

**STATE OF WASHINGTON
OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
OLYMPIA, WASHINGTON**

REQUEST FOR PROPOSALS (RFP)

RFP NO. 2019-13

PROJECT TITLE: Multi-Agency Assessment Cooperative (MAAC) Assessments

PROPOSAL DUE DATE: 4:00 PM, Pacific Time (PT), March 15, 2019

ESTIMATED CONTRACT PERIOD: July 15, 2019 – December 31, 2022

Amendments extending the period of performance, if any, shall be at the sole discretion of contract awarding party.

BIDDER ELIGIBILITY: This procurement is open to those Bidders that satisfy the minimum qualifications stated herein and that are available for work in Washington State.

SUBMIT PROPOSAL TO: Proposal Delivered by Mail:
P.O. Box 47200, Olympia, WA 98504-7200

Proposal Delivered by Express/Hand Delivery,
Or Courier:
600 Washington Street SE, Olympia, WA 98501

**FAXED OR EMAILED PROPOSALS
WILL NOT BE ACCEPTED**

All communications concerning this RFP must be directed only to the RFP Coordinator via email. Any other communication will be considered unofficial and non-binding on OSPI. Consultants are to rely on written statements issued by the RFP Coordinator. Communication directed to parties other than the RFP Coordinator may result in disqualification of the Consultant.

This RFP is available at the Office of Superintendent of Public Instruction (OSPI) website located at [OSPI's website](#) and at the Department of Enterprise Services, [Washington Electronic Business Solution \(WEBS\) Procurement website](#). All RFP amendments or Consultant questions and OSPI answers will be posted to these sites. All interested Consultants must be registered with WEBS under the following commodity codes in order to receive notifications: **924-20:** Examination and Testing, **924-05:** Educational Advisory Services, **924-19:** Educational Research Services

OSPI, and its contractors and subcontractors, must not discriminate in any programs or services based on sex, race, creed, religion, color, national origin, age, marital status, honorably discharged veteran or military status, sexual orientation, gender expression, gender identity, disability, or the use of a trained dog guide or service animal by a person with a disability, and must comply with state and federal nondiscrimination laws, including Section 504 of the Rehabilitation Act of 1973, Title IX of the Education Amendments of 1972, the Americans with Disabilities Act, and Title VI of the Civil Rights Act of 1964. Questions and complaints of alleged discrimination should be directed to the Equity and Civil Rights Director at 360-725-6162/TTY: 360-664-3631; or P.O. Box 47200, Olympia, WA 98504-7200; or equity@k12.wa.us.

RFP TABLE OF CONTENTS

Section A. Introduction.....	
Definitions	Page 4
Purpose of RFP	Page 5
Background.....	Page 6
Objective and Scope of Work.....	Page 6
Member's Role.....	Page 11
Vendor Qualifications.....	Page 11
Period of Performance	Page 12
Funding.....	Page 12
ADA	Page 13
Section B. General Information for Bidders.....	
RFP Coordinator.....	Page 14
Estimated Schedule of Procurement Activities	Page 14
Letter of Intent.....	Page 15
Complaint Procedure	Page 15
Submission of Proposals.....	Page 15
Proprietary Information/Public Disclosure.....	Page 16
Addendums and Amendments to the RFP	Page 18
Minority- and Women-Owned Business Participation	Page 18
Acceptance Period.....	Page 18
Responsiveness.....	Page 18
Most Favorable Terms	Page 19
Contract Terms and General Conditions	Page 19
Cost to Propose	Page 20
No Obligation to Contract.....	Page 20
Rejection of Proposals	Page 20
Commitment of Funds.....	Page 20
Statewide Vendor Payment Registration	Page 20
Insurance Coverage.....	Page 20
Section C. Proposal Contents.....	
Letter of Submittal.....	Page 21
Executive Summary	Page 21
Technical Proposal	Page 22
Management Proposal.....	Page 54
Cost Proposal	Page 61
Section D. Evaluation and Contract Award.....	
Evaluation Procedure.....	Page 63
Evaluation Weighting and Scoring.....	Page 63
Notification to Bidders	Page 64
Selection of Apparent Successful Contractor	Page 65
Debriefing of Unsuccessful Bidders.....	Page 65
Protest Procedure	Page 66

Section E. General RFP Exhibits	Page 68
Exhibit A: Certifications and Assurances	Page 70
Exhibit B: General Terms and Conditions.....	Page 73
Exhibit C: Contractor Intake Form	Page 115
Exhibit D: Proposal Checklist	Page 117
Exhibit E: Statewide Registration Requirements	Page 118
Exhibit F: Evaluation Criteria	Page 119
Exhibit G: Smarter Balanced System Specifications	Page 121
Exhibit Ga: Smarter Balanced Usability, Accessibility, & Accommodations Guidelines .	Page 122
Exhibit H: MAAC Member-Specific Data Specifications.....	Page 194
Exhibit I: MAAC Member-Specific Testing Alert & Score Appeals Procedures	Page 266
Exhibit J: MAAC Member-Specific Advisory/Other Meetings	Page 273
Exhibit K: Cost Proposal Submission Format	Page 276
Exhibit L: Sample Data Sharing/Use Agreement	Page 287
Exhibit M: Lexile/Quantile Frameworks	Page 297
Exhibit N: Service Level Agreements	Page 298
Exhibit O: Print Report Specifications	Page 300

Section F. State-Specific Appendices

Available as separate PDF attachments

WA.....
Appendix WA-1: Science Assessment
Appendix WA-2: Alternate Assessment (WA-AIM)
Appendix WA-3: English Language Proficiency Assessment (ELPA21)
HI
Appendix HI-1: Science Assessment
Appendix HI-2: EOC Biology
Appendix HI-3: EOC Algebra 1 & 2
Appendix HI-4: Hawaii Authoring Program
USVI
Appendix USVI-1: Science Assessment
Appendix USVI-2: G9-10 ELA & Math Assessments
MT
Appendix MT-1: Science Assessment.....
Appendix MT-2: Science Alternate Assessment.....

DE has no additional state-specific assessments requiring vendor service support.

Section A. INTRODUCTION

1. DEFINITIONS

Definitions for the purposes of this RFP include:

Agency or OSPI – The Washington State Office of Superintendent of Public Instruction and the entity issuing this RFP.

Amendment – A unilateral change to the Solicitation that is issued by OSPI at its sole discretion and posted on WEBS and OSPI's website.

Apparent Successful Bidder (ASB) – A Bidder submitting a response to this Solicitation that is evaluated and is identified and announced by OSPI as providing the best value to the Agency. Upon execution of a Contract, the ASB is referred to as the successful Bidder or the Contractor.

Bid – Offer, proposal, or quote for goods or services submitted in response to this RFP.

Bidder – Individual organization, public or private agency submitting a proposal in order to attain a contract with OSPI. For purposes of this Solicitation, the terms Bidder, Consultant, and Vendor are interchangeable.

Competitive Solicitation – A documented formal process providing an equal and open opportunity to Bidders or Consultants culminating in a selection based on predetermined criteria.

Complaint – A process that may be followed by a Consultant prior to the deadline for bid submission to alert OSPI of certain types of asserted deficiencies in the Solicitation.

Consultant – Individual organization, public or private agency submitting a proposal in order to attain a contract with OSPI. For purposes of this Solicitation, the terms Bidder, Consultant, and Vendor are interchangeable.

Contractor – Individual or company whose proposal has been accepted by parties to the RFP and is awarded a fully executed, written contract.

Debriefing – A short meeting an unsuccessful Bidder may request with the Coordinator following the announcement of the Apparent Successful Bidder for the purpose of receiving information regarding the review and evaluation of that Bidder's Response.

Multi-Agency Assessment Cooperative (MAAC) – A buying cooperative for services addressing state-wide assessment delivery by two or more states or jurisdictions collaborating on a common solicitation process. MAAC is constituted by Washington's Office of Superintendent of Public Instruction (OSPI), Hawaii's State Department of Education (HIDOE), U.S. Virgin Islands' Department of Education (VIDE), Delaware's Department of Education (DDOE), and Montana's Office of Public Instruction (OPI).

Proposal – Formal offer submitted in response to this RFP.

Proprietary Information – Information such as patents, technological information or other related information that the Bidder or Consultant does not want released or shared with the public.

Protest – A process that may be followed by a Bidder after the announcement of the Apparent Successful Bidder to alert OSPI to certain types of alleged errors in the evaluation of the Solicitation.

Request for Proposals (RFP) – Formal procurement document in which a service or need is identified but no specific method to achieve it has been chosen. The purpose of an RFP is to permit the vendor community to suggest approaches to meet the need at a given price.

RCW – The Revised Code of Washington.

Responsible Bidder – An individual, organization, public or private agency, or other entity that has demonstrated the capability to meet all the requirements of the Solicitation and meets the elements of responsibility. (See [RCW 39.26.160 \(2\)](#))

Responsive Bidder – An individual, organization, public or private agency, or other entity who has submitted a Bid that fully conforms in all material respects to the Solicitation and all its requirements, in both form and substance.

RFP Coordinator – An individual or designee who is employed by OSPI and who is responsible for conducting this Solicitation.

Smarter Balanced Assessment Consortium (Smarter Balanced) – Collaborative, state-led group providing assessments aligned to the Common Core State Standards in English language arts and mathematics.

Solicitation – A formal process providing an equal and open opportunity for Bidders culminating in a selection based upon predetermined criteria.

Subcontractor – An individual or other entity contracted by a Consultant to perform part of the services or to provide goods under the Contract resulting from this Solicitation. Subcontractors, if allowed, are subject to the advance approval of OSPI.

Vendor – Individual organization, public or private agency submitting a proposal in order to attain a contract with OSPI. For purposes of this Solicitation, the terms Bidder, Consultant, and Vendor are interchangeable.

WEBS – Washington’s Electronic Business Solution, the Consultant notification system found at [Washington Electronic Business Solution \(WEBS\) Procurement website](#) and maintained by the Washington State Department of Enterprise Services.

2. PURPOSE OF REQUEST FOR PROPOSALS

The Office of Superintendent of Public Instruction (OSPI), acting on behalf of the Multi-Agency Assessment Cooperative (MAAC), is initiating this Request for Proposals (RFP) to solicit proposals from Vendors interested in participating on a project to deliver state assessment programs commensurate with the requirements listed in this solicitation.

3. BACKGROUND

Overview of Multi-Agency Assessment Cooperative (MAAC)

In 2014, OSPI issued a procurement on behalf of the Multi-Agency Assessment Cooperative, or MAAC, to secure vendor services to provide assessment test administration to partnering entities (members). The original members of MAAC included Washington, Hawaii, Idaho, South Dakota, West Virginia, and the US Virgin Islands.

Pursuant to continuation of federal accountability and other state requirements, education departments party to this solicitation need to establish new contracted arrangements in support of statewide assessment administrations. The education departments that will be part of the MAAC for this solicitation will include Washington, Delaware, Hawaii, Montana, and the US Virgin Islands (hereinafter referred to as “members”).

MAAC members are current participants in the Smarter Balanced consortium supporting assessments in English language arts (ELA) and mathematics.

Smarter Balanced services support only a portion of any state testing requirements either established at the local level or as part of the current authorization of the Elementary and Secondary Education Act (2015’s *Every Student Succeeds Act*). States still have requirements to test in the content area of science and federal or local mandates may call for other types of assessments (e.g., alternate assessments, end-of-course assessments, high school exit exams, or other grade-level testing for longitudinal performance tracking). To that extent, contracted services to states need to cover a variety of new, existing, and yet to be determined requirements associated with state-specific testing programs.

4. OBJECTIVE AND SCOPE OF WORK

The Multi-State Assessment Cooperative is soliciting for services both common amongst all members and distinct to each state’s local purposes. Bidders will be expected to submit proposals addressing the scope of work identified as common amongst the members, ensuring all requested elements are included in the bid.

Bidders may choose to submit, within a proposal, information addressing state-specific work that is included as appendices to this RFP. If choosing to bid on state-specific work, Bidders shall address all elements referenced in the applicable appendix.

The Bidder’s Letter of Submittal shall make explicit what scope of work is included within the proposal, whether common work only, or a combination of the common work and state-specific work.

If selected for contract award, Bidder will enter into separate individual agreements with each MAAC member. Individual agreements must address the list (“menu”) of elements required by the applicable member.

Finally, the aim for the members is to select a single vendor for delivery of services common to all (i.e., ELA and math assessments). Acknowledging that such a selection is not assured, Bidders should submit proposals that can accommodate the possibility of each member selecting a vendor that is distinct from the selection of other members.

Below are various representations of the required services; more detailed information is outlined in Section C.

MAAC Member – Enrollment Estimates

The numbers listed in the following table are provided based on 2017-2018 enrollment figures and are intended for bid purposes, only, and not as guarantees for any subsequent contract.

Projected Enrollments	WA	DE	HI	VI	MT
Common Elements – ELA/Math (Smarter Balanced)					
Gr 3 ELA	85,000	11,000	15,000	1,150	11,000
Gr 4 ELA	85,000	11,000	15,000	1,150	12,000
Gr 5 ELA	85,000	11,000	15,000	1,150	12,000
Gr 6 ELA	85,000	11,000	14,000	1,175	12,000
Gr 7 ELA	85,000	11,000	14,000	1,250	12,000
Gr 8 ELA	85,000	11,000	13,000	1,100	11,000
Gr 3 Math	85,000	11,000	15,000	1,150	11,000
Gr 4 Math	85,000	11,000	15,000	1,150	12,000
Gr 5 Math	85,000	11,000	15,000	1,150	12,000
Gr 6 Math	85,000	11,000	14,000	1,175	12,000
Gr 7 Math	85,000	11,000	14,000	1,250	12,000
Gr 8 Math	85,000	11,000	13,000	1,100	11,000
Gr 10 ELA	85,000				
Gr 10 Math	85,000				
Gr 11 ELA			13,000	1,000	See Note Table 2
Gr 11 Math			13,000	1,000	See Note Table 2
K-12 Interim Assessment	1.1M	66,000	185,000	15,000	80,000
Digital Library K-12	1.1M	145,000	185,000	15,000	147,000

Table 1. – Projected MAAC Member State Student Enrollments

Projected Enrollments	WA	DE	HI	VI	MT
------------------------------	-----------	-----------	-----------	-----------	-----------

State-Specific Elements					
Gr 9/10 ELA				2,700	
Gr 9/10 Math				2,700	
EOC Algebra 1/Integrated 1			13,000		
EOC Algebra 2			11,000		
Gr 3 Science					
Gr 4 Science			15,000		
Gr 5 Science	85,000			1,150	12,000
Gr 6 Science					
Gr 7 Science					
Gr 8 Science	85,000		13,000	1,100	11,000
Gr 9 Science					
Gr 10 Science					
Gr 11 Science	85,000			1,100	10,000
EOC Biology			13,000		

Overview – Required Testing Support

The following matrix details many of the test services/deliverables members are looking to address through the RFP process:

- General State Accountability Assessments (Smarter Balanced) — Grades 3-8 & High School (either grade 10 or 11) ELA and math
- Additional State Assessment (Smarter Balanced Items/Tests) — Grade 9 and 10 ELA/math
- Interim Assessments (Smarter Balanced) — Grades K-12
- Formative Assessment Tools (Smarter Balanced Digital Library) — Grades K-12
- General State Accountability Assessments (Other) — Grades 5, 8 & 11 Science or End-of-Course (EOC) Biology
- End-of-Course (EOC) Algebra 1/Integrated 1 (“Year 1 Math”) and EOC Algebra 2

Table 2. - Test / Service Requirements Matrix

Test / Service Deliverables	WA	DE	HI	VI	MT
Common Elements – ELA/Math (Smarter Balanced)					
Gr 3 ELA	X	X	X	X	X
Gr 4 ELA	X	X	X	X	X
Gr 5 ELA	X	X	X	X	X
Gr 6 ELA	X	X	X	X	X
Gr 7 ELA	X	X	X	X	X
Gr 8 ELA	X	X	X	X	X
Gr 3 Math	X	X	X	X	X
Gr 4 Math	X	X	X	X	X
Gr 5 Math	X	X	X	X	X
Gr 6 Math	X	X	X	X	X
Gr 7 Math	X	X	X	X	X
Gr 8 Math	X	X	X	X	X
Gr 10 ELA	X				
Gr 10 Math	X				
Gr 11 ELA			X	X	Note 1
Gr 11 Math			X	X	Note 1
Interim Assessments K-12	X	X	X	X	X
Digital Library K-12 Access (Sign-On)	X	X	X	X	X

Note 1: MT has designated the ACT with Writing as its high school assessment for accountability, but is still awaiting Peer Review approval of the state's assessment program. While awaiting Peer Review approval, districts are allowed the flexibility to use the Smarter Balanced assessments in math and ELA in lieu of ACT, and small numbers of students (fewer than 200) are tested with Smarter Balanced.

MT requests cost information, and the flexibility, to administer Smarter Balanced at grade 11, under both the current limited format and census-testing.

Test / Service Deliverables	WA	DE	HI	VI	MT
State-Specific Elements					
Gr 9/10 ELA				X	
Gr 9/10 Math				X	
EOC Algebra 1/Integrated 1			X		
EOC Algebra 2			X		
Gr 3 Science					
Gr 4 Science			X		
Gr 5 Science	X			X	X
Gr 6 Science					
Gr 7 Science					
Gr 8 Science	X		X	X	X
Gr 9 Science					
Gr 10 Science					
Gr 11 Science	X			X	X
EOC Biology			X		
Advisory & Other Meetings					
Advisory & Other Meetings	X	X			X
Student Results Reporting (Higher Education)	Note 2		Note 2	Note 2	Note 2
Response Data Inventorying/Archiving	X	X	X	X	X

Note 2: Consistent with each members' state data-sharing laws and regulations.

This main focus of this RFP is to provide to all members common services/products specific to the delivery of the Smarter Balanced assessments for mathematics and ELA, as described below.

Common Elements (*all members*):

- Administration, scoring, and reporting of Smarter Balanced assessments for grades 3-8 and high school in mathematics and English language arts
- Hosting computer adaptive test engine(s), meeting select specifications set by each state and consistent with the Smarter Balanced assessment requirements
- Hosting of Smarter Balanced interim assessments in English language arts and mathematics for grades K-12
- Establishing and setting the requirements for and management of user access to Smarter Balanced's Digital Library. (Demonstrable solutions to support single sign-on access will be viewed as a positive.)
- Data Inventorying & Archiving
- Comprehensive score reporting system supporting interim and summative assessments

A member may also include state-specific appendices requesting additional services for contract award to meet specific member needs. Response to appendices should follow the same format as the main document response, deviating from the response format only when particular details of an appendix call for such deviation.

Members party to this solicitation reserve the right to include additional member-specific assessment services during the *Question & Answer* period (refer to Section B. part 2. *Estimated Schedule of Procurement Activities*). It will be the responsibility of interested Bidders to check the applicable posting sites periodically for possible RFP addenda and updates.

Additionally, with respect to member-specific appendices, each member may choose to exercise the option of accepting a bid for service from a Bidder that is not awarded the main (common) service contract. Example – State “A” may award its appendix for services on a member-specific assessment to the Bidder that came in third for the common services based on the quality of the bid meeting needs of that particular assessment.

This RFP process is established with the intent of allowing other states to choose to participate while the solicitation is in progress. To the extent allowed by other states, this procurement process is also intended to allow a state to use the cooperative solicitation for post-award contracting should governing procurement rules allow for post-selection awards.

All services shall be completed in collaboration with and under the oversight of the individual awarding state’s offices responsible for state assessment. Additionally, the awarded Contractor will collaborate as appropriate with the Smarter Balanced consortium.

5. MEMBERS’ ROLE

Members shall provide project oversight and will be available to the Contractor as needed throughout the term of any awarded contract. Oversight will include material reviews, data processing and validation, field training, auditing fiscal management techniques and paperwork, and evaluating contract fulfillment.

6. VENDOR QUALIFICATIONS

Minimum Qualifications:

- Licensed to do business in the United States.
- Licensed to do business in each of the members’ states (if required) that are party to this solicitation and who award a contract as a result of this RFP. If not licensed in a specific state, Bidder will provide a written intent to become licensed in said jurisdiction within thirty (30) calendar days of being selected as the Apparent Successful Contractor.
- Demonstrated project management experience with specific focus on work planning, status reporting, issue management, deliverable review and approval procedures.
- Experience with the scoring processes required to implement large-scale assessment programs.
- Experience managing the various data elements associated with large-scale assessment.
- Knowledge of the various rules and guidelines associated with data privacy, protection of personally identifiable information and FERPA (*Family Educational Rights and Privacy Act*).
- Experience running help desk services for large-scale assessment projects involving online computer test administration.
- Experience with production of test administration materials and delivery of related training.
- Demonstrated employment of test delivery systems (test engines) with designed Smarter Balanced specifications or certified to same.

- Demonstrated familiarity with the Smarter Balanced item formatting designs.
- Demonstrated experience in large-scale assessments.

Desirable Qualifications:

- Experience in implementing successful communications strategies for education organizations.
- Knowledge of assessment and administration policies across multiple states.
- Previous history with online (computer-based) delivery of state assessments.
- Working knowledge of the Smarter Balanced Assessment Consortium and its objectives.

7. PERIOD OF PERFORMANCE

The period of performance of any contract resulting from this RFP is tentatively scheduled to begin on or about July 15, 2019, and end on or about December 31, 2022.

The option to extend any contract resulting from this procurement shall be at the sole discretion of the individual member. As such, members that are party to any contract award reserve the right to extend the contract through amendment for individual years not to exceed a total of two (2) additional contract years, through 2023 and 2024, respectively.

Decisions to amend shall be based on sustained satisfactory performance as decided by the program management designee from each state that is party to this solicitation and any subsequent contract award, successful completion of project objectives, and availability of funding.

Additional services appropriate to the original scope of this RFP, or consistent with the intent of accepted practices in large-scale assessment, or come as a result of legislative or regulatory mandate, may be determined by awarding organizations for inclusion in the resulting contract by a written amendment mutually agreed to and executed by the parties affected by said contract.

8. FUNDING

Exact financial terms shall be determined during the contracting activities for each agency.

Based on information provided by Smarter Balanced, members anticipate a per student cost of less than seventeen dollars (\$17) for the delivery of formative, interim and summative assessment services supporting grades 3-8 and high school (grade 10 or 11) English language arts and mathematics. Members acknowledge other scope items will have varying cost estimates based on the associated service specifications and volume of participating students.

Each member will have its own contract period commensurate with applicable state procurement practices, and where possible, will allow for extension/renewal based upon original quoted terms. Bidders will provide cost proposals that support the full term stipulated in this RFP and a series of one-year terms to provide maximum flexibility for each of the members.

Any contract awarded as a result of this procurement is contingent upon the availability of funding. The Bidder shall provide their most favorable and competitive cost estimate to perform the work.

9. AMERICANS WITH DISABILITIES ACT

States that are party to this solicitation comply with the Americans with Disabilities Act (ADA). Vendors may contact the RFP Coordinator to receive this Request for Proposals in an alternative format.

Section B.**GENERAL INFORMATION FOR BIDDERS****1. RFP COORDINATOR**

The RFP Coordinator is the sole point of contact for all members of this procurement. All communications concerning this RFP must be directed only to the RFP Coordinator via email (with the exception of Letters of Intent (LOIs) which may be faxed, and the proposal submission itself which is to be mailed, express couriered or hand-delivered). Any other communication will be considered unofficial and non-binding toward any of the members party to this RFP. Vendors are to rely on written statements issued by the RFP Coordinator. Communication directed to parties other than the RFP Coordinator may result in disqualification of a prospective vendor.

Communication shall be directed to:

Name:	Kyla Moore
Address:	600 Washington Street SE P.O. Box 47200 Olympia, WA 98504-7200
Email Address (for Q&A onl):	contracts@k12.wa.us
Fax (for LOIs only):	360.725.6240

2. ESTIMATED SCHEDULE OF PROCUREMENT ACTIVITIES

Item	Action	Date
1.	RFP issued	December 10, 2018
2.	Question & Answer Period begins	December 10, 2018
3.	Letter of Intent due	January 18, 2019
4.	Question & Answer Period ends	January 18, 2019
5.	Final Question & Answer Addendum and/or Amendment issued (as necessary)	February 1, 2019
6.	Complaints due	March 8, 2019
7.	Proposals due	March 15, 2019
8.	Evaluation of written proposals	March 18-May 10, 2019
9.	“Apparent Successful Bidder” announced (notifications to unsuccessful proposers)	May 14, 2019
10.	Contract negotiation begins	May 15, 2019
11.	Debriefing conferences (if requested)	Per debriefing instructions
12.	Anticipated contract start date	July 15, 2019

The RFP Coordinator, in consultation with the members, reserves the right to revise the above schedule. All times, unless specified within the listed reference will be understood to be Pacific time.

3. LETTER OF INTENT

Vendors intending to submit a proposal must notify the RFP Coordinator via Letter of Intent (LOI) to propose no later than 4:00 p.m. on January 18, 2019. This letter may be provided via fax, email, postal, or express courier service. The letter does not obligate a Bidder to submit a proposal, however, proposals will **not** be accepted from Bidders who fail to submit a Letter of Intent.

4. COMPLAINT PROCEDURE

The complaint process is available to Vendors interested in this RFP. The complaint process allows Vendors to focus on the solicitation requirements and evaluation methods and to raise issues with these processes early enough in the process to allow OSPI to correct a problem before proposals are submitted and time expended on evaluations.

A Vendor may submit a complaint based on any of the following:

- The solicitation unnecessarily restricts competition;
- The solicitation evaluation or scoring process is unfair or flawed; or
- The solicitation requirements are inadequate or insufficient to prepare a proposal.

Vendors may submit complaints up to fifteen (15) calendar days prior to the proposal due date noted in the Estimated Schedule of Procurement Activities. However, Vendors are encouraged to submit complaints as soon as possible so members can rectify the issue(s) early in the process. Complaints must be submitted to the RFP Coordinator. In order to be considered a valid complaint, the complaint must meet the following requirements:

- Must be in writing.
- Should clearly articulate the basis for the complaint.
- Should include a proposed remedy.

Complaints not received by the deadline noted in the Estimated Schedule of Procurement Activities will not be reviewed. Failure by the Bidder to raise a complaint at this stage may waive its right for later consideration.

The Contracts Administrator or an employee delegated by the Contracts Administrator within each of the members' organizations will review valid complaints and respond to the submitter in writing. Members will consider all complaints but are not required to adopt a complaint, in part or in full. The response, and any changes to the RFP will be posted to WEBS prior to the proposal due date. Any complaint addressed during the complaint process cannot be raised during the protest process.

5. SUBMISSION OF PROPOSALS

Vendors are required to submit the following number of copies of their proposal: One (1) hardcopy original with original signatures for each member that is part of this solicitation and ten (10) flash drives for each member holding an electronic copy of the full proposal. Cost proposal is to be delivered separate from the remainder of the proposal, sent as both hardcopy and electronic files. The proposal, whether mailed, couriered or hand delivered, must be received at the office of the RFP Coordinator no later than 4:00 PM in Olympia, WA, on March 15, 2019. The proposal is to be mailed or delivered to the RFP Coordinator noted in Section B.1. Packaging should be clearly marked to the attention of the RFP Coordinator, who is the sole point of contact for this procurement.

Vendors mailing proposals should allow normal mail delivery time to ensure timely receipt of their proposals by the RFP Coordinator. Bidders who hand-carry or use an express courier to deliver proposals should allow time for traffic congestion. Bidders assume all risk for the method of delivery chosen. The soliciting partners assume no responsibility for delays caused by any delivery method.

Proposals not received by the deadline will not be reviewed. Late proposals will not be accepted and will be automatically disqualified from further consideration. Proposals must include all necessary information for review—no reference to materials external to this proposal will be accepted. The proposal must be complete and contain all references.

Failure to respond to or acknowledge any portion of the procurement document specific to a scope of work a Bidder has chosen to submit proposal may result in rejection of the proposal as non-responsive. All proposals and any accompanying documentation become the property of the states that are party to this RFP and will not be returned.

6. PROPRIETARY INFORMATION/PUBLIC DISCLOSURE

Your entire response to this RFP is a public record and will be disclosed consistent with the Public Records Act, Chapter 42.56 RCW.

A. CONFIDENTIAL DOCUMENTS

For the purposes of this RFP, if feasible, do not include confidential or proprietary information unless specifically requested by OSPI.

If by the nature of OSPI's request, confidential or proprietary information is included, you must clearly print the word "Confidential" on the lower right-hand corner of each page containing the confidential or proprietary information.

B. PUBLIC RECORDS REQUESTS

If a public records request seeks your proposal and the proposal contains pages clearly marked "Confidential", OSPI will take the following steps:

- i. We will notify you. We will identify the requestor and the date that OSPI will disclose the requested records.
- ii. We will give you an opportunity to seek a court order to stop OSPI from disclosing the records.
- iii. We will not evaluate or defend your claim of confidentiality. We will not withhold or redact your documents without a court order.

If you have any questions, refer to the [OSPI Public Records Office](#).

Proposals submitted in response to this competitive procurement shall become the property of all jurisdictions that are party to this RFP.

All proposals received shall remain confidential until the contract, if any, resulting from this RFP is awarded by the members participating in this solicitation; thereafter, the proposals shall be deemed public records as defined by the participating members' state public disclosure laws.

Any information in the proposal that a Bidder desires to claim as confidential/proprietary and exempt from disclosure, under reasonable expectation of exempt status clauses of each of the MAAC jurisdictions, must be clearly designated.

Each page claimed to be exempt from disclosure must be clearly identified by the word "Confidential" printed on the lower right hand corner of the page; clearly identify (through use of italics, highlighting, or other markings) the precise text, illustration, or other information, to be construed as confidential/proprietary, contained within each marked page marked. Include the specific basis for your position that it be treated as exempt from disclosure.

Marking the entire proposal exempt from disclosure will not be honored, nor will a legend or statement on a single page stating that all, or substantially all, of the response is exempt from disclosure. The bidder must be reasonable in designating information as confidential.

Prices quoted in a Bidder Proposal are not a trade secret.

If Bidder's proposal contains confidential/proprietary information that is properly identified in the original submitted version, Bidder is to also submit a redacted copy (in electronic format, with the word "redacted" in the file name) with all confidential/proprietary information removed or blacked out, as well as a separate document containing a complete list of all confidential/proprietary information which was removed/blacked out in the redacted copy that includes Page#, Section#, Paragraph#, and Title of Section/Paragraph.

If no confidential/proprietary information is included with the original proposal, Bidder will state so in the Letter of Submittal.

Each member will, to the extent allowed by law and in accordance with this RFP, honor a designation of nondisclosure. Bidder will be required to defend any claim of confidential/proprietary information in the event of an administrative or judicial challenge to a state's nondisclosure. Any questions regarding the applicability of a state's public records law should be addressed to Bidder's legal counsel.

Upon notification of a public disclosure request from a participating state, a Bidder will identify which provision of the corresponding state's law provides exemption from disclosure. The notifying state will then evaluate, per its governing public disclosure rules, whether grounds exist to honor the requested exemption; however, a final decision on exemption will be predicated upon the state's interpretation of its governing public disclosure rules. A contrary decision regarding exempt status will not be disclosed until the affected Bidder has been given an opportunity to seek a court injunction against the requested disclosure.

States that are party to this RFP are authorized by applicable statute or rules to assess fees for copying and shipping proposals or any other related materials, in response to a public disclosure request. No fee shall be charged for inspection of contract files upon the premises of the associated states' education offices, but two (2) business days' notice to the RFP Coordinator and/or subsequent Contract Manager for the respective state is required. All requests for information should be directed to the RFP Coordinator and/or jurisdiction Contract Manager, accordingly.

Failure to follow the RFP instructions related to the identification of confidential/proprietary information; or to otherwise identify confidential/proprietary information, may result in a jurisdiction not being required to honor nondisclosure requests.

7. ADDENDUMS AND AMENDMENTS TO THE RFP

In the event it becomes necessary to revise any part of this RFP, addenda will be posted through the same means and channels of the original RFP release, including the [OSPI website](#), WEBS, and members' websites, as applicable. For this purpose, the published questions and corresponding answers, and any other pertinent information, shall be considered an addendum to the RFP. It will be the responsibility of interested Bidders to check the applicable posting sites periodically for possible RFP addenda and updates.

8. SMALL BUSINESS, MINORITY & WOMEN-OWNED BUSINESS ENTERPRISES (MWBE), AND VETERAN-OWNED BUSINESS PARTICIPATION

In accordance with policies established by each member that is party to this RFP, contracting with firms certified or designated as a small business, or a minority-, women, or veteran-owned business is encouraged. Such certification and designation is governed by the protocols of each participating member. Check governing state law for details applicable to this section.

Bidders are advised, no preference will be included in the evaluation of proposals, no minimum level of MWBE participation shall be required as a condition for receiving an award, and proposals will not be rejected or considered non-responsive on a basis relating to this section. Any affirmative action requirements set forth in federal regulations or statutes included or referenced in the contract documents will apply.

Self-Certification should be submitted with the Contractor Intake Form (Exhibit C).

9. ACCEPTANCE PERIOD

Proposals must provide one hundred twenty (120) days for acceptance of original terms by the members party to this RFP starting from the date proposals are due. Due to the nature of the cooperative design of the solicitation, other states desiring to participate beyond the initial one hundred (120) days will be provided the same terms as initial members, subject to costing adjustments detailed in the bid for subsequent years of administration.

10. RESPONSIVENESS

All proposals will be reviewed by the RFP Coordinator to determine compliance with administrative and minimum requirements and instructions specified in this RFP. OSPI may reject a Proposal as nonresponsive at any time for any of the following reasons:

- Incomplete Response
- Submission of a Response that proposes services that deviate from the scope and technical requirements set forth in this document and Exhibit B, Sample Contract, except as permitted in an amendment to this Solicitation
- Failure to meet the minimum Bidder qualifications or to comply with any requirement set forth in this RFP, including Attachments
- Submission of incorrect, misleading or false information
- History of prior unsatisfactory contractual performance

The RFP Coordinator may contact any Bidder for clarification of the proposal. If a proposal is deemed non-responsive, it shall be removed from further consideration. Bidders whose proposals are found to be non-responsive shall be disqualified from further evaluation and shall be notified in writing. Within three (3) business days following such notification, Bidder may request a Debriefing Conference that shall be limited to the reasons Bidder was found to be non-responsive. Refer to Debriefing of Unsuccessful Proposers procedure in Section D.

If a proposal meets all administrative and Bidder qualification requirements and submittal instructions, OSPI shall continue with the written evaluation and, if applicable, the oral evaluation.

In consultation with the participating members, as the soliciting agency OSPI reserves the right to waive minor administrative irregularities.

11. MOST FAVORABLE TERMS

Members, party to this RFP, have the right to make awards without further discussion of the proposal submitted. Therefore, the proposal should be submitted initially on the most favorable terms which the Bidder can propose. There will be no best and final offer procedure. As the soliciting agency, OSPI does reserve the right to contact a Bidder for clarification of its proposal.

The Bidder should be prepared to accept this RFP for incorporation into a contract resulting from this RFP. Contract negotiations may incorporate some or all of the Bidder's proposal. It is understood that the proposal will become a part of the official procurement file on this matter without obligation to OSPI or other awarding members participating in the solicitation.

12. CONTRACT AND GENERAL TERMS & CONDITIONS

The Apparent Successful Bidder will be expected to enter into separate contracts with each member consistent with the accepted scope of work included in the submitted bid. In turn, each member awarding its own contract will include its own general terms and conditions; each members' standard general terms and conditions are included in Exhibit B, if applicable. In no event is a Bidder to submit its own standard contract terms and conditions in response to this RFP. Each member will specify whether Bidders will be allowed to submit exceptions to the general terms and conditions (example – Washington's Certifications and Assurances form included as Exhibit A). The corresponding state will review requested exceptions and accept or reject the same at its sole discretion.

Should contract negotiations fail to be completed within two (2) weeks after initiation, or exhibit a lack of progress toward completion, the applicable state reserves the right to immediately cease contract negotiations, declare the Bidder of second choice the new Apparent Successful Bidder, and enter into contract negotiations with that Bidder. This process will continue until success in executing applicable contracts or no qualified Bidders remain.

13. COSTS TO PROPOSE

Members, party to this RFP, will not be liable for any costs incurred by a Bidder in preparation of a proposal submitted in response to this RFP, in conduct of any presentations, or any other activities related to responding to this RFP.

14. NO OBLIGATION TO CONTRACT

This RFP does not obligate any of the members that are party to the RFP to contract for services specified herein. Members reserve the right to individually withdraw from the solicitation process or as a group to reissue the RFP in whole or in part, prior to execution of a contract without penalty.

15. REJECTION OF PROPOSALS

Members reserve the right as a group to reject any and all proposals received without penalty and not to issue a contract as a result of this RFP.

16. COMMITMENT OF FUNDS

Each member, party to this RFP, has designated staff authorized to legally commit the member to the expenditures of funds for a contract resulting from this RFP. No cost chargeable to a proposed contract may be incurred before receipt of a fully executed contract.

17. STATEWIDE VENDOR PAYMENT REGISTRATION

Members may have registration systems to which Vendors awarded contracts must enroll. Applicable enrollment requirements for each member are incorporated as Exhibit E.

18. INSURANCE COVERAGE

The Apparent Successful Bidder must comply with the insurance requirements identified within each members' general terms and conditions (refer to Exhibit B for details corresponding to each member).

The Contractor shall, at its own expense, obtain and maintain insurance coverage in full force and effect during the term of the contract. The Contractor shall furnish evidence in the form of a Certificate of Insurance that specified insurance shall be provided, and a copy shall be forwarded to the corresponding organizations' contract manager within fifteen (15) days of the contract effective date.

Section C. PROPOSAL CONTENTS

Proposals must provide information in the same order as presented in this document and with the same headings. This will not only be helpful to the evaluators of the proposal, but should assist the Bidder in preparing a thorough response.

The four (4) major sections of the proposal are to be submitted in the order noted below:

- a. Letter of Submittal, plus signed:
 - i. Certifications and Assurances (or other such form as applicable per each member)
 - ii. Contractor Intake Form (or other such form as applicable per each member state)
- b. Technical Proposal
- c. Management Proposal
- d. Cost Proposal

The Letter of Submittal, excluding the signed Certifications and Assurances and Contractor Intake Form shall be a maximum of two (2) pages.

