



2016–17 Information Guide

The 2016 Accountability Transition Report

November 2016

**Prepared by the
California Department of Education**

Available online at:
<http://www.cde.ca.gov/ta/ac/ay/>

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Preface

This guide provides technical information on the 2016 Accountability Transition Report, which is being provided as California transitions from the prior state and federal accountability system to the new integrated local-state-federal accountability system adopted by the State Board of Education (SBE) at the September 2016 SBE meeting. The guide is intended for accountability coordinators at local educational agencies (LEAs) to understand the data displayed in the 2016 Accountability Transition Report, including the calculation methodology and inclusion and exclusion rules that were applied.

The data displayed in this report are for **display purposes only**. However, all the data displayed will be used to calculate the Local Control Funding Formula (LCFF) evaluation rubrics, which will be released in 2017. The following indicators are included in the 2016 Accountability Transition Report:

- Participation Rate
- Four-Year Cohort Graduation Rate
- Three-Year Average of the Four-Year Cohort Graduation Rates
- Program Improvement (PI) Status

This guide is not intended to serve as a substitute for state and federal laws or regulations or to detail all of an accountability coordinator's responsibilities in applying accountability requirements to an LEA or school. The guide should be used in conjunction with academic accountability information provided through the California Department of Education (CDE) Accountability Progress Reporting (APR) Web page at <http://www.cde.ca.gov/ta/ac/ar/> and from e-mail and correspondence disseminated by the CDE to accountability coordinators.

For information about being added to the CDE accountability coordinators listserv, please visit the Accountability Listserv Web page at <http://www.accountabilityinfo.org/> or contact the Academic Accountability Unit (AAU) by phone at 916-319-0863 or by e-mail at aau@cde.ca.gov.

This guide is produced by the CDE's AAU and Data Visualization and Reporting Office (DVRO) in the Analysis, Measurement, and Accountability Reporting Division. Questions about the participation rate calculations, should be addressed to the AAU at the phone number or e-mail address listed above. Questions about the graduation rate should be addressed to the Data Reporting Office (DRO) by phone at 916-327-0219. Questions about school and LEA Program Improvement (PI) determinations and PI reports should be addressed to the DVRO by phone at 916-322-3245 or by e-mail at piaccountability@cde.ca.gov.

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The 2016 Accountability Transition Report

Key Changes to the 2016 Accountability and 2015–16 PI Reports

■ The New Accountability and Continuous Improvement System

California’s new accountability and continuous improvement system will build on the foundations of the Local Control Funding Formula (LCFF). The LCFF includes eight priority areas for school districts and charter schools (ten priority areas for county offices of education) that define a quality education more broadly than a single test score and requires that the accountability system consider all LCFF priority areas. By reporting performance on multiple measures that impact student performance across the LCFF priorities, the new accountability system provides a more complete picture of what contributes to a positive educational experience for students.

The passage of the Every Student Succeeds Act (ESSA), in December 2015, reauthorized the Elementary and Secondary Education Act (ESEA) and gave states greater flexibility in developing their state plans and systems for holding schools accountable for student progress. Therefore, the State Board of Education (SBE) selected LCFF priorities that also satisfied ESSA accountability requirements. The accountability provisions under ESSA do not take effect until the 2017–18 school year.

■ Elimination of AYP

Although California will continue to administer the Smarter Balanced assessments during this transition period, the California Department of Education (CDE) will **no longer produce** Adequate Yearly Progress (AYP) reports. To facilitate an orderly transition to the new accountability requirements under the ESSA, states are not required to report performance against Annual Measurable Objectives (AMOs) beginning with the 2015–16 school year. However, since the 95 percent participation rate criteria is an ESSA requirement, states are required to report participation rates. The graduation rate data are being reported for **information purposes only** because these data will be used in the initial release of the new California accountability system in 2016–17.

■ What Indicators are Included in the 2016 Accountability Transition Report?

The following indicators will be included in the initial release of the 2016 Accountability Transition Report:

- **Participation Rate** on the Smarter Balanced Summative Assessments in English language arts/literacy (ELA) and mathematics
- **Four-Year Cohort Graduation Rate** (Class of 2015)
- **Three-Year Average of the Four-Year Cohort Graduation Rates** (Class of 2014, 2013, and 2012)

■ Changes to the Calculation of the Participation Rate

For the 2016 Accountability Transition Report, the testing window used in the Participation Rate was determined by each local educational agency's (LEA's) California Assessment of Student Performance and Progress (CAASPP) coordinator. LEA CAASPP coordinators set up test dates in the Test Operations Management System (TOMS) Test Administration Setup module. LEAs established a selected testing window of no less than 25 school days within their available testing window.

■ California Alternate Assessment

The results for the California Alternate Assessments (CAA) will not be included in the initial 2016 Accountability Transition Report because the data are not yet available. However, the CAA will be used in reporting the participation rate when the 2016 Accountability Transition Report is updated in 2017.

■ Program Improvement

The 2016–17 school year will be the last year that LEAs and schools will receive a Program Improvement (PI) determination. Only LEAs and schools that received Title I, Part A funds for the 2015–16 school year will have a PI status reported for the 2016–17 school year. LEAs and schools that received Title I, Part A funds and had a PI placement year for the 2015–16 school year will retain their same PI status and placement for the 2016–17 school year. All other LEAs and schools that received Title I, Part A funds for the 2015–16 school year will have a PI status of “Not in PI.”

The 2016 Accountability Transition Report

The 2016 Accountability Transition Reports can be accessed on the CDE Accountability Progress Reporting (APR) Web page at <http://www.cde.ca.gov/ta/ac/ar/>.

School, LEA, and State Level Reports

All schools, LEAs, and the state receive a 2016 Accountability Transition Report. The school, LEA, and state level reports will have a table displaying the results for each of the following:

- **Participation Rate** on the Smarter Balanced Summative Assessments in ELA and mathematics
- **Four-Year Cohort Graduation Rate** (Class of 2015)
- **Three-Year Average of the Four-Year Cohort Graduation Rates** (Class of 2014, 2013, and 2012)

Statewide Data Files

The statewide data files for the 2016 Accountability Transition Report, Four-Year Cohort Graduation Rate, average graduation rate, and PI results are provided in both XLS and TXT formats and are downloadable from the CDE APR Web page at <http://www.cde.ca.gov/ta/ac/ar/>.

Associated record layouts, data definitions, and download instructions are also provided on this Web page.

Considerations Regarding Assessment Results

Special considerations or adjustments are made in the 2016 Accountability Transition Report calculations for statewide assessment results of students who take the test using an unlisted resource that changed the construct of the test.

■ Universal Tools, Designated Supports, and Accommodations

Students who take the Smarter Balanced Summative Assessments may be provided universal tools, designated supports, and accommodations. A description of these accessibility supports is provided on the CDE Matrix One: CAASPP Web page at <http://www.cde.ca.gov/ta/tg/ai/caasppmatrix1.asp>. Providing universal tools, designated supports, and accommodations to students

during testing does not result in changes to the calculations of the participation rate. However, unlisted resources (e.g., English dictionary, thesaurus) are not universal tools, designated supports, or accommodations. In some cases, the use of an unlisted resource will change the construct being tested and thus impact the participation rate. Per Title 5 *California Code of Regulations (5 CCR)*, Section 853.5(h), a student who uses an unlisted resource that changes the construct of a CAASPP test will be counted as “not participating” in statewide testing. However, the student will still receive a Student Score Report with his or her scale score.

