTION

After answering the last item in each segment, each student is presented with a screen prompting him or her to review answers (marked and unmarked) for all items available to the student or prior to submitting the test. A test cannot be paused after the last item has been presented to the student.

After answering the last question, students must submit their tests. If students would like to review their answers before submitting their test, they should select [REVIEW MY ANSWERS] and then [SUBMIT TEST] after they finish reviewing. Once a student selects [SUBMIT TEST], the student will not be able to review answers.

SAY: This test session is now over. If you have not finished, select PAUSE, and you will be able to finish at another time. If you have finished, select SUBMIT TEST. I will now collect any scratch paper or other materials.

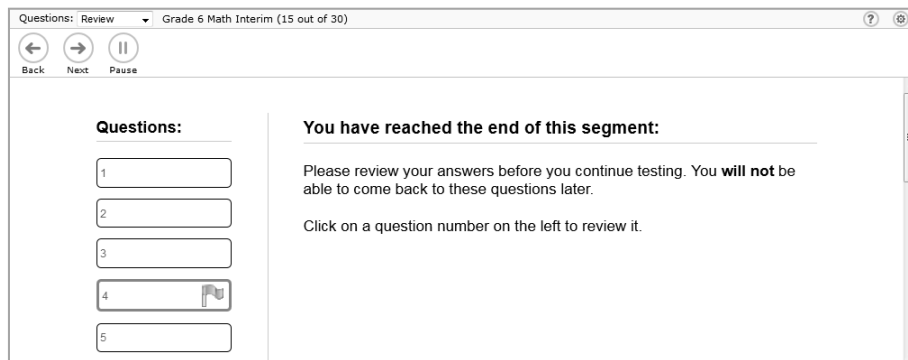
TAs should select [**Stop Session**] to end the test session and pause any student test in the session that is still in progress. When finished, TAs can log off of the TA Interface by selecting the [**Logout**] button at the top right. TAs should also collect any scratch paper (and graph paper for grades six and up).

10.2 Testing Over Multiple Sessions or Days

For some tests, particularly the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student’s schedule. Smarter Balanced recommends that the ELA PT be administered in two sessions corresponding with Part 1 and Part 2. Students can be provided breaks within each part; however, once a student moves on to Part 2, he or she will not be able to review or revise items in Part 1. For this reason, it is recommended that students complete Part 1 in one test session; Part 2 would ideally be delivered the next school day. For the mathematics PT, Smarter Balanced recommends that it be administered in one test session of 40–120 minutes.

If the TA intends to administer the test over the course of multiple days for a student or group of students, TAs may ask students to pause after they reach a designated point. For most tests, there is nothing built into the system to prevent students from progressing from one section of the test to another. In those cases, the TA should give the students clear directions on when to pause. For example, TAs may designate a certain amount of time for testing. Likewise, the end of Part 1 of the ELA PT might be a logical stopping point. This guidance may be written on a dry-erase board, chalkboard, or another place that students can easily see. Students will receive a notification when they reach the end of the segment, like the notification shown in Figure 15.

Figure 15. Sample End Segment screen



When testing is resumed on a subsequent day, the TA will need to start a new test session and provide a new Session ID. When instructing the students to log on, TAs should read the unitalicized sections of the general script (SAY boxes) to the students from the beginning.

See section [7.3 Testing Time](#) for estimated testing times and estimated test durations.

11.0 FOLLOWING TEST ADMINISTRATION

11.1 Destroying Test Materials



Federal law—the Family Educational Rights and Privacy Act—prohibits the release of any student’s personally identifiable information. Any printed materials must be securely stored and then shredded. (*Education Code Section 49079.5[a]*)

As a reminder, those printed and paper test materials identified in section 3.0 Ensuring Test Security must be securely shredded immediately following each test session and may not be retained from one test session to the next. The only exception to this is scratch paper (and graph paper for grades six and up) used during the performance task, which should be handled according to the guidance provided in section 3.2 Secure Handling of Printed Materials.

11.2 Reporting Testing Improprieties, Irregularities, and Breaches

Throughout testing, ensure that all test security incidents are reported in accordance with the guidelines in sections 3.0 *Ensuring Test Security* and 4.0 *Responding to Testing Improprieties, Irregularities, and Breaches* in this manual and the *Appeals User Guide* located at <http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf>.

APPENDIX A: FREQUENTLY USED TERMS

Table 14 defines terms that are specific to the Smarter Balanced assessments.

Table 14: Frequently Used Terms

Term	Definition
Accommodation	Changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. Assessment accommodations generate valid assessment results for students who need them; they allow these students to show what they know and can do. Accommodations are available for students with documented individualized education programs (IEPs) or Section 504 plans. Consortium-approved accommodations do not compromise the construct, grade-level standards, or intended outcome of the assessments. See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> linked on the CAASPP Forms Web page at http://caaspp.org/administration/instructions/ .
Appeal	Authorized users—LEA CAASPP Coordinators and CAASPP Test Site Coordinators—may submit and view requests for resetting, reopening, invalidating, or restoring students’ assessments in accordance with state policy. These requests must result from a test security incident or incorrect test setting that impacted testing. All requests must be approved by the California Department of Education (CDE).
Break	There is no limit on the number of breaks or the length of a break that a student may be given according to his or her unique needs. However, for some portions of the test, breaks of more than 20 minutes will prevent the student from returning to items already attempted by the student. For a performance task (PT), the student can break for any amount of time and still return to any previously answered item within the PT’s current segment only.
CAASPP Test Site Coordinator (SC)	School staff member responsible for monitoring the test schedule, process, and Test Administrators (TAs). SCs are also responsible for ensuring that TAs have been appropriately trained and that testing is conducted in accordance with the test security and other policies and procedures established by the Smarter Balanced Assessment Consortium. SCs must have a signed <i>CAASPP Test Security Agreement</i> on file with the LEA CAASPP Coordinator.
Classroom Activity	A short, teacher-led activity designed to introduce students to the context and contextual vocabulary in the performance task (PT) to ensure that students are not disadvantaged in demonstrating the skills the task intends to assess. A TA or other authorized staff can lead the Classroom Activity. An applicable Classroom Activity is required before the PT portion of the test. The PT should be administered within three days after the Classroom Activity. The Classroom Activity should not be supplemented with any other content that the administrator may think is helpful because doing so may detract from the intended purpose of the Classroom Activity.
Computer Adaptive Test (CAT)	Based on student responses, the computer program selects the difficulty of items throughout the assessment. By adapting to the student as the assessment is taking place, these assessments present an individually tailored set of items to each student and provide more accurate scores for all students across the full range of the achievement continuum.

Term	Definition
Designated Supports	<p>Accessibility features of the assessments available for use by any student for whom the need has been indicated by an educator (or team of educators working with the parent/guardian and student).</p> <p>See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> linked on the CAASPP Instructions and Manuals Web page at http://caaspp.org/administration/instructions/ for complete information.</p>
Full-write	<p>A component of the English language arts/literacy (ELA) performance task that requires the student to develop an informative/explanatory, narrative, or opinion/ argumentative multi-paragraph piece of writing for which he or she engages the full writing process.</p>
Invalidation	<p>A specific appeal in the Appeals system. Invalidating a test in the Appeals system results in the omission of test results and student responses from the testing and accountability systems. Invalidation is often the outcome for assessments impacted by a test security incident.</p> <p>Permission for an invalidation is initiated through the Appeals process in the Test Operations Management System (TOMS). See the <i>Appeals User Guide</i> at http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf for more information on the Appeals process.</p>
Item	<p>A test question or stimulus presented to a student to elicit a response.</p>
LEA CAASPP Coordinator	<p>LEA-level staff member who is responsible for the overall administration of the summative assessment in an LEA. LEA CAASPP Coordinators should ensure that the CAASPP Test Site Coordinators (SCs) and Test Administrators (TAs) in their LEAs are appropriately trained and aware of policies and procedures. LEA CAASPP Coordinators are designated by their district superintendents or the administrator of their independently testing charter school and must have a signed <i>CAASPP Test Security Agreement</i> on file with the California Technical Assistance Center (CaITAC).</p>
Pause	<p>Action taken by a student or TA to temporarily halt the test during any part of the test, as needed. Pauses of more than 20 minutes in the CAT component of the test will prevent the student from returning to items already attempted.</p> <p>For a performance task, the student can pause for any amount of time and still return to any previously answered item within the PT's current segment only. More information on test pausing is available in section 7.2 <i>General Rules of Online Testing</i>.</p>
Performance Task (PT)	<p>A PT is an item type designed to provide students with an opportunity to demonstrate their ability to apply their knowledge and higher-order thinking skills to explore and analyze a complex, real-world scenario. It is a required portion of the test. Prior to the PT, teachers or instructional staff conduct a Classroom Activity for all students in the class to ensure that a lack of understanding of the context of the task does not interfere with a student's ability to address the content of the task.</p>

Term	Definition
<p>Reopen</p>	<p>A specific appeal in the Appeals system. It applies to a test that has already been submitted or has expired and allows the student to access the previously closed test.</p> <p>For example, a test may be reopened if a student started a test and became ill and was unable to resume testing until after the testing opportunity expired.</p> <p>Permission for a reopen is initiated through the Appeals module in TOMS. See the <i>Appeals User Guide</i> at http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf for more information on the Appeals process.</p>
<p>Reset</p>	<p>A specific appeal in the Appeals system. Resetting a student’s test removes that test from the system and enables the student to start a new test. Any work previously done on the test would be lost.</p> <p>Valid reasons for a reset would be if a student’s test event was administered inconsistently with the student’s IEP (this would include both embedded and non-embedded accommodations) or if the student started a test and did not have a needed language support (such as a language glossary).</p> <p>Permission for a reset is initiated through the Appeals module in TOMS. See the <i>Appeals User Guide</i> at http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf for more information on the Appeals process.</p>
<p>Restore</p>	<p>A specific appeal in the Appeals system. Restore a test from the “Reset” status to its prior status. This action can only be performed on assessments that have been reset.</p> <p>A test opportunity can be restored if it was reset in error. For example, if a test reset was requested for a mathematics test instead of an ELA test, then that mathematics test can be restored to its previous status.</p> <p>Permission for a restore is initiated through the Appeals module in TOMS. See the <i>Appeals User Guide</i> for more information on the Appeals process.</p>
<p>Secure Browser</p>	<p>A Web browser that is downloaded and installed on a computer prior to a student beginning the test. The browser is specifically designed for use with the Smarter Balanced assessments to provide secure access to the CAT and PT test for each content area and prevent students from accessing specific hardware and software functions (e.g., other browsers, screenshot programs) that are not allowed during the assessments.</p>
<p>Segment</p>	<p>A part of a test within the test delivery system. Depending on the test, segments typically separate items from others if the eligible tools are different (i.e., the mathematics test may have two segments—one segment that allows calculator use and another segment that does not). When a student completes a segment of the test, he or she will receive a message that indicates that once that segment is submitted it is no longer possible to return to that segment.</p>
<p>Session</p>	<p>A timeframe in which students actively test in a single sitting. The length of a test session is determined by building or LEA administrators who are knowledgeable about the periods in the building and the timing needs associated with the assessment. Smarter Balanced recommends that session durations range between 40 and 120 minutes. However, Smarter Balanced assessments are not timed, and an individual student may need more or less time overall. Further, individual students will have unique needs regarding the length of a test session.</p>

Term	Definition
	<p>Though a session is most often set up by an administrator in the TA Interface, the performance task includes a Classroom Activity, which does not require students to be logged on to the test delivery system but may be administered as an independent session.</p> <p>Smarter Balanced recommends the CAT portion of the ELA and mathematics assessments be administered in at least two sessions.</p> <p>Note: A test session does not need to end when a segment ends.</p>
<p>Statewide Student Identifier (SSID)</p>	<p>A unique, non-personally-identifiable number linked to a given individual student within the California public kindergarten through grade twelve educational system. SSIDs are used to maintain data on individual students, such as linking students to statewide assessment scores and tracking students in and out of schools and LEAs in order to determine more accurate dropout and graduation rates.</p>
<p>Stimulus/Stimuli</p>	<p>Material or materials used in the test context, which form the basis for assessing the knowledge and skills of students. Many items/tasks for the assessments include a stimulus along with a set of questions to which the student responds. Stimulus materials are used in ELA and mathematics assessments to provide context for assessing the knowledge and skills of students and are diverse. They can be traditional reading passages/texts but viewed on a computer screen; images with audio presentations for students to listen to; simulated Web pages for students to use for research; or scenarios to react to.</p>
<p>Test Administrator (TA)</p>	<p>District or school personnel responsible for administering the Smarter Balanced assessments in a secure manner in compliance with the policies and procedures outlined in this manual. TAs are required to have a signed <i>CAASPP Test Security Affidavit</i> on file with their SC.</p>
<p>Test Operations and Management System (TOMS)</p>	<p>The management and registration system used for the Smarter Balanced assessments in California. This is the system through which LEA CAASPP Coordinators interact with and inform the test delivery system. This registration system provides users with the tools to set up testing windows, register and manage students participating in the Smarter Balanced assessments, and file appeals. This system uses a role-specific design to restrict access to certain tools and applications based on the user's designated role.</p> <p>See the CAASPP Test Operations and Management System Web page at http://caaspp.org/administration/toms/ for complete information.</p>
<p>Testing Breach</p>	<p>A security event that poses a threat to the validity of the test. Examples may include such situations as a release of secure materials or a security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported immediately to the CDE.</p> <p>For specific details on how to proceed when an incident has occurred, please refer to section 4.0 <i>Responding to Testing Improprieties, Irregularities, and Breaches</i> of this manual.</p>

Term	Definition
<p>Testing Impropriety</p>	<p>An unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level.</p> <p>For specific details on how to proceed when an incident has occurred, please refer to <i>4.0 Responding to Testing Improprieties, Irregularities, and Breaches</i> of this manual.</p>
<p>Testing Irregularity</p>	<p>An unusual circumstance that affects an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level, but are submitted in the Appeals module in TOMS for resolution of the appeal for testing impact.</p> <p>For specific details on how to proceed when an incident has occurred, please refer to <i>4.0 Responding to Testing Improprieties, Irregularities, and Breaches</i> of this manual.</p>
<p>Universal Tools</p>	<p>Available to all students based on student preference and selection.</p> <p>See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> linked on the CAASPP Instructions and Manuals Web page at http://caaspp.org/administration/instructions/ for complete information.</p>

APPENDIX B: ITEM TYPES

Item and response types

As students engage with the Smarter Balanced assessments, they will be asked test questions that require them to respond in several ways, some of which may be new to students.

Smarter Balanced has produced several resources that teachers and students can use to get ready for the test, including a Practice Test and a Training Test. It is **highly recommended** that **ALL** students access the Training Test Web site before taking the test. Doing so will provide students an opportunity to view and practice each of the item types.

The Practice Tests and Training Tests are available on the CAASPP Smarter Balanced Practice and Training Tests Web page at <http://caaspp.org/practice-and-training/>.

Summary of item types and how to provide responses

Table 15 lists the different item types and briefly describes each one.



Not all assessments will necessarily include all item types.

Table 15: Item and Scoring Types

Content Area	Type of Item	Brief Description of How to Respond
English language arts/literacy (ELA) and Mathematics	Multiple Choice, single correct response	Four-option multiple choice
	Multiple Choice, multiple correct responses	Multiple-option selected response
	Matching Tables (with a variation True/False or Yes/No)	Table format, click entry
	Short text	Keyboard alphanumeric entry
Mathematics Only	Drag-and-Drop	Drag-and-drop single or multiple elements
	Hot Spot	Select text
	Table Fill In	Table format, click entry
	Graphing	Plot points and/or draw lines
	Equation/Numeric	Enter equation or numeric response
ELA Only	Two-part multiple choice, with evidence-based response	Two part, multiple choice
	Hot Text	Select and order text
	Essay	Keyboard alphanumeric entry

Table 16 catalogues each specific item type and briefly describes the student actions necessary to provide a response.

Table 16: Item Types in the Practice/Training Test

All Roles

Content Area	Item Type	How Student Responds	Practice Test Examples	Training Test Examples
ELA and Math	Multiple choice, single correct response (radio buttons)	Select the radio button corresponding to an option. To deselect an option, select a different radio button. Select only one option.	Grade (G) 3 ELA, Question 4 G3 Math, Question 10 G4 ELA, Question 2 G4 Math, Question 2 G5 ELA, Question 2 G5 Math, Question 1 G6 ELA, Question 1 G6 Math, Question 1 G7 ELA, Question 2 G7 Math, Question 3 G8 ELA, Question 2 G8 Math, Question 4 G11 ELA, Question 1 G11 Math, Question 24	G3–5 ELA, Question 2, Part A G3–5 Math, Question 1 G6–8, ELA, Question 4 G6–8 Math, Question 7 G11 ELA, Question 4
ELA and Math	Multiple choice, single correct response (highlight)	Highlight an option by selecting an option. To deselect an option, select a different option. Select only one option.	G3 ELA, Question 10 G4 ELA, Question 28 G5 ELA, Question 10 G6 ELA, Question 11 G8 ELA, Question 1 G11 ELA, Question 2 G11 Math, Question 14, Part B	None available
ELA and Math	Multiple choice, multiple correct responses (checkboxes)	Mark a checkbox corresponding to an option. To deselect an option, select the checkbox that is already marked. Mark one or more options.	G3 ELA, Question 6 G3 Math, Question 7 G4 ELA, Question 3 G4 Math, Question 19 G5 ELA, Question 19 G5 Math, Question 26 G6 ELA, Question 7 G6 Math, Question 7 G7 ELA, Question 7 G7 Math, Question 7 G8 ELA, Question 7 G8 Math, Question 16 G11 ELA, Question 14 G11 Math, Question 6	G3–5 ELA, Question 2, Part B G3–5 Math, Question 6 G6–8 Math, Question 4 G11 Math, Question 6

Content Area	Item Type	How Student Responds	Practice Test Examples	Training Test Examples
ELA and Math	Multiple choice, multiple correct responses (highlight)	Highlight an option by selecting it. To deselect an option, select the previously highlighted option. Select one or more options.	G3 ELA, Question 1 G3 Math, Question 4 G4 ELA, Question 20 (Highlight sentences in a paragraph) G4 Math, Question 10 G5 ELA, Question 17 G6 ELA, Question 21 G7 ELA, Question 1 G7 Math, Question 21 Part A G8 ELA, Question 3 G11 ELA, Question 10 G11 Math, Question 4	None available
ELA and Math	Matching Tables (variation using True/False or Yes/No format)	Select a checkbox corresponding to an option in a table cell. To deselect an option, select a checkbox that is already marked.	G3 ELA, Question 29 G3 Math, Question 2 G4 Math, Question 4 G5 ELA, Question 22 G5 Math, Question 22 G6 Math, Question 3 G7 ELA, Question 26 G7 Math, Question 18 G8 Math, Question 2 G11 ELA, Question 30 G11 Math, Question 3	G3–5 ELA, Question 6 G3–5 Math, Question 4 G6–8 ELA, Question 5 G6–8 Math, Question 6 G11 ELA, Question 6 G11 Math, Question 3
ELA and Math	Short Text	Respond via keyboard entry into a multiline text box (no text formatting). This item type offers the ability to edit previously entered text.	G3 ELA, Question 18 G4 ELA, Question 17 G5 ELA, Question 16 G6 ELA, Question 4 G7 ELA, Question 2 G8 ELA, Question 4 G8 Math, Question 20 G11 ELA, Question 12 G11 Math, Question 18	G3-5 ELA, Question 1 G3-5 Math, Question 8 G6-8 ELA, Question 1 G11 ELA, Question 1 G11 Math, Question 2
Math Only	Drag and Drop (select and move objects)	Select and drag an object to the appropriate location in the Question response area.	G3 Math, Question 9 G4 Math, Question 7 G5 Math, Question 21 G6 Math, Question 4 Part B G7 Math, Question 8 G8 Math, Question 1 G11 Math, Question 1	G3–5 Math, Question 3 G6–8 Math, Question 5 G11 Math, Question 1

Content Area	Item Type	How Student Responds	Practice Test Examples	Training Test Examples
Math Only	Hot Spot	Select targeted areas in the response area.	G3 Math, Question 22 G4 Math, Question 24 G5 Math, Question 16 G6 Math, Question 4 Part A G7 Math, Question 13 G8 Math, Question 21 G11 Math, Question 10	G3–5 Math, Question 5 G6–8 Math, Question 8 G11 Math, Question 5
Math Only	Table Fill In	Respond via keyboard entry into table cells or drag/drop objects into table cells.	G4 Math, Question 17 G6 Math, Question 27 G8 Math, Question 28 G11 Math, Question 23	G3–5 Math, Question 9 G6–8 Math, Question 3 G11 Math, Question 7
Math Only	Graphing	Select the [Add Point] icon and then select the Question response area to create a new point. To remove the point, select the [Delete] icon and then select the point to be deleted. <i>or</i> Select the [Connect Line] icon and then select the Question response area where the line is to start. Select and drag to the area where the line is to end. To remove the line, select the [Delete] icon and then select the line to be deleted.	G3 Math, Question 6 G6 Math, Question 6 G8 Math, Question 5 G11 Math, Question 7	G3–5 Math, Question 7 G6–8 Math, Question 1 G11 Math, Question 8
Math Only	Equation/ Numeric	Select buttons representing numbers and mathematic symbols to create a numeric response or equation.	G3 Math, Question 3 G4 Math, Question 1 G5 Math, Question 14 G6 Math, Question 2 G7 Math, Question 1 G8 Math, Question 3 G11 Math, Question 2	G3–5 Math, Question 2 G6–8 Math, Question 2 G11 Math, Question 4

Content Area	Item Type	How Student Responds	Practice Test Examples	Training Test Examples
ELA Only	Two-part multiple choice, with evidence responses	Questions are multiple-choice (radio buttons) or multiple-choice (highlight).	G3 ELA, Question 13 G4 ELA, Question 10 G7 ELA, Question 5 G11 ELA, Question 5	G3–5 ELA, Question 2 G6–8 ELA, Question 3 G11 ELA, Question 2
ELA Only	Hot Text (select and move text)	Select text and then select and drag text to a new area.	G3 ELA, Question 16 G11 ELA, Question 16	None available
ELA Only	Listening Tasks	Student must start or pause an audio clip by selecting buttons.	G3 ELA, Question 22 G4 ELA, Question 22 G5 ELA, Question 25 G6 ELA, Question 22 G7 ELA, Question 25 G8 ELA, Question 22 G11 ELA, Question 22	G3-5 ELA, Question 5 G6-8 ELA, Question 4 G11 ELA, Question 5
ELA Only	Essay	Respond via keyboard entry using text formatting buttons. Test-taker can edit previously entered text.	ELA Performance Tasks	None available

Technical skills to access embedded resources

To access some of the embedded resources (such as strikethrough, highlighter, American Sign Language videos, and text-to-speech) that are available to help work through these item types, students may need to access the **context menu with their right mouse button**. Please note the method to access the menu is dependent on the student’s device type. Devices and methods are shown in Table 17.

Table 17: Context Menu for Selecting with the Right Mouse Button

Device Type	Method to Access Context Menu with the Right Mouse Button
Windows-based desktop or laptop (two-button mouse)	Select with the right mouse button.
Mac OS-based desktop or laptop (one-button mouse)	Hold down the [Ctrl] key on keyboard and then select with the mouse button.
iPad tablet (touchscreen)	Tap on the menu in the upper-left corner of the secure browser application.
Android-based tablet (touchscreen)	Tap on the menu in the upper-left corner of the secure browser application.
Chromebook (trackpad)	Hold down the [Alt] key on the keyboard and tap the trackpad.

APPENDIX C: TEST SECURITY CHART

The **Test Security Chart** shows the test security incident levels and examples of types of issues.

All Roles

Level of Severity & Potential Effect on Test Security	Types of Issues
LOW Impropriety	Student(s) making distracting gestures/sounds or talking during the test session that creates a disruption in the test session for other students.
	Student(s) leave the test room without authorization.
	Administrator or Coordinator leaving related instructional materials on the walls in the testing room.
MEDIUM Irregularity	Student(s) cheating or providing answers to each other, including passing notes, giving help to other students during testing, or using hand-held electronic devices to exchange information.
	Student(s) accessing the Internet or any unauthorized software or applications during a testing event.
	Student(s) accessing or using unauthorized electronic equipment (e.g., cell phones, PDAs, iPods, or electronic translators) during testing.
	Disruptions to a test session such as a fire drill, school-wide power outage, earthquake, or other acts.
	Administrator or Coordinator failing to ensure administration and supervision of the Smarter Balanced assessments by qualified, trained personnel.
	Administrator giving incorrect instructions that are not corrected prior to testing.
	Administrator or teacher failing to present Classroom Activity prior to performance task administration.
	Administrator or Coordinator giving out his or her username/password (via e-mail or otherwise) to other authorized users.
	Administrator allowing students to continue testing beyond the close of the testing window.
	Administrator or teacher coaching or providing any other type of assistance to students that may affect their responses. This includes both verbal cues (e.g., interpreting, explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice inflection, pointing, or nodding head) to the correct answer. This also includes leading students through instructional strategies such as think-aloud, asking students to point to the correct answer or otherwise identify the source of their answer, or requiring students to show their work.
	Administrator providing students with nonallowable materials or devices during test administration or allowing inappropriate designated supports and/or accommodations during test administration.
	Administrator allowing anyone other than a student to log on to the test unless prescribed as an allowable accommodation in the student's individualized education program (IEP). This includes Test Administrators (TAs) or other staff using student information to log on or allowing a student to log on using another student's information.
	Administrator providing a student access to another student's work/responses.
HIGH BREACH	Administrator or Coordinator modifying student responses or records at any time.
	The live Student Interface or TA Interface being used for practice instead of the Training or Practice Tests.
	Adult or student posting items or test materials on social media (e.g., Twitter, Facebook, etc.).
	Administrator allowing students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test or failing to otherwise securely store test materials.
	Adult or student copying, discussing, or otherwise retaining test items, stimuli, reading passages, writing prompts, or answers for any reason. This includes the use of photocopiers or digital, electronic, or manual devices to record or communicate a test item. This also includes using secure test items, modified secure test items, reading passages, writing prompts, or answer keys for instructional purposes.
	Secure test materials being shared with the media (such as the writing prompts, test items, or reading passages), or allowing media to observe a secure test administration.
	Adult or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment.

APPENDIX D: ACCESSIBILITY GUIDELINES FOR CLASSROOM ACTIVITIES

Students with disabilities are allowed to have accommodations, and English learners should have access to language supports they regularly use during classroom instruction. The information noted in Table 18 provides teachers with options that may be implemented during the activity as needed for students to have appropriate access to the information included in the Classroom Activity.

Overall Strategies for the Classroom Activity are as follows:

- Teachers may employ the same strategies for the Classroom Activity they use during instruction to attend to the diversity of individual student needs.
- Teachers may employ formative practices and professional judgment to determine whether or not individual students require additional support or scaffolding to meet the objectives of the Classroom Activity.
- Teachers can read and reread aloud any text included in the Classroom Activity.
- Teachers may employ assistive technologies that are typically available during instruction.
- The additional supports and strategies described in the table below may be made available to any student based on the student’s individual needs and are not limited to particular impairments or to students who have individualized education programs (IEPs) or Section 504 plans.
- Teachers may adjust any Classroom Activity to allow for different instructional settings (e.g., individual student make-up activity, remote learning environment).
- Teachers may employ more than one suggested strategy listed in the table below to meet student needs.
- These strategies are not mutually exclusive.

Table 18: Classroom Activity Guidance for Needs-Specific Accessibility Options

Student Need	Guidance for Accessibility (Student IEP and Section 504 plans supersede these guidelines)
Visual Impairments	<ul style="list-style-type: none"> • Reading Materials: All materials required to be read by a student may be read aloud to the student. • Pictures, Figures, Drawings, and Photographs: Descriptions may be read to students. In addition, teachers may provide students with further explanation of the descriptions. These explanations may clarify the description without adding additional content. • Graphs: Further descriptions or repetition of descriptions may be necessary for a student. These explanations may clarify the description without adding additional content. • Venn Diagrams: Venn diagrams may be described to the student. In addition, a teacher may use a different chart, diagram format, or graphic organizer.
Reading Impairments	<ul style="list-style-type: none"> • Reading Materials: All materials required to be read by a student, may be read aloud to the student. • Writing Activities: All activities that require the student to write may allow for an oral response or the use of technology usually used by the student in a classroom environment.

Student Need	Guidance for Accessibility (Student IEP and Section 504 plans supersede these guidelines)
Physical Impairments	<ul style="list-style-type: none"> • Kinesthetic Activities: If a student cannot participate in a kinesthetic activity, the student may be asked to describe the activity orally. • Activities Requiring Movement: Tasks such as moving around the room or coming up to the board can be modified to allow the teacher or other students to interact with the student or allow for the student to respond orally. • Writing Activities: If helpful to a student, all activities that require the student to write may allow for an oral response or the use of technology usually used by the student in a classroom environment.
Hearing Impairments	<ul style="list-style-type: none"> • Activities Requiring Listening: Listening activities may be presented in American Sign Language (ASL). For activities that require students to describe sounds, such as those from a thunderstorm, a sound may be described by the student as how it feels and looks. • Activities Requiring Oral Responses: Oral responses may be provided via sign language or in writing.
Expressive Language Impairments	<ul style="list-style-type: none"> • Activities Requiring Oral Responses: Oral responses may be provided in writing, using a communication device, or any other means that the student uses to communicate.
English Learners	<ul style="list-style-type: none"> • Reading Materials: All materials required to be read by a student, may be read aloud to the student. • Writing Activities: All activities that require the student to write may allow for an oral response. • Visual Supports: If helpful to a student, vocabulary and key contextual topics may be supplemented with visual supports. • Flexible Grouping: Teachers may administer the Classroom Activity in flexible groups based on English language proficiency. • Activities Requiring Oral Responses: Oral responses may be provided in writing. • Students may use an English, non-English, and bilingual dictionary and thesaurus as needed.
Separate Setting	<ul style="list-style-type: none"> • Group activities may be tailored to occur between a single student and his or her educator where the educator and student share discussion and work. • Activities between student(s) and an educator may be conducted online or via a telephone connection. • All student-facing information included in a Classroom Activity should be presented to students working in a separate setting.

APPENDIX E: RESOURCES AND PRACTICES COMPARISON CROSSWALK

Smarter Balanced is committed to providing mathematics and English language arts/literacy (ELA) assessments that are accessible to all students. The Smarter Balanced assessments are accessible via a suite of resources (universal tools, designated supports, and accommodations) available locally or directly in the test platform. Although many resources, particularly those embedded in the system, may appear new, many of the resources are similar to those commonly used during classroom instruction. To help states identify similarities between the assessment resources and classroom practices, Smarter Balanced has developed a *Resources and Practices Comparison Crosswalk*. The *Crosswalk* lists resources currently included in the *Guidelines* document and assists educators and decision-makers by providing a description of both the resource and its classroom equivalent.

No.	Guidelines Resource	Description (See <i>Guidelines</i> for Full Description)	Pedagogical Practices	Description
1.	Breaks	The number of items per session can be flexibly defined based on the student's need.	Breaks	Students pace themselves while completing work. Students may move about the classroom or take a short break outside to refocus.
2.	Color Contrast	Enables students to adjust screen, printed background, or font color, based on student needs or preferences.	Color coding (Varied printing color and paper color)	Students have instructional materials that have different font or background paper color(s). Students may use one color for a main idea and another color for details when outlining or taking notes.
3.	Color Overlays	Color transparencies are placed over a paper-based assessment.	Color overlays	Color transparencies are placed over a paper-based assessment.
4.	Digital Notepad Global Notes Scratch Paper	These tools are used for making notes, computations, or responses about an item or performance task.	AVID Style Notes, Cornell Notes, brainstorming ideas, writing down connections, scratch paper, whiteboards, or notepaper	Strategies allow students to create notes or work on computations. Students may create two-column notes to record main ideas and to make connections with previous knowledge or ask questions. Students may organize ideas by listing all ideas for each topic and then prioritize.
5.	Highlighter	A digital tool for marking desired text, item questions, item answers, or parts of these with a color.	Highlighter	A digital or physical tool for marking desired text with a color. Students use highlighters to distinguish useful/meaningful text when completing an assignment. Students can denote main ideas, supporting details, and conclusion.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Description
6.	Keyboard Navigation	Navigation throughout text can be accomplished by using a keyboard.	Students applying keyboarding skills using knowledge/skill of software	Students use classroom software programs such as Accelerated Reader, Interactive Math, Rosetta Stone, or EDMODO to complete classroom assignments, and make use of keyboarding skills in doing so.
7.	Magnification	The size of specific areas of the screen (e.g., text, formulas, tables, graphics, and navigation buttons) may be adjusted by the student with an assistive technology device.	Large-print texts or use of magnifying devices during instruction	Visually impaired students are provided large-print versions of state textbooks to enable access to curriculum. Students use computer screen enlargement to work in teams.
8.	Mark for Review	Allows students to flag items for future review during the assessment.	Circle, star, or check (✓) the item numbers of problems or questions that have not been answered	Circling, starring, or placing a check mark by an item about which a student is unsure enables the student to proceed to the next item. Students may also use paper sticky flags to notate areas for review or rereading. Students may also circle steps within a mathematics problem to revisit or ask questions.
9.	Masking	Masking involves blocking off content that is not of immediate need or that may be distracting to the student. Students are able to focus their attention on a specific part of a test item by masking.	Use of white space on documents Masking device	During instruction, students use a masking device that covers up sections of text before/after they read it, to maintain visual attention. Teachers create a clean document for students to work from that is not too “busy” or crowded with distracting information. Students use paper to block test questions, to decrease distractions. Teachers block off text on classroom boards or overhead projectors to focus students on topics during whole-group discussions.
10.	Spell Check	Writing tool for checking the spelling of words in student-generated responses.	Proofreading	Students proofread other students’ work using a dictionary. Teachers proofread students’

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Description
				work and have students make specific corrections. Students use rubrics to evaluate their own work, including checking for spelling, grammar, or content.
			Automated spell-check device	Students use an automated spell-check device during instruction.
11.	Strikethrough	Allows users to cross out answer options.	Process of elimination	Students cross out the answers to multiple-choice items that are obviously wrong. Students cross out incorrect words in sentences.
12.	Zoom	A tool for making text or other graphics in a window or frame appear larger on the screen.	Large-print texts	Students receive large-print versions of state textbooks, or other text, to enable access to curriculum. Students have access to enlarged mathematics problems to make sure all steps are completed.
13.	Bilingual Dictionary	A bilingual/dual-language word-to-word dictionary is a language support.	Bilingual/dual-language paper dictionaries	Students use electronic or paper bilingual/dual-language dictionaries to look up word meanings during instruction.
14.	English Dictionary	An embedded English dictionary will be available for the full write portion of an ELA/literacy performance task. A non-embedded English dictionary may be available for the same portion of the test.	Electronic or paper English dictionary	Students use an electronic or paper English dictionary to look up word meanings.
15.	English Glossary	Grade- and context-appropriate definitions of specific construct-irrelevant terms are shown in English.	Identify useful text features for understanding new vocabulary	Students utilize embedded definitions in textbooks; definitions in footnotes, margins, photos, charts, and illustrations; and glossaries in the rear of textbooks to clarify word meanings.
			English glossaries (instructional materials)	Students use glossaries of terms in their textbooks or instructional materials.

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No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Description
16.	Stacked Translations	Stacked translations provide the full translation of each test item above the original item in English.	Bilingual glossaries	Students utilize bilingual glossaries in the rear of textbooks to find unknown word meanings. Students use bilingual word list(s) appropriate to the subject area and language acquisition.
			Stacked or bilingual translations	Students use bilingual translations during their instruction (homework, worksheets, etc.).
17.	Thesaurus	A thesaurus contains synonyms of terms while a student interacts with text included in the assessment.	Electronic or paper thesaurus	Students utilize a thesaurus to enrich their writing vocabulary and to hone their knowledge of nuances in the English language.
18.	Translation Glossaries	Translation glossaries are provided for selected construct-irrelevant terms for mathematics.	Translation glossaries (instructional materials)	Students use a translation glossary at the end of their text to facilitate transferring knowledge/skills from their primary language to English. Students use bilingual glossaries to find the meanings of content-specific words (e.g., mathematics, science, history). Glossaries may be located in the appendixes of their textbooks or instructional materials.
19.	Translated Test Directions	Students may see test directions in another language.	Translated test directions	Written translated test directions are provided on the page, on the board, or on a classroom visual media device. Students are provided both English and native-language directions to build skill and understanding in classroom directions.
			Translated instructions on assignments	Students have their assignment directions translated into their native language.
20.	Abacus	This tool may be used in place of scratch paper for students who typically use an abacus.	Counting devices (blocks, tiles, chips, etc.) or scratch paper	Students use items to count during instruction.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Description
21.	Alternate Response Options	Alternate response options include but are not limited to adapted keyboards, large keyboards, StickyKeys, MouseKeys, FilterKeys, adapted mouse, touch screen, head wand, and switches.	Dictated responses	Students dictate responses to a teacher or an instructional assistant who records them. Students use communication boards, picture representations, or other individual expressive communication devices.
22.	American Sign Language (ASL)	Test content is translated into ASL video. An ASL human signer and the signed test content are viewed on the same screen.	American Sign Language	An ASL interpreter or ASL-certified instructor signs during instruction.
23.	Braille	A raised-dot code that individuals read with the fingertips. Graphic material (e.g., maps, charts, graphs, diagrams, and illustrations) is presented in a raised format (paper or thermoform). Contracted and non-contracted braille are available; Nemeth code is available for mathematics.	Braille	Instructional materials and assignments are completed in braille.
24.	Calculator	A calculator may be accessed for calculator-allowed items. The student may use the calculator offered with assistive technology devices (such as a talking calculator or a braille calculator).	Handheld calculators or computer calculators	Calculators may be used to do basic calculation in multi-step mathematics processes that are not being assessed. A student may use the calculator offered with assistive technology devices (such as a talking calculator or a braille calculator).
25.	Closed Captioning	Printed text that appears on the computer screen as audio materials are presented.	Instructional videos; movies	In-class videos and films are used that contain closed captioning. Closed captioning is used in foreign-language classes.
26.	Math Tools	Examples include embedded ruler or embedded protractor.	Rulers, protractors, number lines, manipulatives	Students may use rulers, protractors, and manipulative materials to complete graphs, rays, and circumferences.
27.	Multiplication Table	A paper-based single-digit (1–9) multiplication	Paper-based multiplication table	Students use a multiplication table (often it is a sticker on

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No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Description
		table.		their desk) during regular instruction and assessments.
28.	Print on Demand	Paper copies of passages/stimuli and/or items are printed for students.	Printed materials	Teacher-provided print materials are used to facilitate learning activities. Photocopies of passages are used instead of textbooks so that students can write and/or highlight.
29.	Separate Setting	The test location is altered so that the student is tested in a setting different from that made available for most students.	Special seating arrangements	Students who are easily distractible are provided strategic seating within the classroom, to improve focus. Students may come in during off periods to do homework or class assignments when the classroom has only a few students. During instruction and or testing, students are allowed to find an alternative environment to be in.
30.	Speech-to-Text / Scribe	Allows students to use their voices as input devices to the computer (or a human), to dictate responses or give commands (e.g., opening application programs, pulling down menus, and saving work).	Tape recorders, scribes, specific computer programs	Students may use a tape recorder or scribe as an alternative to writing when a processing or physical challenge is present. A trained adult then transcribes the student's response word-for-word on the student's test or assignment.
31.	Text-to-Speech / Read-Aloud	Text is read aloud to the student via embedded text-to-speech technology or a human.	Teacher or assistant reads aloud instructions	Listening skills are taught using read-aloud material, and then students are checked for understanding. Students listen to a prerecorded audio presentation (book-on-tape) of text or a book.
32.	Writing Tools	Examples include bold, italic, bullets, undo/redo.	Writing tools	Students use desktop publishing software (Microsoft Word) in order to type a story or article during instruction. Students may use italics and bullets to cite a reference or to emphasize important ideas.

APPENDIX F: MULTIPLICATION TABLE

A single-digit (1–9) multiplication table is a non-embedded accommodation for **grades 4 and above** mathematics items. The multiplication table is to be used *only* for students with a documented and persistent calculation disability (i.e., dyscalculia). This table can be printed and/or enlarged for students requiring this accommodation. It is also available as a PDF on the CAASPP Test Administrator (TA) Resources Web page at <http://caaspp.org/ta-resources/>.

MULTIPLICATION TABLE									
×	1	2	3	4	5	6	7	8	9
1	1	2	3	4	5	6	7	8	9
2	2	4	6	8	10	12	14	16	18
3	3	6	9	12	15	18	21	24	27
4	4	8	12	16	20	24	28	32	36
5	5	10	15	20	25	30	35	40	45
6	6	12	18	24	30	36	42	48	54
7	7	14	21	28	35	42	49	56	63
8	8	16	24	32	40	48	56	64	72
9	9	18	27	36	45	54	63	72	81

APPENDIX G. ABOUT THE SECURE BROWSER

Students must use the secure browser installed on the computer to log on to the Student Testing Site. The secure browser is designed to ensure test security by prohibiting access to external applications or navigation away from the test.

Your school's Technology Coordinator is responsible for ensuring that the secure browser has been correctly installed on all computers to be used for testing at your school. If you are not sure that the secure browser was installed or you have questions, contact your Technology Coordinator.



Note: For information about installing the secure browser, refer to the *Secure Browser Installation Manual*. This document is available on the California Assessment of Student Performance and Progress (CAASPP) Instructions and Manuals Web page at <http://caaspp.org/administration/instructions/> and is located at <http://caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2015.pdf>.

Precautions to Take

While the secure browser is an integral component of test security, Test Administrators (TAs) perform an equally important role in preserving test integrity. In addition to the guidelines put forth by the Smarter Balanced Assessment Consortium, the State of California, and individual local educational agencies (LEAs) or schools, TAs should be aware of the following and employ the necessary precautions while administering online tests:

- **Close External User Applications**

- Prior to administering the online assessments, TAs or other assigned staff should check all computers that will be used and close all applications except those identified as necessary by the School Technology Coordinator. After closing these applications, the TA should open the secure browser on each computer.
- The secure browser and Student Interface automatically detect certain applications that are prohibited from running on a computer while the secure browser is open. The secure browser will not allow a student to log on if the computer detects that a forbidden application is running. A message will also display that lists the forbidden application(s) that needs to be closed.

The secure browser will not work if the computer detects that a forbidden application is running (see the next section).

- **Prohibit Testing on Computers with Dual Monitors**

- Systems that use a dual monitor setup typically display an application on one monitor screen while another application is accessible on the other screen.

Students should *not* take online assessments on computers that are connected to more than one monitor except in extremely rare circumstances such as when a TA is administering a test via read-aloud and wants to have a duplicate screen to view exactly what the student is viewing for ease of reading aloud. In these rare cases where a dual monitor is allowed, Smarter Balanced requires that the monitors be set up to “mirror” each other. School Technology Coordinators can assist TAs in setting up the two monitors to ensure they mirror each other rather than operate as independent monitors.

In these cases, all security procedures must be followed and the test administered in a secure environment to prevent others from hearing the questions or viewing the student or TA screens.

Forbidden Application Detection

The secure browser and Student Testing Site automatically detect certain applications that are prohibited from running on a computer while the secure browser is open, unless the student has Permissive Mode enabled for testing. When the secure browser is launched, the system checks all applications currently running on a computer. If a forbidden application is detected, the student will not be able to log on. A message will also be displayed that lists the forbidden application(s) that need to be closed.



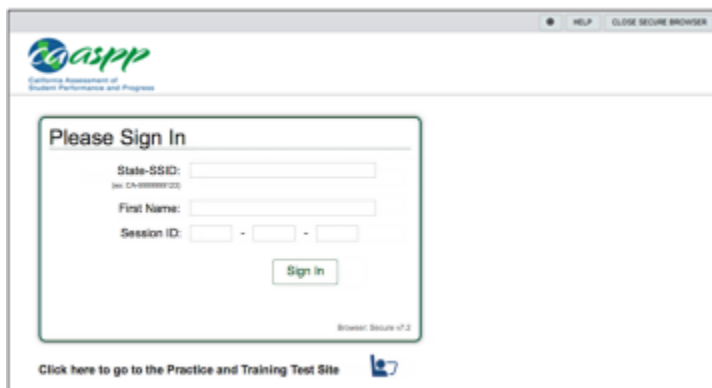
Warning: If a forbidden application is launched in the background while the student is already in a test, the student will be logged off and a message—“A forbidden program has started, and you will be logged out. Ask your Test Administrator for assistance.”—will display. The student will have to close the forbidden application, reopen the secure browser, and log on to continue working on the assessment. This would be considered a test security incident. A test irregularity report must be completed.

Before administering tests, TAs should ensure that all software applications are closed before opening the secure browser on student computers. Contact your school’s technology staff if you need assistance in closing forbidden applications.

Logging On to the Desktop Secure Browser

Students taking tests with a desktop secure browser must log on using their First Name (the student’s legal first name as it appears in the California Longitudinal Pupil Achievement Data System), State-SSID, and Session ID. California students will be testing on dedicated, state-specific secure browsers which will include the CAASPP logo, as shown in Figure 16. LEA and technology staff should follow the instructions provided in the *Technical Specifications Manual for Online Testing* and *Secure Browser Installation Manual* to ensure that the latest version of the browser is present on each machine to be used for testing. Both of these manuals are available for download on the CAASPP Instructions and Manuals Web page at <http://caaspp.org/administration/instructions/>.

Figure 16. Sample student *Sign In* screen



About Testing on iPads, Android Tablets, and Chromebooks

Students taking tests on an iPad, Android tablet, or Chromebook must use devices that are already configured for secure online testing. These devices should be ready for testing before they are given to students. For detailed instructions on configuring iPads, Android tablets, and Chromebooks, refer to the *Technical Specifications Manual for Online Testing*, which is available on the CAASPP Instructions and Manuals Web page at <http://caaspp.org/administration/instructions/>.

Configuring iPads

1. Tap the **AIRSecureTest** secure browser icon to open it.
2. Press the [**Home**] button three times in quick succession to enable Guided Access. (For more information about Guided Access, refer to the *Technical Specifications for Online Testing*.)
3. Tap the [**Start**] button in the upper-right corner. Guided Access is now activated.
4. When prompted, select “California” from the list of states (the test administration program will be autopopulated). This *Launchpad* page appears only once. The student *Sign In* screen will display.
5. The student *Sign In* screen should be ready for students to log on.

Configuring Android Tablets

1. Tap the **AIRSecureTest** secure browser icon to open it.
2. Follow the prompts on the screen. If you have not selected the secure browser keyboard, you will need to do so. (For Android secure browser keyboard instructions, refer to the *Technical Specifications for Online Testing* manual.)
3. When prompted, select “California” from the list of states (the test administration program will be autopopulated). This *Launchpad* page appears only once. The student *Sign In* screen will display.
4. The student *Sign In* screen should be ready for students to log on.

Configuring Chromebooks

1. From the [**Apps**] link on the Chrome OS login screen, select the **AIRSecureTest** secure browser.
2. When prompted, select “California” from the list of states (the test administration program will be auto-populated). This *Launchpad* page appears only once. The student *Sign In* screen will display.
3. The student *Sign In* screen should be ready for students to log on.

About Permissive Mode

Permissive Mode is a designated support option that must be enabled in the Test Operations Management System (TOMS). When Permissive Mode is enabled, students can use accessibility software in addition to the secure browser.

Permissive Mode becomes enabled when the student is approved for testing. Students who have the Permissive Mode setting enabled must **not** continue with the logon process until their accessibility software is correctly configured. Otherwise, they will have to log off and resume the logon process.

Using accessibility software with the secure browser:

1. Open the required accessibility software.
2. Open the secure browser. Begin the normal logon process through to TA approval (for logon instructions, refer to [Student Logon and Test Selection](#)).
3. When a student is approved for testing, two things happen:
 - a. The student sees the *Is This Your Test?* screen ([Step 4, Verifying Test Information](#)).
 - b. The secure browser allows the operating system’s menu and task bar to appear:

Windows: Start menu and bottom task bar

Mac: Apple menu and top task bar
4. The student **must immediately switch** to the accessibility software that is already open on the computer so that it appears “on top” of the secure browser. The student cannot select within the secure browser until the accessibility software is set up.
 - a. **Windows:** Use [Alt] + [Tab] to switch to the accessibility software application or select the application in the task bar.
 - b. **Mac:** Use [Ctrl] + [Tab] to switch to the accessibility software application or select the application in the dock.
5. The student configures the settings in the accessibility software.
6. After configuring the accessibility software settings, the student returns to the secure browser.

Important: *Once the secure browser is back “on top,” the student can no longer switch back to the accessibility software. The taskbar and operating system menu will also be hidden. If changes need to be made, the student will need to log off and back in again.*
7. The student selects [Yes, Start My Test] and continues with the logon process.

Notes:



- Permissive Mode is available only for computers running supported desktop Windows and Mac operating systems. For information about supported operating systems, refer to the *Technical Specifications Manual for Online Testing*.
- Accessibility software must be certified for use with the Smarter Balanced Test Delivery System.
- Forbidden applications will still not be allowed to run.

Secure Browser Error Messages

Possible error messages displayed by the open-source secure browser are shown in Table 19.

Table 19. Secure Browser Error Messages

Message	Description
Secure Browser Not Detected	The system automatically detects whether a computer is using the secure browser to access the online assessments. The system will not permit access to a test other than through the secure browser; under no condition should a student access a test using a nonsecure browser.

Message	Description
Unable to Establish a Connection with the Test Delivery System	If a computer fails to establish a connection with the test delivery system, a message will be displayed like the one in Figure 17. This is most likely to occur if there is a network-related problem. The causes may include an unplugged network cable or a firewall not allowing access to the Web site.

Figure 17. Unable to Establish Connection message



Force-Quit Commands for Secure Browsers

In the rare event that the secure browser or test becomes unresponsive and you cannot pause the test or close the secure browser, you have the ability to “force quit” the secure browser.

