**California Department of Education**

**Report to the Governor, the State Legislature, and the   
Legislative Analyst’s Office:**

# California Assessment of Student Performance and Progress Annual Implementation Update and Five-Year Cost Projection



**Prepared by the**

**Assessment Development and Administration Division**

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*Description*: California Assessment of Student Performance and Progress Annual Implementation Update (covering the 2016 calendar year) and Five-Year Cost Projection

*Authority*: California *Education Code* Section 60604(b)

*Recipient*: The Governor, the Legislature, the Legislative Analyst’s Office, the Department of Finance, the State Board of Education, and the respective Chairpersons of the appropriate fiscal subcommittees considering budget appropriations and the appropriate policy committees in each house

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## Executive Summary

California *Education Code* Section 60604(b) requires that the State Superintendent of Public Instruction to annually update the Legislature on a five-year cost projection, implementation plan, and timeline for implementing the California Assessment of Student Performance and Progress (CAASPP) System.

TheProgram Information section of this report provides general background information regarding the CAASPP System, including its history, purposes, and components.

The Implementation Update section of this report provides a brief discussion of CAASPP implementation activities during the 2016 calendar year.

The Contract Costs section provides information and costs regarding the various types of CAASPP contracts, including state-managed services contract costs, extending through 2018–19.

The Apportionment Costs section provides information on annual CAASPP apportionment reimbursements to local educational agencies (LEAs).

The Five-Year Cost Projection section provides information on projected annual CAASPP contract and LEA apportionment costs. It includes a timeline that provides information on the assessments that are anticipated to be a part of each CAASPP test administration and the projected costs per fiscal year for the overlapping test administration activities.

Any questions regarding this report or requests for copies should be directed to   
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This report is available on the California Department of Education CAASPP Web page at <http://www.cde.ca.gov/ta/tg/ca/>.

## Program Information

The California Assessment of Student Performance and Progress (CAASPP) System was established in statute (California *Education Code* [*EC*] sections 60640–60649) in 2013 per Chapter 498, Statutes of 2013 (Assembly Bill 484, Bonilla) and became effective on January 1, 2014, with technical amendments per Chapter 32, Statutes of 2014 (Senate Bill 858, Committee on Budget and Fiscal Review)*.* The CAASPP System, which replaced the Standardized Testing and Reporting (STAR) Program assessments administered from 1998 through 2013, becomes inoperative July 1, 2020.

The purposes of CAASPP are to provide a system of assessments that primarily assist teachers, administrators, and students and their parents/guardians to improve teaching and promote high-quality teaching and learning through the use of a variety of assessment approaches and item types. The legislation also provides for the designation or development of assessments and the administration of assessments through the use of technology, where feasible. This transition will take several years to complete.

This report provides information about the CAASPP System as it relates to

*EC* Section 60604(b), which requires the State Superintendent of Public Instruction (SSPI) to develop and annually provide for the Legislature an update on a five-year cost projection, implementation plan, and timeline for implementing the CAASPP System.

As addressed in state law, CAASPP summative assessments include Smarter Balanced consortium-developed,[[1]](#footnote-2) computer-based assessments for English language arts/literacy (ELA) and mathematics; the California Alternate Assessments (CAAs) for students with the most significant cognitive disabilities, as designated in their individualized education program (IEP), for ELA and mathematics; the California Science Test (CAST); and the primary language assessments which include the Standards-based Tests in Spanish (STS) and the new California Spanish Assessments (CSA) for reading language arts (RLA). The CAST was piloted in 2017 and will be field tested in 2018. The CAA for science will be piloted in 2018. The CSA will be piloted in fall 2017, replacing the paper-pencil STS.

In addition, state law requires that local educational agencies (LEAs) be provided access to the Smarter Balanced formative assessment tools contained in the Smarter

Balanced Digital Library and interim assessments for ELA and mathematics. Formative assessment tools are resources and processes that are embedded in instruction and used by teachers to provide feedback for the purpose of adjusting instruction to improve learning. Interim assessments are computer-based assessments designed to be given at regular intervals throughout the school year to evaluate a student’s knowledge and skills relative to a specific set of standards.

The summative assessments, where applicable and valid, will produce scores that can be aggregated and disaggregated for the purpose of holding LEAs accountable for the achievement of students in learning the California academic content standards. The CAASPP summative assessments will: (1) provide individual student results to students, parents/guardians, and teachers; (2) produce school-, district-, and county-level results that allow the monitoring of schools’ progress; and (3) produce results to meet the requirements of the federal No Child Left Behind (NCLB) Act through 2014–15 and the new Every Student Succeeds Act (ESSA), enacted on December 10, 2015. Under the federal requirements of ESSA, all states accepting Title I federal funds for use by LEAs must assess students as follows:

* Reading/language arts and mathematics—Assess annually in each of grades three through eight and once in grade ten, eleven, or twelve.
* Science—Assess once during each of three specified grade spans: grades three through five, six through nine, and ten through twelve.

CAASPP tests will be used to meet NCLB requirements through 2016–17 and ESSA requirements in ongoing years.

Under State law, *EC* Section 60641(a)(2), the requirement to report individual student scores applies only when such scores have been determined to be valid and reliable. For that reason, State law authorized the SSPI, with approval of the State Board of Education (SBE), to not calculate an Academic Performance Index (API) for schools in the 2013–14, 2014–15 and 2015–16 school years. Because the transition to new standards-based assessments compromises the comparability of results across LEAs, any LEA that does not receive an API score shall not receive an API growth target. Further, *EC* Section 60641(a)(2) prohibits state agencies and LEAs from comparing the scores and results of the CAASPP assessments with those from previous assessments, which measured different content standards.

All contracts for the development, purchase, or administration of the CAASPP tests are subject to approval by the SBE. SBE approval must be obtained for the following work components:

* The test blueprints, *excluding* consortium assessments, specifying the standards and number of items to be tested for each standard included in the tests, which are to be developed by testing contractors and reviewed by content experts
* The performance standards used in CAASPP and the threshold scores, *excluding* consortium assessments, used to identify students’ performance levels
* The regulations; testing period; calendar of when results are to be delivered to the State, LEAs, and parents/guardian; and when results are to be posted for the public

State law also requires the: (1) development of a three-year plan for continuous improvement of the CAASPP System, with approval of the SBE; and (2) California Department of Education (CDE) to contract for a three-year independent evaluation of CAASPP that will provide interim annual reports, a final report on the activities, and an analysis of the three-year independent evaluation. (See "California Assessment of Student Performance and Progress (CAASPP): 2016 Independent Evaluation Report, Volume 1,” which is posted on the CDE Web site at <http://www.cde.ca.gov/ta/tg/ca/documents/caaspp16evalrptvol1.pdf>.)

More information regarding CAASPP is available on the CDE CAASPP System Web page at <http://www.cde.ca.gov/ta/tg/ca/>.

Tables 1 and 2, below and on the following page, identify the required and optional CAASPP assessments that were administered in 2016–17.

**Table 1**. CAASPP Required Assessments Administered in 2016–17, by Grade and Content Area.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Test** | **Type** | **Students** | **Grade** | **Content Area** |
| Smarter Balanced  Summative | CBT1 | All students, unless they have an IEP indicating assessment with the CAA. Recently arrived English learner (EL) students are exempted from the assessment for ELA. | 3–8 and 112 | ELA and mathematics |
| CAAs | CBT | Students with significant cognitive disabilities who are unable to take the Smarter Balanced assessments even with accessibility supports and whose IEP indicates assessment with an alternate test. | 3–8 and 11 | ELA and mathematics |
| CASTs—Pilot Test | CBT | All students, unless they have an IEP indicating assessment with an alternate test (i.e., CAA for Science). | 5 and 8 and one grade in high school—10, 11, or 12 | science |
| CAA for Science—Pilot Test | CBT | Students with disabilities whose IEP indicates assessment with an alternate test (i.e., CAA for Science). | 5 and 8 and one grade in high school—10, 11, or 12 | science |

1 CBT = Computer-based testing.

2 Grade eleven Smarter Balanced Summative Assessment results will be used for the Early Assessment Program (EAP) in collaboration with the California State University and participating California Community Colleges.

**Table 2.** Optional CAASPP Assessments Available in 2016–17, by Grade and Content Area.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Test/Tool** | **Type** | **Students** | **Grade** | **Content Area** |
| Smarter Balanced Formative Assessment tools | N/A | All students. | K–12 | ELA and mathematics |
| Smarter Balanced Interim | CBT | All students. | K–12 | ELA and mathematics |
| STS | PP | ELs at no cost to the LEA or  non-ELs (e.g., students in dual immersion classrooms) *at the cost of the LEA.* | 2–11 | reading/  language arts |

## Implementation Update

Activities for the implementation of the CAASPP System began in 2010, with the SBE adoption of the Common Core State Standards (CCSS) for ELA and mathematics. Subsequent implementation progress included, among other activities, the development of informational materials, with input from stakeholders; the availability of sample test items, performance tasks, and practice tests; the drafting of emergency and proposed permanent regulations; preparations for the contract to be competitively bid; the development of a technology readiness tool; and the identification of CCSS-aligned, grade two diagnostic assessments.

