

**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
Performance, Planning, and Technology Branch
October 2018**

Description: California Assessment of Student Performance and Progress Annual Implementation Update (covering the 2017 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

Due Date: On or before March 1 of each year

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Executive Summary

California *Education Code* Section 60604(b) requires that the State Superintendent of Public Instruction 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.

The Program 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 2017 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 fiscal year 2019–20.

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 Michelle Center, Director, Assessment Development and Administration Division, by phone at 916-319-0803 or by email at mcenter@cde.ca.gov.

This report, along with reports from previous years, is available on the California Department of Education CAASPP web page at <https://www.cde.ca.gov/ta/tg/ca/caasppimplementation.asp>.

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 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 and administrators to promote high-quality teaching and learning through the use of a variety of assessment approaches. The statute provides for the development and administration of assessments through the use of technology, where feasible.

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, the CAASPP summative assessments include Smarter Balanced Consortium-developed,¹ 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, mathematics, and science; the California Science Test (CAST); and the primary language assessment, the new California Spanish Assessment (CSA) for reading language arts (RLA), which will replace the Standards-based Tests in Spanish (STS) in spring 2019. The CAST was pilot-tested in 2017 and field-tested in 2018. The CAA for Science was pilot-tested in 2017 and will be field-tested in 2018. Both the CAST and CAA were census administrations. The CSA was piloted in fall 2017 and will be field-tested in the fall of 2018, replacing the paper-pencil STS.

In addition, state law requires that local educational agencies (LEAs) be provided with access to the Smarter Balanced formative assessment tools contained in the Smarter Balanced Digital Library and interim assessments for ELA and mathematics. Formative

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 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).

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 for the purposes of monitoring student progress and improving teaching and learning. Results of the assessments can be used to provide timely feedback to teachers that they can use to continually adjust instruction to improve learning and for communicating with students' parents/guardians. The results also can be used by teachers to identify professional development goals.

The summative assessments are computer-adaptive tests that measure what students know and can do. They produce scores that can be aggregated and disaggregated for the purpose of informing parents, LEAs, and the state about the achievement of students in learning the California academic content standards. The CAASPP summative assessments: (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 Elementary and Secondary Education Act (ESEA) as amended by the 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:

- For reading/language arts and mathematics, assess annually in each of grades three through eight and once in grade ten, eleven, or twelve.
- For science, assess once during each of three specified grade spans: grades five, eight, and either ten, eleven, or twelve.

CAASPP tests were used to meet ESEA requirements as modified by ESSA. Specifically, California met these federal requirements through the administration of the Smarter Balanced Consortium assessments and the CAAs for ELA and mathematics in grades three through eight and grade eleven; and the CAST and CAA for Science were administered in grades five, eight, and either ten, eleven, or twelve (each high school was assigned one of these grades).

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

- The test blueprints, *excluding* consortium assessments, specifying the standards to be assessed and number of items to be tested for each standard included in the tests.
- The score reporting structure that includes an overall scale score and general achievement level descriptors.

- The achievement levels used in CAASPP and the threshold scores, *excluding* consortium assessments, used to identify students' achievement levels.
- The regulations; testing period; calendar of when results are to be delivered to the state, LEAs, and parents/guardians; and when results are to be posted for the public.

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

Additional 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 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 | Grades | Content Areas |
|----------------------------|------------------|--|--|---------------------|
| Smarter Balanced Summative | CBT ¹ | All students, unless they have an IEP indicating an alternate assessment. (Recently arrived English learner [EL] students are exempted from the assessment for ELA.) | 3–8 and 11 ² | ELA and mathematics |
| CAAs | CBT | Students with the most 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 |
| CAST—Pilot Test | CBT | All students, unless they have an IEP indicating an alternate assessment (i.e., CAA for Science) | 5 and 8 and once in high school ⁴ | Science |
| CAA for Science—Pilot Test | PT ³ | Students with the most significant cognitive disabilities whose IEP indicates assessment with an alternate test (i.e., CAA for Science) | 5 and 8 and once in high school ⁴ | Science |

¹ CBT = Computer-based testing.

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

³ PT = Performance task administered to students one-on-one by test examiner who is familiar with the student. Participation data were collected through an online student survey of characteristics that must be completed for the student to be considered as having participated.

⁴ Each high school was assigned either grade ten, eleven, or twelve.

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

| Test/Tool | Type | Students | Grades | Content Areas |
|---|------------------|---|---------------|----------------------------------|
| Smarter Balanced Formative Assessment Tools | N/A | All students | K–12 | ELA and mathematics |
| Smarter Balanced Interim Assessments | CBT | All students | K–12 | ELA and mathematics |
| STS | PPT ¹ | 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 in Spanish |

¹ PPT = Paper-pencil testing.