To force the browser to close, use the following keyboard commands. (Reminder: This will log the student off of the test he or she is taking. When the secure browser is opened again, the student will have to log back on to resume testing.)



Warning: You are strongly advised against using the force-quit commands, as the secure browser treats this action as an abnormal termination. The secure browser hides features such as the Windows taskbar; if the secure browser is not closed correctly, then the taskbar may not reappear correctly.

These commands should be used only if the [Close Secure Browser] button does not work.



Note: The force-quit command will log the student off of the test he or she is taking. When the secure browser is opened again, the student will have to log on again to resume testing.

Force-quit Commands
<p>Windows: [Ctrl] + [Alt] + [Shift] + [F10] Mac OS X: [Ctrl] + [Alt] + [Shift] + [F10] Linux: [Ctrl] + [Alt] + [Shift] + [Esc]</p> <p><i>Note for Windows and Mac Users:</i> If you are using a laptop or netbook, you may also need to press the [FN] key before pressing [F10].</p>

Force-quit commands do not exist for the mobile secure browser for iOS and Android tablets. To close the secure browser:

- **iOS (iPads):** Triple-click the [Home] button to exit Guided Access, and then close the app as you would any other iOS app.
- **Android:** Tap the [Exit] button in the upper-right corner to close the secure browser.

APPENDIX H: NON-PERFORMANCE TASK PAUSE RULE SCENARIOS

Scenarios:

1. If the computer adaptive test (CAT) portion of the test is paused for less than 20 minutes, the student can return to previous test pages and change the response to any item he or she has already answered within a segment.
2. If the CAT portion of the test is paused for more than 20 minutes, the test will return the student to the last page with unanswered items when the student resumes testing. If a page has both answered and unanswered items, the student may change any answers on that page. The student may not return to previous pages and cannot change answers to items on previous pages.
 - a. Example: A single test page has items 4–10. A student answers items 4–7 and pauses the test for more than 20 minutes. When the student resumes testing, he or she can change answers to items 4–10 but cannot return to items 1–3 on an earlier page.
 - b. Example: A page contains items 9–11 and a student answers all of those items before pausing the test for more than 20 minutes. When the student resumes testing, he or she will begin on item 12 and cannot return to items 1–11.

APPENDIX I: LEA CAASPP COORDINATOR CHECKLIST

LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Direct Responsibilities				
<input type="checkbox"/> 1. Notify schools when training materials are available.	<i>Online Test Administration Manual (TAM), section 2.1</i>		Complete at least 5–6 weeks prior to testing.	http://caaspp.org/training/caaspp/
<input type="checkbox"/> 2. Notify schools when administration manuals are available.	<i>TAM, section 2.1</i>		Complete at least 5–6 weeks prior to testing.	http://caaspp.org/administration/instructions/
<input type="checkbox"/> 3. Review all Smarter Balanced policy and test administration documents.	<i>TAM, section 2.1</i>	3 to 5 hours	Complete at least 5–6 weeks prior to testing.	http://caaspp.org/administration/instructions/
<input type="checkbox"/> 4. Review scheduling and testing requirements with CAASPP Test Site Coordinators (SCs).	<i>TAM, sections 7.2 and 7.3</i>	60–90 minutes	Complete at least 3–4 weeks prior to testing.	http://caaspp.org/administration/instructions/
<input type="checkbox"/> 5. Plan any state-required training for SCs and Test Administrators (TAs); retrain as needed.	<i>None</i>		Complete at least 3 weeks prior to testing.	
<input type="checkbox"/> 6. Review training modules and schedule training session for SCs.	<i>TAM, section 2.1</i>	2–3 hours	Complete while spaced over 2–3 weeks prior to testing.	http://caaspp.org/training/caaspp/
<input type="checkbox"/> 7. Review security procedures with SCs and TAs.	<i>TAM, sections 3.0, 4.0, and Appendix C</i>		Complete at least 2–3 weeks prior to testing.	http://caaspp.org/training/caaspp/ http://caaspp.org/administration/instructions/

LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 8. Work with LEA Technology Coordinators to ensure timely computer setup. <ul style="list-style-type: none"> • Conduct network diagnostics. • Download the secure browser. • Verify that schools meet the minimum technology requirements. 	<i>Technical Specifications Manual (TSM)</i> , section I, Network Diagnostic Tools <i>Secure Browser Installation Manual</i> , section V <i>TSM</i> , sections II and III	5–10 hours	Complete at least 2 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2015.pdf http://caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2015.pdf
<input type="checkbox"/> 9. Work with schools to review and verify California Longitudinal Pupil Achievement Data System (CALPADS) student demographic data in the Test Operations Management System (TOMS).	<i>TOMS Online Student Test Settings User Guide</i>	2–4 hours	Complete at least 2 weeks before testing and during testing.	http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf
<input type="checkbox"/> 10. Perform an equipment needs assessment based on individual student requirements. <ul style="list-style-type: none"> • Work with the SC to identify students who will need specialized equipment for accommodations. • Communicate with the SC/TAs to identify the number of headsets needed in order to take the English language arts/literacy (ELA) Listening portions of the assessment. Place order for the number of headsets needed plus extra. 	None	1–2 hours	Complete at least 2 weeks prior to testing.	Students are permitted and encouraged to use their own ear buds or headsets—but LEAs and schools should also plan on having some available.

LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Monitor Administration Activities				
<input type="checkbox"/> 11. Investigate all testing improprieties, irregularities, and breaches reported by TAs. <ul style="list-style-type: none"> Follow reporting procedure according to section 4.0. 	TAM, section 4.0	As needed	Ongoing. Deadline for all submissions will be one week after the testing window closes.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 12. Report any test security incident in the Appeals module in TOMS (if appropriate) and report to the appropriate personnel according to the guidelines in section 4.0 and 5.0.	TAM, sections 4.0 and 5.0 <i>Appeals User Guide</i>	As needed		http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf http://caaspp.org/rsc/pdfs/CAASPP.appeals-guide.2015.pdf
<input type="checkbox"/> 13. Monitor with the LEA Technology Coordinator any technical problems to apply resolutions or disseminate information at other school sites prior to testing.	None		Ongoing throughout the testing window.	
Oversight Responsibilities				
<input type="checkbox"/> 1. Ensure that SCs and TAs in the LEA are appropriately trained and aware of policies and procedures, especially related to security.	TAM, sections 3.0 and 4.0		Complete at least 3 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 2. Review school test administration schedules for adequate time and resource planning.	TAM, section 7.3		Complete at least 3 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 3. Verify that SCs and TAs have reviewed student information in TOMS and are verifying student settings for designated supports and accommodations in TOMS.	<i>TOMS Assigning and Managing Student Test Registration</i>		Complete at least 2 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf

	LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	4. You or your designee must be available during your testing window for questions and problem solving.	None		Complete during your entire testing window.	
<input type="checkbox"/>	5. Communicate regularly with SCs any emerging trends or issues.	None		Complete during your entire testing window.	

Contact Information	
Questions about state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 E-mail: caaspp@cde.ca.gov</p> <p>California Department of Education (in the event of a security breach or irregularity)</p> <p>Name: CAASPP Office Fax: 916-319-0969 E-mail: CAASPPirreg@cde.ca.gov</p>	<p>California Technical Assistance Center 800-955-2954 CalTAC@ets.org http://caaspp.org/about/smarter-balanced/ http://caaspp.org/administration/instructions/ Hours of operation: Monday through Friday, 7 a.m. to 5 p.m. PT</p>

APPENDIX J: CAASPP TEST SITE COORDINATOR CHECKLIST

CAASPP Test Site Coordinator (SC) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Direct Responsibilities				
<input type="checkbox"/> 1. Attend trainings your LEA offers and review all Smarter Balanced policy and test administration documents.	<i>Online Test Administration Manual (TAM)</i> , section 2.1	2 to 4 hours	Complete at least 3 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 2. Ensure that all Test Administrators (TAs) attend your school's or LEA's training and review the self-paced online training modules posted on the CAASPP portal. Review with TAs the videos ("What is a CAT?" and "What are Universal Tools?") and encourage them to show these to their students in preparation for the test.	<i>TAM</i> , section 2.1	2–3 hours	Complete at least 3 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf http://caaspp.org/training/caaspp/
<input type="checkbox"/> 3. Work with technology personnel to ensure timely computer setup: <ul style="list-style-type: none"> • Conduct network diagnostics. • Download the secure browser. • Verify that your school has met the minimum technology requirements. • Ensure that other technical issues are resolved before and during testing. 	<i>Technical Specifications Manual (TSM)</i> , section I, Network Diagnostic Tools <i>Secure Browser Installation Manual</i> <i>TSM</i> , sections II and III	5–10 hours	Complete at least 3–4 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2015.pdf http://caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2015.pdf

CAASPP Test Site Coordinator (SC) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 4. Communicate with the TAs to identify the number of headsets needed for each testing site and ensure that the needed number are available at least two weeks prior to the testing window. <ul style="list-style-type: none"> • Headsets are required for the English language arts/literacy (ELA) Listening portions of the assessment, for students who require text-to-speech, or for students requiring audio glossaries (mathematics only). • Communicate with the LEA CAASPP Coordinator to identify the number of headsets needed. 	None	Up to 1 hour	Complete at least 2 weeks prior to testing.	Order the number needed plus extra. Students are permitted and encouraged to use their own ear buds or headsets—but LEAs and schools should also plan on having some available.
<input type="checkbox"/> 5. Perform an equipment needs check based on individual student requirements. <ul style="list-style-type: none"> • Work with TAs to identify students who will need specialized equipment for accommodations. 	None	1–2 hours	Complete at least 2 weeks prior to testing.	
<input type="checkbox"/> 6. Based on the test administration windows, work with TAs and LEA CAASPP Coordinators to establish a testing schedule.	TAM, section 7.4	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 7. Work with TAs to review student information in the Test Operations Management System (TOMS) before students are tested to ensure that correct student information and test settings for designated supports and accommodations are applied.	TOMS <i>Assigning and Managing Student Test Registration</i> TAM, section 9.2	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf

CAASPP Test Site Coordinator (SC) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 8. Establish a place to test those students who need a separate test setting.	<i>Usability, Accessibility, and Accommodations Guidelines</i>	1–2 hours	Complete at least 1–2 weeks prior to testing.	http://caaspp.org/administration/instructions/
<input type="checkbox"/> 9. Work with TAs to plan a quiet activity for each test session for students who finish early.	<i>None</i>	30 minutes	Complete the week of testing.	The activity should not be related to the test being given. For example, students who finish early may work on assignments for unrelated subjects or read a book.
<input type="checkbox"/> 10. Because all assessments will have computer adaptive test (CAT) items plus a performance task (PT) with a classroom-based activity: <ul style="list-style-type: none"> • Download and review the Classroom Activity for your grade(s). • Work with your TAs to plan the administration of the Classroom Activity. 	<i>TAM, section 9.2</i>	30–60 minutes planning the day prior to administering the PT	Complete the week of testing.	Administration of the CAT items plus a PT with a classroom-based activity will require advance preparations. http://caaspp.org/
<input type="checkbox"/> 11. Ensure proper handling of all printed test materials and scratch paper. Collect all test materials on each day of testing to keep in a secure location until after the test session, and then destroy according to the security policy outlined in the TAM.	<i>TAM, sections 3.2 and 11.0</i>		Complete during and after testing window.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 12. Ensure adherence to all security policies. <ul style="list-style-type: none"> • Read and sign the <i>CAASPP Test Security Agreement</i> and submit it to your LEA CAASPP Coordinator. • Ensure that all TAs read and sign <i>CAASPP Test Security Affidavits</i>. 	<i>TAM, section 3.0</i>			http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf

CAASPP Test Site Coordinator (SC) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 13. Document any testing impropriety, irregularity, or breach and report to the LEA CAASPP Coordinator immediately after learning of the incident.	TAM, sections 4.0 and 5.0	As needed	Ongoing	http://caaspp.org/administration/forms/
Monitor Administration Activities				
<input type="checkbox"/> 14. Monitor testing progress during the testing window and ensure that all students participate as appropriate, addressing student issues as needed.	None	As needed	Ongoing	
<input type="checkbox"/> 15. Raise any technical issues with the School Technology Coordinator for resolution.	None	As needed	Ongoing	
<input type="checkbox"/> 16. Review, investigate, and report on all potential testing improprieties, irregularities, and breaches reported by the TA. Mitigate incidents when appropriate.	TAM, sections 4.0 and 5.0	As needed	Ongoing	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf http://caaspp.org/administration/forms/
Oversight Responsibilities				
<input type="checkbox"/> 17. Verify that TAs have verified student settings for designated supports and accommodations in TOMS.	TOMS Online Student Test Settings User Guide		Complete at least 1–2 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf
<input type="checkbox"/> 18. Verify that TAs or other instructional staff have administered the Classroom Activity.	None		Complete no more than three days prior to testing the PT.	
<input type="checkbox"/> 19. Verify that TAs have scheduled make-up sessions of the Classroom Activity for students who were absent for the first administration.	None		Complete no more than three days prior to testing the PT.	
<input type="checkbox"/> 20. Assist TAs in taking proper measures to ensure that students have access only to allowable non-embedded resources	None		Complete prior to testing.	

CAASPP Test Site Coordinator (SC) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
during testing.				
<input type="checkbox"/> 21. Verify that TAs are adhering to all test security policies and practices.	TAM, sections 3.0, 4.0, 5.0, and Appendix C		Complete during testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf

Contact Information	
Questions about the overall administration and state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 E-mail: caaspp@cde.ca.gov</p>	<p>School Technology Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>LEA CAASPP Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>http://caaspp.org/administration/instructions/</p>

APPENDIX K: TEST ADMINISTRATOR CHECKLIST

	Test Administrator (TA) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	1. Review all Smarter Balanced policy and test administration documents, particularly the <i>Test Administrator (TA) Reference Guide (Reference Guide)</i> .	<i>Reference Guide, section I</i>	1–2 hours	Complete at least 2–3 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf
<input type="checkbox"/>	2. Review the training modules and attend school or local educational agency (LEA) training sessions, if any are offered.	<i>Online Test Administration Manual (TAM), section 2.1</i>	2–3 hours	Complete at least 2–3 weeks prior to testing.	http://caaspp.org/training/caaspp/ http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/>	3. Show students the videos “What is a CAT?” and “What are Universal Tools?”	<i>TAM, section 2.1</i>	1 hour	Complete while spaced over 2–3 weeks prior to testing.	http://caaspp.org/training/caaspp/
<input type="checkbox"/>	4. Provide students with a walk-through of the Training Test and/or Practice Test for familiarity with navigation of the system and tools.	<i>Reference Guide, Appendix B</i>	1 hour	Complete while spaced over 2–3 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2015.pdf http://caaspp.org/practice-and-training/
<input type="checkbox"/>	5. Perform an equipment needs check based on individual student requirements. <ul style="list-style-type: none"> • Work with the CAASPP Test Site Coordinator (SC) to identify students who will need specialized equipment for accommodations. 	<i>None</i>	1–2 hours	Complete at least 2 weeks prior to testing.	Students are permitted and encouraged to use their own ear buds or headsets—but LEAs and schools should also plan on having some available.

Test Administrator (TA) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 6. Work with the SC to determine precise testing schedules based on the test administration windows selected by the school schedule. <ul style="list-style-type: none"> • Make sure your students' test administration schedule includes allowable breaks and time for the Classroom Activity prior to the performance task. 	<i>TAM, section 7.3</i>		Complete at least 1–2 weeks prior to testing.	
<input type="checkbox"/> 7. Confirm that you have received your Test Operations Management (TOMS) logon information. You should have received an automated e-mail from TOMS notifying you of how to log on. You will also use this username and password for the Online Testing System.	<i>TOMS Passwords, Access, and Logon Guide</i>	30–60 minutes	Complete at least 1–2 weeks prior to testing.	If you have not received this information, please check your spam/junk e-mail folder to see if it was mistakenly routed there. If not, check with your SC. http://caaspp.org/rsc/pdfs/CAASPP.TOMS-access-and-logon.2015.pdf
<input type="checkbox"/> 8. Work with your SC to ensure that each student has a Statewide Student Identifier (SSID) and is registered for an appropriate paper-pencil test as necessary.	<i>None</i>	2–4 hours	Complete at least 1–2 weeks prior to testing.	
<input type="checkbox"/> 9. Confirm each student's test settings for designated supports and accommodations in TOMS against their individualized education program (IEP), Section 504 plan, or other relevant documentation as appropriate.	<i>TOMS Online Student Test Settings User Guide</i>	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2015.pdf

Test Administrator (TA) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 10. Ensure that the secure browser has been downloaded to any computer(s) on which students will be testing.	<i>Secure Browser Installation Manual</i>	1–2 hours	Complete at least 1–2 weeks prior to testing <i>and again</i> the day before testing or morning of testing.	Check with your SC or School Technology Coordinator if the [Secure Browser] icon is missing. http://caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2015.pdf
<input type="checkbox"/> 11. Prior to administration, check all computers that will be used and close all applications except those identified as necessary by the school’s Technology Coordinator. Make sure that no computer has dual monitors. <ul style="list-style-type: none"> • Work with your SC to set system volume prior to students launching the secure browser to ensure students can hear the audio portions of the ELA segment. 	<i>None</i>	1–2 hours	Complete the morning of testing.	The TA should open the secure browser on each computer after closing any unnecessary applications.
<input type="checkbox"/> 12. Communicate to students the need for headsets in order to take the English language arts/literacy (ELA) Listening portions of the assessment. <ol style="list-style-type: none"> a. Identify any students who may not have their own headsets and make arrangements with the school to have headsets available for those students. Counts should be determined prior to testing. b. Also have extra headsets on hand for students who may forget to bring theirs. 	<i>None</i>		Make a count of needed headsets (vs students who have their own) at least 3 weeks prior to testing and tell your SC the number needed. Three days before testing, remind students to have their headsets available the day of tests. One day before testing, remind students to bring their headsets.	Administration of the ELA assessment will contain a listening portion. Students will need ear buds or headsets. Make sure your school has extras available for students who may need them on the day of testing. Have extra headsets on hand in case students forget.

Test Administrator (TA) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources	
<p>c. Send reminders to students and parents several days before and the day prior to testing to remind parents that students may bring their own headsets but that headsets will be provided to students without headsets on the day of testing.</p>					
<input type="checkbox"/>	<p>13. All assessments will have computer adaptive computer adaptive test (CAT) items plus a performance task (PT) with a Classroom Activity.</p> <p>a. Obtain the Classroom Activity from your SC and plan for the administration.</p> <p>b. Administer the Classroom Activity.</p>	<p>TAM, section 9.2</p>	<p>60 minutes planning the day prior to administering the PT</p> <p>30 minutes actual Classroom Activity administration time</p>	<p>Complete the week of testing.</p>	<p>Administration of the CAT items plus a PT with a classroom-based activity will require advance preparations.</p> <p>http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf</p>
<input type="checkbox"/>	<p>14. Plan a quiet activity for each test session for students who finish early.</p>	<p>None</p>	<p>15–30 minutes</p>	<p>Complete the week of testing.</p>	<p>The activity should not be related to the test being given. For example, students who finish early may work on assignments for unrelated subjects or read a book.</p>
<input type="checkbox"/>	<p>15. Administer the Smarter Balanced assessments, following the script and directions for administration. Provide any necessary non-embedded designated supports and accommodations.</p>	<p><i>Directions for Administration for the Smarter Balanced Online Summative Assessments, section II</i></p>		<p>Complete the day(s) of testing.</p>	<p>Provide students with scratch paper for all test sessions. Also provide students in grades 6 and above graph paper for the mathematics assessments.</p> <p>http://caaspp.org/rsc/pdfs/CAASPP.ta-odfa.2015.pdf</p>

Test Administrator (TA) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 16. On the day of testing, verify that the students have their logon information (first name, SSID, and Session ID).	TAM, section 9.2		Complete the day(s) of testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 17. Review all guidelines for creating a secure test environment. <ul style="list-style-type: none"> • Review all security procedures and guidelines in the TAM. • Carefully read and sign the CAASPP Test Security Affidavit. 	TAM, section 3.0		Prior to and during day(s) of testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf
<input type="checkbox"/> 18. Make sure the physical conditions of the testing room are satisfactory. <ul style="list-style-type: none"> • Make sure that no instructional materials directly related to the content of the assessments are visible. • Students should be seated so there is enough space between them, or provide desktop partitions to minimize opportunities to look at each other's screen. • Actively monitor students throughout the test sessions. • Students who are not being tested may not be in the room where a test is being administered. 	TAM, section 3.0		Complete the day(s) of testing.	<ul style="list-style-type: none"> • Make sure students clear their desks and put away all books, backpacks, purses, cell phones, electronic devices of any kind, and other materials not needed for the test. • Ensure that students do not access unauthorized electronic devices (such as cell phones) at any time during testing. http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf

Test Administrator (TA) Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 19. Report any testing improprieties, irregularities, and breaches to the SC and LEA CAASPP Coordinator in writing immediately following an impropriety, irregularity, or breach.	<i>TAM, sections 4.0, 5.0, and Appendix C</i>		Complete as soon as possible during or immediately following testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf http://caaspp.org/administration/forms/
<input type="checkbox"/> 20. Securely dispose of all printed testing materials, including student logon information, print-on-demand documents, and scratch paper in a secure manner.	<i>TAM, sections 3.0 and 11.0</i>		Complete after testing.	http://caaspp.org/rsc/pdfs/CAASPP.online_tam.2015.pdf

Contact Information	
Questions about the overall administration and state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 E-mail: caaspp@cde.ca.gov</p>	<p>School Technology Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>CAASPP Test Site Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>LEA CAASPP Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p>

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CHANGE LOG

Change	Section	Date
Replaced “non-performance task” and “non-PT” with “computer adaptive test” and “CAT.”	Global	February 18, 2015
Replaced <i>Figure 2. [Test Administrator Interface] button</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 42</i>	February 18, 2015
Updated step 2 <i>The TA begins the test session by selecting tests instructions</i> , including figures.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 42–43</i>	February 18, 2015
Replaced <i>Figure 4. Start the Session</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 42</i>	February 18, 2015
Replaced <i>Figure 5. Select a test category n</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 43</i>	February 18, 2015
Replaced <i>Figure 6. Select a grade and content area</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 43</i>	February 18, 2015
Replaced <i>Figure 7. Sample Session ID in the TA Interface</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 44</i>	February 18, 2015
Replaced <i>Figure 9. Approve Student Test in the TA Interface</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 46</i>	February 18, 2015
Replaced <i>Figure 12. Monitoring student progress in the TA Interface</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 48</i>	February 18, 2015
Replaced <i>Figure 13. Monitoring student status in the TA Interface</i> with an updated graphic.	<i>Section 10.0. Test Administration Instructions and Scripts for the Day of Testing, page 49</i>	February 18, 2015

Change	Section	Date
Replaced <i>Figure 15. Sample student Sign-In screen</i> with an updated graphic.	<i>Appendix G. About the Secure Browser, page 75</i>	February 18, 2015
Updated the instructions to securely delete a print-on-demand file.	<i>3.0 Ensuring Test Security, 3.2 Secure Handling of Printed Materials, Using print-on-demand materials, page 15; and Destruction of electronic files, page 16</i>	March 5, 2015
Updated the “SAY” box instructions for administering the EAP.	<i>Section 10.0 Test Administration Instructions and Scripts for the Day of Testing, 10.1 Starting a Test Session, Step 8, page 49</i>	March 5, 2015
Added <i>Figure 14. EAP question on grade eleven tests.</i>	<i>Section 10.0 Test Administration Instructions and Scripts for the Day of Testing, 10.1 Starting a Test Session, Step 8, page 51</i>	March 5, 2015

CALIFORNIA

Assessment of Student Performance and Progress

Smarter Balanced Online Test Administration Manual

2015-16 Administration

Smarter Balanced Online Summative Assessments
for English Language Arts/Literacy and Mathematics



Updated January 2016.

California customization prepared by Educational Testing Service ©

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Table of Acronyms and Initialisms in the *Online Test Administration Manual*

Term	Meaning
ASL	American Sign Language
CAAs	California Alternate Assessments
CAASPP	California Assessment of Student Performance and Progress
CALPADS	California Longitudinal Pupil Achievement Data System
CaITAC	California Technical Assistance Center
CAT	computer adaptive test
CCC	California Community Colleges
CCR	<i>California Code of Regulations</i>
CDE	California Department of Education
CSU	California State University
EAP	Early Assessment Program
ELA	English language arts/literacy
ELs	English learners
IEP	individualized education program
ISAAP	Individual Student Assessment Accessibility Profile
LEA	local educational agency
ORS	Online Reporting System
PDA	personal digital assistant
PT	performance task
SSID	statewide student identifier
STAIRS	Security and Test Administration Incident Reporting System
TAM	<i>Online Test Administration Manual</i>
TOMS	Test Operations Management System
TSM	<i>Technical Specifications Manual for Online Testing</i>

California Support for the Smarter Balanced Online Assessments

The California Assessment of Student Performance and Progress (CAASPP) portal at <http://www.caaspp.org/> is the home for all CAASPP System online assessments including Smarter Balanced assessment administration information as well as for information on paper-pencil test administration.



Note: Requests for paper-pencil versions of the online summative assessments were due to the California Technical Assistance Center (CaTAC) by September 30, 2015, for the 2015–16 CAASPP administration.

For questions regarding the online testing system or for additional assistance:

- Local educational agency (LEA) CAASPP coordinators should contact the California Technical Assistance Center (CaTAC) by phone at 800-955-2954, by e-mail at caltac@ets.org, or by using the chat function linked on the CAASPP portal at <http://www.caaspp.org/>.
- CAASPP test site coordinators should contact their LEA CAASPP coordinator.
- Test administrators and other school personnel should contact their CAASPP test site coordinator.

CaTAC is open from 7 a.m. to 5 p.m. Monday through Friday. During these hours, staff will respond promptly to calls.

When contacting CaTAC, provide the representative with as much detail as possible about the issue(s) encountered and the system on which it occurred. This should include the following:

- type of device being used for the test;
- any error messages that appeared (code and description);
- operating system and browser (Web browser or secure browser) information;
- network configuration information;
- your contact information for follow-up, including an e-mail address and phone number; and
- any relevant and authorized student and school information, including statewide student identifier (SSID), grade level, content area, and performance task (PT) or computer adaptive test (CAT) (also known as a non-performance task test).

For your convenience, a California Technical Assistance Center Tracking Form been posted to the CAASPP Forms Web page at <http://www.caaspp.org/administration/forms/>.

CaTAC may be contacted by LEA CAASPP coordinators for situations and questions that include the following:

1. The testing environment is down or unavailable.
2. User accounts are not available or users are not able to administer tests.
3. Student information is incorrect or missing.
4. You experience difficulty loading student test settings into the Test Operations Management System (TOMS).
5. You have questions about or need assistance with Security and Test Administration Incident Reporting System (STAIRS) or Appeals functionality.
6. You need help preparing for online testing—downloading the secure browser, voice packs, etc.
7. Tests are incorrectly showing as available to students when they log on to begin testing.
8. You want to request password resets for LEA users.
9. Student test settings are not presenting as intended.

1.0 Overview of the Smarter Balanced Assessments

What's New in the California Smarter Balanced Online Summative Assessments in 2015–16

Table 1 describes what is new in the 2015–16 California Assessment of Student Performance and Progress (CAASPP) Smarter Balanced administration. See also the individual manuals for the Test Operations Management System (TOMS) for details about how these changes have been implemented.

Table 1: What's New in the 2015–16 CAASPP Administration

Feature	Change
Accessibility Supports	
CAASPP Individual Student Assessment Accessibility Profile (ISAAP) Tool	<p>The CAASPP 2015–16 ISAAP Tool has been updated; do not use the ISAAP Tool from a previous administration. (The current ISAAP Tool includes “CAASPP” and the test administration year in the file name.)</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Request an unlisted resource	<p>Unlisted resources, previously called <i>individualized aids</i>, must be requested in TOMS.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Student's special education, Section 504 plan, and primary disability code statuses tied to eligibility for accommodations, unlisted resources, and California Alternate Assessments	<p>Student data in the California Longitudinal Pupil Assessment Data System (CALPADS) should be kept current to ensure that students remain eligible to take the appropriate test with the appropriate settings.</p> <p>The CALPADS settings must indicate the student's individualized education program (IEP) or Section 504 plan status to enable selection of accommodations or unlisted resources in the student test settings interface in the Test Operations Management System (TOMS). The education program (field 3.13) must be set for “special education” (value 144) and provide a primary disability category (field 3.21) or “504 Plan” (value 101).</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>

Feature	Change
Designated support/accommodation changes	<ul style="list-style-type: none"> The <i>Separate Setting</i> non-embedded support accommodation for English language arts/literacy (ELA) and mathematics now includes <i>Special Lighting or Acoustics</i> and <i>Administration of the Test to the Pupil at the Most Beneficial Time of The Day</i>. <i>Translated Test Directions</i> are an allowable non-embedded support for English language arts/literacy. The embedded accommodation <i>Text-to-Speech</i> for reading passages is now permitted for all grades. <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Designated support/accommodation additions	<ul style="list-style-type: none"> <i>Calculator</i> for allowed items has been added as a non-embedded accommodation for grades six through eight and eleven mathematics. <i>Read Aloud in Spanish</i> for mathematics items and stimuli has been added as a non-embedded designated support. <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Designated support/accommodation removals	<ul style="list-style-type: none"> <i>American Sign Language</i> for ELA reading items, reading passages, and ELA writing and listening items and mathematics has been removed as a non-embedded support. The non-embedded protractor and non-embedded ruler (<i>Math Tools</i>) have been removed as non-embedded supports for mathematics. <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Policy	
Adoption of emergency regulations	<p>CAASPP emergency regulations were adopted by the State Board of Education at its November 2015 meeting.</p> <p>Please refer to this Web resource for more information: http://www.cde.ca.gov/re/lr/rr/documents/caasppemerregsamended.doc.</p>
Addition of the operational California Alternate Assessments (CAAs)	<p>The CAAs, the CAASPP alternate assessments in English language arts and mathematics, are administered to students using the secure browser.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.caa-tam.2016.pdf.</p>

Feature	Change
Administration of the Classroom Activity	Failure to administer the Classroom Activity within requested guidelines or failure to administer it at all is not a testing irregularity and should not be reported using the <i>CAASPP Security and Test Administration Incident Reporting System (STAIRS)</i> form. Please note that failure to administer the Classroom Activity will not impact accountability results. For more information, see the California Department of Education's Communication for Local Educational Agencies at http://www.cde.ca.gov/ta/tg/ca/classactivityreqltr.asp .
Processes	
Updates to definitions of testing windows	<ul style="list-style-type: none"> • For example: Windows were recalculated to start on the day of completion of 66 percent of instruction (rather than the day after completion). • The 2015–16 CAAs have been assigned a fixed testing window between April 11 and June 17, 2016. Please refer to these resources for more information: <ul style="list-style-type: none"> • http://www.caaspp.org/rsc/pdfs/CAASPP.test_admin_setup.2016.pdf • http://www.cde.ca.gov/re/lr/rr/documents/caasppemerregsamended.doc
Testing cutoff	Students cannot access the test delivery system after the selected testing window has closed.
Submittal of incidents/irregularities and appeals	A new process, the Security and Test Administration Incidents Reporting System (STAIRS), requires local educational agency (LEA) CAASPP coordinators and CAASPP test site coordinators to submit the <i>CAASPP STAIRS</i> form to report an incident or an irregularity. If STAIRS determines that an appeal is required, the appeal will be filed in TOMS. Please refer to these resources for more information: <ul style="list-style-type: none"> • Section 4.0 Responding to Testing Improprieties, Irregularities, and Breaches • http://www.caaspp.org/stairs/
Condition code submittal	The condition codes for parent/guardian exemption (PGE) and not tested due to medical emergency (NTE) are submitted in TOMS by the next calendar day after the last day of the selected testing window. Please refer to this resource for more information: http://www.caaspp.org/administration/toms/condition-codes2015-16.html .

Feature	Change
Secure Browser	
Updated version	The current version of the secure browser for all platforms except for Mac OSX 10.5 has been updated to version 8.x. Secure browsers used during the 2014–15 CAASPP administration cannot be used for 2015–16 administration. Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf .
Auto update capability	The current secure browser—version 8.x—will, by default update automatically. This capability can be turned off. Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf .
No uninstallation required	The current version of the secure browser—version 8.x—can, in most cases, be installed over a previous version. Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf .
Test Administrator Interface	
Color coding	Assessment types—summative or interim—are color coded in the <i>Operational Test Selection</i> window: <ul style="list-style-type: none"> • Summative—purple • CAAs—blue • Interim—green • Practice tests—orange • Training tests—yellow Please refer to this manual for more information http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf .
Updated test selection (summative vs. interim, content area) window	Test administrators can drill down within a test hierarchy to select a content area and test type. Please refer to this manual for more information http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf .

Feature	Change
User Roles	
New user roles	<p>The following are user roles associated with CAASPP administration. New user roles are <i>italicized</i>.</p> <ul style="list-style-type: none"> • LEA CAASPP Coordinator • Test Site Coordinator • Test Administrator • <i>Test Examiner</i> • <i>Test Administrator & Test Examiner</i> • <i>IA Administrator Only</i> • <i>Educator – District</i> • <i>Educator – Test Site</i> • <i>Educator – Roster</i> <p>Please refer to this resource for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.user-role-guidance.2016.docx.</p>

1.1 About the Smarter Balanced Assessment Consortium

The Smarter Balanced Assessment Consortium is a multi-state, state-led consortium that developed next-generation assessments aligned to the Common Core State Standards in English language arts/literacy (ELA) and mathematics that accurately measure student progress toward college- and career-readiness. For more information about the Smarter Balanced Assessment Consortium, go to <http://www.smarterbalanced.org>.

1.2 About the Test

The Smarter Balanced summative assessments are available in ELA and mathematics to students in grades three through eight and grade eleven. Each content area of the online test consists of a computer adaptive test (CAT) as well as a performance task (PT).

1.3 Test Administration Roles and Responsibilities

Sample users' roles and responsibilities for the test are provided in Table 2.

Table 2: User Roles in the Online Testing System

User Role	Description
LEA CAASPP Coordinator	<p>LEA CAASPP coordinators were designated by the district superintendent at the beginning of the 2015–16 school year. A signed <i>Superintendent Designation Form</i> appointing the LEA CAASPP coordinator and a signed <i>CAASPP Test Security Agreement</i> from the LEA CAASPP coordinator must be on file with the California Technical Assistance Center (CalTAC). LEA CAASPP coordinators are responsible for the following:</p> <ul style="list-style-type: none"> • adding CAASPP test site coordinators and test administrators into TOMS; • setting up test administration windows in TOMS and assigning schools within the LEA to those windows; • assigning students to tests either in TOMS or using batch upload; • verifying and/or assigning designated supports and accommodations to students either in TOMS, using the Individual Student Assessment Accessibility (ISAAP) Tool, or using batch upload; • requesting unlisted resources for students in TOMS; • ensuring that the CAASPP test site coordinators, test administrators, and test examiners in their LEA are appropriately trained regarding the state and Smarter Balanced assessment administration as well as security policies and procedures; • printing out checklists from this manual (and also posted independently on the CAASPP Instructions and Manuals Web page at http://www.caaspp.org/administration/instructions/) for CAASPP test site coordinators and test administrators to review in preparation for the summative assessments; • reporting all test security irregularities and/or breaches that occur before, during, or after test administration to the California Department of Education (CDE) within 24 hours of discovery using the online STAIRS process, which is available at http://www.caaspp.org/stairs/. (<i>California Code of Regulations</i>, Title 5 [5 CCR], Section 859 [e]) • assuming general oversight responsibilities for all administration activities in their LEA schools; • accessing and reviewing test completion rates for the LEA in the Online Reporting System (ORS); • creating student rosters in the ORS; • accessing and reviewing preliminary student reports (including assessment target reports) and aggregate statistics for the LEA in the ORS;

User Role	Description
	<ul style="list-style-type: none"> accessing and reviewing preliminary and final student reports and aggregate data for the LEA in TOMS; and distributing printed Student Score Reports to students and test sites.
<p>CAASPP Test Site Coordinator <i>Note: A CAASPP test site coordinator can be a principal, vice principal, technology coordinator, counselor, or other staff member. If possible, a CAASPP test site coordinator should be a person with non-instructional or limited instructional duties so that he or she can coordinate and monitor testing activity in the school.</i></p>	<p>CAASPP test site coordinators are designated by the LEA CAASPP coordinator. CAASPP test site coordinators are added to TOMS by the LEA CAASPP coordinator. (<i>Note: There can be more than one CAASPP test site coordinator as required by school need.</i>) CAASPP test site coordinators are responsible for:</p> <ul style="list-style-type: none"> identifying test administrators and other test site staff (such as test examiner, test administrator & test examiner, IA Administrator Only, Educator – Test Site, and Educator – Roster) as appropriate, ensuring that they are properly trained, and ensuring that they have submitted signed CAASPP Test Security Affidavits as appropriate (5 CCR Section 859 [c]); adding test administrators, test examiners, test administrators & test examiners, IA Administrator Only, Educator – Test Site, and Educator – Roster as appropriate into TOMS; maintaining registration accounts for test administrators and test examiners at their sites for use of the CAASPP System, including the summative and interim assessments and formative assessment tools; coordinating with test administrators and test administrators & test examiners so they administer all assessments; verifying and/or assigning designated supports and accommodations to students either in TOMS, using the ISAAP Tool, or using batch upload; requesting unlisted resources for students in TOMS; creating or approving testing schedules and procedures for the school (consistent with state and LEA policies); working with technology staff to ensure that necessary secure browsers are installed and any other technical issues are resolved; monitoring testing progress during the testing window using the ORS and ensuring that all students participate, as appropriate; using the school’s procedure for correcting student data errors reported by test administrators in the California Longitudinal Pupil Achievement Data System (CALPADS), verifying the corrections in TOMS, and ensuring that the student’s test session is rescheduled; addressing testing problems, as needed;

User Role	Description
	<ul style="list-style-type: none"> mitigating and reporting all test security incidents in a manner consistent with Smarter Balanced, state, and LEA policies; assuming general oversight responsibilities for all administration activities in their school and for all test administrators, test administrators & test examiners, and other school staff; creating student rosters in the ORS; accessing and reviewing completion status reports for the test site in the ORS; and accessing and reviewing preliminary student reports and aggregate statistics for the test site in the ORS.
<p>Test Administrator</p> <p><i>Note: The Smarter Balanced assessments should be administered by individuals with an existing state certification in education (e.g., teachers, school psychologists, principals, etc.). Pursuant to the emergency California Code of Regulations, Title 5 (5 CCR), emergency regulations Section 850 (ad), a test administrator is an employee or contractor of an LEA or a nonpublic, nonsectarian school (NPS) who has signed a CAASPP Test Security Affidavit and has received training to administer the CAASPP achievement tests.</i></p>	<p>Test administrators administer the Smarter Balanced assessments. CAASPP test site coordinators should identify school personnel to act as test administrators. Test administrators are responsible for:</p> <ul style="list-style-type: none"> reading and signing the CAASPP Test Security Affidavit, which is returned to the CAASPP test site coordinator; completing Smarter Balanced assessment administration training (see section 1.4 Training) and reviewing all Smarter Balanced policy and administration documents prior to administering any Smarter Balanced assessments; viewing student information in the Test Administrator Interface prior to testing to ensure that the correct student receives the proper test with the appropriate supports. Test administrators should report any potential data errors to CAASPP test site coordinators and LEA CAASPP coordinators as appropriate; administering the Smarter Balanced assessments; reporting all potential test security incidents to their CAASPP test site coordinator and LEA CAASPP coordinator in a manner consistent with Smarter Balanced, state, and LEA policies; viewing completion status reports in the ORS; and reviewing preliminary results for students in an associated roster in the ORS. <p>Note: A test administrator’s questions about passwords, TOMS, the ORS, technology issues, and test administration should be relayed to his or her CAASPP test site coordinator or LEA CAASPP coordinator.</p>

User Role	Description
<p>Test Examiner <i>Assessments must be administered by licensed and credentialed individuals. Pursuant to the emergency regulations 5 CCR Section 850 (ae) "Test examiner" is an employee or contractor of an LEA or an NPS who has signed a CAASPP Test Security Affidavit and has received training to administer the CAAs. A test examiner must be a certificated or licensed LEA staff member.</i></p>	<p>Credentialed or licensed employee who administers alternate summative assessments and interim assessments to students. See the <i>California Alternate Assessments (CAAs) Test Administration Manual</i> for more information about this role.</p> <p>Note: A test examiner's questions about passwords, TOMS, the ORS, technology issues, and test administration should be relayed to his or her CAASPP test site coordinator or LEA CAASPP coordinator.</p>
<p>Test Administrator & Test Examiner <i>The test administrator & test examiner must meet the requirements of both the test administrator and the test examiner and has signed a CAASPP Test Security Affidavit.</i></p>	<p>Credentialed or licensed employee who administers both standard and alternate summative assessments and interim assessments to students. For more information about the role of the test administrator, see the "Test Administrator" row in this table. For more information about the role of the test examiner, see the <i>California Alternate Assessments (CAAs) Test Administration Manual</i> for more information about this role.</p> <p>Note: A test administrator & test examiner's questions about passwords, TOMS, the ORS, technology issues, and test administration should be relayed to his or her CAASPP test site coordinator or LEA CAASPP coordinator.</p>
<p>Interim Assessments (IA) Administrator Only</p>	<p>Administers only the interim assessments to students. See the <i>Interim Assessments Administration Manual</i> for more information about this role.</p> <p>Note: An IA Administrator Only's questions about passwords, technology issues, and all aspects of interim test administration should be relayed to his or her test site coordinator or LEA CAASPP coordinator.</p> <p>Note 2: It is a local decision whether to require the IA Administrator Only to sign a <i>CAASPP Test Security Affidavit</i>.</p>
<p>Educator – District</p>	<p>Allows read-only access to assessment results in the ORS for the entire LEA. This role is assigned by the LEA CAASPP coordinator.</p> <p>Note: An Educator – District's questions about passwords, the ORS, and technology issues should be relayed to his or her CAASPP test site coordinator or LEA CAASPP coordinator.</p> <p>Note 2: It is a local decision whether to require the Educator – District to sign a <i>CAASPP Test Security Affidavit</i>.</p>

User Role	Description
Educator – Test Site	<p>Allows read-only access to assessment results in the ORS for the entire school.</p> <p>Note: An Educator – Test Site’s questions about passwords, the ORS, and technology issues should be relayed to his or her CAASPP test site coordinator or LEA CAASPP coordinator.</p> <p>Note 2: It is a local decision whether to require the Educator – Test Site to sign a <i>CAASPP Test Security Affidavit</i>.</p>
Educator – Roster	<p>Allows read-only access to assessment results for students in an associated roster in the ORS. Rosters are created and assigned to the user by the LEA CAASPP coordinator or test site coordinator.</p> <p>Note: An Educator – Roster’s questions about passwords, the ORS, and technology issues should be relayed to his or her CAASPP test site coordinator or LEA CAASPP coordinator.</p> <p>Note 2: It is a local decision whether to require the Educator – Roster to sign a <i>CAASPP Test Security Affidavit</i>.</p>



See the following for checklists of example activities:

- For LEA CAASPP coordinators, see [Appendix I](#).
- For CAASPP test site coordinators, see [Appendix J](#).
- For test administrators, see [Appendix K](#).

1.4 Training

All LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and school administrative staff who will be involved in the Smarter Balanced assessment administration should review the applicable supplemental videos and archived Webcasts, which can be found on the CAASPP Current Administration Training Web page at <http://www.caaspp.org/training/caaspp/>.

The LEA CAASPP coordinator, CAASPP test site coordinator, and/or other staff designated by the state are responsible for ensuring all appropriate trainings have been completed. Such training should include, but is not limited to, training on item security and professional conduct associated with the administration of standardized assessments.

Prior to administering a test, test administrators (and any other individuals who will be administering any secure Smarter Balanced assessment) will read the CAASPP *Smarter Balanced Online Test Administration Manual*, the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*, and the *Test Administrator Reference Guide*, and view the associated Smarter Balanced training modules. All of these documents are linked on the CAASPP Instructions and Manuals Web page at <http://www.caaspp.org/administration/instructions>.

2.0 Test Administration Resources

This *Online Test Administration Manual (TAM)* for Smarter Balanced Online Summative Assessments is intended for staff who play a role in the administration of Smarter Balanced assessments, including local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators, CAASPP test site coordinators, and test administrators. Information for coordinators and test examiners administering the California Alternate Assessments (CAAs) can be found in the *CAA Test Administration Manual*.

This manual provides procedural and policy guidance to implement the Smarter Balanced assessments. To help quickly locate areas that pertain to each role, tabs that identify the primary user of that section have been placed on the margin of each page. The appendixes of this manual, which contain important information that can be used as stand-alone materials, are easily extracted for printing or distribution. For a list of frequently used terms associated with the Smarter Balanced assessments, see [Appendix A](#). For specific questions not addressed in this manual, test administrators can contact their CAASPP test site coordinator; CAASPP test site coordinators can contact their LEA CAASPP coordinator; and LEA CAASPP coordinators can contact the California Technical Assistance Center (CaTAC).

2.1 Summative Assessment Administration Resources

The *TAM* is designed to complement a variety of other resources developed by Smarter Balanced and the California Department of Education (CDE) listed in Table 3 (manuals), Table 4 (training modules), and Table 5 (other resources).

Table 3: Manuals

Resource	Description
CALPADS resources	The CDE's California Longitudinal Pupil Achievement Data System (CALPADS) Web page at http://www.cde.ca.gov/ds/sp/cl/ contains links to CALPADS system documents, updates, and other useful information for maintaining student data.
Test Operations Management System (TOMS) user guides	The CAASPP Test Operations Management System (TOMS) Web page at http://www.caaspp.org/administration/toms/ contains links and resources for LEA CAASPP coordinators, including manuals to set up test administrations, assign and manage student test registration, and add and manage users.
<i>Security and Test Administration Incident Reporting System (STAIRS) and Appeals User Guide</i>	The <i>STAIRS and Appeals User Guide</i> includes information about how LEA CAASPP coordinators can enter an appeal. Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016.pdf .
<i>Braille Requirements for Online Testing Manual</i>	The <i>Braille Requirements for Online Testing Manual</i> includes information about supported operating systems and required hardware and software for braille testing. It also includes a quick guide for test administrators who are testing students with a braille accommodation. Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.braille-requirements.2016.pdf .

Resource	Description
<i>Secure Browser Installation Manual</i>	<p>The <i>Secure Browser Installation Manual</i> provides instructions for installing the secure browser on supported operating systems and is organized by operating system. This document is a supplement to the <i>Technical Specifications Manual for Online Testing</i> and the <i>System Requirements Manual</i>.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf.</p>
<i>Technical Specifications Manual for Online Testing</i>	<p>The <i>Technical Specifications Manual</i> provides technology staff with the technical specifications for online testing, including information on Internet and network requirements, general hardware and software requirements, secure browser installation, and the text-to-speech function.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2016.pdf.</p>
<i>System Requirements Manual</i>	<p>The <i>System Requirements Manual</i> list the operating system names and version and the secure browser versions that are supported for online testing.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.system-requirements-manual.2016.pdf.</p>
<i>Test Administrator Reference Guide</i>	<p>The <i>Test Administrator Reference Guide</i> supports individuals using the test delivery system applications to manage testing for students participating in the summative assessments and provides the scripts to be used when providing instructions to students on the day of testing. This resource also provides information about the test delivery system, including the Test Administrator and student applications.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf.</p>
<i>Test Administrator Directions for Administration</i>	<p>The <i>Test Administrator Online Directions for Administration</i> provide test administrators at all grade levels with step-by-step instructions for the Test Administrator Interface and student applications as well as the test administration script in section 10.0 Day of Test Administration. These instructions are intended for the day of test administration.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.ta-odfa.2016.pdf.</p>
<i>Usability, Accessibility, and Accommodations Guidelines</i>	<p>The <i>Usability, Accessibility, and Accommodations Guidelines</i> focus on universal tools, designated supports, and accommodations for the Smarter Balanced assessments. The <i>Guidelines</i> are intended for school-level personnel and decision-making teams, particularly individualized education program (IEP) and Section 504 teams, as they prepare for and implement the Smarter Balanced assessments. The <i>Guidelines</i> provide information for classroom teachers, English language development educators, special education teachers, and instructional assistants to use in selecting and providing universal tools, designated supports, and accommodations for those students who need them during the administration of the assessments. The <i>Guidelines</i> are also intended for assessment staff and administrators who oversee the decisions that are made in instruction and assessment.</p> <p>This manual can be found on the CDE Student Accessibility Web page at http://www.cde.ca.gov/ta/tg/ca/accesssupport.asp.</p>

Table 4: Training Modules

Training modules are available at <http://www.caaspp.org/training/caaspp/>.

Module Name	Primary Audience	Objective
<i>Accessibility and Accommodations</i>	Test administrators/ teachers and CAASPP test site coordinators	This module describes the recommended uses of available universal tools, designated supports, and accommodations for student accessibility to Smarter Balanced assessments.
<i>Let's Talk Universal Tools</i>	Students, test administrators, teachers	This module acquaints students and teachers with the online, universal tools (e.g., types of calculators, expandable text) available in the Smarter Balanced assessments. This module should be shown to students in a classroom/ group setting. For grades three through eight and grade eleven, it is encouraged that the teachers be in the room to answer questions from the students as they view the module.
<i>Performance Task Overview</i>	LEA/Test site coordinators, test administrators, teachers	This module provides an overview of what a performance task is and the purpose of the Classroom Activity as it pertains to the performance task.
<i>Smarter Balanced Test Administration Overview</i>	LEA/Test site coordinators, test administrators, teachers	This module prepares LEA/test site coordinators and test administrators for the assessments by providing an overview of procedures, including policy matters and test security processes.
<i>Student Interface for Online Testing</i>	Students, LEA/test site coordinators, test administrators, teachers	This module explains how to navigate the Student Interface.
<i>Technology Requirements for Online Testing</i>	LEA/Test site technology coordinators	This module provides current information about technology requirements, site readiness, supported devices, and secure browser installation.
<i>Test Administrator Interface for Online Testing</i>	LEA/Test site coordinators, test administrators, teachers	This module presents an overview on how to navigate the Test Administrator Interface.
<i>What is a CAT (Computer Adaptive Test)?</i>	LEA/Test site coordinators, test administrators, teachers	This module provides the characteristics and advantages of a CAT.