Table 3, which begins on the following page, provides a brief implementation update of CAASPP activities during the 2016 calendar year.

**Table 3.** CAASPP Implementation Update

| **Element** | **2010 Through 2015 Activities** | **2016 Activities** |
| --- | --- | --- |
| **Content Standards**  (*EC* Section 60602.5[a][1]) | * In August 2010, the SBE adopted the CCSS for ELA and mathematics. * In March 2012, the SBE approved *The Common Core State Standards Systems Implementation Plan for California,* which includes the development and transition to CCSS-aligned assessment systems. * In November 2013, the SBE adopted the California Next Generation Science Standards (CA NGSS). * Regular updates to inform the SBE and public regarding CCSS implementation activities were provided at each regularly scheduled SBE meeting. * In June 2015, Educational Testing Service (ETS) completed a crosswalk between the California content standards (1998) and the CA NGSS. The results were used to evaluate the alignment of items currently residing in the California-owned item bank and their appropriateness for various future use on CA NGSS assessments. * In October 2015, ETS and EdCount held an initial meeting with California educators to solicit feedback on developmental appropriateness of the performance expectations (PEs) for CA NGSS-aligned alternate assessments. | * Regular updates to inform the SBE and public regarding CCSS implementation activities were provided at each regularly scheduled SBE meeting. * In March 2016, WestEd presented the results of a survey on the current implementation of the California Content Standards. The results can be found on the CDE CA Standards Implementation: WestEd Insights Web page at <http://www.cde.ca.gov/be/ag/ag/yr16/mar16item19handout.asp>. Implementation activities included several major initiatives, such as the English Language Arts/English Language Development (ELA/ELD) Framework Rollouts, the Standards Steering Committee, and the creation of the CDE Standards Support Office. WestEd reported continuing positive support for the standards amongst practitioners and strong collaboration with active communities of practice around standards implementation, both at the State and local levels. * Throughout 2016, ETS and EdCount continued work on the CA NGSS Core Content Connectors for alternate assessments, collaborating with national content and measurement experts and California educators. |
| **Periodic Updates of Assessment Transition**  (*EC* Section 60630) | * Regular updates to inform the SBE and the public regarding statewide assessment transition activities were provided at each regularly scheduled SBE meeting. | * Regular updates to inform the SBE and the public regarding statewide assessment transition activities were provided at each regularly scheduled SBE meeting. * In January 2016, the SBE adopted the general (policy) performance level descriptors (PLDs) for the CAAs. General PLDs are short descriptors that convey the degree of student achievement in a given achievement level. The PLDs are detailed in Item 7 of the January 2016 SBE meeting agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/jan16item07.doc>. * In March 2016, the CDE released its *Recommendations for Expanding California’s Comprehensive Assessment System*. The document is posted on the CDE Implementation of CAASPP Web page at <http://www.cde.ca.gov/ta/tg/ca/caasppimplementation.asp>. * In May 2016, the SBE adopted the PLDs for the CAAs. These are descriptors of what students at each achievement level know and can do by grade level and content area (i.e., limited understanding [Level 1 – Alternate], foundational understanding [Level 2 – Alternate], or an understanding [Level 3 – Alternate]). The PLDs are detailed in Item 7 of the May 2016 SBE meeting agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/may16item07.doc>. In addition, the SBE adopted the 2015–16 CAASPP CAA Student Score Report (SSR) templates. * In July 2016, the SBE approved the test design for the development and administration of the CAA for Science, allowing the CDE to commence work on the development of the pilot plan and the materials for the spring 2017 pilot test administration. * In September 2016, the SBEadopted the CDE’s proposed threshold scores for the CAAs for ELA and mathematics. (Threshold scores determine the “entry” and/or “exit” points between the respective achievement levels that describe three levels of performance on the CAAs). The proposed threshold scores appear in the addendum to Item 4 of the September 2016 SBE meeting agenda at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/sep16item04addendum.doc>. |
| **Informational Materials**  (*EC* Section 60604[d]) | * In October 2013, the CDE, with the assistance of the San Joaquin County Office of Education (SJCOE), held two Assessment and Accountability Information Meetings for LEA testing and accountability coordinators (one meeting in the northern and one in the southern region of the state). In addition, informational materials were posted on the CDE Assessment Information Web page at <http://www.cde.ca.gov/ta/tg/ai/>. * The CDE created new public Web pages available to provide information regarding CAASPP. In addition, the CDE created an e-mail listserv and contractor technical assistance center for CAASPP. * CAASPP informational materials for LEAs were developed and disseminated for the 2013–14 Smarter Balanced Field Test. Revisions were made specific to the 2014–15 test administration. * A CDE CAASPP Web page, at <http://www.cde.ca.gov/ta/tg/ca/>, was created in 2014, updated throughout 2014 and 2015, and maintained to provide current information about the CAASPP System. * A second CAASPP Web site, at <http://www.caaspp.org>, became operational in January 2014. This Web site was developed to support the CAASPP test administration, providing manuals, training videos, forms, instruction sheets, calendars, and other information for LEAs regarding the administration of CAASPP. The site is maintained by ETS, the CAASPP contractor, and has been continually updated to ensure that its information on CAASPP administration processes and protocols is current. * Two CDE informational newsletters, *CAASPP Flash* and *CAASPP Update*, were disseminated periodically to all CAASPP coordinators and CAASPP listserv subscribers, alerting them to the latest information about the testing program. * In October 2014, two Assessment and Accountability Information Meetings were held for LEA testing and accountability coordinators (one meeting in the northern region and one in the southern region of the state). * In January and February 2015, ETS, on behalf of the CDE, conducted in-person regional workshops at 17 different sites and a live Webcast for LEA CAASPP coordinators and technology coordinators for the Smarter Balanced Summative Assessments. In addition, this training included an overview of the interim assessments and the Digital Library. * The CDE, with the assistance of the SJCOE, reestablished the RAN bimonthly meetings with regional assessment liaisons to provide information on various assessment topics, including Smarter Balanced assessment activities, and provide regional assessment liaisons an opportunity to share their resources for reaching out to schools, families, and community representatives. * In August 2015, a parent guide and video were developed in order to assist parents and guardians in understanding the SSRs. * In September and November 2015, two Assessment and Accountability Information Meetings were held for LEA testing and accountability coordinators (one meeting in the northern region and one in the southern region of the state). * In February through April 2015, Senior Assessment Fellows conducted multiple informational workshops, providing CAASPP updates and supports to LEA administrators and staff. * In May 2015, five in-person Post-Test Workshops were conducted across the state to inform LEA’s interpretation and use of the 2015 CAASPP assessment student results and reports. The workshops provided high-level information on the scoring of the Smarter Balanced online summative assessments, described the various components of the new reports, and reviewed how to use the Online Reporting System (ORS). * In August 2015, Summer Scoring Workshops were conducted that provided support to LEA staff in understanding the hand scoring of the Smarter Balanced assessments. Each of the eight one-day regional workshops trained educators on the use of the Smarter Balanced rubrics to score student responses. * In October through December 2015, regional in-person CAASPP Institutes were provided to teams of LEA staff. The CAASPP Institutes consisted of a two-part workshop designed to provide professional development for teams at schools and school districts throughout the state on how to best use all components of the CAASPP System, including the summative assessments, the interim assessments, and the Digital Library provided by Smarter Balanced, to improve teaching and learning. | * In spring 2016, 17 one-day CAASPP Institutes were held throughout the state. The spring CAASPP Institutes were designed to provide follow-up support to schools and school districts on how best to utilize the CAASPP System results, resources, and tools. A total of 525 participants attended the spring institutes. Details on the institutes appear in the January 2017 *Report to the Governor, the State Legislature, and the Legislative Analyst’s Office: California Assessment of Student Performance and Progress—Report on Interim and Formative Assessment Tools*, which is postedat <http://www.cde.ca.gov/ta/tg/ca/documents/iatoolslegrprt17.pdf>. Participants rated the institutes very highly, as shown in Attachment B of the Report. * In September and October 2016, the CDE held two Assessment and Accountability Information Meetings for LEA testing and accountability coordinators (one meeting in the northern and one in the southern region of the state). Presentation materials and videos are posted on the CDE 2016 North-South Meeting Web page at <http://www.cde.ca.gov/ta/tg/ai/infomeeting.asp>. * Two CDE informational newsletters, *CAASPP Flash* and a weekly *CAASPP Update*, were disseminated to all CAASPP coordinators and CAASPP listserv subscribers, alerting them to the latest information about the testing program. * The CDE continued to hold bimonthly Regional Assessment Network (RAN) meetings with regional assessment liaisons to provide information on various assessment topics, including Smarter Balanced assessment activities, and provide regional assessment liaisons an opportunity to share their resources for reaching out to schools, families, and community representatives. * In August 2016, Summer Scoring Workshops were conducted that provided support to LEA staff in understanding the hand scoring of the Smarter Balanced assessments. Each of the eight one-day regional workshops trained educators on the use of the Smarter Balanced rubrics to score student responses. * Several new Web-based resources were developed to help parents understand the new SSRs. These include:   **Smarter Balanced**   * Sample SSRs for the 2015–16 Smarter Balanced Summative Assessments, in English and Spanish. The SSRs were updated to include two years of data. The 2015–16 Sample SSRs can be viewed on the CDE CAASPP Student Report Information Web page at <http://www.cde.ca.gov/ta/tg/ca/caasppssrinfo.asp>. * Guides to understanding the 2015–16 CAASPP Student Score Reports are available for the Smarter Balanced Summative Assessments for ELA and mathematics. These two page, grade-specific guides are designed for parents and available in English, Spanish, Armenian (Eastern), Chinese (simplified and traditional), Hmong, Korean, Pilipino (Tagalog), and Vietnamese. The guides are posted on the CDE Understanding the CAASPP Student Score Reports Web page at <http://www.cde.ca.gov/ta/tg/ca/caasppssreports.asp>. * The Test Score Guide, at <http://www.testscoreguide.org/ca/>, explains the SSR and allows parents and guardians to do searches for grade-level sample test items in ELA and mathematics that match their child’s achievement level on the Smarter Balanced Summative Assessments. * A video, entitled “Understanding the CAASPP Student Score Report 2015-16,” can be viewed on the CDE CAASPP Student Report Information Web page at ~~http://www.cde.ca.gov/ta/tg/ca/caasppssrinfo.asp.