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. Over the past seven years the CDE and the SBE have made great strides towards fully implementing a comprehensive CAASPP assessment system to include the development and administration of the CAAs for ELA and mathematics; and the development and administration of the CAST and the CAA for Science.

Brief implementation updates of the CAASPP activities during the 2017 calendar year are presented in this section.

Content Standards

No changes for this reporting period.

Periodic Updates of Assessment Transition

The 2017 activities in support of periodic updates of assessment transition were as follows:

- In January, the SBE approved the Finding of Emergency and Proposed Emergency Regulations for Amendments to the *California Code of Regulations*, Title 5 (5 CCR), sections 851 through 856. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/jan17item08.doc>.
- In March, the CDE provided updates to the development of the CAST, CAA for Science, and the CSA. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/mar17item05.doc>.
- In March, the SBE directed the CDE, in consultation with the SBE and the approval of the Department of Finance (DOF), to negotiate amendments to the CAASPP State-managed services contract to address the continuation of the STS for one year, a transition year for paper-pencil Smarter Balanced tests, enhancements to reporting systems, and system enhancements to allow for the implementation of Smarter Balanced embedded field test performance tasks. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/mar17item06.doc>.
- In May, the SBE approved the CAASPP State-managed services contract amendment. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/may17item02.doc>.

- In May, the SBE approved the Readoption of the Finding of Emergency and Proposed Emergency Regulations for Amendments to the 5 CCR, sections 851 through 856. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/may17item05.doc>.
- In July, the SBE directed the CDE to begin the process of renewing the current CAASPP administration contract for an additional two years to include the 2019 and 2020 testing administrations. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/jul17item04.doc>.
- In September, the CDE provided updates to the Science Waiver Request and changes to the CDE CAASPP Results website which will allow users to view results over time up to three years. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/sep17item01.doc>. Also the SBE approved the Finding of Emergency and Readopt Emergency Regulations for amendments to the 5 CCR sections 851 through 856. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/sep17item08.doc>.
- In November, the CAST and CSA blueprints, general achievement level descriptors, and score reporting structures were approved by the SBE. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/nov17item07.doc>.
- In November, the SBE also approved the commencement of a second 15-day public comment period for proposed amendments to 5 CCR, sections 850 through 859. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/nov17item10.doc>.

Informational Materials

The 2017 activities in support of informational materials were as follows:

- The CDE, in coordination with the testing contractor Educational Testing Service (ETS), provided several opportunities for teacher participation in the form of item writing workshops, item review workshops, data review, and range finding.
- The CDE met with the Regional Assessment Network (RAN), a sub-committee of the Curriculum and Instruction Steering Committee of the California County Superintendents Educational Services Association, every two months in 2017 to elicit feedback on informational materials and activities under development for all California assessments. The CDE continues to meet with RAN, which is charged with disseminating information on behalf of the CDE.
- The Assessment Division met with the Advisory Committee on Special Education, in support of the SBE, bi-monthly throughout 2017 to update the committee on assessment activities and developments, especially those related to accessibility.
- Outreach activities, including Hand Scoring Workshops, webcasts, and Pre-test and Post-test Workshops, were provided to communicate information to LEAs.
- The CDE participated in recurring Smarter Balanced Collaboration meetings to develop a long-term vision and theory of action and to articulate aligned goals, strategies, and potential investments that would serve the Smarter Balanced mission in a five-year strategic planning process.
- Throughout the year, the CDE's weekly informational newsletter, *CAASPP Update*, was disseminated to all CAASPP coordinators and CAASPP listserv subscribers, alerting them to the latest information about the testing program.
- In January and February, the CDE-sponsored CAASPP Institute was conducted at six sites throughout the state. The purpose was to provide professional development to teams of LEA staff on how to best use all components of the CAASPP System to improve teaching and learning. Nearly 1,500 LEA staff members representing approximately 500 LEAs participated in this training.
- In March, the CDE participated in a multi-state panel regarding the Next Generation Science Standards (NGSS)-aligned state assessments at the National Science Teachers Association Annual Conference for Educators.

- In July and August, workshops were conducted that provided support to LEA staff, primarily teachers, 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 August, the new Back-to-School Toolkit, a collection of resources developed to support district and site administrators, teachers, and parents/guardians in understanding and using results from the CAASPP summative assessments, was made available on the new CDE Back-to-School Toolkit web page at <http://www.cde.ca.gov/ta/tg/ca/backtoschoolkit.asp>.
- On December 14 and 15, the CAASPP Institute Training-of-Trainers was held at the county offices of education in Sacramento and Riverside.