Table 5: Other Resources

Resource	Description
Practice Test*	<p>Practice tests include items and performance tasks for each grade level (three through eight and eleven). The practice tests provide a preview of the item types included in the Smarter Balanced assessments. Item types are listed and described in Appendix B: Item Types in this manual.</p> <p>This is the link to the practice tests: http://www.caaspp.org/practice-and-training/. See also <i>Appendix B: Accessing the Practice and Training Tests</i> in the <i>Test Administrator Reference Guide</i> located at http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf for additional information about the Practice Tests.</p>
Training Test*	<p>Training tests are for test administrators and students to become familiar with the format and functionality of the online test. This resource is available by grade band (three through five, six through eight, eleven) and has approximately six to nine mathematics and six to seven ELA items per grade band.</p> <p>The link to the training test is: http://www.caaspp.org/practice-and-training/. Also see <i>Appendix B: Accessing the Practice and Training Tests</i> in the <i>Test Administrator Reference Guide</i> located at http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf for additional information about the Training Tests.</p>

* Public access: The practice and training tests can be used as a “guest” without logon credentials and using a supported Web browser. The practice and training tests do not require use of the secure browser, but some accessibility features (such as text-to-speech) are only available through the secure browser (see section [6.2 The Secure Browser](#) and the *Technical Specifications Manual* at <http://www.caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2016.pdf>). Braille may be accessed using a Web browser.

Secure access: If users want to access the practice and/or training test Web sites as a test administrator (required if they want to administer a practice or training test that uses the text-to-speech support), a logon will be required. Test administrators can contact their CAASPP test site coordinator to get logon credentials.

3.0 Ensuring Test Security

The security of assessment instruments and the confidentiality of student information are vital to maintaining the validity, reliability, and fairness of the results.

All summative test items and test materials are secure and must be appropriately handled. Secure handling protects the integrity, validity, and confidentiality of assessment items, prompts, and student information. Any deviation in test administration must be reported as a test security incident to ensure the validity of the assessment results.

It is the responsibility of each person participating in the administration of the Smarter Balanced summative assessments to immediately report any violation or suspected violation of test security or confidentiality. The California Assessment of Student Performance and Progress (CAASPP) test site coordinator is responsible for immediately reporting any security violation to the local educational agency (LEA) CAASPP coordinator.

In the case of a student cheating, the test administrator must stop the cheating; however, the student must be allowed to complete the remainder of the test. After testing, the test administrator must notify the CAASPP test site coordinator. **Do not call** the California Department of Education (CDE) or the California Technical Assistance Center (CaTAC) to report student cheating.

3.1 Security of the Test Environment

Table 6 describes security requirements for the test environment during various stages of testing. The test environment refers to all aspects of the testing situation while students are testing and includes what a student can see, hear, or access (including access via technology).

Table 6: Requirements of the Test Environment

Requirement	Description
BEFORE TESTING	
Instructional materials removed or covered	Instructional materials must be removed or covered, including but not limited to information that might assist students in answering questions that is displayed on bulletin boards, chalkboards or dry-erase boards, or on charts (e.g., wall charts that contain literary definitions, maps, mathematics formulas, etc.).
Student seating	Students must be seated so there is enough space between them to minimize opportunities to look at each other's work—for example, students may be assigned staggered seating or be seated in every other chair or workstation position—or they should be provided with table-top partitions.

Requirement	Description
Signage	<p>If helpful, place a “TESTING—DO NOT DISTURB” sign on the door or post signs in halls and entrances rerouting hallway traffic in order to promote optimum testing conditions.</p> <p>CAASPP test site coordinators or test administrators should post the “Unauthorized Electronic Devices May Not Be Used at Any Time During the Testing Session” signs so that they are clearly visible to all students. A master of this sign can be downloaded from the CAASPP Instructions and Manuals Web page at http://www.caaspp.org/administration/instructions/#general.</p>
DURING TESTING	
Quiet environment	Provide a quiet environment void of talking or other distractions that might interfere with a student’s ability to concentrate or might compromise the testing situation.
Student supervision	Students are actively supervised and are prohibited from access to unauthorized electronic devices that allow availability to outside information, communication among students, or photographing or copying test content. This includes any device with cellular, messaging, or wireless capabilities, but is not limited to cell phones, personal digital assistants (PDAs), iPods, cameras, and electronic translation devices.
Access to allowable resources only	Students must only have access to and use of those allowable resources identified by Smarter Balanced (see section 9.1 Establishing Appropriate Testing Conditions for examples) that are permitted for each specific test (or portion of a test).
Access to assessments	Unauthorized staff or other adults must not be in the room during testing. Only students who are testing can view items. Students who are not being tested must not have access to secure testing materials including test items. Based on the item type (i.e., performance tasks), trained test administrators may also have limited exposure to items in the course of properly administering the assessments; however, even test administrators and other trained staff may not actively review or analyze any test items.
No answer key development	No form or type of answer key may be developed for test items.
Testing through secure browser	Administration of the Smarter Balanced assessments is permitted only through the student interface via a secure browser or a method of securing the student device.
DURING AND AFTER TESTING	
No access to responses	LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and other staff are not permitted to review student responses in the testing interface or students’ notes on scratch paper.
No copies of test materials	Unless needed as a print-on-demand or braille accommodation, no copies of the test items, stimuli, reading passages, performance task materials, or writing prompts may be made or otherwise retained.

Requirement	Description
No access to digital, electronic, or manual devices	No digital, electronic, or manual device may be used to record or retain test items, reading passages, or writing prompts. Similarly, these materials must not be discussed with or released to anyone via any media, including fax, e-mail, social media Web sites, etc.
No retaining, discussing, or releasing test materials	Descriptions of test items, stimuli, printed reading passages, or writing prompts must not be retained, discussed, or released to anyone.
No reviewing, discussing, or analyzing test materials	LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and other staff may not review, discuss, or analyze test items, stimuli, reading passages, or writing prompts at any time, including before, during, or after testing. Student interaction during a test is limited to what is necessary for the purpose of a performance task.
All test materials must remain secure at all times	Printed materials from the print-on-demand accommodation, scratch paper, and documents with student information must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration.
No retaining of test “tickets” or any materials created to assist students with logging on to the summative assessments	All students’ ID information must be collected at the end of each test session, stored securely, and then securely destroyed.
AFTER TESTING	
No test materials used for instructions	Test items, stimuli, reading passages, or writing prompts must not be used for instruction.
Destroy test materials securely	Printed test items/passages, including embossed braille printouts, scratch paper, and notecards or paper that include student logon information must be collected and inventoried and then immediately shredded upon a student’s completion of the test. See section 3.2 Secure Handling of Printed Materials for details. Note: The Classroom Activities for the performance task (PT) are not secure materials.

Test administrators and CAASPP test site coordinators or other individuals who have witnessed, been informed of, or suspect the possibility of a test security incident that could potentially affect the integrity of the assessments or the data should follow the steps outlined in section [4.0 Responding to Testing Improperities, Irregularities, and Breaches](#), section [5.0 Appeals](#) (as necessary) of this manual.

3.2 Secure Handling of Printed Materials

Using Print-on-Demand Materials

For those students whose individualized education program (IEP) or Section 504 plan expresses a need for a paper copy of **passages or items**, permission for the students to receive this accommodation must first be set in the Test Operations Management System (TOMS) by the LEA CAASPP coordinator one to two weeks prior to testing.

Printing **individual test items** for students with this accommodation will require that the LEA CAASPP coordinator make a request to CalTAC to have the accommodation set for each student.

Print requests must be approved and processed by the test administrators during test administration. The decision to allow students to use print on demand must be made on an individual student basis and is available only for students with an IEP or Section 504 plan. However, utilizing the print-on-demand functionality does not allow a printed version of the online test due to its adaptive nature. A very small percentage of students should need this accommodation. The use of this accommodation may result in the student needing additional time to complete the assessment.

Once a student is approved to receive the printing of test items/passages, that student may send a print request to the test administrator during testing by selecting the print icon on the screen. This request needs to be made for each individual item.

Follow these guidelines when using the print-on-demand accommodation:

1. Before the test administrator approves the student's request to print a test item/stimulus, the test administrator must ensure that the printer is on and is monitored by staff who have been trained using the test administrator training modules for the test.
2. Immediately after printing a print-on-demand request, the file should be securely deleted from the test administrator's device in such a way that the file does not remain in a temporary storage file where it can be undeleted. See *Destruction of electronic files* in the next subsection on the next page for additional instructions.
3. The test administrator must collect the previously printed item from the student after the student has requested the next item to be printed. Printed items must be securely stored and then securely destroyed after the test session.

Destruction of Printed Materials and Scratch Paper

Printed materials from the print-on-demand accommodation and scratch paper must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration who have signed a CAASPP Test Security Affidavit. All test materials must remain secure at all times. Printed test items/passages, including embossed braille printouts and scratch paper, must be collected and inventoried at the end of each test session and then immediately shredded according to LEA and/or California policies or procedures. **DO NOT** keep printed test items/passages or scratch paper for future test sessions except as noted below for performance tasks (PTs).

Destruction of Electronic Files

Immediately after printing a print-on-demand request, the file produced by the process should be securely deleted from the test administrator's device. It must be deleted in such a way that the file does not remain in a temporary storage location such as Windows' Recycle Bin, where it can be undeleted. Test administrators and CAASPP test site coordinators should use the school's or LEA's preferred method of secure file deletion.

While there are many ways to permanently delete a file, including using a "shredding" tool that might be part of a virus scanning tool, what follows are basic ways to remove a file from a Windows or Macintosh system:

- **Windows**—Hold the <Shift> key when deleting the file or empty the Recycle Bin after deleting.
- **Macintosh and Macintosh equivalent devices using OS X**—Press the <Command> + <Delete> keys with any file or folder selected to send a file to the Trash and then press the <Shift> + <Command> + <Delete> keys or open the Finder menu and then select “Secure Empty Trash” to immediately empty the Trash.

Use of Scratch Paper on Performance Tasks

The only exception to the requirement governing the immediate destruction of printed materials and scratch paper is when students take notes and/or draft responses to English language arts/literacy (ELA) or mathematics computer adaptive test (CAT) constructed response items or PTs.

During the ELA PT, the notes on the embedded universal tool, Global Notes, are retained from Part 1 to Part 2 so that the student may return to the notes even though the student is not able to go back to specific items in Part 1. While the embedded Global Notes is the preferred mode for note taking during the ELA PT, students may use scratch paper to make notes or develop draft responses.

To maintain the security of scratch paper used for notes on the ELA or Mathematics CAT constructed response items or PTs, test administrators must direct students to write their names (or some appropriate identifying information) on their scratch paper, and then collect and inventory the scratch paper at the end of each test session, as well as upon completion of the test. All scratch paper must be securely stored in between test sessions and then securely destroyed immediately upon the student’s completion of the test.



The retention of scratch paper is only allowed for constructed response CAT items and the PTs. At the end of each test session, all scratch paper (including graph paper) must be collected, inventoried, and securely stored. All scratch paper must be immediately shredded upon the student’s completion of the test to maintain test security.

4.0 Responding to Testing Improprieties, Irregularities, and Breaches

Test security incidents, such as improprieties, irregularities, and breaches, are behaviors prohibited either because they give a student an unfair advantage or because they compromise the secure administration of the assessments. Whether intentional or by accident, failure to comply with security rules, either by staff or students, constitutes a test security incident. Improprieties, irregularities, and breaches need to be reported in accordance with the instructions in this section for each severity level. Definitions for test security incidents are provided in Table 7. Incidents should be logged using the Security and Test Administration Incident Reporting System (STAIRS) process.

Some incidents may require that an appeal be submitted to reset, reopen, restore, or invalidate a test. Local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators or CAASPP test site coordinators can make the determination by submitting the online *CAASPP STAIRS* form. After you have entered the details of the incident, you will receive an e-mail that tells you what action you should take, either to have the LEA CAASPP coordinator or CAASPP test site coordinator fill out an appeal in the Test Operations Management System (TOMS) or by saving the e-mail reply for your records.

This section refers to documentation and reporting of incidents involving test security. Refer to [Appendix F](#) for a list of test security incident levels and examples of types of issues.

4.1 Impact and Definitions

Table 7: Definitions for Test Security Incidents

Type	Definition
Impropriety	An unusual circumstance that has a low impact on the individual or group of students who are testing, and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level. An impropriety should be reported to the LEA CAASPP coordinator and CAASPP test site coordinator immediately of any test administration incidents that occur. The coordinator should fill out the online <i>CAASPP STAIRS</i> form within 24 hours of the incident; instructions for access are on the CAASPP STAIRS Web page at http://www.caaspp.org/stairs/ .
Irregularity	An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level and submitted in the online Appeals system for resolution. An irregularity must be reported to the LEA CAASPP coordinator and CAASPP test site coordinator immediately; the coordinator will report the irregularity using the online <i>CAASPP STAIRS</i> form (instructions at http://www.caaspp.org/stairs/) by the end of the day of the incident (should an appeal be required).
Breach	An event that poses a threat to the validity of the test. Examples may include such situations as a release of secure materials or a security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported to the LEA CAASPP coordinator immediately; the LEA CAASPP coordinator will report the irregularity using the online <i>CAASPP STAIRS form</i> (instructions at http://www.caaspp.org/stairs/).

It is important for test administrators to ensure the physical conditions in the testing room meet the criteria for a secure test environment. See section [3.1 Security of the Test Environment](#) for more detail.

4.2 Reporting Timelines and Activities

Improprieties are escalated in accordance with state policies and procedures, protocols, and/or guidelines **within 24 hours of the incident** via the online *CAASPP STAIRS* form at <http://www.caaspp.org/stairs/>.

Irregularities must be escalated **by the end of the day of the incident** via the online *CAASPP STAIRS* form at <http://www.caaspp.org/stairs/>.

A Breach requires immediate notification/escalation by telephone to the California Department of Education (CDE) by the LEA *CAASPP* coordinator followed by a report using the online *CAASPP STAIRS* form at <http://www.caaspp.org/stairs/>.



For examples of test security incidents, please see the Test Security Chart located in [Appendix F](#).

4.3 Test Security Process—the Security and Test Administration Incident Reporting System

The online *CAASPP STAIRS* form is the starting point for LEA and test site coordinators to report a test security incident or other testing issue that interferes with the administration and completion of the assessment.

Test security incidents, such as improprieties, irregularities, and breaches, are behaviors prohibited because they either give a student an unfair advantage or compromise the secure administration of the assessments. Whether intentional or unintentional, failure by staff or students to comply with security rules constitutes a test security incident.

LEA *CAASPP* coordinators and *CAASPP* test site coordinators must ensure that all test security incidents are documented by means of this form. After the form is submitted, an e-mail containing a case number and next steps will be sent to the submitter (and to the LEA *CAASPP* coordinator, if the form is submitted by the *CAASPP* test site coordinator) via e-mail. Ensure that communications generated by the e-mail address STAIRS@cde.ca.gov are not automatically sent to a junk mail or spam folder.

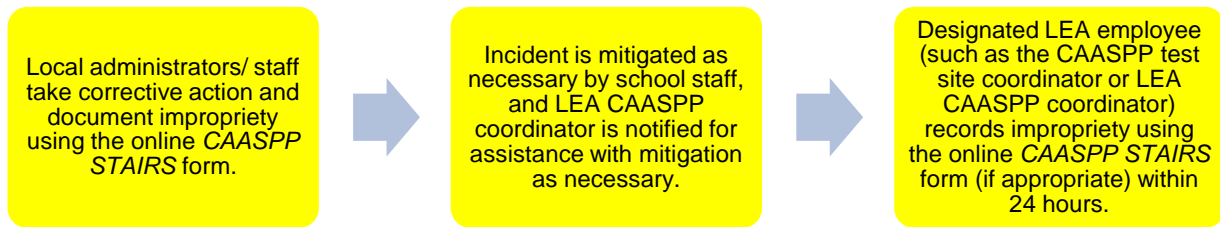
The CDE will review your form to determine whether your testing issue requires additional action by the LEA.

Required Action Steps

The Test Security Required Action Steps depict the required actions for each test security incident in a process flow diagram format.

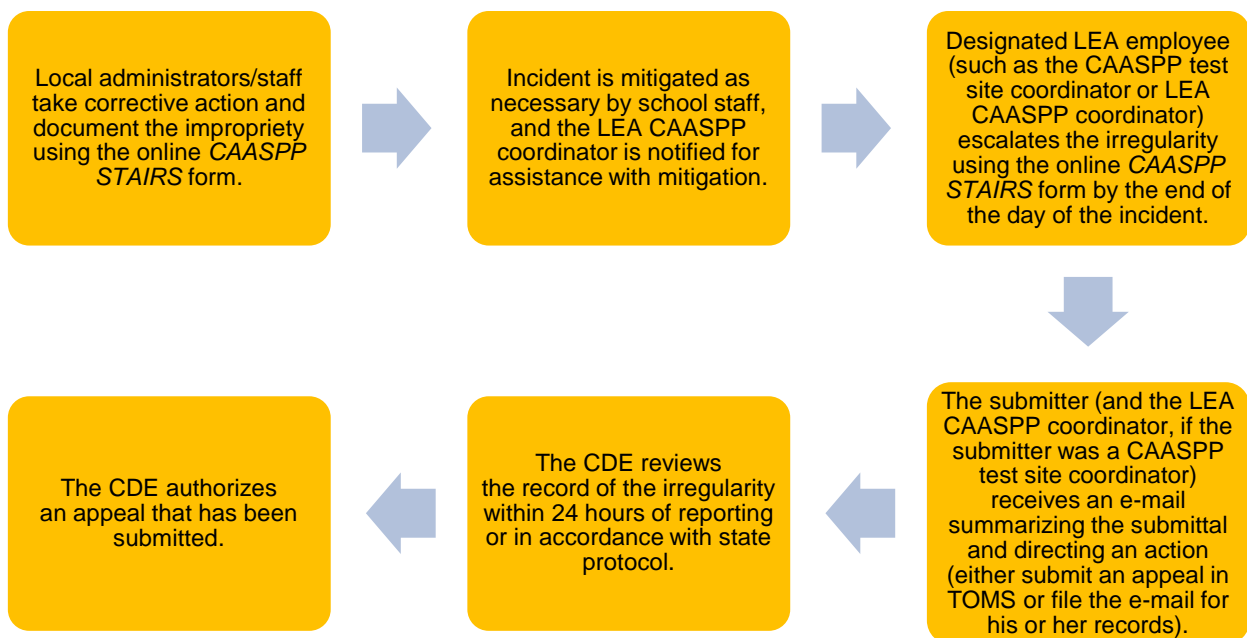
Impropriety

Unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. (Example: Student[s] leaving the testing room without authorization.)



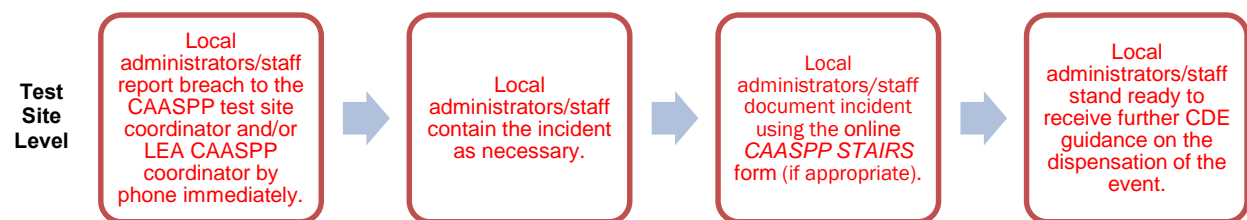
Irregularity

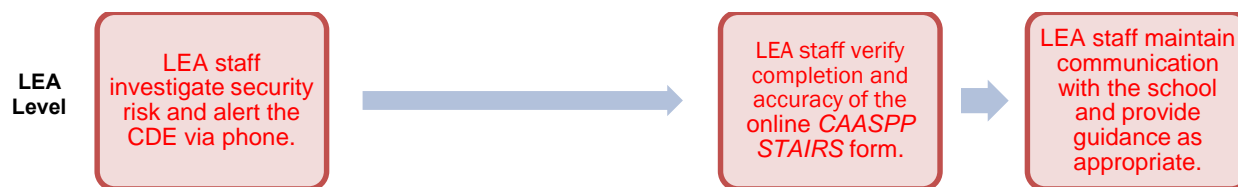
An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be contained at the local level. (Example: Disruption during the test session such as a fire drill.)



Breach

A test administration event that poses a threat to the validity of the test. Breaches require immediate attention and escalation to the CDE. Examples may include such situations as exposure of secure materials or a repeatable security/system risk. These circumstances have external implications. (Example: Test administrators modifying student answers, or test items shared in social media.)





4.4 Test Security Incidents: Use of the *CAASPP Security and Test Administration Incident Reporting System (STAIRS) Form*

The **CAASPP STAIRS form** is the means by which LEA CAASPP coordinators or CAASPP test site coordinators report test security incidents to the CDE and determine whether or not the incident warrants that an appeal be filed.

Report Incidents

The LEA CAASPP coordinator is responsible for immediately notifying the CDE via online form of any incidents that occur before, during, or after testing. The CAASPP test site coordinator is responsible for immediately notifying the LEA CAASPP coordinator of any security breaches or testing irregularities that occur in the administration of the test.

The online *CAASPP STAIRS* form, which is available at <http://www.caaspp.org/stairs/>, must be used to provide the required information to the CDE when an irregularity is confirmed. The form includes the opportunity to securely upload a spreadsheet containing Statewide Student Identifiers (SSIDs) of the students involved in the irregularity. **Do not upload student names, only SSID numbers.**

The LEA CAASPP coordinator or CAASPP test site coordinator (with a copy sent to the LEA CAASPP coordinator) submitting the form will receive an e-mail that includes the details that were entered into the *STAIRS* form and instructions of the next steps to take (submit an appeal, file the e-mail, or wait to be contacted). **You cannot file an appeal in TOMS without first submitting the *STAIRS* form because the case number included in the confirmation e-mail is necessary to complete the submission of an appeal.** A copy of the e-mail is sent to the CDE and will be kept on file.

Coordinator Procedures

The CAASPP test site coordinator:

- Receives notification of an irregularity
- Reviews the information provided and verifies that an irregularity has occurred
- Contacts the LEA CAASPP coordinator and provides all pertinent information *or* fills out and submits the online *CAASPP STAIRS* form; instructions for access can be found at <http://www.caaspp.org/stairs/>

The LEA CAASPP coordinator:

- Receives notification of an irregularity from the CAASPP test site coordinator
- Reviews the information provided and verifies that the occurrence is an irregularity
- Fills out and submits the online *CAASPP STAIRS* form; instructions for access can be found at <http://www.caaspp.org/stairs/>

- Responds to and assists the CDE and/or test security personnel as requested
- Keeps any documentation associated with the irregularity for one year

Form Actions

The CAASPP STAIRS form provides a series of prompts that will ultimately result in a recommended action for the LEA or test site coordinators, from “file the e-mail” to “submit an appeal in TOMS” to “contact the CDE.” Table 8 lists the incidents and the action to be taken.



Note that if you are required to file an appeal in TOMS, you must include the STAIRS case number when you enter your information in TOMS.

Table 8: Incident types, descriptions, and actions in the CAASPP STAIRS form

Incident Name	Issue Description	Post-Form Action
Breaches		
Exposing Secure Materials— Retaining or Sharing (Adult)	Adult retaining or sharing secure test materials	<ol style="list-style-type: none"> 1. Contact the CDE at 916-445-8765 within 24 hours of the incident to report the issue and submit CAASPP STAIRS form. 2. Submit an “Invalidate a Test” appeal request in TOMS.
Exposing Secure Materials— Retaining or Sharing (Student)	Student retaining or sharing secure test materials	<ol style="list-style-type: none"> 1. Contact the CDE at 916-445-8765 within 24 hours of the incident to report the issue and submit CAASPP STAIRS form. 2. Submit an “Invalidate a Test” appeal request in TOMS.
Exposing Secure Materials— Social Media (Adult)	Adult posting items or test materials on social media such as Facebook, Twitter, or Instagram	<ol style="list-style-type: none"> 1. Contact the California Technical Assistance Center (CalTAC) within 24 hours of the incident to report the issue and submit CAASPP STAIRS form. 2. Submit an “Invalidate a Test” appeal request in TOMS.
Exposing Secure Materials— Social Media (Student)	Student posting items or test materials on social media such as Facebook, Twitter, or Instagram	<ol style="list-style-type: none"> 1. Contact CalTAC within 24 hours of the incident to report the issue and submit CAASPP STAIRS form. 2. Submit an “Invalidate a Test” appeal request in TOMS.

Incident Name	Issue Description	Post-Form Action
Irregularities		
Accessibility Issue—Incorrect Support or Accommodation Setting	Student not given accessibility support or accommodation in IEP or Section 504 plan	Submit <i>CAASPP STAIRS</i> form then submit a “Reset a Test” appeal in TOMS. If at least five computer adaptive test (CAT) items and at least one performance task (PT) item were completed, this will count as an irregularity.
Accessibility Issue—Incorrect Language Support	Student not given or given incorrect stacked translation or embedded glossary setting without the designated support in the IEP or Section 504 plan	Submit <i>CAASPP STAIRS</i> form then submit a “Reset a Test” appeal request in TOMS.
Accidental Summative Access	Unintentional administration of a summative assessment for practice instead of the practice or training tests	<ol style="list-style-type: none"> 1. Submit <i>CAASPP STAIRS</i> form then submit a “Reset a Test” appeal request in TOMS to request a new test for the student if one of the following conditions apply: <ul style="list-style-type: none"> • Ten or fewer CAT items or less than 1 PT items were completed • Student is in grade eleven • Student did not receive a designated support or accommodation as listed in an IEP or Section 504 plan <p>OR</p> <ol style="list-style-type: none"> 2. Submit <i>CAASPP STAIRS</i> form then submit a “Reopen a Test” appeal request in TOMS to request a new test for the student if one of the following conditions apply: <ul style="list-style-type: none"> • More than 10 CAT items or more than 1 PT items were completed • Student is not in grade eleven • Student received the appropriate designated support or accommodation as listed in an IEP or Section 504 plan

Incident Name	Issue Description	Post-Form Action
		<p>OR</p> <p>3. Submit <i>CAASPP STAIRS</i> form then submit an “Invalidate a Test” appeal request in TOMS after the student has completed his or her assessment to request a new test for the student if one of the following conditions apply:</p> <ul style="list-style-type: none"> • Test administrator coached students • Students interacted about test questions • Students accessed unauthorized materials
Disruption or Technical Issues	<p>Technical issues or school emergencies</p> <p>Note: If the test is a PT, having the test administrator open a new testing session may be all that is needed for students to continue testing.</p>	Submit <i>CAASPP STAIRS</i> form then submit a “Reopen a Test” or “Grace Period Extension” appeal request in TOMS.
Expired Test	Expiration of a student’s CAT or PT prior to completion	Submit <i>CAASPP STAIRS</i> form then submit a “Reopen a Test” or “Grace Period Extension” appeal request in TOMS.
Incorrect SSID Used—No Switch	Student(s) taking test associated with a different student’s SSID	<p>1. Submit <i>CAASPP STAIRS</i> form then submit a “Reset a Test” appeal request in TOMS.</p> <p>OR</p> <p>2. Submit <i>CAASPP STAIRS</i> form then re-administer tests to the student using his or her assigned SSID.</p>
Incorrect SSID Used—Intentional	Student(s) taking test associated with a different student’s SSID	Submit <i>CAASPP STAIRS</i> form then submit an “Invalidate a Test” appeal request in TOMS stop the test and score the answered questions.
Restore a Reset Test	Student’(s)’ test(s) was (were) inadvertently or inappropriately reset	Submit <i>CAASPP STAIRS</i> form then submit a “Restore a Test” appeal request in TOMS.
Student(s) Cheating or Accessing Unauthorized Devices	Student(s) cheating or access unauthorized device(s) such as a cell phone or other electronic device	Submit <i>CAASPP STAIRS</i> form then Submit an “Invalidate a Test” appeal request in TOMS.

All Roles

Incident Name	Issue Description	Post-Form Action
Student(s) Unable to Review Previous Answers	20 minute pause rule has been exceeded Note: If the test is a PT, having the test administrator open a new testing session may be all that is needed to continue testing.	Submit <i>CAASPP STAIRS</i> form then submit a “Grace Period Extension” appeal request in TOMS.
Validity Issue—Adult Interference	Test administrator coaching/providing answers to students, modifying student responses, allowing unauthorized access to student tests, deliberate inappropriate response by student	Submit <i>CAASPP STAIRS</i> form then submit an “Invalidate a Test” appeal request in TOMS after the student has completed his or her assessment.
Validity Issue—Inappropriate Designated Support and/or Accommodation	Test administrator allowing inappropriate designated supports and/or accommodations which are not designated in the student's IEP or Section 504 plan during test administration	Submit <i>CAASPP STAIRS</i> form then submit an appeal request in TOMS: <ul style="list-style-type: none"> • “Reset a Test” appeal, if 10 or fewer CAT items or less than 1 PT items were completed • “Invalidate a Test” appeal, if more than 10 CAT items or more than 1 PT items were completed
Improprieties		
Accessibility Issue—Incorrect Support or Accommodation Setting	Student given an accessibility support or accommodation that is not in an IEP or Section 504 plan	Submit <i>CAASPP STAIRS</i> form then retain the e-mail for your records.
Administration Error	One of the following conditions: <ul style="list-style-type: none"> • Inappropriate or incomplete test preparation • Leaving related instructional materials on the walls in the testing room • Having lost or missing student logon information • Failing to ensure administration and supervisions of online tests • Giving incorrect instructions that are not corrected prior to testing • Sharing username or password (via e-mail or otherwise) to other authorized users • Allowing students to continue testing beyond the close of a paper-pencil testing window 	<ol style="list-style-type: none"> 1. Submit <i>CAASPP STAIRS</i> form then retain the e-mail for your records. 2. Submit <i>CAASPP STAIRS</i> form then have the student(s) complete the test.

Incident Name	Issue Description	Post-Form Action
Incorrect SSID Used—Switch	Student taking test(s) associated with a different student's SSID, and vice versa	<ol style="list-style-type: none"> 1. Submit <i>CAASPP STAIRS</i> form then contact CalTAC regarding this situation. 2. Retain the e-mail for your records.
Student Disruption	Student(s) leaving the room or disrupting the testing session	Submit <i>CAASPP STAIRS</i> form then retain the e-mail for your records.
Other	Issue that does not fit into one of the predetermined categories	<ol style="list-style-type: none"> 1. Submit <i>CAASPP STAIRS</i> form then retain the e-mail for your records. <p>OR</p> <ol style="list-style-type: none"> 2. Submit <i>CAASPP STAIRS</i> form then You will be contacted regarding any additional action to take.

5.0 Appeals

5.1 Process

For security incidents that result in a need to reset, reopen, invalidate, or restore individual student assessments, **the request must be approved by the California Department of Education (CDE)**. In most instances, an appeal will be submitted to address a test security breach or irregularity. *In some cases an appeal may be submitted to address incidents that are not security related such as reopening an assessment for a student who becomes ill and is unable to resume testing until after testing has expired. The local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinator or the CAASPP test site coordinator may submit appeals in the Test Operations Management System (TOMS).*

LEA CAASPP coordinators or CAASPP test site coordinators should take the following steps to file an appeal. **Note that an appeal must be filed before the end of the selected testing window.**

1. Document and submit an irregularity or test security incident using the *CAASPP Security and Test Administration Incident Reporting System (STAIRS)* form; instructions for access can be found at <http://www.caaspp.org/stairs/>. You will be prompted for information.
2. Read the e-mail you receive as a result of the submittal. If you are instructed to file an appeal in TOMS you will receive a case number and an appeal type.
3. To file the appeal itself, access TOMS by visiting <http://www.caaspp.org/> and selecting the **[Test Operations Management System (TOMS)]** button.
4. Follow the instructions in the *STAIRS and Appeals User Guide*, located at <http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016.pdf>. You must enter the case number you received in the e-mail when you request an appeal in TOMS.
5. The CDE will make a decision on the appeal within four business days of its receipt.

The online Appeals types are described in Table 9.

5.2 Online System Appeals Types

Table 9: Online System Appeals Types

Type of Appeal	Description	Conditions for Use
RESET	Resetting a student’s test removes that test from the system and enables the student to start a new test from the beginning.	<p>The CDE may reset any test (computer adaptive test [CAT] or performance task [PT]) if any of the following settings need to be changed because they were incorrectly set:</p> <ul style="list-style-type: none"> American Sign Language (for mathematics and English language arts/literacy [ELA] listening) Braille (braille is a language setting) Closed captioning (for ELA listening stimuli) Streamlined interface (the streamlined interface is a test shell setting) Translation—stacked (for mathematics tests only) <i>Note: Stacked translations are automatically provided when the selected language is Spanish.</i> Translation—glossary (for mathematics tests only) Text-to-speech as an accommodation (e.g., for ELA reading passages in grades 6–8 or 11). <i>Note: Text-to-speech for items only is a designated support and NOT a valid reset request.</i> Any non-embedded accommodation(s) Log as Testing Irregularity: YES. <p>Additional Testing Irregularity considerations:</p> <p>CAT:</p> <ol style="list-style-type: none"> Student has been presented with any number of items. Log as Testing Irregularity: YES. <p>PT:</p> <ol style="list-style-type: none"> Student has been presented with any items in a performance task. Log as Testing Irregularity: YES.

Type of Appeal	Description	Conditions for Use
INVALIDATION	<p>Invalidated tests will be scored and scores will be provided on the Student Score Report with a note that an irregularity occurred. The student(s) will be counted as participating in the calculation of the school's participation rate for federal accountability purposes. The score will be counted as "not proficient" in the 2016 Adequate Yearly Progress determination.</p>	<p>The CDE may invalidate any test (CAT or PT) if:</p> <ol style="list-style-type: none"> 1. There is a test security breach. Log as Test Breach: YES. 2. The test is administered in a manner inconsistent with the <i>Online Test Administration Manual (TAM)</i>. Log as Testing Irregularity: YES. 3. There is a testing session in which a student deliberately does not attempt to respond appropriately to items. Log as Testing Irregularity: YES. <p><i>Note 1: After reviewing the circumstances of an incident, the CDE may elect only to document the above conditions as testing irregularities, rather than to invalidate the test.</i></p> <p><i>Note 2: Students should be permitted to complete an assessment despite the test's invalidation.</i></p>
REOPEN	<p>Reopening a test allows a student to access a test that has already been submitted or has expired. If an expired test is reopened, the test will resume at the last unanswered item on the assessment which could, in some cases, be different than where the student left off (if, for example, the student went back to review prior items).¹ The student will be able to review items within the current segment of the assessment but cannot return to previous segments. If a submitted test is reopened, the test will reopen at the last page of the test. The student cannot review items, even in the current segment, without first submitting a grace-period extension.</p>	<p>The CDE may reopen any test (CAT or PT) if:</p> <ol style="list-style-type: none"> 1. A student is unable to complete a test due to a technological difficulty that results in the expiration of the test. Log as Testing Irregularity: YES. <p>The CDE may reopen a CAT if:</p> <ol style="list-style-type: none"> 1. A student is unable to complete the test before it expires (45 days) due to an unanticipated excused absence or unanticipated school closure. Log as Testing Irregularity: YES. <p>The CDE may reopen a PT if:</p> <ol style="list-style-type: none"> 1. A student is unable to complete the test before it expires (10 days) due to an unanticipated excused absence or unanticipated school closure. Log as Testing Irregularity: YES. 1. A student starts a PT unintentionally—for example, selects a PT instead of a CAT, or selects a mathematics PT instead of an ELA PT—and the student is unable to complete the test before it expires (10 days). Log as Testing Irregularity: YES. 2. A student unintentionally submits a test before he or she has completed it—for example, a student submits the ELA PT before completing Part 2. Log as Testing Irregularity: NO.

¹ A test that is reopened following an expiration will remain open for 10 calendar days from the date it was reopened.

Type of Appeal	Description	Conditions for Use
RESTORE	Restoring a test returns a test from the Reset status to its prior status. This action can only be performed on tests that have been reset.	The CDE may only restore a test if a test was inadvertently or inappropriately reset. Note that it is <i>not</i> possible to restore an invalidated test.

6.0 Technology Infrastructure

Prior to assessment administration, local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators, CAASPP test site coordinators, technology coordinators, and test administrators should review the technology infrastructure at their schools to ensure it meets the minimum requirements for administering the Smarter Balanced assessments.

6.1 Technology Resources

The Smarter Balanced *Technology Strategy Framework and Testing Device Requirements* document is available for download at <http://www.smarterbalanced.org/smarter-balanced-assessments/technology/>. This document provides information about supported technology and technology requirements and can be used to confirm that your school meets the minimum requirements for online testing.

The *Technical Specifications Manual for Online Testing*, located at <http://www.caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2016.pdf>, provides technology coordinators with the technical specifications for online testing, including information about Internet and network requirements, hardware and software requirements, secure browser installation, and text-to-speech functionality. Information about supported operating systems for student testing, supported Web browsers, and supported peripheral equipment for testing are included in the *CAASPP System Requirements Manual* at <http://www.caaspp.org/rsc/pdfs/CAASPP.system-requirements-manual.2016.pdf>.

The bandwidth checker, linked on the CAASPP portal at <http://www.caaspp.org/> and available directly at http://cadiagnostic.airast.org/pages/default.aspx?c=California_PT&url=https://capt.tds.airast.org/student, can assist Technology Coordinators to assess network readiness by performing a real-time check of a school's network bandwidth. Note that technology coordinators may want to run this test more than once and at different times of the day because estimates change as the network conditions change and can vary from run to run.

The California Department of Education (CDE) also hosts a Smarter Balanced Technology Readiness Resources Web page at <http://www.cde.ca.gov/ta/tq/sa/sbac-itr-index.asp>. This Web page includes links to tools, requirements, and topics that LEAs will find useful in planning for the 2015–16 online testing.

6.2 The Secure Browser

All students must use a secure browser to access operational assessments. Devices that will be used for testing must be equipped with a secure browser prior to the assessment. Many devices can use the Smarter Balanced open-source secure browser to secure the device. **All devices that will be used for testing must have the correct secure browser installed prior to assessment.**

The secure browser is designed to support test security by prohibiting access to external applications or navigation away from the assessment.



Note: For the 2015–16 CAASPP administration, the updated version of the secure browser *must* be downloaded and installed in order for students to test in 2015–16. This year’s version of the secure browser includes the option to enable auto update capability; if this option is kept enabled, the secure browser does not need to be manually reinstalled if a new version becomes available. If auto update is disabled, new versions of the secure browser must be downloaded and installed manually.

School technology coordinators are responsible for ensuring that each device to be used for testing at the school is properly secured by installing the most current secure browser. Secure browsers are available for download on the Secure Browsers Web page at <http://ca.browsers.airast.org/>.

See the *Secure Browser Installation Manual* at <http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf> for additional information about the secure browsers and installation instructions.

See [Appendix C: Secure Browser for Testing](#) for additional guidelines about using the secure browser.

7.0 General Test Administration Information

This section provides an overview of the online testing environment and guidelines for test administration. Use this section to become familiar with what students will experience in accessing the assessments, how to prepare for the assessments, and to review general rules for online testing. Information about the practice and training tests, test pauses, and test resumptions is also included in this section. Test administrators should become familiar with this section well in advance of the start of testing so materials for logon, accommodations, and exemptions described below can be assembled.

7.1 Assessment Participation

Participation of Students with Disabilities and/or English Learners

Consistent with the Smarter Balanced testing plan, all students, including students with disabilities, English learners (ELs), and ELs with disabilities, should have equal opportunity to participate in the Smarter Balanced assessments.

Smarter Balanced has crafted a comprehensive accessibility and accommodations framework, the *Usability, Accessibility, and Accommodations Guidelines*, for all students, including those with special assessment needs. The Consortium has also developed a variety of innovative digital accessibility tools that will be embedded in the Smarter Balanced test delivery engine as well as a variety of designated supports and accommodations. The *Usability, Accessibility, and Accommodations Guidelines* and the *Usability, Accessibility, and Accommodations Implementation Guide* are linked on the California Assessment of Student Performance and Progress (CAASPP) Instructions and Manual Web page at <http://www.caaspp.org/administration/instructions/>.

In addition, the CDE Matrix One: CAASPP Web page displays the universal tools, designated supports, and accommodations that are allowed as part of the California Assessment of Student Performance and Progress (CAASPP). This Web page is at <http://www.cde.ca.gov/ta/tg/ai/caasppmatrix1.asp>.

All students enrolled in grades three through eight and grade eleven are required to participate in the Smarter Balanced mathematics assessment except for the following:

- Students with the most significant cognitive disabilities who meet the criteria for the California Alternate Assessments (CAA) for Mathematics based on alternate achievement standards (approximately one percent or fewer of the student population).
- All students enrolled in grades three through eight and eleven are required to participate in the Smarter Balanced English language arts/literacy (ELA) assessment except:
 - Students with the most significant cognitive disabilities who meet the criteria for the CAA for ELA alternate assessment based on alternate achievement standards (approximately one percent or fewer of the student population).
 - ELs who are within their first twelve months of enrollment in a U.S. school on the first day of the local educational agency's (LEA's) selected testing window have a one-time exemption from the **Smarter Balanced for ELA** assessment. These are cumulative, not consecutive, months. These students may instead participate in the California English Language Development Test.



School personnel should follow the California policies and regulations regarding student participation. More information can be found at the following locations:

- California Department of Education’s CAASPP Description – *CalEdFacts* Web page—<http://www.cde.ca.gov/ta/tg/ai/cefcaaspp.asp>
- *California Code of Regulations* CAASPP Emergency Regulations Web document—<http://www.cde.ca.gov/re/lr/rr/documents/caasppregs.doc>
- California *Education Code*, Section 5, California Assessment of Academic Achievement:
 - Article 1 General Provisions—<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=60001-61000&file=60600-60603>
 - Article 2 Program Provisions—<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=60001-61000&file=60604-60618>
 - Article 4 California Assessment of Student Performance and Progress—<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=edc&group=60001-61000&file=60640-60649>

7.2 General Rules of Smarter Balanced Online Testing for Test Administrators

This section provides a brief overview of the general test administration rules for different portions of the assessment as well as information about test tools and accommodations. For more information, refer to the *Test Administrator Reference Guide* located at <http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf>.

Basic Smarter Balanced Online Testing Parameters

- In the Smarter Balanced assessments, CAT items and PTs will be presented as separate tests. Students may not return to a test once it has been completed and submitted unless an appeal to reopen the test has been approved.
- Within each test, there may be segments. A student may not return to a segment once it has been completed and submitted; during a grace period extension, the student may only return to prior pages (i.e., screens) within the existing segment.
- Some pages (i.e., screens) contain multiple items. Students must enter an answer for all items on a page before going to the next page. Students may need to use the vertical scroll bar to view all items on a page.
- Students may mark items for review and use the **Past/Marked Questions** drop-down list to return to those items that have already been answered within a segment. **If this option is selected, students need to make sure they review their past/marked questions before they sign out of the test session.** Once a test session is closed, questions from the session can no longer be accessed in subsequent sessions.

Pause Rules

During the **CAT** portion of the test:

- If a test is paused for more than 20 minutes, the student:

- Is required to log back in to the student interface;
 - Is presented with the page containing the item(s) he or she was working on when the assessment was paused (if the page contains at least one unanswered item) OR with the next page (if all items on the previous page were answered); and
 - May NOT be permitted to review or change any previously answered items, even if they are marked for review (with the exception of items on a page that contains at least one item that was not answered yet).
- Any highlighted text will be saved when a test is paused regardless of how long the test is paused. Notes entered on the digital notepad will not be saved.
 - In the event of a technical issue (e.g., power outage or network failure), students will be logged off and the test will automatically be paused. The students will need to log on again upon resuming the test. Highlighted text will be available when the student has logged back on and resumed testing; notes entered on the digital notepad will no longer be available.
- See [Appendix E: CAT Pause Rules Scenarios](#) to review the rules that govern pausing during the test.

During the **performance task** portion of the assessment:

- **There are no pause restrictions.** If a test is paused for 20 minutes or more, the student can return to the section and continue entering his or her responses.
- Any highlighted text and notes on the digital notepad—the tool used to make notes about an item—will be saved when a test is paused regardless of how long the assessment is paused.
- In the event of a technical issue (e.g., power outage or network failure), students will be logged off and the test will automatically be paused. The students will need to log on again upon resuming the test. Both highlighted text and comments entered on the global notes—the tool used during ELA performance tasks in which students complete a full write, as well as for any other test items within the PT—will be available when the student has logged back on and resumed testing; notes entered on the digital notepad will no longer be available.

Please note that there are recommendations for breaks in Table 11: Assessment Sequence—ELA and Table 12: Assessment Sequence—Mathematics.

Test Timeout (Due to Inactivity)

As a security measure, students and test administrators are automatically logged off the test after 30 minutes of inactivity. For students, *activity* is defined as selecting an answer or navigation option in the assessment (e.g., selecting **[Next]** or **[Back]** or using the **Past/Marked Questions** drop-down list to navigate to another item). Moving the mouse or selecting an empty space on the screen is not considered activity. For test administrators, *activity* means that a student or students are registering test activity. As long as students are testing, the test administrator will not be logged off.

Before the system logs the student off the assessment, a warning message will be displayed on the screen (Figure 1). If the student does not select [Ok] within 30 seconds after this message appears, he or she will be logged off. Selecting [Ok] will restart the 30 minute inactivity timer.

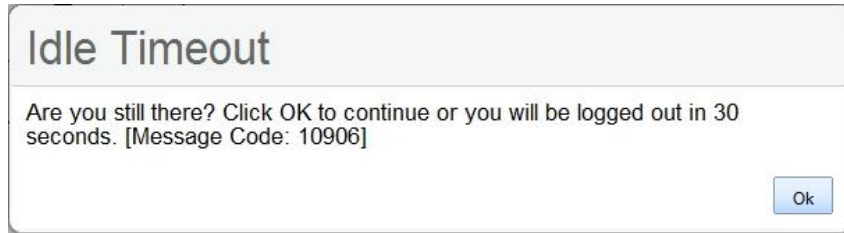


Figure 1. Test timeout warning message



Caution: As a security measure, test administrators are automatically logged off the Test Administrator Interface after 30 minutes of user inactivity in the session, regardless of whether or not the test administrator is actively monitoring the test session away from his or her device. The inactivity will result in the closing of the test session.

Test Expiration

Computer Adaptive Test (CAT) Items

A student's CAT remains active until the student completes and submits the test or **45 calendar days** after the student has begun the test (but before the end of the selected testing window), whichever occurs sooner. However, it is recommended that that students complete the CAT items portion of the test within **five days** of starting the designated content area.

Performance Task (PT)

The PT is a separate test that remains active for no more than **10 calendar days** after the student has begun the PT (with the approval of the CDE). However, Smarter Balanced recommends that students complete the PT within **three days** of starting in each content area. A summary of recommendations for the number of sessions and session durations is provided in section [7.3 Testing Time and Recommended Order of Administration](#).



If a student starts the test near the end of the selected testing window, the student must finish before the test administration window officially closes. The assessment will automatically end on the last day of the selected testing window or on the last day of instruction, even if the student has not finished unless the LEA applies for a grace period extension.

7.3 Testing Time and Recommended Order of Administration

All students participating in the assessments will receive a CAT, a Classroom Activity, and a PT in both ELA and mathematics.

Testing Time And Scheduling

Testing Windows

LEA CAASPP Coordinators set up test dates in the Test Operations Management System (TOMS) Test Administration Setup module. Testing windows can be viewed in TOMS by LEA CAASPP coordinators by following the instructions to "View the Details of the Windows Summary" in the *TOMS Test Administration Setup Guide* at http://www.caaspp.org/rsc/pdfs/CAASPP.test_admin_setup.2016.pdf.

Pursuant to the *California Code of Regulations, Title 5 (5 CCR)*, sections 855(a)(1), 855(a)(2), 855 (a)(3), 855(b), and 855(c), the rules for the establishment of the testing windows for the Smarter Balanced assessments are as follows:

Grades Three through Eight

- The available testing window shall begin on the day in which 66 percent of a school's or track's annual instructional days have been completed;
- Testing may continue up to and including the last day of instruction for the regular school's or track's annual calendar;
- An LEA may establish a selected testing window of no less than 25 days within their available testing window; and
- An LEA may extend a selected testing period up to an additional 10 consecutive instructional days if still within the available testing window.

Grade Eleven

- The available testing window shall begin on the day in which 80 percent of the school's or track's annual instructional days have been completed;
- Testing may continue up to and including the last day of instruction for the regular school's or track's annual calendar;
- An LEA may establish a selected testing window of no less than 25 days within their available testing window; and
- An LEA may extend a selected testing period up to an additional 10 consecutive instructional days if still within the available testing window.



Sixty-six percent of a school year occurs on the 118th instructional day in a 180-day school year, leaving a 12-week regulatory testing window for grades three through eight testing; 80 percent of a school year occurs on the 144th instructional day in a 180-day year, leaving a seven-week regulatory testing window for grade eleven testing. LEAs have the option to select a shorter testing window.

Scheduling Time for Testing:

Table 10 contains rough estimates of the time it will take most students to complete the Smarter Balanced assessments based on the time it took students to complete the Smarter Balanced Summative Assessments. **This information is for scheduling purposes only, as the assessments are not timed.**

Table 10: Estimated Testing Times for Smarter Balanced Assessments

Content Area	Grades	Computer Adaptive Test (CAT) items hrs:mins	Performance Task (PT) hrs:mins	Total hrs:mins	Classroom Activity (administered before the PT)* hrs:mins	Total hrs:mins
English Language Arts/Literacy	3–5	1:30	2:00	3:30	:30	4:00
	6–8	1:30	2:00	3:30	:30	4:00
	HS	2:00	2:00	4:00	:30	4:30
Mathematics	3–5	1:30	1:00	2:30	:30	3:00
	6–8	2:00	1:00	3:00	:30	3:30
	11	2:00	1:30	3:30	:30	4:00
Both	3–5	3:00	3:00	6:00	1:00	7:00
	6–8	3:30	3:00	6:30	1:00	7:30
	11	4:00	3:30	7:30	1:00	8:30

* Classroom Activities are designed to fit into a 30-minute window; however, the time within the window will vary on the basis of the complexity of the topic and individual student needs.