~~ A Spanish version of the video is also posted on this Web page. [Note: url no longer valid] * Parent and Guardian Student Score Report Letter templates, in English and Spanish, address student results on the **Smarter Balanced Summative Assessment for ELA and mathematics and provide** optional text on the science assessment (for students in grade five and eight) and on the use of grade eleven results to determine Early Assessment Program status. The letter is designed to be sent to parents with the SSR. The templates are posted on the CDE Parent and Guardian Score Report Letter Templates Web page at ~~http://www.cde.ca.gov/ta/tg/ca/caasppprtscrrptltr.asp~~. [Note: url no longer valid]   California Alternate Assessments   * Sample SSRs for the 2015–16 CAAs, in English and Spanish, can be viewed on the CDE CAASPP Student Report Information Web page at ~~http://www.cde.ca.gov/ta/tg/ca/caasppssrinfo.asp~~. [Note: url no longer valid] * A video, entitled “Understanding the CAA Student Score Report,” can be viewed on the CDE CAASPP Student Report Information Web page at ~~http://www.cde.ca.gov/ta/tg/ca/caasppssrinfo.asp~~. A Spanish version of the video is also posted on this Web page. [Note: url no longer valid] * Guides to understanding the CAA Student Score Report are posted on the on the CDE Understanding the CAASPP Student Score Reports Web page at ~~http://www.cde.ca.gov/ta/tg/ca/caasppssreports.asp~~. These two page, grade-specific guides are designed for parents and available in English and Spanish. [Note: url no longer valid] * Parent and Guardian Student Score Report Letter templates, in English and Spanish, address student results on the CAA for ELA and mathematics **and provide** optional text on the CAA for science. |
| **Sample Items/Tasks**  (*EC* Section 60602.5[d]) | * Sample items and tasks for the CSTs, the California Alternate Performance Assessment (CAPA), and STS were made available on the CDE STAR Program Resources Web page at ~~http://www.cde.ca.gov/ta/tg/sr/resources.asp~~ [Note: url no longer valid] * Sample items and tasks for the Smarter Balanced assessments were made available on the CDE Smarter Balanced Assessment System Web page at <http://www.cde.ca.gov/ta/tg/sa/index.asp>. * Smarter Balanced Practice Tests also were made available, but did not reflect the full range of content that students may encounter on the actual assessments. * In January 2014, the Smarter Balanced Training Tests became available, providing students with an opportunity to become familiar with the software and interface features of the Smarter Balanced tests. The Training Tests, which are organized by grade span, include new item types and universal tools, designated supports, and accommodations. They do not include a performance task. | * In March 2016, the Smarter Balanced Web site was revamped (<http://www.smarterbalanced.org/>). New sample test items were posted, and Practice Tests for each grade (i.e., grades three through eight and grade eleven) were updated to include new item types and performance tasks. * In March 2016, the CAA Training Test was released. It can be found on the CAASPP Online Practice and Training Tests Web page at <http://www.caaspp.org/practice-and-training/index.html>. |
| **Regulations**  (*EC* Section 60640[q]) | * CDE staff drafted CAASPP emergency and proposed permanent regulations. * In May 2014, Smarter Balanced Practice Tests for each grade (i.e., grades three through eight and grade eleven) were updated to include new item types and performance tasks, as well as testing aids (i.e., universal tools, designated supports, and accommodations), to provide additional exposure to the online assessment process for students, parents/guardians, and educators. The Practice Tests are grade specific, and scoring guides are provided on the Smarter Balanced Resources and Documentation Web page at ~~http://sbac.portal.airast.org/ca/practice-test-ca/resources/~~. [Note: url no longer valid] * In January 2014, the SBE approved the commencement of the rulemaking process for permanent amendments to the *California Code of Regulations*, Title 5, sections 850–868. * In January 2014, the SBE adopted the emergency regulations for the 2013–14 CAASPP administration. * On May 7, 2014, the SBE approved the changes to the proposed permanent regulations and directed that the proposed changes be circulated for a 15-day public comment period in accordance with the Administrative Procedure Act. * On July 9, 2014, the SBE readopted the emergency regulations and approved the adoption of the permanent regulations. * On August 28, 2014, the CAASPP regulations became effective. * Following the first operational administration of the CAASPP, amendments to the CAASPP regulations were made and approved by the Office of Administrative Law on an emergency basis in the fall of 2015. | * On May 18, 2016, permanent amendments to the regulations were approved. Under the amended CAASPP regulations, the second operational administration of the CAASPP took place in spring 2016. * After the second operational administration of the CAASPP, a few specific changes were needed to ensure that the results from the 2016–17 school year would be valid and reliable and consistent with state and federal laws. Regulation changes will be brought forth in 2017. |
| **Contracts**  *(EC* Section 60643) | * Per *EC* Section 60640(f)(2), the STAR Program contract for the 2013–14 school year was amended to administer CAASPP, and that cost savings from the suspension of certain STAR assessments was to be used to fund the spring 2013–14 Smarter Balanced Field Test. * CDE staff prepared a Budget Change Proposal (BCP) to request funding to implement CAASPP for fiscal year 2014–15 and beyond. * The requested CAASPP BCP funding for the 2014–15 test administration was provided in the 2014 Budget Act. * In July 2014, the SBE approved the CDE’s recommendation to extend the current contract with ETS and its subcontractors for a period of one year to cover the 2014–15 CAASPP test administration. This extension was, in part, a response to the Smarter Balanced Assessment Consortium’s announcement to reschedule the public release of the open source code to member states and potential contract bidders. Open source code is part of the software program or system (e.g., student registration, test delivery, teacher registration systems, and adaptive engine for the summative and interim assessments) that computer programmers can manipulate to add features for specific state requirements or improve the functionality for end users. * In September 2014, the SBE approved a three-year contract with the University of California, Los Angeles (UCLA), to provide access to the Smarter Balanced Assessment Consortium Summative and Interim Assessments and formative assessment tools, as well as to provide Smarter Balanced consortium-managed services to California. * In November 2014, a subsequent competitive bid Request for Submissions (RFS) was released to ensure that a contract would be approved by the SBE and in place by July 2015 for the spring 2015–16 operational test and the piloting and field testing of new test items developed as part of the ETS contract. * During 2014, a Request for Proposals (RFP) was drafted for an independent evaluation of CAASPP in preparation for the contract to be competitively bid. * In May 2015, the CDE released an RFP for an independent evaluation of CAASPP. * In May 2015, the SBE designated ETS as the contractor for the development, administration, scoring, and reporting for the CAASPP System. * In July 2015, the CDE entered into a contract with Human Resources Research Organization (HumRRO) to conduct a three-year independent evaluation of the CAASPP System. * In July 2015, the CDE entered into an interagency agreement between the CDE and the Sacramento County Office of Education (SCOE) to provide CAASPP Institutes and the support of the Senior Assessment Fellows. The contract period was from July 16, 2015 through June 30, 2016. | * In March 2016, the CDE provided the SBE with the *Recommendations for Building a Next-Generation, Comprehensive Assessment System in California*, developed jointly with WestEd and the SJCOE. * In May 2016, the SBE authorized the CDE to make necessary changes to the current CAASPP contract with ETS, without a change to the total contract amount, to implement the transition to CA NGSS. * In November 2016, the SBE approved the release of $8,369,960.24 from funds withheld from the ETS contract during the 2015–16 test administration. |