Stakeholder Input

The 2017 implementation activities in support of stakeholder input were as follows:

- Monthly meetings with the Assessment Stakeholder Committee. Members include representatives from key educational associations throughout California:
 - Association of California School Administrators
 - Advisory Commission on Special Education
 - California Parent Teacher Association
 - California Bilingual Educators Association
 - Californians Together
 - California County Superintendents Educational Services Association
 - California Charter Schools Association
 - California Federation of Teachers
 - California School Boards Association
 - California Science Teachers Association
 - California Teachers Association
 - Special Education Local Plan Area Association
 - California Small School District Association

- Monthly meetings were held to report latest developments for statewide assessments. These meetings also sought feedback from the assembled educational stakeholders representing all stakeholder constituents. Topics by meeting included:
 - January—a discussion of the CSA blueprints, accessibility resources for science and the CSA, and a discussion of a growth model for accountability purposes
 - March—a discussion of the latest bills moving through the California Legislature pertaining to education
 - April—enhancements to the CAASPP System
 - May—a review of the recommendations to transition the English Language Proficiency Assessment for California (ELPAC) to a computer-based assessment
 - July—a review of the results from the CAA for mathematics, year-one pilot and changes proposed for the year-two pilot, CAASPP training opportunities, and newly available CAASPP resources
 - August—a discussion of the ELPAC performance level descriptors, proposed reporting hierarchy, and the release of the Back-to-School Toolkit web page and resources
 - October—a discussion of the latest developments for the ELPAC, the CAST, and the CAA for Science
 - December—a discussion of and feedback on the proposed Comprehensive Assessment System Long Term Plan and stakeholder recommendations for communication needs

- Bi-monthly meetings were also held with the Curriculum and Instruction Steering Committee’s Regional Assessment Network, consisting of representatives from all eleven regions throughout California. This group meets bi-monthly following an SBE meeting. The assessment division highlights the latest developments and activities for all statewide assessments at each meeting.

Meeting dates included:

- January 18, 2017
 - March 15, 2017
 - May 17, 2017
 - July 19, 2017
 - September 20, 2017
 - November 15, 2017
- The Assessment Division regularly presented to the Advisory Committee on Special Education. Topics highlight current developments for all assessments, with particular emphasis on the CAAs for ELA, mathematics, and science, and the accessibility resources for the Smarter Balanced Assessments for ELA and mathematics and the CAST. Meeting dates included:
 - February 23, 2017
 - April 19, 2017
 - June 22, 2017
 - October 11, 2017

Sample Items/Tasks

The 2017 implementation activities in support of sample items/tasks were as follows:

- In the spring, Smarter Balanced released a new Sample Items website, located at <http://sampleitems.smarterbalanced.org>, which allows parents/guardians, educators, and other stakeholders to explore and interact with sample questions in the same way that students encounter them on the Smarter Balanced Summative Assessments. Viewers can use search filters to quickly find items on the basis of grade, subject, claim, or item type.

The website presents a variety of item types used in Smarter Balanced assessments to accurately measure what students know and can do. These samples are not intended to be used as practice tests; rather, stakeholders can use them to better understand how Smarter Balanced measures college- and career-ready content.

- The CAST training test and scoring guide was released in February for grades five, eight, and high school and can be found at <http://www.caaspp.org/practice-and-training/index.html>. Two accessibility resources (the periodic table of elements and a reference sheet) were available as an embedded universal tool or as a non-embedded designated support available for use with the training test.
- CAA practice tests and scoring guides were produced for grades three, eight, and eleven for ELA and mathematics.
- The training test for the CAA for Science was produced as an embedded performance task (PT) to be administered one-on-one, in a non-secure format, for use in preparing for the pilot CAA for Science and for use in preparing for the pilot CAA for Science.

Regulations

The 2017 implementation activities in support of regulations were as follows:

- After the second operational CAASPP administration, a few specific changes were needed to ensure that the results from the 2016–17 school year would be valid, reliable, and consistent with state and federal laws.
- At its January meeting, the SBE approved the Finding of Emergency and Proposed Emergency Regulations to allow for the timely preparations for the administration and reporting of the spring 2017 CAASPP administration.
- At its March meeting, the SBE approved commencement of permanent rulemaking for the proposed amendments to the CAASPP regulations.
- At its May meeting, the SBE approved readoption of the Finding of Emergency and Proposed Emergency Regulations for amendments to the 5 *CCR*, sections 851–856.
- At its July meeting, the SBE approved the changes to the CAASPP regulations and asked that the changes be circulated for a 15-day comment period.
- At its September meeting, the SBE approved the second readoption of the Finding of Emergency and Proposed Emergency Regulations for amendments to the 5 *CCR*, sections 851–856.
- At its November meeting, the SBE approved the changes required by the Office of Administrative Law and asked that the changes be circulated for a 15-day comment period.

Contracts

No changes for this reporting period.