When developing a testing schedule, use the estimated testing times to calculate the number of days and the amount of time it will take to complete an assessment in each content area and grade level.

These estimates do not account for any time needed to start devices, load secure browsers, and log in students. Nor do they account for breaks. Test administrators should work with CAASPP test site coordinators to determine precise testing schedules.

Recommended Order of Online Administration

The assessments are comprised of two components (tests) for ELA and mathematics: a computer adaptive test (CAT) and a performance task (PT). PTs should be preceded by the administration of a Classroom Activity.

Smarter Balanced recommends that students take the CAT and PT items on separate days. For each content area, Smarter Balanced also recommends that students begin with the CAT items, followed by the Classroom Activity, and then the PT. LEAs/Schools may opt to administer in a different order if needed; however, the Classroom Activity, which is designed to introduce the PT, **should** occur prior to the PT.

Recommended Order of Test Administration

Computer
Adaptive Test



Classroom
Activity



Performance
Task

Classroom Activity

The purpose of the Classroom Activities is to introduce students to the context of a performance task so they focus on contextual topics. The Classroom Activity is designed to be an introduction and not an assessment.

Guidelines for administering the Classroom Activity for ELA or mathematics are as follows:

- Classroom Activities should be administered by a teacher. It is preferable—but not essential—that the teacher or test administrator administering the Classroom Activity has content knowledge in the area of assessment.
- The teacher/test administrator should be able to record information—including any tables, graphics, formulas, or other information contained in the Classroom Activity materials—for students to see, such as on a chalkboard or dry-erase board. Computers, projectors, and other technology are allowed but not required for the Classroom Activity. Recorded information should not be available when students participate in the PT. When the PT is being administered, content from the Classroom Activity should not be available (i.e., do not put any content from the Classroom Activity on the board, in handouts, etc.).
- Students may take notes during the Classroom Activity, but the notes may not be used during the PT. Notes must be collected before proceeding to the PT and stored in a secure location until securely destroyed.
- There should be no more than a **three calendar days** between the Classroom Activity and the PT administration.
- Failure to administer the Classroom Activity will not impact accountability results.
- Classroom Activities should only be administered to students once and are designed to be completed in approximately thirty minutes.
- The Classroom Activity is nonsecure; however, it should not be supplemented with any other content that the administrator may think is helpful. Supplementing the Classroom Activity may detract from the intended purpose of the Classroom Activity.



Caution: Students are not permitted to retain notes from the Classroom Activity for later use in the PT.

- Consider the appropriate accommodations that should be provided to students in the class that would normally be provided during instruction. [Appendix G: Accessibility Guidelines for Classroom Activities](#) contains information on these student resources that can be provided during the Classroom Activity.
- In the event a student is absent during the Classroom Activity, a make-up session might be scheduled. The Classroom Activity may be recorded; however, the make-up session should provide students with an experience similar to that of his or her peers. To the greatest extent

possible, the make-up session should provide students an opportunity to interact with the teacher or test administrator and his or her peers.

Duration and Timing Information for ELA and Mathematics

The scheduling recommendations for each of these components is included in Table 11 and Table 12 on the next page. Note that the duration, timing, break/pause rules, and session recommendations vary for each content area and component.

English Language Arts/Literacy

Table 11: Assessment Sequence—ELA

ELA	CAT Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> No fewer than two sessions (recommended) and no more than six sessions (rare/extreme). Session durations range from 40–60 minutes. 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in one session Approximate session duration: 30 minutes Should occur one to three days prior to administration of the PT Should NOT occur on the same day as the ELA PT 	<p>The PT is presented in two parts.</p> <p>Recommendations:</p> <ul style="list-style-type: none"> Administer in two sessions corresponding to Parts 1 and 2 of the PT. Session durations range from 60–120 minutes.
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous pages (i.e., screens).</p>	NA	<p>The PT is presented in two parts. Students may take breaks within Parts 1 and 2; however, once a student moves to Part 2, he or she will not be able to review or revise items in Part 1.</p> <ul style="list-style-type: none"> Recommendation: Students complete Part 1 in one test session and Part 2 the next school day.

ELA	CAT Items	Classroom Activity	Performance Task (PT)
Total Duration	<p>Once a student has started the CAT items, this test will be available for 45 calendar days or as many days remain within the LEA's selected testing window, whichever length of time is shorter (e.g., if there are 15 days left in the selected testing window and 20 days before the CAT expires, the test will become unavailable after 15 days).</p> <ul style="list-style-type: none"> • Recommendation: Student completes this portion within five days of starting. 	NA	<p>Once a student has started the PT, it will be available for 10 calendar days or as many days remain within the LEA's selected testing window, whichever length of time is shorter (e.g., if there are four days left in the selected testing window and nine days before the PT expires, the test will become unavailable after four days).</p> <ul style="list-style-type: none"> • Recommendation: Student completes each part of the PT within one day.

Important reminders for ELA:

1. **For the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student's schedule.**
2. **Minimize the amount of time between beginning and completing each test within a content area.**
3. The number of items will vary on the CAT portion of each student's test.
4. The tests are not timed, so all time estimates are approximate.
5. Students should be allowed extra time if they need it, but test administrators need to use their best professional judgment when allowing students extra time. Students should be actively engaged in responding productively to test questions.
6. The test can be spread out over multiple days as needed.
7. The Classroom Activity should be completed prior to administration of the PT.

Mathematics

Table 12: Assessment Sequence—Mathematics

Mathematics	CAT Items	Classroom Activity	Performance Task (PT)
Number and Duration of Sessions	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in two sessions. Session durations range from 40–60 minutes. <p>Most students will complete the CAT items in two sessions of 60 minutes or less or one long session of more than 60 minutes.</p>	<p>Recommendations:</p> <ul style="list-style-type: none"> Administer in one session Approximate session duration: 30 minutes Should occur as close to the PT as is feasible, and no more than three days prior to the PT May occur on the same day as the PT 	<p>Recommendations:</p> <ul style="list-style-type: none"> Administered in one session. Session duration ranges from 40–120 minutes.
Breaks within Sessions	<p>Breaks can be provided during the test sessions using the software’s pause feature. If the test is paused for more than 20 minutes, the student will not be able to go back to items on the previous screens.</p>	NA	<p>Students may take breaks during PT test sessions. Mathematics PT items are presented on a single page (i.e., screen). Following a break, the student will have access to the same items.</p>
Total Duration	<p>Once a student has started the CAT items, they will be available for 45 calendar days or as many days remain within the LEA’s selected testing window, whichever length of time is shorter (e.g., if there are 15 days left in the selected testing window and 20 days before the CAT expires, the test will become unavailable after 15 days).</p> <ul style="list-style-type: none"> Recommendation: Student completes this portion within five days of starting it. 	NA	<p>Once a student has started the PT, it will be available for 10 calendar days or as many days remain within the LEA’s selected testing window, whichever length of time is shorter (e.g., if there are four days left in the selected testing window and nine days before the PT expires, the test will become unavailable after four days).</p> <ul style="list-style-type: none"> Recommendation: Student completes the PT in one day.

Additional administration recommendations for mathematics

1. **For the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student’s schedule.**
2. **Minimize the amount of time between beginning and completing each test within a content area.**
3. The number of items will vary on the CAT portion of each student’s test.
4. The tests are not timed, so all time estimates are approximate.
5. Students should be allowed extra time if they need it, but test administrators need to use their best professional judgment when allowing students extra time. Students should be actively engaged in responding productively to test questions.
6. The test can be spread out over multiple days as needed.
7. The Classroom Activity should be completed prior to administration of the PT.

7.4 Sensitive Responses

Taking Appropriate Action with Student Responses or Student Actions That Cause Concern

Throughout the test administration process, student safety is always the primary consideration.

During testing, test administrators may encounter student actions that disrupt the assessment administration and may endanger the student or others. In addition, it is possible that test administrators will encounter student responses to questions or notes on scratch paper that necessitate some action to ensure student safety.

Smarter Balanced security protocols make it clear that test administrators are not permitted to review student responses in the testing interface or students’ notes on scratch paper. However, during or after the Smarter Balanced assessments, a test administrator might unexpectedly encounter a student response that raises sufficient concern to warrant adult action, including action as a mandated reporter. Topics that may require the test administrator to take action include, but are not limited to, student references to:

1. Suicide
2. Criminal activity
3. Alcohol or drug use
4. Extreme depression
5. Extreme violence
6. Sexual assault or physical abuse
7. Self-harm or intent to harm others
8. Neglect

Collecting information

Prior to administration, each test administrator should have a thorough understanding of school, LEA, and/or California policies regarding documentation of student actions or concerning responses during a secure test event. The test administrator should document as much information as possible in accordance with school, LEA, and/or California Department of Education policies.

Escalating information

Should the test administrator encounter a sensitive situation while supervising the test session, the test administrator should immediately escalate this concern in accordance with school, district, and/or state policies and procedures.

7.5 Early Assessment Program (EAP)

The Early Assessment Program (EAP) is a joint program of the CDE, California State University (CSU), and the California Community Colleges (CCC). The EAP provides students with an early indicator of their college readiness in English and mathematics prior to starting the senior year. In addition, EAP may earn students an exemption from the CSU and participating CCC English and/or mathematics placement tests that are required for entering freshmen.

Students taking the grade eleven CAASPP ELA and mathematics assessments will automatically be participating in the EAP. Students may voluntarily release their grade eleven CAASPP ELA and/or mathematics results to the CSU and CCCs; however, the results will not be used for admissions.

At the end of the Smarter grade eleven ELA and mathematics tests, students will be asked to release their results to the CSU and CCCs. To authorize the release of their results, students should mark the circle that indicates their understanding that their CAASPP/EAP results will be shared directly with the CSU and/or the CCC. Students who choose not to release their results to the CSU and CCC will need to provide those results upon request at a later date.

8.0 Universal Tools, Designated Supports, and Accommodations

Table 13: What’s New for Universal Tools, Designated Supports, and Accommodations

Feature	Change
Accessibility Supports	
CAASPP Individual Student Assessment Accessibility Profile (ISAAP) Tool	<p>The CAASPP 2015–16 ISAAP Tool has been updated; do not use the ISAAP Tool from a previous administration. (The current ISAAP Tool includes “CAASPP” and the test administration year in the file name.)</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Request an unlisted resource	<p>Unlisted resources, previously called <i>individualized aids</i>, must be requested in TOMS.</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Student’s special education, Section 504 plan, and primary disability code statuses tied to eligibility for accommodations, unlisted resources, and California Alternate Assessments	<p>Student data in the California Longitudinal Pupil Assessment Data System (CALPADS) should be kept current to ensure that students remain eligible to take the appropriate test with the appropriate settings.</p> <p>The CALPADS settings must indicate the student’s individualized education program (IEP) or Section 504 plan status to enable selection of accommodations or unlisted resources in the student test settings interface in the Test Operations Management System (TOMS). The education program (field 3.13) must be set for “special education” (value 144) and provide a primary disability category (field 3.21) or “504 Plan” (value 101).</p> <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Designated support/accommodation changes	<ul style="list-style-type: none"> • The <i>Separate Setting</i> non-embedded support accommodation for English language arts/literacy (ELA) and mathematics now includes <i>Special Lighting or Acoustics and Administration of the Test to the Pupil at the Most Beneficial Time of The Day</i>. • <i>Translated Test Directions</i> are an allowable non-embedded support for English language arts/literacy. • The embedded accommodation <i>Text-to-Speech</i> for reading passages is now permitted for all grades. <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>

Feature	Change
Designated support/accommodation additions	<ul style="list-style-type: none"> • <i>Calculator</i> for allowed items has been added as a non-embedded accommodation for grades six through eight and eleven mathematics. • <i>Read Aloud in Spanish</i> for mathematics items and stimuli has been added as a non-embedded designated support. <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>
Designated support/accommodation removals	<ul style="list-style-type: none"> • <i>American Sign Language</i> for ELA reading items, reading passages, and ELA writing and listening items and mathematics has been removed as a non-embedded support. • The non-embedded protractor and non-embedded ruler (<i>Math Tools</i>) have been removed as non-embedded supports for mathematics. <p>Please refer to this manual for more information: http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf.</p>

8.1 Smarter Balanced Guidelines

The Smarter Balanced Assessment Consortium’s *Usability, Accessibility, and Accommodations Guidelines (Guidelines)* are intended for school-level personnel and decision-making teams, including individualized education program (IEP) and Section 504 teams, as they prepare for and implement the Smarter Balanced assessments. The Smarter Balanced *Guidelines* provide information for classroom teachers, English language development educators, special education teachers, and instructional assistants to use in selecting and administering universal tools, designated supports, and accommodations for those students who need them. The Smarter Balanced *Guidelines* are also intended for assessment staff and administrators who oversee the decisions that are made in instruction and assessment.

The Smarter Balanced *Guidelines* apply to **all** students. They emphasize an individualized approach to the implementation of assessment practices for those students who have diverse needs and participate in large-scale content assessments. The *Guidelines* focus on universal tools, designated supports, and accommodations for the Smarter Balanced assessments of English language arts/literacy and mathematics. At the same time, the *Guidelines* support important instructional decisions about and connection between accessibility and accommodations for students who participate in the Smarter Balanced assessments.

If a student is using an instructional support that is not listed in Matrix One but is in a student’s IEP or Section 504 plan, then the school or local educational agency (LEA) may request the use of that support using the Unlisted Resource Request form in the Test Operations Management System (TOMS).

The complete set of Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines*, as well as Matrix One, showing the full list of universal tools, designated supports, and accommodations, can be found on the CDE Student Accessibility Supports Web page at <http://www.cde.ca.gov/ta/tg/ca/accesssupport.asp>. Please be sure to review these guidelines thoroughly before test administration.

The *Test Administrator Reference Guide*, located at <http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf>, also contains information on how to use some of these settings.



To help states identify similarities between the test resources and classroom practices, Smarter Balanced developed a *Resources and Practices Comparison Crosswalk*. The *Crosswalk* can be found in [Appendix H](#). The *Crosswalk* and other Smarter Balanced accessibility resources can be found on the California Department of Education (CDE) Student Accessibility Supports Web page at <http://www.cde.ca.gov/ta/tg/ca/accesssupport.asp>.

8.2 Definitions

The summative assessments and practice and training tests contain universal tools, designated supports, and accommodations; these are defined in Table 14. Embedded resources are those that are part of the online administration system, whereas non-embedded resources are provided outside of that system.

Table 14: Definitions for Universal Tools, Designated Supports, and Accommodations

Type	Definition
Universal Tools	Access features of the assessments that are either provided as digitally delivered components of the test administration system (embedded) or separate from it (non-embedded). Universal tools are available to all students based on student preference and selection. For example, Global Notes is an embedded universal tool; scratch paper is a non-embedded universal tool.
Designated Supports	Access features of the assessments available for use by any student for whom the need has been indicated by an educator (or team of educators working with the parent/guardian and student). They are either provided as digitally delivered components of the test administration system (embedded) or separate from it (non-embedded). For example, stacked translations in Spanish for mathematics is an embedded designated support; a scribe for English language arts/literacy non-writing items and mathematics items is a non-embedded designated support.
Accommodation	Accommodations are changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. Assessment accommodations generate valid assessment results for students who need them; they allow these students to show what they know and can do. Accommodations are available for students with documented IEPs or Section 504 plans. Consortium-approved accommodations do not compromise the learning expectations, construct, grade-level standard, or intended outcome of the assessments. For example, braille is an embedded accommodation; print on demand is a non-embedded accommodation.

8.3 Setting Embedded and Non-embedded Designated Supports and Accommodations



Student data in the California Longitudinal Pupil Assessment Data System (CALPADS) should be kept current to ensure that students remain eligible to take the appropriate test with the appropriate settings.

The CALPADS settings must indicate the student’s individualized education program (IEP) or Section 504 plan status to enable selection of accommodations or unlisted resources in the student test settings interface in the Test Operations Management System (TOMS). The education program (field 3.13) must be set for “special education” (value 144) and provide a primary disability category (field 3.21) or “504 Plan” (value 101).

Using TOMS to Assign the Settings

LEA CAASPP coordinators and CAASPP test site coordinators have the ability to set embedded and non-embedded designated supports and accommodations. **Designated supports and accommodations must be either uploaded to or set in the Test Operations Management System (TOMS) by LEA CAASPP coordinators or CAASPP test site coordinators prior to starting a test session. They must also be set in sufficient time to become available in the practice test, where the student can familiarize him- or herself with the support or accommodation prior to operational testing. Note the following about setting designated supports and accommodations in TOMS:**

- It may take up to 24 hours for test settings to be available for students after setting in TOMS.
- Changes to test settings made by test administrators in the *Approvals and Student Test Settings* window in the Test Administrator Interface for administering the interim assessments apply to that test session only. To use the same settings in summative and interim assessments, they must be assigned in TOMS.
- Test settings for the 2015–16 administration must be assigned in the 2015–16 version of TOMS. Designated supports and accommodations set for the 2014–15 administration are not carried forward in the current administration.



One particular non-embedded accommodation for grade four and above is a multiplication table for mathematics items, which can be found in [Appendix I: Multiplication Table](#). The multiplication table is also available as a standalone, downloadable document on the CAASPP Test Administrator Resources for the Smarter Balanced Online Summative Assessments Web page at <http://www.caaspp.org/ta-resources/summative.html>.

For information on updating student settings in TOMS, refer to the *TOMS Online Student Test Settings Guide*, available at <http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf>.

Using the Individual Student Assessment Accessibility Profile (ISAAP) Tool to Assign the Settings

The CAASPP 2015–16 **Individual Student Assessment Accessibility Profile (ISAAP) Tool** can be used to facilitate selection of the accessibility resources that match student access needs for the Smarter Balanced assessments, as supported by the *Guidelines*. The ISAAP Tool should be used in conjunction with the *Guidelines* as well as with state regulations and policies related to assessment accessibility as a part of the ISAAP process; see the CDE Matrix One Web document at <http://www.cde.ca.gov/ta/tg/ai/documents/caasppmatrix1.pdf> for more information.

LEA personnel, including IEP and Section 504 plan teams, can use the ISAAP Tool to determine the selection of designated supports and accommodations a student will need for the online Smarter Balanced assessments. LEA CAASPP coordinators also have the option to enter student settings manually one by one or into an Excel template to upload into TOMS. Both the ISAAP Tool and the template can be downloaded from the CAASPP TOMS Web page at <http://www.caaspp.org/administration/toms/>; direct links are as follows:

- ISAAP Tool—http://www.caaspp.org/rsc/pdfs/CAASPP_ISAAP_Tool_2015-2016_v1.xlsm
- Online Student Test Settings Template—http://www.caaspp.org/rsc/pdfs/CA_Upload_Stu_Accom_Template.v6.xlsx

For additional information about the availability of designated supports and accommodations, refer to the Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines*, linked on the CAASPP Instructions and Manuals Web page at <http://www.caaspp.org/administration/instructions/> for complete information.

For information on using the ISAAP Tool and the template, and configuring or updating student settings in TOMS, refer to the *TOMS Online Student Test Settings Guide* located at <http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf>.

To view a recording of the CAASPP Accessibility and Accommodations Webcast, go to the CAASPP Current Administration of the CAASPP System Tests Web page at <http://www.caaspp.org/training/caaspp/>.

8.4 Unlisted Resource

If an IEP team or a Section 504 plan identifies and designates a resource not identified in Matrix One, the LEA CAASPP coordinator or the CAASPP test site coordinator may submit an Unlisted Resource Request in TOMS. Approval will be granted by the CDE for use of the unlisted resource based on the IEP or Section 504 plan team's designation, and if the unlisted resource does not compromise the test's integrity or security. The CDE shall make a determination of whether the requested unlisted resource changes the construct being measured. This determination will be made after all testing has been completed.

Matrix One, available at <http://www.cde.ca.gov/ta/tg/ai/documents/caasppmatrix1.pdf>, includes a list of unlisted resources that have already been identified. These and other unlisted resources can be requested in TOMS.

9.0 Prior to Test Administration

9.1 Establishing Appropriate Testing Conditions

Test site coordinators, test administrators, and test examiners should work together to determine the most appropriate testing option(s) and testing environment based on the number of devices available, the number of students in each tested grade, and the estimated time needed to complete each test. Testing students in classroom-sized groups is preferable. Establishing classroom-sized groups reduces test fear and anxiety for the students and facilitates monitoring and control for the test administrator. However, this also includes setting up testing rooms for students whose individualized education programs (IEPs) or Section 504 plans specify universal tools, designated supports, and/or accommodations that necessitate testing the students in a separate setting (that is, reading test questions aloud, extended testing time, additional breaks, and so forth).

The test administration should be conducted in a secure environment (see section [3.1 Security of the Test Environment](#)).

Establish procedures to maintain a quiet testing environment throughout the test session, recognizing that some students will finish more quickly than others. If students are allowed to leave the testing room when they finish, explain the procedures for leaving without disrupting others and where they are expected to report once they leave. If students are expected to remain in the testing room until the end of the session, instruct them on what activities they may engage in after they finish the test. Access to a student's device should be monitored strictly for types of activities that may be done without violating the security of the tests if other students in the room are still testing.

During test administration, students may have access to and use of these additional required resources in Table 15 specific to each assessment and content area.

Table 15: Additional Required Resources

Content Area	Computer Adaptive Test (CAT) Items	Classroom Activity	Performance Task (PT)
English language arts/literacy (ELA)	<ul style="list-style-type: none"> Headphones are required for the listening portion of the ELA assessment and for students requiring text-to-speech. Scratch paper should be provided for note taking if necessary. 	Students with disabilities are allowed to have accommodations, and English learners should have access to the language supports they regularly use during classroom instruction.	<ul style="list-style-type: none"> Headphones are required for some performance tasks and for students requiring text-to-speech. Scratch paper should be provided for note taking if necessary.
Mathematics	<ul style="list-style-type: none"> Headphones are required for students requiring text-to-speech and for students requiring Audio Glossaries. An embedded calculator will be available for some mathematics items in grade six and above. Scratch paper is required for all grades. Graph paper is required for grade six. Graph paper may be made available for grades five and below. 	Students with disabilities are allowed to have accommodations, and English learners should have access to the language supports they regularly use during classroom instruction.	<ul style="list-style-type: none"> Headphones are required for students requiring text-to-speech and for students requiring Audio Glossaries. An embedded calculator will be available for all mathematics PT items in grade six and above. Scratch paper is required for all grades. Graph paper is required for grade six. Graph paper may be made available for grades five and below.

9.2 Tasks to Complete Prior to Test Administration

- ✓ **Local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators, CAASPP test site coordinators, and test administrators should verify that students are provided the opportunity to practice on the training test and practice test prior to testing.**

It is highly recommended that ALL students be provided the opportunity to practice on the training test and practice test prior to testing. This allows students the opportunity to become familiar with all of the item types, the universal tools, buttons, and any allowable designated supports and/or accommodations. Practice and training tests are found at <http://www.caaspp.org/practice-and-training/>.

- ✓ **LEA CAASPP coordinators and CAASPP test site coordinators should ensure all test administrators have logon information for the Test Administrator Interface.**
- ✓ **LEA CAASPP coordinators, CAASPP test site coordinators, and test administrators should verify and/or update student demographic information and test settings.**

Each student must be correctly assigned to his or her LEA, school, and grade in the Test Operations Management System (TOMS). CAASPP test site coordinators and test

administrators will need to work with LEAs to have demographic student information added and updated in the California Longitudinal Pupil Achievement Data System (CALPADS), including Statewide Student Identifiers (SSIDs).

In addition to the correct demographic student information in CALPADS, CAASPP test site coordinators and test administrators should verify that all students have accurate test settings configured in TOMS, including designated supports and accommodations (embedded and non-embedded) for each content area prior to testing.

Only CALPADS Coordinators may add/modify/delete student demographic information in CALPADS. LEA CAASPP coordinators and CAASPP test site coordinators may also set embedded and non-embedded designated supports and accommodations in TOMS for students who require them. Test administrators may view student information; however, test administrators cannot add, upload, or modify student information. Within the Test Administrator Interface, a test administrator may change the default font size and turn off universal tools prior to the start of the test.



IMPORTANT: Any additions/modifications/deletions of students and changes to student test settings in TOMS must be completed **before the student can test**. The update, once made, may take **up to 24 hours to appear in the Test Administrator Interface**. Failure to correct test settings before testing could result in the student's not being provided with the needed accommodations and/or designated supports at the time of testing. This is considered a testing irregularity.

For information on how to view, add, upload, and modify student test settings, please refer to the *TOMS Online Student Test Settings User Guide* at <http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf>.



It is important for anyone with access to student information to remember that student personal information, including the student's SSID, is confidential. **If materials containing student personal information and/or SSIDs are distributed to students, these materials must be collected before the students leave the testing room and either securely stored to be used in a subsequent test session or securely destroyed.** For additional information about security protocols, refer to section [3.0 Ensuring Test Security](#) of this manual.

- ✓ **CAASPP test site coordinators should ensure that test administrators have necessary student logon information.**

Each student will log on to the Smarter Balanced testing system using his or her first name, state abbreviation (CA) plus hyphen, SSID, and a test session ID. Prior to starting a test session, test administrators must have a record of each student's first name and SSID. This information must be provided to each student to complete the logon process. It is suggested that the SSID and the student's first name be printed on a card or piece of paper and distributed to each student just prior to testing to help him or her type it in the device accurately. **It is also permissible to include a photo of the student or including the student's last name with the logon information as additional safeguards to ensure that the students receive the correct logon information.**

Student information is confidential; therefore, the cards/papers with this information must be kept secure until used during a test session.



When a test administrator creates a test session on the Test Administrator Interface, a unique Session ID is randomly generated. This Session ID must be provided to students before they log on. Please refer to the *Test Administrator Reference Guide* located at <http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf> for detailed information on how to obtain Session IDs.

- ✓ **LEA CAASPP Coordinators should ensure CAASPP test site coordinators and test administrators understand protocols in the event a student moves to a new LEA and/or school.**

When students move within the state, their data record must be updated with the student's new school and/or district codes in CALPADS at least 48 hours before the student begins or resumes testing in the new school or district. The California Department of Education's (CDE's) California Longitudinal Pupil Achievement Data System (CALPADS) Web page at <http://www.cde.ca.gov/ds/sp/cl/> contains links to CALPADS system document, updates, and other useful information for maintaining student data.

- ✓ **Retrieve Classroom Activity materials.**

1. **Identify which Classroom Activity has been selected for administration.**

LEA CAASPP coordinators will be advised when Classroom Activities have been assigned and are available for download from the CAASPP California Smarter Balanced Classroom Activity Assignments Web page at <http://www.caaspp.org/administration/instructions/assignments/>. Classroom Activity PDFs are arranged by county and then by LEA. LEA CAASPP coordinators can download the appropriate PDF, which lists its schools/test sites and the Activity to which each content area and grade level has been assigned.

2. **Retrieve and administer the Classroom Activity.**

Retrieve and review the Classroom Activity at least one to two days prior to the planned delivery of the Classroom Activity. The Classroom Activity should be administered one to three days before the performance task is to be administered.

Students with disabilities are allowed to have accommodations, and English learners should have access to the language supports they regularly use during classroom instruction. For more information on the options that may be implemented during the Classroom Activity, please see [Appendix G: Accessibility Guidelines for Classroom Activities](#).



IMPORTANT: If a student begins a performance task without being exposed to the assigned Classroom Activity, the student should continue with and complete the performance task. Please note that failure to administer the Classroom Activity will *not* impact accountability results.

10.0 Day of Test Administration



Use the following information and script to assist students with the logon procedures. Please refer to the *Test Administrator Reference Guide* at <http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf> to become familiar with the online testing system.

RECOMMENDATION: Consider printing this section to be used on the day of testing for both the computer adaptive test (CAT) and performance task (PT) portions of each content area test. Remember that the CAT and PT portions are considered two unique tests and, as such, adherence to the process that follows is needed when initiating both tests.

The test administrator should verify the security of the testing environment prior to beginning a test session. (See section [3.1 Security of the Test Environment](#).) Test administrators must ensure that students do not have access to digital, electronic, or manual devices during testing.

To ensure that all students are tested under the same conditions, the test administrator should adhere strictly to the script for administering the test. These instructions can be found in the boxes in bold on the following pages. When asked, the test administrator should answer questions raised by students but should never help the class or individual students with specific test items. **No test items can be read to any student for any content area, unless specified as an accommodation as listed in the *Usability, Accessibility, and Accommodations Guidelines*.**

Please remember that the script must be followed exactly and used each time a test is administered. If the class is resuming a test and the test administrator is sure that all students are able to log on without hearing the logon directions again, the test administrator may skip the italicized portions of the directions.

All directions that a test administrator needs to read to students are indicated by the word “SAY” and are in boxes so they stand out from the regular text. They should be read exactly as they are written, using a natural tone and manner. If the test administrator makes a mistake in reading a direction, the test administrator should stop and say, “I made a mistake. Listen again.” Then the direction should be reread.

The test administrator should try to maintain a natural classroom atmosphere during the test administration. Before each test begins, he or she should encourage students to do their best.

Any time a student logs on to the testing system, the test administrator should follow this script. This includes logging in to complete the CAT items or the PT.

10.1 Starting a Test Session

The test administrator must create a test session before students can log on to the Student Testing System (**but no more than 30 minutes prior or the system will time out**). When a test administrator creates a test session, a unique session ID is randomly generated. This session ID must be provided to the students before they log on and should be written down. (See also [Generating the Session ID](#) for additional details about test sessions.)

Test administrators should follow these steps to create a session:

1. The test administrator logs on to the Test Administrator Interface.

1. Go to <http://www.caaspp.org/>.
2. Select the [Test Administrator Interface] button (indicated in Figure 2).
3. Log on by entering the username and password on the *Sign In Web* form (Figure 3) and selecting [Secure Login].



Figure 2. [Test Administrator Interface] button

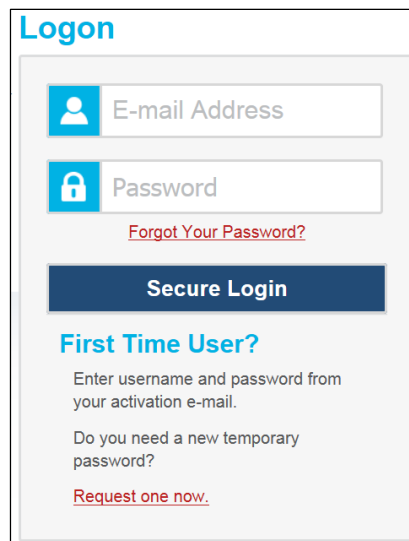


Figure 3. *Sign In Web* form

2. The test administrator begins the test session.

1. Create a test session. The [Select Tests] button is located in the upper-right corner of the screen (Figure 4). Select a test from the test selection screen.

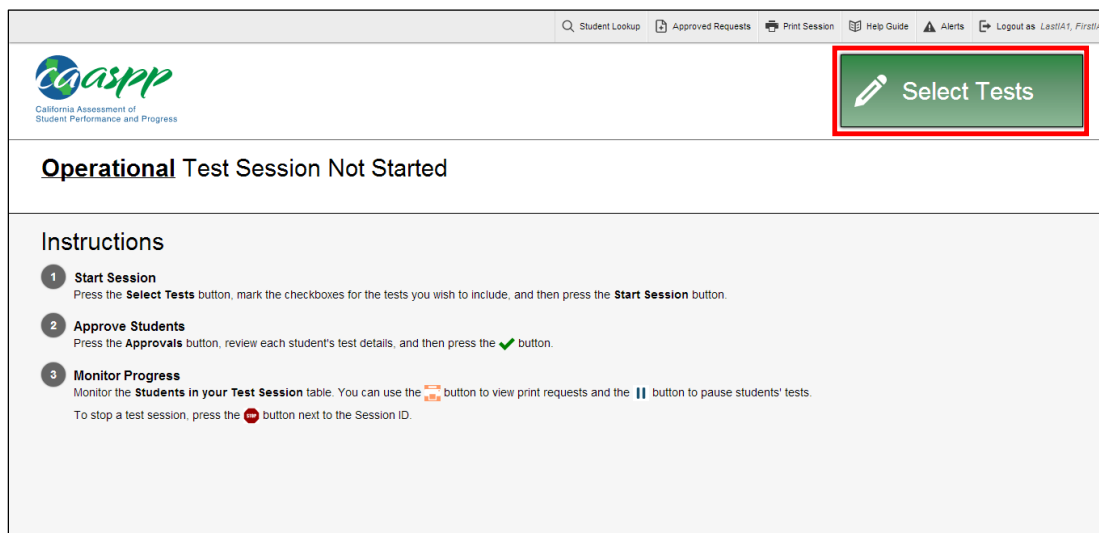


Figure 4. [Select Tests] button in the Test Administrator Interface

2. Select the test category. Check the “Smarter Balanced Summative Assessments” box (indicated in Figure 5).

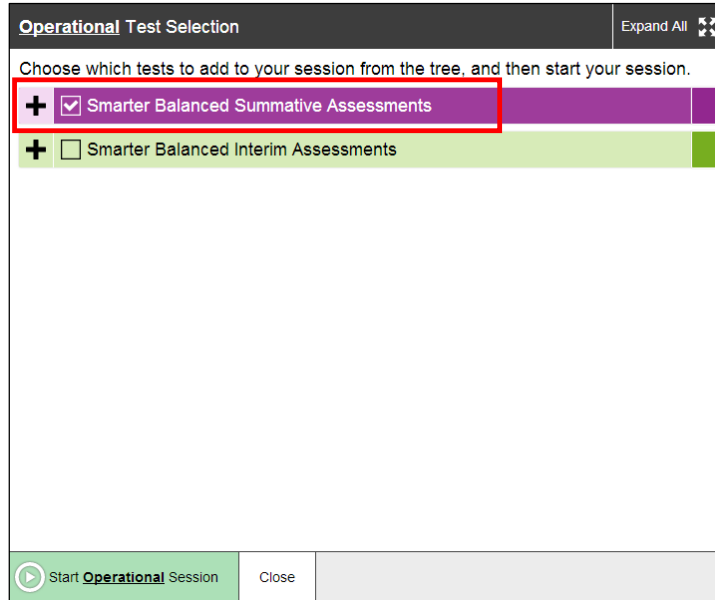


Figure 5. Select an operational test

3. Select the appropriate content area and test type for the class being tested in the session by checking the box next to your selection (indicated in Figure 6).

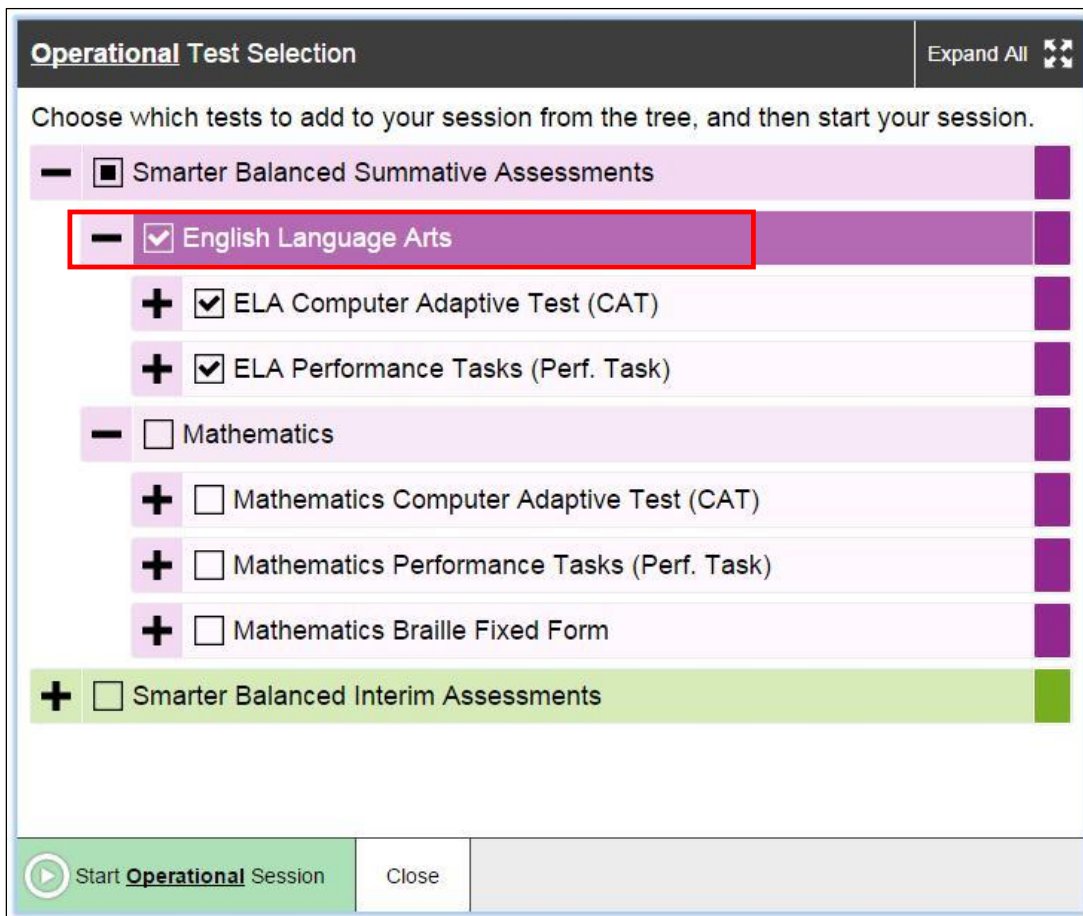


Figure 6. Select a content area and test type

Test Site Coordinator;
 Test Administrator



Note: If the top-level category in the selection tree is selected (for example, English Language Arts”), then all the sublevel tests are also selected. If the test administrator drills down and does not select the top-level category (“English Language Arts” in Figure 6), then he or she needs to select the specific test being administered.

4. **Make a note of your test session number** (indicated in Figure 7).

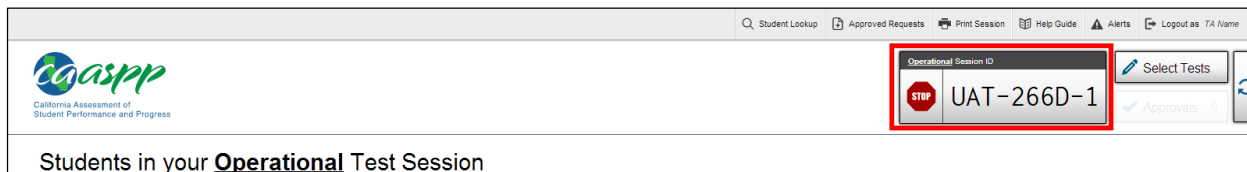


Figure 7. Sample Session ID

3. **The test administrator informs students of the test session ID.**



Caution: A test session automatically ends when you manually **stop the session** or **log off** of the Test Administrator Interface. While a student can resume a test opportunity in a new session, the current test session cannot be resumed. In order for students to resume testing, you will need to create a new test session and give them the new Session ID. While students cannot access previous (closed) test sessions, they will be able to resume a test if the test is paused.

SAY: Today, you will take the Smarter Balanced [NAME OF TEST (i.e., ELA Grade 4 CAT)] test. You will be given a test session ID that is required to start the test. Before logging on, let’s go over some test rules.

You must answer each question on the screen before going on to the next one. Go ahead and provide what you think is the best answer. If you are unsure of the answer, mark the item for review by clicking on the box next to the flag, which you’ll see in the upper-right corner of the screen. Flagging the item will remind you to go back and decide whether or not you want to change the answer. You may go back and change the answer as long as you do so during this test session.

[For the Math CAT in grades 6–11 and ELA PT only: Please keep in mind that this test is divided into segments. When you get to the end of each segment, you will be prompted to review your answers before moving on. Once you submit your answers and move on to the next segment, you will not be able to return to the previous segment.]

You may pause at any point in the test by selecting PAUSE rather than NEXT after answering an item. Please raise your hand if you need a break and ask permission before selecting PAUSE.

[For the CAT portion only: If you pause your test for more than 20 minutes, you will no longer be able to go back and change your answers.]

Your answers need to be your own work. Please keep your eyes on your own test and remember, there should be no talking. If you have a cell phone, please raise your hand and I will come and collect it before the test begins.

If you finish your test early, please raise your hand and sit quietly.

Give students the test session ID and other log on information.

The test session ID, the statewide student identifier (SSID), and the student’s first and last names, as provided in the California Longitudinal Pupil Achievement Data System (CALPADS) may be provided to students ahead of time on a card or piece of paper to help them type it in the device accurately. You may include the student’s last name somewhere on the card or paper to match the SSID number and other logon information with the right student. You may also include a photo of the student. Student information is confidential; therefore, the cards/papers with this information must be collected after each test session and securely shredded after testing is complete.

The test administrator should write down the session ID for his or her own records or in case he or she must log on to the Test Administrator Interface on a different device instead. If this is the case, the test administrator will enter the session ID on the new device, after which the session on the original device will be locked out. Students who are testing in the session will not notice a change. The test administrator will be logged off the session if there is no activity for 30 minutes by the test administrator or a student; students will have their tests paused if there is no test administrator activity. Having the session ID will allow the test administrator to resume the session on the original or a secondary device.

Test administrators may also write the test session ID on a classroom dry-erase or chalk board or another place where students can see it. Make sure students know that the test session ID must be entered **exactly** as it is written—it is case sensitive—without extra spaces or characters. Please refer to the *Test Administrator Reference Guide* located at <http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf> to become familiar with the Online Testing System.

SAY: Now we are ready to log on. Once you have logged on, you will have to wait for me to approve the test before you start. I’ll be checking that you have correctly entered the test session ID and other information.

Enter your legal first name, not your nickname, followed by CA- and your SSID number. Then enter the test session ID. Raise your hand if you need help typing this information on your keyboard.

Now select SIGN IN. Once you have successfully logged on, you will see a screen with your first name and other information about you. If all of the information on your screen is correct, select YES to continue. If any of the information is incorrect, please raise your hand and show me what is incorrect.

Ensure that all students have successfully entered their information.

The test administrator should ensure that the students use their first names as they appear in CALPADS, not nicknames. If a student is unable to log on, he or she will be prompted to try again and provided with a message describing the reason (an invalid SSID, for example). If the student is still having difficulty, the test administrator can look up the correct information using the Student Lookup function on the Test Administrator Interface or in the Test Operations Management System (TOMS). Test administrators may assist students with logging on if necessary.

Test Site Coordinator;
Test Administrator

4. The test administrator informs students of the name of the test that they will take.

SAY: On the next screen, select the [INSERT NAME OF TEST (e.g., ELA Grade 4 CAT)], and then selected START TEST. After you have selected your test, you will see a screen with a moving bar and message saying that you are waiting for test administrator approval. This step helps ensure that you are taking the correct test. Please wait quietly while I verify each of your tests.

If test administrators are unsure of which content area or test students are participating in during that session, test administrators should contact the California Assessment of Student Performance and Progress (CAASPP) test site coordinator.

Students may be able to select from more than one test, for example, a PT and a CAT in both English language arts/literacy (ELA) and mathematics. Test administrator should direct students to select the appropriate test name based on what the test administrator is planning to administer at that time—to the content area “ELA” or “Math” and the test type “CAT” (computer adaptive test) or “PT” (performance task). Students may only select from assessments for which they are eligible and that are available to them. The student test selection screen is shown Figure 8.)

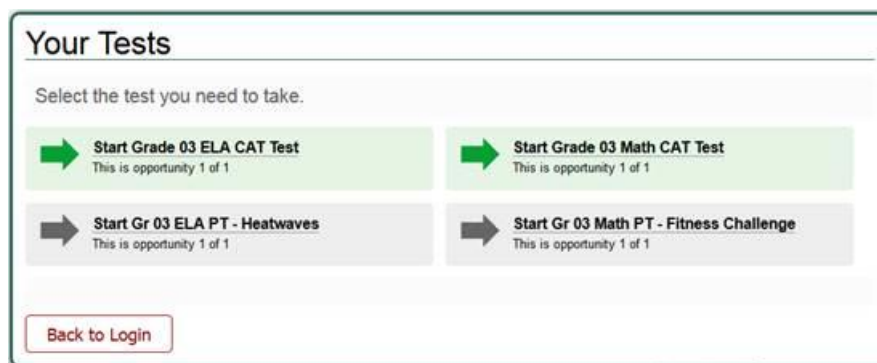
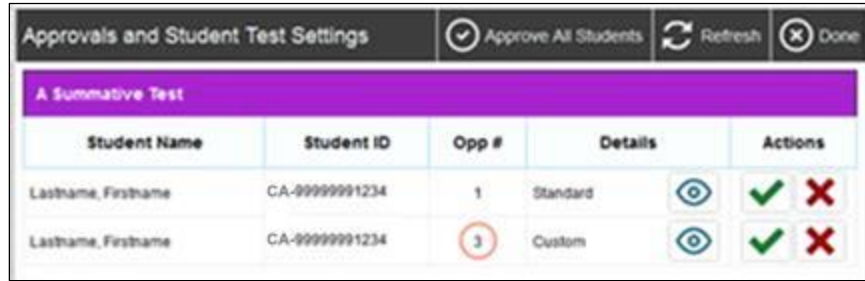


Figure 8. Sample student test selection screen

5. The test administrator views and approves students who are waiting for test session approval.

After students have selected a test, the test administrator verifies that each student selected the appropriate test before approving that student for testing. **It is very important that the test administrator pays close attention to the test name prior to approving to be sure it is the correct test to be administered at that time.** To do this:

1. Select the [Approvals (#)] button.



Student Name	Student ID	Opp #	Details	Actions
Lastname, Firstname	CA-99999991234	1	Standard	
Lastname, Firstname	CA-99999991234	3	Custom	

Figure 9. Approvals and Student Test Settings window

2. A new window opens (Figure 9) that shows a list of students, organized by test name. The test administrator should review the list to ensure that students are taking the correct content area (mathematics or ELA) and type of test (CAT or PT).
 - a. If a student selected a test other than the one the test administrator plans to administer that day (for example, selected a PT instead of a CAT or selected mathematics instead of ELA), the test administrator must deny the student entry to the test session. The student may then log on again and select the correct test.
3. The test administrator should also review the test settings assigned to each student to ensure that they are correct.
 - a. Select the [Details] eye icon to view a student's test settings.
 - b. If a student's settings are incorrect, **do not** approve that student to begin testing. The test administrator will need to work directly with a CAASPP test site coordinator or local educational agency (LEA) CAASPP coordinator to correct the test settings in TOMS before approving the student to begin testing. *(Reminder: It may take up to 24 hours for changes to appear in the Test Administrator Interface.)* **Ensuring the test settings are correct before the student begins testing is critical to avoid the need for the LEA CAASPP coordinator or CAASPP test site coordinator to submit the CAASPP Security and Test Administration Incident Reporting System (STAIRS) form and appeal to reset the test, which may result in additional testing for the student later.**
4. When the correct test is selected and test settings are verified, the test administrator selects the [Approve] check mark icon in the *Actions* column for individual students or the [Approve All Students] button to approve all the students on the screen.

SAY: **After I approve you to begin testing, you will see a screen asking you to check your test content area and settings. If all the information is correct, you may select YES, START MY TEST. If any of it is incorrect, please raise your hand.**

Each student will be logging on at a different time. The test administrator should monitor the sessions and log on all students who are currently ready before assisting any students who are having problems.

If students will be taking an ELA assessment during the test session or if students are using the text-to-speech accessibility support, read the next SAY box so the students will know how to verify that their headsets are working properly (Figure 10).

SAY: **Next you should see a screen that prompts you to verify that the sound on your computer is working. Put your headsets on and select the icon of the speaker in the circle to hear the sound. If you hear the chime, select YES. If not, raise your hand.**

(only for ELA test)

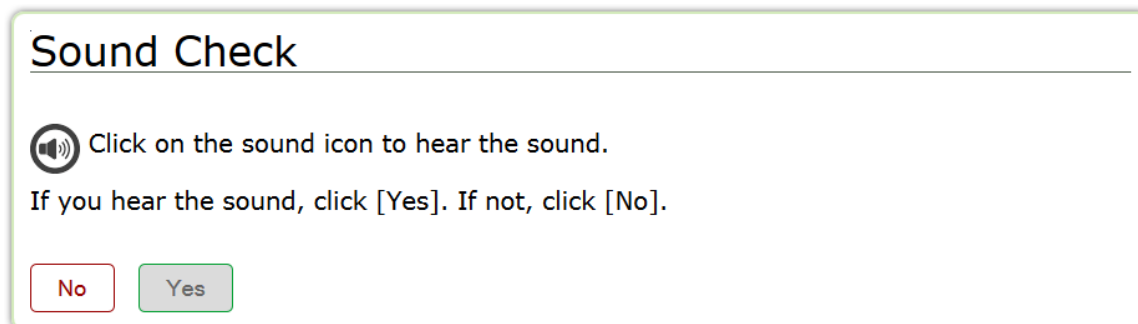


Figure 10. Sound Check page

If a student's volume is not working, troubleshoot basic steps such as ensuring that the headset is fully plugged in, mute is not inadvertently selected, and the volume setting is turned up. If the student is still experiencing issues, contact your CAASPP test site coordinator or school technology coordinator.

SAY: **Before your test appears, you will see a tutorial page listing the test tools and buttons that you may use during the test or that will appear on the test. You can also find this information during your test by selecting the HELP button in the top right corner.**

When you are ready to begin your test, select BEGIN TEST NOW at the bottom of the page.

6. The test administrator monitors student progress.

Monitoring Test Selection

It is very important that test administrators monitor student progress throughout the test session. This includes verifying that students are participating in the appropriate content area and type of test (CAT or PT). The TA monitors the test each student is taking by referring to the *Students in Your Test Session* table in the Test Administrator Interface.