The print version of a proposal must be submitted on eight and one-half by eleven (8 ½ x 11) inch paper size with tabs separating the major sections of the proposal.

1. LETTER OF SUBMITTAL (MANDATORY)

The Letter of Submittal, Certification and Assurances form, and Contractor Intake Form must be signed and dated by a person authorized to legally bind the Bidder to a contractual relationship, (e.g., the President or Executive Director if a corporation, the managing partner if a partnership, or the proprietor if a sole proprietorship).

Along with introductory remarks, please include in the Letter of Submittal the following information about the Bidder and proposed subcontractors (as applicable):

- a. Bidder name, mailing address, telephone and facsimile numbers, email address and name of each principal officer (President, Vice President, Treasurer, Chairperson of the Board of Directors, etc.)
- b. Location of the facility from which the Contractor would operate in fulfilling the services of any awarded contract
- c. Dunn & Bradstreet Number (DUNS) and/or other service provider identification numbers;
- d. A detailed list of all materials and enclosures included in the Proposal
- e. Identification of what scope of work is included within the proposal, whether common work only or a combination of the common work and state-specific work

2. EXECUTIVE SUMMARY (MANDATORY)

Include an executive summary providing a condensed overview of the contents of the Proposal demonstrating an understanding of the services to be performed. Bidders should present their understanding of the magnitude and parameters of the Project, the objectives and the intended results. Bidders should describe their understanding of the solution and services as requested by the RFP. Bidders should summarize how their proposal meets the requirements of the RFP and why the Bidder is best qualified to perform the work required, using quantifiable and verifiable information.

3. TECHNICAL PROPOSAL (SCORED)

The Technical Proposal is to focus on the tenets of the following six (6) elements as part of an overall picture of contract fulfillment, including language specific to each service deliverable as appropriate:

1. **Project Approach/Methodology** – Include a complete description of the Bidder's proposed approach and methodology for the project. This section should convey Bidder's understanding of the proposed project.
2. **Work Plan** – Include all project requirements and the proposed tasks, services, activities, etc. necessary to accomplish the scope of the project defined in this RFP. This section of the Technical Proposal must contain sufficient detail to convey to members of the evaluation team the Bidder's knowledge of the subjects and skills necessary to successfully complete the project. Include any required involvement of corresponding member staff. The Bidder may also present any creative approaches that might be appropriate and may provide any pertinent supporting documentation.

No later than ten (10) calendar days following the initial kick-off and subsequent annual planning meetings, the Contractor shall submit to the specific member revised/updated and detailed work plans and implementation schedules, pursuant to the requirements of each member as specified in the associated meeting and specific to the original contract period.

If requested by an individual member, Contractor shall provide modifications, changes, and/or additional elaboration to Contractor's work plan and implementation schedule as deemed necessary to accomplish and fulfill the needs of the each member. Contractor shall agree and understand that the members shall have complete and total approval authority over the work plan and implementation schedule tied to the common scope, while each individual member will have the same authority with respect to member-specific needs.

Contractor shall implement, operate, and satisfy all requirements of the detailed work plan and implementation schedule, as approved by members. Contractor shall perform only those activities specifically identified in the work plan and implementation schedule approved by the members.

If requested by an individual member, Contractor may be required to develop and submit a new or revised work plan and implementation schedule associated with the common scope, or a portion of the work plan and implementation schedule, at other times throughout the term of the contract. Contractor shall prepare and submit all such future work plans and implementation schedules within a timeframe stipulated at the time of the request by the requesting member, but will be required to share with all members.

If the request is member-specific scope the above details need only be shared and approved by the requesting member.

3. **Project Schedule** – Include a project schedule indicating when the elements of the work will be completed and when deliverables, if any, will be provided.
4. **Deliverables** – Fully describe deliverables to be submitted under the proposed contract.
5. **Outcomes and Performance Measurement** – Describe the impacts/outcomes the Contractor proposes to achieve as a result of the delivery of services including how outcomes would be monitored, measured and reported to the awarding organization.

Please Note: Mere repetition of the Scope of Work will not be considered responsive.

6. **Risks** – Define risks you identify as being significant to the success of the project. Include how you propose to effectively monitor and manage these risks, including reporting of risks to the agency's contract manager.

To support the evaluators/readers, the Bidder is required to format the Technical Proposal such that the original RFP language provisions and numbering are directly quoted and included in the proposal, followed respectively by the Bidder's response to each provision in formatting which makes the original language and Bidder's response easy to distinguish and read.

4. REQUIREMENTS

A. Smarter Balanced General State Assessments (Grades 3-8 and High School ELA & Math)

A.1. Test Development

Contractor will coordinate with Smarter Balanced to gain access to Smarter Balanced's item bank for implementation of associated tests. The Smarter Balanced item bank will provide items and test maps designed specific to the required assessments. Refer to Exhibit G and Ga for details on the current specifications associated with the Smarter Balanced assessments and systems.

No direct test development activity, intended to populate the various test forms used in annual administrations of the Smarter Balanced general state assessments, will be established with the Contractor as a result of this RFP. Where feasible within agency capacity, each member will choose whether to assist Smarter Balanced with future item development activities. To that end, a proposal is to include Bidder details on a teacher-accessible, user-friendly item authoring tool to support these state-managed item writing exercises.

A.2 Field Testing

Contractor will be required to support field testing of new items within student-scheduled testing engagements of the regular assessment (embedded field tests). Exact specifications for future field testing are determined based on needs of the Smarter Balanced item bank. For proposal purposes, Bidder should anticipate the need to annually present additional items (a range of 5 to 8 items) in the computer adaptive test session and one (1) performance task per content area and grade level.

A.3 Accommodations

Bids will provide fully representative incorporation of all supports and accommodations in accordance with the Smarter Balanced *Usability, Accessibility, and Accommodations Guidelines (UAAG)* in the presentation of assessments. The UAAG can be referenced through the Smarter Balanced website (link found in Exhibit Ga).

In those instances where a member identifies an accessibility feature not addressed by Smarter Balanced, Contractor shall participate in conversations between Smarter Balanced and the state to evaluate possible inclusion. If the decision is to allow the newly identified means of access, Contractor will collaborate with the member to incorporate the feature into first feasible administration, and no later than the next administration year. Additionally, Contractor and member will share information about the new means of access with Smarter Balanced and other consortium members.

In those instances where a member wishes to be more restrictive with respect to means of access, Contractor will work with the state to adapt the Contractor's test engine to support the change in access guidelines.

Any changes in access guidelines, will require Contractor to ensure coding is updated to match administration protocols and that associated data capture with respect to identified access means are consistent with the guidelines.

Bids need to include details describing data-capture processes, at the student level, that will provide information on accessibility features selected for students prior to testing and actual use by the student during actual testing. Bids will provide details supporting real-time, or as near real-time, state monitoring of accessibility feature use by students (e.g., possible state reports).

The accessibility information must be portable across administration years such that state, district, or school staff do not need to re-enter student details from one year to the next. This accessibility information needs to be exportable such that state, district, and school staff can conduct different analyses around the connections of student performance and accessibility.

Contractor will be expected to cooperate with each member in addressing any identified Peer Review items associated with accessibility that require adjustment to the assessment system.

a. Printed Test Form Provisions

Print On Demand

For students with specific testing barriers (i.e., student's Individualized Education Program, or IEP, dictates administration of tests in paper-pencil format), Bidder's test engine programming must support the ability for print on demand (the student's test can be designated through the test engine and accompanying connection to a printer, for creation of hardcopy versions of the items).

NOTE: Upon the student's completion of applicable print version of items, test administrators would be expected to transcribe the student response into the test

engine interface. Print versions of the test items will be destroyed under secure means.

Printed Paper-Pencil

For students whose IEPs specify no interaction with electronic devices, Contractor will produce and ship standard test booklets and response documents. In these cases, test administrators need an ability to transmit student responses to Contractor for scoring. Bidder proposal will include solution for capturing/including student responses in standard scoring processes. The print materials will be returned to Contractor for secure processing and accounting.

b. Braille and Large Print

For each operational assessment, Bidder’s system will support administration instances in both Braille and Large Print.

Braille On Demand / Large Print

Contractor’s test engine will provide for students identified through an IEP to access the assessment through on demand Braille using refreshable Braille devices or Large Print formatting using vision enhancing tools or software.

Braille and Large Print Testing Materials (Non-Computer)

In those instances where a school or district is not prepared to support computer-based testing, Contractor will provide means of producing Braille and Large-Print forms based on the Smarter Balanced paper-pencil form, in both contracted and uncontracted formats. Per the Braille Authority of North America (BANA) Unified English Braille (UEB) is the official braille code as of January 2016. Mathematics tests must use UEB with Nemeth.

Based upon the 2017-2018 testing data, MAAC members estimate, but cannot guarantee, annual quantities for use of Braille and Large Print testing materials, by grade level and content area assessment as represented in the tables below.

Table A.3.b.i. – Estimates of Braille Student Enrollment

Enrollment	WA	DE	HI	VI ¹	MT
Grade 3	10	4	1		1
Grade 4	10	4	1		1
Grade 5	10	4	1		1
Grade 6	10	4	1		1
Grade 7	10	4	1		1
Grade 8	10	4	1		1
Grade 9	10		1		1
Grade 10	10		1		1
Grade 11	10		1		1

Table A.3.b.ii. – Estimates of Large-Print Student Enrollment

Enrollment	WA	DE ²	HI ²	VI ¹	MT
Grade 3	35				30
Grade 4	35				30
Grade 5	35				30
Grade 6	35				10
Grade 7	35				10
Grade 8	35				40
Grade 9	35				10
Grade 10	35				10
Grade 11	35				10

Note 1: No information available regarding braille and large-print format in paper/pencil.

Note 2: Based on previous online testing programs, the agency no longer requires large-print format in paper/pencil.

Contractor shall provide a process for school districts to order Braille and Large Print testing materials, and shall distribute all such testing materials in a Braille/Large Print kit to the associated school district.

The contractor’s Braille/Large Print kit shall include Braille response documents for Braille assessments and appropriate response documents for Large Print assessments.

- Students being administered a Large Print assessment will respond directly on the Large Print test document, unless the student’s IEP specifies a scribing accommodation.
- Test administrators would be expected to transcribe student responses from Braille and Large Print test forms into the test engine interface.

Contractor shall provide for the secure return of Braille and Large Print testing materials to Contractor facilities. Contractor’s Braille/Large Print kit shall include all materials (boxes, envelopes, and prepaid return shipping labels) for the schools to use to return testing materials.

c. Assistive Technology

Contractor’s test delivery platform shall support refreshable Braille devices and vision enhancing software. Contractor shall work with the state to explore the feasibility of supporting additional assistive technology including, but not necessarily limited to, screen reader and text to speech software, speech to text, screen enlargement, and alternative input devices and software. If the state requests test access through a specific assistive technology device, Contractor shall make provisions to support the aforementioned assistive technology, but would not be responsible for providing any needed hardware or software (such as refreshable Braille devices) for school districts or the state.

- In addition, Bidder should specify what Speech-to-Text options are available in the secure browser or specify what Speech-to-Text options are available with their Secure Browser on various platforms (esp. Windows, Mac, iOS and Chrome).

d. Translations

Contractor's test engine will support all means of translation access Smarter Balanced has designed within its assessment system. Contractor will review the existing references provided by Smarter Balanced (see Exhibit Ga).

"Stacked" and Glossed

- Spanish

Glossed, only

- Arabic
- Vietnamese
- Cantonese
- Mandarin
- Tagalog
- Punjabi
- Korean
- Russian
- Ukrainian
- Ilokano

Pre-recorded video format (for embedding)

- American Sign Language (ASL)

In those instances where a state chooses to restrict translation access, Contractor's test engine must be programmed to disable the associated access feature.

A.4 Practice Tests

For Year 1 of an awarded contract, Contractor will, at the earliest opportunity possible (and no than October 30), make available to students and teachers the applicable content area practice tests (access to a pre-made Smarter Balanced version or one prescribed by the state) – that includes all item types – allowing opportunities for students to experience the structure and format of the operational test. Subsequent to Year 1 of a contract, access to the practice tests will be in place no later the September 15 of the administration year. A practice test will be available for each grade level/content area combination and will include Performance Tasks.

Practice tests must provide for inclusion of all embedded universal tools, designated supports, and accommodations. Additionally, practice tests should be grade-level specific to the associated assessment.

A scoring guide for teachers, parents and students will be made available and posted. Practice tests should be available via both secure and non-secure browsers.

Practice tests must allow for guest access without need of the secure browser.

A.5 Training Tests

For Year 1 of an awarded contract, Contractor will at the earliest opportunity possible (not to exceed October 30) provide access to the applicable training tests (access to a pre-made Smarter Balanced version or one prescribed by the state) – that will allow students to become familiar with the software and interface features. Subsequent to Year 1 of a contract access to the training tests will be in place no later the September 15 of the administration year. Training tests must provide for inclusion of all embedded universal tools, designated supports, and accommodations.

To the extent practical, training tests should be made grade-appropriate for students such that in attempting to familiarize themselves with the testing interface there is no interference or confusion created by the complexity of the content used in establishing the training test. A Bidder may also provide the option for members to consider having grade-grouped training tests (e.g., elementary, middle, and high school versions), but both grade-grouped and grade-level specific training tests should be presented in the proposal.

Training tests must allow for guest access without need of the secure browser.

A.6 Test Engine

Contractor will provide a secure, technology-based assessment delivery system (test engine) meeting the specifications detailed by Smarter Balanced. Contractor's system will come with all necessary documented processes, manuals and platforms to support a computer adaptive assessment administration. Bidder should refer to the following Smarter Balanced specifications in preparing proposals (refer to Exhibit G).

If the test engine is an existing design, Contractor must detail how the test engine fulfills members' expectation of compatibility with and certification for delivering Smarter Balanced assessments. Bidders must include as part of a proposal evidence that Bidder's test engine is certified to the established Smarter Balanced specifications, interoperability requirements, and certification process in order to be considered a valid proposal. Proposals without such evidence will be considered non-responsive.

Bidder proposal must detail how the proposed test engine is, or will be, compatible with a given member's preferred data system. More about each member's data system can be found in the Exhibit H series.

Bidders must provide evidence of redundant systems or contingency procedures for hardware and software of the test delivery system, including sufficient bandwidth not only during summative testing, but throughout the year with interim testing. Included evidence will address the following details:

- Power outage backup within the test delivery architecture
- Secure browsers monitored for possible threats
- Secure browser software ensures no navigation outside of the test allowed during the assessment

- Continuous saving of student responses
- Telemetry captured and available, with summarization for reporting to members
- Contractor-to-member alert process when an issue arises in the field
Communication plan with member, including text alert system
- Communication plan with LEAs when issues arise. Email or text for immediate communication

Access to any format of testing—summative, interim, practice, and training—should be set to preclude any possibility of confusion on the part of administrators and selection of the wrong testing format.

Bidder will submit with a proposal a plan for members to engage in User Acceptance Testing (UAT) supporting each administration year roll-out. UAT must be scheduled to occur at a reasonable time of year to ensure smooth and effective introduction of any system updates or additions for school and district familiarization prior to the start of annual testing. Bidder should propose a projected schedule to achieve this aim, with an understanding that scheduling will remain fluid to any given year's system updating. Actual UAT dates will be set with each member on an annual basis at regularly scheduled planning meetings.

A.7 Availability & Capacity

Bidder must demonstrate the performance and reliability (e.g., addressing load and surge capacity) of its proposed test engine for use during testing times outlined in the RFP, inclusive of information about peak operating days and weeks, with applicable load.

- Load capacity is to detail the test engine's maximum student participation that can be supported before system performance would experience possible performance degradation.
- Surge capacity is to detail other potential system interactions or the commencement of other system interfacing (if any) that might lead to performance degradation.

Other system interfacing might be represented as new client start-up of testing, multiple test formats engaged with the test engine at congruent times, etc.

A proposal should reflect with candor a Bidder's current client demand and implications or contingencies that would need to be addressed if being awarded the MAAC contract. A proposal will include explanations on how conflicting demands will not impact proposed services for each member. By sharing information about current contract demands, Bidder will include explanations and redundancy details on how conflicting demands will not impact proposed services. Additionally, Bidder must demonstrate, through inclusion of system specifications that the test engine has the capacity to meet the demands of each member and all other client testing contracts the Bidder holds.

A.8 Technology Readiness

Bidder's expected minimum technology requirements are to be consistent with the minimum technology requirements stated in this RFP. (Refer to Exhibit G for further details on technology requirements). Individual school districts shall be responsible for

ensuring local technology capacity to administer assessments online. Contractor shall provide guidelines, and where applicable, tool(s) for school districts to use in verifying readiness for conducting online assessments. Such tool(s) must function within Windows-based, Mac OS-based, and Linux-based hardware and operating systems, and must, at a minimum, address the following:

- a. Proper configurations of network devices to ensure network connectivity from within the school district/building to internet locations required for testing.
- b. Capacity of hardware for use in online testing (minimum workstation specifications, minimum bandwidth requirements, percent of bandwidth utilization at school/district levels).
- c. Evaluation of the maximum number of concurrent assessments to be administered at each school.
- d. Ability to quickly support rolling operating system releases

In cooperation with the member agency, Contractor shall develop guidelines for schools to access and use the provided tool(s) using sample data at times during the school day that will closely replicate the operational testing environment. In addition, Contractor shall provide a methodology for validating that schools have completed the necessary steps for ensuring technological readiness to administer the assessments.

By September 15 of each school year, Contractor will provide a complete training program to orient administrators, proctors/test administrators, and teachers to the online testing environment and supporting systems use. The training program will provide access to a catalog of existing modules or other such training formats specific to Contractor's systems.

A.9 System Security

Contractor's test engine will provide advanced security protocols and techniques to protect both test content and student data. General security requirements shall include:

- Student access control to the testing interface with student authentication generated through a secure administrative system;
- Administrator access control including administrative authentication to gain access to administer tests, view/maintain student data, and access student performance reports;
- System checks that evaluate each user's access privileges at log-in and automatically disable or enable client functions based upon the user's profile.

Steps to maintain strict security of test content and student data include:

- Security of test content shall be device specific and device appropriate;
- Only valid authentication information may enable test content to be decrypted to a viewable format;

- Test content accessed via valid authentication information must be displayed only while the student is taking the test. Upon completing the test, any decrypted test content must automatically be removed from any systems outside of the host systems;
- Cached content is secured, managed, and purged;
- All transmissions of student data must occur over secure network connections that utilize authentication and encryption technologies.

Device Security During Testing – When using any approved devices, decrypted test content must be protected through control of the desktop computer while students are testing. Access to other applications or websites must be disabled or disallowed while a test is being accessed. Strict controls must be maintained over operating system functionality, printing, copy and pasting, screen captures, keyboard shortcuts, right-mouse clicks, or other functionality that could compromise test content.

A.10 Assessment Delivery System & User Interface Interoperability

The inter-component communication of the Contractor's delivery system must use current industry-recognized standards (SIF, IMS, etc.) as well as any tools that are jurisdiction-specific based on previous online testing history. The Contractor's online assessment delivery system must be flexible to accommodate the varying technological capabilities that exist in state school districts. Additionally, the Contractor's online assessment delivery system should accommodate virtual networks and/or thin client environments. The Contractor's delivery system must also support administration within a secure wireless environment on tablets (including, but not limited to, iPads, Androids, and Chromebooks) or other mobile devices. State school districts will possess, at a minimum, the following technological capacity. The Contractor's online administration platform must accommodate the system requirements specified for MAAC members by the Smarter Balanced consortium (refer to link in section 2.1.H)

Contractor's assessment delivery system must meet the following minimum requirements with regard to various administration management details:

- a. Data Management
 - Ability for administrative users to view and edit student accessibility (accommodation) and demographic information entered as part of the pre-identification process;
 - Ability for administrative users to hand-enter student records prior to or at the time of testing;
 - Capability to maintain both student-specific data fields and test-specific data fields;
 - Capability for the test administrator to complete an electronic Group Information Sheet to determine how student results will be returned to the school district (by class, school, district)

Contractor's system will allow flexibility for individual members to apply greater restriction to administrative users' rights to revise data, but members cannot relax the minimum rights listed above.

b. Test Management

- Ability to be configured with various form distribution plans that result in school districts automatically receiving the appropriate assignment of test forms for given test administrations.
- Ability to randomly assign spiraled sets of test forms to students.
- Ability for administrative users with appropriate access to schedule students for online tests and generate necessary student login information prior to testing.
- Ability for administrative users with appropriate access to assign specific accommodations (e.g., large print test forms) to individual students.
- Ability for select authorized users to view aggregate test information by course or grade level/content area such as number of tests scheduled (by date), number of tests being administered (real-time), number of tests completed, number of scoreable tests completed, etc.
- Ability to assign unique login credentials for each test session.
- Independent scrolling capability for items which include a stimulus and response options or response area displayed side-by-side.
- Availability and integration of an online test administrator training and certification course.

Not all members will require this level of administrative user rights. Contractor's system will be configurable to allow different demands for each member.

The assessment delivery system and all associated systems will require periodic and scheduled maintenance. Downtimes required for this maintenance should be scheduled, to the extent feasible, for end of day (EOD) Fridays through EOD Sundays, so as to minimize impact on users.

c. Test Engine Performance Reliability

Contractor's test engine will demonstrate the robustness and reliability to meet state needs across multiple assessments and formats. Contractor will ensure that the test engine:

- Accommodates up to two hundred thousand (200,000) simultaneous test administrations
- Can safeguard against catastrophic events (proposals are to include a complete Contingency Plan for disaster prevention that include processes detailing system redundancy and recovery)
- Is available to school districts during the entire testing window, the pre-identification process and the enrollment window, as mutually agreed upon with the state
- Is structured to allow school districts to accommodate needs of individual students, as well as small groups of students with unique testing needs

Upon state request, Contractor shall re-open a school district's identified content testing window at any time during the statewide window without additional charge to the school district or the state.

d. Testing Interface

Contractor's student testing interface will provide the following:

- Device-appropriate display of text and graphics for all students
- Ability for students to navigate the complete test (forward, backward, and skipping items)
- Ability for students to mark an answer using a pointing device or keyboard
- Ability for students to view the text or graphic simultaneously with the item stem and distractors when an item, or set of items, is text or graphic intensive
- Online availability of any manipulatives (including, but not necessarily limited to calculator, spell check, graphing tools, dictionary, thesaurus, measurement tools, electronic annotation, formula charts, and scratch paper) as indicated in test blueprints
- Indication (on the workstation display) of the name of the student login used to access the test
- Ability to match collected student data in the event that it is necessary for a student to restart a test

The Contractor's online assessment delivery system should provide options to support common test-taking strategies including:

- Visually eliminating one or more distractors
- Highlighting and/or underlining key words or graphics
- Flagging items as incomplete or in need of review prior to completing the test or test section
- Indicators of which items have been answered/unanswered
- Using online "scratch paper" with text and drawing capability

Contractor will upgrade and enhance the test engine as new technology for assessment delivery becomes available and as assessment needs dictate. Members will have the opportunity to suggest, discuss, review, and approve all proposed changes to the test engine, and members will approve the schedule for roll-out of any such proposed changes.

Changes or enhancements to other Contractor systems will allow for the same member involvement and approval processes. Contractor will establish monitoring systems with metrics/thresholds approved by members to detect system errors ("bugs"). Contractor will grant access to members to view error logs.

e. Assessment Portal

Contractor will host and maintain for each member an assessment portal for access by the member, and Local Education Agency (LEA) teachers, administrators, technology coordinators, as well as students, families, and private citizens. Portals will support members the ability to place and access both secure and non-secure assessment-related information and links, even where member-specific.

f. Section 508, Americans with Disabilities Act (ADA), and Web Content Accessibility Guidelines (WCAG) Compliance

Materials developed for or accessed by the general public must be accessible to people with disabilities, including manuals, training, and other correspondence developed to support the test and test systems. For example, the Test Administration

Manual (TAM) is developed for classroom level test administrators and school and district test and technology coordinators, however, the information contained in the TAM must be accessible by parents, students, and the general public.

Per guidance from the Office of Civil Rights, agencies must ensure that all published electronic information is compatible with assistive technology devices commonly used by people with disabilities for information and communication. This applies to persons with disabilities who use assistive technology to read and navigate electronic materials. If an electronic publication cannot be made compliant, then the jurisdiction and Contractor must provide a reasonable alternative to the document.

A.11 Administration

Contractor will facilitate the administration of Smarter Balanced assessments in English language arts and mathematics. The Contractor will provide the assessments for all public school students enrolled in grades 3 through 8 and high school beginning in the 2019-2020 academic year (spring 2020 test administration).

The Smarter Balanced assessments will include a combination of selected-response, constructed response, performance tasks, and technology-formatted items (items must meet the minimum technology requirements defined herein).

The specific number of each item type must coincide with the applicable test specifications.

Contractor will demonstrate the capacity to support at least one equivalent form at each grade level and content area to be used in the event of a breach of test security or a statewide technology issue.

a. **Administration Windows**

During a spring testing window, considered any time from February to mid-June, beginning in 2020 (each awarding state will specify at time of contract a more precise timeframe), Contractor shall provide the Smarter Balanced assessments.

b. **Field Support**

Ancillary Materials Production – Annually, Contractor shall support the requisite development and distribution of the following ancillary materials for each assessment supporting test administration. For Smarter Balanced assessments, Contractor must provide ancillary materials that allow for customization consistent with state protocols and practices, while remaining within the guidelines established by Smarter Balanced (refer to Exhibit G and Ga for further details).

Test Administration Manual (TAM) – Contractor shall develop, for electronic distribution, TAMs that clearly explain all procedures relative to test administration. Where applicable, Contractor shall develop individual TAMs for each assessment. Additionally, if assessment-specific manuals are developed, the TAM will clearly delineate each content/grade-level assessment by section.

The content of each TAM shall include, but not be limited to:

- Specific instructions for the administration of the applicable assessment;

- Nominal time requirements for each assessment (as appropriate);
- Scripts for administration of each assessment to ensure consistent and appropriate instructions are given to students.

No less than one hundred twenty (120) days prior to the beginning of each administration window, Contractor shall make the TAM for each assessment available electronically in Adobe PDF format for jurisdiction review.

No less than sixty (60) days prior to each administration window, the final TAM for each assessment must be available electronically in Adobe PDF format for the jurisdiction to provide training to public-school educators; this version must be appropriate for posting on the jurisdiction websites, as well as Contractor's test engine platform. The jurisdiction shall have authority to approve all language, content, and format of the TAMs.

Contractor will provide the TAM for each assessment in printable Adobe PDF format.

Test Coordinators Manual (TCM) - Contractor shall develop for electronic distribution a Test Coordinators Manual (TCM) that explains all procedures relative to the organization of school district level testing. Where applicable, Contractor will develop separate TCMs for each assessment.

Note: Delaware does not use a TCM

The TCM shall include:

- Appropriate processes for returning Braille and Large Print testing materials;
- Appropriate processes for handling accommodations requiring a paper/pencil test accommodation;
- Appropriate measures for protecting test security at the school district level;
- Suggested times for test sections and suggestions for school district level test scheduling;
- Appropriate processes for including special populations of students in testing;
- Important dates leading up to, during, and after the testing window(s);
- How to handle student absences and other unique testing situations (e.g., testing of homebound students, students moving into and/or out of the school district during the testing window, etc.)

Contractor shall provide all TCMs in printable Adobe PDF format ready for posting to member websites and Portals no later than forty-five (45) days prior to the start of annual testing.

Members shall have authority to approve all language, content, and format of the TCM. Contractor shall collaborate on annual reviews of the TCM(s) with both Smarter Balanced and the corresponding member (reviews do not need to be conducted with all parties at the same time).

c. Operations Support (Help Desk)

The Contractor's Support or Help Desk will be available via a toll-free telephone number, email, and instant messaging.

Contractor will provide Tier 1 help desk support to members. At a minimum, Contractor will address inquiries specific to administration processes as included in the associated manuals and ancillary materials.

Contractor's Tier 1 help desk will receive technical questions with respect to the test engine and other technology supporting the assessment program serviced under this solicitation. Inquiries of a technical nature and specific to Contractor systems will be directed to the Technical Support desk. Contractor will describe telephone, email, and instant messaging availability. Customers who contact the help desk will wait no more than five (5) minutes to speak with or receive a reply from a customer service agent during regular-hours coverage. For requests submitted during off-hours where no coverage is expected, customers should expect a response when coverage begins the next business day.

Contractor's help desk will be staffed during normal school hours within the jurisdiction plus two (2) hours before and after the school day (nominally 6:00 a.m. to 5:00 p.m. local time).

Contractor will provide to members regular access to call log information and performance metrics. Information from help desk interactions will be reviewed for program improvements. Contractor will be expected to make initial contact regarding any inquiries within 24 hours of receipt; during testing windows response time would be expected to be shorter (within 2 hours).

d. Technical (Tech) Support

Contractor will provide Tier 2 and 3 level technical support to address inquiries involving the various technology behind the computer-based testing interface. Response times, reports and metric expectations parallel to the Tier 1 help desk are required for the Tech Support services.

e. Administration and Technical Training

Contractor will establish and implement a training plan for district, school, and technology coordinators and teacher administrators on all aspects of the assessment program. Each member, in collaboration with Contractor, will determine audience, topics, frequency, and mode (face-to-face, webinar, video modules, etc.) of the training, including such elements as format, participants, and logistics. Training will also include technical and administrative training on relevant test administration processes for all stakeholders.

- Incorporation of Smarter Balanced training modules provides the foundation for training, but should not be expected to be the full compendium of jurisdiction requirements.
- Contractor will develop other resource material including user guides and FAQs.

Contractor will collaborate with members to develop test administration training materials for annual release to school and district administrators. Once final products are developed, Contractor will deliver the needed resources to the state for use in annual training events. Incorporation of Smarter Balanced training modules can

provide the foundation for training supports, but should not be expected to be the full compendium of jurisdiction requirements.

A proposal will demonstrate the ability for members to link test administration training to a state-level Learning Management System (LMS) and provide for individual certification on testing systems and processes.

A Bidder technology solution will support creation of demonstration (“Demo”) districts for state-level users that will contribute to the development of resources to aid school and district staff in becoming familiar with the Contractor’s systems and provide context for responding to technical assistance. Demo districts are also useful in setting up and working through User Acceptance Testing (UAT) on system additions, modifications, and updates.

A proposal must include a Bidder’s plan to establish one or more “sandbox” district to allow all educators a means to engage with the various test engine systems in a consequence-free training environment. The intent is to increase understanding of local administrators and teachers to the actual testing systems involved. The “sandbox” district should:

- i. Include pre-generated data for educators to apply in system trials.
- ii. Include functionality for educators to generate their own data through creating demonstration student records, administering tests to demonstration students, scoring demonstration student responses (both automatically and manually), etc. allowing educators to experience the various processes involved.
- iii. Be sustainable (not having to be rebuilt from the ground up) across contract years.
- iv. Be available from August through June—the effective school year for districts—so access can be gained for educator training.

f. **Retake Administration** (*WA only*)

Washington currently uses the high school administration of the ELA and math assessment for exit exam purposes, and will therefore need to offer retake opportunities in subsequent years to students who do not meet standard on their initial attempts. Retake opportunities will be supported during the main spring administration window, as well as a separate test window, typically conducted in the fall of each school year.

The first retake opportunity under a contract award from this RFP would occur no earlier the spring 2020 administration.

Estimates for initial re-testing on the high school assessments are provided in the table below. These estimates are not to be construed as guarantees, but best determinations for bidding purposes starting with the spring 2020 administration.

Student Re-Testing Estimates

Projected Enrollments	WA	DE	HI	VI	MT
Common Elements – Smarter Balanced System					
Gr 10 ELA	20,000				
Gr 10 Math	40,000				

d. Paper-Pencil Forms

In those instances where a school or district is not prepared to support computer-based testing, Contractor will receive formatted paper-pencil versions of the Smarter Balanced test for production, distribution, administration, receipt and processing.

The cost for paper-pencil testing will be included in member-level contracts.

Paper/Pencil (numbers are estimates)

Enrollment	WA ¹	DE	HI ¹	VI ¹	MT
Grade 3		75			
Grade 4		75			
Grade 5		75			
Grade 6		75			
Grade 7		75			
Grade 8		75			
Grade 9					
Grade 10					
Grade 11					

¹ Member does not expect to provide paper/pencil testing beyond individual student access needs as a result of a documented disability.

A Bidder’s technology (online) system solutions must provide for local entry of paper-pencil responses to submit for scoring along with other online student entries.

e. Irregularities

Testing irregularities come in two unique forms: (1) improper or suspect student testing outcomes, or (2) “alerts” associated with communicating a situation involving risks to student safety.

“Sensitive Papers”

For all summative assessments including constructed response, performance and technology items (hand-scored and/or scored electronically using an automated engine), Contractor’s scoring processes shall allow for immediate identification of “sensitive” or “alert” papers according to each member’s specifications.

Contractor will provide a secure FTP site or other means of providing an electronic file of the student’s response to the member. Contractor will communicate to the member weekly updates on posted “sensitive” papers via email.

Each student response identified as a “sensitive paper” must be saved to the secure site as a unique file with appropriate identifying information. Where applicable, members’ current definitions of “sensitive paper” responses and associated review protocol are included in Exhibit I.

Improper/Suspect Student Testing Outcomes

Contractor will identify the situation when discovered to the specific member staff and provide a means to share the information in question for state review.

When directed, Contractor will support further sharing of suspect information with applicable district staff for purposes of investigating the situation.

Contractor will proceed with scoring the student record, but will flag the data for additional validation steps. At a point in the scoring process, the jurisdiction will communicate with Contractor whether the student record will proceed to reporting or be designated as “invalid.” This decision may be in response from investigation results provided by the district or other input.

f. Data Management

Before, during, and after each operational administration of the Smarter Balanced assessment in English language arts and mathematics, Contractor will provide for data processing and data verification activities by corresponding members that is in accordance with the requirements described herein. Bidder solutions to student data management must address in detail how interaction with a current state’s data system will leverage technology and devise protocols to accomplish seamless integration that precludes an individual state needing to develop work-arounds to accomplish the needed outcomes. Refer to the Exhibit H series for existing state data management rules, processes, and specifications.

Bidder solutions must address data management for both summative and interim, assessment use.

Pre-Identification (PreID) System

For all operational assessments, Contractor will collaborate with each member to set the pre-identification business rules through which student enrollment information linked to expected assessment participation will be exchanged. Contractor’s pre-identification system must be compatible with the corresponding member’s Student Information System (SIS) plus accommodate data as defined by a member’s data specifications document, as applicable (refer to Exhibit H). Members will have final approval of the business rules established for each administration year. (The pre-identification file layouts used for 2017-2018 are included as Exhibit H.)

- Contractor and member will meet prior to each administration year to establish applicable business rules and set schedules for exchange of pre-identification and other enrollment information per the business rules supporting the applicable assessment.
- Contractor will guarantee collaboration with each member for the inclusion of state updates to the pre-identification/enrollment information (accounting for new or transfer students) and post-testing student file clean-up.

Contractor's pre-identification systems must provide the specific member and corresponding school districts with the ability to generate pre-identification rosters sorted by school district, building, grade level, or classroom teacher.

At a minimum, Contractor's pre-identification system must support data collection and disaggregation that is consistent with each member's data management rules. Each member may have different requirements, so Bidder proposals will need to demonstrate capacity to address any such differences in need.

If necessary to meet state or federal requirements, Contractor shall provide members with the ability to add additional data elements, at no additional cost to the requesting member.

Data Management (Record Reconciliation)

Contractor will establish procedures, in concert with the member(s), to provide districts the opportunity to reconcile discrepancies in the collected student file prior to release of reports. The procedure would allow an early look at the General Research File (GRF), post-testing but possibly prior to consolidation of scores, to ensure all students are accounted for and with the correct information.

Final Score Files

Contractor will collaborate with the member(s) on final review and approval of the score file prior to acceptance by the state. Upon member approval of the final score file, Contractor will produce parent (family) score reports.

g. Data Analytics/Forensics

Contractor will provide estimates for conducting post-testing forensic procedures, following each administration, and provide analysis on collected data associated with response patterns at the student, classroom, school, and school district levels for purposes of identifying possible testing irregularities.

h. Scoring

Following each operational administration of the Smarter Balanced assessment in English language arts and mathematics, Contractor shall fulfill scoring activities in accordance with the requirements described herein.

Selected Response Items - Contractor shall provide electronic scoring of selected-response items on all assessments. The Contractor's process for scoring selected-response items must incorporate adequate quality assurance checks to ensure accuracy of student scores.

Constructed Response Items – Contractor shall provide hand-scoring, automated electronic scoring (as applicable and available), or a combination of the two, for all constructed response items.

Performance Items - Contractor shall provide hand-scoring, automated electronic scoring (as applicable and available), or a combination of the two, for all performance items.

Technology Items - Contractor shall provide hand-scoring, automated electronic scoring (as applicable and available), or a combination of the two, for all technology items.

Hand-Scoring Requirements:

For all hand-scoring processes, Contractor will demonstrate, to members' satisfaction, compliance with established hiring standards for all scorers and validate that the established hiring standards are consistent with accepted industry norms. Hand-scoring processes must include technically sound methods of training and qualifying scorers. Training materials for all scoring activities must be approved by the state agency at least one month prior to the beginning of scoring. Such training materials shall be identified by Contractor and shall be provided to each member for review and approval.

Contractor's hand-scoring process shall incorporate ongoing checks for and controls against scorer error. Members may expect regular calls as part of a process of review for scoring status and identified issues.

Contractor's hand-scoring process shall provide for a minimum of a total of 15 percent blind double reads across all constructed-response, performance and technology items. In addition, Contractor's hand-scoring process shall provide for ongoing read-behinds by experienced personnel and any necessary retraining to ensure scorer accuracy. At a minimum, Contractor will ensure the following agreement rates for each scoring event:

Score Point Range	Exact Agreement Standard
0-1	80%
0-2	70%
0-3	70%
0-4	60%

Should Smarter Balanced specify more stringent agreement rates for hand-scoring, Contractor shall adhere to those requirements.