Sources of Data Used in the 2016 Accountability Transition Report Calculations

The information that forms the basis for the participation rate calculations comes from the assessment results of the Smarter Balanced Summative Assessments and CAA. More information about this testing system is located on the CDE CAASPP System Web page at <http://www.cde.ca.gov/ta/tg/ca/>. The following assessment results were used in 2016 Accountability Transition Report calculations.

- **Smarter Balanced Summative Assessments**
Grades three through eight and eleven for ELA and mathematics
- **California Alternate Assessments (to be included in the 2017 update)**
Grades three through eight and eleven for ELA and mathematics

For the graduation rate, four years of enrollment and exit data are used to calculate the graduation rate for a school, an LEA, and the state. Data used to calculate the graduation rate come from student-level data maintained in the California Longitudinal Pupil Achievement Data System (CALPADS).

Accountability Reporting Timeline

- November 2016** The 2016 Accountability Transition Report and 2016–17 PI reports are released in on the CDE APR Web page at <http://www.cde.ca.gov/ta/ac/ar/>.
- November – December 2016** The English Learner Performance Report is released on the CDE Title III Accountability Web page at <http://www.cde.ca.gov/ta/ac/t3/>.
- February 2017** The updated 2016 Accountability Transition Report is released on the CDE APR Web page. This report will reflect the incorporation of the 2015–16 CAA into the participation rate calculations.

For more information about accountability reports, trainings, data reviews, and correction processes, contact the Academic Accountability Unit (AAU) by phone at 916-319-0863 or by e-mail at aau@cde.ca.gov.

For more information about PI reports and PI determinations, contact the Data Visualization and Reporting Office (DVRO) by phone at 916-322-3245 or by e-mail at piaccountability@cde.ca.gov (PI determinations and PI reports). For the English Learner Performance Report, contact the DVRO by phone at 916-323-3071 or by e-mail at amao@cde.ca.gov.

Who Receives a 2016 Accountability Transition Report?

Schools and LEAs

All schools, LEAs, and the state receive a 2016 Accountability Transition Report. Schools and LEAs that receive federal Title I funds receive a PI status. An LEA, for accountability reporting, is defined as a school district, a county office of education (COE), or a statewide benefit charter.

A school must have a county-district-school (CDS) code, and an LEA must have a county-district (CD) code at the time of testing to receive a report. Information about CDS code assignments is located on the CDE Schools and Districts Web page at <http://www.cde.ca.gov/ds/si/ds/>.

Charter Schools

Charter schools that are locally-funded (funded through the LEA) and charters that are their own LEA (direct-funded charter schools) are subject to the same accountability requirements that apply to all public schools. If the charter school receives Title I, Part A funds, the PI accountability provisions under ESEA Section 1116 of Title I also apply. For accountability purposes, a statewide benefit charter is considered an LEA, and each of its school sites is considered a school.

Although a direct-funded charter school is considered to be its own LEA (California *Education Code* [EC] Section 47636[a][1]), the school is treated as a school for Title I purposes and receives the school report only. In addition, a direct-funded charter school is subject to the PI accountability provisions that apply to schools and not LEAs.

Participation rate results from direct-funded charter schools will not be counted in the results of the sponsoring school district or COE. In addition, due to the LCFF, locally-funded charter schools will not be counted in the results of the sponsoring school district or COE.

Student Groups

Definitions of Student Groups Used in the 2016 Accountability Transition Report

Terms	Definitions
Student groups used in the calculations:	<ul style="list-style-type: none"> • Black or African American • American Indian or Alaska Native • Asian • Filipino • Hispanic or Latino • Native Hawaiian or Pacific Islander • White • Two or More Races • Socioeconomically Disadvantaged • English Learners • Students with Disabilities
"Socioeconomically Disadvantaged" (SED) students are defined as:	<ul style="list-style-type: none"> • Students where both parents have not received a high school diploma - or - • Students who were eligible for the Free and Reduced Meal Program (FRPM) (also known as the National School Lunch Program), or has a direct certification for free or reduced-price meals - or - • Students who are migrant, homeless, or foster youth
"English Learners" are defined as:	<ul style="list-style-type: none"> • Students who are identified as EL (English learner) based on results of the California English Language Development Test (CELDT) - or - • Reclassified fluent English proficient (RFEP) students within the past four years (i.e., the student's reclassification date is after April 15, 2012). These students are counted in determining numerical significance for the EL student group.
"swd" are defined as:	<ul style="list-style-type: none"> • Students who receive special education services and have a valid disability code, or took the CAA - or - • Students who were previously identified as special education but who are no longer receiving special education services for two years after exiting special education. These students are not counted in determining numerical significance for the SWD (students with disabilities) student group.

Reclassified Fluent English Proficient

In calculating the 2016 Accountability Transition Report for the EL student group in a school or an LEA, students who were reclassified within the past four years (i.e., the student's reclassification date is after April 15, 2012), are counted when determining whether the EL student group meets the minimum student group size. An RFEP student's inclusion in the EL student group is determined by using the RFEP data in CALPADS.

ELs First Enrolled in U.S. Schools

Title 5 *California Code of Regulations (CCR)*, sections 850(l) and (u) exempts EL students, who were first enrolled in U.S. schools for less than a year before testing, from participating in the ELA assessments. Therefore, any EL student who first enroll in a U.S. school after April 15, 2015, are not required to participate in the ELA computer adaptive test (CAT) and performance task (PT) of the Smarter Balanced Summative Assessments and the ELA CAT for the CAA. If these students do not take the ELA CAT and PT (or the ELA CAT for the CAA), they will be removed from the participation rate denominator and will not be included in the school's participation rate. However, if they chose to participate in taking the ELA CAT and PT (or the ELA CAT for the CAA), they will be *included* in the ELA participation rate.

All EL students, regardless of when they were first enrolled in U.S. schools, are required to take the mathematics assessments. These students will be counted in the calculation of the mathematics participation rate.

Students with Disabilities

All student records with a valid disability code in CALPADS are included in the SWD student group. In addition, students who were previously identified under Section 602(3) of the Individuals with Disabilities Education Act, and received special education services within the last two years are included in the SWD student group. Any student record with a special education exit date after April 15, 2014, is considered to have received special education services within the past two years and is included in the SWD student group. These students, however, are not counted when determining whether the SWD student group meets the minimum group size to be numerically significant.

All students who take the CAA are considered as receiving special education services, even if the disability code in CALPADS is blank.

A student with a disability, with a valid district of residence code in CALPADS and who is enrolled in a special education school or enrolled in a special education program (school code is identified as Non-Public School [NPS]), is included in the district of residence accountability results.

A student with a disability, who is placed in a private school by an LEA, is included in the LEA and state calculations of the participation rate.

Race and Ethnicity Categories

Federal guidance requires states to ask respondents a two-part question. The first question addresses ethnicity and asks whether the respondent is Hispanic or Latino. The second question addresses race, which all respondents (including Hispanic or Latino respondents) are required to answer. It requests the respondent to select one or more races from a list of racial categories. Respondents who indicate they are Hispanic or Latino are reported as Hispanic or Latino, regardless of their response to the race question.

The 2016 Accountability Transition Report reports data on eight race and ethnicity categories: Black or African American, American Indian or Alaska Native, Asian, Filipino, Hispanic or Latino, Native Hawaiian or Pacific Islander, White, and Two or More Races. Specific Asian groups (i.e., Chinese, Japanese, Korean, Vietnamese, Asian Indian, Laotian, Cambodian, Hmong, or Other Asian) are counted as Asian. Native Hawaiian or specific Pacific Islander groups (i.e., Guamanian, Samoan, Tahitian, or Other Pacific Islander) are counted as Native Hawaiian or Pacific Islander. If multiple groups are marked in the same racial category (e.g., Chinese and Korean), the student is classified as that category (e.g., Asian), not Two or More Races.