In the event a student is taking an incorrect test, the test administrator can pause the student's test. The test administrator should then instruct the student to log off and log on again to select the correct test.

In the rare event that a student starts a test unintentionally (for example, selected a PT instead of a CAT, or selected mathematics instead of ELA), the test's expiration timeline will be activated. If this is the case, contact your CAASPP test site coordinator or LEA CAASPP coordinator, who can file the *CAASPP STAIRS* form to request an appeal to extend the expiration timeline once the test has expired.

Monitoring Test Progress

Once students have started their tests, the test administrator should circulate through the room to ensure that all conditions of test security are maintained. If the test administrator witnesses or

suspects the possibility of a test security incident, the CAASPP test site coordinator and LEA CAASPP coordinator should be contacted immediately in accordance with the security guidance provided in this manual.

The test administrator may also use the Test Administrator Interface to view the testing progress of any student. This site will not show test items or scores but will let the test administrator see how many items have been delivered to each student (e.g., question 44/44) (indicated in Figure 11).

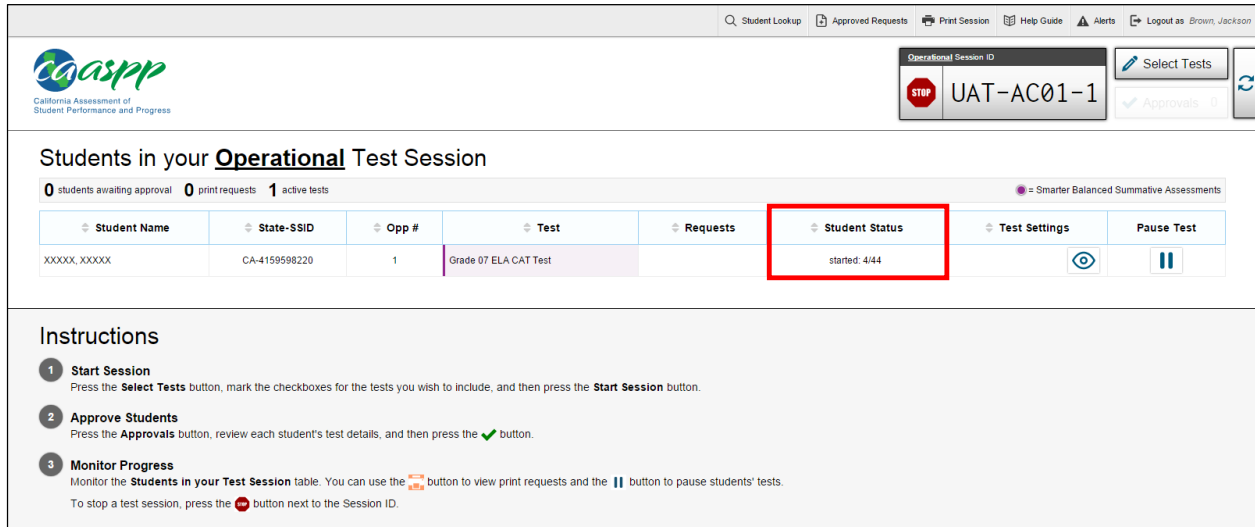


Figure 11. Test Administrator Interface

While the Test Administrator Interface is designed to automatically refresh every minute, the test administrator can refresh it manually at any time by clicking the [Refresh Now] button at the top left of the page. Do NOT select the Web browser's refresh button to refresh the Test Administrator Interface.

Student Directions During Testing

If you notice that a student is off task, you may read the statement below *verbatim*:

SAY: It is important that you do your best. Do you need to pause the test and take a break?

If a student is concerned about an item, you may direct the student to enter the concern in Online Comments by reading the script below *verbatim*:

SAY: Try your best and choose the answer that makes the most sense to you. If you are unsure about how a question works, you can review a tutorial by selecting the context menu on the right side of your screen—it shows three lines on top of each other—and then select the "i."

Allowing the students to practice on the training test and practice test prior to testing is strongly encouraged to ensure that students are able to manipulate each item type and use the various tools and supports during testing.

Warnings:



- If the test administrator is using the Test Administrator Interface or test administrator training site Web browser and navigates to a different Web site, or the Test Administrator Interface is accidentally closed while students are still testing, the session will remain open until it times out after 30 minutes. The test administrator can open the Web browser and navigate back to the Test Administrator Interface. The test administrator will be prompted to enter the active session ID.
- As a security measure, test administrators are automatically logged off the Test Administrator Interface after 30 minutes of test administrator user inactivity and student inactivity in the test session, which will result in closing the test session. If this occurs, the test administrator will have to create a new session and the students will have to log on to the new session to resume testing. When starting a new session, the test administrator should give the students the new session ID so that they can log on and resume testing.

7. The test administrator ends the test session and logs off the Test Administrator Web site (grades three through eight).

When there are approximately 10 minutes left in the test session, the test administrator should give students a brief warning.

SAY: We are nearing the end of this test session. Please review any completed or marked items now. Do not submit your test unless you have answered all of the questions.

If you need additional time let me know.

After answering the last item in each segment, each student is presented with a screen prompting him or her to review answers (marked and unmarked) for all items available to the student within the segment or prior to submitting the test. The Mark for Review tool is provided as a reminder to a student that they had a question or concern about a particular item, but he or she is permitted to review all items—marked or unmarked—within the constraints of the pause rule. A test cannot be paused after the last item has been presented to the student.

After answering the last question, students must submit their tests. If students would like to review their answers before submitting their test, they should select **[REVIEW MY ANSWERS]** and then **[SUBMIT TEST]** after they finish reviewing. Once a student selects **[SUBMIT TEST]**, the student will not be able to review answers.

SAY: This test session is now over. If you have not finished, select PAUSE, and you will be able to finish at another session.

[For the CAT portion only: Remember, if you are pausing your test for more than 20 minutes, you will no longer be able to go back and change your answers when you return to the test.]

If you have answered all the questions on your test and have finished reviewing your answers, select SUBMIT TEST. I will now collect any scratch paper or other materials.

8. The test administrator ends the test session and logs off the Test Administrator Web site (grade eleven).

When there are approximately 15 minutes left in the test session, the test administrator should give students a brief warning.

SAY: **We are nearing the end of this test session. Please review any completed or marked items now. Do not submit your test unless you have answered all of the questions.**

If you need additional time let me know.



Alert: Students in grade eleven taking a CAT will see an additional question at the end of their test sessions for both ELA and mathematics, such as is shown in Figure 12.

This question is not part of the assessment, but is presented to allow students the option of selecting whether or not they will share their scores on the CAASPP Smarter Balanced Summative Assessments with the California State University (CSU) system and the California Community Colleges (CCC) system as part of the Early Assessment Program (EAP). If you are administering a test to students in grade eleven, please read the text in the next box below. Otherwise, skip the text in that box and continue with the test administration.

Early Assessment of Readiness for College English

The CAASPP EAP results will assist the California State University (CSU) system and the California Community Colleges (CCC) system in providing you an early assessment of your readiness for college-level English coursework. Your CAASPP EAP results are not required or used for admissions.

Your CAASPP results will be provided to the institutions for which you have applied by marking the release circle. If you mark the "Do Not Release" circle, you will be required to submit the results at a later date if requested.

Release Authorization

By filling in the circle below, I acknowledge that I am voluntarily releasing the results of my English/Mathematics college readiness assessment to be shared with appropriate officials at the California State University (CSU) and California Community Colleges (CCC).

Release Do Not Release

Early Assessment of Readiness for College Mathematics

The CAASPP EAP results will assist the California State University (CSU) system and the California Community Colleges (CCC) system in providing you an early assessment of your readiness for college-level mathematics coursework. Your CAASPP EAP results are not required or used for admissions.

Your CAASPP results will be provided to the institutions for which you have applied by marking the release circle. If you mark the "Do Not Release" circle, you will be required to submit the results at a later date if requested.

Release Authorization

By filling in the circle below, I acknowledge that I am voluntarily releasing the results of my English/Mathematics college readiness assessment to be shared with appropriate officials at the California State University (CSU) and California Community Colleges (CCC).

Release Do Not Release

Figure 12. EAP question on grade eleven tests

Test Site Coordinator;
Test Administrator

SAY:

EAP SECTION—READ TO STUDENTS IN GRADE ELEVEN ONLY

The Early Assessment Program (EAP) will assist the California State University (CSU) system and the California Community Colleges (CCC) system in providing you information on your readiness for college-level English and/or mathematics coursework. Additionally, the EAP may help you earn an exemption from the CSU and participating CCC English and mathematics placement tests that are required for entering freshmen. However, providing EAP results is not a requirement to be admitted to the CSU or CCC.

Please carefully read the statement presented as the last question in this test session. If you do not wish your results to be sent to the CSU and CCC, select “Do Not Release.” If you are considering or plan to enroll at CSU or CCC, select “Release” and then the [Submit] button. Your Smarter Balanced results will be provided to both institutions by selecting the Release circle and then submitting. If you do not select to release your results, you may be requested to provide a copy of your results to the campus at a later time.

Your CAASPP Student Report will provide a Web site, where additional information is available on what your EAP results mean.

END OF EAP SECTION

After answering the last item in each segment, each student is presented with a screen prompting him or her to review answers (marked and unmarked) for all items available to the student or prior to submitting the test. Mark for Review is provided as a reminder to a student that they had a question or concern about a particular item, but he or she is permitted to review all items—marked or unmarked—within the constraints of the pause rule.

After answering the last question, students must submit their tests. If students would like to review their answers before submitting their test, they should select [REVIEW MY ANSWERS] and then [SUBMIT TEST] after they finish reviewing. Once a student selects [SUBMIT TEST], the student will not be able to review answers.

SAY:

This test session is now over. If you have not finished, select PAUSE, and you will be able to finish at another session.

[For the CAT portion only: Remember, if you are pausing your test for more than 20 minutes, you will no longer be able to go back and change your answers when you return to the test.]

If you have answered all the questions on your test and have finished reviewing your answers, select SUBMIT TEST. I will now collect any scratch paper or other materials.

9. Test administrators should select [Stop Session] to end the test session and pause any student test in the session that is still in progress.

When finished, test administrators can log off the Test Administrator Interface by selecting the [Logout] button at the top right. Test administrators should also collect any scratch paper (and graph paper for grades six and up). The test administrator ends the test session and logs off the Test Administrator Web site (grade eleven).

10.2 Testing Over Multiple Sessions or Days

For some tests, particularly the performance tasks, students may be best served by sequential, uninterrupted time that may exceed the time in a student's schedule. Smarter Balanced recommends that the ELA PT be administered in two sessions corresponding with Part 1 and Part 2. Students can be provided breaks within each part; however, once a student moves on to Part 2, he or she will not be able to review or revise items in Part 1. For this reason, it is recommended that students complete Part 1 in one test session; Part 2 would ideally be delivered the next school day. For the mathematics PT, Smarter Balanced recommends that it be administered in one test session of 40–120 minutes.

If the test administrator intends to administer the test over the course of multiple days for a student or group of students, test administrators may ask students to pause after they reach a designated point. For most tests, there is nothing built into the system to prevent students from progressing from one section of the test to another. In those cases, the test administrator should give the students clear directions on when to pause. For example, test administrators may designate a certain amount of time for testing. Likewise, the end of Part 1 of the ELA PT might be a logical stopping point. This guidance may be written on a dry-erase board, chalkboard, or another place that students can easily see. Students will receive a notification when they reach the end of the section.

When testing is resumed on a subsequent day, the test administrator will need to start a new test session and provide a new session ID. When instructing the students to log in, test administrators should read the un-italicized sections of the general script (SAY boxes) to the students from the beginning in section [10.0 Day of Test Administration](#).

A summary of recommendations for the number of sessions and session durations is in section [7.3 Testing Time and Recommended Order of Administration](#).

11.0 Following Test Administration

11.1 Destroying Test Materials



Federal law—the Family Educational Rights and Privacy Act—prohibits the release of any student’s personally identifiable information. Any printed materials must be securely stored and then shredded.

As a reminder, those printed and paper test materials identified in section [3.0 Ensuring Test Security](#) must be securely destroyed immediately following each test session and may not be retained from one test session to the next. The only exception to this is scratch paper and graph paper used during the performance task, which should be handled according to the guidance provided in section [3.2 Secure Handling of Printed Materials](#).

11.2 Reporting Testing Improprieties, Irregularities, and Breaches

Throughout testing, ensure that all test security incidents were reported in accordance with the guidelines in sections [3.0 Ensuring Test Security](#) and [4.0 Responding to Testing Improprieties, Irregularities, and Breaches](#) in this manual (that is, local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators or CAASPP test site coordinators must fill out the *California Assessment of Student Performance Progress Security and Test Administration Incident Reporting System* form at <http://www.caaspp.org/stairs/> and follow the instructions in the e-mail response to the form).

Appendix A: Frequently Used Terms

Table 16 defines terms that are specific to the Smarter Balanced assessments in California.

Table 16: Frequently Used Terms

Term	Definition
Accommodation	Changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. Assessment accommodations generate valid assessment results for students who need them; they allow these students to show what they know and can do. Accommodations are available for students with documented individualized education programs (IEPs) or Section 504 plans. Consortium-approved accommodations do not compromise the construct, grade-level standards, or intended outcome of the assessments. See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i> , linked on the California Department of Education (CDE) Student Accessibility Supports Web page at http://www.cde.ca.gov/ta/tg/ca/accesssupport.asp , for complete information.
Appeal	Authorized users—local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators and CAASPP test site coordinators—may submit and view requests for resetting, reopening, invalidating, or restoring students' assessments in accordance with state policy. These requests must result from a test security incident or incorrect test setting that impacted testing that is reported using the <i>CAASPP Security and Test Administration Incident Reporting System (STAIRS)</i> form; appeals are submitted in the Test Operations Management System (TOMS). All requests must be approved by the CDE.
Break	There is no limit on the number of breaks or the length of a break that a student may be given according to his or her unique needs. However, for some portions of the test, breaks of more than 20 minutes will prevent the student from returning to items already attempted by the student. For a performance task (PT), the student can break for any amount of time and still return to any previously answered item within the PT's current segment only.
CAASPP Test Site Coordinator	School staff member responsible for monitoring the test schedule, process, and test administrators. CAASPP test site coordinators are also responsible for ensuring that test administrators have been appropriately trained and that testing is conducted in accordance with the test security and other policies and procedures established by the Smarter Balanced Assessment Consortium and the CDE. CAASPP test site coordinators must have a signed <i>CAASPP Test Security Agreement</i> on file with the LEA CAASPP coordinator.

Term	Definition
Classroom Activity	<p>A test administrator or other authorized staff can lead the Classroom Activity. An applicable Classroom Activity should be administered before the PT portion of the test. The PT should be administered within three days after the Classroom Activity. The Classroom Activity should not be supplemented with any other content that the administrator may think is helpful because doing so may detract from the intended purpose of the Classroom Activity. (Note that there are no Classroom Activities for the California Alternate Assessments [CAAs].)</p> <p>Please note that failure to administer the Classroom Activity will not impact accountability results. For more information, see the California Department of Education’s Communication for Local Educational Agencies at http://www.cde.ca.gov/ta/tg/ca/classactivityreqltr.asp.</p>
Computer Adaptive Test (CAT)	<p>Based on student responses, the computer program selects the difficulty of items throughout the assessment. By adapting to the student as the assessment is taking place, these assessments present an individually tailored set of items to each student and provide more accurate scores for all students across the full range of the achievement continuum.</p>
Designated Supports	<p>Accessibility features of the assessments available for use by any student for whom the need has been indicated by an educator (or team of educators working with the parent/guardian and student).</p> <p>See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i>, linked on the CDE Student Accessibility Supports Web page at http://www.cde.ca.gov/ta/tg/ca/accesssupport.asp, for complete information.</p>
Educator – District	<p>LEA personnel granted access by the LEA CAASPP coordinator to assessment results in the Online Reporting System (ORS) for the entire LEA.</p>
Educator – Test Site	<p>LEA or school personnel granted access to assessment results in the ORS for an entire school.</p>
Educator – Roster	<p>LEA or school personnel granted access to assessment results in an associated roster in the ORS. Rosters are created and assigned to the user by the LEA CAASPP coordinator or test site coordinator.</p>
Full-write	<p>A component of the English language arts/literacy (ELA) performance task that requires the student to develop an informative/explanatory, narrative, or opinion/argumentative multi-paragraph piece of writing for which he or she engages the full writing process.</p>
Grace period extension	<p>An appeal that allows the student to review previously answered questions upon logging back on to the assessment after expiration of the pause rule. Note that for a PT, having the test administrator open a new testing session may be all that is needed to continue testing.</p>

Term	Definition
Invalidation	<p>A specific appeal in the TOMS Appeals system. Tests invalidated in the Appeals system will be scored and scores will be provided on the Student Score Report (with a note that an irregularity occurred). The student(s) will be counted as participating in the calculation of the school's participation rate for federal accountability purposes. The score will be counted as "not proficient" in the 2016 Adequate Yearly Progress determination.</p> <p>Permission for an invalidation is initiated by first reporting an incident using the online <i>CAASPP STAIRS</i> form and then submitting an appeal in TOMS. While the request was made to invalidate a student's assessment, the student should be permitted to finish it. See the <i>STAIRS and Appeals User Guide</i> at http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016.pdf for more information on the Appeals process.</p>
Interim Assessment Administrator Only	<p>LEA or school personnel responsible for administering only the interim assessments to students.</p>
Item	<p>A test question or stimulus presented to a student to elicit a response.</p>
LEA CAASPP Coordinator	<p>LEA-level staff member who is responsible for the overall administration of the summative assessment in an LEA. LEA CAASPP coordinators should ensure that the CAASPP test site coordinators, test administrators, and test examiners in their LEAs are appropriately trained and aware of policies and procedures. LEA CAASPP coordinators are designated by their district superintendents or the administrator of their independently testing charter school and must have a signed <i>CAASPP Test Security Agreement</i> on file with the California Technical Assistance Center (CaTAC).</p>
Pause	<p>Action taken by a student or test administrator to temporarily halt the test during any part of the test, as needed. Pauses of more than 20 minutes in the CAT component of the test will prevent the student from returning to items already attempted.</p> <p>For a performance task, the student can pause for any amount of time and still return to any previously answered item within the PT's current segment only. More information on test pausing is available in section 7.2 General Rules of Online Testing.</p>
Performance Task (PT)	<p>A PT is an item type designed to provide students with an opportunity to demonstrate their ability to apply their knowledge and higher-order thinking skills to explore and analyze a complex, real-world scenario. It is a required portion of the test. Prior to the PT, teachers or instructional staff conduct a Classroom Activity for all students in the class to ensure that a lack of understanding of the context of the task does not interfere with a student's ability to address the content of the task. (Note that there are no PTs for the CAAs.)</p>
Reopen	<p>A specific appeal in the Appeals system. It applies to a test that has already been submitted or has expired and allows the student to access the previously closed test.</p> <p>For example, a test may be reopened if a student started a test and became ill and was unable to resume testing until after the testing opportunity expired.</p> <p>Permission for a reopen is initiated by first reporting an incident using the online <i>CAASPP STAIRS</i> form and then submitting an appeal in TOMS. See the <i>STAIRS and Appeals User Guide</i> at http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016.pdf for more information on the Appeals process.</p>

Term	Definition
Reset	<p>A specific appeal in the Appeals system. Resetting a student’s test removes that test from the system and enables the student to start a new test. Any work previously done on the test would be lost.</p> <p>Valid reasons for a reset would be if a student’s test event was administered inconsistently with the student’s IEP (this would include both embedded and non-embedded accommodations) or if the student started a test and didn’t have a needed language support (such as a language glossary).</p> <p>Permission for a reset is initiated by first reporting an incident using the online <i>CAASPP STAIRS</i> form and then submitting an appeal in TOMS. See the <i>STAIRS and Appeals User Guide</i> at http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016.pdf for more information on the Appeals process.</p>
Restore	<p>A specific appeal in the Appeals system. Restore a test from the “Reset” status to its prior status. This action can only be performed on assessments that have been reset.</p> <p>A test opportunity can be restored if it was reset in error. For example, if a test reset was requested for a mathematics test instead of an ELA test, then that mathematics test can be restored to its previous status. It is not possible to restore an invalidated test.</p> <p>Permission for a restore is initiated by first reporting an incident using the online <i>CAASPP STAIRS</i> form and then submitting an appeal in TOMS. See the <i>STAIRS and Appeals User Guide</i> at http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016.pdf for more information on the Appeals process.</p>
Secure Browser	<p>A Web browser that is downloaded and installed on a device prior to a student beginning the test. The secure browser is specifically designed for use with the CAASPP online assessments to provide secure access prevent students from accessing specific hardware and software functions (e.g., other Web browsers, screenshot programs) that are not allowed during the assessments.</p>
Security and Test Administration Incident Reporting System (STAIRS) Process	<p>The STAIRS process is the means by which LEAs and schools report a test security incident or other testing issue that interferes with the administration and completion of the assessment. The first step in the process is the filing of the online <i>CAASPP STAIRS form</i>; an appeal cannot be requested without the submission of this form. The <i>STAIRS</i> form returns an e-mail with recommended actions to take and a summary of the information submitted that the recipient should retain for at least a year.</p>
Segment	<p>A part of a test within the test delivery system. Depending on the test, segments typically separate items from others if the eligible tools are different (i.e., the mathematics test may have two segments—one segment that allows calculator use and another segment that does not). When a student completes a segment of the test, he or she will receive a message that indicates that once that segment is submitted it is no longer possible to return to that segment.</p>

Term	Definition
Session	<p>A timeframe in which students actively test in a single sitting. The length of a test session is determined by building or LEA administrators who are knowledgeable about the periods in the building and the timing needs associated with the assessment. Smarter Balanced recommends that session durations range between 40 and 120 minutes for the online Smarter Balanced Summative Assessments. However, all online CAASPP assessments, including the CAAs, are not timed, and an individual student may need more or less time overall. Further, individual students will have unique needs regarding the length of a test session.</p> <p>Though a session is most often set up by an administrator in the Test Administrator Interface, the performance task includes a Classroom Activity, which does not require students to be logged on to the test delivery system but may be administered as an independent session.</p> <p>Smarter Balanced recommends the CAT portion of the Smarter Balanced ELA and mathematics assessments be administered in at least two sessions.</p> <p>Note: <i>A test session does not need to end when a segment ends.</i></p>
Statewide Student Identifier (SSID)	<p>A unique, non-personally-identifiable number linked to a given individual student within the California public kindergarten through grade twelve educational system. SSIDs are used to maintain data on individual students, such as linking students to statewide assessment scores and tracking students in and out of schools and LEAs in order to determine more accurate dropout and graduation rates.</p>
Stimulus/Stimuli	<p>Material or materials used in the test context which form the basis for assessing the knowledge and skills of students. Many items/tasks for the assessments include a stimulus along with a set of questions to which the student responds. Stimulus materials are used in ELA and mathematics assessments to provide context for assessing the knowledge and skills of students and are diverse. They can be traditional reading passages/texts but viewed on a computer screen; images with audio presentations for students to listen to; simulated web pages for students to use for research; or scenarios to react to.</p>
Test Administrator	<p>LEA or school personnel responsible for administering summative assessments in a secure manner in compliance with the policies and procedures outlined in this manual. Test administrators are required to have a signed <i>CAASPP Test Security Affidavit</i> on file with their CAASPP test site coordinator.</p>
Test Examiner	<p>Credentialed or licensed LEA or school employee responsible for administering alternate summative assessments in a secure manner in compliance with the policies and procedures outlined in the <i>CAA Test Administration Manual</i> and <i>CAA Directions for Administration</i>, and <i>California Alternate Performance Assessment (CAPA) Examiner's Manual</i> for the CAPA for Science, which are all linked on the CAASPP Instructions and Manuals Web page at http://www.caaspp.org/administration/instructions/. Test examiners are required to have a signed <i>CAASPP Test Security Affidavit</i> on file with their CAASPP test site coordinator.</p>

Term	Definition
Test Operations Management System (TOMS)	<p>The registration system used for the CAASPP assessments. This is the system through which users interact with and inform the test delivery system. This registration system provides administrators with the tools to add and manage users and students participating in the Smarter Balanced assessments including assigning tests and student test settings and user roles. This system uses a role-specific design to restrict access to certain tools and applications based on the user's designated role.</p> <p>TOMS user guides are available on the CAASPP TOMS Web page at http://www.caaspp.org/administration/toms/.</p>
Testing Breach	<p>A security event that poses a threat to the validity of the test. Examples may include such situations as a release of secure materials or a security/system risk. These circumstances have external implications for the Consortium and/or the CDE and may result in a decision to remove the test item(s) from the available secure bank. A breach incident must be reported immediately to the CDE by telephone and by using the CAASPP STAIRS process.</p> <p>For specific details on how to proceed when an incident has occurred, please refer to section 4.0 Responding to Testing Improperities, Irregularities, and Breaches of this manual.</p>
Testing Improprity	<p>An unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level.</p> <p>For specific details on how to proceed when an incident has occurred using the STAIRS process, please refer to 4.0 Responding to Testing Improperities, Irregularities, and Breaches of this manual.</p>
Testing Irregularity	<p>An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test, test security, or test validity. These circumstances can be corrected and contained at the local level, but are submitted in the Appeals module in TOMS after the <i>STAIRS</i> form has been filed for resolution of the appeal for testing impact.</p> <p>For specific details on how to proceed when an incident has occurred, please refer to 4.0 Responding to Testing Improperities, Irregularities, and Breaches of this manual.</p>
Universal Tools	<p>Available to all students based on student preference and selection. See the Smarter Balanced <i>Usability, Accessibility, and Accommodations Guidelines</i>, linked on the CDE Student Accessibility Supports Web page at http://www.cde.ca.gov/ta/tg/ca/accesssupport.asp, for complete information.</p>

Appendix B: Item Types

Item and Response Types

As students engage with the Smarter Balanced assessments, they will be asked test questions that require them to respond in several ways, some of which may be new to students.

Smarter Balanced has produced several resources that teachers and students can use to get ready for the test, including a practice test and a training test. As pointed out in [Appendix D](#) of this manual, it is **highly recommended** that **ALL** students access the Training Test Web page before taking the test. Doing so will provide students an opportunity to view and practice each of the item types.

The Practice Tests and Training Tests are available on the California Assessment of Student Performance and Progress (CAASPP) Smarter Balanced Practice and Training Tests Web page at <http://www.caaspp.org/practice-and-training/>.

Summary of Item Types and How to Provide Responses

Table 17 lists the different item types and briefly describes each one.



Not all assessments will necessarily include all item types.

Table 17: Item and Scoring Types

Content Area	Type of Item	Brief Description of How to Respond
English language arts/literacy (ELA) and Mathematics	Multiple Choice, single correct response	Single correct option
	Multiple Choice, multiple correct responses	Multiple-options selected response
	Matching Tables (with a variation True/False or Yes/No)	Table format, select entry
	Short text	Keyboard alpha/numeric entry
Mathematics Only	Drag-and-Drop	Drag-and-drop single or multiple elements
	Hot Spot	Select object
	Table Fill In	Table format, select entry
	Graphing	Plot points and/or draw lines
	Equation/Numeric	Enter equation or numeric response
ELA Only	Two-part multiple choice, with evidence-based response	Two part, multiple choice
	Hot Text	Select and order text
	Essay	Keyboard alpha/numeric entry

Technical Skills to Access Embedded Resources

To access some of the embedded resources (such as strikethrough, highlighter, American Sign Language videos, and text-to-speech) that are available to help work through these item types, students may need to access the **context menu**. Please note the method to access the context menu is dependent on the student's device type. Devices and methods are shown in Table 18.

Table 18: Context Menu for Selecting with the Right Mouse Button

Device Type	Method to Access Right-Click Context Menu
Windows-based desktop or laptop (two-button mouse)	Select with the right mouse button.
Mac OS-based desktop or laptop (one-button mouse)	Hold down the [Ctrl] key on keyboard and then select with the mouse button.
iPad tablet (touchscreen)	Tap on the menu in the upper-left corner of the secure browser application.
Android-based tablet (touchscreen)	Tap on the menu in the upper-left corner of the secure browser application.
Chromebook (trackpad)	Hold down the [Alt] key on the keyboard and tap the trackpad.

Appendix C: Secure Browser for Testing

See the 2015–16 Secure Browser Installation Manual, linked on the California Assessment of Student Performance and Progress (CAASPP) Instructions and Manuals Web page at <http://www.caaspp.org/administration/instructions/>, for more detailed information about the secure browser.

See the 2015–16 System Requirements Manual, linked on the CAASPP Instructions and Manuals Web page at <http://www.caaspp.org/administration/instructions/>, for more detailed information about secure browser versions, operating system, and device requirements.

Guidelines

While the secure browser is an integral component of test security, test administrators perform an equally important role in preserving test integrity. In addition to the guidelines put forth by the Smarter Balanced Assessment Consortium, the California Department of Education (CDE), and individual local educational agencies (LEAs) or schools, test administrators should be aware of the following and employ the necessary precautions while administering online tests:

- **Close External User Applications**

Prior to administering the online assessments, test administrators or other assigned staff should check all devices that will be used and close all applications except those identified as necessary by the school technology coordinator. After closing these applications, the test administrator should open the secure browser on each device.

The secure browser and Student Interface automatically detect certain applications that are prohibited from running on a device while the secure browser is open. The secure browser will not allow a student to log on if the secure browser detects that a forbidden application is running on the device. A message will also display that lists the forbidden application(s) that needs to be closed.



If a forbidden application is launched in the background while the student is already in a test, the student will be logged off and a message—“A forbidden program has started, and you will be logged out. Ask your Test Administrator for assistance.”—will display. The student will have to close the forbidden application, reopen the secure browser, and log on to continue working on the assessment. This would be considered a test security incident and should be reported using the online *CAASPP Security and Test Administration Incident Reporting System (STAIRS)* form, accessed at <http://www.caaspp.org/stairs/>.

- **Testing on Devices with Dual Monitors**

Systems that use a dual monitor setup typically display an application on one monitor screen while another application is accessible on the other screen.

Students should not take online assessments on devices that are connected to more than one monitor except in extremely rare circumstances such as when a test administrator is administering a test via read-aloud and wants to have a duplicate screen to view exactly what the student is viewing for ease of reading aloud. In these rare cases where a dual monitor is allowed, Smarter Balanced requires that the monitors be set up to “mirror” each other. School technology coordinators can assist test administrators in setting up the two monitors to ensure they mirror each other rather than operate as independent monitors.

In these cases, all security procedures must be followed and the test administered in a secure environment to prevent others from hearing the questions or viewing the student or test administrator screens.

Secure Browser Error Messages

Possible error messages displayed by the open-source secure browser are shown in Table 19.

Table 19: Secure Browser Error Messages

Message	Description
Secure Browser Not Detected	The system automatically detects whether a device is using the secure browser to access the online testing system. The system will not permit access to a test other than through the secure browser; under no condition may a student access a test using a nonsecure browser.
Unable to Establish a Connection with the Test Delivery System	If a device fails to establish a connection with the test delivery system, a message will be displayed like the one in Figure 13. This is most likely to occur if there is a network-related problem. The causes may include an unplugged network cable or a firewall not allowing access to the site.



Figure 13. Unable to Establish a Connection message

Force-Quit Commands for Secure Browsers

In the rare event that the secure browser or test becomes unresponsive and you cannot pause the test or close the secure browser, users have the ability to “force quit” the secure browser.

To force the secure browser to close, use the following keyboard commands. (Reminder: This will log the student off the test he or she is taking. When the secure browser is opened again, the student will have to log back on to resume testing.)



Warning: You are strongly advised against using the force-quit commands, as the secure browser treats this action as an abnormal termination. The secure browser hides features such as the Windows taskbar; if the secure browser is not closed correctly, then the taskbar may not reappear correctly.

These commands should be used only if the [Close Secure Browser] button does not work.



Note: The force-quit command will log the student off of the test he or she is taking. When the secure browser is opened again, the student will have to log on again to resume testing.

Force-quit Commands

Windows: **[Ctrl] + [Alt] + [Shift] + [F10]**

Mac OS X: **[Ctrl] + [Alt] + [Shift] + [F10]**

Linux: **[Ctrl] + [Alt] + [Shift] + [Esc]**

Note for Windows and Mac Users:

If you are using a laptop or netbook, you may also need to press the **[FN]** key before pressing **[F10]**.

Appendix D: Practice and Training Tests

In preparation for the test and to expose students to the various Smarter Balanced assessment item-response types in English language arts/literacy (ELA) and mathematics (see [Appendix B](#) for item types), it is **highly recommended** that all students access the practice and training tests, available at <http://www.caaspp.org/practice-and-training/>. Each resource offers students a unique opportunity to experience a test in a manner similar to what they will see on the Smarter Balanced Summative Assessments and prepares students for testing. These resources will not be scored; however, scoring guides are available at <http://www.caaspp.org/ta-resources/practice-training.html>.

Overview of the Practice Tests

The Smarter Balanced practice tests allow educators and students to experience a full grade-level test and gain insight into the Smarter Balanced assessments. The practice tests mirror the summative assessments but are not scored, although answer keys and scoring rubrics are available. Each grade-level test includes a variety of item response types and difficulty levels—approximately 30 items each in ELA and mathematics—as well as an ELA and mathematics performance task at each grade level (three through eight and eleven). The practice test also includes a comprehensive reflection of embedded universal tools, designated supports, and accommodations, which should also be provided to students with any non-embedded universal tools, designated supports, and accommodations as allowed on the summative assessments.

Overview of the Training Tests

The training tests are designed to provide students and educators with an opportunity to quickly familiarize themselves with the software and navigational tools that they will use on the Smarter Balanced assessments. The training tests are organized by grade bands (grades three through five, six through eight, and eleven). Each test contains fewer than 10 questions.

On the student Training Test Web site, the questions were selected to provide students with an opportunity to practice a range of item response types. The training tests do not contain performance tasks. Similar to the practice tests, the training tests include all embedded universal tools, designated supports, and accommodations. Note that the text-to-speech functionality is available *only* when using the training tests through the secure browser. The student training test site may be used by anyone. Students can log on as guests or use their first name and Statewide Student Identifier (SSID). Students who log on using their credentials may log on to a guest session or a proctored training session with a training session ID set up through the Tests Administrator Training Test Web site.

Test Administrator Logon for the Practice and Training Tests

The Test Administrator Training Test site provides an opportunity for test administrators to practice setting up a test session using a practice test or training test. Access to the Test Administrator Training Test site requires the same logon credentials used to access the Test Administrator Interface. This site may only be used by authorized LEA CAASPP coordinators, CAASPP test site coordinators, and test administrators. Note that braille practice tests and training tests can only be accessed through the Test Administrator Training site by the test administrator using a standard browser, and can be accessed by a student also using a standard Web browser.

For additional information about how to set up a practice test or training test session, refer to the *Test Administrator Reference Guide* located at <http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf>.



Do NOT use the live Student Interface or Test Administrator Interface for practice. Doing so constitutes a test security incident (breach). For all Training Test sessions, use the TA Training site and the practice tests or training tests.

It is **highly recommended** that **all** students access the training tests before taking a summative assessment. The training tests will be especially beneficial for those students who have not previously participated in online testing. Teachers are encouraged to conduct a group walk-through of the Smarter Balanced Training Test or Practice Test with their students to promote familiarity with the testing format and basic test rules and to allow for free and open communication on the testing process and/or content (see section [7.2 General Rules of Online Testing](#)). This walk-through of the practice and training tests provide opportunities for test administrators to describe the limitations to the support they will be able to provide and the verbal interactions they can have with students during each live test session.

Appendix E: Computer Adaptive Test Pause Rule Scenarios

Scenarios:

1. If the computer adaptive test (CAT) portion of the test is paused for less than 20 minutes, the student can return to previous test pages and change the response to any item he or she has already answered within a segment.
2. If the CAT portion of the test is paused for more than 20 minutes, the test will return the student to the last page with unanswered items when the student resumes testing. If a page has both answered and unanswered items, the student may change any answers on that page (i.e., screen). The student may not return to previous pages and cannot change answers to items on previous pages.
 - a. Example: A single test page has items 4–10. A student answers items 4–7 and pauses the test for more than 20 minutes. When the student resumes testing, he or she can change answers to items 4–10 but cannot return to items 1–3 on an earlier page.
 - b. Example: A page contains items 9–11 and a student answers all of those items before pausing the test for more than 20 minutes. When the student resumes testing, he or she will begin on item 12 and cannot return to items 1–11.

Appendix F: Test Security and Incident Chart

The **Test Security Chart** shows the test security incident levels and examples of types of issues.

Level of Severity & Potential Effect on Test Security	Types of Issues
LOW Impropriety	Student(s) making distracting gestures/sounds or talking during the test session that creates a disruption in the test session for other students.
	Student(s) leave the test room without authorization.
	Administrator or coordinator leaving related instructional materials on the walls in the testing room.
MEDIUM Irregularity	Student(s) cheating or providing answers to each other, including passing notes, giving help to other students during testing, or using hand-held electronic devices to exchange information.
	Student(s) accessing the Internet or any unauthorized software or applications during a testing event.
	Student(s) accessing or using unauthorized electronic equipment (e.g., cell phones, PDAs, iPods, or electronic translators) during testing.
	Disruptions to a test session such as a fire drill, school-wide power outage, earthquake, or other acts.
	Administrator or coordinator failing to ensure administration and supervision of the Smarter Balanced assessments by qualified, trained personnel.
	Administrator giving incorrect instructions that are not corrected prior to testing.
	Administrator or coordinator giving out his or her username/password (via e-mail or otherwise), including to other authorized users.
	Administrator allowing students to continue testing beyond the close of the testing window. For the performance task (PT), this is 10 calendar days. For the computer adaptive test (CAT), this is 45 calendar days. For a paper-pencil assessment, this is three weeks.
	Administrator providing a student access to another student's work/responses (unintentional access granted).
	Student not getting accessibility support or accommodation as required by IEP or Section 504 plan .
Student without IEP or Section 504 plan did not get a designated support.	
HIGH BREACH	Administrator or teacher coaching or providing any other type of assistance to students that may affect their responses. This includes both verbal cues (e.g., interpreting, explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice inflection, pointing, or nodding head) to the correct answer. This also includes leading students through instructional strategies such as think-aloud, asking students to point to the correct answer or otherwise identify the source of their answer, or requiring students to show their work.
	Administrator providing students with nonallowable materials or devices during test administration or allowing inappropriate designated supports and/or accommodations during test administration.

Level of Severity & Potential Effect on Test Security	Types of Issues
HIGH BREACH	Administrator allowing designated supports not indicated by an educator (or team of educators with parent/guardian and student input) and that are not in the student's individualized education program (IEP) or Section 504 plan.
	Administrator allowing inappropriate accommodations (which are not in the student's IEP or Section 504 plan) during test administration.
	Administrator allowing anyone other than a student to log on to the test unless prescribed as an allowable accommodation in the student's IEP. This includes test administrators or other staff using student information to log on or allowing a student to log on using another student's information.
	Administrator providing a student access to another student's work/responses (intentional access granted).
	There is a testing session in which a student deliberately does not attempt to respond appropriately to items.
	A student is unable to complete the test before it expires due to an unanticipated excused absence or unanticipated school closure.
	A student starts a performance task (PT) unintentionally—for example, selects a PT instead of a computer adaptive test, or selects a mathematics PT instead of an English language arts/literacy PT—and the student is unable to complete the test before it expires
	Administrator or coordinator modifying student responses or records at any time.
	The live Student Interface or Test Administrator Interface being used for practice instead of the training or practice tests.
	Adult or student posting items or test materials on social media (Twitter, Facebook, etc.).
	Administrator allowing students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test or failing to otherwise securely store test materials.
	Adult or student copying, discussing, or otherwise retaining test items, reading passages, writing prompts, or answers for any reason. This includes the use of photocopiers or digital, electronic, or manual devices to record or communicate a test item. This also includes using secure test items, modified secure test items, reading passages, writing prompts, or answer keys for instructional purposes.
	Secure test materials being shared with the media (such as the writing prompts, test items, or reading passages), or allowing media to observe a secure test administration.
	Adult or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment.
Lost or missing student logon information.	

Appendix G: Accessibility Guidelines for Classroom Activities

Students with disabilities are allowed to have accommodations, and English learners should have access to language supports that they regularly use during classroom instruction. The information noted in Table 20 provides teachers with options that may be implemented during the activity as needed for students to have appropriate access to the information included in the Classroom Activity.

Overall strategies for the Classroom Activity are as follows:

- Teachers may employ the same strategies for the Classroom Activity that they use during instruction to attend to the diversity of their individual student needs.
- Teachers can employ formative practices and professional judgment to determine whether or not individual students require additional support or scaffolding to meet the objectives of the Classroom Activity.
- Teachers can read and reread aloud any text included in the Classroom Activity.
- Teachers may employ assistive technologies that are typically available during instruction.
- The additional supports and strategies described in Table 20 may be made available to any student based on the student’s individual needs and are not limited to particular impairments or to students who have individualized education programs (IEPs) or Section 504 plans.
- Teachers may adjust any Classroom Activity to allow for different instructional settings (e.g., individual student make-up activity, remote learning environment).
- Teachers may employ more than one suggested strategy listed in the table below to meet student needs.
- These strategies are not mutually exclusive.

Table 20: Classroom Activity Guidance for Needs-Specific Accessibility Options

Student Need	Guidance for Accessibility (Student IEP and Section 504 plans supersede these guidelines)
Visual Impairments	<ul style="list-style-type: none"> • Reading Materials: All materials that are required to be read by a student may be read aloud to the student. • Pictures, Figures, Drawings, and Photographs: Descriptions may be read to students. In addition, teachers can provide students with further explanation of the descriptions. These explanations may clarify the description without adding additional content. • Graphs: Further descriptions or repetition of descriptions may be necessary for a student. These explanations may clarify the description without adding additional content. • Venn Diagrams: Venn diagrams may be described to the student. In addition, a teacher may use a different chart, diagram format, or graphic organizer.

Student Need	Guidance for Accessibility (Student IEP and Section 504 plans supersede these guidelines)
Reading Impairments	<ul style="list-style-type: none"> • Reading Materials: All materials that are required to be read by students may be read aloud to the student. • Writing Activities: All activities that require the student to write may allow for an oral response or the use of technology usually used by the student in a classroom environment.
Physical Impairments	<ul style="list-style-type: none"> • Kinesthetic Activities: If a student cannot participate in a kinesthetic activity, the student may be asked to describe the activity orally. • Activities Requiring Movement: Tasks such as moving around the room or coming up to the board can be modified to allow the teacher or other students to interact with the student or allow for the student to respond orally. • Writing Activities: If helpful to a student, all activities that require the student to write may allow for an oral response or the use of technology usually used by the student in a classroom environment.
Hearing Impairments	<ul style="list-style-type: none"> • Activities Requiring Listening: Listening activities may be presented in American Sign Language (ASL). For activities that require students to describe sounds, such as those from a thunderstorm, a sound may be described by the student as how it feels and looks. • Activities Requiring Oral Responses: Oral responses may be provided via sign language or in writing.
Expressive Language Impairments	<ul style="list-style-type: none"> • Activities Requiring Oral Responses: Oral responses may be provided in writing, using a communication device, or any other means that the student uses to communicate.
English Learners	<ul style="list-style-type: none"> • Reading Materials: All materials that are required to be read by students may be read aloud to the student. • Writing Activities: All activities that require the student to write may allow for an oral response. • Visual Supports: If helpful to a student, vocabulary and key contextual topics may be supplemented with visual supports. • Flexible Grouping: Teachers may administer the Classroom Activity in flexible groups based on English language proficiency. • Activities Requiring Oral Responses: Oral responses may be provided in writing. • Students may use an English, non-English, and bilingual dictionary and thesaurus as needed.
Separate Setting	<ul style="list-style-type: none"> • Group activities may be tailored to occur between a single student and his or her educator where the educator and student share discussion and work. • Activities between student(s) and an educator may be conducted online or via a telephone connection. • All student-facing information included in a Classroom Activity should be presented to students working in a separate setting.

Test Coordinator;
Test Administrator

Appendix H: Resources and Practices Comparison Crosswalk

Smarter Balanced is committed to providing mathematics and English language arts/literacy (ELA) assessments that are accessible to all students. The Smarter Balanced assessments are accessible via a suite of resources (universal tools, designated supports, and accommodations) available locally or directly in the test platform. Although many resources, particularly those embedded in the system, may appear new, many of the resources are similar to those used commonly during classroom instruction. To help states identify similarities between the assessment resources and classroom practices, Smarter Balanced has developed a *Resources and Practices Comparison Crosswalk*. The *Crosswalk* lists the resources that are currently included in the *Guidelines* document and assists educators and decision-makers by providing a description of both the resource and its classroom equivalent.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
1.	Breaks	The number of items per session can be flexibly defined based on the student's need.	Breaks	Students pace themselves while completing work. Students may move about the classroom or take a short break outside to refocus.
2.	Color Contrast	Enables students to adjust screen or printed background or font color, based on student needs or preferences.	Color coding (Varied printing color and paper color)	Students have instructional materials that have different font or background paper color(s). Students can use one color for a main idea and another color for details when outlining or taking notes.
3.	Color Overlays	Color transparencies are placed over a paper-based assessment.	Color overlays	Color transparencies are placed over a paper-based assessment.
4.	Digital Notepad Global Notes Scratch Paper	These tools are used for making notes, computations, or responses about an item or performance task.	AVID Style Notes, brainstorming ideas, writing down connections, scratch paper, whiteboards, or notepaper	Strategies allow students to create notes or work on computations. Students may create two-column notes to record main ideas and to make connections with previous knowledge or ask questions. Students can organize ideas by listing all ideas for each topic and then prioritize.
5.	Expandable Passages	Each passage or stimulus can be expanded so that it takes up a larger portion of the screen.	Providing stimuli separate from items or other information	Teachers create a document for students to work from in which a passage or stimulus takes up a large portion of the paper.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
6.	Highlighter	A digital tool for marking desired text, item questions, item answers, or parts of these with a color.	Highlighter	<p>A digital or physical tool for marking desired text with a color.</p> <p>Students use highlighters to distinguish useful/meaningful text when completing an assignment.</p> <p>Students can denote main ideas, supporting details, and conclusion.</p>
7.	Keyboard Navigation	Navigation throughout text can be accomplished by using a keyboard.	Students applying keyboarding skills using knowledge/skill of software	Students use classroom software programs such as Accelerated Reader, Interactive Math, Rosetta Stone, or EDMODO to complete classroom assignments, and make use of keyboarding skills in doing so.
8.	Magnification	The size of specific areas of the screen (e.g., text, formulas, tables, graphics, and navigation buttons) may be adjusted by the student with an assistive technology device.	Large-print texts or use of magnifying devices during instruction	<p>Visually impaired students are provided large-print versions of state textbooks to enable access to curriculum.</p> <p>Students use computer screen enlargement to work in teams.</p>
9.	Mark for Review	Allows students to flag items for future review during the assessment.	Circle, star, or check (✓) the item numbers of problems or questions that have not been answered	<p>Circling, starring, or placing a check mark by an item about which a student is unsure enables the student to proceed to the next item. Students may also use paper sticky flags to notate areas for review or rereading.</p> <p>Students may also circle steps within a mathematics problem to revisit or ask questions.</p>

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
10.	Masking	Masking involves blocking off content that is not of immediate need or that may be distracting to the student. Students are able to focus their attention on a specific part of a test item by masking.	Use of white space on documents Masking device	<p>During instruction, students use a masking device that covers up sections of text before/after they read it, to maintain visual attention.</p> <p>Teachers create a clean document for students to work from that is not too “busy” or crowded with distracting information.</p> <p>Students use paper to block test questions, to decrease distractions.</p> <p>Teachers block off text on classroom boards or overhead projectors to focus students on topics during whole-group discussions.</p>
11.	Spell Check	Writing tool for checking the spelling of words in student-generated responses.	Proofreading	<p>Students proofread other students’ work using a dictionary.</p> <p>Teachers proofread students’ work and have students make specific corrections.</p> <p>Students use rubrics to evaluate their own work, including checking for spelling, grammar, or content.</p>
			Automated spell-check device	Students use an automated spell-check device during instruction.
12.	Strikethrough	Allows users to cross out answer options.	Process of elimination	<p>Students cross out the answers to multiple-choice items that are obviously wrong.</p> <p>Students cross out incorrect words in sentences.</p>
13.	Zoom	A tool for making text or other graphics in a window or frame appear larger on the screen.	Large-print texts	<p>Students receive large-print versions of state textbooks, or other text, to enable access to curriculum.</p> <p>Students have access to enlarged mathematics problems to make sure all steps are completed.</p>
14.	Bilingual Dictionary	A bilingual/dual-language word-to-word dictionary is a language support.	Bilingual/dual-language paper dictionaries	Students use electronic or paper bilingual/dual-language dictionaries to look up word meanings during instruction.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
15.	English Dictionary	An embedded English dictionary will be available for the full write portion of an ELA performance task. A non-embedded English dictionary may be available for the same portion of the test.	Electronic or paper English dictionary	Students use an electronic or paper English dictionary to look up word meanings.
16.	English Glossary	Grade- and context-appropriate definitions of specific construct-irrelevant terms are shown in English.	Identify useful text features for understanding new vocabulary	Students utilize embedded definitions in textbooks; definitions in footnotes, margins, photos, charts, and illustrations; and glossaries in the rear of textbooks to clarify word meanings.
			English glossaries (instructional materials)	Students use glossaries of terms in their textbooks or instructional materials.
17.	Stacked Translations	Stacked translations provide the full translation of each test item above the original item in English.	Bilingual glossaries	Students utilize bilingual glossaries in the rear of textbooks to find unknown word meanings. Students use bilingual word list(s) appropriate to the subject area and language acquisition.
			Stacked or bilingual translations	Students use bilingual translations during their instruction (homework, worksheets, etc.).
18.	Thesaurus	A thesaurus contains synonyms of terms while a student interacts with text included in the assessment.	Electronic or paper thesaurus	Students utilize a thesaurus to enrich their writing vocabulary on the full-write portion of the English language arts/literacy assessment only and to hone their knowledge of nuances in the English language.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
19.	Translation Glossaries	Translation glossaries are provided for selected construct-irrelevant terms for mathematics.	Translation glossaries (instructional materials)	Students use a translation glossary at the rear of their text to facilitate transferring knowledge/skills from their primary language to English. Students use bilingual glossaries to find the meanings of content-specific words (e.g., mathematics, science, history). Glossaries may be located in the appendixes of their textbooks or instructional materials.
20.	Translated Test Directions	Students can see test directions in another language.	Translated test directions	Written translated test directions are provided on the page, on the board, or on a classroom visual media device. Students are provided both English and native-language directions to build skill and understanding in classroom directions.
			Translated instructions on assignments	Students have their assignment directions translated into their native language.
21.	Abacus	This tool may be used in place of scratch paper for students who typically use an abacus.	Counting devices (blocks, tiles, chips, etc.) or scratch paper	Students use items to count during their instruction.
22.	Alternate Response Options	Alternate response options include but are not limited to adapted keyboards, large keyboards, StickyKeys, MouseKeys, FilterKeys, adapted mouse, touch screen, head wand, and switches.	Dictated responses	Students dictate responses to a teacher or an instructional assistant who records them. Students use communication boards, picture representations, or other individual expressive communication devices.
23.	American Sign Language (ASL)	Test content is translated into ASL video. An ASL human signer and the signed test content are viewed on the same screen.	American Sign Language	An ASL interpreter or ASL-certified instructor signs during instruction.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
24.	Braille	A raised-dot code that individuals read with the fingertips. Graphic material (e.g., maps, charts, graphs, diagrams, and illustrations) is presented in a raised format (paper or thermoform). Contracted and non-contracted braille are available; Nemeth code is available for mathematics.	Braille	Instructional materials and assignments are completed in braille.
25.	Calculator	A calculator can be accessed for calculator-allowed items. The student may use the calculator offered with assistive technology devices (such as a talking calculator or a braille calculator).	Handheld calculators or device calculators	Calculators can be used to do basic calculation in multi-step mathematics processes that are not being assessed. A student may use the calculator offered with assistive technology devices (such as a talking calculator or a braille calculator).
26.	Closed Captioning	Printed text that appears on the device screen as audio materials are presented.	Instructional videos; movies	In-class videos and films are used that contain closed captioning. Closed captioning is used in foreign-language classes.
27.	Math Tools	Examples include embedded ruler or embedded protractor.	Rulers, protractors, number lines, manipulatives	Students may use rulers, protractors, and manipulative materials to complete graphs, rays, and circumferences.
28.	Multiplication Table	A paper-based single-digit (1–9) multiplication table.	Paper-based multiplication table	Students use a multiplication table (often it is a sticker on their desk) during regular instruction and assessments.
29.	Noise Buffer	Equipment used to block external sounds.	Ear mufflers, white noise, and/or other equipment.	Students regularly wear equipment to reduce environmental noise during regular instruction and assessments.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
30.	Print on Demand	Paper copies of passages/stimuli and/or items are printed for students.	Printed materials	Teacher-provided print materials are used to facilitate learning activities. Photocopies of passages are used instead of textbooks so that students can write and/or highlight.
31.	Separate Setting	The test location is altered so that the student is tested in a setting different from that made available for most students.	Special seating arrangements	Students who are easily distractible are provided seating within the classroom, to improve focus. Students can come in during off periods to do homework or class assignments when the classroom has only a few students. During instruction and or testing, students are allowed to find an alternative environment to be in.
32.	Speech-to-Text/Scribe	Allows students to use their voices as input devices to the device (or a human), to dictate responses or give commands (e.g., opening application programs, pulling down menus, and saving work).	Tape recorders, scribes, specific computer programs	Students may use a tape recorder or scribe as an alternative to writing when a processing or physical challenge is present. A trained adult then transcribes the student's response word-for-word on the student's test or assignment. See the protocol at http://www.smarterbalanced.org/wordpress/wp-content/uploads/2014/03/Scribing-Protocol.pdf for more information.
33.	Streamline	Provides a streamlined interface in which the items are displayed below the stimuli.	Use of white space on documents Documents only displaying items below text	Students regularly have access to documents in which the text is only presented in a sequential format.