Technology Readiness

The 2017 implementation activities in support of technology readiness were as follows:

- The CDE continued to work with the K–12 High Speed Network to complete the installation of or upgrades to Internet services for 99 sites (schools and districts) through the Broadband Infrastructure Improvement Grants (BIIG). The number of LEAs with completed BIIG projects totaled 277.
- ETS, with the assistance of the California School for the Blind and the CDE, created several instructional videos to demonstrate the technology requirements for using braille embossers and braille readers so students with blindness and visual impairments can take the annual assessments.
- On May 9, a record number of nearly 500,000 California students took the online CAASPP assessments concurrently. This number far exceeded the peak of approximately 350,000 concurrent test takers during the 2015–16 school year. ETS has expanded the CAASPP Assessment Delivery System capacity to support 1.9 million concurrent users from the previous dedicated support for 500,000 concurrent users.

Test Security

No changes for this reporting period.

Reporting of Results

The 2017 implementation activities in support of reporting of results were as follows:

- In April, the CDE posted the 2015–16 accessibility reports for ELA, mathematics, and science for summative testing. The reports include charts for the counts of students who were assigned designated supports or accommodations, aggregated statewide by grade, by LEA, and by school. Within each table, the accessibility resources counts are aggregated further by combinations of English learner designation and special education or Section 504 plan status. This information can be found at <https://caaspp.cde.ca.gov/supportsandaccommodations.asp>.

- In August, a pilot plan for electronic score reporting was developed. Select LEAs will participate in a pilot test of electronic reporting in the spring of 2018. They will receive and distribute the Student Score Reports (SSRs) electronically to parents/guardians. The CDE will collect feedback in 2018 to make informed decisions on the future viability of electronic reporting and the best ways of implementing it for the rest of the field.
- In September, the CDE released results for all assessments except the pilot tests (CAST and CAA for Science). These results can be found at <https://caaspp.cde.ca.gov/sb2017/Search>.
- In October, the results from the 1 percent threshold survey were released; this file lists the LEAs that reported they may exceed the 1 percent threshold for alternate assessments for 2016–17. This reporting function will continue with districts participating in the electronic reporting pilot. This information can be found at <https://caaspp.cde.ca.gov/>.

Performance Standards

The 2017 implementation activities in support of performance standards were as follows:

- In November, the CAST and CSA blueprints, general achievement level descriptors, and score reporting structure were approved by the SBE. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/nov17item07.doc>.
- In November, Smarter Balanced contracted with the American Institute of Research (AIR) to conduct a thorough review of the entire item bank for mathematics and ELA to ensure that all items were functioning properly, aligned to the proper common core content, and were being scored correctly. The AIR found no technical issues with the 2016–17 test results. Details of this review are contained in a memo from the Smarter Balanced Executive Board, of which Keric Ashley, Deputy Superintendent, Performance, Planning, and Technology Branch, was a member. The Board is committed to providing accurate information to educators, policy makers, parents, and students so that students can reach their full potential after high school.

Test Results (Growth)

The 2017 implementation activities in support of test results (growth) were as follows:

- In January, the SBE discussed the characteristics desired for growth reporting and suggested a set of criteria to be applied in evaluating the various types of growth models
(<https://www.cde.ca.gov/be/ag/ag/yr17/documents/jan17item02.doc>):
 1. “Change-in-distance-to-met” measures absolute growth of each student from the prior year to the current year using distance from level 3 as the measurement threshold.
 2. “Conditional percentile rank of the gain” ranks the growth of students who are grouped together as a result of having the same prior-year test scores in the same subject and grade.
 3. “Residual gain” is the difference between a student’s predicted test score and actual test score. The predicted score is based on both prior ELA and mathematics test scores and the scores of all other students in the same grade.

ETS completed simulations for the growth models in 2017. In 2018, ETS will provide analyses of the three models.

Annual Analysis of Results Posting

In September, the SSPI announced that California students retained the strong gains they made in 2016 (see September 27, 2017, CDE News Release at <http://cde.ca.gov/nr/ne/yr17/yr17rel67a.asp>). Statewide, in all tested grades, 48.56 percent of students met or exceeded the ELA standards, a 4.56 percent change from 2015. In mathematics, 37.56 percent of students met or exceeded standards, also an increase of 4.56 percent from 2015. In addition, 59.76 percent of grade eleven students were ready or conditionally ready for credit-bearing college work in ELA, with 32.14 percent ready or conditionally ready for credit-bearing college work in mathematics. A subsequent release of the results for the CAA for ELA and mathematics and the STS was provided in October. The results can be found at <https://caaspp.cde.ca.gov/sb2018/SearchCAA?ps=true&lstTestYear=2017>.