For accountability purposes, the following steps determine which race/ethnicity student group a student's test results are included:

1. If the CALPADS student record shows Hispanic or Latino in any field, the student's results are included in the Hispanic or Latino student group.
2. If the CALPADS student record shows non-Hispanic or Latino and only one race, the student's results are included in the student group of that racial category.
3. If the CALPADS student record shows non-Hispanic or Latino and more than one race, the student's results are included in the Two or More Races student group.
4. If the CALPADS student record shows blank in all fields, the student's results are included in the schoolwide and districtwide data but not in any race/ethnicity student group.
5. If the CAASPP student record cannot be matched to a student record in CALPADS, the student will be included in the Two or More Races student group. Note that unmatched records can only occur with the paper-pencil version of the Smarter Balanced Summative Assessment.

2016 Accountability Criteria

School Type for Reporting Purposes

School type designations of elementary, middle, and high are determined using multiple criteria. LEA type is determined from the California Public School Directory database and grade spans.

■ How School Type is Determined

This section describes the basic steps the CDE used in determining school type for the 2016 Accountability Transition Report.

Step 1: Grade span is used to assign school type.

In the California Public School Directory database, the CDE lists a school's grade span according to the lowest and highest grade in which student enrollment was reported in the most recent certified CALPADS data collection. For most schools assigned a grade span, the school type can be determined according to the following table:

Grade Span Criteria for
School Type Classification

School Type Assigned	Grade Span Served
Elementary	K–K, K–1, K–2, K–3, K–4, K–5, K–6, K–7, K–8 1–1, 1–2, 1–3, 1–4, 1–5, 1–6, 1–7, 1–8 2–2, 2–3, 2–4, 2–5, 2–6, 2–7, 2–8 3–3, 3–4, 3–5, 3–6, 3–7, 3–8 4–4, 4–5, 4–6, 4–7 5–5, 5–6 6–6
Middle	4–8 5–7, 5–8 6–7, 6–8, 6–9 7–7, 7–8, 7–9, 7–10 8–8, 8–9, 8–10
High	7–11, 7–12 8–11, 8–12 9–9, 9–10, 9–11, 9–12 10–10, 10–11, 10–12 11–11, 11–12 12–12

Step 2: Enrollment is used to assign school type.

Some schools have grade spans that are much broader than those listed in Step 1. For example, a kindergarten through grade twelve school serves elementary, middle, and high school students.

School Type Determined by Enrollment

School Type Assigned	Grade Span Served
Determined by Enrollment	K-9, K-10, K-11, K-12 1-9, 1-10, 1-11, 1-12 2-9, 2-10, 2-11, 2-12 3-9, 3-10, 3-11, 3-12 4-9, 4-10, 4-11, 4-12 5-9, 5-10, 5-11, 5-12 6-10, 6-11, 6-12

In these cases, school type is determined according to the school's enrollment pattern. School type based on enrollment is determined according to "core" grade spans:

Core Grade Spans for Determining School Type

School Type	Core Grade Span Served
Elementary	K-5
Middle	7-8
High	9-12

Note: Grade six is left out of the core grade span designations. Because some schools view grade six as "elementary" while others view it as "middle," the process remains neutral on whether grade six is considered one or the other.

Schools with a grade span that include two or more core grade spans (e.g., kindergarten through grade twelve or grades three through eleven) are assigned a school type according to the largest enrollment in a core grade span. For example, a school with grades kindergarten through twelve has enrollment of 106 students in the kindergarten through grade five span; 192 students in the grades seven and eight span; and 52 students in the grades nine through twelve span. Since the enrollment in grades seven and eight is the largest of the three core grade spans, the school is assigned a "middle" school type. If the enrollment for two core grade spans is equal, the school type is equal to the previous year's school type.

Step 3: Change in school type in current year from prior year.

If the current school type is different from that of the prior year, the rules to determine the current year school type are as follows:

- a. If the differences in the enrollment of core grade spans of K–5, 7–8, and 9–12 between the current year and prior year are less than 10 students or 10 percent the following criteria are applied:

Step 1: Assign the current year school type based on the school type (i.e., elementary, middle, high) in the California Public School Directory.

Step 2: If school type in CALPADS enrollment file is undetermined (e.g., community day schools, K–12 schools), assign the current year school type according to the largest enrollment in a core grade span.

Step 3: If school type in CALPADS is undetermined and enrollment of core grade spans are tied, or only grade six has enrollment, maintain prior year school type.

- b. If the differences in enrollment of core grade spans of K–5, 7–8, and 9–12 between the current year and prior year are greater than or equal to 10 or 10 percent, then the school type determination is used based on Steps 1 and 2.

2016 Accountability Transition Report Criteria Details

This section provides the specific details of the Participation Rate, Four-Year Cohort Graduation Rate, and Three-Year Average of the Four-Year Cohort Graduation Rates.

■ Participation Rate

Participation Rate Formula

Number of students who participated* in the
Smarter Balanced Summative Assessments or the CAA

divided by

Number of students enrolled during the testing window

*A student will be counted as a “participant” (or included in the numerator of the participation rate) if the student, at a minimum, logs onto both the CAT and PT (for each content area).

Testing Window

Prior to calculating the participation rate, a school’s **testing window** must be determined. The testing window dates for each LEA are provided in the file CDE received from the testing contractor. LEA CAASPP coordinators set up test dates in the TOMS Test Administration Setup module. LEAs may establish a selected testing window of no less than 25 school days within their available testing window. LEAs may extend a selected testing period up to an additional 10 consecutive instructional days.

Participation Rate Numerator: Tested

For students to be considered as “participating” and included in the count for tested (i.e., included in the numerator), they must:

- Be deemed as “enrolled.” Only students who are included in the count for enrolled are included in the count for tested. (See the next section for the enrollment criteria.)
- Log onto (or have a test completion date) in both the CAT and the PT in the same content area.

For example, if a student logs onto the ELA CAT and does not log onto the ELA PT, the student would be counted as not participating in the ELA assessment. Similarly, if a student logs onto both the ELA and mathematics PT, but not onto the ELA and mathematics CAT, the student would not be counted as participating in either ELA or mathematics.

Students who are not tested due to a parent wavier will not be included in the numerator but will be included in the denominator in the participation rate calculation.

Participation Rate Denominator: Enrolled

Students Who *Do Not* Transfer In or Out During the Testing Window

Students who are enrolled during a school's testing window, and **do not transfer in or out** during the testing window, are included in the enrolled count (i.e., included in the participation rate denominator).

Students Who *Do* Transfer In or Out During the Testing Window

Because some students **transfer in or out** during a school's testing window, **grace periods** were developed. Grace periods represent a period of time at the beginning and/or end of a testing window where LEAs and schools will not be held accountable for testing certain students. These grace periods only apply to certain students who transfer in or out during the testing window to hold schools harmless for not administering the tests to these students.

Grace Periods for the Smarter Balanced Summative Assessments

- **Testing Window is 14 Days:** Schools with a testing window of 14 days *do not have any* grace periods. In this instance, the 14 days comprise the accountability testing window.
- **Testing Window is 15–30 Days:** Schools with a testing window of 15 to 30 days have a 14-day grace period applied *at the end* of the testing window.
- **Testing Window is 31 or More Days:** Schools with a testing window of 31 or more days have two 14-day grace periods: one at the beginning of the testing window and one at the end.