No.	Guidelines Resource	Description (See Guidelines for Full Description)	Pedagogical Practices	Common Instructional Practice
34.	Text-to-Speech/Read-Aloud	Text is read aloud to the student via embedded text-to-speech technology or a human.	Teacher or assistant reads aloud instructions	<p>Listening skills are taught using read-aloud material, and then students are checked for understanding.</p> <p>Students listen to a prerecorded audio interpretation (book-on-tape) of text or a book.</p> <p>See the guidelines at http://www.smarterbalanced.org/wordpress/wp-content/uploads/2014/03/Read-Aloud-Guidelines.pdf for more information.</p> <p>See also the read-aloud guidelines for Spanish at http://www.smarterbalanced.org/wordpress/wp-content/uploads/2012/08/Read-Aloud-Guidelines_Spanish.pdf for more information.</p>
35.	Writing Tools	Examples include bold, italic, bullets, undo/redo.	Writing tools	Students use desktop publishing software (Microsoft Word) in order to type up a story or article during instruction. Students can use italics and bullets to cite a reference or to emphasize important ideas.

Appendix I: Multiplication Table

A single-digit (1–9) multiplication table is a non-embedded accommodation for **grades four and above** mathematics items. The multiplication table is to be used *only* for students with a documented and persistent calculation disability (i.e., dyscalculia). This table can be printed and/or enlarged for students requiring this accommodation. It is also available as a PDF on the CAASPP Test Administrator Resources for the Smarter Balanced Online Summative Assessments Web page at <http://www.caaspp.org/ta-resources/summative.html>.

MULTIPLICATION TABLE									
×	1	2	3	4	5	6	7	8	9
1	1	2	3	4	5	6	7	8	9
2	2	4	6	8	10	12	14	16	18
3	3	6	9	12	15	18	21	24	27
4	4	8	12	16	20	24	28	32	36
5	5	10	15	20	25	30	35	40	45
6	6	12	18	24	30	36	42	48	54
7	7	14	21	28	35	42	49	56	63
8	8	16	24	32	40	48	56	64	72
9	9	18	27	36	45	54	63	72	81

Appendix J: LEA CAASPP Coordinator Checklist

LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Direct Responsibilities				
<input type="checkbox"/> 1. Add users to the Test Operations Management System (TOMS).	<i>TOMS Adding and Managing Users Guide</i>		As soon as possible to provide the option to administer interims assessments, if applicable.	http://www.caaspp.org/rsc/pdfs/CAASPP.adding_managing_users.2016.pdf
<input type="checkbox"/> 2. Set up test administration windows for the local educational agency (LEA) and assign schools to it.	<i>TOMS Test Administration Setup Guide</i>		Complete by December 1, 2015.	http://www.caaspp.org/rsc/pdfs/CAASPP.test_admin_setup.2016.pdf
<input type="checkbox"/> 3. Set up test assignments in TOMS.	<i>TOMS Student Test Registration Guide</i>		Complete by December 10, 2015.	http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-registration-guide.2016.pdf
<input type="checkbox"/> 4. Notify schools when training materials are available.	<i>TAM</i> , section 2.1		Complete at least 5–6 weeks prior to testing.	http://www.caaspp.org/training/caaspp/
<input type="checkbox"/> 5. Notify schools when administration manuals are available.	<i>TAM</i> , section 2.1		Complete at least 5–6 weeks prior to testing.	http://www.caaspp.org/administration/instructions/ http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/> 6. Review all Smarter Balanced policy and summative test administration documents.	<i>TAM</i> , section 2.1	3 to 5 hours	Complete at least 5–6 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/> 7. Review scheduling and testing requirements with California Assessment of Student Performance and Progress (CAASPP) test site coordinators.	<i>TAM</i> , sections 7.2 and 7.3	60–90 minutes	Complete at least 3–4 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/> 8. Plan any state-required training for CAASPP test site coordinators and test administrators; retrain as needed.	<i>None</i>		Complete at least 3 weeks prior to testing.	
<input type="checkbox"/> 9. Review training modules and schedule training session for CAASPP test site coordinators.	<i>TAM</i> , section 2.1	2–3 hours	Complete while spaced over 2–3 weeks prior to testing.	http://www.caaspp.org/training/caaspp/ http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/> 10. Review security procedures with CAASPP test site coordinators, test administrators, and test examiners.	<i>TAM</i> , sections 3.0, 4.0, and <i>Appendix F</i>		Complete at least 2–3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf

	LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	<p>11. Work with LEA technology coordinators to ensure timely device setup.</p> <ul style="list-style-type: none"> • Conduct network diagnostics. • Download the secure browser (beginning late November or early December). • Verify that schools meet the minimum technology requirements. 	<p><i>Technical Specifications Manual (TSM), section I, Network Diagnostic Tools TSM, section V TSM, sections I and II Secure Browser Installation Manual</i></p>	5–10 hours	Complete at least 2 weeks prior to testing.	<p>http://www.caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2016.pdf</p> <p>http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf</p>
<input type="checkbox"/>	<p>12. Work with schools to review and verify California Longitudinal Pupil Achievement Data System (CALPADS) student demographic data in TOMS.</p>	<p><i>TOMS Online Student Test Settings User Guide</i></p>	2–4 hours	Complete at least 2 weeks before testing and during testing.	<p>http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf</p>
<input type="checkbox"/>	<p>13. Perform an equipment needs assessment based on individual student requirements.</p> <ul style="list-style-type: none"> • Work with the CAASPP test site coordinator to identify students who will need specialized equipment for accommodations. • Communicate with the CAASPP test site coordinators, test administrators, and test examiners to identify the number of headsets needed in order to take the English language arts/literacy (ELA) Listening portions of the assessment. Place order for the number of headsets needed plus extra. 	<p><i>None</i></p>	1–2 hours	Complete at least 2 weeks prior to testing.	<p>Students are permitted and encouraged to use their own ear buds or headsets—but LEAs and schools should also plan on having some available.</p>

	LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	14. Enter condition codes NTE (Not tested medical emergency) and PGE (Parent/Guardian exemption) in TOMS as necessary. –New process–	<i>None</i>		Ongoing. Deadline for these submissions is by the next calendar day after the last day of the selected testing window.	http://www.caaspp.org/administration/toms/condition-codes2015-16.html
Monitor Administration Activities					
<input type="checkbox"/>	15. Investigate all testing improprieties, irregularities, breaches, and incidents reported by test administrators and test examiners. <ul style="list-style-type: none"> • Submit an incident report following the Security of Test Administration Incident Reporting System process (STAIRS) described in section 4.0. –New process– • File an appeal in TOMS if directed to do so after following the STAIRS process. –New process– 	<i>TAM, sections 4.0 and 5.0</i>	As needed	Ongoing. Deadline for all submissions will be one week after the selected testing window closes.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2_016.pdf http://www.caaspp.org/stairs/
<input type="checkbox"/>	16. Monitor with the LEA technology coordinator any technical problems to apply resolutions or disseminate information at other school sites prior to testing.	<i>None</i>		Ongoing throughout the testing window.	
Oversight Responsibilities					
<input type="checkbox"/>	17. Ensure that CAASPP test site coordinators, test administrators, and test examiners in the LEA are appropriately trained and aware of policies and procedures, especially related to security.	<i>TAM, sections 3.0 and 4.0</i>		Complete at least 3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2_016.pdf
<input type="checkbox"/>	18. Review school test administration schedules for adequate time and resource planning.	<i>TAM, section 7.3</i>		Complete at least 3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2_016.pdf

	LEA CAASPP Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	19. Verify that CAASPP test site coordinators, test administrators, and test examiners have reviewed student information in TOMS and are verifying student settings for designated supports and accommodations in TOMS.	<i>TOMS Online Student Test Settings User Guide</i>		Complete at least 2 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf
<input type="checkbox"/>	20. You or your designee must be available during your testing window for questions and problem solving.	None		Complete during your entire testing window.	
<input type="checkbox"/>	21. Communicate regularly with CAASPP test site coordinators any emerging trends or issues.	None		Complete during your entire testing window.	

Contact Information	
Questions about state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Incidents</p> <p>Name: CAASPP Office Phone: 916-445-8765 E-mail: caaspp@cde.ca.gov</p> <p>California Department of Education Security Breach or Testing Irregularity)</p> <p>Name: CAASPP Office Fax: 916-319-0969 E-mail: STAIRS@cde.ca.gov</p>	<p>California Technical Assistance Center 800-955-2954 CalTAC@ets.org http://www.caaspp.org/administration/instructions/ Hours of operation: Monday through Friday, 7 a.m. to 5 p.m. PT</p>

Appendix K: CAASPP Test Site Coordinator Checklist

CAASPP Test Site Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
Direct Responsibilities				
<input type="checkbox"/> 1. Attend trainings your local educational agency (LEA) offers and review all Smarter Balanced policy and test administration documents.	<i>Online Test Administration Manual (TAM)</i> , section 2.1	2 to 4 hours	Complete at least 3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/> 2. Ensure that all test administrators and test examiners attend your school's or LEA's training and review the self-paced online training modules posted on the Smarter Balanced portal. Review with test administrator the videos ("What is a CAT?" and "What are Universal Tools?") and encourage them to show these to their students in preparation for the test.	<i>TAM</i> , section 2.1	2–3 hours	Complete at least 3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf http://www.caaspp.org/training/caaspp/
<input type="checkbox"/> 3. Work with technology personnel to ensure timely device setup: <ul style="list-style-type: none"> • Conduct network diagnostics. • Download the secure browser. • Verify that your school has met the minimum technology requirements. • Ensure that other technical issues are resolved before and during testing. 	<i>Technical Specifications Manual (TSM)</i> , section I, <i>Network Diagnostic Tools</i> TSM, section V TSM, sections I and II	5–10 hours	Complete at least 3–4 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.tech-specs-manual.2016.pdf http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf

	CAASPP Test Site Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	<p>4. Communicate with the test administrators and test examiners to identify the number of headsets needed for each testing site and ensure that the needed number are available at least two weeks prior to the testing window.</p> <ul style="list-style-type: none"> • Headsets are required for the English language arts/literacy (ELA) Listening portions of the assessment, for students who require text-to-speech, or for students requiring audio glossaries (mathematics only). • Communicate with the LEA CAASPP coordinator to identify the number of headsets needed. 	<i>None</i>	Up to 1 hour	Complete at least 2 weeks prior to testing.	<p>Order the number needed plus extra.</p> <p>Students are permitted and encouraged to use their own ear buds or headsets—but districts and schools should also plan on having some available.</p>
<input type="checkbox"/>	<p>5. Perform an equipment needs check based on individual student requirements.</p> <ul style="list-style-type: none"> • Work with test administrators and test examiners to identify students who will need specialized equipment for accommodations. 	<i>None</i>	1–2 hours	Complete at least 2 weeks prior to testing.	
<input type="checkbox"/>	<p>6. Based on the test administration windows, work with test administrators and LEA CAASPP coordinator to establish a testing schedule.</p>	<i>TAM, section 7.4</i>	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/>	<p>7. Work with test administrators and test examiners to review student information in the Test Operations Management System (TOMS) before students are tested to ensure that correct student information and test settings for designated supports and accommodations are applied.</p>	<i>TOMS Online Student Test Settings User Guide</i>	2–4 hours	Complete at least 2 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf

	CAASPP Test Site Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	8. Establish a place to test those students who need a separate test setting.	<i>Usability, Accessibility, and Accommodations Guidelines</i>	1–2 hours	Complete at least 1–2 weeks prior to testing.	http://www.caaspp.org/administration/instructions/
<input type="checkbox"/>	9. Work with test administrators and test examiners to plan a quiet activity for each test session for students who finish early.	<i>None</i>	30 minutes	Complete the week of testing.	The activity should not be related to the test being given. For example, students who finish early may work on assignments for unrelated subjects or read a book.
<input type="checkbox"/>	10. Because all Smarter Balanced summative assessments will have computer adaptive test (CAT) items plus a performance task (PT) with a classroom-based activity: <ul style="list-style-type: none"> • Download and review the Classroom Activity for your grade(s). • Work with your test administrator to plan the administration of the Classroom Activity. 	<i>TAM</i> , section 9.2	30–60 minutes planning the day prior to administering the PT	Complete the week of testing.	Administration of the CAT items plus a PT with a classroom-based activity will require advance preparations. http://www.caaspp.org/
<input type="checkbox"/>	11. Ensure proper handling of all printed test materials and scratch paper. Collect all test materials on each day of testing to keep in a secure location until after the test session, and then destroy according to the security policy outlined in the <i>TAM</i> .	<i>TAM</i> , sections 3.2 and 11.0		Complete during and after testing window.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2_016.pdf
<input type="checkbox"/>	12. Ensure adherence to all security policies. <ul style="list-style-type: none"> • Read and sign the <i>California Assessment of Student Performance and Progress (CAASPP) Test Security Agreement</i> and submit it to your LEA CAASPP coordinator. • Ensure that all test administrators read and sign <i>CAASPP Test Security Affidavits</i>. 	<i>TAM</i> , section 3.0			http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2_016.pdf http://www.caaspp.org/administration/forms/

	CAASPP Test Site Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	<p>13. Document any testing impropriety, irregularity, or breach and report to the LEA CAASPP coordinator immediately after learning of the incident.</p> <ul style="list-style-type: none"> • Submit an incident report following the Security of Test Administration Incident Reporting System process (STAIRS) described in section 4.0. –New process– • File an appeal in TOMS if directed to do so after following the STAIRS process. –New process– 	TAM, sections 4.0 and 5.0	As needed	Ongoing	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf http://www.caaspp.org/stairs/
<input type="checkbox"/>	<p>14. Enter condition codes NTE (Not tested medical emergency) and PGE (Parent/Guardian exemption) in TOMS as necessary. –New process–</p>	None		Ongoing. Deadline for these submissions is by the next calendar day after the last day of the selected testing window.	http://www.caaspp.org/administration/toms/condition-codes2015-16.html
Monitor Administration Activities					
<input type="checkbox"/>	<p>15. Monitor testing progress during the testing window and ensure that all students participate as appropriate, addressing student issues as needed.</p>	None	As needed	Ongoing	
<input type="checkbox"/>	<p>16. Raise any technical issues with the school technology coordinator for resolution.</p>	None	As needed	Ongoing	
<input type="checkbox"/>	<p>17. Review, investigate, and report on all potential testing improprieties, irregularities, and breaches reported by the test administrator. Mitigate incidents when appropriate.</p>	TAM, sections 4.0 and 5.0	As needed	Ongoing	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf http://www.caaspp.org/stairs/
Oversight Responsibilities					
<input type="checkbox"/>	<p>18. Verify that test administrators and test examiners have reviewed student information in TOMS and are verifying student settings for designated supports and accommodations in TOMS.</p>	TOMS Online Student Test Settings User Guide		Complete at least 1–2 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf

	CAASPP Test Site Coordinator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	19. Verify that test administrators or other instructional staff have administered the Classroom Activity.	<i>None</i>		Complete no more than three days prior to testing the PT.	
<input type="checkbox"/>	20. Verify that test administrators have scheduled make-up sessions of the Classroom Activity for students who were absent for the first administration.	<i>None</i>		Complete no more than three days prior to testing the PT.	
<input type="checkbox"/>	21. Assist test administrators in taking proper measures to ensure that students have access only to allowable non-embedded resources during testing.	<i>None</i>		Complete prior to testing.	
<input type="checkbox"/>	22. Verify that test administrators are adhering to all test security policies and practices.	<i>TAM, sections 3.0, 4.0, 5.0, and Appendix F</i>		Complete during testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf http://www.caaspp.org/stairs/

Contact Information	
Questions about the overall administration and state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 E-mail: caaspp@cde.ca.gov</p>	<p>School Technology Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>LEA CAASPP Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>http://www.caaspp.org/administration/instructions/</p>

Appendix L: Test Administrator Checklist

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	1. Review all Smarter Balanced policy and test administration documents, particularly the <i>Test Administrator Reference Guide (Reference Guide)</i> .	<i>Reference Guide</i> , section 1.1	1–2 hours	Complete at least 2–3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.ta-reference-guide.2016.pdf
<input type="checkbox"/>	2. Review the training modules and attend school or district training sessions, if any are offered.	<i>Online Test Administration Manual (TAM)</i> , section 2.1	2–3 hours	Complete at least 2–3 weeks prior to testing.	http://www.caaspp.org/training/caaspp/ http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/>	3. Show students the videos “What is a CAT?” and “What are Universal Tools?”	<i>TAM</i> , section 2.1	1 hour	Complete while spaced over 2–3 weeks prior to testing.	http://www.caaspp.org/training/caaspp/
<input type="checkbox"/>	4. Provide students with a walk-through of the training test and/or practice test for familiarity with navigation of the system and tools.	<i>TAM</i> , Appendix D	1 hour	Complete while spaced over 2–3 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/>	5. Perform an equipment needs check based on individual student requirements. <ul style="list-style-type: none"> • Work with the California Assessment of Student Performance and Progress (CAASPP) test site coordinator to identify students who will need specialized equipment for accommodations. 	None	1–2 hours	Complete at least 2 weeks prior to testing.	Students are permitted and encouraged to use their own ear buds or headsets—but local educational agencies (LEAs) and schools should also plan on having some available.

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	6. Work with the CAASPP test site coordinator to determine precise testing schedules based on the test administration windows selected by the school schedule. <ul style="list-style-type: none"> • Make sure your students' test administration schedule includes allowable breaks and time for the Classroom Activity prior to the performance task. 	TAM, section 7.3		Complete at least 1–2 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/>	7. Confirm that you have received your Test Operations Management (TOMS) logon information. You should have received an automated e-mail from TOMS notifying you of how to log on. You will also use this username and password for the online testing system.	TOMS Passwords, Access, and Logon Guide		Complete at least 1–2 weeks prior to testing.	If you have not received this information, please check your spam/junk e-mail folder to see if it was mistakenly routed there. If not, check with your CAASPP test site coordinator. http://www.caaspp.org/rsc/pdfs/CAASPP.adding_managing_users.2016.pdf
<input type="checkbox"/>	8. Work with your CAASPP test site coordinator to ensure that each student has a Statewide Student Identifier (SSID) number and is registered for an appropriate paper-pencil test as necessary.	None	2–4 hours	Complete at least 1–2 weeks prior to testing.	
<input type="checkbox"/>	9. Confirm each student's test settings for designated supports and accommodations in TOMS against their individualized education program, Section 504 plan, or other relevant documentation as appropriate.	TOMS Online Student Test Settings User Guide	2–4 hours	Complete at least 1–2 weeks prior to testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.student-test-settings.2016.pdf

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	10. Ensure that the secure browser has been downloaded to any device(s) on which students will be testing.	<i>Secure Browser Installation Manual</i>	1–2 hours	Complete at least 1–2 weeks prior to testing <i>and again</i> the day before testing or morning of testing.	Check with your CAASPP test site coordinator or school technology coordinator if the [Secure Browser] icon is missing. http://www.caaspp.org/rsc/pdfs/CAASPP.secure-browser-manual.2016.pdf
<input type="checkbox"/>	11. Communicate to students the need for headsets in order to take the English language arts/literacy (ELA) Listening portions of the assessment. a. Identify any students who may not have their own headsets and make arrangements with the school to have headsets available for those students. Counts should be determined prior to testing. b. Also have extra headsets on hand for students who may forget to bring theirs. c. Send reminders to students and parents several days before and the day prior to testing to remind parents that students may bring their own headsets but that headsets will be provided to students without headsets on the day of testing.	<i>None</i>		Make a count of needed headsets (vs students who have their own) at least 3 weeks prior to testing and tell your CAASPP test site coordinator the number needed. Three days before testing, remind students to have their headsets available the day of tests. One day before testing, remind students to bring their headsets.	Administration of the ELA assessment will contain a listening portion. Students will need ear buds or headsets. Make sure your school has extras available for students who may need them on the day of testing. Have extra headsets on hand in case students forget.

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	<p>12. All assessments will have computer adaptive test (CAT) items plus a performance task (PT) with a Classroom Activity.</p> <p>a. Obtain the Classroom Activity from your CAASPP test site coordinator and plan for the administration.</p> <p>b. Administer the Classroom Activity.</p>	TAM, section 9.2	<p>60 minutes planning the day prior to administering the PT</p> <p>30 minutes actual Classroom Activity administration time</p>	Complete the week of testing.	<p>Administration of the CAT items plus a PT with a classroom-based activity will require advance preparations.</p> <p>http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf</p>
<input type="checkbox"/>	13. Plan a quiet activity for each test session for students who finish early.	None	15–30 minutes	Complete the week of testing.	The activity should not be related to the test being given. For example, students who finish early may work on assignments for unrelated subjects or read a book.
<input type="checkbox"/>	<p>14. Prior to administration, check all devices that will be used and close all applications except those identified as necessary by the school's technology coordinator. Make sure that no device has dual monitors. –New process–</p> <ul style="list-style-type: none"> • Work with your CAASPP test site coordinator to set system volume prior to students launching the secure browser to ensure students can hear the audio portions of the ELA segment. 	None	1–2 hours	Complete the morning of testing.	The test administrator should open the secure browser on each device after closing any unnecessary applications.
<input type="checkbox"/>	<p>15. Review all guidelines for creating a secure test environment.</p> <ul style="list-style-type: none"> • Review all security procedures and guidelines in the TAM. • Carefully read and sign a test security agreement if required by your state. 	TAM, section 3.0		Prior to and during day(s) of testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf

	Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/>	<p>16. Make sure the physical conditions of the testing room are satisfactory.</p> <ul style="list-style-type: none"> • Make sure that no instructional materials directly related to the content of the assessments are visible. • Students should be seated so there is enough space between them, or provide desktop partitions to minimize opportunities to look at each other's screen. • Actively monitor students throughout the test sessions. • Students who are not being tested may not be in the room where a test is being administered. 	TAM, section 3.0		Complete the day(s) of testing.	<ul style="list-style-type: none"> • Make sure students clear their desks and put away all books, backpacks, purses, cell phones, electronic devices of any kind, and other materials not needed for the test. • Ensure that students do not access unauthorized electronic devices (such as cell phones) at any time during testing. <p>http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf</p>
<input type="checkbox"/>	17. On the day of testing, verify that the students have their logon information (first name, SSID, and session ID).	TAM, section 9.2		Complete the day(s) of testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf
<input type="checkbox"/>	18. Administer the Smarter Balanced assessments, following the script and directions for administration. Provide any necessary non-embedded designated supports and accommodations.	TAM, section 10.1		Complete the day(s) of testing.	<p>Provide students with scratch paper for all test sessions. Also provide students in grades 6 and above graph paper for the mathematics assessments.</p> <p>http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf</p>
<input type="checkbox"/>	19. Report any testing improprieties, irregularities, and breaches to the CAASPP test site coordinator and LEA CAASPP coordinator in writing immediately following an impropriety, irregularity, or breach.	TAM, sections 4.0, 5.0, and Appendix F		Complete as soon as possible during or immediately following testing.	<p>http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf</p> <p>http://www.caaspp.org/stairs/</p>

Test Administrator Activities	Reference in Manual	Estimated Time to Complete	Target Completion Date	Notes/Resources
<input type="checkbox"/> 20. Securely dispose of all printed testing materials, including student logon information, print-on-demand documents, and scratch paper in a secure manner.	<i>TAM</i> , sections 3.0 and 11.0		Complete after testing.	http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2016.pdf

Contact Information	
Questions about the overall administration and state policies	Questions about technology and the overall administration procedures
<p>California Department of Education Accommodations, Test Policy, Testing Irregularities</p> <p>Name: CAASPP Office Phone: 916-445-8765 E-mail: caaspp@cde.ca.gov</p>	<p>School Technology Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>CAASPP Test Site Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p> <p>LEA CAASPP Coordinator</p> <p>Name: _____ Phone: _____ E-mail: _____</p>

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ORIGINAL



PUBLIC MEETING

COMMISSION ON STATE MANDATES



TIME: 10:00 a.m.

DATE: Friday, January 22, 2016

**PLACE: State Capitol, Room 447
Sacramento, California**



REPORTER'S TRANSCRIPT OF PROCEEDINGS



Reported by:

Daniel P. Feldhaus

California Certified Shorthand Reporter #6949

Registered Diplomate Reporter, Certified Realtime Reporter

Daniel P. Feldhaus, C.S.R., Inc.

Certified Shorthand Reporters

8414 Yermo Way, Sacramento, California 95828

Telephone 916.682.9482 Fax 916.688.0723

FeldhausDepo@aol.com

A P P E A R A N C E S

COMMISSIONERS PRESENT

ERAINA ORTEGA
Representative for MICHAEL COHEN, Director
Department of Finance
(Chair of the Commission)

RICHARD CHIVARO
Representative for BETTY T. YEE
State Controller

KEN ALEX
Director
Office of Planning & Research

MARK HARIRI
Representative for JOHN CHIANG
State Treasurer

SARAH OLSEN
Public Member

M. CARMEN RAMIREZ
Oxnard City Council Member
Local Agency Member



COMMISSION STAFF PRESENT

HEATHER A. HALSEY
Executive Director
(Items 3 and 17)

HEIDI PALCHIK
Assistant Executive Director

CAMILLE N. SHELTON
Chief Legal Counsel
(Items 5 and 16)

A P P E A R A N C E S

PARTICIPATING COMMISSION STAFF

continued

ERIC FELLER
Senior Commission Counsel
(Items 6 and 9)

MATTHEW B. JONES
Commission Counsel
(Items 4, 7, and 10)

KERRY ORTMAN
Program Analyst
(Item 15)



PUBLIC TESTIMONY

Appearing Re Item 4:

For Claimants:

ARTHUR PALKOWITZ
Stutz, Artiano, Shinoff & Holtz
2488 Historic Decatur Road, Suite 200
San Diego, California 92106

RICK MILLER
Superintendent
Santa Ana Unified School District
1601 East Chestnut Avenue
Santa Ana, CA 92701-6322

NATE NELSON
Assistant Superintendent
Porterville Unified School District
600 West Grand Avenue
Porterville, CA 93257

A P P E A R A N C E S

PUBLIC TESTIMONY

Appearing Re Item 4:

For Claimants:

MICHELINE MIGLIS
Former Superintendent
Plumas County Office of Education and
Plumas Unified School District

RAMONA BISHOP
Superintendent
Vallejo City Unified School District
665 Walnut Avenue
Vallejo, California 94592

For Department of Finance:

AMBER ALEXANDER
Department of Finance
915 L Street, 7th Floor
Sacramento, California 95814

SUSAN GEANACOU
Senior Staff Attorney
Department of Finance
915 L Street, Suite 1280
Sacramento, California 95814

Appearing Re Item 5:

For Department of Finance:

REBECCA HAMILTON
Department of Finance
915 L Street, 7th Floor
Sacramento, California 95814

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1 (A chorus of "ayes" was heard.)

2 CHAIR ORTEGA: Okay, approved unanimously.

3 MS. HALSEY: Let's move to the Article 7
4 portion of the hearing.

5 Will the parties and witnesses for Items 4, 5,
6 6, 7, 9, and 10 please rise?

7 (Parties/witnesses stood to be sworn
8 or affirmed.)

9 MS. HALSEY: Do you solemnly swear or affirm
10 that the testimony which you are about to give is true
11 and correct, based on your personal knowledge,
12 information, or belief?

13 (A chorus of affirmative responses was
14 heard.)

15 MS. HALSEY: Thank you.

16 Item 3 is reserved for appeals of Executive
17 Director decisions.

18 There are no appeals scheduled for
19 consideration at this hearing.

20 Commission Counsel Matt Jones will present
21 Item 4, the test claim on *California Assessment of*
22 *Student Performance and Progress*, or "CAASPP."

23 (Mr. Chivaro entered the meeting room.)

24 CHAIR ORTEGA: Thank you.

25 And let's have the record reflect that

1 Mr. Chivaro has joined the meeting.

2 MR. JONES: Good morning.

3 This test claim alleges new mandated costs
4 arising from the elimination of the former *Standardized*
5 *Testing and Reporting* program, and its replacement with a
6 computer-based statewide pupil assessment designated
7 "CAASPP."

8 Staff finds that many of the requirements of
9 the CAASPP program tests are a continuation of the STAR
10 program, or minor modifications of the STAR program,
11 including, in some cases, a lower level of service due
12 to certain grade levels and subjects no longer tested
13 under the new program.

14 However, staff recommends that the Commission
15 adopt the proposed decision, finding that some of the
16 test-claim statutes and regulations mandate a new program
17 or higher level of service on school districts to, quote,
18 "*provide a computing device, the use of an assessment*
19 *technology program, and the adaptive engine,*" end quote,
20 to administer CAASPP to all pupils via computer, which
21 includes the acquisition of and ongoing compliance with
22 minimum technology requirements.

23 In addition, the proposed decision finds that
24 the regulations implementing the computer-based CAASPP
25 assessments mandate new reporting and informational

1 requirements.

2 The proposed decision further finds, based on
3 the evidence in the record, that there are increased
4 costs mandated by the State beginning January 1, 2014,
5 which will exceed the funding appropriated by the State
6 for pupil assessment programs, including CAASPP.

7 Will the parties and witnesses please state
8 your names for the record?

9 MR. PALKOWITZ: Good morning, Art Palkowitz on
10 behalf of the claimants.

11 MR. DANIELS: Josh Daniels, California School
12 Boards Association on behalf of the claimants.

13 MS. ALEXANDER: Amber Alexander with the
14 Department of Finance.

15 MS. GEANACOU: Good morning. Susan Geanacou,
16 Department of Finance.

17 CHAIR ORTEGA: Mr. Palkowitz?

18 MR. PALKOWITZ: Yes, thank you.

19 Initially, the claimants would like to thank
20 staff for its thorough analysis of the numerous issues
21 presented in this test claim.

22 The *California Assessment of Student*
23 *Performance and Progress, CAASPP*, test claim requires
24 school districts to administer statewide academic
25 assessments by providing computer devices, assessment

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1 technology platform, and adaptive engine to all pupils in
2 the state. Commission staff has determined that the
3 test-claim statutes and regulations mandate containing
4 all these requirements are a new program or a higher
5 level of service on school districts.

6 Staff has recommended, based on the requirement
7 to administer *CAASPP* to all pupils via the computer, that
8 the costs relating to these activities are reimbursable.

9 Each District's coordinator is responsible for
10 assessing technology, and shall ensure the current and
11 ongoing compliance with the minimum technology
12 specifications as identified by the State selected
13 consortium, which is currently Smarter Balanced
14 Assessment Consortium.

15 The Assembly Appropriations Committee stated
16 that these assessments are designed to be online and
17 computer adaptive as opposed to the prior paper-and-
18 pencil assessments. It was the intent of the Legislature
19 that the school districts of California be required to
20 implement 21st century technology.

21 Staff has determined, after thorough reviewing
22 and analyzing the large amount of documents submitted by
23 the claimants, that there is insufficient funding
24 available and that the school districts have incurred
25 increased costs mandated by the State.

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1 Staff has stated that the 2014-15 Budget Act
2 does not contain State appropriations that are
3 specifically intended to fund the cost of the mandate for
4 the 2014-15 fiscal year within the meaning of Government
5 Code section 17556(e).

6 The five claimants are a diverse group
7 consisting of a large metropolitan, a middle size, as
8 well as a rural district. As will be presented by each
9 representative briefly, they will share with you they
10 faced challenges that they encountered in initializing
11 and performing CAASPP.

12 The claimants have provided substantial
13 evidence that the funding they received -- approximately
14 \$3 per student that took a test -- is insufficient to
15 cover their devices, the broadband, and the training
16 required.

17 For example, Plumas Unified incurred costs for
18 CAASPP in 2014-15 of approximately \$854,000. Based on
19 the number of pupils that took the testing in 2013-14,
20 they received \$4,044 -- less than half of 1 percent of
21 their actual costs.

22 Claimant Porterville's cost for the 2014 year
23 was \$3.4 million, and they received \$26,000,
24 approximately three-quarters of 1 percent of their costs.

25 The goal of CAASPP is to provide assessments

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1 that assist teachers, administrators, students of parents
2 with a better understanding of college and career
3 readiness.

4 SBAC, selected by the State of California,
5 provides the new computer adaptive assessments, intended
6 to provide more individualized, accurate, and fast
7 results for teachers and parents.

8 Moving forward, CAASPP coordinators have
9 identified the need for new technology, increased
10 bandwidth, and more devices for testing -- for testing
11 more technology support.

12 The computer-based assessment is adaptive, in
13 that students who answer the initial questions correctly
14 will get progressively harder questions, while students
15 who answer the initial questions incorrectly, will get
16 progressively easier.

17 In effect, the claimants have clearly
18 demonstrated that the funding for CAASPP is woefully
19 inadequate to offset the significant financial need of
20 the test claimants. Accordingly, the claimants request
21 that the commissioners approve the activities recommended
22 by staff to be reimbursable activities.

23 At this time, we would ask the representative
24 for Santa Ana to come forward and speak briefly regarding
25 the impact CAASPP has on their district.

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1 CHAIR ORTEGA: Just before you come up on this
2 item, we have a number of witnesses; and I would just ask
3 that you keep your remarks brief, and everyone try not to
4 repeat any comments that have been made previously.

5 Thank you.

6 MR. MILLER: Thank you.

7 And good morning. I'm Rick Miller,
8 Superintendent from Santa Ana Unified School District.

9 I'll give you a brief thumbnail of our
10 District. We have about 55,000 students. We serve from
11 pre-K through the twelfth grade. We have 57 school
12 sites; and we are in Orange County, California.

13 Students, nine out of 10 of our students are
14 living in poverty. 92 percent, to be more specific.
15 96 percent of our students are Latino; and 6 out of 10
16 are English-language learners.

17 So what's this really all about? Because
18 we have had state testing a long time. And in that
19 state testing, previously we basically were required to
20 provide a No. 2 pencil to serve the needs in terms of
21 taking the actual test. In fact, that's why you've heard
22 about "paper and pencil."

23 We're now required to have a device -- and
24 I have just one example, and there's many that are out
25 there -- but that has to be associated also with a

1 keyboard, with some kind of listening device, and so
2 forth. So we've had a dramatic shift in terms of
3 implementation as we go forward.

4 Another piece of the puzzle is that, typically,
5 we are required to have some kind of wireless deployment
6 throughout the building. And, again, in the past, we've
7 maybe done those by putting more access points up; but
8 the reality is, we need to bring engineers in to help
9 us do that appropriately and get efficient use of that
10 process.

11 Previously, in one of my prior districts, I
12 think we were one of the state leaders in this area; and
13 we had 28,000 student devices. But the reality is, with
14 Smarter Balance, we basically did not have devices that
15 were compatible with the new assessment. So we almost
16 had to go back and do a whole refresh of that as we move
17 that issue forward.

18 I would also like to add that we believe it's
19 a very laudable move on the part of the State and their
20 leadership to bring forward this test. It's really a
21 21st century test. It's going to be improved assessment
22 for our students, so we fully support that. We fully
23 support that direction.

24 The other thing that I might point out to you,
25 is that when we talk about devices, oftentimes everybody

1 has a smart phone these days; but the reality is that for
2 students from five years old to 18 years old, have some
3 differences.

4 For example, this may fit for us, but it may
5 not fit for a five-year-old, or similar kind of age in
6 terms of primary school.

7 The other thing I would point out, when we talk
8 about one by one, implementation is not that complicated;
9 but when you think systemwide, it becomes a much more
10 complex issue as we move forward. And oftentimes, we
11 need to go out and bring in other outside contractors to
12 assist us in that process of changing our system.

13 Finally, I would say that we support the
14 proposed solution proposed by your staff.

15 And I thank you very much for your time and
16 your attention on this matter.

17 CHAIR ORTEGA: Thank you, Mr. Miller.

18 MR. NELSON: Good morning. My name is Nate
19 Nelson. I'm an assistant superintendent with Porterville
20 Unified School District.

21 And to give you a brief description of our
22 district, we're located in the Central Valley of
23 California, about halfway between Bakersfield and Fresno.
24 We have about 14,000 students, similar demographics, a
25 high number of English learners, approximately

1 84 percent, considered poverty, based on the free- and
2 reduced-lunch participation.

3 And just to expand on a couple of items,
4 devices obviously are something I think we can all grasp
5 as far as the need and the investment required to outfit
6 our students with those.

7 For us, bandwidth has been an issue. We're a
8 semi-remote location, and don't have access to fiber
9 readily from a number of different telecom providers.
10 And so scaling that up was a piece of our puzzle,
11 providing sufficient bandwidth, the size of the pipe in
12 terms of the information being delivered. And then kind
13 of the ancillary devices that we didn't really consider
14 initially, in terms of the costs associated with
15 upgrading those. We would really liken it to an Internet
16 service provider gearing up for Netflix on Friday night,
17 where you've got everybody tuning in at eight o'clock and
18 trying to stream movies.

19 And generally, the network has been deployed in
20 such a way that you can function 95 percent of the day,
21 pretty predictable traffic patterns. But in that
22 eight o'clock hour, there's a significant increase in
23 bandwidth and in the equipment required to support that.

24 And for us, that meant upgrades required and
25 significant costs associated with our Internet filter to

1 filter out pornography and other inappropriate content.

2 We had to move from a model that we had
3 purchased a year before, to one that was quite a bit more
4 expensive to support the additional traffic capacity.
5 Our centralized firewall, our wireless controllers --
6 costs, again, that we were not anticipating and were
7 substantial and ongoing. Once you move from different
8 tiers, there's a pretty significant increase in terms of
9 what you're paying for annual support.

10 We also, aside from, you know, bringing in some
11 external support, looked to gear up our staff internally,
12 and provided additional training; and that we know that
13 there's maintenance required for these devices and for
14 this infrastructure, and so we hired additional
15 technicians. We also took the technicians that we had
16 on the staff and trained them in some of the kind of
17 new deployments they'd have to do, the very dense
18 deployments. Classroom right on top of each other and
19 in some ways, people talk about it being engineering;
20 but it's almost an art form in tuning the signals and
21 getting them just right, so you don't have people kind
22 of talking on top of one another. And that was a big
23 learning experience for us.

24 We're still adjusting to this day. We've got
25 access points that provide the wireless signal that we

1 deployed, you know, a year ago, even, that we're
2 replacing with new models because we had seen, when we
3 geared up for that testing, that it just had different
4 points of time where it wasn't as functional as we would
5 have liked.

6 And then finally, just kind of the lower-level
7 support required moving from the pencil and paper, the
8 logistics required to distribute paper tests and the
9 planning. That's always been there. But, of course,
10 it's ramped up a little bit when you have to get people
11 that aren't familiar with technology trained on what
12 we're going to do to enter students into the system. If
13 we have somebody come from an outside district three days
14 before they're ready to test, what's it going to take to
15 get them in the system in a timely manner and have them
16 ready to test. And we've estimated, we're probably
17 talking up to 10 hours of different training for those
18 people on the ground level; and that involves our
19 resource clerks and even our principals. And again, a
20 significant investment.

21 Thank you very much for your time.

22 CHAIR ORTEGA: Thank you, Mr. Nelson.

23 MS. MIGLIS: Good morning. And thank you all
24 for your public service.

25 My name is Micheline Miglis. And during the

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1 2012-13 and the 2013-14 and the 2014-15 school years,
2 I was the county superintendent for Plumas County Office
3 of Education and the Plumas Unified School District
4 superintendent.

5 To help you place Plumas, if you're unfamiliar
6 with the National Forest, Plumas is surrounded by
7 thousands of miles of -- thousands of square miles of
8 the National Forest. We border the counties of Butte,
9 Shasta in the north, Susanville and Sierra, to name a
10 few.

11 We consider ourselves a frontier district,
12 beyond rural, because of the very particular isolation
13 that our students and our community face.

14 We provide education to students in late
15 19th century schoolhouses built in the late 1800's and
16 the early 1900's in the 21st century.

17 We commend the opportunity for our students to
18 participate and have access to the same experiences with
19 the annual assessment as their peers across the state.
20 However, in particular for the frontier school, Plumas
21 Unified School District and County Office of Education,
22 we experience tremendous infrastructure challenges given
23 the age and the conditions of our school buildings.

24 We had the absence of broadband in many of our
25 communities. This affected the students' ability to

1 access the state assessment and potentially perform as
2 well as they could.

3 For an example, if I can give you a sample of
4 what a child might face to put a student's face on this
5 assessment experience and challenge, we were able to
6 purchase computers on wheels so we had one cart in each
7 school. And that was rotated to classrooms.

8 And in one particular school, in Chester
9 Elementary School in the far north, that is over near the
10 Shasta border, we converted a very long storage closet
11 into a computer lab, and outfitted it with the computers,
12 and students rotated on a schedule in and out of there.

13 That worked when broadband worked. And when
14 the service was up and running, often it didn't, and so
15 the assessment took a long time and delayed, and
16 sometimes students began part of the test and then needed
17 to start all over again.

18 Another situation in Quincy, where we provided
19 bus transportation from our elementary school over to
20 the high school, because that was the only way that the
21 students could participate in the assessment at that
22 time.

23 Of course, you can imagine we hired outside
24 consultants to help us bring our schools forward and to
25 address many of the challenges that we had, as other

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1 colleagues have mentioned with respect to fiber, cabling,
2 switches, broadband, and all of the infrastructure
3 related.

4 The other situation that I want to make note
5 of for you, is that the devices that we're required to
6 use are very 21st century. And, again, we did not have
7 even the 20th century tools and infrastructure in place.

8 In closing, I want to comment that we are not
9 even close to faithfully implementing the high-stakes
10 assessment, and we still have a very long way to go.
11 We want to participate. We believe in the
12 accountability. We want to have access for our students,
13 along with their peers in the state; and yet, we do have
14 tremendous hurdles to overcome.

15 Thank you.

16 CHAIR ORTEGA: Thank you.

17 MS. BISHOP: Good morning, everyone. I'm
18 Dr. Ramona Bishop. I'm the proud superintendent of the
19 Vallejo Unified School District, where I've been since
20 April 1st, 2011.

21 I want to paint a picture for you. Imagine
22 my walking into this school district, where there are
23 90 percent students of color. Now, we are 78.4 percent,
24 unduplicated count. So free and reduced lunch, about
25 72 percent.

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1 Imagine a place where there had been a state
2 takeover because a \$60 million loan was taken from the
3 State. Imagine a place where the city also was the first
4 city to go bankrupt.

5 Two schools, just because we had some
6 principals that were tech-savvy, had taken it upon
7 themselves to make their schools wireless and to
8 establish an infrastructure for computers.

9 None of the rest of the schools had any of
10 that. So we had to build the infrastructure for every
11 school to be wireless. We had to contract with
12 individuals and engineers to ensure that our students
13 could access everything that they needed. We had to
14 purchase from A-to-Z computer technology, whether it was
15 computers on wheels, computers in labs. We had to ensure
16 that our students were comfortable, and therefore having
17 staff available for our staff and students who needed
18 considerable training and considerable abilities to
19 implement this assessment.

20 I agree with the staff recommendation. I
21 appreciate the fact that we're pushing our system to get
22 better and moving California into the 21st century. And
23 yet, I ask all of you to consider where we are in the
24 Vallejo City Unified School District.

25 Our students deserve the best. Like all the

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1 other superintendents, I agree. And yet there are
2 considerable challenges.

3 Yes, we spent money to ensure that our students
4 were ready for this assessment the last time; but I want
5 you to remember that I was working to get the state
6 administrator out of our school district at the same
7 time. And so we made choices for developing the wireless
8 infrastructure and the computer infrastructure at the
9 cost of other things. Yet it is very significant and
10 wonderful, and we appreciate the opportunity to serve
11 students in the way that we now are doing in the Vallejo
12 City Unified School District.

13 You know that we're now out of state
14 receivership; but, again, it was a lot of hard work and
15 with this extra cost, it was even more difficult.

16 Thank you very much.

17 CHAIR ORTEGA: Thank you, Ms. Bishop.

18 Ms. Olsen has a question.

19 MEMBER OLSEN: I don't have a question. I just
20 wanted to make a comment that I am a graduate of Hogan
21 High School as of way back. And my father was a
22 superintendent of schools in Vallejo, so...

23 MS. BISHOP: You will be glad to know that
24 Hogan is up and going, and the kids have everything they
25 need.

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1 Thank you.

2 MR. PALKOWITZ: Thank you very much for
3 providing the opportunity for the claimants to express
4 their experiences.

5 At this time, we have no other testimony.

6 CHAIR ORTEGA: Okay.

7 MS. ALEXANDER: Good morning. Amber Alexander
8 with the Department of Finance.

9 To start, we would like to concur with the
10 staff's recommendation to deny the claims for many of the
11 code sections and regulations pled by the claimants on
12 account that they do not contain mandated activities.

13 With regards to the claims for which staff is
14 recommending partial approval, Finance acknowledges that
15 there is an inherent tension between allocating funding
16 to local educational agencies in a manner that's
17 consistent with the notion of local control, while at the
18 same time, not micromanaging LEAs' ability to spend those
19 funds as they feel fit by restricting their use for an
20 intended purpose.

21 We would continue to emphasize that the State
22 has allocated a significant amount of funding to local
23 educational agencies to help them prepare for and
24 administer CAASPP; and we believe that these funds have
25 been provided in an amount sufficient to cover their

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1 expenses associated with the assessment system.

2 Finally, we would note that the staff has
3 identified a number of sources of required and
4 potentially offsetting funds as detailed on page 26 of
5 the proposed decision. And we would agree with staff
6 that these sources must be identified and deducted from
7 school-district reimbursement claims to the extent that
8 they were used by the districts to cover their CAASPP
9 activities that the Commission determines are
10 reimbursable.

11 Thank you for your time. And we'd like to end
12 by thanking staff for their work on this test claim.

13 CHAIR ORTEGA: Thank you, Ms. Alexander.

14 Anything else, Ms. Geanacou?

15 MS. GEANACOU: No, I have nothing further.

16 We're available to answer questions if there are any.

17 CHAIR ORTEGA: Great, thank you.

18 Any questions at this point?

19 Ms. Ramirez?

20 MEMBER RAMIREZ: I don't have any questions.

21 I support the staff's recommendation. It seems
22 everybody's in agreement with that. And I just want to
23 say, it's not appropriate for this commission -- this
24 commissioner to make long speeches; but I'm very
25 impressed with the work of our school leaders. And I

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1 think this is a problem for all of our community, because
2 this is about leadership at the state and local level.
3 And I congratulate you for what you've done. We have a
4 long way to go. But this is -- it's very sobering to
5 hear the statistics of poverty in our state. And I know
6 in Southern California, one in four children live in
7 poverty. It has tremendous consequences for the health
8 of our people and our economy.