Continuous Improvement Plan

The CDE worked in coordination with ETS to pilot the electronic student score reporting for the 2017–18 CAASPP administration. The plan was to transition a few LEAs from the paper-based delivery of CAASPP SSRs to providing SSRs in an electronic format that the LEA made available to parents through their parent portal.

The pilot was intended to provide proof of viability of the proposed technology solution in delivering electronic SSRs. The pilot also tested the connectivity between student information system vendors and the cloud solution in the provision of electronic score reporting. The pilot introduced electronic reporting to a select community of LEAs to identify benefits and challenges associated with adopting this new report delivery method. The pilot included a sample of LEAs based on size (small, medium, and large and one charter LEA), location, technology readiness, and student population.

This pilot provided opportunities to learn from the exploration of an innovative technology and new administration process with a small, defined group that informed decisions about implementing that solution statewide.

Independent Evaluation

The 2017 implementation activities in support of the independent evaluation were as follows:

- Pursuant to *EC 60649*, the Human Resources Research Organization (HumRRO) continued its three-year independent evaluation of CAASPP to provide objective technical advice and consultation on activities supporting the implementation of the CAASPP System.
- HumRRO conducted evaluation studies to review the hand-scoring processes and the utility of score reporting from June through December.
- From August through December, HumRRO prepared an annual evaluation to report findings and recommendations from evaluation activities conducted during 2016–17. Based on the acceptance of the HumRRO request for a no-cost contract extension, the new end date for the comprehensive final report is planned for June 30, 2018. The final report will be submitted to the Governor, the Superintendent, the state board, and the chairs of the education policy committees in January 2019.
- In August, HumRRO conducted an alignment study for the CAA ELA and mathematics assessments.
- From September through December, HumRRO conducted management and SBE meetings to discuss progress, plans, and issues with CDE staff and to meet with SBE staff and provide presentations at SBE meetings, as requested.
- In December, HumRRO participated in the Technical Advisory Group meetings; established approval schedule requirements to plan for and manage CDE approval of instruments, reports, and other deliverables; and established a comprehensive plan and schedule for project activities and deliverables.

Smarter Balanced Summative Assessments

The 2017 implementation activities in support of the Smarter Balanced Summative Assessments were as follows:

- The Smarter Balanced Assessment Consortium field tested new performance tasks for both ELA and mathematics. The items were integrated into the 2016–17 administration of the Smarter Balanced Assessments. Field testing of new items will continue into the 2017–18 test administration.
- During the summer and fall of 2017, Smarter Balanced convened educators from consortium states for several annual item review activities including item writing training, item review, data review, and range finding.

California Alternate Assessments in English Language Arts and Mathematics

- Ongoing development work continues with the CAA for ELA and mathematics.
- Developing new items that will better address the needs and abilities of this population by adding an additional field test question to test to more quickly increase size of item bank.
- Added built-in stopping places for test examiners to stop testing students that do not respond or engage to the items. The addition of the stopping points alleviates both the student and the test examiner from having to go through the entire test to submit the test for scoring.
- Post equated 2016–17 administration of the CAA for ELA and mathematics test results, with plans to continue to post equate the 2017–18 and 2018–19 administrations.
- On December 31, the CDE provided the ED with a submission of evidence for peer review of the CAA in ELA and mathematics. The results are expected in the summer of 2018.

Interim and Formative Assessments

The 2017 implementation activities in support of interim and formative assessments were as follows:

- Smarter Balanced added 34 new Connections Playlists to the Digital Library.

- In August, a number of Smarter Balanced Digital Library enhancements were deployed, resulting in more efficient searches that are prepopulated on the basis of content area(s) and grade level(s) of interest specified in the user’s account profile.
- In September, 6 new Interim Assessment Blocks (IABs) were made available to California LEAs, and 13 IABs from the 2016–17 school year were revised. This brought the total number of IABs to 107 and the total number of available Interim Comprehensive Assessments to 14.
- In September, a new Interim Assessment Reporting System was made available to California LEAs. The new reporting system allows educators to perform such functions as:
 - View interim assessment items.
 - View student responses to test items.
 - View the CCSS to which the item is linked.
 - View aggregate student results.
 - Access related links to Digital Library resources.
- More than 6.4 million Smarter Balanced Interim Assessments were administered across more than 1,500 California LEAs in the 2016–17 school year. As of December 21—roughly marking the first half of the 2017–18 school year—a total of 2,021,525 interim assessments had been started across 878 LEAs.

California Science Test

The 2017 implementation activities in support of science assessments were as follows:

- On January 18, the CDE received a letter from the U.S. Department of Education (ED) that denied the waiver request to not double test or report individual scores for the new CAST while conducting pilot and field testing of the CAST general and alternate assessments. The waiver request was submitted to the ED on June 2, 2016.
- The CAST pilot test was available March 20, 2017, through the LEAs selected testing window or July 17, 2017, whichever comes first. The CAST pilot test was administered to all students enrolled in grades five and eight and assigned grades in high school (i.e., ten, eleven, or twelve). The pilot test consisted of approximately 15 items and took about one hour to administer to students. Over 1.7 million students were administered the CAST pilot test.
- On April 28, the CDE and the SBE submitted another waiver request letter to the ED for the CAST.