Automated Electronic Scoring Requirements:

If Contractor's scoring proposals include automated, electronic scoring to score constructed response, performance and technology items, Contractor shall provide documentation that supports the process of using automated scoring for the aforementioned item types. Each member will be entitled to review and concur with findings within the documentation before automated scoring may be used with the member's program. To that end, if Bidder proposal is to include automated scoring the cost proposal will need to contain information that allows the member to accept or decline use of automated scoring.

Should Smarter Balanced specify more stringent requirements for engine calibration, Contractor shall adhere to those requirements.

If Contractor utilizes automated electronic scoring to score constructed response, performance and technology items, the protocol for scoring shall incorporate procedures to ensure that scores assigned electronically are consistent with scores that would be assigned using traditional hand-scoring procedures. Contractor's scoring procedures shall include a human second read for a minimum of 15 percent of student responses. These second reads shall occur outside of the 2,000 responses scored to calibrate the scoring engine. If scoring accuracy falls below agreement rates specified herein for hand-scoring, Contractor shall recalibrate the scoring engine.

Should Smarter Balanced specify more stringent requirements for scorer accuracy when using automated electronic scoring, Contractor shall adhere to those requirements.

Contractor's scoring process shall incorporate, where applicable, the member's established data specifications document (provided as Exhibit H) to ensure accuracy of data. Should any questions regarding the scoring of student responses develop during the scoring process, the member shall be allowed to review the unexpected student response with Contractor.

Throughout all scoring processes Contractor will provide necessary security measures to ensure protection of individual student data and integrity of the items and scoring materials. In addition, Contractor's electronic data collection, storage, and transmittal systems and any electronic systems used in scoring must be sufficiently protected from natural disaster.

Contractor will complete the scoring of all assessments administered online (including selected response, constructed response, performance and technology items) within a ten-business-day turnaround to support electronic reporting of individual student results to school districts as described herein. During the enrollment/pre-code process, school districts will be required to specify a window for testing during the member's established testing period. Student responses will be available to Contractor for scoring immediately upon the close of the school district's identified testing window. The scoring/reporting turnaround time begins when student responses, for a completed test, are submitted for scoring.

- The ten-business-day turnaround requirement will also apply for paper-pencil submissions, but the clock will not start until Contractor receives and scans all materials. The agency would expect that shipment of paper-pencil assessment will be tracked in near real-time and that scanning procedures would take no more than three (3) business days.

Contractor's scoring processes shall allow remote access by member staff to view and run member-specific reports at any time during the scoring process, and/or participate in scoring, and/or monitor scorers, if necessary. Members shall also have the right to visit Contractor's scoring facilities and attend all training sessions for scorers and scoring sessions.

i. Psychometrics

Contractor will provide pertinent, technical documentation of the contractor-provided services to ensure validity and reliability of test scores, and fairness to test to support the use of test results for accountability and to support subsequent peer review of

member testing programs. Additionally, Contractor will deliver an annual technical report that includes, but is not necessarily limited to details addressing, as applicable:

- Test blueprint and specifications;
- Item development and assessment construction processes;
- Field testing procedures, sampling methodologies, and resulting data;
- Scaling and equating methodologies;
- Information pertaining to content and bias reviews;
- Item statistics;
- Reliability and validity measures; and
- Quantitative and qualitative readability indices

In many instances, psychometric input for technical reporting may be a shared responsibility between Contractor and Smarter Balanced.

Contractor will be responsible for the psychometric quality of each Smarter Balanced administration and provide necessary activities and analyses, such as a sampling procedure for Performance Tasks and field testing, individual test form assembly in the CAT section, scoring, and reporting as required herein. In addition to the psychometric services required herein, the contractor shall provide the following specific research services:

- Contractor will provide evidence of validity of any allowable accommodations.
- Contractor will provide reliability assurances and documentation on content validity of the assessments.
 - Select states may require Contractor to collaborate with designated third-party psychometric consultant in verifying annual administration results.

Note: Delaware does not use third-party psychometric consultant services.

- Contractor will provide technical documentation that interim assessments are predictive of student performance on statewide summative assessments.

Scaling

Members are following the scaling processes established through Smarter Balanced. As part of any proposal, Bidder will acknowledge applying the current scaling model to ELA and math assessments, as well as accept incorporation of any adjustments to the scaling model, at no additional cost, should such changes be identified by Smarter Balanced and accepted by state members.

Growth

Growth measures, and any supporting applications or systems, are not a requirement of this solicitation, and will not be part of any selection process for award of contract. If Bidder has tools or applications that could be used as part of growth measure activities, members welcome Bidder to make such tools and applications part of any proposal, but solely as optional items that each member may individually consider for inclusion in the member's contract award.

With respect to a member level approach to growth, Smarter Balanced is leading work to develop processes for determining growth that are consistent with the original design of the assessments while attending to state members' needs for reporting in each member's respective accountability frameworks. As further details and specifications are provided by Smarter Balanced, members will expect the chosen Contractor to incorporate these new processes into the existing period of the contract service.

- Members choosing to use Contractor's proprietary growth tools and applications will expect that Contractor can incorporate the details of the Smarter Balanced model under the existing terms of the member's contract, both from a schedule and price perspective.
- Members choosing to forego any growth tools or applications until the Smarter Balanced specifications are available, acknowledge this as an added service and subject to contract amendment to cover any needed costs.

Technical Reporting

Technical reports will be required for each administration year. The members' technical reports shall provide details of the current year's participant data and item statistics (as applicable), the applied administration and scoring procedures, and, as applicable, procedures for determining achievement level descriptors (ALDs), inclusive of the ALD definitions, or a synopsis of earlier determination of applicable achievement level descriptors. The technical report must include a narrative description of test selection (where applicable), as well as data to support the technical integrity of the assessments.

At a minimum, the contractor's technical reports must provide all technical data consistent with the *State's Guide to the U.S. Department of Education's Assessment Peer Review Process* and the *Standards for Educational and Psychological Testing*, published jointly in 2014 by the American Educational Research Association, the American Psychological Association, and the National Council on Measurement in Education. Specific technical information shall include:

- Determination that decisions regarding student skills and abilities that are based on the results of the assessments are consistent with the purposes for which the assessments were designed;
- Determination that item interrelationships are consistent with the test's framework;
- Determination that the test and item scores are related to internal or external variables as intended;
- Documentation of reliability of test scores and conditional standard error of measurement. The accuracy and consistency of student classifications at each and combined achievement levels;
- Evidence of generalizability for all relevant sources, including variability of groups, internal consistency of item responses, variability among schools, consistency from test form to test form, and inter-rater consistency in scoring;
- Documentation that accommodations for students with disabilities yield valid and reliable scores;
- Documentation that accommodations for English Language Learners yield valid and reliable scores;

- Documentation of steps to ensure fairness in development of assessments (to include bias review, differential item functioning analysis, and impact statistics) relative to all subgroups;
- Documentation of consistency of test forms over time;
- Documentation of consistency in scoring of assessment items;
- Technical support for combining scores of students with disabilities who have been administered assessments with accommodations with those of students who have taken the assessments under standard conditions; and
- Technical support for combining scores of English Language Learners who have been administered assessments with accommodations with those of students who have taken the assessments under standard conditions.
- A very brief statement at the end of each chapter summarizing the work described.

In many instances, input for the technical report may come from Smarter Balanced.

By December 1 of each completed administration year, Contractor will provide each member with an electronic copy of the technical report for the previous year's test administrations, with standard rollover revisions, for review and updating. No later than subsequent February 1, a final copy of the report will be submitted to each member

j. Reporting

A responsive proposal will detail fulfilling the reporting specifications identified in the Smarter Balanced open-source system, and will explain how the Bidder will implement the specifications detailed (refer to Exhibit G to find needed information on the Smarter Balanced information). Bidders are welcome to also propose solutions using a proprietary system, but the response will need to detail how it will attend to the same requirements identified in the Smarter Balanced specifications.

Should a Bidder propose two reporting solutions the proposal will include specifics on the risks and benefits of each solution and corresponding costs of implementation.

Proposed reporting solution must support summative and interim outputs.

Contractor shall provide sample electronic individual student reports intended to convey student performance for all assessments. All reports shall be tailored to jurisdiction requirements.

For all assessments, the individual student reports are to include, at a minimum, scale scores, achievement levels, achievement level descriptors, and a standard error of measurement around scale scores. A Bidder's proposal should identify the components of the score reporting system that are configurable to state-specific need. Bidders should also confirm that all text used in reports are configurable within any technical/character-count limitations that would be required by the Smarter Balanced or the Bidder's systems.

For Smarter Balanced assessments, all individual student reports are to comply with consortium-established reporting requirements. If State-specific reporting requirements are also requested, these are intended to add to, not subtract from, the consortium-established requirements. Other state-specific reporting may need to address other requirements.

Bidder solutions for reporting must address providing enough state-specific flexibility to support inclusion of content areas, other than math and ELA (e.g., science) where common layout and formatting are of benefit, but content specific details can be accounted for.

Bidder proposal will describe the ability of the system to translate, on-demand, the electronic scores information into other languages. Online translations must be printable in a static (member-approved) format, preferably PDF. Additionally, the printing of reports must be configurable to accessibility needs, specifically large-print format.

Bidder proposal will describe the degree of flexibility and options associated with the reporting system to support a jurisdictions changing reporting requirements.

By no later than October 1 of each school year, the contractor must provide mock-ups of the individual student reports for all assessments, scheduled for the coming spring, to the jurisdiction for review. The contractor shall modify the mock-ups as deemed necessary by the agency. Members will have three months or up to one month prior to the start of testing of a specific assessment, whichever is first, to review, edit, and approve changes to a specific assessment report.

General Research File

Contractor shall provide the member with a General Research File (GRF) following each assessment administration window. The contractor shall provide GRFs for any testing, outside of the spring timeframe, within ten (10) business days of the end the applicable test window. For the Spring assessments, Contractor shall provide final GRFs for the applicable assessments by July 1 (or the preceding business day if July 1 falls on a weekend). Data shall be in a fixed record length text file or comma separated value (CSV) file. Data shall be provided in accordance with the jurisdiction agency's approved data specifications document as described herein.

Individual Student (Score) Reports

Following the completion of each operational administration of the Smarter Balanced assessment in English language arts and mathematics, Contractor shall fulfill reporting activities in accordance with the requirements described herein.

For the Smarter Balanced assessments, Contractor shall provide reports using scale scores, cut points, and achievement level descriptors provided by the consortium. Contractor acknowledges that in the course of a contract modifications to reports may be needed/requested by members. Contractor will be prepared to implement all such approved modifications at no additional cost.

Bidder proposal will include estimates to provide translations of individual student reports to support family needs. Proposals should work from the list of languages identified by Smarter Balanced (refer to the UAAG which can be found through the links in Exhibit Ga). For possible additional languages needed by states, Bidder will provide a general per language cost estimate that individual members may apply in negotiating the state's awarded contract. Where common language needs exist across states the Bidder will identify the possible cost reductions to be achieved by pooling resources. As the contract period runs, the Contractor acknowledges that additional

languages may be added to the list of translated reports, each new language subject to additional costs.

School & District Score Reports

Contractor shall provide electronic district- and school-level reports plus individual student reports to convey student performance for all assessments. All reports shall be tailored to jurisdiction agency's complete assessment system. For all assessments, the individual student reports must include, at a minimum, scale scores, achievement levels, achievement level descriptors, and a standard error of measurement around scale scores. All individual student reports must comply with all consortium reporting requirements. Contractor shall modify mock-ups to meet individual member need.

Where requested by an individual state, Contractor will provide print copy of all school- and district-level reports.

A proposal will address the provision of test score interpretive guides for all applicable assessments.

Parent request to view

Contractor will support a member in providing parents/guardians access to view applicable student records consistent with the Family Educational Rights and Privacy Act (FERPA). Contractor will devise secure electronic processes to present, upon request, student responses to administered tests for parent review. The jurisdiction will approve all proposed processes and will work with Contractor to construct an accompanying timeline to fulfill viewing requests. The established timeline must include the FERPA requirement for responses to parents within 45 days of receipt of the request (by the parent or family).

Subsequent to the viewing process, parents/guardians may submit an appeal of the resulting score to which Contractor and jurisdiction will need to be responsive (refer to next section).

Parent Score appeals

Score Appeal Process - Contractor shall provide a process for allowing parents, through communication with the state and school district, to appeal assessment results within two months of the school districts' receipt of individual student results. Contractor shall determine the results of appeals and return the results of appeals to the school district and the member agency within 15 business days of Contractor's receipt of the appeal request.

As applicable, members' appeal processes are available for review in Exhibit I. A proposal will address a Bidder's solution to provide an online application for districts to use with parents to submit requests to view tests and test score appeal requests.

B. Smarter Balanced Interim Assessments K-12

B.1 Contractor will host and deploy the Smarter Balanced interim assessments through Contractor's test engine. By September 15 of each year interim assessments shall be available for on-demand administration and shall be available for school district use upon school district request.

B.2 Contractor's delivery of interim assessments will:

- a. Include all of the item functionality allowed within Contractor's test engine and be consistent with the summative assessment experience as described herein, inclusive of embedded accessibility features.
- b. Interim item viewing by teachers/administrators prior to student interactions with the interim assessments. Ability to view item-level data (claim, target, correct answer, difficulty, depth of knowledge or DOK, standards alignment, etc.) at the same time as viewing the item prior to administering to students.
- c. Contractor's system will provide the school district with individual student scores allowing local administrators and teachers the ability to determine the amount of student growth when comparing performance results between interim assessments (Interim Comprehensive Assessments, or ICAs) as compared to student performance on statewide summative assessments. Individual student and aggregate reports shall include:
 - i. A raw score and scale score, and achievement level.
 - ii. Individual item analysis report indicating areas of strength and need.
 - iii. Aggregate reports including classroom, building, and school district summary reports, roster reports.
 - iv. Longitudinal tracking reports. Contractor shall report students' scores on interim assessments to school districts only (no state-level aggregations will be required).

The Contractor's reports must provide interpretive information for users. Additionally, performance information on interim assessments, identifiable to specific students, whether individually reported or in the aggregate, is needed at school- and district-level, only.

- a. Interim item-level response viewing by teachers/administrators and functionality to pull an extract with responses/results.
 - i. At the state-user level: visibility around interim usage (number of students participating, number of interim tests student has accessed, specify which interims student have used) by district and school
 - ii. At the district- and school-user levels: visibility of response details per item type. Examples include:
 - For multiple-choice/multiple-select, which option(s) did the student select
 - For hot text, what word(s), phrase(s). sentence(s) did the student select
 - For constructed response, what did the student type
- b. Reportable data at the state- and district-level of student responses to selected response or machine-scoreable items to allow distractor analyses across varying student groupings.

Contractor's delivery of interim assessments will include a portal for school districts that provides user logins and menus, with appropriate information control by user type (role) for system users including administrators at the state, school district, building, and classroom teacher levels. Access to the interim assessments should be separate

from the summative assessment to preclude user confusion over which assessment instrument being selected.

At a minimum, the following user menus shall be provided:

- a. District Test Coordinator Menu: The system shall provide a district test coordinator menu that allows authenticated users to add, modify, or delete school test coordinator accounts and information; access reports detailing system usage by school within the district; access a report of students not tested in their district/school; access the User Guide that covers all district administrator-level functions; and add, modify, or delete teacher and test administrator accounts and information.
- b. School Test Coordinator Menu: The system shall provide a school test coordinator menu that allows authenticated users to access the User Guide that covers all school administrator-level functions; assign new classes to a teacher; delete a teacher's class(es); print and/or e-mail teacher user IDs and passwords; view teacher rosters; add, edit, or delete students; access a report of students not tested; assign students to a class; view and/or print class and student rosters; and add, edit, or delete test administrators.
- c. Test Proctor/Teacher Menu: The system shall provide a test proctor/teacher menu that allows authenticated users to add, edit, or delete students; access a report of students not tested; assign students to a class; view and/or print class and student rosters; start, stop and resume student test sessions; and access the User Guide that covers all teacher-level functions.

Contractor's test engine will provide for local scoring and reporting of interim assessments within 24 hours of test completion. This includes the system's automatic (machine) scoring of applicable items, as well as any hand-scoring by teachers of constructed response or other such items. Additionally, Contractor will provide the necessary training materials to guide local scoring activities and entering local scores into the system for reporting.

The contractor shall provide a methodology for school districts to access interim assessments on-demand. The state agency will specify whether the contractor must provide interim assessments to all students (refer to Table 1 in Section A. for estimates of grade enrollment), or whether the contractor must provide access to interim assessments to individual school districts upon district request. The state agency estimates are not to be construed as guarantees to actual student volume.

Technology Requirements, Training, and Customer Support Service for Interim Assessments - The technology requirements for online administration of interim assessments shall not exceed those established for online administration of summative assessments. Contractor shall be responsible for providing system training and customer service and technical assistance support to school districts and the state. Training opportunities shall include one meeting each year at each of the state's Educational Service Districts or such regional support center for districts, and an online recorded training that is accessible to state teachers at all times.

Contractor will collaborate with MAAC states and Smarter Balanced in the development of training materials and user guides including, but not necessarily limited to:

- A System User's Guide that fully details the functionality of the online testing system for a user in a school district;
- A System Infrastructure Guide that details the minimum and recommended technical specifications and configurations needed to successfully access the interim assessment system;
- A System Training Workbook that provides step-by-step details for completing the most commonly needed tasks in the interim assessment system.
- System Update Notifications that detail the specifics of newly deployed system changes.

Contractor's customer service and technical assistance shall be available in accordance with state school districts' anticipated calendars from 7:00 a.m. to 4:00 p.m. (respective of each MAAC state's time-zone), Monday through Friday, with the exception of major holidays including Christmas Day through New Year's Day, Thanksgiving and the following Friday, Memorial Day, Labor Day, and July 4th.

C. Smarter Balanced Digital Library K-12

- C.1 Contractor will provide procedures for establishing users and will manage the means to track and implement individualized access to the Digital Library within each of the members' jurisdictions. Access to the Digital Library will be limited to educators and administrators based on criteria supplied by each of the members.
- C.2 The proposal shall include the Bidder's detailed solution to provide Single Sign-On (SSO) functionality for user to gain access through the with Smarter Balanced Digital Library or other testing engine systems such that a user is not required to use multiple login credentials to access the totality of tools and features within the comprehensive state assessment program.
 - a. The proposal shall detail the benefits and drawbacks for using Smarter Balanced's suggested system structure or a proprietary Bidder solution provided to Smarter Balanced to integrate into the Smarter Balanced system. Refer to Exhibit G for Smarter Balanced specifications to support accomplishing either solution approach.
 - b. The SSO must include the means of connections between and within interim testing system with Digital Library resources, specifically Digital Library Connections Playlists.

D. Supporting Contract Services

D.1. Meetings

a. Member-Specific Kick-Off/Planning Meeting

By no later than seven (7) calendar days after the effective date of the contract, the Contractor shall schedule and attend an initial planning or kick-off meeting for each MAAC member, in a city designated by the member. The meeting will include agency personnel and other designees, as determined by the agency, to

discuss the required services, review the contractor's work plan and implementation schedule, and obtain specific information, data, criteria, and/or instructions necessary to finalize the contractor's work plan as submitted in the contractor's awarded proposal. Member attendance would not exceed 15 staff. All related costs for member attendance will be the responsibility of the Contractor.

b. MAAC Coordination Meetings

Contractor will convene an annual meeting for all members to attend, at a city to be designated in collaboration between members and Contractor. The design of the annual meeting is to review program/contract fulfillment and to coordinate and scope possible work modifications or enhancements. This annual meeting will be a two-day activity. Attendance will be for no more than six staff per member with all related costs for attendance the responsibility of Contractor.

Contractor will convene monthly meetings for all members to attend designed for working through the details of contract fulfillment that are of an emerging (day-to-day) nature. Topics will typically cover deliverable status, scope and work modifications, and the progress on approved enhancements. These monthly meetings should be designed for virtual format, leveraging webinar technology as appropriate.

c. Member-Specific Annual Planning Meeting

Contract will convene an in-person, annual planning meeting for each MAAC member. The site for this annual meeting will be designated by the member, and will include no more than 15 staff from the member's offices. The design of this meeting will be to ensure member-specific details associated with program fulfillment are addressed and scheduled for completion. This meeting will be a one-day activity with all related costs for attendance the responsibility of Contractor.

d. Advisory

Certain members convene, throughout the course of a year, various in-person advisory committees, both national level (i.e., assessment and measurement experts) and local (i.e., LEA staff responsible for district implementation of assessment programs). These advisory committees provide advice and/or feedback regarding the state's assessment program.

Refer to Exhibit J for details of participating members and meeting make-up.

Bidders will collaborate with soliciting agency on establishing committee membership with the soliciting state having final approval.

The Contractor will be responsible for the support and logistics management of advisory committee meetings.

- Bidder will describe proposed staffing to support *all* advisory committee meetings on a defined schedule. Refer to Exhibit J for types, numbers, and periodicity of advisory committee meetings. The exhibit will also reference number of non-SEA participants.

- Bidder will be responsible for all consulting agreements associated with advisory meeting participation. Bidder should expect to pay national-level advisory members between \$1500 and \$2500 per day for meeting attendance and \$200 per hour for telephone consultation.
- Bidders will be responsible to address participation parameters and applicable compensation agreements for committee members on local advisory committees. Many representatives from school districts or state regional educational service districts are already compensated through their primary employer, but require travel expenses to be covered.
- Bidder will be responsible for all expenses associated with advisory committee meetings, inclusive of but not limited to, lodging, meals, meeting venue, materials, parking, and mileage for all participants including state staff. Bidder should refer to posted Federal GSA rates found at: <http://www.gsa.gov/portal/category/100120>.

e. Recurring Scheduled Meetings

The Contractor shall plan and coordinate for each jurisdiction weekly or biweekly meetings, ranging across the possible topics of: Test Administration, Psychometrics, Content Development, and any of an ad hoc nature. Contractor will facilitate meetings, develop agendas, and provide timely meeting minutes. In addition, Contractor will coordinate a monthly Jurisdiction-member meeting so that members can discuss issues before the Contractor's program manager(s) join the meeting.

D.2. Logistical Requirements - Meetings

All meetings, inclusive of the MAAC kick-off and annual planning meetings, the Contractor will collaborate with states to determine dates, means, and, if necessary, locations to convene specific meetings. If appropriate for the purpose, and with state agency approval, the Contractor may conduct virtual meetings via WebEx or other similar platform. The Contractor shall secure appropriate facilities and equipment for the meetings, arrange necessary meals and refreshments for the meetings, and arrange participants' lodging. As part of the meeting arrangements, the Contractor shall be responsible for all facility costs, participant meals, travel, and lodging expenses. If participant honorarium are involved, the Contractor will be financially responsible.

The Contractor will reimburse participants according to either state or federal guidelines; however, the contractor should determine reimbursement guidelines to provide the most cost effective solution for the state agency. The Contractor shall provide any necessary materials required for the meeting.

The Contractor shall be responsible for all expenses, including travel expenses, incurred by the Contractor's personnel to attend or participate in all meetings.

The Contractor shall electronically post, as applicable, all meeting-specific and supplemental materials for review by the state agency, before and after each meeting, in Adobe PDF, Microsoft Word, or Microsoft Excel format to a secure FTP site or Cloud server according to mutually agreed upon specifications and timelines.

D.3. Managing Student Results Reporting to Institutions of Higher Education (IHEs)

Consistent with each members' state laws and policies, Contractor will devise a means to share scoring information for the college and career readiness (Smarter Balanced) assessments with state's institutions of higher education (IHEs).

Contractor will collaborate with the state and representatives of the IHEs to establish the business rules and schedule for exchanging the applicable score reports.

D.4. Inventory of Student Responses and Supporting Documentation

For the duration of the contract, the contractor shall maintain an electronic copy of all supporting documentation related to any development, review, and field-testing of test items including but not limited to field-test statistics, demographics of the personnel involved in item reviews, training materials, and agendas applicable to all assessments. Upon request, the contractor shall provide the state agency with a copy of any such documentation. Retention requirements for student responses are established by each member.

E. MANAGEMENT PROPOSAL (SCORED)

E.1. Project Management

a. Project Team Structure/Internal Controls

Bidder will provide a description of the proposed project team structure and internal controls to be used during the course of the project, including known or likely subcontractor involvement. Bidder will provide an organizational chart of the firm indicating lines of authority for personnel involved in performance of a potential contract award and the relationships the identified staff has to other programs or functions within the of the firm. The organizational chart must also show lines of authority to the next senior level of management. Identify whom, within the firm, will have prime responsibility and final authority for the contract work.

In order for members to feel confident with a Bidder it is important to understand the Bidder's corporate culture. A project of this scale and complexity will require a Bidder's identified program team will need to be nimble, knowledgeable, available and empowered. It is critical that a Bidder have a program team set for ease of engagement with the awarding member, and who have the authority to identify problems or issues and address them quickly and creatively.

- The proposal is to describe to what extent a Bidder's identified Program Manager (PM) will be empowered to authorize and execute change orders, make decisions, engage additional resources, and execute creative solutions to unusual or unforeseen problems.

b. Work Schedule

Soliciting agencies expect maintenance of a project timeline through use of common, available project software (e.g., MS Project). A Contractor shall maintain an appropriate schedule and timeline, and shall coordinate its schedule with the soliciting agencies on no less than a weekly basis. If awarded a contract, the Contractor shall convene an annual planning meeting of contractor and state agency staff to establish schedules for the upcoming year (refer to section 2.6.A).

Note: these will be member-dependent and separate from and annual all-member meetings.

c. Program Coordination

Contractor will designate a Program Manager (PM) to each member to oversee work pertaining to the applicable state's assessment needs. For bidding purposes, the PM should be listed at 1.0 FTE for all members, with the ability for each state to negotiate a lesser FTE for specific state need. Additionally, each state shall have the opportunity to approve Contractor's proposed PM prior to contract execution. Should a state request a change in staffing, the Contractor will work to resolve the situation through agreement on another available program manager or detailing a state-accepted contingency plan until a new PM can be identified.

The PM shall serve as the primary liaison between Contractor and the state. The PM will also serve as Contractor's primary customer service representative to the state, ensuring that school districts receive quick and accurate responses to questions, requests, or concerns.

The proposed PM must have the experience to determine and organizational authority necessary to coordinate and establish work priorities, on behalf of the Contractor, for all assigned personnel, including those of any sub-contractors, associated with deliverables and service fulfillment of an awarded contract.

In addition to a program manager, Contractor will designate, at a minimum, the following lead staff assigned specifically to the project/contract:

- i. **Test Development Specialist** (as applicable to the content areas the contractor holds responsibility) – Responsibilities shall include, but not be limited to, overseeing item review and other test development activities.
- ii. **Psychometrician** – Duties shall include, but not be limited to, assisting with technical aspects of achievement level setting and item development, field testing, compiling item statistics, scaling and equating, and developing technical reports.
- iii. **Performance Scoring Supervisor** - Duties shall include oversight of all hand-scoring and automated electronic scoring including, but not limited to (within expectations of industry standards), selection of scorers, score reconciliation, and quality control of performance scoring.
- iv. **Information Technology Specialist** -- Duties shall include, but not be limited to, oversight of the contractor's online administration platform, set-up and delivery of the GRF, set-up and delivery of the online pre-coding and enrollment system, and collaborating with the state agency to ensure application of the state agency's approved data specifications document.
- v. **Customer Service (Call Center) Supervisor** -- Duties shall include, but not be limited to, oversight of the contractor's customer (call center) support relative to the state's assessment program; providing responses to state school districts before, during, and after operational test administration; coordination assistance to school districts with regard to interim assessments and pretests; and providing accurate information to program staff, the state agency, and school districts.

If the Contractor secures subcontractors to perform any work related to developing, administering, scoring, or reporting of assessments, Contractor shall provide an effective supervisory structure for overseeing the quality of the subcontractor's work and shall ensure that all deliverables are completed in accordance with the requirements of the contract and the approved Implementation Schedule.

The Contractor will not remove or reassign key personnel from duties pertaining to the contract without prior approval or acknowledgement from the member. In the event that any key personnel become unavailable to provide services due to resignation, illness, or other factors outside Contractor's reasonable control, Contractor will propose an equally or better qualified individual to the member in time to avoid delays in the work plan. Contractor will give the member prior written notice of the individual proposed to replace the designated key personnel and will provide the member with the individual's qualifications and background. Contractor will obtain the state's prior approval of such individual. The state agrees that an approval of such replacement individual will not be unreasonably withheld. The state's approval of the replacement individual shall not be construed as an acceptance of the individual's performance potential.

The Contractor will agree and understand that the Contractor's personnel are subject to the ongoing approval of the member. If requested by the member, the Contractor will replace any individual who is deemed unacceptable to the state for continuance of serving the contract.

The Contractor will provide a structure for escalating unresolved issues if the Contractor's program management team is unable to address them to the satisfaction of the state.

The Contractor will assign sufficient program personnel to provide accurate, efficient customer service to both state agency personnel and school district personnel. The Contractor will provide a toll-free number and e-mail address through which school district personnel may direct questions, comments, or requests, especially immediately prior to and during the applicable testing windows. The Contractor will ensure that the toll-free customer service number is dedicated to the state and is available and staffed from 6:00 a.m. to 5:00 p.m. (applicable to the time zone of the state) one month before and throughout the applicable testing windows. The Contractor shall provide the state with a weekly log of calls to the customer service line, issues, and resolutions. The Contractor shall also provide a password protected FTP site or virtual "conversation room" to allow state personnel and the Contractor a secure forum for interaction and exchange of materials.

No later than June 1 of each year, the Contractor shall provide the state with a year-long calendar (Implementation Schedule) including all deliverables, milestones, review dates, and responsible parties for the upcoming school-year administration activities. The Contractor will update the calendar upon state request and as needed to accommodate schedule revisions.

The Contractor will designate appropriate personnel, including subcontractors or third party vendors, to participate in weekly conference calls with state personnel. The Contractor's PM and state personnel will collaborate to develop mutually agreed upon agendas for the conference calls. Contractor will be responsible for scheduling and setting up the conference calls and any costs associated with the conference calls.

Except for Contractor's initial meeting with the state following the effective date of the contract and the regularly scheduled weekly conference calls, the state

will make requests to Contractor for other meetings and conference calls between the contractor and state, and any other designees of the state such as third-party consultants or constituents. Contractor will coordinate the meetings and will be responsible for all expenses, including travel if needed, realized by those attending or participating in such meetings or conference calls.

d. Staff Qualifications/Experience

The proposal shall identify, including known or likely subcontractors, those staff members who will be assigned to the contract, indicating the responsibilities and qualifications of such personnel. The proposal will detail the role of each identified person and the time allotment of each to the project. The proposal will provide resumes for the named staff, which is to reflect how the individual's particular skills relate to this project, as well as the person's education, overall work experience, significant accomplishments, and any other pertinent information. The Bidder must commit that staff identified in its proposal will actually perform the assigned work. Any staff substitution must have the prior approval of the awarding **state**.

i. Roles and Responsibilities

A Bidder will detail the specific roles required to fulfill the project and the responsibilities associated with the various project tasks. Details will encompass not only direct work responsibilities but also the interfaces with other defined roles in moving the project through a given task or from one task to the next. Additionally, client interfaces will be identified where the Bidder expects awarding agencies to be involved in or assume responsibility for a given task. The purpose is to describe and understand the "chain of custody" for a task and identify where communication is critical to ensure smooth transitions across work groups, contractors, and states.

Additionally, a Bidder will provide a chart listing time commitments by task and individual, in terms of actual hours required, dates (schedule time), and percentage of FTE provided as part of the project work. The intent is for the state to understand the expectation of each individual's time commitment to the project and the Bidder's interpretation of the personnel resource commitment anticipated to support the scope of work for the project.

A Bidder must provide a detailed description of its project staffing plan for all phases and tasks (any proposed subcontractors must be clearly identified in the project staffing plan), as well as an organizational chart clearly showing the structure and interplay of the state's team and the upstream reporting structure of the Bidder's organization. The chart must accurately list each position, title, and role in the project, including responsibilities. It is the preference that this team be entirely dedicated to the Project. If any personnel are assigned to other customers, territories or markets, those must be clearly noted on the chart.

Bidder must provide a flowchart outlining its change order process and any thresholds for escalation and approval above the PM in support of a member's contract fulfillment.

ii. Bidder Experience

Experience and reliability of the Bidder's organization will be considered subjectively in the evaluation process. Therefore, the Bidder is advised to submit information concerning the Bidder's organization and information documenting the Bidder's experience in past related performances, especially in the development, administration, and scoring of statewide online-formatted assessments. If a Bidder is proposing an entity other than the Bidder's to perform the required services, a Bidder should also submit the information requested for such proposed subcontractor.

- Bidder Information – A Bidder should provide information about the Bidder's organization. The Bidder should also provide the requested information for each proposed subcontractor.
- Experience – A Bidder should provide information related to the Bidder's previous and current services/contracts where performance was similar to the scope of services detailed in this RFP. A Bidder should also provide the requested information for each proposed subcontractor.

As part of the evaluation process, the state agency may contact a Bidder's, and any proposed subcontractors', references. This would include explicitly listed references as well as possible references not listed or identified within a Bidder's proposal. The non-listed references are seen as potential sources of pertinent information based on current or previous experiences with the Bidder or with the proposed subcontractor.

A Bidder accepts and understands that the solicitation process in no way obligates the participating states to contact proposed references of the Bidder or the Bidder's proposed subcontractors' prior to rendering decisions on responsiveness or an eventual award decision.

iii. Qualifications of Personnel

A state-specific, experienced, qualified, and effective project team will be identified and provided as part of a proposal by a Bidder. The proposal will include resumes for all employees who will be managing and/or directly providing services under the contract. For proposed positions not filled at the time of bid submission, a position description (including requisite qualifications/experience) shall be substituted. Each Bidder must also construct and submit a complete staffing matrix detailing previous assignments of identified personnel on similar projects. Details should display the individual's contributing FTE and the roles filled, even if promoted during the course of a project's work period. At a minimum, the Contractor will maintain a dedicated state-specific management team for the length of the project.

The qualifications of the personnel proposed by a Bidder to perform the requirements of this RFP, whether from the Bidder's organization or from a proposed subcontractor, will be subjectively evaluated. Therefore, the Bidder should submit detailed information related to the experience and qualifications, including education and training, of proposed personnel, in the development, administration, and scoring of large scale statewide assessments in online.

- The information provided should be structured to emphasize relevant qualifications and experience of the personnel in completing contracts/performing services of a similar size and scope to the requirements of this RFP.
- The information submitted should clearly identify previous experience of the person in performing similar services and should include beginning and ending dates in the previous roles, details of the responsibilities of the person in stated roles, results of the services performed, and whether the person is proposed for the same services for this project.

If personnel are not yet hired, the Bidder should provide detailed descriptions of the required employment qualifications; and detailed job descriptions of the position to be filled, including the type of person proposed to be hired.

v. Experience of the Vendor

- Include other relevant experience that indicates the qualifications of the Vendor, and any subcontractors, for the performance of the potential contract.
- Include a list of contracts the Vendor has had during the last five (5) years that relate to the Vendor's ability to perform the services needed under this RFP. List contract reference numbers, contract period of performance, contact persons, telephone numbers, and fax numbers/e-mail addresses.
- **References:** Provide, at a minimum, the names, addresses, telephone numbers, and fax numbers/email addresses of three (3) organizations for whom work of a similar nature has been accomplished, and briefly describe the type of service provided for them. By submitting a proposal in response to this RFP, the vendor and team members grant permission to partner states to contact these references and others, who from partner state's perspective, may have pertinent information regarding qualifications of the submitting Bidder.

Do not include as references to this proposal any staff names from MAAC members that act as points of contact to existing contracts held by the Bidder and the subject state.

- **Past Performance:** Provide information regarding past performance by indicating if the Consultant has received notification of contract breach in the past five (5) years. This does not lead to automatic disqualification. However, OSPI reserves the right to disqualify Consultant proposals based on the Consultant's historical performance, as outlined above in Section B. General Information for Consultants, 11. Responsiveness.

Bidder will submit information associated with any contract termination action taken against the Bidder, or any proposed subcontractor, during

the past three (3) years. All such instances must be described per the guidelines below.

- Bidders must submit full details of all terminations for default experienced by the Bidder during the past three years, including the other party's name, address and telephone number. The response to this subsection must present the Bidder's position on the matter.
 - Termination for default is defined as notice to stop performance due to Contractor's nonperformance or poor performance.
 - If no such terminations for default have been experienced in the past three years, so declare.
- If at any time during the past three years, the Bidder has had a contract terminated for convenience, non-performance, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination.
 - If no such early terminations have occurred in the past three years, so declare.

F. COST PROPOSAL (SCORED)

Identification of Costs – all costs including expenses to be charged for performing the services necessary to accomplish the objectives of the contract. The Bidder is to submit a fully detailed budget including staff costs, administrative costs, travel costs, and any other expenses necessary to accomplish the tasks and to produce the deliverables under the contract. Contractors are required to collect and pay sales tax in each awarding state, as applicable.

Use the format established in Exhibit K to respond to the Cost Proposal of this RFP. Costs for subcontractors are to be broken out separately and elements of the Bidder's proposal must be itemized per the prescribed submission format. Altering the format may cause the Cost Proposal to be found non-responsive.

Bidder's Cost Proposal must be fully burdened to include all expenses associated with providing its proposed solution in response to this RFP (e.g., FOB Destination applicable school site, unpacking devices, removal of packaging materials from site, etc.). The service should be complete with all hardware and components of the solution while maintaining and upgrading the system as necessary, managing the deployment, asset tracking, help desk support, providing training, deploying and managing the infrastructure, providing professional development at multiple levels, and project management as described in this RFP.

The fully burdened, fixed cost is to include all operating and personnel costs such as (but not limited to) overhead, salaries, administrative expenses, profit, supplies, routine upgrades, maintenance, tech support, replacement, travel and travel costs, training, install, any and all tax liability (including any applicable property taxes) incurred as a result of providing the services and equipment under this RFP.

Bidders are advised that submission of additional information in support of the Cost Proposal is encouraged to the extent that such information will assist in evaluating the reasonableness and rationale supporting the costs.