Grace Periods for the California Alternate Assessment

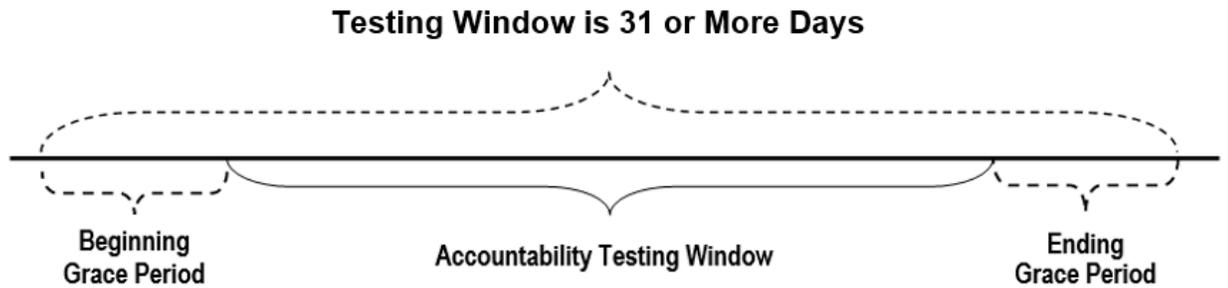
The testing window for the CAA was set between April 11, 2016, and June 17, 2016. Therefore, two 5-calendar day grace periods were applied at the beginning and end of the CAA testing window.

Extensions for the Smarter Balanced Summative Assessments Testing Window

LEAs can request an extension of up to ten consecutive instructional days. If LEAs request an extension, the extension period will be included when determining the LEAs' testing window and grace periods for accountability purposes.

Accountability Testing Window

The diagram below illustrates the differences between the testing window, grace periods, and accountability testing window. The “testing window” includes both grace periods and the accountability testing window. The days not covered by the grace periods during the testing window reflect the **accountability testing window** (i.e., the grace periods do not overlap into the accountability testing window).



Students Who Transfer In or Out

Students not tested will be excluded or included in a school’s participation rate based on **when** the student transferred in or out:

- **Transfer In**

Based on the diagram above, schools are **responsible for testing students** who transfer in during the beginning grace period or the Accountability Testing Window. These students **will be included** in the enrolled count (i.e., included in the participation rate denominator).

Schools are **not responsible for testing students** who transfer in during the ending grace period. These students **will not be included** in the enrolled count.

- **Transfer Out**

Using the diagram above, schools are **not responsible for testing students** who transfer out during the beginning grace period. These students **will not be included** in the enrolled count (i.e., not included in the participation rate denominator).

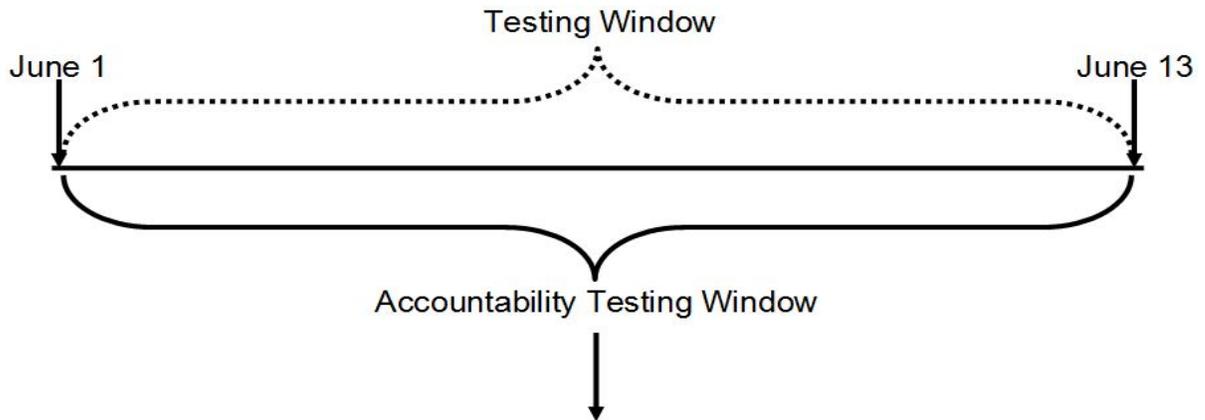
Schools are **responsible for testing students** who transfer out during the Accountability Window or the ending grace period. These students **will be included** in the enrolled count (i.e., included in the participation rate denominator).

Examples of Testing Windows, Grace Periods, and Accountability Testing Windows

The examples below detail the information above regarding testing windows, grace periods, and accountability testing windows.

Testing Window is 14 Days

The LEA CAASPP coordinator for Jefferson City Junior High School set up the testing window in TOMS beginning on **June 1**. The school's testing window ended on June 14 (i.e., end of the academic year). Because the testing window was 14 days, no grace periods were applied for this school.

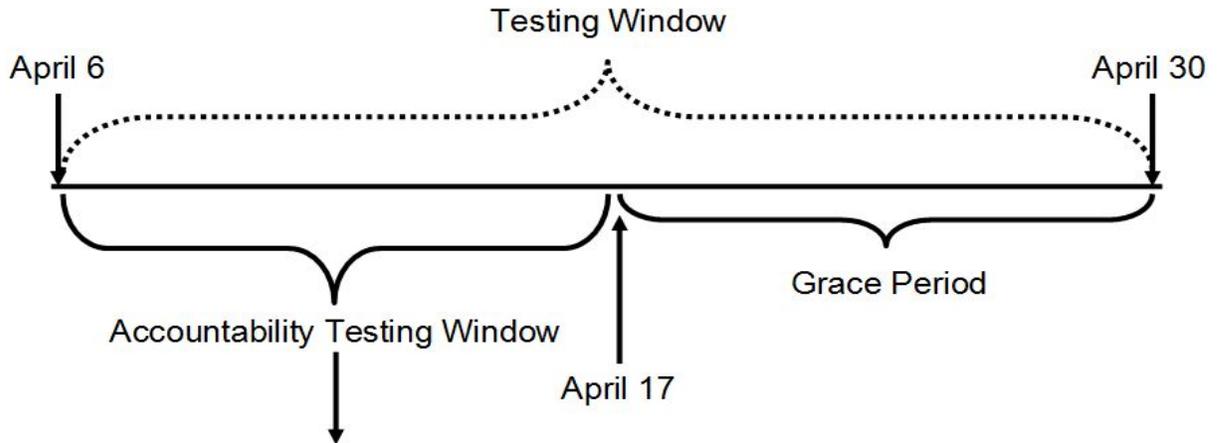


Students who **transferred in** or enrolled between June 1 and June 13 will be included in the school's participation rate denominator.

Students who **transferred out** during the testing window (June 1 to June 13) will be included in the participation rate denominators, unless the student completed the CAT and PT at another school during its testing window. If this occurs, the student will then be included in the other school's participation rate.

Testing Window is 15 to 30 Days

The LEA CAASPP coordinator for Jefferson City Junior High School set up the testing window in TOMS beginning on **April 6** and ending on **April 30**. Because the testing timeframe was between 15 and 30 days, the school is only eligible for a 14-day grace period to be applied at the end of the testing window. Therefore, Jefferson City Junior High School's grace period is from **April 17** to **April 30**.