- In June and July, Item Review Workshops were conducted in preparation for the field test in 2018.
- On August 16, the ED approved the CDE’s request to waive the statutory requirements of Section 1111 of the ESEA of 1965, as amended by Section 8401 of the ESSA, for the 2016–17 school year.
- The ED requested that the CDE provide an assessment plan for the science assessments for 2017–18.
- In November, the SBE approved the CAST blueprint, general achievement level descriptors, and score reporting structure.
- On November 27, the CDE provided the ED with the plan for the science assessments.

California Alternate Assessment for Science

The 2017 implementation activities in support of the CAA for Science were as follows:

- The CAA for Science pilot test was available March 20, 2017, through the LEA’s selected testing window or July 17, 2017, whichever came first.
- All students eligible to take the alternate assessment for science in grades five and eight were administered the CAA for Science pilot test. High school students were assigned a grade (i.e., ten, eleven, or twelve). All students in assigned grades were expected to participate in the pilot test.
- In November, item writer training for the CAAs was conducted for ELA, mathematics, and science. On November 1, the CAA for Science year 2 pilot was launched, nine embedded performance tasks (three embedded performance tasks each), for grades five, eight, and once in high school, were posted to a secure website for LEAs to access. An embedded performance task is an assessment that takes place after instruction of the content has occurred. LEAs could begin administering embedded performance tasks beginning in November 2017 through the LEAs last day of instruction or July 16, 2018, whichever comes first.

California Spanish Assessment

The 2017 implementation activities in support of the CSA were as follows:

- From July 17–21, 24 California educators participated in reviewing test items and passages for content and bias and sensitivity concerns.

- From September 18–October 6, the CSA pilot test was conducted. Five LEAs throughout California participated in the pilot test for the purpose of testing the functionality of the technology enhanced items.
- In October, cognitive labs were conducted with 50 students for the purpose of evaluating new item types and online universal tools.
- In November, the CSA blueprint, general achievement level descriptors, and score reporting structure were approved by the SBE. This SBE agenda item can be found at <https://www.cde.ca.gov/be/ag/ag/yr17/documents/nov17item07.doc>.

Early Assessment Program

No changes for this reporting period.

California Assessment of Student Performance and Progress Expansion

The CDE continues in the development of the CAA for Science, the CAST, and the CSA.

Grade Two Diagnostic Assessments

No changes for this reporting period.

Contract Costs

CAASPP contract costs are required to be approved by the SBE and are contingent on the 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 multiyear, sole-source contract with costs based on an annual fee structure for Smarter Balanced Assessment Consortium (Consortium) services provided by a Smarter Balance Consortium-selected contractor. For the 2017–18 through 2019–20 test administrations, the Consortium-selected contractor is the Regents of the University of California (UC). 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 the Regents of the UC began July 1, 2014, and ends June 30, 2020. The total amount is approximately \$56 million over six years. It is anticipated that the annual cost for this contract will not exceed the current cap of \$9.55 million annually.

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

Table 4. Consortium-managed Services Contract Costs

| Fiscal Year | | | | |
|-------------|--------------------------|---|---|-----------------|
| 2014–15 | \$9,550,000 | Summative and Interim/Formative (Digital Library) | \$6.20 Summative and \$3.35 (Digital Library) | 1 million (cap) |
| 2015–16 | \$8,015,261 ² | Summative and Interim/Formative (Digital Library) | \$6.20 Summative and \$3.35 (Digital Library) | 1 million (cap) |
| 2016–17 | \$9,550,000 | Summative and Interim/Formative (Digital Library) | \$6.20 Summative and \$3.35 (Digital Library) | 1 million (cap) |
| 2017–18 | \$9,550,000 | Summative and Interim/Formative (Digital Library) | \$6.20 Summative and \$3.35 (Digital Library) | 1 million (cap) |
| 2018–19 | \$9,550,00 | Summative and Interim/Formative (Digital Library) | \$6.20 Summative and \$3.35 (Digital Library) | 1 million (cap) |
| 2019–20 | \$9,550,00 | Summative and Interim/Formative (Digital Library) | \$6.20 Summative and \$3.35 (Digital Library) | 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, as reported in the 2015 Annual Implementation Update and Five-year Cost Projection report. The report can be found at <https://www.cde.ca.gov/ta/tg/ca/caasppimplementation.asp>.