F.1. FINANCIAL STATEMENTS

Provide a current D&B Comprehensive Insight Plus credit report or current Experian ProfilePlus report, and the appropriate NAICS code or SIC code.

- The Bidder should identify with particularity any information on the Credit Report that it considers "Trade Secret" or "Confidential," as described in Section 3.11, below. The information will be held in confidence to the extent that the law allows.
- Credit reports must be for the exact organization submitting the proposal in order to be scored. The credit report cannot be combined or consolidated with the information from any other entity. Not fulfilling this requirement will be construed as a non-responsive bid submission.
- MAAC states will evaluate the credit information provided in answering how well management controls expenses and manage resources.

F.2. MAAC COOPERATIVE ADDITIONS/WITHDRAWALS

Interest in the cooperative was expressed by numerous agencies that could not participate this first year, but might have the necessary protocols in place to do so later. Members would be interested in Bidders sharing costing projections for the Smarter Balanced (common) services/assessments.

Bidders are requested to provide the student cost projections for scale both up and down from the current students counts of participants. Currently, projected student enrollment across membership approximates 1.0M. Projected student costs are to be presented for 500K, 750K, 1.25M, 1.5M, 2M and carried out in increments of 500K until the economies of scale no longer hold.

Should new members join the cooperative all members will have the right look to re-negotiate the present terms of their contracts to align with the new enrollment levels; likewise if members leave re-negotiation is available.

Section D.

EVALUATION AND CONTRACT AWARD

1. EVALUATION PROCEDURE

Responsive proposals will be evaluated strictly in accordance with the requirements stated in this RFP and any addenda issued. Participating members of MAAC will conduct inter-jurisdictional evaluations of received proposals that are both comprehensive and impartial. Following the inter-jurisdictional evaluations, the MAAC participants will convene representatives from each member-jurisdiction to be part of a deliberation panel that will consider inputs from all participating jurisdictions and charged with selecting an apparent successful bidder.

Proposals are required to meet a set of mandatory prerequisites to be eligible for full evaluation. Proposals not meeting the prerequisites will be considered non-responsive and excluded from further review. Each MAAC member will evaluate eligible proposals using the criteria included in this RFP (refer to Exhibit F) ranking each proposal according to the scoring outlined below. The points awarded during evaluation will be used in the determination of selection of potential contractor(s). Total points possible is 600.

2. EVALUATION WEIGHTING AND SCORING

The following points will be assigned to the proposals for evaluation purposes:

Technical Proposal - Test Engine & User Management - Data Collection, Management, & Transfer - Reporting Functionality & Interface - Test Administration / Security Protocols (District & School) - System Documentation (Manuals) - Training & Support Modules - Help Desk Support - Pilot & Field Testing - Scoring (Hand- & Machine-Scored) - Scoring (Interim Assessments) - Practice & Training Tests - Item & Test Development & Management	300 points
Management Proposal - Bidder Capacity & Experience - Staffing & Support - Project Implementation Plan & Timelines - Escalation Protocol - Collaborative Environment - Service Level Agreements (SLAs)	150 points
Cost Proposal - Cost Rating - Overall Cost Evaluation - Submission Per Requirements	150 points
TOTAL	600 points

Evaluation of the Cost Proposal^{Note 1}

A total of 25 points will be awarded to the lowest of the three cost proposals, inclusive of all the separately bid components (refer to technical requirements). Proposals with higher costs will receive a fraction of 25 points proportional to the ratio of the lowest proposal cost to the respective higher cost proposed. The fractional value of points to be assigned will be rounded to one decimal place.

Example: Lowest acceptable cost was \$50,000 and receives 25 points. The next lowest acceptable cost proposal was \$75,000 and would receive 16.7 points $\{(Low\ Bid \div High\ Bid) \times 25\}$.

NOTE 1: At the time of contract award each state will separately determine, through negotiations, whether to accept the products/services and costs of the products/services as stated in the Cost Options proposed by the winning bidder.

Upon completion of the proposal evaluation the top three Bidders^{Note 2}, based on point accumulation, will be subject to a second phase where proposed system solutions will be tested/tried out by participating members' representatives. The purpose of system tests/trials will be to see in real time the functionality of the proposed solutions. The outcomes of the system tests/trials will become the basis of the final selection process applied by the MAAC states.

NOTE 2: More than three Bidders may be identified for the system test/trial portion of the selection process should the proposal review portion arrive at a difference in points separating the top Bidder from any Bidder beyond the third spot of fewer than 10% of the total available. (Example: the points separating the top Bidder from the fourth Bidder are fewer than 60).

Fewer than three Bidders, but no less than two, may be identified for the system test/trial portion of the selection process should the points separating the top bid from the third bid be in excess of 100 points.

System Tests/Trials Evaluation/Scoring

Bidder's system and solution functionality are consistent with an understanding of the submitted proposal (25 pts each) <ul style="list-style-type: none">- Test Engine & User Management- Data Collection, Management, & Transfer- Reporting Functionality & Interface- Test Administration / Security Protocols (District & School)- Training & Support Modules- Help Desk Support- Scoring (Hand- & Machine-Scored)- Project Management Supports & Tools	200 points
--	------------

3. NOTIFICATION TO BIDDERS

Proposals that have not been selected for further negotiation or award will be notified via email by the RFP Coordinator.

4. SELECTION OF APPARENT SUCCESSFUL CONTRACTOR

Award, if one is made, will be made either to: (1) the highest ranked Bidder, based on points from the proposal review and site visit, or (2) if the members determine it is in the cooperative's best interest, the top-ranked Bidder representing the fullest range of services sought under this RFP.

A Bidder understands that points from the proposal evaluation and site visit processes, will not alone determine the selection of a vendor, but will be considered along with all of the information provided by the Bidders including references and written supplements to proposals requested through the evaluation process.

Members will enter into negotiations with the identified prospective winner having verifiable references. References for the highest ranked Bidder may be contacted to verify each Bidder has the skills and requirements Bidder has included in its proposal.

Members may choose to not award a contract as a result of this solicitation. In the event contract negotiations with the highest ranked Bidder are not successful within a reasonable time frame, members reserve the right to terminate negotiations with the highest ranked Bidder, and negotiate with the next highest ranked Bidder and so on, until successful negotiations are completed or member(s) decides to terminate all negotiations and cancel the solicitation. The determination of what constitutes a reasonable time frame for purposes of this paragraph shall be solely at the determination of each member. This protocol will be followed until a contract has been signed. If all Proposals are rejected, Bidders will be promptly notified.

Members reserve the right to modify the final scope of work used for contracting, keeping to the objectives of the original scope, so each member can avail itself of innovations, ideas, recommendations, or procedures to complete the designated services in a more efficient or effective manner.

Disqualification

Any attempt by a Bidder to influence a member of the evaluation committee during the proposal review and evaluation process will result in the elimination of that Bidder's proposal from consideration.

5. DEBRIEFING OF UNSUCCESSFUL BIDDERS

Upon request, an individual debriefing conference will be scheduled with an unsuccessful Bidder. The request for a debriefing conference must be received by the RFP Coordinator within three (3) business days after the Notification of Unsuccessful Bidder letter or e-mail is sent to the Bidder. The debriefing must be held within three (3) business days of the request, unless otherwise agreed upon by the RFP Coordinator and Proposer.

Discussion will be limited to a critique of the requesting Bidder's proposal. Comparisons between proposals or evaluations of the other proposals will not be allowed. Debriefing conferences may be conducted in person or on the telephone and will be scheduled for a maximum of thirty (30) minutes.

Please note, because the debrief process must occur before making an award, OSPI, and as applicable, other members likely will schedule the Debrief Conference shortly after the announcement of the "Apparent Successful Bidder" and for Bidder's making a request for debrief. OSPI will not allow the debrief process to delay the award. Therefore, Bidders should plan for

contingencies and alternate representatives; Bidders who are unwilling or unable to attend the Debrief Conference will lose the opportunity to protest.

6. PROTEST PROCEDURE

This protest procedure is available to Bidders who submitted a response to this RFP document and who have participated in a debriefing conference. Upon completion of the debriefing conference, the Bidder is allowed five (5) business days to file a protest of the acquisition with the RFP Coordinator. Protests may be submitted by fax or email, but should be followed by a hard copy document.

Bidders protesting this procurement shall follow the procedures described below. Protests that do not follow these procedures shall not be considered. This protest procedure constitutes the sole administrative remedy available to Bidders under this procurement.

All protests must be in writing and signed by the protesting party or an authorized Agent. The protest must state the grounds for the protest including specific facts and complete statements of the action(s) being protested. The protesting party may submit with the protest any documents or information deemed relevant. A description of the relief or corrective action being requested should also be included. All protests shall be addressed to the RFP Coordinator.

Only protests stipulating an issue of fact concerning the following subjects shall be considered:

- A matter of bias, discrimination or conflict of interest on the part of the evaluator/evaluation team;
- Errors in computing the score; and/or
- Non-compliance with procedures described in the procurement document or soliciting agency's policy.

Protests not based on procedural matters will not be considered. Protests will be rejected as without merit if they address issues such as: 1) an evaluator's professional judgment on the quality of a proposal, 2) soliciting agency's assessment of its own and/or other agencies needs or requirements, or 3) a complaint raised during the Complaint Procedure.

Upon receipt of a protest, a protest review will be held by soliciting agencies. Each impacted agency will appoint a staff member who was not involved in the procurement to consider the record and all available facts and issue a decision within ten (10) business days of receipt of the protest. If additional time is required, the protesting party will be notified.

In the event a protest may affect the interest of another Bidder that submitted a proposal, such Bidder will be given an opportunity to submit its views and any relevant information on the protest to the RFP Coordinator.

The final determination of the protest shall:

- Find the protest lacking in merit and uphold soliciting agency's action; or
- Find only technical or harmless errors in soliciting agency's acquisition process and determine soliciting agency to be in substantial compliance and reject the protest; or
- Find merit in the protest and provide soliciting agency options which may include:
 - Correct the errors and re-evaluate all proposals, and/or

- Reissue the RFP document and begin a new process, or
- Make other findings and determine other courses of action as appropriate.

If soliciting agencies determine that the protest is without merit, the state agency of record will enter into a contract with the Apparent Successful Contractor. If the protest is determined to have merit, one of the alternatives noted in the preceding paragraph will be taken.

Section E. RFP EXHIBITS

*All exhibits, if present, will be referenced by numeric value by state:
WA = 1, HI = 2, USVI = 3, DE = 4, MT = 5*

Exhibit A Certifications and Assurances

- A1 – Washington
- A2 – Hawaii *(no state specific document)*
- A3 – U.S. Virgin Islands *(no state specific document)*
- A4 – Delaware *(no state specific document)*
- A5 – Montana

Exhibit B General Terms and Conditions

- B1 – Washington
- B2a – Hawaii
- B2b – Hawaii
- B3 – U.S. Virgin Islands *(no state specific document)*
- B4 – Delaware *(no state specific document)*
- B5a – Montana
- B5b – Montana

Exhibit C Contractor Intake Form

- C1 – Washington
- C2 – Hawaii *(no state specific document)*
- C3 – U.S. Virgin Islands *(no state specific document)*
- C4 – Delaware
- C5 – Montana *(no state specific document)*

Exhibit D Proposal Checklist *(one version)*

Exhibit E Statewide Registration Requirements

- E1 – Washington
- E2 – Hawaii *(no state specific document)*
- E3 – U.S. Virgin Islands *(no state specific document)*
- E4 – Delaware *(no state specific document)*
- E5 – Montana *(no state specific document)*

Exhibit F Evaluation Criteria *(version for main document; state appendices include own criteria)*

Exhibit G Smarter Balanced System Specifications *(one version)*

Exhibit Ga Smarter Balanced Usability, Accessibility, and Accommodations Guidelines

Exhibit H MAAC Member-Specific Data Management Specifications

- H1a – Washington
- H1b – Washington
- H1c – Washington
- H1d – Washington
- H1e – Washington
- H2 – Hawaii *(no state specific document)*
- H3 – U.S. Virgin Islands *(no state specific document)*
- H4 – Delaware *(no state specific document)*
- H5 – Montana

Exhibit I MAAC Member-Specific Testing Alert & Score Appeals Processes

I1a – Washington (Alerts)

I1b – Washington (Score Appeals)

I2 – Hawaii (*no state specific document*)

I3 – U.S. Virgin Islands (*no state specific document*)

I4 – Delaware (*no state specific document*)

I5a – Montana

I5b – Montana

Exhibit J MAAC Member-Specific Advisory/Other Meetings

J1 – Washington

J2 – Hawaii

J3 – U.S. Virgin Islands (*no state specific document*)

J4 – Delaware

J5 – Montana (*no state specific document; modeling WA*)

Exhibit Ka Cost Proposal Submission Format (*one version applicable to all proposal elements*)

Exhibit Kb Cost Proposal Submission Alternate Format (*one version applicable to all proposal elements*)

Exhibit L – Sample Data Sharing Agreement

L1 – Washington (*no state specific document*)

L2 – Hawaii

L3 – U.S. Virgin Islands (*no state specific document*)

L4 – Delaware (*no state specific document*)

L5a – Montana

L5b - Montana

Exhibit M – Lexile/Quantile Frameworks (*one version*)

Exhibit N – Service Level Requirements (*one version*)

Exhibit O2a – Print Report Specifications (*HI only*)

Exhibit O2b – Printed Report Specifications - DRAFT (*HI only*)

EXHIBIT A1
CERTIFICATION AND ASSURANCES

I/we make the following certifications and assurances as a required element of the proposal to which it is attached, understanding that the truthfulness of the facts affirmed here and the continuing compliance with these requirements are conditions precedent to the award or continuation of the related contract(s):

1. I/we declare that all answers and statements made in the proposal are true and correct.
2. I/we declare that associated operations by our organization and proposed subcontractors are in compliance with equal opportunity employment regulations.
3. I/we declare that associated operations by our organization and proposed subcontractors are in compliance with the American Disabilities Act.
4. I/we declare that our organization is not currently suspended, debarred or otherwise excluded from federal or state procurement and non- procurement programs.
5. I/we warrant that our organization and proposed subcontractors:
 - do not knowingly hire or engage any illegal aliens or persons not authorized to work in the United States;
 - take steps to verify the organization does not hire or engage any illegal aliens or persons not authorized to work in the United States;
 - acknowledge that any misrepresentation in this regard or should it be revealed that persons not authorized to work in the United States have been engaged in employment constitutes a material breach and will be cause for the imposition of monetary penalties up to five percent (5%) of the contract price, per violation, and/or termination of its contract.
6. The prices and/or cost data have been determined independently, without consultation, communication, or agreement with others for the purpose of restricting competition. However, I/we may freely join with other persons or organizations for the purpose of presenting a single proposal.
7. The attached proposal is a firm offer for a period of one hundred twenty (120) days following receipt, and it may be accepted by any participating state of the MAAC solicitation without further negotiation (except where obviously required by lack of certainty in key terms) at any time within the one hundred twenty- (120-) day period.
8. In preparing this proposal, I/we have not been assisted by any current or former employee of a participating MAAC state whose duties relate (or did relate) to this proposal or prospective contract, and who was assisting in other than his or her official, public capacity. (Any exceptions to these assurances are described in full detail on a separate page and attached to this document.)
9. I/we understand that MAAC states will not reimburse me/us for any costs incurred in the preparation of this proposal. All proposals become the property of the MAAC states, and I/we claim no proprietary right to the ideas, writings, items, or samples, unless so stated in this proposal.
10. Unless otherwise required by law, the prices and/or cost data which have been submitted have not been knowingly disclosed by the Proposer and will not knowingly be disclosed by him/her prior to opening, directly or indirectly to any other Proposer or to any competitor.

11. I/we agree that submission of the attached proposal constitutes acceptance of the solicitation contents and the attached sample contract and general terms and conditions. If there are any exceptions to these terms, I/we have described those exceptions in detail on a page attached to this document.
12. No attempt has been made or will be made by the Proposer to induce any other person or firm to submit or not to submit a proposal for the purpose of restricting competition.
13. I/we grant MAAC states the right to contact references and others, who may have pertinent information regarding the Proposer's prior experience and ability to perform the services contemplated in this procurement.
14. Bidder acknowledges that if awarded a contract with OSPI, Bidder is required to comply with all applicable state and federal civil rights and other laws. Failure to comply may result in Contract termination. Bidder agrees to submit additional information about its nondiscrimination policies, at any time, if requested by OSPI.
15. Bidder certifies that Bidder has not, within the three-year period immediately preceding the date of release of this competitive solicitation, been determined by a final and binding citation and notice of assessment issued by the Department of Labor and Industries or through a civil judgment to have willfully violated state minimum wage laws (RCW 49.38.082; Chapters 49.46 RCW, 49.48 RCW, or 49.52 RCW).
16. Bidder certifies that Bidder has not willfully violated Washington State's wage payment laws within the last three (3) years.
17. Bidder acknowledges its obligation to notify the members of any changes in the certifications and assurances above.

I certify under penalty of perjury of the laws of the State of Washington that the foregoing is true and correct.

Signature of Bidder	Date	Place Signed (City, State)
----------------------------	-------------	-----------------------------------

Print Name	Title	Organization Name
-------------------	--------------	--------------------------

Exhibit A5

Montana Member-Specific Certifications and Assurances

Example of cooperative purchasing language:

The Master Agreement(s) resulting from this procurement may be used by state governments (including departments, agencies, institutions), institutions of higher education, political subdivisions (i.e., colleges, school districts, counties, cities, etc.), and other eligible entities subject to approval of the individual chief procurement official and compliance with local statutory and regulatory provisions.

EXHIBIT B1

Contract for Services GENERAL TERMS AND CONDITIONS (Washington State)

1. **Access to Data.** In compliance with Chapter 39.26 RCW, the Contractor shall provide access to data generated under this Contract to the Superintendent, the Joint Legislative Audit and Review Committee, and the State Auditor at no additional cost. This includes access to all information that supports the findings, conclusions, and recommendations of the Contractor's reports, including computer models and methodology for those models.
2. **Alterations and Amendments.** This Contract may be amended only by mutual agreement of the parties. Such amendments shall not be binding unless they are in writing and signed by personnel authorized to bind each of the parties.
3. **Americans with Disabilities Act (ADA) of 1990, Public Law 101-336, also referred to as the "ADA" 28 CFR Part 35.** The Contractor must comply with the ADA, which provides comprehensive civil rights protection to individuals with disabilities in the areas of employment, public accommodations, state and local government services, and telecommunications.
4. **Assignment.** Neither this Contract, nor any claim arising under this Contract, shall be transferred or assigned by the Contractor without prior written consent of the Superintendent.
5. **Assurances.** The Superintendent and the Contractor agree that all activity pursuant to this Contract will be in accordance with all applicable current federal, state and local laws, rules and regulations.
6. **Attorney's Fees.** In the event of litigation or other action brought to enforce contract terms, each party agrees to bear its own attorney's fees and costs.
7. **Audit Requirements.** If the Contractor is a Subrecipient of federal awards as defined by the Office of Management and Budget (OMB) CFR, Part 200, Subpart F, and expends seven hundred and fifty thousand dollars (\$750,000) or more in federal awards (does not apply to contracts for goods and services) from all federal sources in any fiscal year beginning on or after December 26, 2014, the Contractor shall procure at their expense a single or program-specific audit for that year. The Contractor shall incorporate OMB CFR, Part 200, Subpart F audit requirements into all contracts between the Contractor and its Subcontractors who are Subrecipients of federal awards. The Contractor shall comply with any future amendments to OMB and any successor or replacement Circular or regulation.
8. **Budget Revisions.** Any monetary amount budgeted by the terms of this Contract for various activities and line item objects of expenditure may be revised without prior written approval of Superintendent, so long as the revision is no more than ten percent (10%) of the original line item amount and the increase in an amount is offset by a decrease in one or more other amounts equal to or greater than the increase. All other budget revisions exceeding ten percent (10%) shall only be made with the prior written approval of the Superintendent.
9. **Certification Regarding Debarment, Suspension, and Ineligibility.** The Contractor certifies that neither it nor its principals are debarred, suspended, proposed for debarment, or voluntarily excluded from participation in transactions by any federal department or agency. The Contractor further certifies that they will ensure that potential subcontractors or any of their

principals are not debarred, suspended, proposed for debarment, or voluntarily excluded from participation in covered transactions by any federal department or agency. "Covered transactions" include procurement contracts for goods that are expected to equal or exceed twenty-five thousand dollars (\$25,000). Contractor may do so by obtaining a certification statement from the potential subcontractor or subrecipient or by checking online at the System for Award Management (SAM), Excluded Parties List. The Contractor shall immediately notify the Superintendent if, during the term of this contract, Contractor becomes debarred. The Superintendent may immediately terminate this Contract by providing Contractor written notice if Contractor becomes debarred during the term of this Contract.

The Contractor also certifies that neither it nor its principals are debarred, suspended, or proposed for debarment from participation in transactions by any state department or agency. The Contractor further certifies that they will ensure that potential subcontractors or any of their principals are not debarred, suspended, or proposed for debarment from participation in covered transactions by any state department or agency.

10. Certification Regarding Lobbying. The Contractor certifies that Federal-appropriated funds will not be used to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress or an employee of a member of Congress in obtaining any Federal contract, grant or any other award covered by 31 USC 1352. Contractor must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Contractor shall require its subcontractors to certify compliance with this provision.

11. Certification Regarding Wage Violations. The Contractor certifies that within three (3) years prior to the date of execution of this Contract, Contractor has not been determined by a final and binding citation and notice of assessment issued by the Washington Department of Labor and Industries or through a civil judgment entered by a court of limited or general jurisdiction to have willfully violated, as defined in RCW 49.48.082, any provision of RCW chapters 49.46, 49.48, or 49.52.

The Contractor further certifies that it will remain in compliance with these requirements during the term of this Contract. Contractor will immediately notify the Superintendent of any finding of a willful violation entered by the Washington Department of Labor and Industries or through a civil judgment entered by a court of limited or general jurisdiction entered during the term of this Contract.

12. Change in Status. In the event of substantive change in the legal status, organizational structure, or fiscal reporting responsibility of the Contractor, Contractor agrees to notify the Superintendent of the change. Contractor shall provide notice as soon as practicable, but no later than thirty (30) days after such a change takes effect.

13. Confidentiality. The Contractor acknowledges that all of the data, material and information which originates from this Contract, and any student assessment data, material and information which will come into its possession in connection with performance under this Contract, consists of confidential data owned by the Superintendent or confidential personally identifiable data subject to the federal Family Educational Rights and Privacy Act or other privacy laws, and that disclosure to or use by third parties would be damaging. The Contractor, therefore, agrees to hold all such material and information in strictest confidence, not to make use thereof other than for the performance of this Contract, to release it only to authorized employees and agents requiring such information and not release or disclose it to

any other party. The Contractor agrees to release such information or material only to employees and agents who have signed a written agreement expressly prohibiting disclosure.

14. Copyright Provisions. Unless otherwise provided, all Materials produced under this Contract shall be considered "works for hire" as defined by the U.S. Copyright Act and copyright shall be owned by the Superintendent. The Superintendent shall be considered the author of such Materials. If Materials are not considered "works for hire", Contractor hereby irrevocably assigns all right, title, and interest in Materials, including all intellectual property rights, to the Superintendent effective from the moment of creation of such Materials.

Materials means all items in any format and includes, but is not limited to, data, reports, documents, pamphlets, advertisements, books, magazines, surveys, studies, computer programs, films, tapes, and/or sound reproductions. Copyright ownership includes the right to patent, register and the ability to transfer these rights.

Contractor understands that, except where otherwise agreed to in writing or approved by the Superintendent or designee, all original works of authorship produced under this Contract shall carry a [Creative Commons Attribution License](#), version 4.0 or later.

All Materials the Contractor has adapted from others' existing openly licensed resources must be licensed with the least restrictive open license possible that is not in conflict with existing licenses.

For Materials that are delivered under the Contract, but that incorporate pre-existing materials not produced under the Contract, Contractor will license the materials to allow others to translate, reproduce, distribute, prepare derivative works, publicly perform, and publicly display. If the Contractor would like to limit these pre-existing portions of the work to [non-commercial use](#), the [Creative Commons Attribution-NonCommercial-ShareAlike](#) license, version 4.0 or later, is acceptable for these specific sections.

The Contractor warrants and represents that Contractor has all rights and permissions, including intellectual property rights, moral rights and rights of publicity, necessary to apply such a license.

The Contractor shall exert all reasonable effort to advise the Superintendent, at the time of delivery of data furnished under this Contract, of all known or potential invasions of privacy contained therein and of any portion of such document which was not produced in the performance of this Contract. The Superintendent shall receive prompt written notice of each notice or claim of infringement received by the Contractor with respect to any data delivered under this Contract. The Superintendent shall have the right to modify or remove any restrictive markings placed upon the data by the Contractor.

15. Covenant Against Contingent Fees. The Contractor warrants that no person or selling agent has been employed or retained to solicit or secure this Contract upon an agreement or understanding for a commission, percentage, brokerage or contingent fee, excepting bona fide employees or bona fide established agent maintained by the Contractor for the purpose of securing business. The Superintendent shall have the right, in the event of breach of this clause by the Contractor, to annul this Contract without liability or, in its discretion, to deduct from the contract price or consideration or recover by other means the full amount of such commission, percentage, brokerage or contingent fees.

16. Disputes. In the event that a dispute arises under this Contract, it shall be determined by a Dispute Board in the following manner: (1) The Superintendent shall appoint a member to the Dispute Board; (2) the Contractor shall appoint a member to the Dispute Board; (3) the Superintendent and the Contractor shall jointly appoint a member to the Dispute Board; (4) the Dispute Board shall evaluate the dispute and make a determination of the dispute; and, the determination of the Dispute Board shall be final and binding on the parties hereto.

As alternatives to the above Dispute Board process: (1) if the dispute is between two or more state agencies, any one of the agencies may request intervention by the Governor, as provided by 43.17.330 RCW, in which event the Governor's process shall control; and, (2) if the dispute is between a non-state agency and another state agency or non-state agency party to this Contract, all the disputing parties may mutually agree to mediation prior to submitting the dispute to a Dispute Board in the event the dispute is not resolved pursuant to mediation within an agreed-upon time period.

17. Duplicate Payment. The Superintendent shall not pay the Contractor, if the Contractor has charged or will charge the state of Washington or any other party under any other contract or agreement, for the same services or expenses.
18. Entire Agreement. This Contract contains all the terms and conditions agreed upon by the parties. No other understandings, oral or otherwise, regarding the subject matter of this Contract shall be deemed to exist or to bind any of the parties hereto.
19. Ethical Conduct. Neither the Contractor nor any employee or agent of the Contractor shall participate in the performance of any duty or service in whole or part under this Contract in violation of, or in a manner that violates any provision of the Ethics in Public Service law at Chapter 42.52 RCW, RCW 42.17A.550, RCW 42.17A.555, and 41.06.250 prohibiting the use of public resources for political purposes.
20. Governing Law and Venue. This Contract shall be construed and interpreted in accordance with the laws of the State of Washington and the venue of any action brought hereunder shall be in Superior Court for Thurston County.
21. Indemnification. To the fullest extent permitted by law, Contractor shall indemnify, defend and hold harmless the Superintendent and all officials, agents, and employees of the Superintendent, from and against all claims for injuries or death arising out of or resulting from the performance of this Contract. "Claim" as used in this Contract, means any financial loss, claim, suit, action, damage, or expense, including but not limited to attorney's fees, attributable for bodily injury, sickness, disease, or death, or injury to or destruction of tangible property including loss of use resulting therefrom. Additionally, "claims" shall include but not be limited to, assertions that the use or transfer of any software, book, document, report, film, tape or sound reproduction or material of any kind, delivered hereunder, constitutes an infringement of any copyright, patent, trademark, trade name, or otherwise results in an unfair trade practice or in unlawful restraint of competition. Contractor's obligation to indemnify, defend and hold harmless includes any claim by Contractor's agents, employees, representatives, or any subcontractor or its employees.

Contractor expressly agrees to indemnify, defend, and hold harmless the Superintendent for any and all claims, costs, charges, penalties, demands, losses, liabilities, damages, judgments, or fines out of or incident to Contractor's or subcontractor's performance or failure to perform the Contract. Contractor's obligation to indemnify, defend, or hold harmless the

Superintendent shall not be eliminated or reduced by any actual or alleged concurrent negligence by Superintendent or its agents, employees, or officials.

Contractor waives its immunity under Title 51 RCW to the extent it is required to indemnify, defend and hold harmless Superintendent and its agents, employees, or officials.

22. Independent Capacity of the Contractor. The parties intend that an independent Contractor relationship will be created by this Contract. The Contractor and his/her employees or agents performing under this Contract are not employees or agents of the Superintendent. The Contractor will not hold himself/herself out as nor claim to be an officer or employee of the Superintendent or of the state of Washington by reason hereof, nor will the Contractor make any claim or right, privilege, or benefit which would accrue to such employee under law. Conduct and control of the work will be solely with the Contractor.

23. Insurance.

a. Worker's Compensation Coverage. The Contractor shall at all times comply with all applicable worker's compensation, occupational disease, and occupational health and safety laws, statutes, and regulations to the fullest extent applicable. This requirement includes the purchase of industrial insurance coverage for the Contractor's employees, as may now hereafter be required of an "employer" as defined in Title 51 RCW. Such worker's compensation and occupational disease requirements shall include coverage for all employees of the Contractor, and for all employees of any subcontract retained by the Contractor, suffering bodily injury (including death) by accident or disease, which arises out of or in connection with the performance of this Contract. Satisfaction of these requirements shall include, but shall not be limited to:

- 1) Full participation in any required governmental occupational injury and/or disease insurance program, to the extent participation in such a program is mandatory in any jurisdiction;
- 2) Purchase worker's compensation and occupational disease insurance benefits to employees in full compliance with all applicable laws, statutes, and regulations, but only to the extent such coverage is not provided under mandatory governmental program in "a" above, and/or;
- 3) Maintenance of a legally permitted and governmentally approved program of self-insurance for worker's compensation and occupational disease.

Except to the extent prohibited by law, the program of the Contractor's compliance with worker's compensation and occupational disease laws, statutes, and regulations in 1), 2), and 3) above shall provide for a full waiver of rights of subrogation against the Superintendent, its directors, officers, and employees.

If the Contractor, or any subcontractor retained by the Contractor, fails to effect and maintain a program of compliance with applicable worker's compensation and occupational disease laws, statutes, and regulations and the Superintendent incurs fines or is required by law to provide benefits to such employees, to obtain coverage for such employees, the Contractor will indemnify the Superintendent for such fines, payment of benefits to Contractor or subcontractor employees or their heirs or legal representatives, and/or the cost of effecting coverage on behalf of such employees. Any amount owed the

Superintendent by the Contractor pursuant to the indemnity may be deducted from any payments owed by the Superintendent to the Contractor for the performance of this Contract.

- b. Automobile Insurance. In the event that services delivered pursuant to this Contract involve the use of vehicles, owned or operated by the Contractor, automobile liability insurance shall be required. The minimum limit for automobile liability is:

\$1,000,000 per occurrence, using a Combined Single Limit for bodily injury and property damage.

- c. Business Automobile Insurance. In the event that services performed under this Contract involve the use of vehicles or the transportation of clients, automobile liability insurance shall be required. If Contractor-owned personal vehicles are used, a Business Automobile policy covering a minimum Code 2 "owned autos only" must be secured. If the Contractor's employees' vehicles are used, the Contractor must also include under the Business Automobile policy Code 9, coverage for "non-owned autos." The minimum limits for automobile liability is:

\$1,000,000 per occurrence, using a Combined Single Limit for bodily injury and property damage.

- d. Public Liability Insurance. The Contractor shall at all times during the term of this Contract, at its cost and expense, carry and maintain general public liability insurance, including contractual liability, against claims for bodily injury, personal injury, death, or property damage occurring or arising out of services provided under this Contract. This insurance shall cover such claims as may be caused by any act, omission, or negligence of the Contractor or its officers, agents, representatives, assigns or servants. The limits of liability insurance, which may be increased from time to time as deemed necessary by the Superintendent, with the approval of the Contractor (which shall not be unreasonably withheld), shall not be less than as follows:

Each Occurrence	\$1,000,000
General Aggregate Limits (other than products-completed operations)	\$2,000,000
Products-Completed Operations Limit	\$2,000,000
Personal and Advertising Injury Limit	\$1,000,000
Fire Damage Limit (any one fire)	\$ 50,000
Medical Expense Limit (any one person)	\$ 5,000

- e. Additional Insured. The State of Washington, Office of Superintendent of Public Instruction, shall be specifically named as an additional insured on all policies except for liability insurance on privately-owned vehicles, and all policies shall be primary to any other valid and collectible insurance. The Superintendent may waive this requirement at its discretion. Policies and certificates of insurance shall include the contract reference number.
- f. Proof of Insurance. Certificates and or evidence satisfactory to the Superintendent confirming the existence, terms and conditions of all insurance required above shall be delivered to the Superintendent within five (5) days of the Contractor's receipt of Authorization to Proceed.

- g. General Insurance Requirements. Contractor shall, at all times during the term of the Contract and at its cost and expense, buy and maintain insurance of the types and amounts listed above. Failure to buy and maintain the required insurance may result in the termination of the Contract at the Superintendent's option. By requiring insurance herein, Superintendent does not represent that coverage and limits will be adequate to protect Contractor and such coverage and limits shall not limit Contractor's liability under the indemnities and reimbursements granted to the Superintendent in this Contract.

Contractor shall include all subcontractors as insureds under all required insurance policies, or shall furnish proof of insurance and endorsements for each subcontractor. Subcontractor(s) must comply fully with all insurance requirements stated herein. Failure of subcontractor(s) to comply with insurance requirements does not limit Contractor's liability or responsibility.

24. Licensing and Accreditation Standards. The Contractor shall comply with all applicable local, state, and federal licensing, accreditation and registration requirements/standards, necessary to the performance of this Contract.
25. Limitation of Authority. Only the Superintendent or the Superintendent's delegate by writing (delegation to be made prior to action) shall have the express, implied, or apparent authority to alter, amend, modify, or waive any clause or condition of this Contract. Furthermore, any alteration, amendment, modification, or waiver of any clause or condition of this Contract is not effective or binding unless made in writing and signed by the Superintendent.
26. Non-Discrimination. The Contractor shall comply with all the federal and state non-discrimination laws, regulations and policies, which are otherwise applicable to the Superintendent. Accordingly, no person shall, on the ground of sex, race, creed, religion, color, national origin, marital status, families with children, age, veteran or military status, sexual orientation, gender expression, gender identity, disability, or the use of a trained dog guide or service animal, be unlawfully excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any activity performed by the Contractor and its agents under this Contract. The Contractor shall notify the Superintendent immediately of any allegations, claims, disputes, or challenges made against it under non-discrimination laws, regulations, or policies, or under the Americans with Disabilities Act. In the event of the Contractor's noncompliance or refusal to comply with this nondiscrimination provision, this Contract may be rescinded, cancelled or terminated in whole or part, and the Contractor may be declared ineligible for further contracts with the Superintendent.
27. Overpayments. Contractor shall refund to Superintendent the full amount of any overpayment under this Contract within thirty (30) calendar days of written notice. If Contractor fails to make a prompt refund, Superintendent may charge Contractor one percent (1%) per month on the amount due until paid in full.
28. Payments. No payments in advance or in anticipation of services or supplies to be provided under this Contract shall be made by the Superintendent. All payments to the Contractor are conditioned upon (1) Contractor's submission of a properly executed and supported voucher for payment, including such supporting documentation of performance and supporting documentation of costs incurred or paid, or both as is otherwise provided for in the body of this Contract under Duties of the Superintendent, and (2) Acceptance and certification by the Superintendent or designee of satisfactory performance by the Contractor.

Except as otherwise provided in this Contract, (1) All approvable vouchers for payment due to the Contractor shall be paid within thirty (30) calendar days of their submission by the Contractor, and (2) All expenses necessary to the Contractor's performance of this Contract not specifically mentioned in the Contract shall be borne in full by the Contractor.

29. Public Disclosure. Contractor acknowledges that the Superintendent is subject to the Washington State Public Records Act, Chapter 42.56 RCW, and that this Contract shall be a public record as defined in RCW 42.56. Any specific information that is claimed by the Contractor to be confidential or proprietary must be clearly identified as such by the Contractor. To the extent consistent with chapter 42.56 RCW, the Superintendent shall maintain the confidentiality of all such information marked confidential or proprietary. If a request is made to view the Contractor's information, the Superintendent will notify the Contractor of the request and the date that such records will be released to the requester unless Contractor obtains a court order enjoining that disclosure. If the Contractor fails to obtain the court order enjoining disclosure, the Superintendent will release the requested information on the date specified.
30. Publicity. The Contractor agrees to submit to the Superintendent all advertising and publicity matters relating to this Contract which in the Superintendent's judgment, Superintendent's name can be implied or is specifically mentioned. The Contractor agrees not to publish or use such advertising and publicity matters without the prior written consent of the Superintendent.
31. Registration with Department of Revenue. The Contractor shall complete registration with the Department of Revenue and be responsible for payment of all taxes due on payments made under this Contract.
32. Records Maintenance. The Contractor shall maintain all books, records, documents, data and other evidence relating to this Contract and performance of the services described herein, including but not limited to accounting procedures and practices which sufficiently and properly reflect all direct and indirect costs of any nature expended in the performance of this Contract. Contractor shall retain such records for a period of six years following the date of final payment. At no additional cost, these records, including materials generated under the Contract, shall be subject at all reasonable times to inspection, review or audit by the Superintendent, personnel duly authorized by the Superintendent, the Office of the State Auditor, and federal and state officials so authorized by law, regulation or agreement.

If any litigation, claim or audit is started before the expiration of the six (6) year period, the records shall be retained until all litigation, claims, or audit findings involving the records have been resolved.

33. Right of Inspection. The Contractor shall provide right of access to its facilities to the Superintendent or any of its officers at all reasonable times, in order to monitor and evaluate performance, compliance, and/or quality assurance under this Contract on behalf of the Superintendent. All inspections and evaluations shall be performed in such a manner that will not unduly interfere with the Contractor's business or work hereunder.
34. Severability. The provisions of this Contract are intended to be severable. If any term or provision is illegal or invalid for any reason whatsoever, such illegality or invalidity shall not affect the validity of the remainder of the Contract.