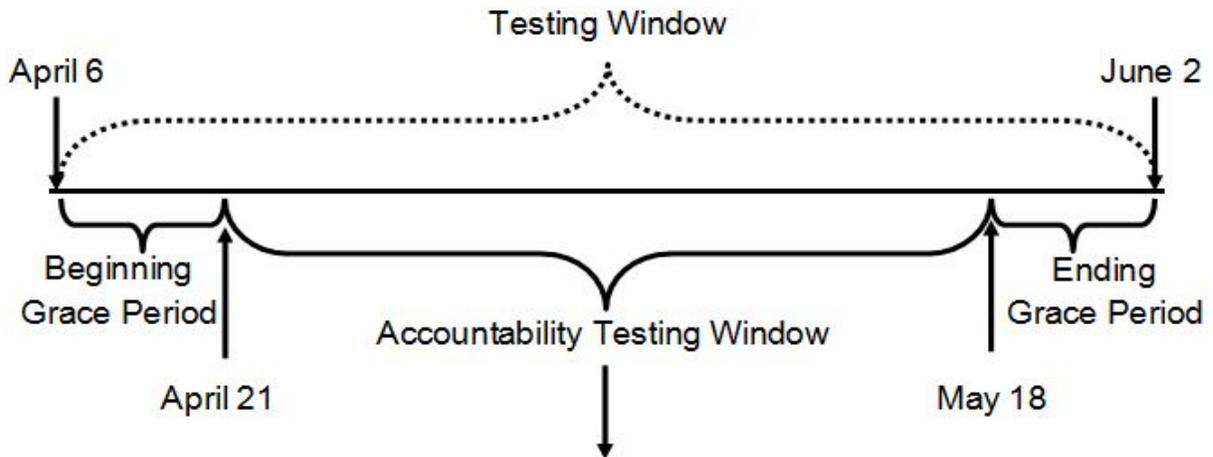
All students enrolled during the **entire** testing window (April 6 to April 30) will be included in the participation rate denominator. In addition:

- Students who **transferred in** between April 6 and April 17 will be included in the school's participation rate denominator.
- Students who **transferred in** during the grace period (April 17 to April 30) will not be included in the participation rate denominator. The schools is not held responsible for testing these students.
- Students who **transferred out** during the testing window (April 6 to April 30) will be included in the participation rate denominators, unless the student completed the CAT and PT at another school during its testing window. If this occurs, the student will then be included in the other school's participation rate.

Testing Window is 31 or More Days

The LEA CAASPP coordinator for Jefferson City Junior High School set up the testing window in TOMS beginning on **April 6** and ending on **June 2**. Because the testing timeframe was more than 31 days, the following two 14-day grace periods were applied at the beginning and end of the testing window:

- **April 6 to April 20** at the beginning, and
- **May 19 to June 2** at the end



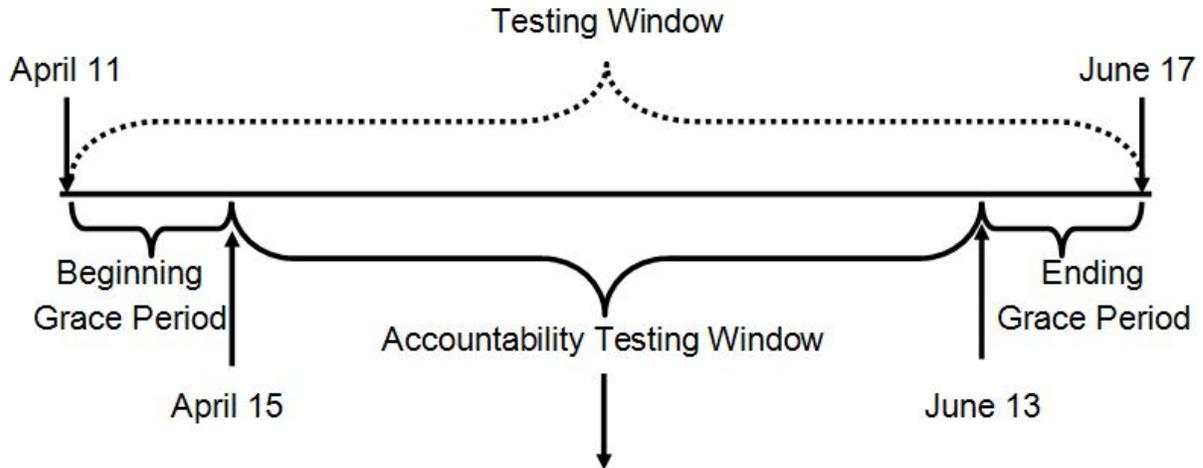
All students enrolled during the **entire** testing window (April 6 to June 2) will be included in the participation rate denominator. In addition:

- Students who **transferred in** between April 6 and May 18 will be included in the school's participation rate denominator.
- Students who **transferred in** during the ending grace period (May 19 to June 2) will not be included in the participation rate denominator. The schools is not held responsible for testing these students.
- Students who **transferred out** during the beginning grace period (April 6 to April 20) will not be included in the participation rate denominator.
- Students who **transferred out** between April 21 and June 2 will be included in the participation rate denominators, unless the student completed the CAT and PT at another school during its testing window. If this occurs, the student will then be included in the other school's participation rate.

CAA Testing Window

Annapolis High School's first day of the CAA was **April 11**. The testing window ended on **June 17**. The following two 5-day grace periods were applied at the beginning and end of the testing window:

- **April 11 to April 15** at the beginning, and
- **June 13 to June 17** at the end



All students enrolled during the **entire** testing window (April 11 to June 17) will be included in the participation rate denominator. In addition:

- Students who **transferred in** between April 11 and June 13 will be included in the school's participation rate denominator.
- Students who **transferred in** during the ending grace period (June 13 to June 17) will not be included in the participation rate denominator. The schools is not held responsible for testing these students.
- Students who **transferred out** during the beginning grace period (April 11 to April 15) will not be included in the participation rate denominator.
- Students who **transferred out** between April 15 and June 17 will be included in the participation rate denominators, unless the student completed the CAT and PT at another school during its testing window. If this occurs, the student will then be included in the other school's participation rate.

Students Who Take the CAT or PT at Different School Sites

Students who move during the testing timeframe may take one portion of the test (CAT or PT) at one school and complete (or not complete) the remaining portion of the test at another school. The following table contains examples of when students will be included or excluded from the participation rate if they move during the testing timeframe and take CAT or PT (for each content area) at different schools.

Examples of When Students Are Included or Excluded from the Participation Rate if They Transfer

Student	Jefferson City Junior High (JCJH)	Carson City Middle School (CCMS)	Participation Rate Determination
1	Student exits during the beginning grace period and never enrolls at another school. The student has not yet taken any of the Smarter Balanced Summative Assessments.	(Does Not Enroll)	Due to the grace period applied at the beginning of testing, the student will not be included in JCJH's participation rate (neither the denominator nor the numerator).
2	Student exits during the accountability testing window and never enrolls at another school. The student has not yet taken any of the Smarter Balanced Summative Assessments.	(Does Not Enroll)	Because the student exited JCJH during the accountability testing window (and never enrolled in another school during its accountability testing window), the student will be included in JCJH's denominator for both the ELA and mathematics participation rates. However, the student will not be included in the numerator, since the student did not participate in the assessments.
3	Student completed the ELA PT but exits during the beginning grace period before completing the remaining Smarter Balanced Summative Assessments.	Student enrolls during the beginning grace period, completes the mathematics CAT and PT, but does not complete the ELA CAT.	<p>Because the student enrolled at CCMS during its beginning grace period, CCMS is responsible for administering the ELA CAT, mathematics CAT, and mathematics PT to the student.</p> <p>The student will be included in CCMS's mathematics participation rate numerator and denominator. The student will only be included in the ELA participation rate denominator and not the numerator because the ELA CAT was not completed.</p>
4	Student completed the ELA CAT and PT but exits during the accountability testing window before completing the mathematics CAT and PT.	Student enrolls during the beginning grace period and completes the mathematics CAT and PT.	<p>Because the student completed the ELA CAT and PT at JCJH, the student will be included in both the numerator and denominator for JCJH's ELA participation rate.</p> <p>Since the student enrolled at CCMS during the beginning grace period, CCMS is responsible for administering the mathematics CAT and PT to the student. The student will be included in CCMS's mathematics participation rate (both the numerator and denominator).</p>
5	Student completed the ELA CAT and PT, and mathematics CAT but exits during the accountability testing window before completing the mathematics PT.	Student enrolls during the accountability testing window.	<p>Since the student completed the ELA CAT and PT at JCJH, the student will be included in JCJH's ELA participation rate (both the numerator and denominator).</p> <p>Because the student enrolled at CCMS during its accountability testing window, CCMS is responsible for administering the mathematics PT to the student. The student will be included in CCMS's mathematics participation rate.</p>