State-Managed Services Contract

The state-managed services contract is a multiyear contract for the annual administration of all CAASPP assessments, including the Smarter Balanced assessments. This contract was competitively bid through a Request for Submission (RFS) process with input from CDE and SBE staff. 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 current state-managed services contractor is ETS. The contract was awarded in May 2015 for the 2015–16 through 2017–18 test administrations. In January 2018, the SBE approved the renewal of the contract with ETS for a period of two years to cover the 2018–19 and 2019–20 CAASPP test administrations.

The 2017–18 Budget Act provided \$77,273,778 for the ongoing administration of all components of the CAASPP System and some key enhancements as follows:

- Deliver the interim assessment data on a daily basis to Smarter Balanced to provide item-level student response information in the interim assessment reporting system.
- Revise the data file format and delivery process to capture the scores for each of the four writing extended response dimensions and report the extended response dimension scores (performance task rubric scores) in the online reporting system.
- Develop a Science Academy providing professional development for educators to build capacity for the implementation of the NGSS and an understanding of how the science assessment item types can inform teaching and learning.
- Conduct simulations for three growth models under consideration for California's accountability system.

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

Table 5. State-Managed Services Contract Costs

| Fiscal Year | Total Cost | Cost Breakdown per Test Administration |
|----------------------|-------------------|--|
| 2015–16 | \$76,149,935 | <ul style="list-style-type: none"> • \$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 NCSC¹ assessment test items, as appropriate, into the CAA test development plan |
| 2016–17 | \$83,107,093 | <ul style="list-style-type: none"> • \$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 | \$77,273,778 | <ul style="list-style-type: none"> • \$5,754,766 for 2016–17 test administration costs • \$71,519,012 for 2017–18 test administration costs |
| 2018–19 | \$82,754,000 | <ul style="list-style-type: none"> • \$5,380,178 for 2017–18 test administration costs • \$77,373,822 for 2018–19 test administration costs |
| 2019–20 | \$77,220,228 | <ul style="list-style-type: none"> • \$1,578,399 for 2018–19 test administration costs • 75,641,892 for 2019–20 test administration costs |
| 2020–21 ² | \$2,369,536 | <ul style="list-style-type: none"> • \$2,369,536 for 2019–20 test administration costs • Costs for 2020–21 test administration to be determined |

¹ NCSC = National Center and State Collaborative

² 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 to the responsible bidder with the lowest cost bid through a competitive Request for Proposal (RFP) process, with input provided by CDE and SBE staff. The final contract is contingent on approval by the Department of General Services. The current contractor is HumRRO. The contract began July 16, 2015, and ends June 30, 2018.

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 |
| 2017–18 | \$300,000 |
| 2018–19 | \$681,000 |
| 2019–20 | \$767,000 |
| 2020–21 | \$353,000 |

California Assessment of Student Performance and Progress Institutes

The CDE entered into an interagency agreement with the Sacramento County Office of Education to support the development, implementation, and ongoing improvement of high-quality, valid, reliable, and fair statewide assessment and accountability systems in schools and school districts throughout California. Included in this contract is the development and delivery of a CAASPP Institute to teams from schools and school districts throughout the state to support implementation of all aspects of the statewide assessment system. The CAASPP Institute provides guidance and support for:

- Understanding and becoming familiar with the state's new assessments
- Developing and implementing different approaches to analyzing and interpreting summative assessment test results and embedding performance tasks into the curriculum
- Creating a practical approach to providing accessibility resources to students based on their individual needs and characteristics
- Creating a practical approach to using interim assessments and exploring the interim assessment reporting and hand-scoring systems
- Utilizing resources in the Smarter Balanced Digital Library to support the formative assessment process in the classroom
- Developing a CAASPP implementation plan for LEAs during guided team planning time

The contract began July 1, 2016, and ends June 30, 2018. The total contract amount is \$3,915,766. The total contract amount for CAASPP Institutes activities is \$1,223,442.

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. 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 2017, the SBE approved the LEA apportionment rates for CAASPP for the 2016–17 school year. The estimates for CAST and CAA for science are based on the estimated number of pupils tested in grade ten or grade twelve only—pupils not required to take an additional CAASPP assessment. The estimates for the Smarter Balanced Summative and CAA apportionment already include an LEA apportionment reimbursement for pupils in grades five, eight, and eleven who will also take the CAST and/or CAA for science. Table 7, below, provides a breakdown of estimated apportionment costs by assessment.