| **Technology Readiness**  (*EC* Section 60648.5[b]) | * In April 2012, a technology readiness tool (TRT) was designed to evaluate and determine the necessary school-level technology and infrastructure needed for computer-based testing. * To assist LEAs with completing the TRT evaluation, the CDE developed training videos and Webinars and partnered with the California County Superintendents Educational Services Association (CCSESA) to encourage LEAs to complete it. In addition, the CDE created an e-mail listserv and help desk (accessible by e-mail at [sbac-itreadiness@cde.ca.gov](mailto:sbac-itreadiness@cde.ca.gov)). * In June 2013, the CDE conducted an LEA technology preparedness survey. The survey results are available on the SBE October 2013 Information Memoranda Web page at <http://www.cde.ca.gov/be/pn/im/documents/memo-dsib-adad-oct13item01.doc>. * The California Technical Assistance Center (CalTAC), provided by the testing contractor, helped LEAs prepare and check technology for administering the Smarter Balanced Field Test. CalTAC assisted LEAs over the phone and through e-mails and site visits. * In April 2014, a feasibility study report (FSR) of the technology components of computer-based testing was completed and submitted to the California Department of Technology (CalTech) for approval. In May 2014, CalTech approved the FSR with specific requirements related to the monitoring of technology components in the CAASPP contract. These requirements were included in the CAASPP RFS for prospective bidders. * During 2014, the CDE and the testing contractor continued to provide outreach to LEAs to assist with technology readiness. As a result, the number of unprepared LEAs was greatly reduced for the 2014–15 test administration. * In August 2014, as part of SB 852, the BIIG program was announced. The 2014–15 Budget Act allocated $26,689,000 to support network connectivity infrastructure grants and the completion of a statewide report of network connectivity by the K12HSN in consultation with the CDE and SBE. The intent of the use of these funds is to assist schools that do not have sufficient internet connectivity to conduct the CAASPP System, which includes the Smarter Balanced computer-based assessments. * From January through March 2015, 227 sites received viable bids from service providers to improve broadband connections in preparation for the 2014–15 administration of the Smarter Balanced Summative Assessments through the BIIG program. * The 2015–16 Budget Act allocated $50 million to the K12HSN for the BIIG program. * In October 2015, the CDE and the testing contractor rolled out new user roles and test delivery system enhancements. | * In January 2016, over 200 sites received viable bids from service providers to improve broadband connections in preparation for the 2017 administration of the Smarter Balanced Summative Assessments through the Broadband Infrastructure Improvement Grant (BIIG) program. * The CDE continued to assist the K–12 High Speed Network (K12HSN) with the implementation of the BIIG programs, which funded 151 more unique sites to improve their connection to the Internet to administer computer-based assessments. * The CDE and the testing contractor continued to provide outreach to LEAs to assist with technology readiness. As a result, the number of LEAs that were unable to administer online summative assessments in 2015–16 was reduced to eight. |
| **Test Security**  (*EC* Section 60604[a][7]) | * Preparations were made to plan on-site security audits before the 2013–14 Smarter Balanced Field Test began. * Annual security audits were conducted at selected test sites throughout the state by the testing contractor before, during, and after the 2013–14 and 2014–15 test administrations. * The CDE and the testing contractor actively monitored social networking sites to detect the posting of test images that represented possible test security breaches. * In August 2015, the CDE and the testing contractor began developing the *Security and Test Administration Incident Reporting System* (*STAIRS*) to report all testing incidents and appeals for the 2015–16 CAASPP administration. | * In January 2016, all test security incident reporting for summative assessments was migrated toSTAIRS*,* which allows LEAs to report security and other administration issues online and receive timely responses from the CDE. * The CDE’s testing contractor actively monitored social networking sites to detect the posting of test images that represented possible test security breaches. * In spring 2016, the CDE’s testing contractor’s Office of Testing Integrity and partner, Intouch Insight Systems, Inc., conducted up to 130 onsite test security site visits. The purpose of these site visits is to audit LEAs on their adherence to the CAASPP test security procedures. Intouch’s team of in-state auditors conduct the test security site visits. |
| **Reporting of Results**  (*EC* Section 60604[f]) | * Reporting specifications for the CSTs, California Modified Assessment (CMA), CAPA, and STS were developed and approved prior to the implementation of CAASPP. * CAASPP legislation specifically prohibited the production of individual scores from the 2013–14 Smarter Balanced Field Test. * The results of operational CSTs, CMA, CAPA for science, and the STS assessments taken as part of 2013–14 CAASPP test administration were reported to parents/guardians and LEAs. * The results of the CSTs, CMA, CAPA for science, and the STS were posted for public viewing on the CDE CAASPP Results Web site at ~~http://caaspp.cde.ca.gov/~~. [Note: url no longer valid] * In March 2015, LEAs were provided with the means to retrieve reports of individual student results for administered Smarter Balanced Interim Assessments. * In March 2015, the SBE approved the 2015 CAASPP Individual Student Report (ISR). | * In January 2016, the SBE adopted the CAASPP SSR templates to communicate student progress. The SSR for 2016 reported two years of data (current and previous year), while the 2017 SSR will report three years of data for students in grades five, six, seven, and eight. * In May 2016, LEAs were granted access to the ORS, a secure Web site, for LEAs-only, that provides partial and preliminary individual student summative results and aggregate reports by LEA, school, content area, grade level, and student group. * In May 2016, the SBE approved the SSR for the CAA. * In August 2016, the CDE released the annual assessment results for the 2015–16 Smarter Balanced Summative Assessments in ELA and mathematics. * In December 2016, the CDE released the annual results for the 2015–16 CAA for ELA and mathematics. |
| **Performance Standards**  (*EC* Section 60640[c][5]) | * Performance standards for the CSTs, CMA, CAPA for science, and the STS were approved by the SBE prior to their use for CAASPP. * On November 14, 2014, Smarter Balanced adopted achievement-level standard setting. | * In January 2016, the SBE adopted the general (policy) PLDs for the CAAs. General PLDs are short descriptors that convey the degree of student achievement in a given achievement level. The adopted General PLDs are listed in Item 7 of the January 16 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/jan16item07.doc>. * In May 2016, the SBE adopted the PLDs for the CAAs. These are descriptors of what students at each achievement level know and can do by grade level and content area (i.e., limited understanding [Level 1 – Alternate], foundational understanding [Level 2 – Alternate], or an understanding [Level 3 – Alternate]). The adopted PLDs appear in Item 7 of the May 2016 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/may16item07.doc>. In addition, the SBE adopted the 2015–16 CAASPP CAA SSR templates. * In September 2016, the SBEadopted the CDE’s proposed threshold scores for the CAAs for ELA and mathematics. Threshold scores determine the “entry” and/or “exit” points between the respective achievement levels that describe three levels of performance on the CAAs). The adopted threshold scores appear in the addendum to Item 4 of the September 2016 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/sep16item04addendum.doc>. * In November 2016, the SBE adopted the performance standards for the Academic Indicator, based on student test scores on ELA and mathematics for grades three through eight, which includes results from the second year of Smarter Balanced tests, as part of its plan for an integrated local, state, and federal accountability plan. |
| **Test Results (Growth)**  (*EC* Section 60602.5[a][5]) | * In November 2013, the CDE recommended, in a report to the Legislature, that implementation of a growth model be delayed until the new assessments based on the CCSS were fully implemented. This report is available on the CDE API Web page at <http://www.cde.ca.gov/ta/ac/ap/>. * On November 14, 2014, Smarter Balanced adopted achievement level standard setting. For grades six, seven, and eight, a total of 87 participants for ELA and 89 participants for mathematics were involved. For grade eleven, a total of 68 participants for ELA and 70 participants for mathematics were involved. For grades three, four, and five, a total of 80 participants for ELA and 88 participants for mathematics were involved. * In November of 2015, the CDE, in collaboration with ETS, began the design and development of the 2015–16 SSRs, which showed two years of student performance (growth) and illustrated student progress across the multiple administrations. | * In January 2016, SBE adopted the CAASPP SSR templates to communicate student progress; the 2016 SSR reported two years of data (current and previous year), while the 2017 SSR will report three years of data. * In March 2016, the CDE brought together a group of experts from ETS to examine several models for displaying and communicating student progress on the CAASPP over multiple years. * The CDE redesigned its CAASPP Results Web page to allow users to compare results across years (the previous year alongside the current year scores) as well as across entities (e.g., schools, district, county, or state). In addition, achievement level percentages in the same subject can now be compared within grade levels, with adjacent grades, and from one year to another. |
| **Annual Analysis of Results Posting**  (*EC* Section 60630) | * ETS provided the *Initial Summary of Post-Field Test Survey Results and Analyses from the 2014 CAA*.It is posted on the SBE Information Memorandum Web site at <http://www.cde.ca.gov/be/pn/im/documents/memo-dsib-adad-oct14item04a2.pdf>. | * In August 2016, the SSPI announced that California students made significant progress in the second year of the CAASPP online tests, with the percentage of students meeting or exceeding standards increasing at every grade and in every student group. Statewide in all tested grades, 49 percent of students met or exceeded the ELA standard, an increase of 5 percentage points from last year. In mathematics, 37 percent of students met or exceeded standards, an increase of 4 percentage points from last year; the largest gains were seen among third-graders, with 46 percent meeting or exceeding standards, an increase of 6 percentage points from last year. In addition, results indicate that 59 percent of grade eleven students were ready or conditionally ready for college work in ELA and 33 percent in mathematics. |
| **Continuous Improvement plan**  (*EC* Section 60649) | * RFS, the designated testing contractor for the 2015–16 through 2017–18 test administrations, was required to develop a plan supporting continuous improvement of the CAASPP assessments. ETS submitted the plan and refined it to reflect feedback from the CDE, SBE staff, the SBE, and the CDE’s external evaluator. | * Included as part of the testing contractor RFS, the designated testing contractor for the 2015–16 through 2017–18 test administrations will be required to develop a plan supporting continuous improvement of the CAASPP assessments. ETS will submit the plan to the CDE in an agreed-upon timeline and refine it to reflect feedback from the CDE, SBE staff, the SBE, and the CDE’s external evaluator. |