Student	Jefferson City Junior High (JCJH)	Carson City Middle School (CCMS)	Participation Rate Determination
6	Student completed ELA CAT and PT, and mathematics CAT and PT, and exits during the accountability testing window.	Student enrolls during the accountability testing window.	Since the student completed all Smarter Balanced Summative Assessments at JCJH, the student will be included in JCJH's ELA and mathematics participation rates (both the numerator and denominator).
7	Student exits during the accountability testing window. The student has not yet taken any of the Smarter Balanced Summative Assessments.	Student enrolls during the end grace period and does not take any tests.	Because the student enrolled at CCMS during the end grace period, the student will not be included in CCMS's participation rates. However, the student will be included in the denominator of JCJH's ELA and mathematics participation rates because the student transferred <i>after</i> the beginning grace period and during the accountability testing window.
8	Student completed the ELA CAT and PT and mathematics PT and exits during the accountability testing window.	Student enrolls during the end grace period and does not complete the mathematics CAT.	Since the student enrolled at CCMS during the end grace period, the student will not be included in CCMS's mathematics participation rate. However, the student will be included in JCJH's ELA participation rate denominator and numerator, and only in its mathematics participation rate denominator because the student did not complete the mathematics CAT.

Exclusions

Students who are absent from testing due to a significant medical emergency are excluded from the participation rate. Student records marked as “not tested due to significant medical emergency” will not be included in the participation rate, unless attempts on test items were made. Any student who attempted one or more test items will be counted in the participation rate, regardless of their condition code.

ELs who have been enrolled in a U.S. school for less than one year are exempt from taking the ELA portion of the Smarter Balanced Summative Assessments. These students **will not** be included in the ELA participation rate unless the student chooses to participate in the ELA CAT and PT portions of the assessment.

All EL students (regardless of whether they have been enrolled in a U.S. school for less than one year) are expected to take the mathematics portion and will be included in the math participation rate.

■ Four-Year Cohort Graduation Rate

The four-year cohort graduation rate is defined as the school year of the graduating class (e.g., Class of 2015). Note that the cohort graduation rate data on the report are one year older (e.g., 2015) than other data on the 2016 Accountability Transition Report (e.g., 2016). Data used to calculate the graduation rate come from student-level data maintained in CALPADS.

Schools and LEAs with grade twelve enrollment or at least one graduate in the cohort of the graduation rate will have their graduation rate calculated using the cohort graduation rate formula. Graduation rates at the LEA, school, and student group level will only be reported where there are eleven or more students.

Calculating the Four-Year Cohort Graduation Rate

The cohort graduation rate methodology is based on the definitions established by the ED. The four-year cohort graduation rate formula is used for the 2016 Transition Accountability Report.

Four-Year Cohort Graduation Rate Formula

Four-Year Cohort Graduation Rate for the 2016 Accountability Transition Report
Number of cohort members who earn a regular high school diploma by the end of 2014–15 <div style="text-align: center;">divided by</div> Number of first-time grade nine students in 2011–12 plus students who transfer in, minus students who transfer out, emigrate, or die during school years 2011–12, 2012–13, 2013–14, and 2014–15.

Graduation Rate Rules

For the 2016 Accountability Transition Report, the graduation data is included for **display purposes only**.

All students' cohort data are rolled up to the LEA, including students in schools without grade twelve enrollment and students in schools that do not receive a graduation rate. This excludes all charter and alternative schools and state special schools.

■ Three-Year Average of the Four-Year Cohort Graduation Rates

The 2014–15 four-year cohort graduation rate and the weighted three-year graduation rate average will be used in the new California accountability report released in 2017. For the 2016 Accountability Transition Report, the three-year graduation rate average (Class of 2012, 2013, and 2014) will be included for **display purposes only**. If an LEA, school, and/or student group does not have cohort data for all three graduating classes, then the weighted average is calculated using the one or two years of available cohort data.

Calculating the Three-Year Graduation Rate Average

A three-year weighted average is used for the 2016 Accountability Transition Report.

Three-Year Weighted Average Formula

Three-Year Weighted Average for the 2016 Accountability Transition Report
2012 Graduates + 2013 Graduates + 2014 Graduates divided by Students in the 2011–12 Cohort (class of 2012) + Students in the 2012–13 Cohort (class of 2013) + Students in the 2013–14 Cohort (class of 2014).

Alternative Methods

The CDE used alternative methods when calculating the three-year average of the four-year cohort graduation rates to ensure all high schools and LEAs with prior year graduates receive an average graduation rate. However, not all schools have cohort data for all three graduating classes. In these cases, the weighted average is calculated using the one or two years of available cohort data.

Alternative Method Descriptions

Alternative Method	Description
1yr = One Year Average	One year of cohort graduation data were used for the average.
2yr = Two Year Average	Two years of cohort graduation data were used to calculate the weighted average.

Inclusion/Exclusion and Adjustment Rules

The CDE applied inclusion/exclusion adjustment rules when calculating the participation rates in 2016 Accountability Transition Report. Inclusion/exclusion and adjustment rules have been established in order to treat student data as fairly and consistently as possible in the 2016 calculations. These rules are applied to the Smarter Balanced Summative Assessments and the CAA as the first preliminary step for calculating the 2016 participation rates. In this process, some student records are excluded. (Note: students who were provided an unlisted resource that change the construct of the test are counted as non-participants.)

An “Inclusion/Exclusion and Adjustment Rules Flowchart” is provided on pages 27 through 29 to describe the rules and to illustrate the procedures used in applying the rules. The following key counts are provided on the reports for each school, LEA, or student group separately in ELA and in mathematics:

Participation Rate:

- Enrollment During the Testing Window
- Number of Students Tested

The inclusion/exclusion rules are applied in determining these counts, which are thereafter used to calculate the percentages for the 2016 Accountability Transition Report participation rate. The “Inclusion/Exclusion and Adjustment Rules Flowchart” shows how the rules are applied in two steps, according to each type of test and grade level:

Step 1 – Determining the Accountability Testing Windows for the Smarter Balanced Summative Assessments and CAA, Grades Three through Eight and Eleven

Step 2 – Determining the Enrolled and Tested for Participation Rate

Once each step is completed, the results are used to calculate the percentages for a school, an LEA, or a student group in ELA and mathematics.