35. Site Security. While on Superintendent premises, Contractor, its agents, employees, or subcontractors shall conform in all respects with physical, fire or other security policies or regulations.
36. Subcontracting. Neither the Contractor nor any subcontractor shall enter into subcontracts for any of the work contemplated under this Contract without obtaining prior written approval of the Superintendent. Contractor is responsible to ensure that all terms, conditions, assurances and certifications set forth in this Contract are included in any and all Subcontracts. In no event shall the existence of the subcontract operate to release or reduce liability of the Contractor to the Superintendent for any breach in the performance of the Contractor's duties. This clause does not include contracts of employment between the Contractor and personnel assigned to work under this Contract.

If, at any time during the progress of the work, the Superintendent determines in its sole judgment that any subcontractor is incompetent, the Superintendent shall notify the Contractor, and the Contractor shall take immediate steps to terminate the subcontractor's involvement in the work. The rejection or approval by the Superintendent of any subcontractor or the termination of a subcontractor shall not relieve the Contractor of any of its responsibilities under the Contract, nor be the basis for additional charges to the Superintendent.

37. Taxes. All payments accrued on account of payroll taxes, unemployment contributions, any other taxes, insurance or other expenses for the Contractor or its staff shall be the sole responsibility of the Contractor.
38. Termination for Convenience. Except as otherwise provided in this Contract, the Superintendent or Superintendent's Designee may, by ten (10) days written notice, beginning on the second day after the mailing, terminate this Contract in whole or in part. The notice shall specify the date of termination and shall be conclusively deemed to have been delivered to and received by the Contractor as of midnight the second day of mailing in the absence of proof of actual delivery to and receipt by the Contractor. If this Contract is so terminated, the Superintendent shall be liable only for payment required under the terms of the Contract for services rendered or goods delivered prior to the effective date of termination.
39. Termination for Default. In the event the Superintendent determines the Contractor has failed to comply with the conditions of this Contract in a timely manner, the Superintendent has the right to suspend or terminate this Contract. The Superintendent shall notify the Contractor in writing of the need to take corrective action. If corrective action is not taken within thirty (30) days, the Contract may be terminated. The Superintendent reserves the right to suspend all or part of the Contract, withhold further payments, or prohibit the Contractor from incurring additional obligations of funds during investigation of the alleged compliance breach and pending corrective action by the Contractor or a decision by the Superintendent to terminate the Contract. In the event of termination, the Contractor shall be liable for damages as authorized by law including, but not limited to, any cost difference between the original Contract and the replacement or cover Contract and all administrative costs directly related to the replacement Contract, e.g., cost of the competitive bidding, mailing, advertising and staff time. The termination shall be deemed to be a "Termination for Convenience" if it is determined that the Contractor: (1) was not in default; or (2) failure to perform was outside of his or her control, fault or negligence. The rights and remedies of the Superintendent provided

in this Contract are not exclusive and are in addition to any other rights and remedies provided by law.

40. Termination Due to Funding Limitations or Contract Renegotiation, Suspension. In the event funding from state, federal, or other sources is withdrawn, reduced, or limited in any way after the effective date of this Contract and prior to normal completion of this Contract, with the notice specified below and without liability for damages:

- a. At Superintendent's discretion, the Superintendent may give written notice of intent to renegotiate the Contract under the revised funding conditions.
- b. At Superintendent's discretion, the Superintendent may give written notice to Contractor to suspend performance when Superintendent determines there is reasonable likelihood that the funding insufficiency may be resolved in a timeframe that would allow Contractor's performance to be resumed.
 - (1) During the period of suspension of performance, each party will inform the other of any conditions that may reasonably affect the potential for resumption of performance.
 - (2) When Superintendent determines that the funding insufficiency is resolved, it will give the Contractor written notice to resume performance, and Contractor shall resume performance.
 - (3) Upon the receipt of notice under b. (2), if Contractor is unable to resume performance of this Contract or if the Contractor's proposed resumption date is not acceptable to Superintendent and an acceptable date cannot be negotiated, Superintendent may terminate the Contract by giving written notice to the Contractor. The parties agree that the Contract will be terminated retroactive to the date of the notice of suspension. Superintendent shall be liable only for payment in accordance with the terms of this Contract for services rendered prior to the retroactive date of termination.
- c. Superintendent may immediately terminate this Contract by providing written notice to the Contractor. The termination shall be effective on the date specified in the termination notice. Superintendent shall be liable only for payment in accordance with the terms of this Contract for services rendered prior to the effective date of termination. No penalty shall accrue to Superintendent in the event the termination option in this section is exercised.
- d. For purposes of this section, "written notice" may include email.

41. Termination Procedure. Upon termination of this Contract the Superintendent, in addition to other rights provided in this Contract, may require the Contractor to deliver to the Superintendent any property specifically produced or acquired for the performance of such part of this Contract as has been terminated. The provisions of the "Treatment of Assets" clause shall apply in such property transfer.

The Superintendent shall pay to the Contractor the agreed upon price, if separately stated, for completed work and services accepted by the Superintendent and the amount agreed upon by the Contractor and the Superintendent for (a) completed work and services for which no

separate price is stated, (b) partially completed work and services, (c) other property or services which are accepted by the Superintendent, and (d) the protection and preservation of the property, unless the termination is for default, in which case the Superintendent shall determine the extent of the liability. Failure to agree with such determination shall be a dispute within the meaning of the "Disputes" clause for this Contract. The Superintendent may withhold from any amounts due to the Contractor such sum as the Superintendent determines to be necessary to protect the Superintendent against potential loss or liability.

The rights and remedies of the Superintendent provided in this section shall not be exclusive and are in addition to any other rights and remedies provided by law under this Contract.

After receipt of a notice of termination, and except as otherwise directed by the Superintendent, the Contractor shall:

- a. Stop work under this Contract on the date and to the extent specified, in the notice;
- b. Place no further orders or subcontractors for materials, services or facilities except as may be necessary for completion of such portion of the work under the Contract that is not terminated;
- c. Assign to the Superintendent, in the manner, at the times, and to the extent directed by the Superintendent, all rights, title, and interest of the Contractor under the orders and subcontracts in which case the Superintendent has the right, at its discretion, to settle or pay any or all claims arising out of the termination of such orders and subcontracts;
- d. Settle all outstanding liabilities and all claims arising out of such termination of orders and subcontracts, with the approval or ratification of the Superintendent to the extent the Superintendent may require, which approval or ratification shall be final for all the purposes of this clause;
- e. Transfer title to the Superintendent and deliver, in the manner, at the times and to the extent as directed by the Superintendent, any property which, if the Contract had been completed, would have been required to be furnished to the Superintendent;
- f. Complete performance of such part of the work not terminated by the Superintendent; and
- g. Take such action as may be necessary, or as the Superintendent may direct, for the protection and preservation of the property related to this Contract which, in is in the possession of the Contractor and in which the Superintendent has or may acquire an interest.

42. Treatment of Assets. Except as otherwise provided for in the Contract, the ownership and title to all real property and all personal property purchased by the Contractor in the course of performing this Contract with moneys paid by the Superintendent shall vest in the Superintendent, except for supplies consumed in performing this Contract. The Contractor shall (1) maintain a current inventory of all the real and personal property; (2) label all the property "State of Washington, Superintendent of Public Instruction"; and, (3) surrender property and title to the Superintendent without charge prior to settlement upon completion, termination or cancellation of this Contract.

Any property of the Superintendent furnished to the Contractor shall, unless otherwise provided herein, or approved by the Superintendent, be used only for the performance of the Contract.

The Contractor shall be responsible for any loss or damage to property of the Superintendent which results from the negligence of the Contractor which results from the failure on the part of the Contractor to maintain and administer that property in accordance with sound management practices.

If any property is lost, destroyed, or damaged, the Contractor shall notify the Superintendent and take all reasonable steps to protect the property from further damage.

All reference to the Contractor under this clause shall include Contractor's employees, agents and subcontractors.

43. Waiver. A failure by either part to exercise its rights under this Agreement shall not preclude that party from subsequent exercise of such rights and shall not constitute a waiver of any other rights under this agreement. Waiver of any default or breach shall not be deemed to be a waiver of any subsequent default or breach. Any waiver shall not be construed to be a modification of the terms of this Agreement unless stated to be such in writing and signed by personnel authorized to bind each of the parties

Exhibit B2a

GENERAL CONDITIONS

Table of Contents

	<u>Page(s)</u>
1. Coordination of Services by the STATE.....	2
2. Relationship of Parties: Independent Contractor Status and Responsibilities, Including Tax Responsibilities.....	2
3. Personnel Requirements	3
4. Nondiscrimination	3
5. Conflicts of Interest	3
6. Subcontracts and Assignments	3
7. Indemnification and Defense.....	4
8. Cost of Litigation.....	4
9. Liquidated Damages	4
10. STATE'S Right of Offset.....	4
11. Disputes	4
12. Suspension of Contract.....	4
13. Termination for Default.....	5
14. Termination for Convenience.....	6
15. Claims Based on the Agency Procurement Officer's Actions or Omissions.....	8
16. Costs and Expenses	8
17. Payment Procedures; Final Payment; Tax Clearance.....	9
18. Federal Funds	9
19. Modifications of Contract.....	9
20. Change Order.....	10
21. Price Adjustment	11
22. Variation in Quantity for Definite Quantity Contracts.....	11
23. Changes in Cost-Reimbursement Contract.....	11
24. Confidentiality of Material	12
25. Publicity.....	12
26. Ownership Rights and Copyright	12
27. Liens and Warranties.....	12
28. Audit of Books and Records of the CONTRACTOR.....	13
29. Cost or Pricing Data	13
30. Audit of Cost or Pricing Data.....	13
31. Records Retention.....	13
32. Antitrust Claims.....	13
33. Patented Articles.....	13
34. Governing Law	14
35. Compliance with Laws	14
36. Conflict between General Conditions and Procurement Rules	14
37. Entire Contract.....	14
38. Severability.....	14
39. Waiver	14
40. Pollution Control	14
41. Campaign Contributions.....	14
42. Confidentiality of Personal Information.....	14

GENERAL CONDITIONS

1. Coordination of Services by the STATE. The head of the purchasing agency ("HOPA") (which term includes the designee of the HOPA) shall coordinate the services to be provided by the CONTRACTOR in order to complete the performance required in the Contract. The CONTRACTOR shall maintain communications with HOPA at all stages of the CONTRACTOR'S work, and submit to HOPA for resolution any questions which may arise as to the performance of this Contract. "Purchasing agency" as used in these General Conditions means and includes any governmental body which is authorized under chapter 103D, HRS, or its implementing rules and procedures, or by way of delegation, to enter into contracts for the procurement of goods or services or both.
2. Relationship of Parties: Independent Contractor Status and Responsibilities, Including Tax Responsibilities.
 - a. In the performance of services required under this Contract, the CONTRACTOR is an "independent contractor," with the authority and responsibility to control and direct the performance and details of the work and services required under this Contract; however, the STATE shall have a general right to inspect work in progress to determine whether, in the STATE'S opinion, the services are being performed by the CONTRACTOR in compliance with this Contract. Unless otherwise provided by special condition, it is understood that the STATE does not agree to use the CONTRACTOR exclusively, and that the CONTRACTOR is free to contract to provide services to other individuals or entities while under contract with the STATE.
 - b. The CONTRACTOR and the CONTRACTOR'S employees and agents are not by reason of this Contract, agents or employees of the State for any purpose, and the CONTRACTOR and the CONTRACTOR'S employees and agents shall not be entitled to claim or receive from the State any vacation, sick leave, retirement, workers' compensation, unemployment insurance, or other benefits provided to state employees.
 - c. The CONTRACTOR shall be responsible for the accuracy, completeness, and adequacy of the CONTRACTOR'S performance under this Contract. Furthermore, the CONTRACTOR intentionally, voluntarily, and knowingly assumes the sole and entire liability to the CONTRACTOR'S employees and agents, and to any individual not a party to this Contract, for all loss, damage, or injury caused by the CONTRACTOR, or the CONTRACTOR'S employees or agents in the course of their employment.
 - d. The CONTRACTOR shall be responsible for payment of all applicable federal, state, and county taxes and fees which may become due and owing by the CONTRACTOR by reason of this Contract, including but not limited to (i) income taxes, (ii) employment related fees, assessments, and taxes, and (iii) general excise taxes. The CONTRACTOR also is responsible for obtaining all licenses, permits, and certificates that may be required in order to perform this Contract.
 - e. The CONTRACTOR shall obtain a general excise tax license from the Department of Taxation, State of Hawaii, in accordance with section 237-9, HRS, and shall comply with all requirements thereof. The CONTRACTOR shall obtain a tax clearance certificate from the Director of Taxation, State of Hawaii, and the Internal Revenue Service, U.S. Department of the Treasury, showing that all delinquent taxes, if any, levied or accrued under state law and the Internal Revenue Code of 1986, as amended, against the CONTRACTOR have been paid and submit the same to the STATE prior to commencing any performance under this Contract. The CONTRACTOR shall also be solely responsible for meeting all requirements necessary to obtain the tax clearance certificate required for final payment under sections 103-53 and 103D-328, HRS, and paragraph 17 of these General Conditions.
 - f. The CONTRACTOR is responsible for securing all employee-related insurance coverage for the CONTRACTOR and the CONTRACTOR'S employees and agents that is or may be required by law, and for payment of all premiums, costs, and other liabilities associated with securing the insurance coverage.

- g. The CONTRACTOR shall obtain a certificate of compliance issued by the Department of Labor and Industrial Relations, State of Hawaii, in accordance with section 103D-310, HRS, and section 3-122-112, HAR, that is current within six months of the date of issuance.
 - h. The CONTRACTOR shall obtain a certificate of good standing issued by the Department of Commerce and Consumer Affairs, State of Hawaii, in accordance with section 103D-310, HRS, and section 3-122-112, HAR, that is current within six months of the date of issuance.
 - i. In lieu of the above certificates from the Department of Taxation, Labor and Industrial Relations, and Commerce and Consumer Affairs, the CONTRACTOR may submit proof of compliance through the State Procurement Office's designated certification process.
3. Personnel Requirements.
- a. The CONTRACTOR shall secure, at the CONTRACTOR'S own expense, all personnel required to perform this Contract.
 - b. The CONTRACTOR shall ensure that the CONTRACTOR'S employees or agents are experienced and fully qualified to engage in the activities and perform the services required under this Contract, and that all applicable licensing and operating requirements imposed or required under federal, state, or county law, and all applicable accreditation and other standards of quality generally accepted in the field of the activities of such employees and agents are complied with and satisfied.
4. Nondiscrimination. No person performing work under this Contract, including any subcontractor, employee, or agent of the CONTRACTOR, shall engage in any discrimination that is prohibited by any applicable federal, state, or county law.
5. Conflicts of Interest. The CONTRACTOR represents that neither the CONTRACTOR, nor any employee or agent of the CONTRACTOR, presently has any interest, and promises that no such interest, direct or indirect, shall be acquired, that would or might conflict in any manner or degree with the CONTRACTOR'S performance under this Contract.
6. Subcontracts and Assignments. The CONTRACTOR shall not assign or subcontract any of the CONTRACTOR'S duties, obligations, or interests under this Contract and no such assignment or subcontract shall be effective unless (i) the CONTRACTOR obtains the prior written consent of the STATE, and (ii) the CONTRACTOR'S assignee or subcontractor submits to the STATE a tax clearance certificate from the Director of Taxation, State of Hawaii, and the Internal Revenue Service, U.S. Department of Treasury, showing that all delinquent taxes, if any, levied or accrued under state law and the Internal Revenue Code of 1986, as amended, against the CONTRACTOR'S assignee or subcontractor have been paid. Additionally, no assignment by the CONTRACTOR of the CONTRACTOR'S right to compensation under this Contract shall be effective unless and until the assignment is approved by the Comptroller of the State of Hawaii, as provided in section 40-58, HRS.
- a. Recognition of a successor in interest. When in the best interest of the State, a successor in interest may be recognized in an assignment contract in which the STATE, the CONTRACTOR and the assignee or transferee (hereinafter referred to as the "Assignee") agree that:
 - (1) The Assignee assumes all of the CONTRACTOR'S obligations;
 - (2) The CONTRACTOR remains liable for all obligations under this Contract but waives all rights under this Contract as against the STATE; and
 - (3) The CONTRACTOR shall continue to furnish, and the Assignee shall also furnish, all required bonds.
 - b. Change of name. When the CONTRACTOR asks to change the name in which it holds this Contract with the STATE, the procurement officer of the purchasing agency (hereinafter referred to as the "Agency procurement officer") shall, upon receipt of a document acceptable or satisfactory to the

Agency procurement officer indicating such change of name (for example, an amendment to the CONTRACTOR'S articles of incorporation), enter into an amendment to this Contract with the CONTRACTOR to effect such a change of name. The amendment to this Contract changing the CONTRACTOR'S name shall specifically indicate that no other terms and conditions of this Contract are thereby changed.

- c. Reports. All assignment contracts and amendments to this Contract effecting changes of the CONTRACTOR'S name or novations hereunder shall be reported to the chief procurement officer (CPO) as defined in section 103D-203(a), HRS, within thirty days of the date that the assignment contract or amendment becomes effective.
 - d. Actions affecting more than one purchasing agency. Notwithstanding the provisions of subparagraphs 6a through 6c herein, when the CONTRACTOR holds contracts with more than one purchasing agency of the State, the assignment contracts and the novation and change of name amendments herein authorized shall be processed only through the CPO's office.
7. Indemnification and Defense. The CONTRACTOR shall defend, indemnify, and hold harmless the State of Hawaii, the contracting agency, and their officers, employees, and agents from and against all liability, loss, damage, cost, and expense, including all attorneys' fees, and all claims, suits, and demands therefore, arising out of or resulting from the acts or omissions of the CONTRACTOR or the CONTRACTOR'S employees, officers, agents, or subcontractors under this Contract. The provisions of this paragraph shall remain in full force and effect notwithstanding the expiration or early termination of this Contract.
 8. Cost of Litigation. In case the STATE shall, without any fault on its part, be made a party to any litigation commenced by or against the CONTRACTOR in connection with this Contract, the CONTRACTOR shall pay all costs and expenses incurred by or imposed on the STATE, including attorneys' fees.
 9. Liquidated Damages. When the CONTRACTOR is given notice of delay or nonperformance as specified in paragraph 13 (Termination for Default) and fails to cure in the time specified, it is agreed the CONTRACTOR shall pay to the STATE the amount, if any, set forth in this Contract per calendar day from the date set for cure until either (i) the STATE reasonably obtains similar goods or services, or both, if the CONTRACTOR is terminated for default, or (ii) until the CONTRACTOR provides the goods or services, or both, if the CONTRACTOR is not terminated for default. To the extent that the CONTRACTOR'S delay or nonperformance is excused under paragraph 13d (Excuse for Nonperformance or Delay Performance), liquidated damages shall not be assessable against the CONTRACTOR. The CONTRACTOR remains liable for damages caused other than by delay.
 10. STATE'S Right of Offset. The STATE may offset against any monies or other obligations the STATE owes to the CONTRACTOR under this Contract, any amounts owed to the State of Hawaii by the CONTRACTOR under this Contract or any other contracts, or pursuant to any law or other obligation owed to the State of Hawaii by the CONTRACTOR, including, without limitation, the payment of any taxes or levies of any kind or nature. The STATE will notify the CONTRACTOR in writing of any offset and the nature of such offset. For purposes of this paragraph, amounts owed to the State of Hawaii shall not include debts or obligations which have been liquidated, agreed to by the CONTRACTOR, and are covered by an installment payment or other settlement plan approved by the State of Hawaii, provided, however, that the CONTRACTOR shall be entitled to such exclusion only to the extent that the CONTRACTOR is current with, and not delinquent on, any payments or obligations owed to the State of Hawaii under such payment or other settlement plan.
 11. Disputes. Disputes shall be resolved in accordance with section 103D-703, HRS, and chapter 3-126, Hawaii Administrative Rules ("HAR"), as the same may be amended from time to time.
 12. Suspension of Contract. The STATE reserves the right at any time and for any reason to suspend this Contract for any reasonable period, upon written notice to the CONTRACTOR in accordance with the provisions herein.
 - a. Order to stop performance. The Agency procurement officer may, by written order to the CONTRACTOR, at any time, and without notice to any surety, require the CONTRACTOR to stop all or any part of the performance called for by this Contract. This order shall be for a specified

period not exceeding sixty (60) days after the order is delivered to the CONTRACTOR, unless the parties agree to any further period. Any such order shall be identified specifically as a stop performance order issued pursuant to this section. Stop performance orders shall include, as appropriate: (1) A clear description of the work to be suspended; (2) Instructions as to the issuance of further orders by the CONTRACTOR for material or services; (3) Guidance as to action to be taken on subcontracts; and (4) Other instructions and suggestions to the CONTRACTOR for minimizing costs. Upon receipt of such an order, the CONTRACTOR shall forthwith comply with its terms and suspend all performance under this Contract at the time stated, provided, however, the CONTRACTOR shall take all reasonable steps to minimize the occurrence of costs allocable to the performance covered by the order during the period of performance stoppage. Before the stop performance order expires, or within any further period to which the parties shall have agreed, the Agency procurement officer shall either:

- (1) Cancel the stop performance order; or
- (2) Terminate the performance covered by such order as provided in the termination for default provision or the termination for convenience provision of this Contract.

b. Cancellation or expiration of the order. If a stop performance order issued under this section is cancelled at any time during the period specified in the order, or if the period of the order or any extension thereof expires, the CONTRACTOR shall have the right to resume performance. An appropriate adjustment shall be made in the delivery schedule or contract price, or both, and the Contract shall be modified in writing accordingly, if:

- (1) The stop performance order results in an increase in the time required for, or in the CONTRACTOR'S cost properly allocable to, the performance of any part of this Contract; and
- (2) The CONTRACTOR asserts a claim for such an adjustment within thirty (30) days after the end of the period of performance stoppage; provided that, if the Agency procurement officer decides that the facts justify such action, any such claim asserted may be received and acted upon at any time prior to final payment under this Contract.

c. Termination of stopped performance. If a stop performance order is not cancelled and the performance covered by such order is terminated for default or convenience, the reasonable costs resulting from the stop performance order shall be allowable by adjustment or otherwise.

d. Adjustment of price. Any adjustment in contract price made pursuant to this paragraph shall be determined in accordance with the price adjustment provision of this Contract.

13. Termination for Default.

a. Default. If the CONTRACTOR refuses or fails to perform any of the provisions of this Contract with such diligence as will ensure its completion within the time specified in this Contract, or any extension thereof, otherwise fails to timely satisfy the Contract provisions, or commits any other substantial breach of this Contract, the Agency procurement officer may notify the CONTRACTOR in writing of the delay or non-performance and if not cured in ten (10) days or any longer time specified in writing by the Agency procurement officer, such officer may terminate the CONTRACTOR'S right to proceed with the Contract or such part of the Contract as to which there has been delay or a failure to properly perform. In the event of termination in whole or in part, the Agency procurement officer may procure similar goods or services in a manner and upon the terms deemed appropriate by the Agency procurement officer. The CONTRACTOR shall continue performance of the Contract to the extent it is not terminated and shall be liable for excess costs incurred in procuring similar goods or services.

b. CONTRACTOR'S duties. Notwithstanding termination of the Contract and subject to any directions from the Agency procurement officer, the CONTRACTOR shall take timely, reasonable, and

necessary action to protect and preserve property in the possession of the CONTRACTOR in which the STATE has an interest.

- c. Compensation. Payment for completed goods and services delivered and accepted by the STATE shall be at the price set forth in the Contract. Payment for the protection and preservation of property shall be in an amount agreed upon by the CONTRACTOR and the Agency procurement officer. If the parties fail to agree, the Agency procurement officer shall set an amount subject to the CONTRACTOR'S rights under chapter 3-126, HAR. The STATE may withhold from amounts due the CONTRACTOR such sums as the Agency procurement officer deems to be necessary to protect the STATE against loss because of outstanding liens or claims and to reimburse the STATE for the excess costs expected to be incurred by the STATE in procuring similar goods and services.
- d. Excuse for nonperformance or delayed performance. The CONTRACTOR shall not be in default by reason of any failure in performance of this Contract in accordance with its terms, including any failure by the CONTRACTOR to make progress in the prosecution of the performance hereunder which endangers such performance, if the CONTRACTOR has notified the Agency procurement officer within fifteen (15) days after the cause of the delay and the failure arises out of causes such as: acts of God; acts of a public enemy; acts of the State and any other governmental body in its sovereign or contractual capacity; fires; floods; epidemics; quarantine restrictions; strikes or other labor disputes; freight embargoes; or unusually severe weather. If the failure to perform is caused by the failure of a subcontractor to perform or to make progress, and if such failure arises out of causes similar to those set forth above, the CONTRACTOR shall not be deemed to be in default, unless the goods and services to be furnished by the subcontractor were reasonably obtainable from other sources in sufficient time to permit the CONTRACTOR to meet the requirements of the Contract. Upon request of the CONTRACTOR, the Agency procurement officer shall ascertain the facts and extent of such failure, and, if such officer determines that any failure to perform was occasioned by any one or more of the excusable causes, and that, but for the excusable cause, the CONTRACTOR'S progress and performance would have met the terms of the Contract, the delivery schedule shall be revised accordingly, subject to the rights of the STATE under this Contract. As used in this paragraph, the term "subcontractor" means subcontractor at any tier.
- e. Erroneous termination for default. If, after notice of termination of the CONTRACTOR'S right to proceed under this paragraph, it is determined for any reason that the CONTRACTOR was not in default under this paragraph, or that the delay was excusable under the provisions of subparagraph 13d, "Excuse for nonperformance or delayed performance," the rights and obligations of the parties shall be the same as if the notice of termination had been issued pursuant to paragraph 14.
- f. Additional rights and remedies. The rights and remedies provided in this paragraph are in addition to any other rights and remedies provided by law or under this Contract.

14. Termination for Convenience.

- a. Termination. The Agency procurement officer may, when the interests of the STATE so require, terminate this Contract in whole or in part, for the convenience of the STATE. The Agency procurement officer shall give written notice of the termination to the CONTRACTOR specifying the part of the Contract terminated and when termination becomes effective.
- b. CONTRACTOR'S obligations. The CONTRACTOR shall incur no further obligations in connection with the terminated performance and on the date(s) set in the notice of termination the CONTRACTOR will stop performance to the extent specified. The CONTRACTOR shall also terminate outstanding orders and subcontracts as they relate to the terminated performance. The CONTRACTOR shall settle the liabilities and claims arising out of the termination of subcontracts and orders connected with the terminated performance subject to the STATE'S approval. The Agency procurement officer may direct the CONTRACTOR to assign the CONTRACTOR'S right, title, and interest under terminated orders or subcontracts to the STATE. The CONTRACTOR must still complete the performance not terminated by the notice of termination and may incur obligations as necessary to do so.

c. Right to goods and work product. The Agency procurement officer may require the CONTRACTOR to transfer title and deliver to the STATE in the manner and to the extent directed by the Agency procurement officer:

- (1) Any completed goods or work product; and
- (2) The partially completed goods and materials, parts, tools, dies, jigs, fixtures, plans, drawings, information, and contract rights (hereinafter called "manufacturing material") as the CONTRACTOR has specifically produced or specially acquired for the performance of the terminated part of this Contract.

The CONTRACTOR shall, upon direction of the Agency procurement officer, protect and preserve property in the possession of the CONTRACTOR in which the STATE has an interest. If the Agency procurement officer does not exercise this right, the CONTRACTOR shall use best efforts to sell such goods and manufacturing materials. Use of this paragraph in no way implies that the STATE has breached the Contract by exercise of the termination for convenience provision.

d. Compensation.

- (1) The CONTRACTOR shall submit a termination claim specifying the amounts due because of the termination for convenience together with the cost or pricing data, submitted to the extent required by chapter 3-122, HAR, bearing on such claim. If the CONTRACTOR fails to file a termination claim within one year from the effective date of termination, the Agency procurement officer may pay the CONTRACTOR, if at all, an amount set in accordance with subparagraph 14d(3) below.
- (2) The Agency procurement officer and the CONTRACTOR may agree to a settlement provided the CONTRACTOR has filed a termination claim supported by cost or pricing data submitted as required and that the settlement does not exceed the total Contract price plus settlement costs reduced by payments previously made by the STATE, the proceeds of any sales of goods and manufacturing materials under subparagraph 14c, and the Contract price of the performance not terminated.
- (3) Absent complete agreement under subparagraph 14d(2) the Agency procurement officer shall pay the CONTRACTOR the following amounts, provided payments agreed to under subparagraph 14d(2) shall not duplicate payments under this subparagraph for the following:
 - (A) Contract prices for goods or services accepted under the Contract;
 - (B) Costs incurred in preparing to perform and performing the terminated portion of the performance plus a fair and reasonable profit on such portion of the performance, such profit shall not include anticipatory profit or consequential damages, less amounts paid or to be paid for accepted goods or services; provided, however, that if it appears that the CONTRACTOR would have sustained a loss if the entire Contract would have been completed, no profit shall be allowed or included and the amount of compensation shall be reduced to reflect the anticipated rate of loss;
 - (C) Costs of settling and paying claims arising out of the termination of subcontracts or orders pursuant to subparagraph 14b. These costs must not include costs paid in accordance with subparagraph 14d(3)(B);
 - (D) The reasonable settlement costs of the CONTRACTOR, including accounting, legal, clerical, and other expenses reasonably necessary for the preparation of settlement claims and supporting data with respect to the terminated portion of the Contract and for the termination of subcontracts thereunder, together with reasonable storage, transportation, and other costs incurred in connection with the protection or disposition of property allocable to the terminated portion of this Contract. The total sum to be paid the CONTRACTOR under this subparagraph shall not exceed the

total Contract price plus the reasonable settlement costs of the CONTRACTOR reduced by the amount of payments otherwise made, the proceeds of any sales of supplies and manufacturing materials under subparagraph 14d(2), and the contract price of performance not terminated.

- (4) Costs claimed, agreed to, or established under subparagraphs 14d(2) and 14d(3) shall be in accordance with Chapter 3-123 (Cost Principles) of the Procurement Rules.

15. Claims Based on the Agency Procurement Officer's Actions or Omissions.

- a. Changes in scope. If any action or omission on the part of the Agency procurement officer (which term includes the designee of such officer for purposes of this paragraph 15) requiring performance changes within the scope of the Contract constitutes the basis for a claim by the CONTRACTOR for additional compensation, damages, or an extension of time for completion, the CONTRACTOR shall continue with performance of the Contract in compliance with the directions or orders of such officials, but by so doing, the CONTRACTOR shall not be deemed to have prejudiced any claim for additional compensation, damages, or an extension of time for completion; provided:

- (1) Written notice required. The CONTRACTOR shall give written notice to the Agency procurement officer:
- (A) Prior to the commencement of the performance involved, if at that time the CONTRACTOR knows of the occurrence of such action or omission;
 - (B) Within thirty (30) days after the CONTRACTOR knows of the occurrence of such action or omission, if the CONTRACTOR did not have such knowledge prior to the commencement of the performance; or
 - (C) Within such further time as may be allowed by the Agency procurement officer in writing.
- (2) Notice content. This notice shall state that the CONTRACTOR regards the act or omission as a reason which may entitle the CONTRACTOR to additional compensation, damages, or an extension of time. The Agency procurement officer, upon receipt of such notice, may rescind such action, remedy such omission, or take such other steps as may be deemed advisable in the discretion of the Agency procurement officer;
- (3) Basis must be explained. The notice required by subparagraph 15a(1) describes as clearly as practicable at the time the reasons why the CONTRACTOR believes that additional compensation, damages, or an extension of time may be remedies to which the CONTRACTOR is entitled; and
- (4) Claim must be justified. The CONTRACTOR must maintain and, upon request, make available to the Agency procurement officer within a reasonable time, detailed records to the extent practicable, and other documentation and evidence satisfactory to the STATE, justifying the claimed additional costs or an extension of time in connection with such changes.

- b. CONTRACTOR not excused. Nothing herein contained, however, shall excuse the CONTRACTOR from compliance with any rules or laws precluding any state officers and CONTRACTOR from acting in collusion or bad faith in issuing or performing change orders which are clearly not within the scope of the Contract.
- c. Price adjustment. Any adjustment in the price made pursuant to this paragraph shall be determined in accordance with the price adjustment provision of this Contract.

16. Costs and Expenses. Any reimbursement due the CONTRACTOR for per diem and transportation expenses under this Contract shall be subject to chapter 3-123 (Cost Principles), HAR, and the following guidelines:

- a. Reimbursement for air transportation shall be for actual cost or coach class air fare, whichever is less.
 - b. Reimbursement for ground transportation costs shall not exceed the actual cost of renting an intermediate-sized vehicle.
 - c. Unless prior written approval of the HOPA is obtained, reimbursement for subsistence allowance (i.e., hotel and meals, etc.) shall not exceed the applicable daily authorized rates for inter-island or out-of-state travel that are set forth in the current Governor's Executive Order authorizing adjustments in salaries and benefits for state officers and employees in the executive branch who are excluded from collective bargaining coverage.
17. Payment Procedures; Final Payment; Tax Clearance.
- a. Original invoices required. All payments under this Contract shall be made only upon submission by the CONTRACTOR of original invoices specifying the amount due and certifying that services requested under the Contract have been performed by the CONTRACTOR according to the Contract.
 - b. Subject to available funds. Such payments are subject to availability of funds and allotment by the Director of Finance in accordance with chapter 37, HRS. Further, all payments shall be made in accordance with and subject to chapter 40, HRS.
 - c. Prompt payment.
 - (1) Any money, other than retainage, paid to the CONTRACTOR shall be disbursed to subcontractors within ten (10) days after receipt of the money in accordance with the terms of the subcontract; provided that the subcontractor has met all the terms and conditions of the subcontract and there are no bona fide disputes; and
 - (2) Upon final payment to the CONTRACTOR, full payment to the subcontractor, including retainage, shall be made within ten (10) days after receipt of the money; provided that there are no bona fide disputes over the subcontractor's performance under the subcontract.
 - d. Final payment. Final payment under this Contract shall be subject to sections 103-53 and 103D-328, HRS, which require a tax clearance from the Director of Taxation, State of Hawaii, and the Internal Revenue Service, U.S. Department of Treasury, showing that all delinquent taxes, if any, levied or accrued under state law and the Internal Revenue Code of 1986, as amended, against the CONTRACTOR have been paid. Further, in accordance with section 3-122-112, HAR, CONTRACTOR shall provide a certificate affirming that the CONTRACTOR has remained in compliance with all applicable laws as required by this section.
18. Federal Funds. If this Contract is payable in whole or in part from federal funds, CONTRACTOR agrees that, as to the portion of the compensation under this Contract to be payable from federal funds, the CONTRACTOR shall be paid only from such funds received from the federal government, and shall not be paid from any other funds. Failure of the STATE to receive anticipated federal funds shall not be considered a breach by the STATE or an excuse for nonperformance by the CONTRACTOR.
19. Modifications of Contract.
- a. In writing. Any modification, alteration, amendment, change, or extension of any term, provision, or condition of this Contract permitted by this Contract shall be made by written amendment to this Contract, signed by the CONTRACTOR and the STATE, provided that change orders shall be made in accordance with paragraph 20 herein.
 - b. No oral modification. No oral modification, alteration, amendment, change, or extension of any term, provision, or condition of this Contract shall be permitted.

- c. Agency procurement officer. By written order, at any time, and without notice to any surety, the Agency procurement officer may unilaterally order of the CONTRACTOR:
 - (A) Changes in the work within the scope of the Contract; and
 - (B) Changes in the time of performance of the Contract that do not alter the scope of the Contract work.
 - d. Adjustments of price or time for performance. If any modification increases or decreases the CONTRACTOR'S cost of, or the time required for, performance of any part of the work under this Contract, an adjustment shall be made and this Contract modified in writing accordingly. Any adjustment in contract price made pursuant to this clause shall be determined, where applicable, in accordance with the price adjustment clause of this Contract or as negotiated.
 - e. Claim barred after final payment. No claim by the CONTRACTOR for an adjustment hereunder shall be allowed if written modification of the Contract is not made prior to final payment under this Contract.
 - f. Claims not barred. In the absence of a written contract modification, nothing in this clause shall be deemed to restrict the CONTRACTOR'S right to pursue a claim under this Contract or for a breach of contract.
 - g. Head of the purchasing agency approval. If this is a professional services contract awarded pursuant to section 103D-303 or 103D-304, HRS, any modification, alteration, amendment, change, or extension of any term, provision, or condition of this Contract which increases the amount payable to the CONTRACTOR by at least \$25,000.00 and ten per cent (10%) or more of the initial contract price, must receive the prior approval of the head of the purchasing agency.
 - h. Tax clearance. The STATE may, at its discretion, require the CONTRACTOR to submit to the STATE, prior to the STATE'S approval of any modification, alteration, amendment, change, or extension of any term, provision, or condition of this Contract, a tax clearance from the Director of Taxation, State of Hawaii, and the Internal Revenue Service, U.S. Department of Treasury, showing that all delinquent taxes, if any, levied or accrued under state law and the Internal Revenue Code of 1986, as amended, against the CONTRACTOR have been paid.
 - i. Sole source contracts. Amendments to sole source contracts that would change the original scope of the Contract may only be made with the approval of the CPO. Annual renewal of a sole source contract for services should not be submitted as an amendment.
20. Change Order. The Agency procurement officer may, by a written order signed only by the STATE, at any time, and without notice to any surety, and subject to all appropriate adjustments, make changes within the general scope of this Contract in any one or more of the following:
- (1) Drawings, designs, or specifications, if the goods or services to be furnished are to be specially provided to the STATE in accordance therewith;
 - (2) Method of delivery; or
 - (3) Place of delivery.
- a. Adjustments of price or time for performance. If any change order increases or decreases the CONTRACTOR'S cost of, or the time required for, performance of any part of the work under this Contract, whether or not changed by the order, an adjustment shall be made and the Contract modified in writing accordingly. Any adjustment in the Contract price made pursuant to this provision shall be determined in accordance with the price adjustment provision of this Contract. Failure of the parties to agree to an adjustment shall not excuse the CONTRACTOR from proceeding with the Contract as changed, provided that the Agency procurement officer promptly and duly makes the provisional adjustments in payment or time for performance as may be reasonable. By

proceeding with the work, the CONTRACTOR shall not be deemed to have prejudiced any claim for additional compensation, or any extension of time for completion.