| **Independent Evaluation**  (*EC* Section 60649) | * The CDE is required to contract with an independent evaluator to conduct a three-year evaluation of the CAASPP System, beginning with the first year that the Smarter Balanced assessments are fully implemented, and to provide a report to the Governor, the CDE, the SBE, and the chairs of the education policy committees of both houses of the Legislature by October 31 each year. During 2014, the CDE developed the RFP for an independent evaluation of CAASPP. * In July 2015, the CDE, contracted with HumRRO to conduct a three-year evaluation of the CAASPP System. * In 2015, HumRRO activity included the following: * Developed the CAASPP Independent Evaluation Study Plan, which was provided to the SBE in September 2015 (see Item 3 of the SBE Agenda for September 2015 at <http://www.cde.ca.gov/be/ag/ag/yr15/agenda201509.asp>) * Conducted recruiting activities of the Local Educational Agency Research Network (LEARN) * Began Interim Assessment study * Began Accommodations and Support study | * In November 2016, HumRRO submitted its 2016 Independent Evaluation Report of the CAASPP. See "California Assessment of Student Performance and Progress (CAASPP): 2016 Independent Evaluation Report, Volume 1,” which is posted on the CDE Web site at <http://www.cde.ca.gov/ta/tg/ca/documents/caaspp16evalrptvol1.pdf>. |
| **Smarter Balanced Summative Assessments**  (*EC* Section 60640[b][1]) | * In June 2011, California joined the Smarter Balanced Assessment Consortium as a governing state and conducted a pilot test with sample schools and grades. * In 2013, the Smarter Balanced Assessment Consortium released a more complete and broadly available "Practice Test." The Practice Test was made publicly available in May 2013. * The Smarter Balanced Field Test was administered between March 25 and June 13, 2014. State law required all California LEAs to participate in the field test prior to operational testing in 2014–15. The CDE and its contractor provided a variety of outreach efforts (e.g., field test training workshops, online training modules, and help desk support) to help prepare LEAs for field test implementation. * More than 3.1 million students successfully completed the 2013–14 Smarter Balanced Field Test, which familiarized students, teachers, and administrators with the new item types and computer-based format of the new assessment. * In September 2014, the SBE approved that the operational Smarter Balanced Summative Assessments would be administered as part of CAASPP for 2014–15 through July 1, 2020. * In April and June 2015, the Smarter Balanced Summative Assessments were administered to approximately 3.2 million students in more than 1,200 LEAs. | * More than 3.1 million students successfully completed the 2015–16 Smarter Balanced Summative Assessments for ELA and mathematics. Less than 1 percent of eligible California students did not take part in the assessment due to a parental exemption, a figure far lower than in many other states. * In May 2016, the SBE authorized the SBE President and the SSPI to request a federal waiver to waive assessment of applicable speaking and listening assessment requirements for the 2015–16 and 2016–17 school years. * On June 2, 2016, the U.S. Department of Education (ED) received a waiver request from the CDE and the SBE. The request was granted. |
| **Interim and Formative Assessments**  (*EC* Section 60642.6) | * In April 2014, optional Smarter Balanced formative assessment tools (Digital Library) were made available to all California LEAs. * In January 2015, the Smarter Balanced Interim Assessments and the Interim Assessment Hand Scoring System were made available to California LEAs. * In August 2015, administration of the K–12 interim assessments for ELA and mathematics became available to LEAs for the 2015–16 school year. This launch included the following enhancements: * The means to administer the interim comprehensive assessments (ICAs) up to three times per student and the interim assessment blocks (IABs) an unlimited number of times. This was an increase from the two opportunities that were in place for the ICAs and IABs during the 2014–15 school year. * The means to administer interim assessments for any grade level to any student. This was a change from the restricted availability of the interim assessments that was in place during the 2014–15 school year (i.e., availability at enrolled grade level, one grade level below enrolled grade, and one grade level above enrolled grade). * As of December 29, 2015, a total of 1,521,069 interim assessments had been started and 1,394,956 had been completed across 674 LEAs. | * For the 2016*–*17 school year, 29 new IABs were made available to California LEAs—11 for mathematics and 18 for ELA. In addition, several IABs were revised from the 2015*–*16 school year. The total number of available ICAs is 14 and the total number of IABs is 100. * As of January 19, 2016, a total of 267,111 California educators were registered users of the Smarter Balanced Digital Library. * A number of Smarter Balanced Digital Library enhancements were deployed:   + A self-registration interface that allows LEA staff to create a Digital Library account without having to work directly through their LEA CAASPP coordinator.   + Improved search speed which allows users to locate Digital Library resources in a more efficient manner * The CDE and Smarter Balanced launched resources intended to help educators understand how the interim assessments and Digital Library can be used together to support improved teaching and learning.   + The CDE Instructional Learning Series provides Digital Library resources that can be used to help prepare students for the content assessed in specific IABs.   + The Smarter Balanced Connections Playlists provide Digital Library resources based on student performance on IABs to help educators with next steps in instruction. |
| **Stakeholder Input**  (*EC* 60640) | * “Stakeholders,” as identified in *EC* Section 60640(b) and (c), included, but were not necessarily limited to, California teachers, individuals with expertise in assessing ELs and students with disabilities, parents/guardians, and measurement experts. Each of the meetings listed below included a mix of stakeholder groups. To ensure fairness, no meeting had more than 50 percent participation from a single represented group. * Stakeholder meetings were held as part of the 2013–14 contract for science. * In November 2014, the CDE and the testing contractor presented the SBE with the *Initial Science Stakeholder Meetings and Online Survey Report*, posted on the SBE Web site at <http://www.cde.ca.gov/be/ag/ag/yr14/documents/nov14item02a2.pdf>. * In January 2015, the CDE, in collaboration with the current testing contractor, convened two two-day meetings, to obtain input from California primary language education stakeholders regarding the development of new primary language assessments aligned with CCSS. * In March 2015, four outreach meetings were conducted to gather input from stakeholders regarding CAASPP expansion in history–social science, mathematics, end-of-course, technology, and visual and performing arts. * In April 2015, two one-day meetings were conducted with California stakeholders regarding the content of a proposed digital center for science assessments. * In June 2015, two meetings were conducted with California stakeholders to gather feedback on the proposed blueprints for the CAAs. * In November 2015, the CAASPP Stakeholder group reviewed proposed changes to the SSR. | * In January 2016, an in-person CAASPP Stakeholder meeting was held in Sacramento. Topics included the proposed ESSA-required CA NGSS assessments and test development plan, as well as the revisions to the SSR. * In February 2016, ETS convened a meeting in Sacramento with 42 educators to solicit input on the development of performance level descriptors for the CAA. *The California Alternate Assessment Content-specific Performance Level Descriptor Development Report* details the California educators involved, the purpose of this process, the specific activities undertaken, and results of this meeting (see attachment to Update which is on the California Alternate Assessments, posted on the SBE April 2016 Information Memoranda Web page at <http://www.cde.ca.gov/be/pn/im/infomemoapr2016.asp>). * The Curriculum and Instruction Steering Committee (CISC) meets monthly to share information on educational activities, including the CA NGSS. The CISC Science Subcommittee also meets monthly to share information and resources specific to the CA NGSS implementation. * The Early Implementer Initiative, facilitated by the K–12 Alliance/WestEd promotes communications about best practices and resources for implementation of the CA NGSS. * The Standards Implementation Steering Committee (SISC) works to facilitate collaboration and align messages; member organizations include the SBE, CCSESA, and CDE. * The Science Collaboration Committee establishes Communities of Practice related to science education and assists stakeholders with implementation of CA NGSS. Members include: K–12 teachers, school and district administrators, science education leaders, subject matter experts, and state and county employees. * The CA NGSS Steering Committee Member Organizations include: the Association of California School Administrators, the California Community Colleges Chancellor's Office, CCSESA, the CDE, the SBE, the California Science Project, the California Science Teachers Association, the California State University, the California Teachers Association, Californians Dedicated to Education Foundation, Chevron, Children Now, the K–12 Alliance /WestEd, Lawrence Hall of Science, SJCOE, S.D. Bechtel, Jr. Foundation, and the University of California Office of the President. |