Tools for Using the Flowchart

The following flowcharts include references to testing codes that are considered when applying inclusion/exclusion rules. Reference information is located in a separate section:

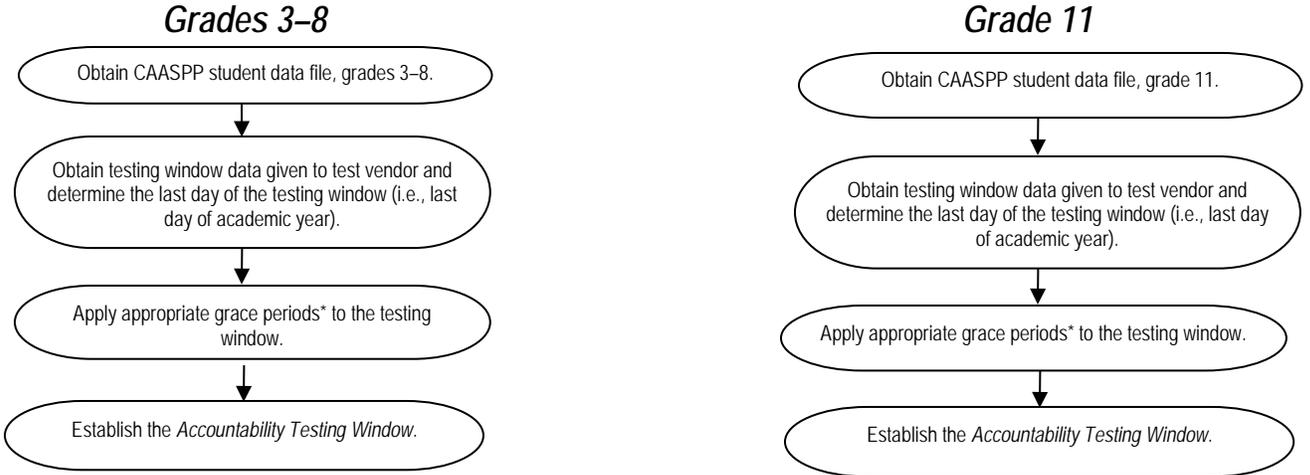
- “Testing Codes Considered in the 2016 Accountability Transition Report Calculations” are provided on page 30.

Inclusion/Exclusion and Adjustment Rules Flowchart

Step 1a: Determining the Accountability Testing Window for the Smarter Balanced Assessments, Grades Three Through Eight and Eleven

Accountability Testing Window for Smarter Balanced Summative Assessments

Determine for each school, per grade span(s) and testing administration, as applicable.



Step 1b: The Accountability Testing Window for the CAA, Grades Three Through Eight and Eleven

Accountability Testing Window for CAA

For the 2016 Accountability Transition Report, the testing window for the CAA was set between April 11, 2016 and June 17, 2016. Thus, for 2016, the grace periods applied for the CAA will be 5-calendar days at the beginning and end of the testing window. Therefore, the accountability testing window for the CAA is set from April 11, 2016 to June 17, 2016.

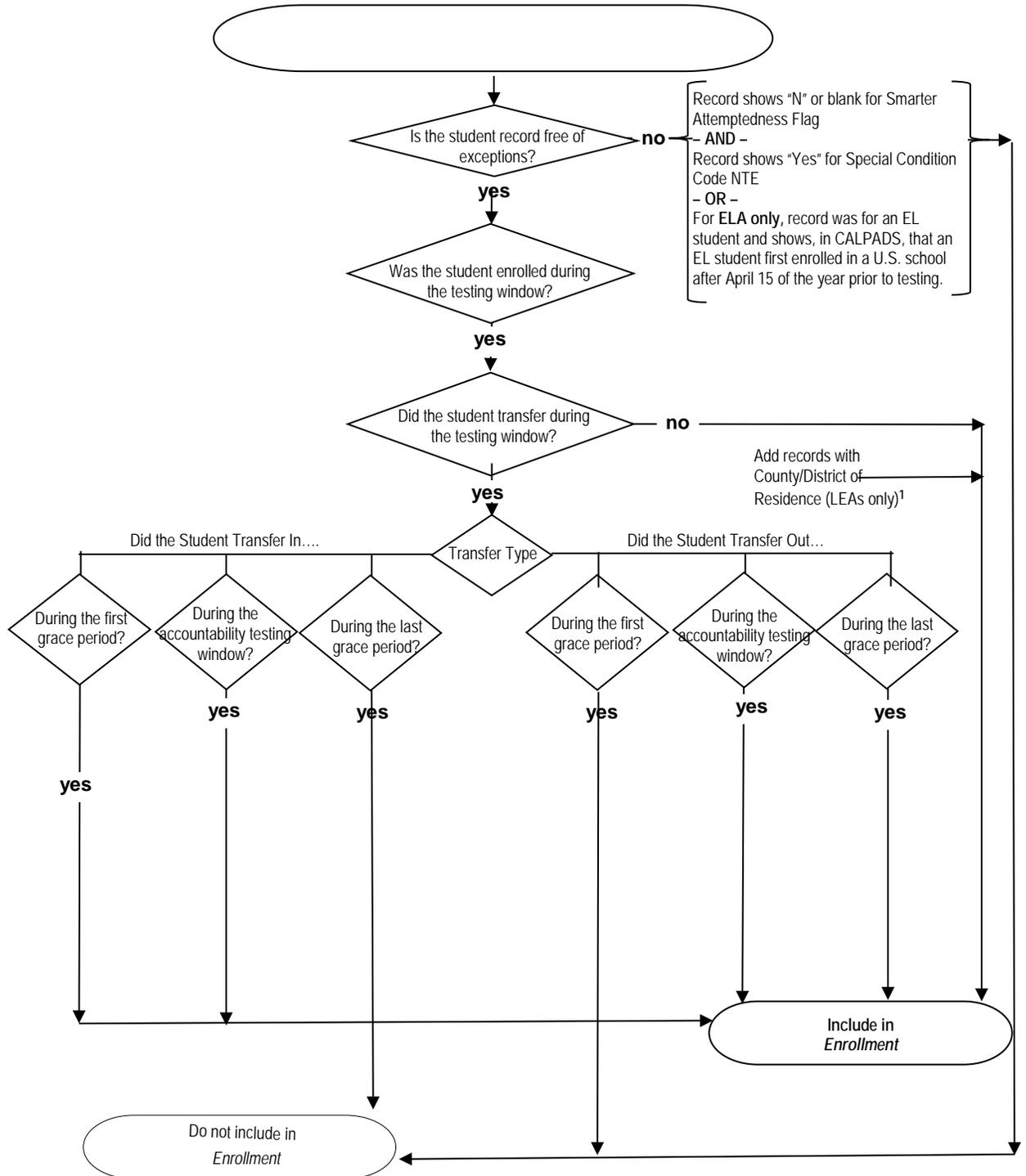
* Different grace periods were applied based on length of a school's testing window. See page 14 "Participation Rate" section for further details.

Inclusion/Exclusion and Adjustment Rules Flowchart Step 2: Participation Rate CAASPP, Grades Three Through Eight and Eleven

Enrollment During the Testing Window

Calculate for each school, LEA, or student group separately in ELA and mathematics.