- b. Time period for claim. Within ten (10) days after receipt of a written change order under subparagraph 20a, unless the period is extended by the Agency procurement officer in writing, the CONTRACTOR shall respond with a claim for an adjustment. The requirement for a timely written response by CONTRACTOR cannot be waived and shall be a condition precedent to the assertion of a claim.
- c. Claim barred after final payment. No claim by the CONTRACTOR for an adjustment hereunder shall be allowed if a written response is not given prior to final payment under this Contract.
- d. Other claims not barred. In the absence of a change order, nothing in this paragraph 20 shall be deemed to restrict the CONTRACTOR'S right to pursue a claim under the Contract or for breach of contract.

21. Price Adjustment.

- a. Price adjustment. Any adjustment in the contract price pursuant to a provision in this Contract shall be made in one or more of the following ways:
 - (1) By agreement on a fixed price adjustment before commencement of the pertinent performance or as soon thereafter as practicable;
 - (2) By unit prices specified in the Contract or subsequently agreed upon;
 - (3) By the costs attributable to the event or situation covered by the provision, plus appropriate profit or fee, all as specified in the Contract or subsequently agreed upon;
 - (4) In such other manner as the parties may mutually agree; or
 - (5) In the absence of agreement between the parties, by a unilateral determination by the Agency procurement officer of the costs attributable to the event or situation covered by the provision, plus appropriate profit or fee, all as computed by the Agency procurement officer in accordance with generally accepted accounting principles and applicable sections of chapters 3-123 and 3-126, HAR.
- b. Submission of cost or pricing data. The CONTRACTOR shall provide cost or pricing data for any price adjustments subject to the provisions of chapter 3-122, HAR.

22. Variation in Quantity for Definite Quantity Contracts. Upon the agreement of the STATE and the CONTRACTOR, the quantity of goods or services, or both, if a definite quantity is specified in this Contract, may be increased by a maximum of ten per cent (10%); provided the unit prices will remain the same except for any price adjustments otherwise applicable; and the Agency procurement officer makes a written determination that such an increase will either be more economical than awarding another contract or that it would not be practical to award another contract.

23. Changes in Cost-Reimbursement Contract. If this Contract is a cost-reimbursement contract, the following provisions shall apply:

- a. The Agency procurement officer may at any time by written order, and without notice to the sureties, if any, make changes within the general scope of the Contract in any one or more of the following:
 - (1) Description of performance (Attachment 1);
 - (2) Time of performance (i.e., hours of the day, days of the week, etc.);
 - (3) Place of performance of services;

- (4) Drawings, designs, or specifications when the supplies to be furnished are to be specially manufactured for the STATE in accordance with the drawings, designs, or specifications;
 - (5) Method of shipment or packing of supplies; or
 - (6) Place of delivery.
- b. If any change causes an increase or decrease in the estimated cost of, or the time required for performance of, any part of the performance under this Contract, whether or not changed by the order, or otherwise affects any other terms and conditions of this Contract, the Agency procurement officer shall make an equitable adjustment in the (1) estimated cost, delivery or completion schedule, or both; (2) amount of any fixed fee; and (3) other affected terms and shall modify the Contract accordingly.
 - c. The CONTRACTOR must assert the CONTRACTOR'S rights to an adjustment under this provision within thirty (30) days from the day of receipt of the written order. However, if the Agency procurement officer decides that the facts justify it, the Agency procurement officer may receive and act upon a proposal submitted before final payment under the Contract.
 - d. Failure to agree to any adjustment shall be a dispute under paragraph 11 of this Contract. However, nothing in this provision shall excuse the CONTRACTOR from proceeding with the Contract as changed.
 - e. Notwithstanding the terms and conditions of subparagraphs 23a and 23b, the estimated cost of this Contract and, if this Contract is incrementally funded, the funds allotted for the performance of this Contract, shall not be increased or considered to be increased except by specific written modification of the Contract indicating the new contract estimated cost and, if this contract is incrementally funded, the new amount allotted to the contract.
24. Confidentiality of Material.
- a. All material given to or made available to the CONTRACTOR by virtue of this Contract, which is identified as proprietary or confidential information, will be safeguarded by the CONTRACTOR and shall not be disclosed to any individual or organization without the prior written approval of the STATE.
 - b. All information, data, or other material provided by the CONTRACTOR to the STATE shall be subject to the Uniform Information Practices Act, chapter 92F, HRS.
25. Publicity. The CONTRACTOR shall not refer to the STATE, or any office, agency, or officer thereof, or any state employee, including the HOPA, the CPO, the Agency procurement officer, or to the services or goods, or both, provided under this Contract, in any of the CONTRACTOR'S brochures, advertisements, or other publicity of the CONTRACTOR. All media contacts with the CONTRACTOR about the subject matter of this Contract shall be referred to the Agency procurement officer.
26. Ownership Rights and Copyright. The STATE shall have complete ownership of all material, both finished and unfinished, which is developed, prepared, assembled, or conceived by the CONTRACTOR pursuant to this Contract, and all such material shall be considered "works made for hire." All such material shall be delivered to the STATE upon expiration or termination of this Contract. The STATE, in its sole discretion, shall have the exclusive right to copyright any product, concept, or material developed, prepared, assembled, or conceived by the CONTRACTOR pursuant to this Contract.
27. Liens and Warranties. Goods provided under this Contract shall be provided free of all liens and provided together with all applicable warranties, or with the warranties described in the Contract documents, whichever are greater.

28. Audit of Books and Records of the CONTRACTOR. The STATE may, at reasonable times and places, audit the books and records of the CONTRACTOR, prospective contractor, subcontractor, or prospective subcontractor which are related to:
- a. The cost or pricing data, and
 - b. A state contract, including subcontracts, other than a firm fixed-price contract.
29. Cost or Pricing Data. Cost or pricing data must be submitted to the Agency procurement officer and timely certified as accurate for contracts over \$100,000 unless the contract is for a multiple-term or as otherwise specified by the Agency procurement officer. Unless otherwise required by the Agency procurement officer, cost or pricing data submission is not required for contracts awarded pursuant to competitive sealed bid procedures.
- If certified cost or pricing data are subsequently found to have been inaccurate, incomplete, or noncurrent as of the date stated in the certificate, the STATE is entitled to an adjustment of the contract price, including profit or fee, to exclude any significant sum by which the price, including profit or fee, was increased because of the defective data. It is presumed that overstated cost or pricing data increased the contract price in the amount of the defect plus related overhead and profit or fee. Therefore, unless there is a clear indication that the defective data was not used or relied upon, the price will be reduced in such amount.
30. Audit of Cost or Pricing Data. When cost or pricing principles are applicable, the STATE may require an audit of cost or pricing data.
31. Records Retention.
- (1) Upon any termination of this Contract or as otherwise required by applicable law, CONTRACTOR shall, pursuant to chapter 487R, HRS, destroy all copies (paper or electronic form) of personal information received from the STATE.
 - (2) The CONTRACTOR and any subcontractors shall maintain the files, books, and records that relate to the Contract, including any personal information created or received by the CONTRACTOR on behalf of the STATE, and any cost or pricing data, for at least three (3) years after the date of final payment under the Contract. The personal information shall continue to be confidential and shall only be disclosed as permitted or required by law. After the three (3) year, or longer retention period as required by law has ended, the files, books, and records that contain personal information shall be destroyed pursuant to chapter 487R, HRS or returned to the STATE at the request of the STATE.
32. Antitrust Claims. The STATE and the CONTRACTOR recognize that in actual economic practice, overcharges resulting from antitrust violations are in fact usually borne by the purchaser. Therefore, the CONTRACTOR hereby assigns to STATE any and all claims for overcharges as to goods and materials purchased in connection with this Contract, except as to overcharges which result from violations commencing after the price is established under this Contract and which are not passed on to the STATE under an escalation clause.
33. Patented Articles. The CONTRACTOR shall defend, indemnify, and hold harmless the STATE, and its officers, employees, and agents from and against all liability, loss, damage, cost, and expense, including all attorneys fees, and all claims, suits, and demands arising out of or resulting from any claims, demands, or actions by the patent holder for infringement or other improper or unauthorized use of any patented article, patented process, or patented appliance in connection with this Contract. The CONTRACTOR shall be solely responsible for correcting or curing to the satisfaction of the STATE any such infringement or improper or unauthorized use, including, without limitation: (a) furnishing at no cost to the STATE a substitute article, process, or appliance acceptable to the STATE, (b) paying royalties or other required payments to the patent holder, (c) obtaining proper authorizations or releases from the patent holder, and (d) furnishing such security to or making such arrangements with the patent holder as may be necessary to correct or cure any such infringement or improper or unauthorized use.

34. Governing Law. The validity of this Contract and any of its terms or provisions, as well as the rights and duties of the parties to this Contract, shall be governed by the laws of the State of Hawaii. Any action at law or in equity to enforce or interpret the provisions of this Contract shall be brought in a state court of competent jurisdiction in Honolulu, Hawaii.
35. Compliance with Laws. The CONTRACTOR shall comply with all federal, state, and county laws, ordinances, codes, rules, and regulations, as the same may be amended from time to time, that in any way affect the CONTRACTOR'S performance of this Contract.
36. Conflict Between General Conditions and Procurement Rules. In the event of a conflict between the General Conditions and the procurement rules, the procurement rules in effect on the date this Contract became effective shall control and are hereby incorporated by reference.
37. Entire Contract. This Contract sets forth all of the agreements, conditions, understandings, promises, warranties, and representations between the STATE and the CONTRACTOR relative to this Contract. This Contract supersedes all prior agreements, conditions, understandings, promises, warranties, and representations, which shall have no further force or effect. There are no agreements, conditions, understandings, promises, warranties, or representations, oral or written, express or implied, between the STATE and the CONTRACTOR other than as set forth or as referred to herein.
38. Severability. In the event that any provision of this Contract is declared invalid or unenforceable by a court, such invalidity or unenforceability shall not affect the validity or enforceability of the remaining terms of this Contract.
39. Waiver. The failure of the STATE to insist upon the strict compliance with any term, provision, or condition of this Contract shall not constitute or be deemed to constitute a waiver or relinquishment of the STATE'S right to enforce the same in accordance with this Contract. The fact that the STATE specifically refers to one provision of the procurement rules or one section of the Hawaii Revised Statutes, and does not include other provisions or statutory sections in this Contract shall not constitute a waiver or relinquishment of the STATE'S rights or the CONTRACTOR'S obligations under the procurement rules or statutes.
40. Pollution Control. If during the performance of this Contract, the CONTRACTOR encounters a "release" or a "threatened release" of a reportable quantity of a "hazardous substance," "pollutant," or "contaminant" as those terms are defined in section 128D-1, HRS, the CONTRACTOR shall immediately notify the STATE and all other appropriate state, county, or federal agencies as required by law. The Contractor shall take all necessary actions, including stopping work, to avoid causing, contributing to, or making worse a release of a hazardous substance, pollutant, or contaminant, and shall promptly obey any orders the Environmental Protection Agency or the state Department of Health issues in response to the release. In the event there is an ensuing cease-work period, and the STATE determines that this Contract requires an adjustment of the time for performance, the Contract shall be modified in writing accordingly.
41. Campaign Contributions. The CONTRACTOR is hereby notified of the applicability of 11-355, HRS, which states that campaign contributions are prohibited from specified state or county government contractors during the terms of their contracts if the contractors are paid with funds appropriated by a legislative body.
42. Confidentiality of Personal Information.
- a. Definitions.
- "Personal information" means an individual's first name or first initial and last name in combination with any one or more of the following data elements, when either name or data elements are not encrypted:
- (1) Social security number;
 - (2) Driver's license number or Hawaii identification card number; or

- (3) Account number, credit or debit card number, access code, or password that would permit access to an individual's financial information.

Personal information does not include publicly available information that is lawfully made available to the general public from federal, state, or local government records.

"Technological safeguards" means the technology and the policy and procedures for use of the technology to protect and control access to personal information.

b. Confidentiality of Material.

- (1) All material given to or made available to the CONTRACTOR by the STATE by virtue of this Contract which is identified as personal information, shall be safeguarded by the CONTRACTOR and shall not be disclosed without the prior written approval of the STATE.
- (2) CONTRACTOR agrees not to retain, use, or disclose personal information for any purpose other than as permitted or required by this Contract.
- (3) CONTRACTOR agrees to implement appropriate "technological safeguards" that are acceptable to the STATE to reduce the risk of unauthorized access to personal information.
- (4) CONTRACTOR shall report to the STATE in a prompt and complete manner any security breaches involving personal information.
- (5) CONTRACTOR agrees to mitigate, to the extent practicable, any harmful effect that is known to CONTRACTOR because of a use or disclosure of personal information by CONTRACTOR in violation of the requirements of this paragraph.
- (6) CONTRACTOR shall complete and retain a log of all disclosures made of personal information received from the STATE, or personal information created or received by CONTRACTOR on behalf of the STATE.

c. Security Awareness Training and Confidentiality Agreements.

- (1) CONTRACTOR certifies that all of its employees who will have access to the personal information have completed training on security awareness topics relating to protecting personal information.
- (2) CONTRACTOR certifies that confidentiality agreements have been signed by all of its employees who will have access to the personal information acknowledging that:
 - (A) The personal information collected, used, or maintained by the CONTRACTOR will be treated as confidential;
 - (B) Access to the personal information will be allowed only as necessary to perform the Contract; and
 - (C) Use of the personal information will be restricted to uses consistent with the services subject to this Contract.

d. Termination for Cause. In addition to any other remedies provided for by this Contract, if the STATE learns of a material breach by CONTRACTOR of this paragraph by CONTRACTOR, the STATE may at its sole discretion:

- (1) Provide an opportunity for the CONTRACTOR to cure the breach or end the violation; or
- (2) Immediately terminate this Contract.

In either instance, the CONTRACTOR and the STATE shall follow chapter 487N, HRS, with respect to notification of a security breach of personal information.

e. Records Retention.

- (1) Upon any termination of this Contract or as otherwise required by applicable law, CONTRACTOR shall, pursuant to chapter 487R, HRS, destroy all copies (paper or electronic form) of personal information received from the STATE.
- (2) The CONTRACTOR and any subcontractors shall maintain the files, books, and records that relate to the Contract, including any personal information created or received by the CONTRACTOR on behalf of the STATE, and any cost or pricing data, for at least three (3) years after the date of final payment under the Contract. The personal information shall continue to be confidential and shall only be disclosed as permitted or required by law. After the three (3) year, or longer retention period as required by law has ended, the files, books, and records that contain personal information shall be destroyed pursuant to chapter 487R, HRS or returned to the STATE at the request of the STATE.

Exhibit B2b

**STATE OF HAWAII
DEPARTMENT OF EDUCATION**

CONTRACT MINIMUM AND SPECIAL CONDITIONS

1. Contract Administrator

For purposes of this contract, the person named below or his/her duly authorized representative or successor in office is designated Contract Administrator (CA). The CA may be contacted as follows:

Name: Brian Reiter
Telephone: (808) 733-4100
Facsimile: (808) 733-4483
E-mail: brian_reiter@notes.k12.hi.us

The CA is responsible for:

- 1.1 The terms, conditions, quantities, specifications, scope of services, other contract terms, and all decisions relating to the contract;
- 1.2 Monitoring the Contractor's work, documenting that Contractor maintains the required insurance coverage (if applicable), resolving contract disputes and discrepancies, evaluating the work of the Contractor, assuring the services or goods are delivered as required in the contract, and processing payment for services rendered; and
- 1.3 Notifying the Procurement and Contracts Branch in the event of change in scope of work, change in the performance period, increase or decrease in total compensation, and/or changes in any other contract terms.

Notwithstanding the responsibilities set forth hereinabove, any coordination of services falling outside those articulated above shall remain with the head of the purchasing agency, as set forth in the attached General Conditions (see General Conditions, paragraph 1, entitled "Coordination of Services by the STATE.").

2. HIDEOE's Point of Contact

The CA also serves as the Point-of-Contact (POC) for this contract. The POC should be the initial contact on all matters related to this contract.

3. Contractor's Point of Contact

CONTRACTOR's primary point of contact shall be listed by name, and shall identify the Contractor's point of contact's telephone, facsimile and email address. CONTRACTOR shall notify the STATE, verbally within twenty-four (24) hours, upon the occurrence of any of the events indicated below:

- 3.1 Change in the CONTRACTOR's business address or phone number;
- 3.2 Change in the CONTRACTOR's tax identification number; or
- 3.3 Any other situation that could reasonably be expected to affect the CONTRACTOR's ability to carry out its obligation under this contract.

4. Verification of CONTRACTOR Employees

In accordance with State rules and regulations, CONTRACTOR shall conduct mandatory criminal background checks at no cost to the STATE, on any employee or sub-contractor working directly with students.

CONTRACTOR shall notify the STATE, verbally within twenty-four (24) hours, upon learning of the occurrence of any of the events indicated below:

- 4.1 Any employee, agent or volunteer's license required to perform services under this Contract is or has been suspended, conditioned, revoked, expired, or terminated;
- 4.2 Any employee, agent or volunteer becomes or has been the subject of any disciplinary proceeding or action before any federal or state agency or Board;
- 4.3 Any employee, agent or volunteer is or has been convicted of a fraud or felony;
- 4.4 Any claim, judgment or settlement in which the CONTRACTOR or any of its employees, agents or volunteers is or has been named a defendant;
- 4.5 CONTRACTOR shall maintain the background check records, and shall make the records available for review upon request. Upon review of these records, the STATE reserves the right to request additional background information.

5. Liability Insurance and Certificates

The CONTRACTOR shall maintain in full force and effect, during the life of this contract, liability and property damage insurance. This insurance shall protect the CONTRACTOR and his subcontractors, if any, from claims for damages for personal injury, accidental death and property damage which may arise from operations under this contract, whether such operations be by himself or by a subcontractor or anyone directly or indirectly employed by either of them. If any subcontractor is involved in the performance of the contract, the insurance policy or policies shall name the subcontractor as additional insured.

As an alternative to the CONTRACTOR providing insurance to cover operations performed by a subcontractor and naming the subcontractor as additional insured, CONTRACTOR may require subcontractor to provide its own insurance which meets the requirements herein. It is understood that a subcontractor's insurance policy(ies) are in addition to the CONTRACTOR's own policy or policies.

The following minimum insurance coverage(s) and limit(s) shall be provided by the CONTRACTOR, including its subcontractor(s) where appropriate:

<u>Coverage</u>	<u>Limits</u>
General Liability, Commercial (Occurrence Form) occurrence damage	\$2,000,000 aggregate \$1,000,000 combined single limit per for bodily injury and property damage
Automobile Liability Combined Single Limit	\$1,000,000 per accident
Professional Liability Insurance	\$1,000,000 per claim and \$2,000,000 per annual aggregate

General liability and automobile liability policies required by this contract, including a subcontractor's policy, shall contain the following clauses:

- 1) "It is agreed that any insurance maintained by the State of Hawaii will apply in excess of, and not contribute with, insurance provided by this policy."
- 2) "The State of Hawaii is added as an additional insured as respects to operations performed for the State of Hawaii."

The minimum insurance required shall be in full compliance with the Hawaii Insurance Code throughout the entire term of the contract, including supplemental agreements. Each insurance policy shall be written by 1) an insurance company licensed to do business in the State of Hawaii, or 2) if not licensed by the State of Hawaii, an insurance company which meets §431:8-301, Hawaii Revised Statutes.

Upon execution of the contract, the CONTRACTOR agrees to deposit with the HIDOE certificate(s) of insurance necessary to satisfy the HIDOE that the insurance provisions of this contract have been complied with and to keep such insurance in effect and the certificate(s) therefore on deposit with the HIDOE during the entire term of this contract, including those of its subcontractor(s), where appropriate. Upon request by the HIDOE, CONTRACTOR shall be responsible for furnishing a copy of the policy(ies).

Failure of the CONTRACTOR to provide and keep in force such insurance shall be regarded as material default under this contract, entitling the HIDOE to exercise any or all of the remedies provided herein.

The procuring of such required insurance shall not be construed to limit CONTRACTOR's liability hereunder nor to fulfill the indemnification provisions and requirements of this contract. Notwithstanding said policy(ies) of insurance, CONTRACTOR shall be obligated for the full and total amount of any damage, injury, or loss caused by the CONTRACTOR, its employees, officers, or agents, in connection with this Contract.

CONTRACTOR shall notify the STATE, via written notice within twenty-four (24) hours should any of the insurance policies evidenced on its Certificate of Insurance form be cancelled, limited in scope, or not renewed upon expiration.

6. Invoicing

The Offeror shall submit an invoice with each request for payment. Original and one (1) copy of the invoice shall be submitted to:

Hawaii Department of Education
Assessment Section
641 18th Avenue, #V102
Honolulu, Hawaii 96816

All invoices shall reference the Contract number. If a copy is submitted as the original, such invoice must bear an original signature certifying that the invoice is being submitted as the original.

7. Payment

Section 103-10, HRS, provides that the HIDOE shall have thirty (30) calendar days after receipt of an accepted invoice and satisfactory delivery of goods or performance of the services, to make payment. For this reason, the HIDOE shall reject any Proposal submitted with a condition requiring payment within a shorter period. Further, the HIDOE shall reject any Proposal submitted with a condition requiring interest payments greater than that allowed by section 103-10, HRS. The HIDOE will not recognize any requirements established by the Offeror and communicated to

the HIDEOE after award of the contract, which requires payment within a shorter period or interest payment not in conformance with section 103-10, HRS.

8. Final Payment

The final payment on the contract shall be for services rendered during the billing period just prior to the contract expiration date. In addition to the requirements in the General Conditions, the following shall accompany the final payment invoice:

A tax clearance certificate, not over two months old and with an original green "certified copy" stamp, must accompany the invoice for final payment. In addition to the tax clearance certificate, the "Certification of Compliance for Final Payment" (DOE Form-22) with an original signature will be required for final payment.

In lieu of the above, CONTRACTOR may also submit an original CERTIFICATE OF VENDOR COMPLIANCE as issued by the State Procurement Office via an online system, also referred to as "Hawaii Compliance Express". Details regarding this online application process can be viewed at: <http://vendors.ehawaii.gov/hce/>.

All required certificate(s) for the Contractor and all subcontractors, must accompany the invoice for final payment on the Contract.

9. Multi-Term Contract

Funds are available for only the initial term of the contract. Contractual obligation of both parties in each fiscal period succeeding the first is subject to the appropriation and availability of funds. Unit price shall be given for each good or service and that unit prices shall be the same throughout the contract except to the extent price adjustment is allowed. A multi-term contract will be cancelled if funds are not appropriated or otherwise made available to support continuation of performance in any fiscal period succeeding the initial term of the contract and contractor will be reimbursed the unamortized reasonably incurred, nonrecurring costs; however, this does not affect either party's rights under any termination clause of the contract. The State will notify the contractor on a timely basis that the funds are, or are not, available for the continuation of the contract for each succeeding fiscal period.

10. §103D-309 Contract not binding unless funds available

(a) [Repeal and reenactment on June 30, 2012. L 2010, c 187, §12.] Contracts awarded pursuant to section 103D-302, 103D-303, or 103D-306, shall neither be binding nor have any force and effect of law unless the comptroller, the director of finance of a county, or the respective chief financial officers of the department of education, the judiciary, or the legislative branches of the State or county, as the case may be, endorses thereon a certificate that there is an appropriation or balance of an appropriation over and above all outstanding contracts, sufficient to cover the amount required by the contract; provided that if the contract is a multi-term contract, the comptroller, director of finance, or chief financial officer shall only be required to certify that there is an appropriation or balance of an appropriation over and above all outstanding contracts, that is sufficient to cover the amount required to be paid under the contract during the fiscal year or remaining portion of the fiscal year of each term of the multi-year contract; provided further that the administrator of the state procurement office shall attest in writing to any recommendation or solicitations. This section shall not apply to any contract under which the total amount to be paid to the contractor cannot be accurately estimated at the time the contract is to be awarded, or to any contract for which consideration is in kind or forbearance, or to any contract awarded pursuant to section 103D-306 that is a one-time payment through a purchase order, or to any contractual obligation approved by the governor under section 37-40.

(b) In any contract involving not only state or county funds but supplemental funds from the federal government, this section shall be applicable only to that portion of the contract price as is payable out of state or county funds. As to the portion of the contract price as is expressed in the contract to be payable out of federal funds, the contract shall be construed to be an agreement to pay the portion to the contractor, only out of federal funds to be received from the federal government. This subsection shall be liberally construed so as not to hinder or impede the State in contracting for any project involving financial aid from the federal government.

(c) In any contract pursuant to section 264-33 involving not only state or county funds but supplemental funds from a utility, this section shall be applicable to that portion of the contract price payable out of state or county funds as well as that portion of the contract price payable out of funds from a utility, or payable out of state or county funds paid to a utility. The State or county may certify that there are sufficient funds for the utility's portion of the contract price if the amounts that a utility is obligated to pay under a legal agreement between the utility and the State, or a county, are sufficient to pay that portion of the contract price and the legal agreement:

(1) Includes a specific description of the utility's share of the payment and terms of that payment;

(2) Allows the State, county, or utility to provide progress payments or final payment based on the actual cost after a project is completed; and

(3) Provides that in the event the State, county, or utility is delinquent in payments under the legal agreement, the State, county, or utility shall be responsible for any and all additional costs attributable to such late payment.

Any such legal agreement shall be executed prior to the execution of the state or county contract and shall not jeopardize any federal, state, or county funds.

For the purposes of this subsection:

"Legal agreement" includes a utility agreement, memorandum of understanding, or memorandum of agreement.

"Utility" means a utility company or entity. [L Sp 1993, c 8, pt of §2; am L 1995, c 178, §13; am L 1999, c 149, §15; am L 2010, c 140, §1 and c 187, §3]

11. Availability of Funds

This contract is subject to the availability of funds. Pursuant to Section 103D-309, HRS, except in certain instances, no contract entered into between the STATE and the CONTRACTOR shall be binding or of any force unless the Chief Financial Officer (CFO) certifies that there is an available unexpended appropriation or balance of an appropriation over and above all outstanding contracts sufficient to cover the amount required by the contract.

If the contract calls for performance or payment in more than one fiscal year (July 1 to June 30), the CFO may certify only that portion of the total funds allocated to satisfy the STATE's obligations for payments in the current fiscal year. In that event, the STATE will not be liable for the unpaid balance beyond the end of the current fiscal year, and availability of funds in excess of the amount certified shall be contingent upon future appropriations or special fund revenues. All partially-funded contracts shall be enforceable only to the extent that funds are certified as available. The STATE agrees to notify the CONTRACTOR of such non-allocation at the earliest possible time. The STATE shall not be penalized in the event this provision is exercised. This

provision is not meant to permit the STATE to terminate the contract in order to acquire similar equipment or services from a third party.

12. Subcontracting

Prior to award of the contract, no work or services shall be subcontracted or assigned without the prior written approval of the CA. After award of the contract, no work or services shall be subcontracted or assigned without the prior written approval of the CA. No subcontract shall under any circumstances relieve the CONTRACTOR of its obligations and liability under its Contract with the HIDEOE. All persons engaged in performing the work covered by the Contract shall be considered employees of the CONTRACTOR.

13. Contract Staffing Requirements

Personnel, whose names and resumes are submitted in the Proposal, shall not be removed from the project without prior approval of the CA. Substitute or additional personnel shall not be used for the project until a resume is received and approved by the CA. The HIDEOE shall have the right, and the CONTRACTOR shall comply with any request, to remove and replace any personnel from all work on the project effective immediately upon notification by the HIDEOE. Personnel changes that are not approved by the CA may be grounds for Contract termination.

14. Exclusion of Specific Workers

The STATE reserves the right to require the CONTRACTOR to remove an employee, agent, subcontractor or volunteer (Worker) from performing work under this contract. The Contract Administrator shall notify the CONTRACTOR in writing and this exclusion of a specific Worker(s) shall take effect as indicated on the notice. The CONTRACTOR may appeal this decision to the Contract Administrator, in writing within ten (10) working days of receipt of the notice. Removal of the employee, agent, subcontractor or volunteer shall remain in effect pending the outcome of the appeal. This provision shall not infringe upon the right of the CONTRACTOR to employ the removed individual, but shall apply to any work requiring interaction with the HIDEOE, its employees or students.

15. Inspection and Procedural Changes; Relief Available to State

All work is subject to inspection, evaluation, and approval by the CA. The HIDEOE may employ all reasonable means to ensure that the work is being performed in compliance with the contract. Should the CA determine that corrections or changes are necessary in order to accomplish the intent or purpose of the contract, the CA may direct the CONTRACTOR to make such changes.

Failure of the CONTRACTOR to perform any provisions of the Contract (based on the identified portion of unacceptable work received) the HIDEOE may determine CONTRACTOR is in non-compliance with Contract requirements and may:

- 15.1 Suspend Payments – Temporarily withhold or disallow all or part of the billing cost/payments pending correction of a deficiency or a non-submission of a required deliverable by the Contractor.
- 15.2 Seek Reimbursement – Seek reimbursement from the Contractor or withhold future payments for any funds paid to the Contractor subsequent to a determination that such was unauthorized, fraudulently obtained, or inappropriately billed.
- 15.3 Seek Market Value – In the event the Contractor fails, refuses or neglects to perform the services in accordance with the requirements of these Special Conditions, the Scope of Services or the

General Conditions, the State reserves the right to purchase, in the open market, a corresponding quantity of the services specified herein and to deduct from any monies due or that may thereafter become due to the Contractor, the difference between the price named in the Contract and the actual cost to the State. In case any money due the Contractor is insufficient for said purpose, the Contractor shall pay the difference upon demand from the State. The State may also utilize all other remedies provided by law.

16. Confidentiality

The following serves to supplement provision 24 of the General Condition, entitled "Confidentiality of Material" and provision 42, entitled "Confidentiality of Personal Information":

- 16.1 Obligations Confidential Information: Infrastructure. The Offeror must agree to keep confidential and not disclose any information relating to the State's information processing infrastructure. This includes but is not limited to, all data, computer hardware, computer software, network designs, network diagrams, firewalls and other security infrastructure, and Internet protocol (IP) addresses.
- 16.2 General Confidentiality Obligations. While performing under this Agreement, the Contractor may receive, be exposed to or acquire confidential information. Such information may include names, addresses, telephone numbers, birthdates, social security numbers, medical information, and other educational, student, or personal employment information. The information may be in written or oral form, fixed in hard copy or contained in a computer data base or computer readable form. Hereinafter, such language shall be collectively referred to as "Confidential Information."

The Contractor, including its employees, agents, representatives, and assigns shall abide by the following with regards to Confidential Information:

- (i) **They shall not disclose to any unauthorized party any Confidential Information, except as specifically permitted by the HIDOE and subject to the State's limitations on confidentiality of information and relevant legal requirements of the State to include, but not limited to the Family Educational Rights and Privacy Act ("FERPA"). Permission will be granted through a formal written agreement concerning the disclosure of personally identifiable information (PII) from student education records, signed by HIDOE and the CONTRACTOR, and must be provided as an attachment to this contract;**
- (ii) **They shall only permit access to Confidential Information to employees, agents, representatives, and assigns having a specific need to know in connection with performance under this Agreement; and**
- (iii) **They shall advise each of their employees, agents, representatives, and assigns of their obligations to keep such Confidential Information confidential.**

Contractor, its employees, agents, representatives, or assigns shall ensure the security of the Confidential Information. The Contractor shall provide the HIDOE with a list of individuals (by name and position) who are authorized to handle the Confidential Information (hereinafter referred to as "Authorized Handlers"). Authorized Handlers shall ensure the security of the Confidential Information. Only Authorized Handlers shall have access to the Confidential Information, which will be kept on password protected computers with the hard copy documents kept in a locked file cabinet. Contractor shall ensure that procedures exist to prohibit access to the Confidential Information by anyone other than an Authorized Handler.

Contractor will be responsible for safeguarding the confidentiality of all Confidential Information it receives from the HIDOE and shall safeguard and protect such documents from unauthorized use, handling, or viewing. Contractor shall be liable to the HIDOE and to any person whose records the Contractor receives custody of under this Contract for records protection for any unpermitted release, viewing, or loss of such records. The

Contractor shall assume liability responsibility for records protection and for the inappropriate or unlawful release of Confidential Information. The Contractor shall return all documents containing Confidential Information upon completion of the services Contractor is contracted to provide under this Agreement.

- 16.3 Prior Written Approval. The Contractor may not i) share Confidential Information or any other data received under this Contract, ii) publish, or iii) distribute such information without the prior written approval of the State.
- 16.4 In the event of termination of this Contract, Contractor shall return to the State all student information received under this Contract and further agrees to destroy any and all copies of, or references to, any student information shared by State as a result of this Contract.

17. Approvals

Any agreement arising out of this RFP may be subject to the approval of the Department of the Attorney General as to form, and is subject to all further approvals, including the approval of the Governor, required by statute, regulation, rule, order, or other directive.

Exhibit B5a Montana Standard Terms and Conditions

(7/17)

ACCESS AND RETENTION OF RECORDS: Contractor agrees to provide the department, Legislative Auditor, or their authorized agents, access to any records necessary to determine contract compliance. (Section 18-1-118, MCA). Contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of eight years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the State of Montana or third party.

ASSIGNMENT, TRANSFER AND SUBCONTRACTING: Contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the department. (Section 18-4-141, MCA.)

AUTHORITY: The attached bid, request for proposal, limited solicitation, or contract is issued under authority of Title 18, Montana Code Annotated, and the Administrative Rules of Montana, Title 2, chapter 5.

COMPLIANCE WITH LAWS: Contractor shall, in performance of work under this Contract, fully comply with all applicable federal, state, or local laws, rules, regulations, and executive orders including but not limited to, the Montana Human Rights Act, the Equal Pay Act of 1963, the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Contractor is the employer for the purpose of providing healthcare benefits and paying any applicable penalties, fees and taxes under the Patient Protection and Affordable Care Act [P.L. 111-148, 124 Stat. 119]. Any subletting or subcontracting by Contractor subjects subcontractors to the same provisions. In accordance with 49-3-207, MCA, and Executive Order No. 04-2016 Contractor agrees that the hiring of persons to perform this Contract will be made on the basis of merit and qualifications and there will be no discrimination based on race, color, sex, pregnancy, childbirth or medical conditions related to pregnancy or childbirth, political or religious affiliation or ideas, culture, creed, social origin or condition, genetic information, sexual orientation, gender identity or expression, national origin, ancestry, age, disability, military service or veteran status, or marital status by the persons performing this Contract.

CONFORMANCE WITH CONTRACT: No alteration of the terms, conditions, delivery, price, quality, quantities, or specifications of the contract shall be granted without the State Procurement Bureau's prior written consent. Product or services provided that do not conform to the contract terms, conditions, and specifications may be rejected and returned at Contractor's expense.

DEBARMENT: Contractor certifies, by submitting this bid or proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If Contractor cannot certify this statement, attach a written explanation for review by the State.

DISABILITY ACCOMMODATIONS: The State does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals who need aids, alternative document formats, or services for effective communications or other

disability related accommodations in the programs and services offered are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

FORCE MAJEURE: Neither party is responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the nonperforming party, so long as such party uses its best efforts to remedy such failure or delays. A party affected by a force majeure condition shall provide written notice to the other party within a reasonable time of the onset of the condition. In no event, however, shall the notice be provided later than 5 working days after the onset. If the notice is not provided within the 5-day period, then a party may not claim a force majeure event. A force majeure condition suspends a party's obligations under this contract, unless the parties mutually agree that the obligation need not be performed because of the condition.

HOLD HARMLESS/INDEMNIFICATION: Contractor agrees to protect, defend, and save the State, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of Contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of Contractor and/or its agents, employees, representatives, assigns, subcontractors, except the sole negligence of the State, under this agreement.

INTELLECTUAL PROPERTY: All patents and other legal rights in or to inventions created in whole or in part under the contract must be available to the State for royalty-free and nonexclusive licensing. Both parties shall have a royalty-free, nonexclusive, and irrevocable right to reproduce, publish or otherwise use and authorize others to use, copyrightable property created under the contract.

LIMITATION OF LIABILITY: Contractor's liability for Contract damages is limited to direct damages and further to no more than twice the Contract amount. Contractor shall not be liable for special, incidental, consequential, punitive, or indirect damages. Damages caused by injury to persons or tangible property, or related to intellectual property indemnification, are not subject to a cap on the amount or type of damages.

NONCOMPLIANCE WITH DEPARTMENT OF ADMINISTRATION REQUIREMENTS: The Department of Administration, under the provisions of 2-17-514, MCA, retains the right to cancel or modify any contract, project, or activity that is not in compliance with the Department's Plan for Information Technology, State Strategic Plan for Information Technology, or any Statewide IT policy or standard in effect as of the date of contract execution. In the event of such termination, State will pay for products and services delivered to date and any applicable termination fee specified in the statement of work or work order. Any modifications to this Contract must be mutually agreed to by the parties.

PATENT AND COPYRIGHT PROTECTION: If a third party makes a claim against the State that the products furnished under this purchase order infringe upon or violate any patent or copyright, the State shall promptly notify Contractor. Contractor shall defend such claim in the State's name or its own name, as appropriate, but at Contractor's expense. Contractor shall indemnify the State against all costs, damages, attorney fees, and all other costs and expenses

of litigation that accrue as a result of such claim. If the State reasonably concludes that its interests are not being properly protected, or if principles of governmental or public law are involved, it may enter any action.

PAYMENT TERM: All payment terms will be computed from the date of delivery of supplies or services OR receipt of a properly executed invoice, whichever is later. Unless otherwise noted in the solicitation document, the State is allowed 30 days to pay such invoices. All contractors will be required to provide banking information at the time of contract execution in order to facilitate State electronic funds transfer payments.