| **Science Assessments**  (*EC* Section 606409[b][2]) | * The 2014 Budget Act included $4 million for the development of NGSS-aligned science assessments, including an alternate assessment. * CSTs, CMAs, and CAPA for science were administered to all students in grades five, eight, and ten during the 2013–14 test administration. * The development of successor science assessments, including alternate assessments, was included as part of the Scope of Work for the RFS contract to begin in July 2015, contingent on SBE approval of a test development plan. * The CDE participated as a member of the Council of Chief State School Officers Science Assessment Item Collaborative (SAIC)—a collaborative of states established to develop high-quality summative science test items aligned with the NGSS that could be used by member states as they build state science assessments. The SAIC project ran from fall of 2014 through fall of 2015 and focused on the development of the *SAIC Assessment Framework* *(Framework)*, *Item Specifications Guidelines*, and science item prototypes. The *Framework* and the *Item Specifications Guidelines* were released in the summer of 2015, and item prototypes were released in the fall of 2015. * In 2015, the CDE and Stanford’s NGSS Assessment Project (SNAP) were actively engaged in discussions regarding collaborative opportunities on CA NGSS assessment development and implementation. SNAP received a grant from the S. D. Bechtel Jr. Foundation to develop a two-year project designed to assist states, including California, in building a coherent system of formative and summative science assessments aligned with the CA NGSS for grades three through five and six through eight. | * In March 2016, the SBE approved the grades for which the California Science Test (CAST)—the summative assessment aligned with the CA NGSS-—will be administered: grades five, eight, and one assigned grade in high school. In addition, the SBE approved the test design for the assessment. * In May 2016, the SBE approved the elimination of assessments based on the 1998 Science Content Standards assessments which includes the CSTs, CMA, and CAPA and delegated authority to the SBE President, in consultation with the SSPI, to submit a letter to the ED requesting federal waiver authority to not double test or report individual student scores for the new CA NGSS summative assessments while conducting pilot testing and field testing (as consistent with previous authority granted to California when implementing the new ELA and mathematics assessments). The CDE received a response from the ED in September 2016, inviting them to resubmit a revised waiver. The CDE revised and resubmitted the waiver request on November 29, 2016. The ED denied the waiver on December 13, 2016 and provided instructions on requesting a hearing. The CDE submitted a request for a hearing on December 20, 2016. The hearing was conducted on January 6, 2017. * In July 2016, the SBE approved the test design for the development and administration of the CAA for Science and authorized the CDE to commence work on the development of the pilot plan and the materials for the spring 2017 pilot test administration. * In September 2016, California science educators convened to review CAST items in Sacramento. * In November 2016, the SBE approved the CDE recommendations that the SBE hold a public hearing and adopt the draft *CA Science Framework* with the Instructional Quality Commission recommended edits from the second 60-day public review period. In November 2016, California educators participated in an item writing workshop to develop CAST items and received professional development on the CA NGSS. |
| **Alternate Assessments**  (*EC* Section 60640[b][3]) | * In 2012, the National Center and State Collaborative (NCSC) consortium developed alternate assessments for ELA and mathematics linked to the CCSS and aligned to the Core Content Connectors. * In October 2013, California agreed to participate in the pilot testing of the NCSC alternate assessments. * In July 2014, the SBE approved a plan for full participation in the spring 2015 field test using the assessment developed through the NCSC consortium. * On July 30, 2014, the CDE received notification from NCSC of the requirements for state participation in the field test. Based on the changes in the criteria, California would not be allowed to participate in the field test. However, California would be able to participate in the NCSC Phase II Pilot in the spring of 2015. * In October and November 2014, the NCSC conducted the Phase II Pilot of the alternate assessment for ELA and mathematics. * In April through June 2015, the CAA Field Test was administered to eligible students. A total of 59,882 tests were completed for ELA and mathematics in 747 LEAs. There was an equitable number of participants in the field test among the eligible students in grades three through eight and grade eleven. * In July 2015, the SBE approved the CAA blueprints. * In December 2015, the CDE and the testing contractor conducted an item review of approximately 400 ELA and 400 mathematics items to be used in the 2015–16 administration of the CAAs. The item review included 12 California teachers for ELA and 10 California teachers for mathematics. | * In January 2016, the SBE adopted the general (policy) PLDs for the CAAs. General PLDs are short descriptors that convey the degree of student achievement in a given achievement level. The adopted General PLDs appear in Item 7 of the January 2016 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/jan16item07.doc>. * In May 2016, the SBE adopted the PLDs for the CAAs. These are descriptors of what students at each achievement level know and can do by grade level and content area (i.e., limited understanding [Level 1 – Alternate], foundational understanding [Level 2 – Alternate], or an understanding [Level 3 – Alternate]). The adopted PLDs appear in Item 7 of the May 2016 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/may16item07.doc>. In addition, the SBE adopted the 2015–16 CAASPP CAA SSR templates. * In July 2016, the SBE approved the test design for the development and administration of the CAA for Science, allowing the CDE to commence work on the development of the pilot plan and the materials for the spring 2017 pilot test administration. * In September 2016, the SBEadopted the CDE’s proposed threshold scores for the CAAs for ELA and mathematics (threshold scores determine the “entry” and/or “exit” points between the respective achievement levels that describe three levels of performance on the CAAs). The adopted threshold scores appear in the addendum to Item 4 of the September 2016 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/sep16item04addendum.doc>. * In December 2016, California educators participated in an item writing workshop to develop CAA items for ELA, mathematics, and science. |
| **Primary Language Assessments**  (*EC* Section 60640[b][5]) | * The proposed 2014 budget included $2 million in contract funding for the development of CCSS-aligned primary language assessment in a language other than English. * The STS for reading/language arts was made available and will continue to be available until replaced with a new CCSS-aligned primary language assessment. The STS is administered at the option of the LEA and is not used for state accountability purposes. * The CDE and the testing contractor prepared to host the first stakeholder meeting scheduled for January 2015 to solicit public input for the CCSS primary language assessment. * The development of successor primary language assessments was included as part of the Scope of Work for the RFS contract to begin in July 2015, contingent on SBE approval of a test development plan. | * In September 2016, the SBE adopted the high level test design for the California Spanish Assessment (CSA)—the primary language assessment—allowing for the commencement of test development activities. * From September 20 through 22, 2016, 18 California bilingual educators participated in Item Writer Training for the development of the test items for the pilot test scheduled for fall 2017. The purpose of the training was to lead California educators through the CCSS en Español and detail how to write items that are appropriate and free of bias and sensitivity issues. Educators learned about various technology-enabled items that will be used for the new CSA. * From October 11 through 14, 2016, a separate group of 17 bilingual educators participated in item and passage review meetings. The purpose of these meetings was to review the test items for content and bias and sensitivity concerns. * In November 2016, the CDE and ETS met with nationally renowned experts in linguistics, Dr. Kenji Hakuta and Dr. Guadalupe Valdés, to receive input on the draft achievement level descriptors (ALDs) and the blueprints for the CSA. * In December 2016, the CDE reviewed the pilot test plan and test forms in preparation for the pilot test. * On December 6 and 7, the CDE and ETS met with California educators via WebEx to receive input on the CSA blueprints. |
| **EAP**  (*EC* Section 60640[b][4]) | * The EAP used the Smarter Balanced Summative Assessment achievement level for high school beginning in 2014–15 and is set to continue to do so. | * No changes. |
| **CAASPP Expansion**  (*EC* Section 60649[c]) | * The CDE and the testing contractor made preparations for hosting a series of stakeholder meetings in 2015 to solicit input for assessments in other subjects and/or grades specified in *EC* Section 60640. * In fall 2015, the CDE contracted with WestEd’s Standards, Assessment, and Accountability Services (SAAS) program, to build on this initial work through a series of activities that could further inform the SSPI during his decision-making about recommendations to present to the SBE. * In November 2015, (prior to the authorization of ESSA, the CDE conducted three meetings with the assistance of the SJCOE and WestEd. The first two meetings, attended by education policy advisors, provided the attendees an opportunity to examine the landscape of California’s schools and provide suggestions for the role assessments should play in improving teaching and learning. Specifically, these policy stakeholders also provided suggestions on the State’s role in a comprehensive assessment system. * On December 8, 2015, a third meeting was held to gather information from higher education leaders on what they see as the future of the California assessment system. These policy leaders provided advice on how the K–12 assessment system can be consistent with higher education expectations for entering freshman. | * In January 2016, the CDE provided the SBE with the Framework for the Development of *California’s Comprehensive K–12 Assessment System: A Vision for the Future*. This framework was prepared by the CDE, in cooperation with the SJCOE and WestEd. It appears in Item 5 of the January 2016 SBE Meeting Agenda, which is posted at <http://www.cde.ca.gov/be/ag/ag/yr16/documents/jan16item05.doc>. * In March 2016, the CDE released its *Recommendations for Expanding California’s Comprehensive Assessment System*. The document is posted on the CDE Implementation of CAASPP Web page at <http://www.cde.ca.gov/ta/tg/ca/caasppimplementation.asp>. * In July 2016, the SBE approved that a public hearing be held to adopt the draft *History–Social Science Framework*, including changes recommended by the IQC on May 19, 2016 and additions submitted during public comment at the July 2016 SBE meeting. |
| **Grade Two Diagnostic Assessments**  (*EC* Section 60644) | * On October 30, 2014, the CCSS-aligned grade two diagnostic assessments identified for use was released on the CDE Grade Two Diagnostic Assessments Web page at <http://www.cde.ca.gov/ta/tg/da/>. | * No changes. |