9 And I appreciate the leadership that you've
10 shown. So I do support this.

11 I also want to mention, I knew Ms. Miglis when
12 she was very young, as a student. So it's just awesome
13 to see you here.

14 Thank you.

15 CHAIR ORTEGA: Ms. Olsen?

16 MEMBER OLSEN: I'll move adoption of the staff
17 recommendation.

18 CHAIR ORTEGA: Okay, thank you.

19 Moved by Ms. Olsen.

20 Is there a second?

21 MEMBER RAMIREZ: Second.

22 CHAIR ORTEGA: Second by Ms. Ramirez.

23 I do want to say, I think there aren't any
24 great conflicts here in the Commission -- in the
25 recommendation from the staff; but it does feel to me

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1 like this is going to be a complicated one in the
2 claiming process. And so I just want to say that it's
3 going to be difficult for everyone to identify the
4 approved, and eliminate the disallowed items, and then
5 also document the offsetting revenues as discussed in the
6 decision.

7 So I'm hopeful that -- yes, Camille?

8 MS. SHELTON: Just to add onto that, it would
9 be helpful to receive sufficient comments when the
10 parameters and guidelines go out, so that we can analyze
11 any activities that might be reasonably necessary to
12 comply with the mandate.

13 CHAIR ORTEGA: Great. Thank you.

14 We have a motion and a second.

15 Please call the roll.

16 MS. HALSEY: Mr. Alex?

17 MEMBER ALEX: Aye.

18 MS. HALSEY: Mr. Chivaro?

19 MEMBER CHIVARO: Aye.

20 MS. HALSEY: Mr. Hariri?

21 MEMBER HARIRI: Aye.

22 MS. HALSEY: Ms. Olsen?

23 MEMBER OLSEN: Aye.

24 MS. HALSEY: Ms. Ortega?

25 CHAIR ORTEGA: Aye.

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1 MS. HALSEY: Ms. Ramirez?

2 MEMBER RAMIREZ: Aye.

3 CHAIR ORTEGA: The motion is adopted.

4 Thank you, everyone.

5 Thank you everyone who traveled here.

6 We'll move on to Item 5.

7 MS. HALSEY: Chief Legal Counsel Camille
8 Shelton will present Item 5, the adequate showing hearing
9 for mandate redetermination on *Immunization Records:*
10 *Hepatitis B.*

11 MS. SHELTON: Good morning. This is the first
12 hearing on this redetermination request, seeking a
13 finding from the Commission that the mandated activities
14 related to the hepatitis-B immunization are no longer
15 reimbursable pursuant to Statutes 2010, Chapter 434.

16 The 2010 statute provides that a full
17 immunization against hepatitis B shall not be a condition
18 by which a school district admits or advances a pupil to
19 the seventh grade.

20 Staff recommends that the Commission adopt
21 the proposed decision, finding that Finance has made an
22 adequate showing that the State's liability may have been
23 modified by the 2010 statute and that Finance has a
24 substantial possibility of prevailing at the second
25 hearing.

REPORTER' S CERTIFICATE

I hereby certify:

That the foregoing proceedings were duly reported by me at the time and place herein specified; and

That the proceedings were reported by me, a duly certified shorthand reporter and a disinterested person, and was thereafter transcribed into typewriting by computer-aided transcription.

In witness whereof, I have hereunto set my hand on the 15th day of February 2015.



Daniel P. Feldhaus
California CSR #6949
Registered Diplomate Reporter
Certified Realtime Reporter



Technology

Advances in technology can improve the quality, accessibility, and efficiency of assessments. Building on the success of member states and employing new technologies will allow the Smarter Balanced Assessment Consortium to:

Accurately and efficiently measure student achievement and growth through [computer-adaptive testing](#);

Develop innovative and real-world test items that assess the breadth of the [Common Core State Standards](#) for virtually all students, including those with disabilities and English language learners;

Enhance teacher and administrator professional development and capacity building at the local level; and

Leverage cross-state resources to deliver assessments and produce both standardized and customizable reports that are cost-effective, timely, and useful for teachers, students, and parents to track progress towards college- and career-readiness.

Technology Requirements

The Smarter Balanced Technology Strategy Framework and Testing Device Requirements provide minimum hardware specifications and basic bandwidth calculations. These can help schools and districts to evaluate whether their computers and networks will support the administration of the assessment system.

The framework was developed with input and feedback from Smarter Balanced member states, work groups, and data from an online inventory of technology resources launched in 2012. Based on the research, data analysis, and the successful 2014 Field Test, Smarter Balanced estimates that the majority of schools and districts in member states will be able to successfully administer the assessments with their existing infrastructure.

The requirements apply only to the Smarter Balanced assessments and should not be considered minimum specifications to support instruction, which may require additional technology. In addition, all hardware decisions should consider the individual needs of students. Some students may need hardware that exceeds these minimum guidelines, some students may require qualitatively different hardware, and some students may need assistive technology to meet special needs.

** Please note that the minimum and recommended specifications in the Technology Framework documents have been clarified as of 08/26/14.

[Current list of approved testing devices and secure browsers](#)

[Technology Strategy Framework and Testing Device Requirements Executive Summary](#) (revised 08/26/14) (PDF)

[Technology Strategy Framework and Testing Device Requirements](#) (revised 08/26/14) (PDF)

[Technology Strategy Framework and Testing Device Requirements Q&A](#) (PDF)

A bandwidth test will measure current internet bandwidth available at your school. Two good choices are [SchoolSpeedTest](#) from [Education Superhighway](#) and [SpeedTest.net](#). You can use information obtained from these tools with the Technology Readiness Calculator below.

[Technology Readiness Calculator](#). This online tool can help schools estimate the number of days and associated network bandwidth required to complete the assessments given the number of students, number of computers, and number of hours per day computers are available for testing at the school.

Assessment Software

Smarter Balanced has developed an open source platform for delivery of interim and summative assessments. Details about the software and how it may be used to benefit other organizations are available at [SmarterApp.org](#).

How did Smarter Balanced determine the minimum technology specifications?

The Technology Approach Work Group collaborated with member states, as well as Navigation North, American Institutes for Research, Measured Progress, and Pearson to analyze the memory and processor load that the test delivery engine will require; the bandwidth necessary to transmit stimulus materials and items to students; and the data submitted by Smarter Balanced schools and districts through the Technology Readiness Tool. These analyses identified the minimum technology necessary to assess the full depth and breadth of the Common Core State Standards in a next-generation assessment.

I thought this was supposed to be a next-generation assessment. Doesn't supporting old technology limit the assessment?

For many states, any online assessment is next-generation technology. In addition, each of our item specifications were developed without knowing the limits of technology (e.g., by content experts) and don't appear to be limited by the OS we will support. Finally, the assessment needs to work and we don't anticipate extra money to be available in 2012-13 and 2013-14 to buy new computers for 2014-15.

How will new innovative items be constructed after 2014-15 if it is limited to field testing on old technology?

While we haven't encountered a limit to item types based on the OS we plan to support, during 2013-14 field testing we may consider the browser being used and, if necessary, send some new Field Test items only to the newer browsers if for some reason older browsers can't support all of the item functions.

I thought Microsoft was ending support for XP in 2014. Doesn't Smarter Balanced support for XP create a security risk?

Districts need to make decisions about their available budget and the educational technology that best supports their instructional plan. In addition, districts need to make many decisions about their network security with the OS being just one small part. In choosing to support XP in 2014-15, Smarter Balanced is allowing districts to make these decisions. It is not the role of Smarter Balanced to develop network security strategies for districts. We do not anticipate that XP would create a unique security risk for assessment items.

Smaller devices are cheaper, why won't Smarter Balanced support screen sizes smaller than a 10" class?

Assessment is very precise and standardization is critical. An item on a test must be equally hard (or easy) regardless of whether or not a student views it on a tablet or a desktop. We're collaborating with technology providers to implement the 10"-class of tablets in large-scale assessment and will continue to consult with them regarding the possibility of allowing additional form factors and screen sizes.

Why do secure browsers need to be installed on each student's computer prior to those computers being used for a Smarter Balanced assessment?

To deliver a secure summative assessment, the desktop needs to be restricted to prevent students from accessing resources that compromise the meaning of the assessment results and otherwise allow students to breach the security of the assessment. To protect computers from malicious websites, browsers block access to operating system functions and do not generally allow server-side commands to control the computer. For example, without modification, off-the-shelf web-browsers generally do not know if there are other programs running in the background (e.g., a recording program that might take pictures of the assessment items or record a student's keystrokes). Although Smarter Balanced will continue to investigate the option of providing access to the assessment through server-based applets or commands, it is likely that secure browsers will continue to be required for at least the first two years of the operational assessment for most operating systems.

**State of California
Office of Administrative Law**

In re:
Board of Education

Regulatory Action:

Title 5, California Code of Regulations

Adopt sections:

Amend sections: 850, 851, 852, 853, 853.5,
855, 857, 858, 859, 861,
862, 862.5, 863, 864

Repeal sections: 854, 864.5, 865, 866, 867,
867.5, 868

**NOTICE OF APPROVAL OF EMERGENCY
REGULATORY ACTION**

**Government Code Sections 11346.1 and
11349.6**

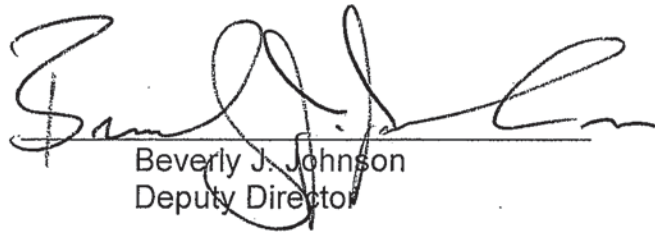
OAL File No. 2014-0124-04 E

This emergency rulemaking by the State Board of Education amends and repeals sections of Title 5 of the California Code of Regulations commencing with section 850 and ending with section 868. Education Code section 60640, as established by AB 484, effective January 1, 2014, deletes provisions that established the Standardized Testing and Reporting Program and establishes California Assessment of Student Performance and Progress.

OAL approves this emergency regulatory action pursuant to sections 11346.1 and 11349.6 of the Government Code.

This emergency regulatory action is effective on 2/3/2014 and will expire on 8/5/2014. The Certificate of Compliance for this action is due no later than 8/4/2014.

Date: 2/3/2014



Beverly J. Johnson
Deputy Director

For: DEBRA M. CORNEZ
Director

Original: Susan Burr
Copy: Hillary Wirick

EMERGENCY

STATE OF CALIFORNIA--OFFICE OF ADMINISTRATIVE
NOTICE PUBLICATION/REGULATIONS SUBMISSION

(See instructions on reverse)

For use by Secretary of State only

D. 400 (REV. 01-2013)

OAL FILE NUMBERS

NOTICE FILE NUMBER

REGULATORY ACTION NUMBER

EMERGENCY NUMBER

Z-2014-0117-03

2014-0124-04E

For use by Office of Administrative Law (OAL) only

2014 JAN 24 PM 4:13

OFFICE OF ADMINISTRATIVE LAW

ENDORSED FILED IN THE OFFICE OF

2014 FEB -3 PM 3:47

Debra Bowen
DEBRA BOWEN
SECRETARY OF STATE

NOTICE

REGULATIONS

AGENCY WITH RULEMAKING AUTHORITY
State Board of Education

AGENCY FILE NUMBER (if any)

PUBLICATION OF NOTICE (Complete for publication in Notice Register)

SUBJECT OF NOTICE		TITLE(S)	FIRST SECTION AFFECTED	2. REQUESTED PUBLICATION DATE
NOTICE TYPE Notice re Proposed Regulatory Action <input type="checkbox"/> Other <input type="checkbox"/>		4. AGENCY CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER (Optional)
ONLY USE	ACTION ON PROPOSED NOTICE		NOTICE REGISTER NUMBER	PUBLICATION DATE
	<input type="checkbox"/> Approved as Submitted	<input type="checkbox"/> Approved as Modified	<input type="checkbox"/> Disapproved/Withdrawn	

SUBMISSION OF REGULATIONS (Complete when submitting regulations)

SUBJECT OF REGULATION(S) <u>Assessment of Student Performance and Progress</u>		1b. ALL PREVIOUS RELATED OAL REGULATORY ACTION NUMBER(S)
SPECIFY CALIFORNIA CODE OF REGULATIONS TITLE(S) AND SECTION(S) (Including title 26, if toxics related)		
ACTION(S) AFFECTED List all section number(s) individually. Attach additional sheet if needed.	ADOPT	
	AMEND	850, 851, 852, 853, 853.5, 855, 857, 858, 859, 861, 862, 862.5, 863, 864
	REPEAL	854, 864.5, 865, 866, 867, 867.5, 868

TYPE OF FILING

Regular Rulemaking (Gov. Code §11346)	<input type="checkbox"/> Certificate of Compliance: The agency officer named below certifies that this agency complied with the provisions of Gov. Code §511346.2-11347.3 either before the emergency regulation was adopted or within the time period required by statute.	<input type="checkbox"/> Emergency Readopt (Gov. Code, §11346.1(h))	<input type="checkbox"/> Changes Without Regulatory Effect (Cal. Code Regs., title 1, §100)
Resubmittal of disapproved or withdrawn nonemergency filing (Gov. Code §511349.3, 11349.4)		<input type="checkbox"/> File & Print	<input type="checkbox"/> Print Only
Emergency (Gov. Code, §11346.1(b))	<input type="checkbox"/> Resubmittal of disapproved or withdrawn emergency filing (Gov. Code, §11346.1)	<input type="checkbox"/> Other (Specify) _____	

BEGINNING AND ENDING DATES OF AVAILABILITY OF MODIFIED REGULATIONS AND/OR MATERIAL ADDED TO THE RULEMAKING FILE (Cal. Code Regs, title 1, §44 and Gov. Code §11347.1)

EFFECTIVE DATE OF CHANGES (Gov. Code, §§ 11343.4, 11346.1(d); Cal. Code Regs., title 1, §100)

Effective January 1, April 1, July 1, or October 1 (Gov. Code §11343.4(a)) Effective on filing with Secretary of State §100 Changes Without Regulatory Effect Effective other (Specify) _____

CHECK IF THESE REGULATIONS REQUIRE NOTICE TO, OR REVIEW, CONSULTATION, APPROVAL OR CONCURRENCE BY, ANOTHER AGENCY OR ENTITY

Department of Finance (Form STD. 399) (SAM §6660) Fair Political Practices Commission State Fire Marshal

CONTACT PERSON My Wirick, Regulations Analyst	TELEPHONE NUMBER (916) 319-0644	FAX NUMBER (Optional) (916) 319-0155	E-MAIL ADDRESS (Optional) hwirick@cde.ca.gov
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I certify that the attached copy of the regulation(s) is a true and correct copy of the regulation(s) identified on this form, that the information specified on this form is true and correct, and that I am the head of the agency taking this action, or a designee of the head of the agency, and am authorized to make this certification.

SIGNATURE OF AGENCY HEAD OR DESIGNEE <i>My Brian Holloway</i>	DATE 1/9/14
NAME AND TITLE OF SIGNATORY Brisson Holloway, General Counsel	

521

For use by Office of Administrative Law (OAL) only

ENDORSED APPROVED

FEB 03 2014

Office of Administrative Law

- 1 • The State Board of Education has illustrated changes to the original text in the
2 following manner: text originally proposed to be added is underlined; text proposed
3 to be deleted is displayed in ~~strikeout~~.
4

5 **Title 5. EDUCATION**

6 **Division 1. California Department of Education**

7 **Chapter 2. Pupils**

8 **Subchapter 3.75. Standardized Testing and Reporting Program California**
9 **Assessment of Student Performance and Progress (CAASPP)**

10 **Article 1. General**

11 **§ 850. Definitions.**

12 For the purposes of the ~~Standardized Testing and Reporting (STAR) Program~~, the
13 following terms shall have the following meanings unless the context indicates
14 otherwise:

15 (a) ~~“Accommodations” means any variation in the assessment environment or~~
16 ~~process that does not fundamentally alter what the test measures or affect the~~
17 ~~comparability of scores.~~

18 (b) ~~“Administration period” means one of multiple test administration periods used~~
19 ~~by school districts with schools or programs on non-traditional calendars that begin and~~
20 ~~complete the school year at various times and have staggered vacation periods to~~
21 ~~ensure that all pupils are tested at approximately the same point in the instructional~~
22 ~~year.~~

23 (c) ~~“Alternate assessment” means an assessment as provided in Education Code~~
24 ~~section 60640(e) and its test materials developed to measure the degree to which~~
25 ~~pupils with exceptional needs who are unable to take the California Standards Tests~~
26 ~~(CSTs) even with accommodations or modifications are achieving the state content~~
27 ~~standards. The alternate assessments for the STAR Program are the California~~
28 ~~Alternate Performance Assessment and the California Modified Assessment (CMA).~~
29 ~~The student shall not be allowed to take both the California Alternate Performance~~
30 ~~Assessment (CAPA) and the California Modified Assessment (CMA). Students shall~~
31 ~~take CAPA in all subject areas, CSTs in all subject areas, CMA in all subject areas, or a~~
32 ~~combination of CSTs and CMA in the subject areas being assessed.~~

33 (d) ~~“Alternate performance assessment” means an alternate assessment as~~

1 provided in Education Code section 60640(e) and its test materials for pupils with
2 significant cognitive disabilities. The alternate performance assessment for the STAR
3 Program is the California Alternate Performance Assessment.

4 (e) "California Alternate Performance Assessment (CAPA)" is the alternate
5 assessment as provided in Education Code section 60640(e) and its test materials for
6 pupils with significant cognitive disabilities.

7 (f) "California Modified Assessment (CMA)" is the alternate assessment based on
8 modified achievement standards as provided in Education Code section 60640(e) and
9 its test materials.

10 (g) "California Standards Tests (CSTs)" means an assessment as provided in
11 Education Code section 60642.5 and its test materials that measures the degree to
12 which pupils are achieving the state content standards.

13 (h) "CDE" means the California Department of Education.

14 (i) "Eligible pupil" is any pupil who is not otherwise exempted pursuant to Education
15 Code section 60615.

16 (1) For the primary language test, an eligible pupil is an English learner in grades 2
17 to 11, inclusive, with a primary language for which a test is required or optional
18 pursuant to Education Code section 60640.

19 (2) For the California Alternate Performance Assessment, an eligible pupil is any
20 pupil in grades 2 to 11, inclusive, who has an individualized education program (IEP)
21 that designates the use of the alternate performance assessment and is unable to take
22 the CSTs even with accommodations or modifications.

23 (3) For the CMA, an eligible pupil is any pupil in grades 3 to 11, inclusive, who has
24 an IEP, meets the State Board of Education (SBE) adopted eligibility criteria described
25 in paragraphs (A) through (E) below, and whose IEP designates the use of the modified
26 assessment in one or more content areas. The SBE adopted eligibility criteria for
27 guiding IEP teams in making decisions about which students with disabilities may
28 participate in the CMA are based, in part, on Title 34 of the Code of Federal
29 Regulations, Part 200, Title 1, Improving the Academic Achievement of the
30 Disadvantaged. Those criteria are as follows:

31 (A) Previous Participation.

32 1. CSTs. The student shall have taken the CST in a previous year and scored

1 ~~Below Basic or Far Below Basic in the subject area being assessed by the CMA and~~
2 ~~may have taken the CSTs with modifications; or~~

3 ~~2. CAPA. The student shall have taken the CAPA Level II-V in two previous years~~
4 ~~and received a performance level of either Proficient or Advanced. The student shall~~
5 ~~not be allowed to take both the CAPA and CMA.~~

6 ~~(B) Progress Based on Multiple Measures and Objective Evidence. The student's~~
7 ~~disability has precluded the student from achieving grade-level proficiency, as~~
8 ~~demonstrated by such objective evidence as the student's performance on the CSTs~~
9 ~~and other assessments that can validly document academic achievement within the~~
10 ~~year covered by the student's IEP plan. The determination of the student's progress~~
11 ~~must be based on multiple measurements, over a period of time, that are valid for the~~
12 ~~subjects being assessed. The student will not receive a proficient score on the CSTs~~
13 ~~(even with provision of accommodations) based on evidence from multiple, valid, and~~
14 ~~objective measures of student progress (or lack of progress).~~

15 ~~(C) Response to Appropriate Instruction.~~

16 ~~1. The student's progress to date in response to appropriate grade-level instruction,~~
17 ~~including special education and related services designed to address the student's~~
18 ~~individual needs, is such that, even if significant growth occurs, the IEP team is~~
19 ~~reasonably certain that the student will not achieve grade-level proficiency within the~~
20 ~~year covered by the student's IEP plan.~~

21 ~~2. The student who is assessed with the CMA has access to the curriculum,~~
22 ~~including instruction and materials for the grade in which the student is enrolled.~~

23 ~~3. The student's IEP includes grade-level California content standards-based goals~~
24 ~~and support in the classroom for a subject or subjects assessed by the CMA.~~

25 ~~4. The student has received special education and related services to support~~
26 ~~access to and progress in the general curriculum in which the student is enrolled.~~

27 ~~5. The IEP team has determined that the student will not achieve grade-level~~
28 ~~proficiency even with instructional intervention.~~

29 ~~(D) High School Diploma. The student who takes alternate assessments based on~~
30 ~~modified academic achievement standards is not precluded from attempting to~~
31 ~~complete requirements as defined by the State for a regular high school diploma.~~

32 ~~(E) Parents Are Informed. Parents of the students selected to be assessed with the~~

1 CMA are informed that their child's achievement will be measured based on modified
2 achievement standards.

3 (j) "Grade" means the grade assigned to the pupil by the school district at the time
4 of testing.

5 (k) "Modification" means any variation in the assessment environment or process
6 that fundamentally alters what the test measures or affects the comparability of scores.

7 (l) "Modified assessment" means an alternate assessment based on modified
8 achievement standards as provided in Education Code section 60640(e) and its test
9 materials. The modified assessment for the STAR Program is the CMA.

10 (m) "Nonpublic schools (NPS)" are nonpublic, nonsectarian schools as set forth in
11 California Education Code section 56034.

12 (n) "Primary language test" means an assessment as provided in Education Code
13 sections 60640(f)(1) and (2) and 60640(g) and its test materials in each primary
14 language for which a test is available for English learners. The primary language test
15 for the STAR Program is the Standards-based Tests in Spanish.

16 (o) "School districts" includes elementary, high school, and unified school districts;
17 county offices of education; any charter school that for assessment purposes does not
18 elect to be part of the school district or county office of education that granted the
19 charter; any statewide benefit charter; and any other charter school chartered by the
20 SBE.

21 (p) "Scribe" is an employee of the school district, or a person assigned by a
22 nonpublic school to implement a pupil's IEP who has signed a STAR Test Security
23 Affidavit and is required to transcribe a pupil's responses to the format required by the
24 test. A pupil's parent or guardian is not eligible to be the pupil's scribe.

25 (q) A "significant medical emergency" is a significant accident, trauma, or illness
26 (mental or physical) that precludes a pupil in grades 2 to 11, inclusive, from taking the
27 standards-based achievement tests. An accident, trauma, or illness is significant if the
28 pupil has been determined by a licensed physician to be unable to participate in the
29 tests.

30 (r) "Standards-based achievement tests" means an assessment that measures the
31 degree to which pupils are achieving the state content standards as provided in
32 Education Code sections 60640(e) alternate assessment(s), Education Code section

1 ~~60642.5 CSTs and its test materials, and Education Code section 60640(f)(3)~~
2 ~~Standards-based Tests in Spanish, and its test materials. The STAR Program alternate~~
3 ~~assessments, the California Alternate Performance Assessment and the CMA, are~~
4 ~~standards-based achievement tests.~~

5 ~~(s) "Standards-based Tests in Spanish" is the standards-based achievement test as~~
6 ~~provided in Education Code section 60640(f)(3), and its test materials, that is~~
7 ~~administered as the primary language test as provided in Education Code sections~~
8 ~~60640(f) and (g) for pupils whose primary language is Spanish.~~

9 ~~(t) "Test examiner" is an employee or contractor of a school district or a non-public~~
10 ~~school who has been trained to administer the tests and has signed a STAR Test~~
11 ~~Security Affidavit. For the alternate performance assessment, the test examiner must~~
12 ~~be a certificated or licensed school, district, or county staff member.~~

13 ~~(u) "Test materials" include administration manuals, administrative materials, test~~
14 ~~booklets, practice tests, and test answer documents provided as part of the~~
15 ~~administration of the STAR Program assessments.~~

16 ~~(v) "Test proctor" is an employee of a school district, or a person assigned by a~~
17 ~~nonpublic school to implement a pupil's IEP, who has signed a STAR Test Security~~
18 ~~Affidavit and has received training designed to prepare him or her to assist the test~~
19 ~~examiner in the administration of tests within the STAR Program.~~

20 ~~(w) "Translator" is a person who has been assigned to translate the test directions~~
21 ~~into the pupil's primary language pursuant to section 853.5(f), who has signed a Test~~
22 ~~Security Affidavit as identified in section 859(d), and who has received training~~
23 ~~specifically designed to prepare him or her to assist the test examiner in the~~
24 ~~administration of the STAR Program assessments. A pupil's parent or guardian is not~~
25 ~~eligible to be the pupil's translator. A translator must be:~~

26 ~~(1) an employee of the school district;~~

27 ~~(2) an employee of the nonpublic school; or~~

28 ~~(3) supervised by an employee of the school district or an employee of the~~
29 ~~nonpublic school.~~

30 ~~(x) "Variation" means a change in the manner in which a test is presented or~~
31 ~~administered, or in how a test taker is allowed to respond, and includes, but is not~~
32 ~~limited to, accommodations and modifications.~~

1 (y) "Writing portion of the English language arts tests" is the performance
2 component of the standards-based achievement tests.

3 For the purposes of these regulations, the Measurement of Academic Performance
4 and Progress assessment system (as established in Education Code section 60640
5 and known as "MAPP") shall be designated the California Assessment of Student
6 Performance and Progress (CAASPP), and the following terms shall have the following
7 meanings:

8 (a) "Accommodations" means supports documented in a pupil's individualized
9 education program (IEP) or Section 504 Plan that are utilized in the assessment
10 environment or consist of changes in procedures or materials that increase equitable
11 access during the assessment and that do not fundamentally alter the comparability of
12 scores.

13 (b) "Accessibility supports" means supports that may or may not (because they
14 have not been previously identified) invalidate the measurement of the test; these
15 supports are not universal tools, designated supports, or accommodations (e.g., read-
16 a-loud of passages in grades 3 through 5). An LEA shall notify the CDE in writing prior
17 to the use of the accessibility support(s).

18 (c) "Achievement tests" means any summative standardized test that measures the
19 level of performance that a pupil has achieved on state-adopted content standards.

20 (d) "Alternate assessment" means an assessment as provided in Education Code
21 section 60640(k) and its test materials developed to measure the level of performance
22 for a pupil with disabilities who is unable to take the consortium summative assessment
23 in English language arts and mathematics pursuant to Education Code section
24 60640(b)(1) or are unable to take an assessment of science pursuant to Education
25 Code section 60640(b)(2), even with accommodations.

26 (e) "Assessment technology platform" means the electronic systems used to display
27 items, accept item responses, store, deliver, score the tests and restrict access to
28 outside sources, as well as report and manage assessment results. Testing technology
29 includes, but is not limited to, computing devices, testing software applications, network
30 hardware, and other technology required to administer the tests.

31 (f) "California Alternate Performance Assessment (CAPA)" is the alternate
32 assessment and its test materials as provided in Education Code section 60640(k) for

1 pupils with significant cognitive disabilities.

2 (g) "California Modified Assessment (CMA)" is the alternate assessment and its test
3 materials for science based on modified achievement standards.

4 (h) "California Standards Tests (CSTs)" is the assessment and test materials that
5 measure the degree to which pupils are achieving the state content standards pursuant
6 to Education Code section 60605.

7 (i) "Computer-based tests (CBTs)" means tests administered using an electronic
8 computing device.

9 (j) "Designated supports" are features that are available for use by any pupil for
10 whom the need has been indicated, prior to the assessment administration, by an
11 educator or group of educators.

12 (k) "Eligible pupil," with the exception of subdivisions (1) through (3) below, is any
13 pupil who is not exempt from participation in assessments pursuant to Education Code
14 section 60615 or who is not a recently arrived English learner pupil exempt from
15 participating in the English Language Arts assessment pursuant to Education Code
16 section 60640(f)(1).

17 (1) For the primary language test, an eligible pupil is an English learner with a
18 primary language for which a test is optional pursuant to Education Code section
19 60640.

20 (2) For CAPA, an eligible pupil is any pupil in grades 2 through 11, inclusive, who
21 has an IEP that designates the use of the alternate assessment.

22 (3) For the CMA, an eligible pupil is any pupil in grades 5, 8, or 10, who has an IEP
23 that designates the use of the modified assessment in science.

24 (l) "Embedded" means a support, whether a universal tool, designated support, or
25 accommodation, that is part of the assessment technology platform for the computer-
26 administered CAASPP tests.

27 (m) "Grade" means the grade in which the pupil is enrolled at the time of testing, as
28 determined by the local educational agency.

29 (n) "Local educational agency (LEA)" means a county office of education, school
30 district, state special school, or direct-funded charter school as described in Education
31 Code section 47651.

32 (o) "Non-embedded" means a support, whether a universal tool, designated

1 support, or accommodation, that may be provided by the LEA and is not part of the
2 assessment technology platform for the computer-administered CAASPP tests.

3 (p) "Nonpublic schools (NPS)" are nonpublic, nonsectarian schools as set forth in
4 Education Code section 56034.

5 (q) "Primary language test" means a test as provided in Education Code sections
6 60640(b) and (c) and its test materials in each primary language for which a test is
7 available for English learners. The primary language test is the Standards-based Tests
8 in Spanish (STS).

9 (r) "Recently arrived English learner" means a pupil designated as an English
10 learner who is in his or her first 12 months of attending a school in the United States.

11 (s) "Scribe" is an employee of the LEA or a person assigned by an NPS to
12 implement a pupil's IEP who has signed a CAASPP Test Security Affidavit and is
13 required to transcribe a pupil's responses to the format required by the test. A pupil's
14 parent or guardian is not eligible to be the pupil's scribe.

15 (t) A "significant medical emergency" is a significant accident, trauma, or illness
16 (mental or physical) that precludes a pupil from taking the achievement tests. An
17 accident, trauma, or illness is significant if the pupil has been determined by a licensed
18 physician to be unable to participate in the tests.

19 (u) "Smarter-Balanced Assessment Consortium (Smarter Balanced)" is the multi-
20 state consortium responsible for the development of the English language arts and
21 mathematics summative assessments administered pursuant to Education Code
22 section 60640(b)(1) and the interim assessments and formative assessment tools
23 administered pursuant to Education Code section 60642.6.

24 (v) "Standards-based Tests in Spanish (STS)" are the achievement tests and test
25 materials that are administered as the primary language test as provided in Education
26 Code sections 60640(b) and (c) for pupils whose primary language is Spanish.

27 (w) "Test examiner" is an employee or contractor of an LEA or an NPS who has
28 been trained to administer the tests and has signed a CAASPP Test Security Affidavit.
29 For the alternate assessment, the test examiner must be a certificated or licensed
30 school, district, or county staff member.

31 (x) "Test materials" include, but are not limited to, administration manuals,
32 administrative materials, test booklets, assessment technology platform, practice tests,

1 scratch paper, and test answer documents, as part of the administration of the
2 CAASPP tests.

3 (y) "Test proctor" is an employee of an LEA, or a person assigned by an NPS to
4 implement a pupil's IEP or Section 504 Plan, who has signed a CAASPP Test Security
5 Affidavit and has received training designed to prepare him or her to assist the test
6 examiner in the administration of tests within the CAASPP assessment system.

7 (z) "Translator" is a person who has been assigned to translate the test directions
8 into the pupil's primary language pursuant to section 853.5, who has signed a Test
9 Security Affidavit as identified in section 859(d), and who has received training
10 specifically designed to prepare him or her to assist the test examiner in the
11 administration of the assessments pursuant to Education Code section 60640. A pupil's
12 parent or guardian is not eligible to be the pupil's translator. A translator must be:

13 (1) an employee of an LEA;

14 (2) an employee of the NPS; or

15 (3) a person supervised by an employee of an LEA or an employee of the NPS.

16 (aa) "Universal tools" are accessibility features of the CAASPP tests that are
17 available to all pupils.

18 NOTE: Authority cited: Sections 33031, and 60605 and 60640, Education Code.

19 Reference: Sections 47605, 47605.8, 47651, 56034, 60603, 60604, 60605, 60615,
20 60640, and 60642.5 and 60642.6, Education Code; 34 C.F.R. Sections 200.1(d), (e)
21 and (f), 300.160; 5 CCR 11967.6.

22
23 **Article 2. Standards-Based Achievement Tests, ~~Alternate Assessments,~~**
24 **and Any Primary Language Test**

25 **§ 851. Pupil Testing.**

26 (a) ~~School districts~~ LEAs shall administer the standards-based achievement tests
27 and may administer the primary language test, if any, pursuant to Education Code
28 section 60640 to each eligible pupil enrolled in a school district an LEA on the date
29 testing begins in the pupil's school or school district LEA.

30 (b) No later than start of the 2014-2015 school year, for the purposes of the
31 CAASPP assessment system, a charter school which is not direct-funded pursuant to
32 Education Code section 47651 shall test with, dependent on, the LEA that granted

1 the charter or was designated the oversight agency by the local governing board.

2 ~~(c)(b)~~ School districts LEAs shall make ~~whatever~~ arrangements are necessary to for
3 the testing of all eligible pupils in alternative education programs or programs
4 conducted off campus, including, but not limited to, non-classroom based programs,
5 continuation schools, independent study, community day schools, county community
6 schools, juvenile court schools, or ~~nonpublic schools~~ NPSs.

7 ~~(d)(e)~~ No test may be administered in a home or hospital except by a test examiner.
8 No test shall be administered to a pupil by the parent or guardian of that pupil. This
9 subdivision does not prevent classroom aides from assisting in the administration of the
10 test under the supervision of a test examiner, provided that the classroom aide does
11 not assist his or her own child, and that the classroom aide signs a security affidavit.

12 NOTE: Authority cited: Sections 33031, ~~and~~ 60605 and 60640, Education Code.

13 Reference: Sections 47651, 48645.1, 60603, 60605 and 60640, Education Code.

14
15 **§ 852. Pupil Exemptions.**

16 (a) Each year the LEA shall notify parents or guardians of their pupil's participation
17 in the CAASPP assessment system in accordance with Education Code section 60604.

18 (b) The notification to parents or guardians, as defined in subdivision (a), shall
19 include a notice of the provisions outlined in Education Code section 60615.

20 (c) A parent or guardian may annually submit to the school a written request to
21 excuse his or her child from any or all parts of any test provided pursuant to Education
22 Code section 60640 for the school year. If a parent or guardian submits an exemption
23 request after testing has begun, any test(s) completed before the request is submitted
24 will be scored and the results reported to the parent or guardian and included in the
25 pupil's records. ~~A school district~~ An LEA and its employees may discuss the STAR
26 ~~Program~~ CAASPP assessment system with parents and may inform parents of the
27 availability of exemptions under Education Code section 60615. ~~The school district~~ LEA
28 and its employees shall not solicit or encourage any written exemption request on
29 behalf of any child or group of children.

30 NOTE: Authority cited: Sections 33031 and 60640 ~~60605~~, Education Code. Reference:
31 Sections 60604, 60605, 60607, 60612, 60615, 60640 and 60641, Education Code.

32

1 **§ 853. Administration.**

2 (a) The standards-based achievement tests and the primary language test, if any,
3 CAASPP tests pursuant to Education Code section 60640 shall be administered,
4 scored, transmitted, and/or returned by school districts LEAs in accordance with the
5 manuals or other instructions provided by the contractor or CDE for administering,
6 scoring, transmitting, and/or returning the tests, unless specifically provided otherwise
7 in this subchapter, including instructions for administering the test with variations,
8 accommodations, and modifications universal tools, designated supports, and
9 accommodations specified in section 853.5. The procedures shall include, but are not
10 limited to, those designed to ensure the uniform and standardized administration, and
11 scoring of the tests to pupils, the security and integrity of the test content and test
12 items, and the timely provision of all required pupil and school level information.

13 (b) If available, an LEA may utilize a paper-pencil version of any CBT of the
14 CAASPP assessment system, in accordance with Education Code section 60640(e), if
15 the LEA identifies the pupils that are unable to access the CBT version of the test.

16 (c) Interim assessments and formative assessment tools shall be made available to
17 LEA(s) for use during the school year. Use of interim assessments and formative
18 assessment tools shall not be considered advance preparation for a CAASPP test as
19 defined in Education Code section 60611. LEAs that use interim assessments and/or
20 formative assessment tools shall abide by the consortium/contractor(s) administration
21 and use requirements. Any scoring of any performance tasks for the interim
22 assessment and formative assessment tools is the responsibility of the LEA.

23 NOTE: Authority cited: Sections 42004, 33031 and 60640 60605, Education Code.

24 Reference: Sections 60603, 60605, 60611, and 60640 and 60642.6, Education Code.

25
26 **§ 853.5. Use of Universal Tools, Designated Supports, and Variations,**
27 **Accommodations, and Modifications.**

28 ~~(a) School districts may provide all pupils the following variations on the CSTs, the~~
29 ~~CMA, and the Standards-based Tests in Spanish:~~

30 ~~(1) have test directions simplified or clarified.~~

31 ~~(2) write in test booklets; for example, underlining, highlighting, or working math~~
32 ~~problems. Tests booklets for grades 2 and 3 must have any marks other than those in~~

1 ~~response circles erased or pupil responses must be transcribed into new test booklet(s)~~
2 ~~by a school, school district, or nonpublic school employee who has signed the STAR~~
3 ~~Test Security Affidavit to ensure that the tests can be scored.~~

4 ~~(3) test in a small group setting.~~

5 ~~(4) have as much time as needed within a single sitting to complete a test or test~~
6 ~~part on the standards-based achievement tests.~~

7 ~~(b) School districts may provide all pupils the following testing variations on the~~
8 ~~CSTs, the CMA, and the Standards-based Tests in Spanish if regularly used in the~~
9 ~~classroom:~~

10 ~~(1) special or adaptive furniture.~~

11 ~~(2) special lighting, special acoustics, noise canceling devices, visual magnifying~~
12 ~~equipment or audio amplification equipment.~~

13 ~~(3) an individual carrel or study enclosure.~~

14 ~~(4) test individually in a separate room provided that an employee of the school,~~
15 ~~school district, or nonpublic school, who has signed the STAR Test Security Affidavit,~~
16 ~~directly supervises the pupil.~~

17 ~~(5) colored overlay, mask, or other means to maintain visual attention to the test or~~
18 ~~test questions.~~

19 ~~(6) Manually Coded English or American Sign Language to present directions for~~
20 ~~administration.~~

21 ~~(c) Eligible pupils with disabilities who have an IEP and pupils with a Section 504~~
22 ~~Plan shall be permitted the following presentation, response, or setting~~
23 ~~accommodations on the CSTs, the CMA, and the Standards-based Tests in Spanish, if~~
24 ~~specified in the eligible pupil's IEP or Section 504 Plan:~~

25 ~~(1) large print versions.~~

26 ~~(2) test items enlarged if the font size is larger than that used on large print versions~~
27 ~~is required.~~

28 ~~(3) Braille transcriptions provided by the test contractor.~~

29 ~~(4) audio or oral presentation of the mathematics, science, or history-social science~~
30 ~~tests.~~

31 ~~(5) Manually Coded English or American Sign Language to present test questions~~
32 ~~on the mathematics, science, or history-social science tests.~~

1 ~~(6) for grades 4 to 11 responses marked in test booklet and transferred to the~~
2 ~~answer document by a school, school district, or nonpublic school employee who has~~
3 ~~signed the STAR Test Security Affidavit.~~

4 ~~(7) responses dictated orally, in Manually Coded English or American Sign~~
5 ~~Language to a scribe for selected response items (e.g., multiple choice test questions).~~

6 ~~(8) responses dictated to a scribe, audio recorder, or speech-to-text converter on~~
7 ~~the writing portion of the English language arts tests, and the pupil indicates all spelling~~
8 ~~and language conventions.~~

9 ~~(9) use of word processing software with spell and grammar check tools turned off~~
10 ~~on the writing portion of the English language arts tests.~~

11 ~~(10) use of an assistive device that does not interfere with the independent work of~~
12 ~~the student on the multiple choice or writing portion of the test.~~

13 ~~(11) supervised breaks within a section of the test.~~

14 ~~(12) administration of the test at the most beneficial time of day to the pupil.~~

15 ~~(13) administration of any test or test part to be given in a single sitting over more~~
16 ~~than one day except for the writing portion of the English language arts tests.~~

17 ~~(14) test administered by a test examiner to a pupil at home or in the hospital.~~

18 ~~(15) audio or oral presentation of any prompts or passages present in the STAR~~
19 ~~writing portion of the English language arts tests.~~

20 ~~(16) Manually Coded English or American Sign Language to present any prompts or~~
21 ~~passages present in the STAR writing portion of the English language arts tests.~~

22 ~~(d) In addition to the accommodations set forth in section 853.5(c), a pupil who is~~
23 ~~eligible to take the CMA as defined in section 850(f), shall be permitted the following~~
24 ~~presentation, response, or setting accommodations on the CMA if specified in the~~
25 ~~eligible pupil's IEP:~~

26 ~~(1) audio or oral presentation of test questions and answer options on the multiple-~~
27 ~~choice portion of the English language arts tests.~~

28 ~~(2) Manually Coded English or American Sign Language to present test questions~~
29 ~~on the multiple choice portion of the English language arts tests.~~

30 ~~(3) use of a calculator on the mathematics test in grade 5.~~

31 ~~(4) use of manipulatives on the mathematics and science tests.~~

32 ~~(e) Eligible pupils with disabilities shall be permitted the following modifications on~~

1 the CSTs and the Standards-based Tests in Spanish if specified in the eligible pupil's
2 IEP or Section 504 Plan:

3 ~~(1) calculators, arithmetic tables, and formulas or mathematics manipulatives not
4 provided in the test materials on the mathematics or science tests.~~

5 ~~(2) audio or oral presentation of the multiple choice portion of the English language
6 arts tests.~~

7 ~~(3) Manually Coded English or American Sign Language to present test questions
8 on the multiple choice portion of the English language arts tests.~~

9 ~~(4) spellcheckers, grammar checkers, or word processing software programs that
10 check or correct spelling and/or grammar on the writing portion of the English language
11 arts tests.~~

12 ~~(5) mechanical or electronic devices or other assistive devices that are not used
13 solely to record the pupil's responses, including, but not limited to, transcribers, scribes,
14 voice recognition or voice to text software, and that identify a potential error in the
15 pupil's response or that correct spelling, grammar or conventions on the writing portion
16 of the English language arts tests.~~

17 ~~(6) responses dictated orally, in Manually Coded English or American Sign
18 Language to provide an essay response to a scribe and the scribe provides spelling,
19 grammar, and language conventions.~~

20 ~~(7) dictionary.~~

21 ~~(f) If the school district, pupil's IEP team or Section 504 Plan proposes a variation
22 for use on the standards-based achievement tests or the primary language test, if any,
23 that has not been listed in this section, the school district may submit to the CDE for
24 review of the proposed variation.~~

25 ~~(g) Identified English learner pupils shall be permitted the following testing variations
26 if regularly used in the classroom or for assessment:~~

27 ~~(1) Tested in a separate room with other English learners provided that an
28 employee of the school, school district, or nonpublic school, who has signed the Test
29 Security Affidavit, directly supervises the pupil.~~

30 ~~(2) Additional supervised breaks following each section within a test part provided
31 that the test section is completed within a testing day. A test section is identified by a
32 "STOP" at the end of it.~~

1 ~~(3) The test directions printed in the test administration manual may be translated~~
2 ~~into an English learner's primary language. English learners shall have the opportunity~~
3 ~~to ask clarifying questions about any test directions presented orally in their primary~~
4 ~~language.~~

5 ~~(4) Access to translation glossaries/word lists for the standards-based achievement~~
6 ~~tests in mathematics, science, and history-social science (English to primary language).~~
7 ~~The translation glossaries/word lists are to include only the English word or phrase with~~
8 ~~the corresponding primary language word or phrase. The glossaries or word lists shall~~
9 ~~include no definitions, parts of speech, or formulas.~~

10 (a) All pupils (including English learners and students with disabilities) shall be
11 permitted the following embedded universal tools on the CAASPP tests for English
12 language arts (including the components of reading, writing, and listening) and
13 mathematics as specified below:

14 (1) breaks for reading, writing, listening, and mathematics;

15 (2) calculator for specific mathematic items;

16 (3) digital notepad for reading, writing, listening, and mathematics;

17 (4) English dictionary for writing (ELA-performance task – pupil long essay(s) not
18 short paragraph responses);

19 (5) English glossary for reading, writing, listening, and mathematics;

20 (6) expandable passages for reading, writing, listening, and mathematics;

21 (7) global notes for writing (ELA-performance task – pupils long essay(s) not short
22 paragraph responses);

23 (8) highlighter for reading, writing, listening, and mathematics;

24 (9) keyboard navigation for reading, writing, listening, and mathematics;

25 (10) mark for review for reading, writing, listening, and mathematics;

26 (11) math tools for specific mathematics items;

27 (12) spell check for specific writing items;

28 (13) strikethrough for reading, writing, listening, and mathematics;

29 (14) writing tools for specific pupil generated responses; or

30 (15) zoom for reading, writing, listening, and mathematics.

31 (b) All pupils (including English learners and students with disabilities) shall be
32 permitted the following non-embedded universal tools on the CAASPP tests for English

1 language arts (including the components of reading, writing, and listening),

2 mathematics, science, and primary language as specified below:

3 (1) breaks;

4 (2) English dictionary for ELA performance task – pupil long essay(s) not short
5 paragraph responses;

6 (3) scratch paper;

7 (4) thesaurus for ELA performance task – pupil long essay(s) not short paragraph
8 responses;

9 (5) color overlay for science and primary language test;

10 (6) math tools (i.e., ruler, protractor) for specific mathematics items;

11 (7) simplify or clarify test administration directions (does not apply to test questions);

12 or

13 (8) pupil marks in paper-pencil test booklet (other than responses including
14 highlighting).

15 (c) All pupils (including English learners and students with disabilities) shall be
16 permitted the following embedded designated supports, unless otherwise designated,
17 when determined for use by an educator or group of educators, on the CAASPP tests
18 for English language arts (including the components of reading, writing, and listening)
19 and mathematics as specified below:

20 (1) color contrast for reading, writing, listening, and mathematics;

21 (2) masking for reading, writing, listening, and mathematics;

22 (3) text-to-speech for writing, listening, mathematics and reading items not
23 passages;

24 (4) translated test directions for mathematics;

25 (5) translations (glossary) for mathematics;

26 (6) translations (stacked) for mathematics; or

27 (7) turn off any universal tool for reading, writing, listening, and mathematics.

28 (d) All pupils (including English learners and students with disabilities) shall be
29 permitted the following non-embedded designated supports when determined for use
30 by an educator or a group of educators, on the CAASPP tests for English language arts
31 (including the components of reading, writing, and listening), mathematics, science,
32 and primary language as specified below:

- 1 (1) translated directions for mathematics, science and primary language test;
- 2 (2) bilingual dictionary for writing;
- 3 (3) access to translation glossaries/word lists for science and primary language test;
- 4 (4) color contrast for reading, writing, listening, and mathematics;
- 5 (5) color overlay for reading, writing, listening, and mathematics;
- 6 (6) magnification;
- 7 (7) read aloud for writing, listening, mathematics and reading items not reading

8 passages;

- 9 (8) scribe for reading, listening, and mathematics;
- 10 (9) separate setting for reading, writing, listening, and mathematics;
- 11 (10) translations (glossary) for mathematics, science and primary language test;
- 12 (11) noise buffers (e.g., individual carrel or study enclosure, or noise-cancelling
- 13 headphones); or
- 14 (12) special lighting or acoustics, assistive devices (specific devices may require
- 15 CAASPP contractor certification), and/or special or adaptive furniture.

16 (e) The following embedded accommodations shall be provided on the CAASPP

17 tests for English language arts (including the components of reading, writing, and

18 listening) and mathematics when specified in a pupil's IEP or Section 504 Plan:

- 19 (1) American Sign Language for listening and mathematics;
- 20 (2) braille for reading, writing, listening, and mathematics;
- 21 (3) closed captioning for listening; or
- 22 (4) text-to-speech for reading passages for grades 6 through 8, inclusive, and 11.