REDUCTION OF FUNDING: State must by law terminate this Contract if funds are not appropriated or otherwise made available to support State's continuation of performance of this Contract in a subsequent fiscal period. (18-4-313(4), MCA) If state or federal government funds are not appropriated or otherwise made available through the state budgeting process to support continued performance of this Contract (whether at an initial contract payment level or any contract increases to that initial level) in subsequent fiscal periods, State shall terminate this Contract as required by law. State shall provide Contractor the date State's termination shall take effect. State shall not be liable to Contractor for any payment that would have been payable had the Contract not been terminated under this provision. As stated above, State shall be liable to Contractor only for the payment, or prorated portion of that payment, owed to Contractor up to the date State's termination takes effect. This is Contractor's sole remedy. State shall not be liable to Contractor for any other payments or damages arising from termination under this section, including but not limited to general, special, or consequential damages such as lost profits or revenues.

REFERENCE TO CONTRACT: The contract or purchase order number MUST appear on all invoices, packing lists, packages, and correspondence pertaining to the contract.

REGISTRATION WITH THE SECRETARY OF STATE: Any business intending to transact business in Montana must register with the Secretary of State. Businesses that are domiciled in another state or country, but which are conducting activity in Montana, must determine whether they are transacting business in Montana in accordance with sections 35-1-1026 and 35-8-1001, MCA. Such businesses may want to obtain the guidance of their attorney or accountant to determine whether their activity is considered transacting business.

If businesses determine that they are transacting business in Montana, they must register with the Secretary of State and obtain a certificate of authority to demonstrate that they are in good standing in Montana. To obtain registration materials, call the Office of the Secretary of State at (406) 444-3665, or visit their website at <http://sos.mt.gov>.

SEVERABILITY CLAUSE: A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

SHIPPING: Supplies shall be shipped prepaid, F.O.B. Destination, unless the contract specifies otherwise.

TAX EXEMPTION: State of Montana is exempt from Federal Excise Taxes (#81-0302402) except as otherwise provided in the federal Patient Protection and Affordable Care Act [P.L. 111-148, 124 Stat. 119].

TECHNOLOGY ACCESS FOR BLIND OR VISUALLY IMPAIRED: Contractor acknowledges that no state funds may be expended for the purchase of information technology equipment and software for use by employees, program participants, or members of the public unless it provides blind or visually impaired individuals with access, including interactive use of the equipment and services, that is equivalent to that provided to individuals who are not blind or visually impaired. (Section 18-5-603, MCA.)

TERMINATION OF CONTRACT: Unless otherwise stated, the State may, by written notice to Contractor, terminate the contract in whole or in part at any time Contractor fails to perform the contract.

U.S. FUNDS: All prices and payments must be in U.S. dollars.

VENUE: This solicitation is governed by the laws of Montana. The parties agree that any litigation concerning this bid, request for proposal, limited solicitation, or subsequent contract, must be brought in the First Judicial District in and for the County of Lewis and Clark, State of Montana, and each party shall pay its own costs and attorney fees. (Section 18-1-401, MCA.)

WARRANTY FOR SERVICES: Contractor warrants that it performs all services using reasonable care and skill and according to its current description (including any completion criteria) contained in this contract. State agrees to provide timely written notice of any failure to comply with this warranty so that Contractor can take corrective action.

WARRANTY FOR SOFTWARE: For a period of ninety (90) days from the date of receipt of software, Contractor warrants that: (i) the unmodified software will provide the features and functions, and will otherwise conform to all published documentation including on Contractor's website; and (ii) the media upon which the software is furnished will be free from defects in materials and workmanship under normal use and service.

WARRANTY FOR HARDWARE: Contractor warrants that hardware provided is free from defects in materials and workmanship and conforms to the specifications. The warranty period for provided hardware is a fixed period commencing on the date specified in a statement of work or applicable contract. If the hardware does not function as warranted during the warranty period and Contractor is unable to either: i) make it do so; or ii) replace it with one that is at least functionally equivalent, State may return it to Contractor for a full refund.

The parties agree that the warranties set forth above do not require uninterrupted or error-free operation of hardware or services unless otherwise stated in the specifications.

These warranties are the state's exclusive warranties and replace all other warranties or conditions, express or implied, including, but not limited to, the implied warranties or conditions of merchantability and fitness for a particular purpose.

Exhibit B5b
Montana Insurance Requirements:

REQUIRED INSURANCE

General Requirements. Contractor shall maintain for the duration of this Contract, at its cost and expense, insurance against claims for injuries to persons or damages to property, including contractual liability, which may arise from or in connection with the performance of the work by Contractor, agents, employees, representatives, assigns, or subcontractors. This insurance shall cover such claims as may be caused by any negligent act or omission.

Primary Insurance. Contractor's insurance coverage shall be primary insurance with respect to State, its officers, officials, employees, and volunteers and shall apply separately to each project or location. Any insurance or self-insurance maintained by State, its officers, officials, employees, or volunteers shall be excess of Contractor's insurance and shall not contribute with it.

Specific Requirements for Commercial General Liability. Contractor shall purchase and maintain occurrence coverage with combined single limits for bodily injury, personal injury, and property damage of \$1,000,000 per occurrence and \$2,000,000 aggregate per year to cover such claims as may be caused by any act, omission, or negligence of Contractor or its officers, agents, representatives, assigns, or subcontractors.

State, its officers, officials, employees, and volunteers are to be covered and listed as additional insureds for liability arising out of activities performed by or on behalf of Contractor, including the insured's general supervision of Contractor, products, and completed operations, and the premises owned, leased, occupied, or used.

Deductibles and Self-Insured Retentions. Any deductible or self-insured retention must be declared to and approved by State. At the request of State either: (1) the insurer shall reduce or eliminate such deductibles or self-insured retentions as respects State, its officers, officials, employees, or volunteers; or (2) at the expense of Contractor, Contractor shall procure a bond guaranteeing payment of losses and related investigations, claims administration, and defense expenses.

Certificate of Insurance/Endorsements. A certificate of insurance from an insurer with a Best's rating of no less than A- indicating compliance with the required coverages has been received by State Procurement Bureau, P.O. Box 200135, Helena, MT 59620-0135. *The certificates must name the State of Montana as certificate holder and Contractor shall provide copies of additional insured endorsements required by Contractor's commercial general liability and automobile liability policies.* Contractor must notify State immediately of any material change in insurance coverage, such as

changes in limits, coverages, change in status of policy, etc. State reserves the right to require complete copies of insurance policies at all times.

Specific Requirements for Cyber/Data Information Security Insurance. The Contractor shall purchase and maintain cyber/information security insurance coverage with combined single limits for each wrongful act of \$2,000,000 per occurrence to cover the unauthorized acquisition of personal acquisition such as social security numbers, credit card numbers, financial account information, or other information that uniquely identifies an individual and may be of a sensitive nature in accordance with §2-6-1501, MCA through §2-6-1503, MCA. If the Contractor maintains higher limits than the minimums shown above, the State requires and shall be entitled to coverage for the higher limits maintained by the Contractor. Any available insurance proceeds in excess of the specified minimum limits of insurance and coverage shall be available to the State. Such insurance must cover, at a minimum, privacy notification costs, credit monitoring, forensics investigations, legal fees/costs, regulatory fines and penalties, and third party liability settlements or judgements as may be caused by any act, omission, or negligence of the Contractor's officers, agents, representatives, assigns or subcontractors. Note: If occurrence coverage is unavailable or cost-prohibitive, the State will accept 'claims made' coverage provided the following conditions are met: 1) the retroactive date must be shown, and must be before the date of the contract or the beginning of contract work; 2) insurance must be maintained and evidence of insurance must be provided for at least three (3) years after completion of the contract of work; and 3) if coverage is canceled or non-renewed, and not replaced with another claims-made policy form with a retroactive date prior to the contract effective date, the Contractor must purchase "extended reporting" coverage for a minimum of three (3) years after completion of work.

EXHIBIT C1
WASHINGTON CONTRACTOR INTAKE FORM (COPY)
NOTE: MT will use the same information for internal purposes

This form is available as an editable Word document on [OSPI's contract website](#):

<http://www.k12.wa.us/RFP/default.aspx>

EXHIBIT C4

**STATE OF DELAWARE
Department of Education**

NON-COLLUSION STATEMENT

This is to certify that the undersigned Vendor has neither directly nor indirectly, entered into any agreement, participated in any collusion or otherwise taken any action in restraint of free competitive bidding in connection with this proposal, **and further certifies that it is not a sub-contractor to another Vendor who also submitted a proposal as a primary Vendor in response to this solicitation** submitted this date to the State of Delaware. Enter Agency Name _____

It is agreed by the undersigned Vendor that the signed delivery of this bid represents, subject to any express exceptions set forth at Attachment 3, the Vendor's acceptance of the terms and conditions of this solicitation including all specifications and special provisions.

NOTE: Signature of the authorized representative **MUST** be of an individual who legally may enter his/her organization into a formal contract with the State of Delaware. Enter Agency Name _____

COMPANY NAME _____ (Check one)

Corporation
Partnership
Individual

NAME OF AUTHORIZED REPRESENTATIVE _____
(Please type or print)

SIGNATURE _____ TITLE _____

COMPANY ADDRESS _____

PHONE NUMBER _____ FAX NUMBER _____

EMAIL ADDRESS _____

FEDERAL E.I. NUMBER _____ STATE OF DELAWARE LICENSE NUMBER _____

COMPANY CLASSIFICATIONS: CERT. NO.:	Certification type(s)	Circle all that apply	
		Minority Business Enterprise (MBE)	Yes
	Woman Business Enterprise (WBE)	Yes	No
	Disadvantaged Business Enterprise (DBE)	Yes	No
	Veteran Owned Business Enterprise (VOBE)	Yes	No
	Service Disabled Veteran Owned Business Enterprise (SDVOBE)	Yes	No

[The above table is for informational and statistical use only.]

PURCHASE ORDERS SHOULD BE SENT TO:
(COMPANY NAME) _____

ADDRESS _____

CONTACT _____

PHONE NUMBER _____ FAX NUMBER _____

EMAIL ADDRESS _____

AFFIRMATION: Within the past five years, has your firm, any affiliate, any predecessor company or entity, owner, Director, officer, partner or proprietor been the subject of a Federal, State, Local government suspension or debarment?
YES _____ NO _____ if yes, please explain _____

THIS PAGE SHALL HAVE ORIGINAL SIGNATURE, BE NOTARIZED AND BE RETURNED WITH YOUR PROPOSAL

SWORN TO AND SUBSCRIBED BEFORE ME this _____ day of _____, 20 _____

Notary Public _____ My commission expires _____

City of _____ County of _____ State of _____

EXHIBIT D
PROPOSAL CHECKLIST

Please use the checklist below to ensure that you have submitted all required materials in the required format. This checklist does not need to be submitted with your proposal.

Included in Proposal	Component	Required Format
<input type="checkbox"/>	Letter of Submittal	Hard copy with original signature
<input type="checkbox"/>	Technical Proposal	Hard copy version; electronic versions formatted to print same as hardcopy version
<input type="checkbox"/>	Management Proposal	Hard copy version; electronic versions formatted to print same as hard copy version
<input type="checkbox"/>	References	Hard copy version; electronic versions formatted to print same as hard copy version
<input type="checkbox"/>	Cost Proposal	Hard copy version; electronic versions formatted to print same as hard copy version
<input type="checkbox"/>	Certifications and Assurances	Hard copy with original signature; electronic versions formatted to print same as hard copy version
<input type="checkbox"/>	Contractor Intake Form	Hard copy with original signature of a person authorized to legally bind the Consultant to a contractual relationship
<input type="checkbox"/>	Washington State Business License (see Contractor Intake Form)	Paper copy

EXHIBIT E1
STATEWIDE REGISTRATION REQUIREMENTS

Receiving Payment from Washington State

Consultants awarded contracts as a result of this RFP will be required to register as a Statewide Vendor (SWV). The SWV file is a central vendor file maintained by the Office of Financial Management for use by Washington State agencies in processing vendor payments. This allows you, as a vendor, to receive payments from all participating state agencies by direct deposit, the State's preferred method of payment. Effective April 30, 2011, all OSPI Contractors are required to register as a Statewide Vendor. Participation in direct deposit is optional. For online registration, visit the [Department of Enterprise Services' website](#).

How do I register to receive payments?

- Complete the [Statewide Payee Registration Form](#).
- Please note that incomplete or illegible forms will be returned and may delay payments, so we recommend that you use the instructions and complete the form on line. Complete the ENTIRE form, even if you are only changing one aspect. This will help us verify your account and keep it current.
- If you need clarification for the W-9 section of the Registration, review the [General Instructions for the W-9](#).
- Print both pages. Sign the Deposit Authorization on page 1 if you have chosen direct deposit and sign the W-9 on page 2.
- Be sure to save a copy for your records.
- Please fax the signed forms to (360) 664-3363 or mail to:
Statewide Payee Desk
P.O. Box 41450
Olympia, WA 98504-1434

Note that we will need to create a NEW registration for you if you are changing:

- the LEGAL NAME by which you report to the IRS
- the EIN or the SSN for the legal name
- the IRS reporting type for the legal name (corporation, LLC, sole proprietor, etc.)

What are the benefits of direct deposit?

Direct deposit is recommended by the State of Washington because it:

- Reduces costs to payees of receiving, handling, and depositing paper checks.
- Reduces the risk of loss and delays from mailing errors and theft.
- Provides payees with an email or paper notification detailing the paying agency, all invoice/account numbers, and the dollar amounts in each day's deposits.
- Saves paper.

Questions

- Visit our [Frequently Asked Questions](#) webpage.
- Email the payeehelpdesk@watech.wa.gov.
- Call the Payee Help Desk at (360) 407-8180.

EXHIBIT F

Evaluation Criteria

RFP Evaluation Criteria and Rating System
 Rate each of the following criteria as follows: E – demonstrates excellent evidence of criterion; G – demonstrates good evidence of criterion; A – demonstrates adequate evidence of criterion; M – demonstrates minimal evidence of criterion; N demonstrates no evidence of criterion; NA – not applicable. The number of points associated with each rating is given beside the criterion.

Technical Proposal (maximum 300 points)

<i>Criteria</i>	E	G	A	M	N	NA
BIDDER provides a clear and specific outline of its test delivery platform, how it meets the specifications required, and the means for user management and acceptance testing.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its data management system and processes to support client needs for collection, clean-up and security.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its supports to district and schools for implementing test administration & security protocols.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its interfacing and support of client reporting needs and functionality.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its means of developing & fulfilling system documentation.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its plans and supports for training & accompanying modules.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its design and management of Help Desk support.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its plan to support client pilot & field testing.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its design & procedures to accomplish scoring (Hand- & Machine-Scored).	25	20	15	10	0	
BIDDER provides a clear and specific outline of its design & procedures to meet client needs to manage and administer the Interim Assessments.	25	20	15	10	0	
BIDDER provides a clear and specific outline of its process to develop and support practice & training tests.	25	20	15	10	0	

BIDDER provides a clear and specific outline of its procedure and supports of test & item development & management.	25	20	15	10	0	
--	-----------	-----------	-----------	-----------	----------	--

Management Plan (maximum 150 points)

<i>Criteria</i>	E	G	A	M	N	NA
BIDDER proposal provides a clear and specific outline demonstrating the adequacy of staffing and support to meet the objectives specified in the RFP.	25	20	15	10	0	
BIDDER proposal provides a clear and specific outline demonstrating BIDDER's capacity & experience to meet the objectives specified in the RFP.	25	20	15	10	0	
BIDDER proposal provides a clear and specific outline demonstrating BIDDER's plan and understanding of the project implementation needs & required timelines.	25	20	15	10	0	
BIDDER proposal provides a clear and specific outline demonstrating the requisite collaborative environment client desires from future vendor.	25	20	15	10	0	
BIDDER proposal provides a clear and specific outline demonstrating BIDDER's proposed Service Level Agreement reflects stated requirements for performance listed in the RFP.	25	20	15	10	0	
BIDDER proposal provides a clear and specific outline demonstrating BIDDER's understanding and procedures for managing escalation protocol and communications.	25	20	15	10	0	

Cost Proposal (maximum 150 points)

75 points will be awarded to the lowest proposed bid for the Common Element across the entirety of MAAC. Proposals with higher costs will receive a fraction of 100 points proportional to the ratio of the lowest cost. Fractional values will be rounded to one decimal place. (Costs submitted for the remaining elements will be considered by the pertinent MAAC members.)

Example: Lowest cost bid is \$50,000 and receives 100 points. The next lowest cost bid is \$75,000 and receives 66.7 points $\{(Low\ Bid \div High\ Bid) \times 100\}$.

A further 50 points (maximum) will be awarded to BIDDER based on the judgment of the evaluation process of the overall effectiveness to meet the bid. Points will be on a scale from 50 to 0.

An additional 25 points will be awarded to BIDDERS compliant in submitting the various cost information per the included forms. Points will be on a scale from 25 to 0.

Exhibit G

Smarter Balanced System Specifications

There are two main resource sites available to prospective vendors interested in learning more about Smarter Balanced:

1. The public Smarter Balance site
2. The SmarterApp site.

Smarter Balanced public website: <https://www.smarterbalanced.org/>

Key documents (with links are below).

- Assessment specifications
 - <http://www.smarterbalanced.org/assessments/development/>
 - <http://www.smarterbalanced.org/assessments/accessibility-and-accommodations/>
- Sample items
 - <http://sampleitems.smarterbalanced.org/>
- Practice and Training Tests
 - <http://www.smarterbalanced.org/assessments/practice-and-training-tests/>

Smarter Balanced Open Source Applications (SmarterApp): <http://www.smarterapp.org/>

Sample applications posted include:

- Single Sign-on Requirements - http://www.smarterapp.org/documents/Single_Sign-On_Requirements.pdf
- ISAAP Tool - <http://www.smarterapp.org/news/2018/05/29/ISAAPUpdate.html>
- Secure Browsers - <http://www.smarterapp.org/news/2018/04/25/SecureBrowsers.html>
- Test Results Transmission (TRT) format - <http://www.smarterapp.org/news/2017/05/09/TestResultTransmissionFormatUpdate.html>

Exhibit Ga



Smarter Balanced Assessment Consortium: Usability, Accessibility, and Accommodations Guidelines

Prepared with the assistance of the
National Center on Educational Outcomes

July 30, 2018



TABLE OF CONTENTS

TABLE OF CONTENTS.....	ii
Introduction.....	4
Intended Audience and Recommended Use.....	5
Smarter Balanced Assessment Design.....	5
Recognizing Access Needs in All Students.....	5
Structure of This Document.....	8
Section I: Smarter Balanced Universal Tools.....	9
What Are Universal Tools?.....	9
Embedded Universal Tools.....	9
Non-embedded Universal Tools.....	11
Section II: Smarter Balanced Designated Supports.....	13
What Are Designated Supports?.....	13
Who Makes Decisions About Designated Supports?.....	13
Embedded Designated Supports.....	13
Non-embedded Designated Supports.....	16
Section III: Smarter Balanced Accommodations.....	21
What Are Accommodations?.....	21
Who Makes Decisions About Accommodations?.....	21
Embedded Accommodations.....	22
Non-embedded Accommodations.....	24
Resources.....	28
Appendix A: Summary of Smarter Balanced Universal Tools, Designated Supports, and Accommodations.....	29
Appendix B: Research-based Lessons Learned about Universal Design, Accessibility Tools, and Accommodations.....	31
Appendix C: Frequently Asked Questions.....	34
Overview of FAQs.....	34
General FAQs.....	37
Universal Tools and Designated Supports FAQs (Available to All Students).....	43
FAQs Pertaining to English Learners (ELs).....	44
FAQs Pertaining to Students with Disabilities.....	46
Appendix D: Read Aloud Guidelines.....	49
Images/Graphics/Diagrams/Tables.....	55
From top to bottom.....	55



Usability, Accessibility, and Accommodations Guidelines

From left to right	56
Clockwise (Start wherever makes sense.).....	56
Tables	57
Appendix E: Scribing Protocol for Smarter Balanced Assessments	60
Considerations for students also using ASL or other sign system.....	63
Appendix F: Revision Log.....	65

INTRODUCTION

The Smarter Balanced Assessment Consortium (Smarter Balanced) strives to provide every student with a positive and productive assessment experience, generating results that are a fair and accurate estimate of each student's achievement. Further, Smarter Balanced is building on a framework of accessibility for **all** students, including English Learners (ELs), students with disabilities, and ELs with disabilities, but not limited to those groups. In the process of developing its next-generation assessments to measure students' knowledge and skills as they progress toward college and career readiness, Smarter Balanced recognized that the validity of assessment results depends on each and every student having appropriate universal tools, designated supports, and accommodations when needed based on the constructs being measured by the assessment. This document was developed for the Smarter Balanced members to guide the selection and administration of universal tools, designated supports, and accommodations.

The Smarter Balanced assessment is based on the Common Core State Standards (CCSS). Thus, the universal tools, designated supports, and accommodations that are appropriate for the Smarter Balanced assessment may be different from those that members allowed in the past. For the secure summative assessments, a member can only make available to students the universal tools, designated supports, and accommodations that are included in the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*. A member may elect **not to make available** to its students any universal tool, designated support, or accommodation that is otherwise included in the *Guidelines* when the implementation or use of the universal tool, designated support, or accommodation is in conflict with a member's law, regulation, or policy.

These *Guidelines* describe the Smarter Balanced universal tools, designated supports, and accommodations available for the Smarter Balanced assessments at this time (see Appendix A). The specific universal tools, designated supports, and accommodations approved by Smarter Balanced may change in the future if additional tools, supports or accommodations are identified for the assessment based on member experience and research findings. The Consortium has established a standing committee, including representatives from Governing members that review suggested additional universal tools, designated supports, and accommodations to determine if changes are warranted.

Proposed changes to the list of universal tools, designated supports, and accommodations are brought to Governing members for review, input, and vote for approval. Furthermore, members may issue temporary approvals (i.e., one summative assessment administration) for individual unique student accommodations or designated supports. K-12 Leads will evaluate formal requests for unique accommodations/designated supports and determine whether or not the request poses a threat to the measurement of the construct. Upon issuing a temporary approval, the member will send documentation of the approval to the Consortium. The Consortium will consider all members' approved temporary accommodations/designated supports as part of the annual Consortium UAAG review process. If the Consortium determines it requires additional time to study the issue before the Consortium can engage in a vote, a member may notify the Consortium that the member intends to issue temporary approvals for the same accommodation/designated support during the next summative assessment administration. Members should include in their notification to the Consortium the intended use of the temporary accommodation/support and the rationale for issuing temporary authorizations for the next summative assessment administration. The Consortium will provide to members a list of the temporary accommodations/designated supports issued by members that are not Consortium approved accommodations/designated supports and cannot be authorized for the next summative assessment administration.

INTENDED AUDIENCE AND RECOMMENDED USE

The Smarter Balanced Assessment Consortium's *Usability, Accessibility, and Accommodations Guidelines* are intended for school-level personnel and decision-making teams, particularly Individualized Education Program (IEP) teams, as they prepare for and implement the Smarter Balanced assessment. The *Guidelines* provide information for classroom teachers, English development educators, special education teachers, and related services personnel to use in selecting and administering universal tools, designated supports, and accommodations for those students who need them. The *Guidelines* are also intended for assessment staff and administrators who oversee the decisions that are made in instruction and assessment.

The *Smarter Balanced Guidelines* apply to **all** students. They emphasize an individualized approach to the implementation of assessment practices for those students who have diverse needs and participate in large-scale content assessments. This document focuses on universal tools, designated supports, and accommodations for the Smarter Balanced content assessments of English language arts (ELA)/literacy and mathematics (math). At the same time, it supports important instructional decisions about accessibility and accommodations for students who participate in the Smarter Balanced assessments. It recognizes the critical connection between accessibility and accommodations in instruction and accessibility and accommodations during assessment. The *Guidelines* also are supported by the *Smarter Balanced Test Administration Manual (TAM)*.

SMARTER BALANCED ASSESSMENT DESIGN

The Smarter Balanced Assessment Consortium has developed a system of valid, reliable, and fair next-generation assessments aligned to the CCSS in English language arts/literacy and mathematics for grades 3-8 and 11. The system includes summative assessments for accountability purposes, optional interim assessments for local use, and formative tools and processes for instructional use. Computer adaptive testing technologies are used for the summative and interim assessments to provide meaningful feedback and actionable data that teachers and other stakeholders can use to help students succeed. For more information, visit www.smarterbalanced.org/smarter-balanced-assessments/.

RECOGNIZING ACCESS NEEDS IN ALL STUDENTS

All students (including students with disabilities, ELs, and ELs with disabilities) are to be held to the same expectations for participation and performance on Smarter Balanced assessments. Specifically, all students enrolled in grades 3-8 and 11 are required to participate in the Smarter Balanced mathematics assessment except:

- Students with the most significant cognitive disabilities who meet the criteria for the mathematics alternate assessment based on alternate achievement standards (approximately 1% or fewer of the student population).

All students enrolled in grades 3-8 and 11 are required to participate in the Smarter Balanced English language arts/literacy assessment except:

- Students with the most significant cognitive disabilities who meet the criteria for the English language arts/literacy alternate assessment based on alternate achievement standards (approximately 1% or fewer of the student population).
- ELs who are enrolled for the first year in a U.S. school. These students instead participate in their required English language proficiency assessment.

Federal laws governing student participation in assessments must meet the requirements of the Every Student Succeeds Act (ESSA) of 2016, the Individuals with Disabilities Education Improvement Act of 2004 (IDEA), and Section 504 of the Rehabilitation Act of 1973 (reauthorized in 2008).

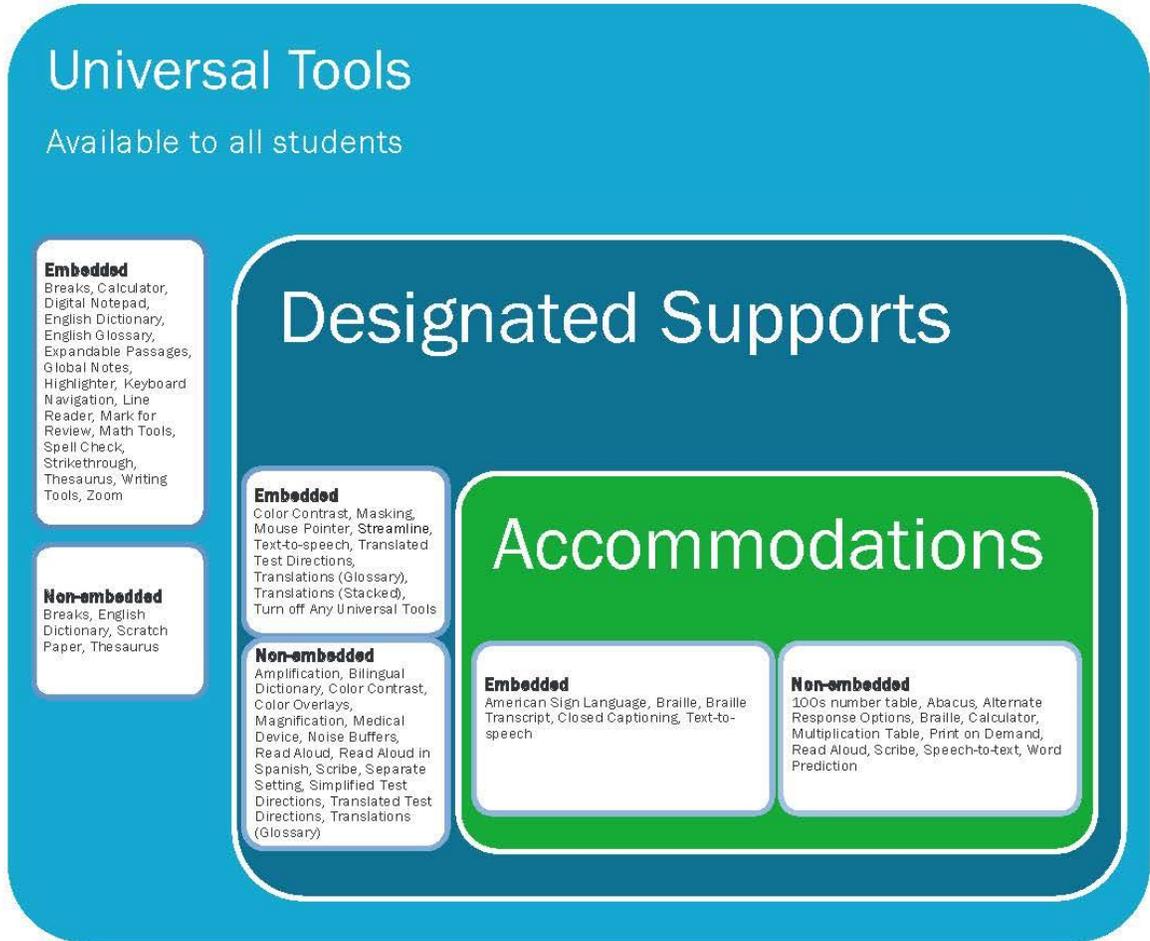
Recognizing the diverse characteristics and needs of students who participate in the Smarter Balanced assessments, the Smarter Balanced members worked together through the Smarter Balanced Test Administration and Student Access Work Group to develop an *Accessibility and Accommodations Framework* that guided the consortium as it worked to reach agreement on the specific tools, supports, and accommodations available for the assessment. The Work Group also considered research-based lessons learned about universal design, accessibility tools, and accommodations (see Appendix B).

The conceptual model that serves as the basis for the *Usability, Accessibility, and Accommodations Guidelines* is shown in Figure 1. This figure portrays several aspects of the Smarter Balanced assessment features – universal tools (available for all students), designated supports (available when indicated by an adult or team), and accommodations (available when need is documented in an Individualized Education Program (IEP) or 504 plan). It also portrays the additive and sequentially-inclusive nature of these three aspects. Universal tools are available to all students, including those receiving designated supports and those receiving accommodations. Designated supports are available to students for whom the need has been indicated by an educator (or team of educators with parent/guardian and student). Accommodations are available only to those students with documentation of the need through a formal IEP or 504 plan. Those students also may use designated supports and universal tools.

A universal tool for one content focus may be an accommodation for another content focus (see, for example, calculator). Similarly, a designated support may also be an accommodation, depending on the content target (see, for example, scribe). This approach is consistent with the emphasis that Smarter Balanced has placed on the validity of assessment results coupled with access. Universal tools, designated supports, and accommodations all yield valid scores that count as participation in assessments that meet the requirements of ESSA when used in a manner consistent with the *Guidelines*.

Also, as shown in Figure 1, for each category of assessment features – universal tools, designated supports, and accommodations – there exists both embedded and non-embedded versions of the tools, supports, or accommodations depending on whether they are provided as digitally-delivered components of the test administration system or separate from it.

Figure 1: Conceptual Model Underlying the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*.



The Conceptual Model recognizes that all students should be held to the same expectations for instruction in CCSS and have available to them universal accessibility features. It also recognizes that some students may have certain characteristics and access needs that require the use of accommodations for instruction and when they participate in the Smarter Balanced assessments.

These *Guidelines* present the current universal tools, designated supports, and accommodations adopted by the Smarter Balanced members to ensure valid assessment results for all students taking its assessments.

STRUCTURE OF THIS DOCUMENT

This document is divided into several parts:

- **Introduction:** This section introduces the document and the conceptual model that is the basis for the universal tools, designated supports, and accommodations in the *Guidelines*.
- **Section I:** This section features the universal tools available on Smarter Balanced assessments.
- **Section II:** This section features the designated supports available on Smarter Balanced assessments.
- **Section III:** This section features the accommodations available on Smarter Balanced assessments.
- **Appendix A:** This appendix provides a summary list of Smarter Balanced's universal tools, designated supports, and accommodations.
- **Appendix B:** This appendix describes lessons learned from research on universal design, accessibility tools, and accommodations.
- **Appendix C:** This appendix provides Frequently Asked Questions.
- **Appendix D:** This appendix provides the Read Aloud Protocol (June 28, 2018).
- **Appendix E:** This appendix provides the Scribing Protocol (June 28, 2018).
- **Appendix F:** This appendix provides a Revision Log that lists all changes to this document by section, page, description, date, and version.

SECTION I: SMARTER BALANCED UNIVERSAL TOOLS

WHAT ARE UNIVERSAL TOOLS?

Universal tools are accessibility resources of the assessment that are either provided as digitally-delivered components of the test administration system or separate from it. Universal tools are available to all students based on student preference and selection. The universal tools described in this section are not modifications. Universal tools all yield valid scores that count as participation in assessments that meet the requirements of ESSA when used in a manner consistent with the *Guidelines*.

EMBEDDED UNIVERSAL TOOLS

The Smarter Balanced digitally-delivered assessments include a wide array of embedded universal tools. These are available to all students as part of the technology platform.

Table 1 lists the embedded universal tools available to all students for computer administered Smarter Balanced assessments. It includes a description of each tool. Although these tools are available to all students, educators may determine that one or more might be distracting for a particular student, and thus might indicate that the tool should be turned off for the administration of the assessment to the student (see Section II – Designated Supports).

Table 1. Embedded Universal Tools Available to All Students

Universal Tool	Description
Breaks	The number of items per session can be flexibly defined based on the student’s need. Breaks of more than 20 minutes will prevent the student from returning to items already attempted by the student. There is no limit on the number of breaks that a student might be given. The use of this universal tool may result in the student needing additional overall time to complete the assessment.
Calculator (for calculator-allowed items only, grades 6-8 and 11) (See Non-embedded Accommodations for students who cannot use the embedded calculator)	An embedded on-screen digital calculator can be accessed for calculator-allowed items when students click on the calculator button. This tool is available only with the specific items for which the <i>Smarter Balanced Item Specifications</i> indicated that it would be appropriate. When the embedded calculator, as presented for all students, is not appropriate for a student (for example, for a student who is blind), the student may use the calculator offered with assistive technology devices (such as a talking calculator or a braille calculator).
Digital notepad	This tool is used for making notes about an item. The digital notepad is item-specific and is available through the end of the test segment. Notes are not saved when the student moves on to the next segment or after a break of more than 20 minutes.
English dictionary (for ELA performance task full writes)	An English dictionary is available for the full write portion of an ELA performance task. A full write is the second part of a performance task. The use of this universal tool may result in the student needing additional overall time to complete the assessment.

Universal Tool	Description
English glossary	Grade- and context-appropriate definitions of specific construct-irrelevant terms are shown in English on the screen via a pop-up window. The student can access the embedded glossary by clicking on any of the pre-selected terms. The use of this accommodation may result in the student needing additional overall time to complete the assessment.
Expandable passages	Each passage or stimulus can be expanded so that it takes up a larger portion of the screen.
Global notes (for ELA performance tasks)	Global notes is a notepad that is available for ELA performance tasks in which students complete a full write. A full write is the second part of a performance task. The student clicks on the notepad icon for the notepad to appear. During the ELA performance tasks, the notes are retained from segment to segment so that the student may go back to the notes even though the student is not able to go back to specific items in the previous segment.
Highlighter	A digital tool for marking desired text, item questions, item answers, or parts of these with a color. Highlighted text remains available throughout each test segment.
Keyboard navigation	Navigation throughout text can be accomplished by using a keyboard.
Line reader	The student uses an onscreen universal tool to assist in reading by raising and lowering the tool for each line of text on the screen.
Mark for review	Allows students to flag items for future review during the assessment. Markings are not saved when the student moves on to the next segment or after a break of more than 20 minutes.
Math tools	These digital tools (i.e., embedded ruler, embedded protractor) are used for measurements related to math items. They are available only with the specific items for which the <i>Smarter Balanced Item Specifications</i> indicate that one or more of these tools would be appropriate.
Spell check	Writing tool for checking the spelling of words in student-generated responses. Spell check only gives an indication that a word is misspelled; it does not provide the correct spelling. This tool is available only with the specific items for which the <i>Smarter Balanced Item Specifications</i> indicated that it would be appropriate. Spell check is bundled with other embedded writing tools for all performance task full writes (planning, drafting, revising, and editing). A full write is the second part of a performance task.
Strikethrough	Allows users to cross out answer options. If an answer option is an image, a strikethrough line will not appear, but the image will be grayed out.
Thesaurus (for ELA performance task full writes)	A thesaurus is available for the full write portion of an ELA/literacy performance task. A thesaurus contains synonyms of terms while a student interacts with text included in the assessment. A full write is the second part of a performance task. The use of this universal tool may result in the student needing additional overall time to complete the assessment.

Universal Tool	Description
Writing tools	Selected writing tools (i.e., bold, italic, bullets, undo/redo) are available for all student-generated responses. (Also see Spell check.)
Zoom	A tool for making text or other graphics in a window or frame appear larger on the screen. The default font size for all tests is 14 pt. The student can make text and graphics larger by clicking the <i>Zoom In</i> button. The student can click the <i>Zoom Out</i> button to return to the default or smaller print size. When using the zoom feature, the student only changes the size of text and graphics on the current screen. To increase the default print size of the entire test, the print size must be set for the student in the Administration and Registration Tool (ART), or member’s comparable platform, or set by the test administrator prior to the start of the test. This is the only feature that test administrators can set. The use of this universal tool may result in the student needing additional overall time to complete the assessment.

NON-EMBEDDED UNIVERSAL TOOLS

Some universal tools may need to be provided outside of the computer test administration system. These tools, shown in Table 2, are to be provided locally for those students. They can be made available to any student.

Table 2. Non-embedded Universal Tools Available to All Students

Universal Tool	Description
Breaks	Breaks may be given at predetermined intervals or after completion of sections of the assessment for students taking a paper-based test. Sometimes students are allowed to take breaks when individually needed to reduce cognitive fatigue when they experience heavy assessment demands. The use of this universal tool may result in the student needing additional overall time to complete the assessment.
English dictionary (for ELA performance task full writes)	An English dictionary can be provided for the full write portion of an ELA performance task. A full write is the second part of a performance task. The use of this universal tool may result in the student needing additional overall time to complete the assessment.
Scratch paper	Scratch paper to make notes, write computations, or record responses may be made available. Only plain paper or lined paper is appropriate for ELA. Graph paper is required beginning in sixth grade and can be used on all math assessments. A whiteboard with marker may be used as scratch paper. As long as the construct being measured is not impacted, assistive technology devices, including low-tech assistive technology (Math Window), are permitted to make notes, including the use of digital graph paper. The assistive technology device needs to be familiar to the student and consistent with the child's IEP or 504 plan. Access to internet must be disabled on assistive technology devices.