Table 7. Estimated Apportionment Costs for 2016–17 CAASPP Testing

| Assessment | Per-Pupil Rate | Estimated Pupil Population | Estimated Apportionment for 2016–17 Testing |
|----------------------------|----------------|----------------------------|---|
| Smarter Balanced Summative | \$4.00 | 3,200,000 | \$12,800,000 |
| CAST | \$4.00 | 280,500 | \$1,122,000 |
| CAA | \$5.00 | 39,000 | \$195,000 |
| CAA for science | \$5.00 | 5,000 | \$25,000 |

| Assessment | Per-Pupil Rate | Estimated Pupil Population | Estimated Apportionment for 2016–17 Testing |
|-----------------------------|----------------|----------------------------|---|
| STS | \$2.52 | 9,000 | \$22,680 |
| EC 60644 Grade 2 Diagnostic | \$2.52 | 420,000 | \$1,058,400 |
| N/A | N/A | Total: | \$15,223,080 |

Five-Year Cost Projection

The annual Budget Act provides 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 CAASPP System implementation.

Cost projections for the state-managed services contract are from the approved state-managed CAASPP contract services (see Table 5). State-managed services contract costs include funding for the development of the CAST, CAA for Science, and the CSA. Total CAASPP 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. There are no costs budgeted for the reporting of these field test results to LEAs or parents/guardians. The costs for 2018–19 and 2019–20 include reporting the results of the CAA and Alternate Assessment for Science. Table 8, below, provides an updated five-year cost projection of CAASPP contract costs.

Table 8. Five-Year Projection of CAASPP Contract Costs

| Fiscal Year | Consortium -managed Services Cost | State-managed Contract Cost | Expansion of CAASPP Cost | Independent Evaluation Cost | Total CAASPP Contract Cost |
|--------------------|--|------------------------------------|---------------------------------|------------------------------------|-----------------------------------|
| 2016–17 | \$9.6 million | \$83.1 million | \$10 million | \$621,000 | \$103.2 million |
| 2017–18 | \$9.6 million | \$77.3 million | N/A | \$604,000 | \$87.7 million |
| 2018–19 | \$9.6 million | \$82.8 million | N/A | \$681,000 | \$93.2 million |
| 2019–20 | \$9.6 million | \$76.9 million | N/A | \$767,000 | \$87.7 million |
| 2020–21 | \$9.6 million | \$76.7 million | N/A | \$760,000 ¹ | \$87.1 million |

¹ Contract costs for 2020–21 include \$353,000 in current contract obligations and a projected \$408,000 in contract costs for a new independent evaluation contract. Actual contract costs for 2020–21 and future years will be determined through a future competitive bid process.

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

Table 9. Five-Year Projection of CAASPP LEA Apportionment Costs

| Fiscal Year | LEA Apportionment Cost | Test Administration Reimbursed |
|--------------------|-------------------------------|---------------------------------------|
| 2016–17 | \$15.3 million | 2015–16 test administration |
| 2017–18 | \$15.3 million | 2016–17 test administration |
| 2018–19 | \$16.6 million | 2017–18 test administration |
| 2019–20 | \$16.6 million | 2018–19 test administration |
| 2020–21 | \$16.6 million | 2019–20 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 2016–17, including approximately \$15.3 million for the CAASPP System.

The proposed 2017 Budget Act appropriation of \$15.3 million is sufficient funding for the for CAASPP apportionments to LEAs for specified CAASPP assessments.

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 was 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 was encumbered for 2016–17 activities.

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

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. The contract costs include the consortium-managed services contract cost, the state managed services contract costs, educator reporting contract costs, and the independent evaluation of the CAASPP contract costs.

Table 10. CAASPP Timeline

| Fiscal Years | Fiscal Year 2016–17 | Fiscal Year 2017–18 | Fiscal Year 2018–19 | Fiscal Year 2019–20 | Fiscal Year 2020–21 |
|---|---|---|---|---|---|
| Test Administrations | 2016–17 Test Administration | 2016–17 Test Administration and 2017–18 Test Administration | 2017–18 Test Administration and 2018–19 Test Administration | 2018–19 Test Administration and 2019–20 Test Administration | 2019–20 Test Administration and 2020–21 Test Administration |
| Operational Assessments | Administer: Smarter Balanced, CAAs, and STS | Administer: Smarter Balanced and CAA | Administer: Smarter Balanced, CAA, CAST, and CSA | Administer: Smarter Balanced, CAA, CAST, CAA for Science, and CSA | Administer: Smarter Balanced, CAA, CAST, CAA for Science, and CSA |
| Assessments Being Census or Sample Piloted and Field Tested | Pilot Test: CAST, CAA for Science, and CAA | Field Test: CAST, CAA for Science, and Pilot Test for CSA | Field Test: CAA for Science and CSA | None | None |
| Contracts Cost | \$93.2 million | \$87.7 million | \$93.2 million | \$87.6 million | \$87.3 million |
| Apportionment Cost | \$15.3 million | \$15.3 million | \$16.6 million | \$16.6 million | \$16.6 million |
| Total | \$108.5 million | \$103 million | \$109.8 million | \$104.2 million | \$103.9 million |