23 (f) The following non-embedded accommodations shall be provided on the CAASPP

24 tests for English language arts (including the components of reading, writing, and

25 listening), mathematics, science, and primary language when specified in a pupil's IEP

26 or Section 504 Plan:

- 27 (1) read aloud for primary language test;
- 28 (2) American Sign Language for listening, mathematics, and science;
- 29 (3) braille for paper-pencil tests;
- 30 (4) abacus for mathematics and science;
- 31 (5) alternate response options for reading, writing, listening, and mathematics;
- 32 (6) calculator for specific mathematics items;

1 (7) multiplication table for mathematics beginning in grade 4;
2 (8) print on demand for reading, writing, listening, and mathematics;.
3 (9) read aloud for reading passages in grades 6 through 8, inclusive, and grade 11;
4 blind pupils in grades 3 through 8, inclusive, and grade 11 who do not yet have
5 adequate braille skills;
6 (10) scribe for writing, science, and primary language test;
7 (11) speech-to-text;
8 (12) large-print version of a paper-pencil test;
9 (13) separate setting for science and primary language test; or
10 (14) administration of the test at the most beneficial time of day to the pupil.
11 (g) An LEA may submit a request in writing to the CDE, prior to the administration of
12 a CAASPP test for approval for the use of an accessibility support. The LEA CAASPP
13 coordinator or the CAASPP test site coordinator shall make the request on behalf of the
14 LEA ten business days prior to the pupil's first day of CAASPP testing. The CDE shall
15 respond to the request within four business days from the date of receipt of the written
16 request. Written requests must include:
17 (1) LEA name and CDS code;
18 (2) school/test site and school code;
19 (3) school/test site address, city, and zip code;
20 (4) LEA CAASPP coordinator name, phone number, and email address;
21 (5) CAASPP test site coordinator name, phone number, and email address;
22 (6) school/test site testing window dates;
23 (7) SSID(s) for the pupil(s) for which the accessibility support is being requested;
24 (8) CAASPP test and grade; and
25 (9) the accessibility support being requested.
26 (h) Accessibility supports that change the construct being measured by a CAASPP
27 test invalidate the test score and results in a score that cannot be compared with other
28 CAASPP results. Scores for pupils' tests with accessibility supports that change the
29 construct being measured by a CAASPP test will not be counted as participating in
30 statewide testing (and impacts the accountability participation rate indicator) but pupils
31 will still receive individual score reports with their actual score. The following non-
32 embedded accessibility supports have been determined to change the construct being

1 measured on the CAASPP tests for English language arts (including the components
2 for reading, writing, and listening), mathematics, science, and primary language and
3 are specified below, but not limited to:

4 (1) English dictionary for reading, listening, mathematics, science, and primary
5 language;

6 (2) thesaurus for reading, listening, mathematics, science and primary language;

7 (3) translated test directions for reading, writing, or listening;

8 (4) bilingual dictionary for reading, listening, mathematics, science and primary
9 language;

10 (5) translations (glossary) for reading, writing, and listening;

11 (6) read aloud for reading passages in grades 3, 4, and 5;

12 (7) American Sign Language for reading passages in grades 3, 4, and 5 and
13 reading passages for primary language;

14 (8) calculator for non-specified mathematics items or science;

15 (9) math tools (i.e., ruler, protractor) for non-specified mathematics items; and

16 (10) multiplication table for mathematics in grade 3.

17 NOTE: Authority cited: Sections 42004, 33031, and 60605 and 60640, Education Code.
18 Reference: Sections 60605 and 60640, Education Code; 34 C.F.R. Sections 200.1 and
19 300.160(b).

20
21 **§ 854. Advance Preparation for the Tests. [REPEALED]**

22 ~~(a) Except for materials specifically provided by the CDE or its agents, no program~~
23 ~~or materials shall be used by any school district or employee of a school district that are~~
24 ~~specifically formulated or intended to prepare pupils for the standards-based~~
25 ~~achievement tests, or the primary language test, if any. No administration or use of an~~
26 ~~alternate or parallel form shall be used as practice for any pupils.~~

27 ~~(b) Practice tests provided by the contractor as part of the standards-based~~
28 ~~achievement tests and the primary language test, if any, for the limited purpose of~~
29 ~~familiarizing pupils with the use of scannable test booklets or answer sheets and the~~
30 ~~format of test items are not subject to the prohibition of subdivision (a).~~

31 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
32 Sections 60605, 60611 and 60640, Education Code.

1 **§ 855. Testing Period.**

2 ~~(a)(1) The standards-based achievement tests and the primary language test, if~~
3 ~~any, except as specified below shall be administered to each pupil during a testing~~
4 ~~window of 25 instructional days that includes 12 instructional days before and after~~
5 ~~completion of 85% of the school's, track's, or program's instructional days. Testing for~~
6 ~~all pupils, including makeup testing, is to be completed within this 25 instructional day~~
7 ~~window.~~

8 ~~(2) Each school district shall provide for at least two makeup days of testing for~~
9 ~~pupils who were absent during the period in which any school administered the~~
10 ~~standards-based achievement tests and the primary language test, if any. All makeup~~
11 ~~testing shall occur within five instructional days of the last date that the school district~~
12 ~~administered the tests but not later than the end of the 25 instructional day period~~
13 ~~established in subdivision (a)(1).~~

14 ~~(3) A school district with schools operating on a multitrack year round schedule may~~
15 ~~submit a request to the contractor to begin testing no earlier than the fourth Monday in~~
16 ~~February.~~

17 ~~(b) The writing portion of the English language arts tests shall be administered to~~
18 ~~each eligible pupil only on the day(s) specified annually by the State Superintendent of~~
19 ~~Public Instruction. An eligible pupil for purposes of the writing portion is a pupil taking~~
20 ~~the standards-based achievement tests for a grade at which the writing portion will be~~
21 ~~administered.~~

22 (a)(1) For the 2013-14 school year, each LEA shall administer the Smarter
23 Balanced field tests for ELA and mathematics in the manner prescribed by the CDE
24 pursuant to the authority granted by Education Code section 60640(f)(2).

25 (2) For the 2013-14 school year, the CST and CMA for science in grades 5, 8, and
26 10, and CAPA for ELA and mathematics in grades 2 through 11 and science in grades
27 5, 8, and 10, shall be administered to each pupil during a testing window of 25
28 instructional days that includes 12 instructional days before and after completion of 85
29 percent of the school's, track's, or program's instructional days. Testing for all pupils,
30 including makeup testing, is to be completed within this 25 instructional day window. If
31 an LEA elects to administer the primary language test, it shall do so during this same
32 testing window.

1 (b) Beginning in the 2014-15 school year, the CAASPP tests pursuant to Education
2 Code sections 60640(b) shall be administered to each pupil during the following testing
3 windows:

4 (1) Unless otherwise stated in these regulations, the testing window shall not begin
5 until at least 66 percent of a school's annual instructional days have been completed,
6 and testing may continue up to and including the last day of instruction for the regular
7 school calendar. For a 180-day school year, 66 percent of a school year occurs after
8 the 120th instructional day. This allows for a 12-week window for testing.

9 (2) For the grade 11 Smarter Balanced assessments and CAASPP tests
10 administered after January 2015, the testing window shall not begin until at least 80
11 percent of a school's annual instructional days have been completed, and testing may
12 continue up to and including the last day of instruction for the regular school calendar.
13 For a 180-day school year, 80 percent of a school year occurs after the 144th
14 instructional day. This allows for a 7-week window for testing.

15 (3) The CST and CMA for science in grades 5, 8, and 10, and CAPA for ELA and
16 mathematics in grades 2 through 11 and science in grades 5, 8, and 10 shall be
17 administered to each pupil during a testing window of 25 instructional days that
18 includes 12 instructional days before and after completion of 85 percent of the school's,
19 track's, or program's instructional days unless the SBE makes a determination by the
20 close of its September 2014 regular meeting that these tests shall be administered
21 during the window defined in subdivision (b)(1) above. If an LEA elects to administer
22 the primary language test, it shall do so during this same window as these tests.

23 (c) The CDE, with the approval of the SBE President or designee, may require
24 LEAs to more fully utilize the testing window and may also limit the usage of the interim
25 assessments in instances where the CDE determines that it is necessary to do so to
26 ensure that the capacity of the California K-12 High Speed Network (K12HSN) is not
27 exceeded.

28 NOTE: Authority cited: Sections 33031, and 60605 and 60640, Education Code.

29 Reference: Sections 60605, 60640, 60641 and 60642.5, Education Code.

30
31 **§ 857. LEA CAASPP District STAR Coordinator.**

32 (a) On or before September 30 of each school year, the superintendent of each

1 school district shall designate from among the employees of the school district a district
2 STAR coordinator. The district STAR coordinator, or the school district superintendent
3 or his or her designee, shall be available through August 15 of the following school year
4 to complete school district testing. The school district shall notify the contractor(s) of the
5 identity and contact information, including electronic mail address, if available in the
6 school district, for the district STAR coordinator and for the superintendent and his or
7 her designee, if any. The district STAR coordinator shall serve as the school district
8 representative and the liaison between the school district and the contractor(s) and the
9 school district and the CDE for all matters related to the STAR Program. A school
10 district superintendent may designate a separate STAR program district coordinator for
11 any primary language test.

12 (b) The district STAR coordinator's responsibilities shall include, but not be limited
13 to, all of the following duties:

14 (1) Responding to correspondence and inquiries from the contractor and from the
15 CDE in a timely manner and as provided in the contractor's instructions and these
16 regulations.

17 (2) Determining school district and individual school test and test material needs in
18 conjunction with schools within the district and the contractor, using current enrollment
19 data and communicating school district test material needs to the contractor on or
20 before December 1.

21 (3) Ensuring delivery of tests and test materials to the test sites no more than ten or
22 fewer than five working days before the first day of testing designated by the district.

23 (4) Coordinating the testing and makeup testing days for the school district and for
24 those pupils of the district who are enrolled in nonpublic schools within any required
25 time periods with the school test site coordinators. Overseeing the collection of all pupil
26 data as required to comply with section 861.

27 (5) Maintaining security over the standards-based achievement tests, and the
28 primary language test, if any, and test data using the procedure set forth in section 859.
29 The district STAR coordinator shall sign the security agreement set forth in section 859
30 and submit it to the contractor prior to receipt of the test materials from the contractor.

31 (6) Overseeing the administration of the standards-based achievement tests, and
32 the primary language test, if any, to eligible pupils.

1 ~~(7) Overseeing the collection and return of all test materials and test data to the~~
2 ~~contractor within any required time periods.~~

3 ~~(8) Assisting the contractor and the CDE in the resolution of any discrepancies in~~
4 ~~the test information and materials, including but not limited to, pre-identification files~~
5 ~~and all pupil level data required to comply with sections 861 and 862.~~

6 ~~(9) Immediately notifying the CDE of any security breaches or testing irregularities~~
7 ~~in the district before, during, or after the test administration.~~

8 ~~(10) Ensuring that an answer document is submitted for scoring for each eligible~~
9 ~~pupil enrolled in the district on the first day of testing.~~

10 ~~(11) After receiving summary reports and files from the contractor, the district STAR~~
11 ~~coordinator shall review the files and reports for completeness and accuracy, and shall~~
12 ~~notify the contractor and the CDE of any errors, discrepancies, or incomplete~~
13 ~~information.~~

14 ~~(12) Training test site coordinators to oversee the test administration at each school.~~

15 (a) On or before September 30 of each school year, the superintendent of each LEA
16 shall:

17 (1) designate from among the employees of the LEA an LEA CAASPP coordinator;

18 (2) identify school with pupils unable to access the CBT version of a CAASPP
19 test(s) in accordance with Education Code section 60640(e); and

20 (3) report to the CAASPP contractor(s) the number of pupils enrolled in the school
21 identified in subdivision (2) that are unable to access the CBT version of a CAASPP
22 test.

23 (b) The LEA CAASPP coordinator, or the LEA superintendent, shall be available
24 through September 29 of the following school year to complete the LEA testing
25 activities. The LEA shall notify the contractor(s) of the identity and contact information
26 for the LEA CAASPP coordinator and the superintendent. The LEA CAASPP
27 coordinator shall serve as the LEA representative and the liaison between the LEA and
28 the contractor(s) and the LEA and the CDE for all matters related to the CAASPP
29 assessment system.

30 (c) The LEA CAASPP coordinator's responsibilities shall be those defined in the
31 contractor's(s') or consortium's administrative manuals and documentation, and shall
32 include, but are not limited to, overseeing the LEA's preparation, registration,

1 coordination, training, assessment technology, administration, security, and reporting of
2 the CAASPP tests.

3 (d) The LEA CAASPP coordinator shall ensure current and ongoing compliance
4 with the minimum technology specifications as identified by the CAASPP contractor(s)
5 or consortium.

6 (e) The LEA CAASPP coordinator shall ensure the training of all CAASPP test site
7 coordinators who will oversee the test administration at each school or test site.

8 NOTE: Authority cited: Sections 33031, and 60605 and 60640, Education Code.

9 Reference: Sections 47079.5, 52052, 60604, 60605, 60610, 60630, and 60640 and
10 60643, Education Code.

11
12 **§ 858. CAASPP STAR Test Site Coordinator.**

13 ~~(a) At each test site, including but not limited to, each elementary, middle, and high~~
14 ~~school or other grade-span designated school, each charter school, each court school,~~
15 ~~each school or program operated by a school district, and all other public programs~~
16 ~~serving pupils in any of the grades 2 to 11, inclusive, the superintendent of the school~~
17 ~~district or the district STAR coordinator shall designate a STAR test site coordinator~~
18 ~~from among the employees of the school district. The STAR test site coordinator, or the~~
19 ~~site principal or his or her designee, shall be available to the district STAR coordinator~~
20 ~~by telephone through August 15 of the following school year for purposes of resolving~~
21 ~~discrepancies or inconsistencies in materials or errors in reports.~~

22 ~~(b) The STAR test site coordinator's responsibilities shall include, but are not limited to,~~
23 ~~all of the following duties:~~

24 ~~(1) Determining site test and test material needs and communicating the site needs~~
25 ~~to the district STAR coordinator.~~

26 ~~(2) Overseeing the acquisition and distribution of tests and test materials at the test~~
27 ~~site, including but not limited to, distributing test materials to test examiners on each~~
28 ~~day of testing in accordance with the contractor's directions.~~

29 ~~(3) Cooperating with the district STAR coordinator to provide the testing and~~
30 ~~makeup testing days for the site within any required time periods.~~

31 ~~(4) Maintaining security over the standards-based achievement tests, the primary~~
32 ~~language test, if any, and test data. The STAR test site coordinator shall sign the~~

1 security agreement set forth in section 859 and submit it to the district STAR
2 coordinator prior to the receipt of the test materials.

3 ~~(5) Arranging for and overseeing the administration of the standards-based~~
4 ~~achievement tests and the primary language test, if any, to eligible pupils at the test~~
5 ~~site.~~

6 ~~(6) Overseeing the collection and return of all testing materials to the district STAR~~
7 ~~coordinator.~~

8 ~~(7) Assisting the district STAR coordinator, the contractor, and the CDE in the~~
9 ~~resolution of any discrepancies in the test information and materials.~~

10 ~~(8) Overseeing the collection of all pupil level and other data required to comply with~~
11 ~~sections 861 and 862.~~

12 ~~(9) Ensuring that an answer document is submitted for scoring for each eligible pupil~~
13 ~~enrolled in the school on the first day of testing for the standards-based achievement~~
14 ~~tests and the primary language test, if any.~~

15 ~~(10) Ensuring that for each pupil tested only one scannable answer document is~~
16 ~~submitted for scoring, except that for each pupil tested at grades for which the~~
17 ~~contractor has designated the use of more than one answer document. An answer~~
18 ~~document for the STAR writing portion of the English language arts tests administered~~
19 ~~pursuant to section 855(b) shall be submitted in addition to the answer document for~~
20 ~~the multiple choice items.~~

21 ~~(11) Immediately notifying the district STAR coordinator of any security breaches or~~
22 ~~testing irregularities that occur in the administration of the standards-based~~
23 ~~achievement tests or the primary language test, if any, that violate the terms of the~~
24 ~~STAR Security Affidavit in section 859.~~

25 ~~(12) Training test examiners, translators, proctors, and scribes for administering the~~
26 ~~tests.~~

27 (a) At each test site, including, but not limited to, each elementary, middle, and high
28 school or other grade-span designated school, each charter school, each court-school,
29 each school or program operated by an LEA, and all other public programs serving
30 pupils, inclusive, the superintendent of the LEA or the LEA CAASPP coordinator shall
31 designate a CAASPP test site coordinator from among the employees of the LEA. The
32 CAASPP test site coordinator, or the site principal or his or her designee, shall be

1 available to the LEA CAASPP coordinator by telephone through September 29 of the
2 following school year for purposes of resolving discrepancies or inconsistencies in
3 materials or errors in reports.

4 (b) The CAASPP test site coordinator's responsibilities shall be those defined in the
5 contractor's(s') and CDE's administrative manuals and documentation, and shall
6 include, but are not limited to, overseeing the test site's preparation, coordination,
7 training, registration, administration, security, and reporting of the CAASPP tests.

8 (c) The CAASPP test site coordinator shall be responsible for the training of test
9 examiners, translators, proctors, and scribes.

10 NOTE: Authority cited: Sections 33031, and 60605 and 60640, Education Code.

11 Reference: Sections 60602.5, 60604, 60605, 60610, 60630 and 60640, Education
12 Code.

13
14 **§ 859. CAASPP STAR Test Security Agreement and Test Security Affidavit.**

15 ~~(a) All STAR district and test site coordinators (coordinators) shall sign the STAR~~
16 ~~Test Security Agreement set forth in subdivision (b) before receiving any of the test~~
17 ~~materials or tests administered pursuant to Education Code section 60640.~~

18 ~~(b) The STAR Test Security Agreement shall be as follows:~~

19 **STAR TEST SECURITY AGREEMENT**

20 ~~I acknowledge by my signature on this form that standards based achievement~~
21 ~~tests, including the CSTs, the California Alternate Performance Assessment, the CMA,~~
22 ~~and the Standards based Tests in Spanish, are secure tests and agree to each of the~~
23 ~~following conditions to ensure test security:~~

24 ~~(1) I will take all necessary precautions to safeguard all tests and test materials by~~
25 ~~limiting access to persons within the school district with a responsible, professional~~
26 ~~interest in the tests' security.~~

27 ~~(2) I will keep on file the names of all persons having access to tests and test~~
28 ~~materials. All persons having access to the materials shall be required to sign the~~
29 ~~STAR Test Security Affidavit that will be kept on file in the school district office.~~

30 ~~(3) I will keep the CSTs, the California Alternate Performance Assessment, the~~
31 ~~CMA, and the Standards based Tests in Spanish and their test materials in a secure,~~
32 ~~locked location and will deliver tests and test materials only to those persons who have~~

1 ~~executed STAR Test Security Affidavits on actual testing dates as provided in section~~
2 ~~859(d) with the exception of subdivision (4) below.~~

3 ~~(4) I will keep the California Alternate Performance Assessment materials in a~~
4 ~~secure locked location when not being used by examiners to prepare for and to~~
5 ~~administer the assessment. I will adhere to the contractor's directions for the~~
6 ~~distribution of the assessment materials to examiners.~~

7 ~~(5) I will not copy any part of the tests or test materials without written permission~~
8 ~~from the CDE to do so.~~

9 ~~(6) I will not disclose, or allow to be disclosed, the contents of the tests or the test~~
10 ~~instruments. I will not review any test questions, passages, or other test items with any~~
11 ~~other person before, during, or after the test administration.~~

12 ~~(7) I will not develop scoring keys, review any pupil responses, or prepare answer~~
13 ~~documents except as required by the test administration manual(s) prepared by the~~
14 ~~testing contractor.~~

15 ~~By signing my name to this document, I am assuring that I will abide by the above~~
16 ~~conditions.~~

17 Signed: _____
18 Print Name: _____
19 Title: _____
20 School District: _____
21 Date: _____

22 ~~(e) All test examiners, proctors, translators, scribes, and any other persons having~~
23 ~~access to any of the test materials or tests administered pursuant to Education Code~~
24 ~~section 60640 shall acknowledge the limited purpose of their access to the tests by~~
25 ~~signing the STAR Test Security Affidavit set forth in subdivision (d).~~

26 ~~(d) The STAR Test Security Affidavit shall be as follows:~~

27 **STAR TEST SECURITY AFFIDAVIT**

28 I acknowledge that I will have access to one or more of the standards-based
29 achievement tests, including the CSTs, the California Alternative Performance
30 Assessment, the CMA, and the Standards-based Tests in Spanish, and test materials,
31 for the purpose of administering the test(s). I understand that these materials are highly
32 secure, and it is my professional responsibility to protect their security as follows:

1 ~~(1) I will not divulge the contents of the tests to any other person through verbal,~~
2 ~~written, or any other means of communication.~~

3 ~~(2) I will not copy any part of the test(s) or test materials.~~

4 ~~(3) I will keep the test(s) secure until the test(s) are actually distributed to pupils.~~

5 ~~(4) I will limit access to the test(s) and test materials by test examinees to the actual~~
6 ~~testing periods when they are taking the test(s).~~

7 ~~(5) I will collect and account for all materials following each period of testing and will~~
8 ~~not permit pupils to remove test materials from the room where testing takes place.~~

9 ~~(6) I will not review any test questions, passages, or other test items independently~~
10 ~~or with pupils or any other person before, during, or following testing.~~

11 ~~(7) I will not develop scoring keys, review any pupil responses, or prepare answer~~
12 ~~documents except as required by the test administration manual(s) prepared by the~~
13 ~~testing contractor.~~

14 ~~(8) I will return all test materials for the CSTs, the CMA, and the Standards based~~
15 ~~Tests in Spanish to the designated STAR test site coordinator daily upon completion of~~
16 ~~testing.~~

17 ~~(9) I will keep all the California Alternate Performance Assessment materials in~~
18 ~~secure locked storage except when I am administering or observing the administration~~
19 ~~of the assessment to pupils.~~

20 ~~(10) I will administer the test(s) in accordance with the directions for test~~
21 ~~administration and test administration manuals prepared by the testing contractor.~~

22 ~~(11) I have been trained to administer the tests.~~

23 Signed: _____

24 Print Name: _____

25 Position: _____

26 School: _____

27 School District: _____

28 Date: _____

29 ~~(e) To maintain the security of the program, all district STAR coordinators and test~~
30 ~~site coordinators are responsible for inventory control and shall use appropriate~~
31 ~~inventory control forms to monitor and track test inventory.~~

32 (a) All LEA CAASPP coordinators and CAASPP test site coordinators shall sign the

1 CAASPP Test Security Agreement, set forth in subdivision (b), before receiving any of
2 the test materials or tests administered pursuant to Education Code section 60640.

3 (b) The CAASPP Test Security Agreement shall be as follows:

4 CAASPP TEST SECURITY AGREEMENT

5 I acknowledge by my signature on this form that the California Assessment of
6 Student Performance and Progress (CAASPP) tests pursuant to Education Code
7 section 60640 are secure tests and agree to each of the following conditions to ensure
8 test security:

9 (1) I will take all necessary precautions to safeguard all tests and test materials,
10 whether paper-based or computer-based assessments, by limiting access to only
11 persons within the LEA who are responsible for, and have professional interest in, the
12 tests' security.

13 (2) I will keep on file the names of all persons who have been trained in the
14 administration of CAASPP tests and all persons with access to tests and test materials,
15 whether paper-based or computer-based assessments. I have and shall have all other
16 persons having access to the tests and test materials read and sign the CAASPP Test
17 Security Affidavit that will be kept on file in the LEA office.

18 (3) Except during the administration of the tests, I will keep the paper-pencil tests,
19 and their test materials in a securely locked room that can be entered only with a key or
20 keycard and, when possible, in a locked storage cabinet within that room.

21 (4) I will securely destroy all print-on-demand papers, scratch paper, and other
22 documents as prescribed within the contractor's(s') or consortium's administrative
23 manuals and documentation.

24 (5) With the exception of subdivision (6) below, I will deliver tests and test materials
25 or allow electronic access thereto, only on actual testing dates and only to those
26 persons who have executed CAASPP Test Security Affidavits.

27 (6) For the CAPA test, I will keep all tests and testing materials in the manner set
28 forth above in subdivisions (3) and (5) except during actual testing administration or
29 when being used by test examiners to prepare for and to administer the assessment. I
30 will adhere to the contractor's directions for the distribution of the assessment materials
31 to test examiners.

32 By signing my name to this document, I am assuring that I have completely read

1 and will abide by the above conditions.

2 Signed: _____

3 Print Name: _____

4 Title: _____

5 LEA: _____

6 Date: _____

7 (c) All test examiners, proctors, translators, scribes, and any other persons having
8 access to any of the tests and test materials, assessment technology, or tests
9 administered pursuant to Education Code section 60640, shall acknowledge the limited
10 purpose of their access to the tests by signing the CAASPP Test Security Affidavit set
11 forth in subdivision (d).

12 (d) The CAASPP Test Security Affidavit shall be as follows:

13 CAASPP TEST SECURITY AFFIDAVIT

14 I acknowledge that I will have access to one or more of the California Assessment
15 of Student Performance and Progress (CAASPP) tests pursuant to Education Code
16 section 60640, for the purpose of administering the test(s). I understand that these
17 materials are highly secure and may be under copyright restrictions and it is my
18 professional responsibility to protect their security as follows:

19 (1) I will not divulge the contents of the tests and test materials to any other person
20 through verbal, written, or any other means of communication. This includes, but is not
21 limited to, sharing or posting test content via the Internet or by email without the
22 express written permission of the CDE.

23 (2) I will not copy or take a photo of any part of the test(s) or test materials. This
24 includes, but is not limited to, photocopying (including enlarging) and recording without
25 prior expressed written permission of the CDE.

26 (3) Except during the actual testing administrations or as otherwise provided for by
27 law, I will keep the test(s) and test materials secure until the test(s) are actually
28 distributed to pupils when tests and testing materials are checked in and out by the
29 CAASPP test site coordinator. Keeping materials secure means that testing materials
30 are required to be kept in a securely locked room that can be entered only with a key or
31 keycard and, when possible, in a locked storage cabinet within that room.

32 (4) I will limit access to the test(s) and test materials by test examinees to the actual

1 testing periods when they are taking the test(s). I understand that only pupils who are
2 testing and LEA staff participating in the test administration who have signed a test
3 security affidavit may be in the room when and where a test is being administered.

4 (A) I will keep all assigned, generated, or created usernames, passwords and logins
5 secure and not divulge pupil personal information to anyone.

6 (B) I will not allow anyone other than the assigned pupils to log into their assigned
7 test. I may assist a pupil with using their information to log into their assigned test.

8 (C) I will not use a pupil's information to log in as a pupil or allow a pupil to log in
9 using another pupil's information.

10 (D) I will not include, nor will I display, a pupil's name and Statewide Student
11 Identifier (SSID) together in any written or electronic format.

12 (5) I will not allow pupils to access electronic devices that allow them to access
13 outside information, communicate with other pupils, or photograph or copy test content.
14 This includes, but is not limited to, cell phones, personal digital assistants (PDAs),
15 tablets, laptops, cameras, and electronic translation devices.

16 (6) I will collect and account for all materials following each testing session and will
17 not permit pupils to remove any test materials by any means from the room(s) where
18 testing takes place. After each testing session, I will count all test booklets and answer
19 documents before allowing any pupil to leave the testing room and/or ensure that all
20 pupils have properly logged off the computer system.

21 (7) I will not review any achievement test questions, passages, performance tasks,
22 or other test items independently or with pupils or any other person at any time,
23 including before, during, or following testing. I understand that this includes any
24 discussion between LEA staff for training or professional development whether one-on-
25 one or in a staff meeting.

26 (8) I will not, for any achievement test, develop scoring keys, review any pupil
27 responses, or prepare answer documents. I understand that this includes coaching
28 pupils or providing any other type of assistance to pupils that may affect their
29 responses. This includes, but is not limited to, both verbal cues (e.g., interpreting,
30 explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice
31 inflection, pointing, or nodding head) to the correct answer (anything that may indicate
32 correct or incorrect answers), or completing or changing pupils' answers.

1 (9) I will return all test materials to the designated CAASPP test site coordinator
2 each day upon completion of testing. I understand that all test booklets, answer
3 documents, and scratch paper shall be returned to the CAASPP test site coordinator
4 each day immediately after testing has been completed for storage or confidential
5 destruction.

6 (10) If I will administer and/or observe the administration of CAPA, which means
7 that I am a certificated or a licensed LEA employee and a trained CAPA Examiner, I will
8 keep all the CAPA materials in a securely locked room, and, when possible, in a locked
9 storage cabinet within that room except when I am preparing for the administration,
10 administering or observing the administration of the assessment to pupils.

11 (11) I will actively supervise pupils throughout the testing session to make sure that
12 they are working on the correct test section or part, marking their answers in the correct
13 section of their answer documents, following instructions, and are accessing only
14 authorized materials (embedded and/or non-embedded universal tools, designated
15 supports, or accommodations) needed for the test being administered.

16 (12) I will administer the test(s) in accordance with the directions for test
17 administration and test administration manuals prepared by the CAASPP testing
18 contractor(s), or any additional guidance provided by the CAASPP test contractor(s). I
19 understand that the unauthorized copying, sharing, or reusing of any test booklet, test
20 question, performance task, or answer document by any means is prohibited. This
21 includes, but is not limited to, photocopying, recording, emailing, messaging (instant,
22 text, or multimedia messaging service, or digital application), using a camera/camera
23 phone, and sharing or posting test content via the Internet without the express prior
24 written permission of the CDE.

25 (13) I have been trained to administer the tests. By signing my name to this
26 document, I am assuring that I have completely read this affidavit and will abide by the
27 above conditions.

28 Signed: _____

29 Print Name: _____

30 Position: _____

31 School: _____

32 LEA: _____

1 Date: _____

2 (e) To maintain the security of the CAASPP assessment system, all LEA CAASPP
3 coordinators and CAASPP test site coordinators shall immediately, within 24 hours,
4 notify the CDE of any security breaches or testing irregularities occurring either before,
5 during, or after the test administration(s).

6 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
7 Sections 60602.5, 60605 and 60640, Education Code.

8
9 **§ 861. School-By-School Analysis Data Elements for Test Registration and State**
10 **and Federal Reporting.**

11 ~~(a) Each school district shall provide the contractor for the standards-based~~
12 ~~achievement tests and the primary language test, excluding (6), (7), and (8), the~~
13 ~~following information for each pupil enrolled on the first day the tests are administered~~
14 ~~for purposes of the reporting required by the Academic Performance Index of the Public~~
15 ~~Schools Accountability Act (chapter 6.1, commencing with section 52050), section~~
16 ~~60630, and chapter 5 (commencing with section 60640) of the Education Code:~~

17 ~~(1) Pupil's full name.~~

18 ~~(2) Date of birth.~~

19 ~~(3) Grade level.~~

20 ~~(4) Gender.~~

21 ~~(5) English proficiency.~~

22 ~~(6) Primary language.~~

23 ~~(7) Date of English proficiency reclassification.~~

24 ~~(8) If reclassified to fluent English proficient (R-FEP) pupil scored proficient or above~~
25 ~~on the California English Language Arts Standards Test any three years since~~
26 ~~reclassification.~~

27 ~~(9) Program participation.~~

28 ~~(10) Use of accommodations or modifications.~~

29 ~~(11) Statewide Student Identifier.~~

30 ~~(12) Parent or guardian education level.~~

31 ~~(13) School and district California Basic Educational Data System (CBEDS)~~
32 ~~enrollment.~~

1 ~~(14) For English learners, date first enrolled in school in the United States and if~~
2 ~~they have been enrolled in school less than 12 cumulative months at the time of~~
3 ~~testing.~~

4 ~~(15) Documented eligibility to participate in the National School Lunch Program.~~

5 ~~(16) Race/ethnicity.~~

6 ~~(17) Primary disability code.~~

7 ~~(18) Special Education Exit Date.~~

8 ~~(19) County and District for pupils with IEPs if residence is other than where pupil~~
9 ~~attends school or receives services.~~

10 ~~(20) Special testing conditions and/or reasons for not being tested.~~

11 ~~(21) Pupil enrolled in NPS by district based on IEP.~~

12 ~~(22) NPS school code.~~

13 ~~(b) In addition to the demographic data required to be reported in section 861(a),~~
14 ~~school districts may report if an eligible pupil is not tested due to a significant medical~~
15 ~~emergency.~~

16 ~~(c) The information is for the purposes of aggregate analyses only and shall be~~
17 ~~provided and collected as part of the testing materials for the standards-based~~
18 ~~achievement tests and the primary language test.~~

19 ~~(d) School districts shall provide the same information for each eligible pupil~~
20 ~~enrolled in an alternative or off campus program or for pupils placed in nonpublic~~
21 ~~schools as is provided for all other eligible pupils in grades 2 to 11, inclusive.~~

22 ~~(e) If the information required by section 861(a) is incorrect, the school district may~~
23 ~~enter into a separate agreement with the contractor to have the district's student data~~
24 ~~file corrected. The district STAR coordinator shall provide the correct information to the~~
25 ~~contractor within the contractor's timeline. Any costs for correcting the student data~~
26 ~~shall be the district's responsibility.~~

27 (a) In order to assess pupils pursuant to Education Code section 60640 and meet
28 state and federal accountability and reporting obligations, each LEA shall provide any
29 and all program and demographic pupil data requested by the CDE for inclusion in
30 California Longitudinal Pupil Achievement Data System (CALPADS).

31 (b) In addition to the demographic and program data required to be reported in
32 section 861(a), LEAs shall report to the CDE the following information:

1 (1) if an eligible pupil is not tested due to a significant medical emergency;

2 (2) if a pupil used an accommodation(s);

3 (3) if a pupil had special testing conditions and/or reasons for not being tested (e.g.,
4 parent or guardian exemption);

5 (4) if a pupil is enrolled in an NPS based on an IEP and, if so, the NPS school code;
6 and

7 (5) if a pupil in grade 2 was administered a diagnostic assessment pursuant to
8 Education Code section 60644.

9 (c) The LEA shall ensure that CALPADS data elements are up-to-date and accurate
10 prior to LEA registration and throughout the testing window. The CDE shall provide
11 LEAs reasonable notification prior to pupil demographic and program data being
12 extracted from CALPADS for purposes of test registration, individual pupil reports and
13 reports aggregated to the LEA, and state and federal accountability reporting.

14 NOTE: Authority cited: Sections 33031, ~~and~~ 60605 and 60640, Education Code.

15 Reference: Sections 49079.5, ~~52050~~ 52052, 60605, 60630, 60640, 60641 and 60643,
16 Education Code; 7 C.F.R. Sections 245.2(a)(1)-(4), 245.3 and 245.6.

17
18 **§ 862. Apportionment Information Report.**

19 (a) Annually, the CDE shall make available electronically to each school-district LEA
20 shall receive an apportionment information report with the following information
21 provided to the contractor by the LEA pursuant to sections 853 and 861 by grade level
22 for the standards-based achievement tests and the primary language test, if any:

23 (1) The number of pupils enrolled in each school and in the school-district LEA on
24 the first day of testing as indicated by the number of alternate assessments and CSTs,
25 excluding the STAR writing portion of the English language arts tests, answer
26 documents submitted to the test contractor for scoring.

27 (2) The number of pupils in each school and in the school-district LEA tested with
28 the alternate performance assessment.

29 (3) The number of pupils in each school and in the school-district LEA exempted
30 from testing at the request of their parents or guardians pursuant to Education Code
31 section 60615.

32 (4) The number of pupils who were administered any portion of the CSTs or the

1 ~~modified assessment excluding the STAR writing portion of the English language arts~~
2 ~~tests CAASPP assessments pursuant to Education Code sections 60640(b)(1),~~
3 ~~60640(b)(2), 60640(b)(4), or 60640(c)(3) through the use of CBT.~~

4 ~~(5) The number of pupils who were administered any portion of the CAASPP~~
5 ~~assessments pursuant to Education Code sections 60640(b)(1), 60640(b)(2),~~
6 ~~60640(b)(4), or 60640(c)(3) through the use of paper-pencil assessments.~~

7 ~~(6)(5) The number of pupils with demographic information only who were not tested~~
8 ~~for any reason other than a parent or guardian exemption.~~

9 ~~(7)(6) The number of English language learners who were administered each a~~
10 ~~designated primary language test aligned to the English language arts standards~~
11 ~~pursuant to Education Code section 60640(f)(b)(5)(B).~~

12 ~~(8)(7) The number of English language learners who were administered each~~
13 ~~primary language test pursuant to Education Code section 60640(g) Beginning in 2014-~~
14 ~~15, the number of pupils in grade 2 administered a diagnostic assessment pursuant to~~
15 ~~Education Code section 60644.~~

16 (b) To be eligible for apportionment payment for the ~~standards-based achievement~~
17 ~~tests and the primary language test, if any CAASPP assessments, school districts~~
18 ~~LEAs must meet the following conditions:~~

19 (1) The school district LEA has returned all secure test materials, and

20 (2) The superintendent LEA CAASPP coordinator of each school district has
21 certified the accuracy of the apportionment information report for ~~examinations~~
22 ~~assessments~~ administered during the calendar school year (January 1 through
23 December 31), which is either;

24 (A) ~~postmarked~~ transmitted electronically in a manner prescribed by the
25 contractor(s) and/or the CDE by December 31, or

26 (B) if ~~postmarked~~ transmitted in any manner after December 31, the apportionment
27 information report must be accompanied by a waiver request as provided by Education
28 Code section 33050. For those apportionment information reports ~~postmarked~~
29 transmitted after December 31, apportionment payment is contingent upon the
30 availability of an appropriation for this purpose in the fiscal year in which the testing
31 window began.

32 NOTE: Authority cited: Sections 42004, 33031, and 60605 and 60640, Education Code.

1 Reference: Sections 60610, 60615, and 60640 and 60641, Education Code.

2
3 **§ 862.5. Apportionment to School Districts LEAs.**

4 (a) The amount of funding to be apportioned to the school district LEA for the costs
5 of administering the standards-based achievement tests and the primary language test,
6 if any, shall be the amount established by the SBE to enable school district to meet the
7 requirements of administering the tests, and the primary language test per the number
8 of tests administered to eligible pupils in grades 2 to 11, inclusive, and the number of
9 answer documents returned with only demographic information for pupils enrolled on
10 the first day of testing who were not tested in the school district LEA. The number of
11 tests administered and the number of demographic answer documents pupils not
12 tested shall be determined by the certification of the LEA CAASPP coordinator school
13 district superintendent pursuant to section 862. For purposes of this portion of the
14 apportionment, administration of the standards-based achievement tests and the
15 primary language tests includes the following items:

16 (1) All staffing costs, including the district STAR LEA CAASPP coordinator and the
17 STAR CAASPP test site coordinators, staff training and other staff expenses related to
18 testing.

19 (2) All expenses incurred at the school district LEA and school/test site(s) level
20 related to testing.

21 (3) All transportation costs of delivering and retrieving tests and test materials within
22 the school district LEA and to nonpublic schools NPSs.

23 (4) All costs associated with mailing transmitting the STAR Student pupil Rreport(s)
24 to parents/guardians.

25 (5) All costs associated with pre-identification of answer sheets and consumable
26 test booklets, and other activities intended to provide the complete and accurate data
27 required in section 861 of these regulations.

28 (b) This amount does not include any funding for the purposes of: reimbursing any
29 LEA for primary language tests for non-eligible pupils.

30 (1) reimbursing the costs incurred by any school district pursuant to section 864.5(d)
31 or (e); and

32 (2) reimbursing any school district for primary language tests for non-eligible pupils.

1 (c) ~~If at the time a school district scannable documents are processed by the~~
2 ~~contractor a student data record is missing any of the data elements required in section~~
3 ~~861 of these regulations for the standards based achievement tests, the school district~~
4 ~~shall provide the missing data elements within the time required by the contractor to~~
5 ~~process the documents and meet the contractor's schedule of deliverables under its~~
6 ~~contract with the CDE. The additional costs incurred by the school district to have the~~
7 ~~contractor reprocess the student information to acquire the data required by section~~
8 ~~861 of these regulations shall be withheld from the school district apportionment.~~

9 NOTE: Authority cited: Sections 42004, 33031, and 60605 and 60640, Education Code.
10 Reference: Sections 60640 and 60643, Education Code.

11
12 **§ 863. STAR CAASPP Student Pupil Reports and Cumulative Record Labels.**

13 (a) The school district LEA shall forward or transmit the STAR Student Report pupil
14 results for the designated achievement test and standards based achievement tests
15 conducted and the designated primary language test provided by the contractor(s) to
16 each pupil's test pursuant to Education Code section 60640 to the each pupil's parent
17 or guardian; within ~~no more than~~ 20 working days from receipt of the results report from
18 the contractor.

19 (b) If the school district LEA receives the reports for the designated achievement
20 test and standards based tests, or the designated primary language tests conducted
21 pursuant to Education Code section 60640 from the contractor after the last day of
22 instruction for the school year, the school district LEA shall send the pupil results to the
23 parent or guardian by U.S. mail at the parent's or guardian's last known address. If the
24 report is non-deliverable, the school district shall make the report available to the
25 parent or guardian during no later than the first 20 working days of the next school
26 year.

27 (c) Schools are responsible for maintaining affixing cumulative record labels
28 reporting each pupil's scores to with the pupil's permanent school records or for
29 entering the scores into electronic pupil records, and for forwarding or transmitting the
30 results to schools to which pupils matriculate or transfer. Schools may annotate the
31 scores when the scores may not accurately reflect pupils' achievement due to illness or
32 testing irregularities.

1 NOTE: Authority cited: Sections 33031, and 60605 and 60640, Education Code.
2 Reference: Sections 49062, 49068, 60607, 60640, and 60641, and 60607, Education
3 Code.

4

5 **§ 864. Reporting Test Scores LEA Compliance with Contractor Requirements.**

6 No aggregate or group scores or reports that are compiled pursuant to Education
7 Code section 60641 or 60643 shall be reported electronically, in hard copy, or in other
8 media, to any party other than the school or school district where the pupils were
9 tested, if the aggregate or group scores or reports are composed of ten or fewer
10 individual pupil scores. In each instance in which no score is reported for this reason,
11 the notation shall appear "The number of pupils in this category is too small for
12 statistical accuracy or privacy protection." In no case shall any group score be reported
13 that would deliberately or inadvertently make the score or performance of any individual
14 pupil identifiable within the meaning of the Family Educational Rights and Privacy Act.

15 (a) An LEA is an agent of the CDE for the purpose of administering a CAASPP test.

16 (b) In order for the state to meet its obligations in the development, administration,
17 and security of valid and reliable tests, and the reporting of accurate tests, LEAs shall:

18 (1) comply with any and all requests from CAASPP contractor(s) in accordance with
19 Education Code section 60641; and

20 (2) abide by any and all instructions provided by the CAASPP contractor or
21 consortium, whether written or oral, that are presented for training or provided for in the
22 administration of a CAASPP test.

23 NOTE: Authority cited: Sections 42004, 33031, and 60605, 60613 and 60640,
24 Education Code. Reference: Sections 60605, 60610, 60640, 60641 and 60643,
25 Education Code; 20 U.S.C. Section 1232g; and 34 C.F.R. Section 99.3.

26

27 **§ 864.5. Test Order Information. [REPEALED]**

28 ~~(a) The school district shall provide to the contractor(s), for the standards based~~
29 ~~achievement tests and the primary language test no later than December 1 of the year~~
30 ~~immediately prior to the year of test administration, the following data for each test site~~
31 ~~of the school district, by grade or course level:~~

32 ~~(1) Valid county district school (CDS) codes.~~

1 ~~(2) Number of tests.~~

2 ~~(3) Numbers of special version tests including, but not limited to, Braille and large~~
3 ~~print.~~

4 ~~(4) Number of Directions for Administration needed, by grade level.~~

5 ~~(5) Number of pupils to be tested with the alternate assessments.~~

6 ~~(6) Number of test examiners for the alternate assessments.~~

7 ~~(7) The first and last date of instruction and all non-instructional days during the~~
8 ~~school year for each school in the district and all non-working days for the school~~
9 ~~district.~~

10 ~~(b) The school district shall provide to the contractor for the primary language test~~
11 ~~the following data:~~

12 ~~(1) Whether or not the district has eligible pupils for the tests.~~

13 ~~(2) For all tests sites in the district with eligible pupils, by grade level, the information~~
14 ~~in subdivision (a)(1), (2), (3), and (4).~~

15 ~~(3) First date of testing indicating the dates for each administration period.~~

16 ~~(c) Each school district that elects pre-identification of answer documents shall~~
17 ~~submit an electronic file that includes all of the information required in section 861. The~~
18 ~~file must be submitted in accordance with the timeline, format, and instructions~~
19 ~~provided by the contractor(s).~~

20 ~~(d) If the testing materials are lost or destroyed while in the possession of the school~~
21 ~~district, and the contractor provides the school district with replacement materials, the~~
22 ~~school district is responsible for the cost of all replacement materials.~~

23 ~~(e) If the school district places an order for tests for any school that is excessive, the~~
24 ~~school district is responsible for the cost of materials for the difference between the~~
25 ~~sum of the number of pupil tests submitted for scoring including tests for non-tested~~
26 ~~pupils and 90 percent of the materials ordered. In no event shall the cost to the school~~
27 ~~district for replacement or excessive materials exceed the amount per test booklet and~~
28 ~~accompanying material that is paid to the contractor by the GDE as part of the contract~~
29 ~~for the current year.~~

30 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:

31 Sections 60605, 60640 and 60643, Education Code.

32

1 **§ 865. Transportation. [REPEALED]**

2 ~~(a) Upon arrival of the test materials at a single location designated by each school~~
3 ~~district, the district STAR coordinator shall provide the contractor with a signed receipt~~
4 ~~certifying that all cartons were received.~~

5 ~~(b) The security of the test materials that have been duly delivered to the school~~
6 ~~district is the sole responsibility of the school district until all test materials have been~~
7 ~~inventoried, accounted for, and delivered to the common or private carrier designated~~
8 ~~by the contractor for return to the contractor.~~

9 ~~(c) Secure transportation within a school district is the responsibility of the school~~
10 ~~district once materials have been duly delivered to the school district. The school~~
11 ~~district is responsible for secure delivery of test materials to non-public schools.~~

12 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
13 Section 60640, Education Code.

14
15 **§ 866. School District Delivery. [REPEALED]**

16 ~~(a) No school district shall receive its standards based achievement test or primary~~
17 ~~language test materials, if any, more than twenty or fewer than ten working days prior~~
18 ~~to the first day of testing in the school district. A school district that has not received test~~
19 ~~materials from the test contractor at least ten working days before the first date of~~
20 ~~testing in the school district shall notify the test contractor and the CDE on the tenth~~
21 ~~working day before testing is scheduled to begin that the school district has not~~
22 ~~received its materials. Deliveries of test materials to single school districts shall use the~~
23 ~~schedule in section 867.~~

24 ~~(b) A school district and the contractor shall establish a periodic delivery schedule to~~
25 ~~accommodate all test administration periods within the school district. Any schedule~~
26 ~~established must conform to sections 866(a) and (b) for each test administration period.~~

27 ~~(c) No school district shall receive its writing test materials more than ten or fewer~~
28 ~~than five working days before the day on which the writing portion of the English-~~
29 ~~language arts tests are to be administered.~~

30 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
31 Sections 60605, 60640, 60642.5 and 60643, Education Code.

32

1 **§ 867. Test Site Delivery and Return. [REPEALED]**

2 ~~(a) No school or other test site shall receive any designated achievement test,~~
3 ~~standards-based tests, or designated primary language test or related test materials~~
4 ~~more than ten or fewer than five working days prior to the first day of testing scheduled~~
5 ~~at the school or test site.~~

6 ~~(b) All testing materials shall be returned to the school district location designated~~
7 ~~by the district STAR coordinator no more than two working days after testing is~~
8 ~~completed for each test administration period.~~

9 ~~(c) No school or other test site shall receive any writing test materials more than six~~
10 ~~or fewer than two working days before the test administration date.~~

11 ~~(d) Writing test materials shall be returned to the district STAR coordinator no more~~
12 ~~than one day after the day scheduled for makeup testing.~~

13 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
14 Sections 60640 and 60642.5, Education Code.

15
16 **§ 867.5. Retrieval of Materials by Contractor. [REPEALED]**

17 ~~(a) The school district shall ensure that designated achievement test, standards-~~
18 ~~based tests, or designated primary language testing materials are inventoried,~~
19 ~~packaged, and labeled in accordance with instructions from the contractor, and~~
20 ~~returned to a single school district location for pickup by the contractor within five~~
21 ~~working days following completion of testing in the school district and in no event later~~
22 ~~than five working days after each test administration period.~~

23 ~~(b) School districts shall return all writing tests and test materials to the contractor~~
24 ~~no more than two working days after the makeup day specified for the writing test.~~

25 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
26 Sections 60640, 60642.5 and 60643, Education Code.

27
28 **§ 868. Discrepancy Resolution for Standards-based Achievement Tests and Any**
29 **Primary Language Test. [REPEALED]**

30 ~~(a) School districts shall process discrepancies determined by the contractor(s)~~
31 ~~upon receipt of returned tests and test materials pursuant to this subdivision:~~

32 ~~(1) Receipt of a discrepancy notice in writing, via telephone, or via electronic mail by~~

1 the district STAR coordinator for one or more of the following shall require a response
2 from the district STAR coordinator to the contractor within 24 hours.

3 (A) A discrepancy between the quantity of tests and test materials shipped to the
4 school district and the number of tests and test materials returned to the contractor
5 from the school district.

6 (B) Information on scannable documents or test support materials that is
7 inconsistent, incomplete, or missing, according to criteria established with the CDE.

8 (2) The district STAR coordinator shall acknowledge the discrepancy notice via
9 electronic mail, if available in the school district, to the contractor and to the CDE within
10 24 hours of its receipt via electronic mail.

11 (b) The district STAR coordinator shall report any discrepancy in the total amount of
12 the shipment from the contractor within two working days of the receipt of the shipment.
13 If the contractor does not remedy the discrepancy within two working days of the school
14 district report, the school district shall notify the CDE within 24 hours.

15 (c) Any discrepancy in a shipment of standards-based achievement tests or test
16 materials or primary language test or test materials received by a test site from the
17 district STAR coordinator shall be reported to the district STAR coordinator immediately
18 but no later than two working days of the receipt of the shipment at the testing site. The
19 district STAR coordinator shall remedy the discrepancy within two working days.

20 (d) The district STAR coordinator shall report to the contractor any discrepancy
21 reported by a STAR test site coordinator within three working days of receipt of
22 materials at the test site. If the district STAR coordinator does not have a sufficient
23 supply of tests or test materials to remedy any shortage, the contractor shall remedy
24 the shortage by providing sufficient materials directly to the test site within two working
25 days of the notification by the district STAR coordinator.

26 (e) The notices required by this section shall be made by telephone with
27 simultaneous confirmation in writing and by electronic mail.

28 NOTE: Authority cited: Sections 33031 and 60605, Education Code. Reference:
29 Sections 60605, 60640 and 60643, Education Code.

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31
32 1-16-14 [California Department of Education]