## Contract Costs

CAASPP contract costs are required to be approved by the SBE and are contingent   
on the Department of Finance’s (DOF’s) review of the contract during contract negotiations, before its execution. Per *EC* Section 60643, the CDE, in consultation   
with the SBE, may make material amendments to the contract that do not increase the contract cost. Contract amendments that increase contract costs may only be made with the approval of the CDE, the SBE, and the DOF. As of the date of this report,   
the CAASPP System includes the following CAASPP contracts: (1) consortium-managed services; (2) State-managed services; (3) independent evaluation, and (4) CAASPP Institutes.

### Consortium-managed Services Contract

The consortium-managed services contract is a multi-year, sole-source contract with costs based on an annual fee structure for Smarter Balanced Assessment Consortium (Consortium) services provided by a Consortium-selected contractor. For the 2013–14 through 2016–17 test administrations, the Consortium-selected contractor is UCLA. The Consortium is in the process of selecting their contractor to provide these services for the 2017–18 test administration and beyond. The contract provides California access to Smarter Balanced Summative Assessment items for statewide testing; the ongoing refreshment of Smarter Balanced test items, validation research, blueprint alignment, accommodations and accessibility research, and so forth; access to Smarter Balanced Interim Assessments (for K–12 teachers) for optional use; and access to formative tools/Digital Library (also for K–12 teachers) for optional use.

The CDE contract with UCLA began July 1, 2014, and ends June 30, 2017. The total amount of the contract was decreased from $28,650,000 to $27,115,261 in July 2015, to reflect a one-time membership credit of $1,534,739 received from Smarter Balanced based on a return of 75 percent of the interim test price and 50 percent of the costs for additional field testing for California. It is anticipated that the annual cost for this contract will not exceed the current cap of $9,550,000 annually.

Table 4, below, provides a breakdown of the current UCLA contract costs per fiscal year.

**Table 4.** Consortium-managed Services Contract Costs

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Fiscal Year** | **Total Cost** | **Package** | **Per-student Rate** | **Students** |
| 2014–15 | $9,550,000 | Summative  Interim/formative (Digital Library) | $6.20  $3.35 | 1 million (cap)1  1 million (cap) |
| 2015–16 | $8,015,2612 | Summative  Interim/formative (Digital Library) | $6.20  $3.35 | 1 million (cap)  1 million (cap) |
| 2016–17 | $9,550,000 | Summative  Interim/formative (Digital Library) | $6.20  $3.35 | 1 million (cap)  1 million (cap) |

1 California tests approximately 3.2 million students annually with summative assessments.

2 Total reflects a one-time membership credit of $1,534,739.

### State-managed Services Contract

The State-managed services contract is a multiyear contract to conduct and support the annual administration of all CAASPP assessments, including the Smarter Balanced assessments. This contract was competitively bid through an RFS process with input from CDE and SBE staff. The CDE uses the RFS process to solicit bids and make a recommendation to the SBE. The SBE designates the contractor. As allowed in State law, the final Scope of Work and budget are then negotiated and approved by the CDE, the SBE, and the DOF.

The appropriation from each fiscal year involves funds that overlap contract activities for two separate CAASPP test administrations.

The current State-managed services contractor is ETS. The contract was awarded to ETS in May 2015 for the 2015–16 through 2017–18 test administrations. The contract began July 1, 2015, and ends December 31, 2018. Table 5, on the following page, provides a breakdown of the contract costs per fiscal year.

The 2015 Budget Act included a provision requiring the CDE to develop a plan for the use of any savings from the funds appropriated for the California High School Exit Examination (CAHSEE) contract, and as a condition of expending these fiscal year funds, submit the plan to the Joint Legislative Budget Committee and the DOF. The CDE provided a CAHSEE savings expenditure plan to the DOF and the Joint Legislative Budget Committee in November 2015.

The plan included funding for the licensing of NCSC consortium-developed alternate assessment items for ELA and mathematics for use in the CAAs.

The CDE entered into a separate licensing contract with edCount for $10,000. edCount is the fiscal agent for the new multistate alternate assessment collaborative that will administer the assessments developed by the NCSC for the use of NCSC items and/or the NCSC assessment.

In addition, leased items required additional efforts, by ETS, before the leased items can be incorporated into the California item bank for use in the CAAs. The leased items will need to be electronically edited to render correctly in our online test delivery system. The ETS State-managed services contract was amended to include the additional CAHSEE funding of $398,164 for this work.

Table 5, below, provides a breakdown of the current contract costs per fiscalyear.

**Table 5.** State-managed Services Contract Costs

|  |  |  |
| --- | --- | --- |
| **Fiscal Year** | **Total Cost** | **Cost Breakdown per Test Administration** |
| 2015–16 | $76,149,935 | * $75,999,935 for 2015–16 test administration costs * $150,000 to fund activities referenced in Task 6.1 of the approved contract to incorporate the NCSC assessment test items, as appropriate, into the CAA test development plan |
| 2016–17 | $83,107,093 | * $10,021,029 for 2015–16 test administration costs * $72,837,900 for 2016–17 test administration costs * $248,164 to fund review of NCSC items for use with CAA |
| 2017–18 | $75,759,080 | * $5,328,600 for 2016–17 test administration costs * $70,430,480 for 2017–18 test administration costs |
| 2018–19 | $5,328,600 | * $5,328,600 for 2017–18 test administration costs * Costs for 2018–19 test administration to be determined |

The CDE, in collaboration with the SBE, may exercise the option to extend the ETS contract for additional test administrations or release a new RFS.

### Independent Evaluation Contract

The independent evaluation contract is a multiyear contract to provide independent, objective technical advice and consultation on activities to be undertaken in implementing the CAASPP System, per *EC* Section 60649. The contract requires   
interim annual evaluation reports and a final report on the activities and analysis of the three-year evaluation, including recommendations to ensure the quality, fairness, validity, and reliability of the assessments. The contract is awarded through a competitive RFP process, with input provided by CDE and SBE staff. Through the RFP process, the contract is awarded to the responsible bidder with the lowest cost bid. The final contract is contingent on approval by the Department of General Services (DGS). The current contractor is HUMRRO. The contract began July 16, 2015, and ends December 31, 2017.

Table 6, below, provides a breakdown of the current contract costs per fiscal year.

**Table 6.** Independent Evaluation Contract Costs

|  |  |
| --- | --- |
| **Fiscal Year** | **Total Cost** |
| 2014–15 | $775,000 |
| 2015–16 | $621,000 |
| 2016–17 | $604,000 |

The current contract includes provisional authority for two one-year options to renew for the periods of January 1, 2018 through December 31, 2018 and January 1, 2019 through December 31, 2019 under the same terms and conditions.

### CAASPP Institutes and Senior Assessment Fellows Contract

The 2015 Budget Act authorized the use of up to $1.5 million in one-time savings from the consortium-managed services contract to contract for the following activities:

* Supporting the cost of the Senior Assessment Fellows to continue to provide services to LEAs regarding the implementation of the CAASPP System;
* Conducting CAASPP Institutes to train LEAs on how to best utilize the CAASPP System results, resources, and tools;
* Providing online training modules and training guides to be used by district and school administrators and teacher leaders to communicate and train others on the CAASPP System;
* Providing support for California’s State Network of Educators in the development of Digital Library resources, specific to the use of the Smarter Balanced assessments.

The DGS approved an interagency agreement between the CDE and the SCOE for these activities. The contract began July 16, 2015, and ended June 30, 2016. The total amount of this one-year contract for fiscal year 2015–16 was $1,499,998.58.

## Apportionment Costs

The CAASPP apportionment costs are funded in the annual Budget Act as part of the Assessment Apportionments schedule that includes funding for apportionments to LEAs for the CAASPP System, the CAHSEE, and the California English Language Development Test (CELDT). State testing apportionments are not paid to LEAs until the following fiscal year, after all testing has been completed for the school year and the final number of students tested has been certified by the LEAs. California law states that the SBE shall annually establish the amount of funding to be apportioned to LEAs for specified CAASPP assessments. State law does not authorize LEA apportionments for the optional Smarter Balanced Interim Assessments or formative (Digital Library) assessment tools.

State law (*EC* Section 60644) also specifies that the savings realized from the elimination of the grade two standards-based achievement test shall be used by LEAs to administer, at the option and cost of the LEA, a grade two diagnostic assessment identified by the CDE as meeting the requirements of *EC* Section 60644. State CAASPP regulations authorize the CDE to provide this funding to LEAs through the annual CAASPP apportionment process. The $1.2 million in savings realized from the elimination of grade two standards-based achievement tests, equally distributed for the approximate 475,000 students enrolled in grade two statewide annually, equals approximately $2.52 per student.