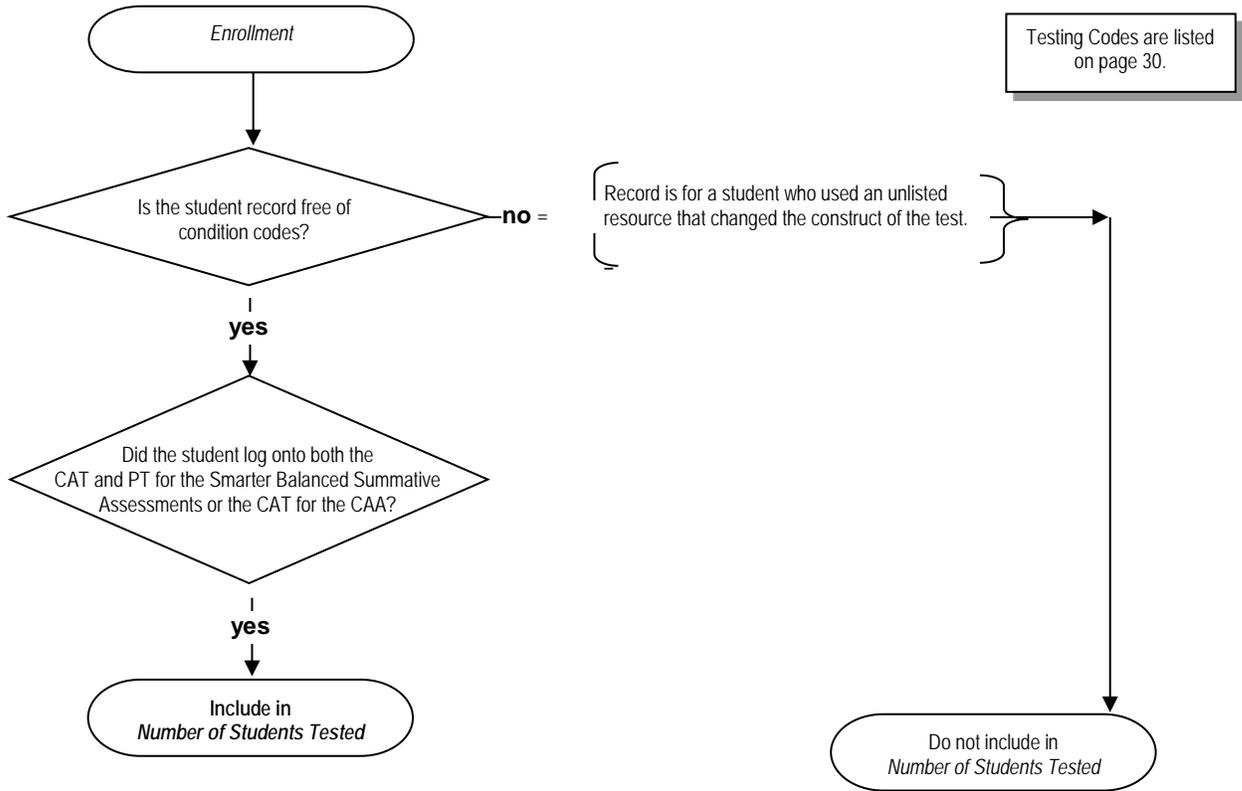
Testing Codes are listed on page 30.



¹ For LEAs only, a student record with a valid County/District of Residence code and a valid Primary Disability code (other than 000) (or the assessment is CAA) is included in the county/district of residence for the LEA report if the student's school of attendance (normal CDS code) is a special education school. The record is also included in the student's school of attendance.

Number of Students Tested

Calculate for each school, LEA, or student group separately in ELA and mathematics.



Testing Codes Considered in the 2016 Accountability Transition Report Calculations

The following are the CAASPP testing codes that are considered in 2016 Accountability Transition Report calculations:

■ CAASPP Testing Codes

(NTE)	Not tested due to significant medical emergency
(Smarter Attemptedness Flag)	Student logged on to only a portion of the test (either CAT or PT but not both)
(Smarter Invalidated Status Flag)	Student record was invalidated due to a testing security incident

Program Improvement

School Accountability

PI Status in 2016–17

The 2016–17 school year will be the last year that LEAs and schools will receive a PI determination. Only LEAs and schools that received Title I, Part A funds for the 2015–16 school year will have a PI status reported for the 2016–17 school year. LEAs and schools that received Title I, Part A funds and had a PI placement year for the 2015–16 school year will retain their same PI status and placement for the 2016–17 school year. All other LEAs and schools that received Title I, Part A funds for the 2015–16 school year will have a PI status of “Not in PI.” For information regarding the criteria applied to make PI determinations prior to the 2016–17 school year, please refer to the CDE’s [2015 Adequate Yearly Progress Report Information Guide](#).

CDE Contacts and Related Internet Pages

Topic	Contact Office	Web Page
	Analysis, Measurement, and Accountability Reporting Division 916-319-0869	
• Accountability Calculations and Alternative Accountability System	Academic Accountability Unit 916-319-0863 aau@cde.ca.gov	http://www.cde.ca.gov/ta/ac/ap/ http://www.cde.ca.gov/ta/ac/ay/ http://www.cde.ca.gov/ta/ac/am/
• DataQuest Reports	Data Reporting Office 916-327-0219	http://dq.cde.ca.gov/dataquest/
• Evaluation Rubrics	Academic Accountability Unit 916-319-0863 lcfrubrics@cde.ca.gov	
• PI Data	Data Visualization and Reporting Office 916-322-3245 piaccountability@cde.ca.gov	http://www.cde.ca.gov/ta/ac/ay/tidat/files.asp
• Title III Accountability	Data Visualization and Reporting Office 916-322-3245 amao@cde.ca.gov	http://www.cde.ca.gov/ta/ac/t3/
• CAASPP – Smarter Balanced Summative Assessments and California Alternate Assessments	Assessment Development and Administration Division 916-319-0803 California Assessment of Student Performance and Progress Office 916-445-8765 caaspp@cde.ca.gov	http://www.cde.ca.gov/ta/tg/ca/
• ESEA Requirements for PI and Technical Assistance for Schools and LEAs in PI	Improvement and Accountability Division 916-319-0926 District Innovation and Improvement Office 916-319-0836	http://www.cde.ca.gov/ta/ac/ti/programimprov.asp http://www.cde.ca.gov/ta/ac/ti/leapireq.asp

Topic	Contact Office	Web Page
	Educational Data Management Division 916-324-1214	
• CALPADS	CALPADS/CBEDS/CDS Operations Office 916-324-6738 calpads@cde.ca.gov	http://www.cde.ca.gov/ds/sp/cl/
• Local Control Funding Formula • Local Control and Accountability Plans	Local Agency Systems Support Office LCFF@cde.ca.gov	http://www.cde.ca.gov/fg/aa/lc/
	Coordinated Student Support Division	
• Educational Options	Educational Options, Student Support, and American Indian Education Office 916-323-2183 eossaieo@cde.ca.gov	http://www.cde.ca.gov/sp/eo/
	Special Education Division	
• Special Education Programmatic Issues Related to Assessment	Assessment, Evaluation, and Support Office 916-445-4628	http://www.cde.ca.gov/sp/se/
	Charter Schools Division	
• Charter Schools	916-322-6029 charters@cde.ca.gov	http://www.cde.ca.gov/sp/cs/

Acronyms

5 CCR	Title 5 <i>California Code of Regulations</i>
AAU	Academic Accountability Unit
AMO	Annual Measurable Objective
APR	Accountability Progress Reporting
AYP	Adequate Yearly Progress
CAA	California Alternate Assessments
CALPADS	California Longitudinal Pupil Achievement Data System
CAASPP	California Assessment of Student Performance and Progress
CAT	Computer Adaptive Test
CD	County-District
CDE	California Department of Education
CDS Code	County-District-School Code
CELDT	California English Language Development Test
COE	County Office of Education
DRO	Data Reporting Office
DVRO	Data Visualization and Reporting Office
EC	<i>Education Code</i>
EL	English Learner
ELA	English language arts/literacy
ESEA	Elementary and Secondary Education Act
ESSA	Every Student Succeeds Act
FRPM	Free and Reduced-Priced Meals
LCFF	Local Control Funding Formula
LEA	Local educational agency

Acronyms (Continued)

NPS	Non-Public School
ODS	Operational Data Store
PI	Program Improvement
PT	Performance Task
RFEP	Reclassified Fluent English Proficient
SBE	State Board of Education
SED	Socioeconomically Disadvantaged
SWD	Students with Disabilities
TOMS	Test Operations Management System