In January 2016, the SBE approved the LEA apportionment rates for CAASPP for the 2015–16 school year.

Table 7, below, provides a breakdown of estimated apportionment costs by assessment.

**Table 7.** Estimated Apportionment Costs for 2015–16 CAASPP Testing

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Assessment | Grade | Per- Student Rate | Estimated Student Population | Estimated Apportionment for 2015–16 Testing |
| Smarter Balanced Summative | 3–8 and 11 | $4.00 | 3,200,000 | $12,800,000 |
| CSTs or CMA in science1 | 5, 8 and 101 | $2.52 | 445,000 | $1,121,400 |
| CAA | 3–8 and 11 | $5.00 | 39,000 | $195,000 |
| CAPA in science1 | 5, 8 and 101 | $5.00 | 5,000 | $25,000 |
| STS | 2–11 | $2.52 | 9,000 | $22,680 |
| *EC* 60644 Grade 2 Diagnostic | 2 | $2.52 | 420,000 | $1,058,400 |
|  |  |  | **Total:** | **$15,222,480** |

1 The estimates for CSTs, CMA, or CAPA for science are based on the number of students tested annually in grade ten only. LEAs would receive an apportionment for students in grades five and eight that are tested with the Smarter Balanced Summative Assessments or the CAAs.

## Five-year Cost Projection

The annual Budget Act provides CAASPP funding for both contract costs and LEA apportionment costs. Cost projections are refined annually as contracts are negotiated and approved and activities are completed for each phase of the implementation of the CAASPP System.

Table 8, below, provides an updated five-year cost projection of CAASPP contract costs.

**Table 8.** Five-year Cost Projection of CAASPP Contract Costs

| **Fiscal Year** | **Consortium-managed Services Cost** | **CAASPP**  **Institutes**  **Cost** | **State-managed Contract**  **Cost** | **Expansion of CAASPP Cost** | **Independent Evaluation Cost** | **Total**  **CAASPP Contract Cost** |
| --- | --- | --- | --- | --- | --- | --- |
| 2015–16 | $8.0 million1 | $1.5 million1 | $83.6 million2 |  | $775,000 | $93.9 million |
| 2016–17 | $9.6 million |  | $82.9 million2 | $10 million3 | $621,000 | $103.2 million |
| 2017–18 | $9.6 million |  | $75.8 million2 | $10 million3 | $604,000 | $96.0 million5 |
| 2018–19 | $9.6 million |  | $5.4 million2  $78.6 milion4 | $10 million3 | $650,0003 | $104.3 million |
| 2019–20 | $9.6 million |  | $84.0 million4 | $10 million3 | $650,0003 | $104.3 million |

1. California received a one-time $1.53 million credit from UCLA. The 2015 Budget Act allowed this savings to be used for activities in the CAASPP Institutes contract.

2 Costs are taken from approved state-managed CAASPP contract services (see Table 5). Costs include funding for the development of successor assessments aligned with the new standards to replace the CSTs, CMA, CAPA, and STS assessments required as part of the CAASPP System.

3 Revised cost estimates are to be included in the March 2016 SSPI recommendations report to the Legislature for the expansion of the CAASPP System. Actual costs will not be known until contract bids are negotiated.

4  Actual costs will be determined through a future competitive bid process.

5 Contract costs for 2017–18 are slightly lower because of the scheduled field testing of the new science, science alternate, and primary language successor assessments. Per California law, CAASPP field tests shall not produce individual student scores unless it is determined that these scores are valid and reliable. There are no costs budgeted for the reporting of these field test results to LEAs or parents/guardians. The costs for 2018–19 will include reporting the results of the new successor assessments.

Table 9, below, provides an updated five-year cost projection for CAASPP LEA apportionments.

**Table 9.** Five-year Cost Projection of CAASPP LEA Apportionment Costs

| **Fiscal Year** | **LEA Apportionment**  **Cost** | **Test Administration**  **Reimbursed** |
| --- | --- | --- |
| 2015–16 | $12.3 million | 2014–15 test administration |
| 2016–17 | $15.3 million | 2015–16 test administration |
| 2017–18 | $15.3 million | 2016–17 test administration |
| 2018–19 | $15.3 million | 2017–18 test administration |
| 2019–20 | $15.3 million | 2018–19 test administration |

These projections are based on the current, approved CAASPP apportionment rates.  
The SBE may modify the amount to be apportioned in subsequent years to address changes to LEA test administration activities, including, but not limited to, the number and types of tests administered and changes in computerized test registration and administration procedures. Any adjustment to the CAASPP apportionment rates that will increase the total amount apportioned annually will require approval by the DOF. The CDE provided the DOF estimated costs per each test for statewide assessment apportionments to be administered in 2015–16, including approximately $15.2 million for the CAASPP System and $8 million for CELDT apportionments, totaling approximately $23.2 million for the development of a proposed 2016–17 budget appropriation.

Previously, a total of $23.7 million was appropriated for assessment apportionments in the fiscal year 2015–16 for 2014–15 testing. The SBE approved increasing the per student rate for the Smarter Balanced Summative Assessments from $3 to $4 beginning with the 2015–16 test administration. The proposed 2016 Budget Act appropriation of $22.3 million for assessment apportionments includes sufficient funding for this increase.

### Cost Projection Variations from Current Year and/or Proposed Budget

Both the 2015 Budget Act and the 2016 Budget Act provided sufficient funding for CAASPP contract costs and apportionment costs.

The 2015 Budget Act provided a total of $93,931,000 for CAASPP contract activities.   
A total of $93,911,413 in contract obligations for the various CAASPP contracts has been encumbered for 2015–16 activities.

The 2016 Budget Act provided a total of $93.03 million for CAASPP contract costs. A total of $93,012,929 in contract obligations for the various CAASPP contracts has been encumbered for 2016–17 activities.

The 2017 Budget Act provides a total of $87,727,000 for CAASPP contract costs. A total of $8,427,000 in contract obligations for the various CAASPP contracts has been encumbered for 2017–18 activities.

Funding for the estimated $10 million to expand the CAASPP was not included in the 2016 Budget Act and is not included in the proposed 2017 State budget. Again, cost estimates are to be finalized and included in the March 2017 SSPI recommendations report to the Legislature for the expansion of the CAASPP System. Actual costs will not be known until contract bids are negotiated.

### CAASPP Timeline

Table 10, below, provides information on the assessments that are anticipated to be a part of each CAASPP test administration and the projected costs per fiscal year for the overlapping test administration activities.

**Table 10.** CAASPP Timeline

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Fiscal Year 2015–16** | | **Fiscal Year 2016–17** | | **Fiscal Year 2017–18** | | **Fiscal Year 2018–19** | | **Fiscal Year 2019–20** | |
|  | |  | |  | |  | |  | |
| 2014–15 Test |  |
|  | |
| 2015–16 Test Administration | | |  |
| Administer: Smarter Balanced, CAAs, CSTs, CMA, CAPA for science, and STS | | |
|  | |  | |
| 2016–17 Test Administration | | |  |
| Administer: Smarter Balanced, CAAs, and STS | | |
| Pilot test: CAST, CAA for Science, and CSA | | |
|  | |  | |
| 2017–18 Test Administration | | |  |
| Administer: Smarter Balanced and CAA | | |
| Pilot test: TBD | | |
| Field test: CAST, CAA for Science and CSA | | |
|  | |  | |
| 2018–19 Test Administration | | |  |
| Administer: Smarter Balanced, CAAs, CAST, CAA for Science, and CSA | | |
| Pilot Test: TBD | | |
| Field Test: TBD | | |
|  | |  | |
| 2019–20 Test Administration | |
| Ongoing ------------------------🡪 | |
| Contracts: | $93.9 million | Contracts:  Expansion: | $93.2 million  $10.0 million | Contracts:  Expansion: | $86.0 million  $10.0 million | Contracts:  Expansion: | $94.3 million  $10.0 million | Contracts:  Expansion: | $94.3 million  $10.0 million |
| Apportionment: | $12.3 million | Apportionment: | $15.3 million | Apportionment: | $15.3 million | Apportionment: | $15.3 million | Apportionment: | $15.3 million |
| Total: | $106.2 million | Total: | $118.5 million | Total: | $111.3 million | Total: | $119.6 million | Total: | $119.6 million |

**Legend:** The **Smarter Balanced Summative Assessments** for ELA and mathematics, grades 3–8, 11; the **CAAs** for ELA and mathematics, grades 3–8, 11; the **CAST,** grades 5, 8, and assigned grade in high school; **CAA for Science** for grades 5, 8, and assigned grade in high school; the **STS** for students in reading/language arts, grades 2–11; the **CSA** for students receiving instruction in Spanish and/or seeking a measure that recognizes their Spanish-specific reading, writing, and listening skills.

1. Per *EC* Section 60605.7, California joined the Smarter Balanced Assessment Consortium in June 2011 as a governing state working on the development of computer-based English language arts/literacy (ELA) and mathematics assessments. As stipulated in *EC* Section 60640(b)(1), the Smarter Balanced assessments measure the current standards adopted by the State Board of Education (SBE). [↑](#footnote-ref-2)