Universal Tool	Description
	<p>CAT: All scratch paper must be collected and securely destroyed at the end of each CAT assessment session to maintain test security. All notes on whiteboards or assistive technology devices must be erased at the end of each CAT session.</p> <p>Performance Tasks: For mathematics and ELA performance tasks, if a student needs to take the performance task in more than one session, scratch paper, whiteboards, and/or assistive technology devices may be collected at the end of each session, securely stored, and made available to the student at the next performance task testing session. Once the student completes the performance task, the scratch paper must be collected and securely destroyed, whiteboards should be erased, and notes on assistive technology devices erased to maintain test security.</p>
<p>Thesaurus (for ELA performance task full writes)</p>	<p>A thesaurus contains synonyms of terms while a student interacts with text included in the assessment. A full write is the second part of a performance task. The use of this universal tool may result in the student needing additional overall time to complete the assessment.</p>

Appendix A provides a summary of universal tools, designated supports, and accommodations (both embedded and non-embedded) available for the Smarter Balanced assessments.

SECTION II: SMARTER BALANCED DESIGNATED SUPPORTS

WHAT ARE DESIGNATED SUPPORTS?

Designated supports for the Smarter Balanced assessments are those features that are available for use by **any student** for whom the need has been indicated by an educator (or team of educators with parent/guardian and student). The designated supports described in this section are not modifications. Designated supports all yield valid scores that count as participation in assessments that meet the requirements of ESSA when used in a manner consistent with the *Guidelines*. It is recommended that a consistent process be used to determine these supports for individual students. All educators making these decisions should be trained on the process and should be made aware of the range of designated supports available. Smarter Balanced members have identified digitally-embedded and non-embedded designated supports for students for whom an adult or team has indicated a need for the support.

Designated supports need to be identified prior to assessment administration. Embedded and non-embedded supports must be entered into the Administration and Registration Tool (ART), or member’s comparable platform. Any non-embedded designated supports must be acquired prior to testing.

WHO MAKES DECISIONS ABOUT DESIGNATED SUPPORTS?

Informed adults make decisions about designated supports. Ideally, the decisions are made by all educators familiar with the student’s characteristics and needs, as well as those supports that the student has been using during instruction and for other assessments. Student input to the decision, particularly for older students, is also recommended.

The use of an *Individual Student Assessment Accessibility Profile (ISAAP)*, created and provided by Smarter Balanced, is one process that may be used to determine which designated supports should be available for an individual student. Schools may choose to use another decision-making process.

Regardless of the process used, all embedded designated supports must be activated prior to testing by entering information into the ART, or member’s comparable platform.

EMBEDDED DESIGNATED SUPPORTS

Table 3 lists the embedded designated supports available to all students for whom the need has been indicated. It includes a description of each support along with recommendations for when the support might be needed.

Table 3. Embedded Designated Supports

Designated Support	Description	Recommendations for Use
Color contrast	Enable students to adjust screen background or font color, based on student needs or preferences. This may include reversing the colors for the entire interface or choosing the color of font and background.	Students with attention difficulties may need this support for viewing test content. It also may be needed by some students with visual impairments or other print disabilities (including learning disabilities). Choice of colors should be informed by evidence that color selections meet the student’s needs.

Designated Support	Description	Recommendations for Use
Masking	Masking involves blocking off content that is not of immediate need or that may be distracting to the student. Students are able to focus their attention on a specific part of a test item by masking.	Students with attention difficulties may need to mask content not of immediate need or that may be distracting during the assessment. This support also may be needed by students with print disabilities (including learning disabilities) or visual impairments. Masking allows students to hide and reveal individual answer options, as well as all navigational buttons and menus.
Mouse pointer (Size and Color)	This embedded support allows the mouse pointer to be set to a larger size and also for the color to be changed. A test administrator sets the size and color of the mouse pointer prior to testing.	Students who are visually impaired and need additional enlargement or a mouse pointer in a different color to more readily find their mouse pointer on the screen will benefit from the mouse pointer support. Students who have visual perception challenges will also find this beneficial. The size and color are set during registration and cannot be changed during the administration of the assessment. Students should have ample opportunity to practice during daily instruction with the size and color to determine student preference. The mouse pointer can be used with the zoom universal tool. If students are using a magnification program (See Designated Support, magnification), the enlarged mouse pointer is built into magnification programs and mouse pointer may not be needed.
Streamline	This designated support provides a streamlined interface of the test in an alternate, simplified format in which the items are displayed below the stimuli.	This designated support may benefit a small number of students who have specific learning and/or reading disabilities and/or visual impairment in which the text is presented in a more sequential format. Students should have familiarity interacting with items in streamline format.
Text-to-speech (for math stimuli and items and ELA)	Text is read aloud to the student via embedded text-to-speech technology. The student is able to control the speed as well as raise or lower the volume of the voice via a volume control.	Students who are struggling readers may need assistance accessing the assessment by having all or portions of the assessment read aloud. This support also may be needed by students with reading-related disabilities, or by students who are blind and do not yet have

Designated Support	Description	Recommendations for Use
<p>items, not for reading passages)¹ (See Embedded Accommodations for ELA reading passages)</p>		<p>adequate braille skills. This support will likely be confusing and may impede the performance of students who do not regularly have the support during instruction. Students who use text-to-speech will need headphones unless tested individually in a separate setting.</p>
<p>Translated test directions (for math items)</p>	<p>Translation of test directions is a language support available prior to beginning the actual test items. Students can see test directions in another language. As an embedded designated support, translated test directions are automatically a part of the stacked translations designated support.</p>	<p>Students who have limited English language skills can use the translated directions support. This support should only be used for students who are proficient readers in the other language and not proficient in English.</p>
<p>Translations (glossaries) (for math items)</p>	<p>Translated glossaries are a language support. The translated glossaries are provided for selected construct-irrelevant terms for math. Translations for these terms appear on the computer screen when students click on them. Students with the language glossary setting enabled can view the translated glossary. Students can also select the audio icon next to the glossary term and listen to the audio recording of the glossary.</p>	<p>Students who have limited English language skills (whether or not designated as ELs or ELs with disabilities) can use the translation glossary for specific items. The use of this support may result in the student needing additional overall time to complete the assessment.</p>
<p>Translations (stacked) (for math items)</p>	<p>Stacked translations are a language support. Stacked translations are available for some students; stacked translations provide the full translation of each test item above the original item in English.</p>	<p>For students whose primary language is not English and who use dual language supports in the classroom, use of the stacked (dual language) translation may be appropriate. Students participate in the assessment regardless of the language. This support will increase reading load and cognitive load. The use of this support may result in the student needing additional overall time to complete the assessment.</p>

¹ See Embedded Accommodations for guidelines on the use of Text-to-speech for ELA reading passages.

Designated Support	Description	Recommendations for Use
Turn off any universal tools	Disabling any universal tools that might be distracting or that students do not need to use, or are unable to use.	Students who are easily distracted (whether or not designated as having attention difficulties or disabilities) may be overwhelmed by some of the universal tools. Knowing which specific tools may be distracting is important for determining which tools to turn off.

NON-EMBEDDED DESIGNATED SUPPORTS

Some designated supports may need to be provided outside of the digital-delivery system. These supports, shown in Table 4, are to be provided locally for those students unable to use the designated supports when provided digitally.

Table 4. Non-embedded Designated Supports

Designated Support	Description	Recommendations for Use
Amplification	The student adjusts the volume control beyond the computer's built in settings using headphones or other non-embedded devices.	Students may use amplification assistive technology (e.g., headphones, FM System, noise buffers, white noise machines) to increase the volume provided in the assessment platform. Use of this resource likely requires a separate setting. If the device has additional features that may compromise the validity of the test (e.g., internet access), the additional functionality must be deactivated to maintain test security.
Bilingual dictionary (for ELA performance task full writes)	A bilingual/dual language word-to-word dictionary is a language support. A bilingual/dual language word-to-word dictionary can be provided for the full write portion of an ELA performance task. A full write is the second part of a performance task.	For students whose primary language is not English and who use dual language supports in the classroom, use of a bilingual/dual language word-to-word dictionary may be appropriate. Students participate in the assessment regardless of the language. The use of this support may result in the student needing additional overall time to complete the assessment.
Color contrast	Test content of online items may be printed with different colors.	Students with attention difficulties may need this support for viewing the test when digitally-provided color contrasts do not meet their needs. Some students with visual impairments or other print

Designated Support	Description	Recommendations for Use
		<p>disabilities (including learning disabilities) also may need this support. Choice of colors should be informed by evidence of those colors that meet the student’s needs.</p>
<p>Color overlays</p>	<p>Color transparencies are placed over a paper-based assessment.</p>	<p>Students with attention difficulties may need this support to view test content. This support also may be needed by some students with visual impairments or other print disabilities (including learning disabilities). Choice of color should be informed by evidence of those colors that meet the student’s needs.</p>
<p>Magnification</p>	<p>The size of specific areas of the screen (e.g., text, formulas, tables, graphics, navigation buttons, and mouse pointer) may be adjusted by the student with an assistive technology device or software. Magnification allows increasing the size and changing of the color contrast, including the size and color of the mouse pointer, to a level not provided for by the zoom universal tool, color contrast designated support, and/or mouse pointer designated support.</p>	<p>Students used to viewing enlarged text or graphics, or navigation buttons with or without changes to color contrast, may need magnification to comfortably view content. This support also may meet the needs of students with visual impairments and other print disabilities. The use of this designated support may result in the student needing additional overall time to complete the assessment.</p>
<p>Medical device</p>	<p>Students may have access to an electronic device for medical purposes (e.g., Glucose Monitor). The device may include a cell phone, and should only support the student during testing for medical reasons.</p>	<p>Educators should follow local policies regarding medical devices and ensure students’ health is the highest priority. Device settings must restrict access to other applications or the test administrator must closely monitor the use of the device to maintain test security. Use of electronic devices requires a separate setting to avoid distractions to other test takers and to ensure test security.</p>
<p>Noise buffers</p>	<p>Ear mufflers, white noise, and/or other equipment used to block external sounds.</p>	<p>Student (not groups of students) wears equipment to reduce environmental noises. Students may have these testing variations if regularly used in the classroom. Students who use noise buffers will need headphones unless tested individually in a separate setting.</p>

Designated Support	Description	Recommendations for Use
<p>Read aloud (for math stimuli and items and ELA items, not for reading passages) (See Non-embedded Accommodations for ELA reading passages)</p>	<p>Text is read aloud to the student by a trained and qualified human reader who follows the administration guidelines provided in the <i>Smarter Balanced Test Administration Manual</i> and <i>Read Aloud Protocol</i> (see Appendix D). All or portions of the content may be read aloud.</p>	<p>Students who are struggling readers may need assistance accessing the assessment by having all or portions of the assessment read aloud. This support also may be needed by students with reading-related disabilities, or by students who are blind and do not yet have adequate braille skills. If not used regularly during instruction, this support is likely to be confusing and may impede the performance on assessments. Readers should be provided to students on an individual basis – not to a group of students. A student should have the option of asking a reader to slow down or repeat text. The use of this support may result in the student needing additional overall time to complete the assessment and/or the use of a separate setting.</p>
<p>Read aloud in Spanish (for mathematics, all grades)</p>	<p>Spanish text is read aloud to the student by a trained and qualified human reader who follows the administration guidelines provided in the <i>Smarter Balanced Test Administration Manual</i> and the <i>Read Aloud guidelines</i>. All or portions of the content may be read aloud.</p>	<p>Students receiving the translations (stacked) designated support and who are struggling readers may need assistance accessing the assessment by having all or portions of the assessment read aloud. This support also may be needed by students with reading-related disabilities. If not used regularly during instruction, this support is likely to be confusing and may impede the performance on assessments. A student should have the option of asking a reader to slow down or repeat text. The use of this support may result in the student needing additional overall time to complete the assessment and/or the use of a separate setting.</p>
<p>Scribe (for all items except ELA performance task full write) (See Accommodations for ELA performance task full write)</p>	<p>Students dictate their responses to a human who records verbatim what they dictate. The scribe must be trained and qualified, and must follow the administration guidelines provided in the <i>Smarter Balanced Test Administration Manual</i>.</p>	<p>Students who have documented significant motor or processing difficulties, or who have had a recent injury (such as a broken hand or arm) that make it difficult to produce responses may need to dictate their responses to a human, who then records the students' responses verbatim. The use of this support may result in the student needing additional overall time to complete the assessment.</p>

Designated Support	Description	Recommendations for Use
Separate setting	Test location is altered so that the student is tested in a setting different from that made available for most students.	Students who are easily distracted (or may distract others) in the presence of other students, for example, may need an alternate location to be able to take the assessment. The separate setting may be in a different room that allows them to work individually or among a smaller group. The student may read aloud to self, use a device requiring voicing (e.g., a Whisper Phone), or use Amplification. It may also include a calming device or support as recommended by educators and/or specialists. Or, the separate setting may be in the same room but in a specific location (for example, away from windows, doors, or pencil sharpeners, in a study carrel, near the teacher’s desk, or in the front of a classroom). Some students may benefit from being in an environment that allows for movement, such as being able to walk around. In some instances, students may need to interact with instructional or test content outside of school, such as in a hospital or their home. A specific adult, trained in a manner consistent with the TAM, can act as test proctor (test administrator) when student requires it.
Simplified test directions	The test administrator simplifies or paraphrases the test directions found in the <i>test administration manual</i> according to the <i>Simplified Test Directions</i> guidelines.	Students who need additional support understanding the test direction may benefit from this resource. This designated support may require testing in a separate setting to avoid distracting other test takers.
Translated test directions	PDF of directions translated in each of the languages currently supported. Bilingual adult can read to student.	Students who have limited English language skills (whether or not designated as ELs or ELs with disabilities) can use the translated test directions. In addition, a biliterate adult trained in the test administration manual can read the test directions to the student. The use of this support may result in the student needing additional overall time to complete the assessment.

Designated Support	Description	Recommendations for Use
Translations (glossaries) (for math items, paper/pencil assessment)	Translated glossaries are a language support. Translated glossaries are provided for selected construct-irrelevant terms for math. Glossary terms are listed by item and include the English term and its translated equivalent.	Students who have limited English language skills can use the translation glossary for specific items. The use of this support may result in the student needing additional overall time to complete the assessment.

Appendix A provides a summary of universal tools, designated supports, and accommodations (both embedded and non-embedded) available for the Smarter Balanced assessments.

SECTION III: SMARTER BALANCED ACCOMMODATIONS

WHAT ARE ACCOMMODATIONS?

Accommodations are changes in procedures or materials that increase equitable access during the Smarter Balanced assessments. The accommodations described in this section are not modifications. Accommodations all yield valid scores that count as participation in assessments that meet the requirements of ESSA when used in a manner consistent with the *Guidelines*. They allow students to show what they know and can do. Smarter Balanced members have identified digitally-embedded and non-embedded accommodations for students for whom there is documentation of the need for the accommodations on an Individualized Education Program (IEP) or 504 accommodation plan. One exception to the IEP or 504 requirement is for students who have had a physical injury (e.g., broken hand or arm) that impairs their ability to use a computer. These students may use the speech-to-text or the scribe accommodations (if they have had sufficient experience with the use of these), as noted in this section.

Determination of which accommodations an individual student will have available for the assessment is necessary because these accommodations must be made available before the assessment, either by entering information into the ART, or member's comparable platform, for embedded accommodations, or by ensuring that the materials or setting are available for the assessment for non-embedded accommodations.

The Smarter Balanced Test Administration and Student Access Work Group recognized that accommodations could increase cognitive load or create other challenges for students who do not need them or who have not had experience using them. Because of this possibility, Smarter Balanced members agreed that a student's parent/guardian should know about the availability of specific accommodations through a parent/guardian report. This would ensure that parents/guardians are aware of the conditions under which their child participated in the assessment. Information included in the parent/guardian report should not be the basis for any educational decisions (such as eligibility for an Advanced Placement class) nor for documenting/reporting the use of the accommodation elsewhere (such as on a transcript).

WHO MAKES DECISIONS ABOUT ACCOMMODATIONS?

IEP teams and educators make decisions about accommodations. These teams (or educators for 504 plans) provide evidence of the need for accommodations and ensure that they are noted on the IEP or 504 plan.

The IEP team (or educator developing the 504 plan) is responsible for ensuring that information from the IEP is entered into the ART, or member's comparable platform, so that all embedded accommodations can be activated prior to testing. This can be accomplished by identifying one person from the team to enter information into the ART, or member's comparable platform, or by providing information to the test coordinator who enters into the ART, or member's comparable platform, a form that lists all accommodations and designated supports needed by individual students on IEPs or 504 plans.

EMBEDDED ACCOMMODATIONS

Table 5 lists the embedded accommodations available for the Smarter Balanced assessments for those students for whom the accommodations are included on an IEP or 504 plan. The table includes a description of each accommodation along with recommendations for when the accommodation might be needed and how it can be used. For those accommodations that may be considered controversial, a description of considerations about the use of the accommodation is provided.

Table 5. Embedded Accommodations

Accommodation	Description	Recommendations for Use
<p>American Sign Language (ASL) (for ELA Listening items and math items)</p>	<p>Test content is translated into ASL video. ASL human signer and the signed test content are viewed on the same screen. Students may view portions of the ASL video as often as needed.</p>	<p>Some students who are deaf or hard of hearing and who typically use ASL may need this accommodation when accessing text-based content in the assessment. The use of this accommodation may result in the student needing additional overall time to complete the assessment. For many students who are deaf or hard of hearing, viewing signs is the only way to access information presented orally. It is important to note, however, that some students who are hard of hearing will be able to listen to information presented orally if provided with appropriate amplification and a setting in which extraneous sounds do not interfere with clear presentation of the audio presentation in a listening test.</p>
<p>Braille</p>	<p>A raised-dot code that individuals read with the fingertips. Graphic material (e.g., maps, charts, graphs, diagrams, and illustrations) is presented in a raised format (paper or thermoform). Contracted and non-contracted braille is available; Nemeth code is available for math.</p>	<p>Students with visual impairments may read text via braille. Tactile overlays and graphics also may be used to assist the student in accessing content through touch. Due to limitations with refreshable braille technology and math braille codes, refreshable braille is available only for ELA. For math, braille will be presented via embosser; embosser-created braille can be used for ELA also. Alternative text descriptions are embedded in the assessment for all graphics. The type of braille presented to the student (contracted or non-contracted) is set in ART, or member’s comparable platform. The use of this accommodation may result in the student needing additional overall time to complete the assessment.</p>

Accommodation	Description	Recommendations for Use
<p>Braille transcript (ELA listening passages)</p>	<p>A braille transcript of the closed captioning created for the listening passages. The braille transcripts are available in the following braille codes:</p> <p>ELA</p> <ul style="list-style-type: none"> • EBAE uncontracted • EBAE contracted • UEB uncontracted • UEB contracted 	<p>Students may have difficulty hearing the listening portion of the passage and also do not have enough functional vision to read the closed captioning provided for the passage. These students who are visually impaired or blind and deaf or hard of hearing AND who use braille may have access to Braille Transcripts. These students must be registered in ART, or members' comparable platform, for both braille and closed captioning. The use of this accommodation may result in the student needing additional overall time to complete the assessment.</p>
<p>Closed captioning (for ELA listening items)</p>	<p>Printed text that appears on the computer screen as audio materials are presented.</p>	<p>Students who are deaf or hard of hearing and who typically access information presented via audio by reading words that appear in synchrony with the audio presentation may need this support to access audio content. For many students who are deaf or hard of hearing, viewing words (sometimes in combination with reading lips and ASL) is how they access information presented orally. It is important to note, however, that some students who are hard of hearing will be able to listen to information presented orally if provided with appropriate amplification and a setting in which extraneous sounds do not interfere with clear presentation of the audio presentation in a listening test.</p>
<p>Text-to-speech (available for ELA reading passages, all grades)</p>	<p>Text is read aloud to the student via embedded text-to-speech technology. The student is able to control the speed as well as raise or lower the volume of the voice via a volume control.</p>	<p>This accommodation is appropriate for a very small number of students. Text-to-speech is available as an accommodation for students whose need is documented in an IEP or 504 plan. Students who use text-to-speech will need headphones unless tested individually in a separate setting.</p>

NON-EMBEDDED ACCOMMODATIONS

Table 6 lists the non-embedded accommodations available for the Smarter Balanced assessments for those students for whom the accommodations are documented on an IEP or 504 plan. The table includes a description of each accommodation, along with recommendations for when the accommodation might be needed and how it can be used. For those accommodations that may be considered controversial, a description of considerations about the use of the accommodation is provided.

Table 6. Non-embedded Accommodations Available

Accommodation	Description	Recommendations for Use
100s number table (grades 4-8 and 11, math)	A paper-based table listing numbers from 1 – 100 available from Smarter Balanced for reference.	Students with visual processing or spatial perception needs may find this beneficial, as documented in their IEP or 504 plan.
Abacus	This tool may be used in place of scratch paper for students who typically use an abacus.	Some students, including students with visual impairments or with documented processing impairments, who typically use an abacus may use an abacus in place of using scratch paper.
Alternate response options	Alternate response options include but are not limited to adapted keyboards, large keyboards, Sticky Keys, MouseKeys, FilterKeys, adapted mouse, touch screen, head wand, and switches.	Students with some physical disabilities (including both fine motor and gross motor skills) may need to use the alternate response options accommodation. Some alternate response options are external devices that must be plugged in and be compatible with the assessment delivery platform.
Braille (paper/pencil assessment)	A raised-dot code that individuals read with the fingertips. Graphic material (e.g., maps, charts, graphs, diagrams, and illustrations) is presented in a raised format (paper or thermoform). Codes available on paper/pencil: ELA <ul style="list-style-type: none"> • EBAE uncontracted • EBAE contracted • UEB uncontracted • UEB contracted Mathematics <ul style="list-style-type: none"> • EBAE uncontracted with Nemeth 	Students with visual impairments may read text via braille. Tactile overlays and graphics also may be used to assist the student in accessing content through touch. The type of braille presented to the student (contracted or non-contracted) is set in ART, or member’s comparable platform. The use of this accommodation may result in the student needing additional overall time to complete the assessment.

Accommodation	Description	Recommendations for Use
	<ul style="list-style-type: none"> • EBAE contracted with Nemeth • UEB uncontracted with Nemeth • UEB contracted with Nemeth • UEB uncontracted with UEB math • UEB contracted with UEB math 	
<p>Calculator (for calculator allowed items only, grades 6-8 and 11)</p>	<p>A non-embedded calculator for students needing a special calculator, such as a braille calculator or a talking calculator, currently unavailable within the assessment platform.</p>	<p>Students with visual impairments who are unable to use the embedded calculator for calculator-allowed items will be able to use the calculator that they typically use, such as a braille calculator or a talking calculator. Test administrators should ensure that the calculator is available only for designated calculator items.</p>
<p>Multiplication table (grades 4-8 and 11, math items)</p>	<p>A paper-based single digit (1-9) multiplication table will be available from Smarter Balanced for reference.</p>	<p>For students with a documented and persistent calculation disability (i.e., dyscalculia).</p>
<p>Print on demand</p>	<p>Paper copies of either passages/stimuli and/or items are printed for students. For those students needing a paper copy of a passage or stimulus, permission for the students to request printing must first be set in ART, or member's comparable platform. For those students needing a paper copy of one or more items, the member's help desk must be contacted by the school or district coordinator to have the accommodation set for the student.</p>	<p>Some students with disabilities may need paper copies of either passages/stimuli and/or items. A very small percentage of students should need this accommodation. The use of this accommodation may result in the student needing additional time to complete the assessment.</p>

Accommodation	Description	Recommendations for Use
<p>Read aloud (for ELA reading passages, all grades) (See Designated Supports for ELA items and math items)</p>	<p>Text is read aloud to the student via an external screen reader or by a trained and qualified human reader who follows the administration guidelines provided in the <i>Smarter Balanced Test Administration Manual</i> and <i>Read Aloud Guidelines</i>. All or portions of the content may be read aloud. Members can refer to the <i>Guidelines for Choosing the Read Aloud Accommodation</i> when deciding if this accommodation is appropriate for a student.</p>	<p>This accommodation is appropriate for a very small number of students. Read aloud is available as an accommodation for students whose need is documented in an IEP or 504 plan. A student should have the option of asking a reader to slow down or repeat text. The use of this accommodation may result in the student needing additional time to complete the assessment and/or the use of a separate setting.</p>
<p>Scribe (for ELA performance task full write) (See Designated Supports for math and other ELA items)</p>	<p>Students dictate their responses to a human who records verbatim what they dictate. The scribe must be trained and qualified, and must follow the administration guidelines provided in the <i>Smarter Balanced Test Administration Manual</i>.</p>	<p>Students who have documented significant motor or processing difficulties, or who have had a recent injury (such as a broken hand or arm) that makes it difficult to produce responses may need to dictate their responses to a human, who then records the students' responses verbatim on the ELA performance task full write. The full write is the second part of the performance task. The use of this accommodation may result in the student needing overall additional time to complete the assessment. For many of these students, dictating to a human scribe is the only way to demonstrate their composition skills. It is important that these students be able to develop planning notes via the human scribe, and to view what they produce while composing via dictation to the scribe.</p>
<p>Speech-to-text</p>	<p>Voice recognition allows students to use their voices as input devices to the computer, to dictate responses or give commands (e.g., opening application programs, pulling down menus, and saving work). Voice recognition software generally can recognize speech up to 160 words per minute. Students may use their own assistive technology devices.</p>	<p>Students who have motor or processing disabilities (such as dyslexia) or who have had a recent injury (such as a broken hand or arm) that make it difficult to produce text or commands using computer keys may need alternative ways to work with computers. Students will need to be familiar with the software, and have had many opportunities to use it prior to testing. Speech-to-text software requires that the student go back through all generated text to correct errors in transcription, including use of writing</p>

Accommodation	Description	Recommendations for Use
		<p>conventions; thus, prior experience with this accommodation is essential. If students use their own assistive technology devices, all assessment content should be deleted from these devices after the test for security purposes. For many of these students, using voice recognition software is the only way to demonstrate their composition skills. Still, use of speech-to-text does require that students know writing conventions and that they have the review and editing skills required of students who enter text via the computer keyboard. It is important that students who use speech-to-text also be able to develop planning notes via speech-to-text, and to view what they produce while composing via speech-to-text.</p>
<p>Word prediction</p>	<p>Word prediction allows students to begin writing a word and choose from a list of words that have been predicted from word frequency and syntax rules. Word prediction is delivered via a non-embedded software program. The program must use only single word prediction. Functionality such as phrase prediction, predict ahead, or next word must be deactivated. The program must have settings that allow only a basic dictionary. Expanded dictionaries, such as topic dictionaries and word banks, must be deactivated. Phonetic spelling functionality may be used, as well as speech output built into the program which reads back the information the student has written. If further supports are needed for speech output, see text-to-speech or read aloud policies. Students who use word prediction in conjunction with speech output will need headphones unless tested individually in a separate setting. Students may use their own assistive technology devices.</p>	<p>Students who have documented motor or orthopedic impairments, which severely impairs their ability to provide written or typed responses without the use of assistive technology, may use word prediction. Students with moderate to severe learning disabilities that prevent them from recalling, processing, or expressing written language may also use word prediction. Students will need to be familiar with the software, and have had many opportunities to use it in daily instruction. Use of word prediction does require that students know writing conventions and that they have the review and editing skills required of all students. It is important that students who use word prediction also be able to develop planning notes and review their writing with or without text-to-speech. If students use their own assistive technology devices, all assessment content should be deleted from these devices after the test for security purposes.</p>

[Appendix A](#) provides a summary of universal tools, designated supports, and accommodations (both embedded and non-embedded) available for the Smarter Balanced assessments.

RESOURCES

- Christensen, L., Carver, W., VanDeZande, J., & Lazarus, S. (2011). *Accommodations manual: How to select, administer, and evaluate the use of accommodations for instruction and assessment of students with disabilities (3rd ed.)*. Washington, DC: Assessing Special Education Students State Collaborative on Assessment and Student Standards, Council of Chief State School Officers.
- Christensen, L., Shyyan, V., Schuster, T., Mahaley, P., & Saez, S. (2012). *Accommodations manual: How to select, administer, and evaluate use of accommodations for instruction and assessment of English language learners*. Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.
- Fedorchak, G. (2012). *Access by Design – Implications for equity and excellence in education*. Draft paper prepared for the Smarter Balanced Assessment Consortium.
- Measured Progress. (2012). *Smarter Balanced Assessment Consortium: General Accessibility Guidelines*. Available at: <https://portal.smarterbalanced.org/library/en/general-accessibility-guidelines.pdf>
- National Center on Educational Outcomes. (2009). *Accommodations bibliography*. Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes. Available at: <https://nceo.info/Resources/publications/OnlinePubs/AccommBibliography/AccomStudies.htm>.
- National Council on Measurement in Education. (2012). *Testing and data integrity in the administration of statewide student assessment programs*.
- Shyyan, V., Christensen, L., Touchette, B., Lightborne, L., Gholson, M., & Burton, K. (2013). *Accommodations manual: How to select, administer, and evaluate use of accommodations for instruction and assessment of English language learners with disabilities*. Minneapolis, MN: University of Minnesota, National Center on Educational Outcomes.
- Smarter Balanced. (2012). *Translation accommodations framework for testing ELLs in mathematics*. Available at: <https://portal.smarterbalanced.org/library/en/translation-accommodations-framework-for-testing-english-language-learners-in-mathematics.pdf>.
- Smarter Balanced. (2012). *Accommodations for English Language Learners and Students with Disabilities: A Research-Based Decision Algorithm*. Available at: <https://portal.smarterbalanced.org/library/en/accommodations-for-english-language-learners-and-students-with-disabilities-a-research-based-decision-algorithm.pdf>.

APPENDIX A: SUMMARY OF SMARTER BALANCED UNIVERSAL TOOLS, DESIGNATED SUPPORTS, AND ACCOMMODATIONS

	Universal Tools	Designated Supports	Accommodations
Embedded	Breaks Calculator ¹ Digital Notepad English Dictionary ² English Glossary Expandable Passages Global Notes ³ Highlighter Keyboard Navigation Line Reader Mark for Review Math Tools ⁴ Spell Check Strikethrough Thesaurus ⁵ Writing Tools ⁶ Zoom	Color Contrast Masking Mouse Pointer Streamline Text-to-Speech ⁷ Translated Test Directions ⁸ Translations (Glossary) ⁹ Translations (Stacked) ¹⁰ Turn off Any Universal Tools	American Sign Language ¹¹ Braille Braille Transcript Closed Captioning ¹² Text-to-Speech ¹³

¹ For calculator-allowed items only in grades 6 - 8 and 11

² For ELA performance task full writes

³ For ELA performance tasks

⁴ Includes embedded ruler, embedded protractor

⁵ For ELA performance task full writes

⁶ Includes bold, italic, underline, indent, cut, paste, spell check, bullets, undo/redo.

⁷ For math stimuli and items and ELA items (not for reading passages)

⁸ For math items

⁹ For math items

¹⁰ For math items

¹¹ For ELA listening items and math items

¹² For ELA listening items

¹³ available for ELA reading passages, all grades

	Universal Tools	Designated Supports	Accommodations
Non-embedded	<ul style="list-style-type: none"> Breaks English Dictionary¹⁴ Scratch Paper Thesaurus¹⁵ 	<ul style="list-style-type: none"> Amplification Bilingual Dictionary¹⁶ Color Contrast Color Overlays Magnification Medical Device Noise Buffers Read Aloud¹⁷ Read Aloud in Spanish¹⁸ Scribe¹⁹ Separate Setting Simplified Test Directions Translated Test Directions Translations (Glossary)²⁰ 	<ul style="list-style-type: none"> 100s Number Table²¹ Abacus Alternate Response Options²² Braille²³ Calculator²⁴ Multiplication Table²⁵ Print on Demand Read Aloud²⁶ Scribe²⁷ Speech-to-Text Word Prediction

*Items shown are available for ELA and math unless otherwise noted.

¹⁴ For ELA performance task full writes

¹⁵ For ELA performance task full writes

¹⁶ For ELA performance task full writes

¹⁷ For math stimuli and items and ELA items (not for reading passages)

¹⁸ For mathematics, all grades

¹⁹ For all items except ELA performance task full writes

²⁰ For math items on the paper-pencil assessment

²¹ For grades 4-8 and 11, math items

²² Includes adapted keyboards, large keyboards, Sticky Keys, MouseKeys, FilterKeys, adapted mouse, touch screen, head wand, and switches.

²³ Paper-pencil assessment

²⁴ For calculator-allowed items only, grades 6 - 8 and 11

²⁵ For grades 4 - 8 and 11, math items

²⁶ For ELA reading passages, all grades

²⁷ For ELA performance task full writes

APPENDIX B: RESEARCH-BASED LESSONS LEARNED ABOUT UNIVERSAL DESIGN, ACCESSIBILITY TOOLS, AND ACCOMMODATIONS

More than half of all Consortium members participated in research spurred by the opportunity that members had to develop alternate assessments based on modified achievement standards (AA-MAS). The research conducted since 2007 provides numerous findings that are relevant to the next generation assessments. Lessons learned from this research that are relevant to the Smarter Balanced assessment system are highlighted here¹.

Who might benefit from accessibility features identified by AA-MAS research?

Several studies explored the characteristics of students who might benefit from an AA-MAS and the accessibility features incorporated in the assessment. These studies consistently found:

- Students with and without Individualized Education Programs (IEPs) and 504 plans would likely benefit from assessments with increased accessibility features.
- Students identified for the AA-MAS or who were among the lowest performing students in a member tended to be males, ethnic or racial minorities, English learners, or from low socioeconomic backgrounds.
- Students identified for the AA-MAS tended to have difficulty with:
 - Print materials
 - High vocabulary load materials
 - Directions
 - Multi-step problem solving
- Students identified for the AA-MAS tended to have:
 - Distractibility
 - Limited meta-cognitive skills
 - Poor organizational skills
 - Poor self-monitoring skills
 - Slower work pace
 - Limited working memory capacity

¹ The research used to develop this summary was highlighted in the document *Lessons Learned in Federally Funded Projects That Can Improve the Instruction and Assessment of Low Performing Students with Disabilities*, edited by M. Thurlow, S. Lazarus, and S. Becharad (2012), available at <https://nceo.umn.edu/docs/OnlinePubs/LessonsLearned.pdf>, and presentations by the authors of three of the chapters in the *Lessons Learned* report, Sue Becharad, Vince Dean, Sheryl Lazarus, and Shelly Loving-Ryder, along with representatives from the two general assessment consortia (PARCC – Tamara Reavis; Smarter Balanced – Magda Chia).

What changes can be made to test items and tests that do not change the construct being assessed?

Many studies examined the effects of changes to test items or the tests themselves. Among those changes that did not violate the construct were:

- Enhanced directions
- Increased size of text and visuals
- Increased white space
- Simplified formats, including simplified visuals
- Underlining

Among those changes that might not violate the construct, depending on how the construct was specifically defined, were:

- Adding visuals
- Bolding text
- Simplifying language in item stems
- Changing distractors by editing the attractive distractor or changing the order of distractors
- Chunking text by embedding questions within a passage
- Reordering items
- Providing thought questions or hint boxes
- Scaffolding for vocabulary, definition, context, inference, or complex questions

Other findings highlighted the need for individualized decisions about some accessibility features. For example:

- Read-aloud features are differentially effective for and preferred by students.
- Some features increase engagement and motivation in students.
- Too many features can be confusing to students.

Researchers found that students needed to have the opportunity to practice new item types and new accessibility features. In addition, their research emphasized the benefits of cognitive labs and item tryouts with students.

What can test developers do to build on the lessons learned from AA-MAS research and implementation?

Many studies and AA-MAS implementation efforts pointed to considerations for test developers. For example:

- Require item-writer training that focuses on universal design and accessibility principles.
- Develop items from scratch rather than attempting to modify existing items to increase universal design and accessibility characteristics.

- Ensure that all users understand the purpose of the assessment through professional development activities.
- Always consider format changes that might increase the accessibility of items and tests, but make changes to content and cognitive load only after careful delineation of the purpose and content targets of the assessment.
- Engage in research on the effects of individual changes and combinations of changes intended to increase universal design and accessibility.
- Implement innovative items with caution, and only after exploring the accessibility implications of the innovative items.

APPENDIX C: FREQUENTLY ASKED QUESTIONS

Smarter Balanced members identified frequently asked questions (FAQs) and developed applicable responses to support the information provided in the Smarter Balanced Assessment Consortium's *Usability, Accessibility, and Accommodations Guidelines*. These questions and responses, as well as the information in the *Guidelines* document apply to the Smarter Balanced interim and summative assessments.

Members may use these FAQs to assist districts and schools to understand the universal tools, designated supports, and accommodations available for the Smarter Balanced assessments. Schools may use them with decision-making teams (including parents) as decisions are made and implemented with respect to use of the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*.

Additional information to aid in the implementation of the *Guidelines* is available in the *Individual Student Assessment Accessibility Profile (ISAAP) Module*, the *Test Administration Manual*, and the *Implementation Guide*. These documents may be found on the [Smarter Balanced website](#).

The FAQs are organized into four sections. First are general questions. Second is a set of questions about specific universal tools and designated supports. Questions that pertain specifically to English learners (ELs) comprise the third set of FAQs, and questions that pertain specifically to students with disabilities comprise the fourth set of FAQs.

OVERVIEW OF FAQs

1. *What are the differences among the three categories of universal tools, designated supports, and accommodations?*
2. *Which students should use each category of universal tools, designated supports, and accommodations?*
3. *What is the difference between embedded and non-embedded approaches? How might educators decide what is most appropriate?*
4. *Who determines how non-embedded accommodations (such as read aloud) are provided?*
5. *Are any students eligible to use text-to-speech or read aloud for ELA reading passages on the Smarter Balanced assessments?*
6. *Why are some accommodations that were allowed on previous assessments not listed in the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines?*
7. *Under which conditions may a member elect not to make available to its students an accommodation that is allowed by Smarter Balanced?*
8. *Can members allow additional universal tools, designated supports, or accommodations to individual students on a case by case basis?*
9. *What is to be done for special cases of "sudden" physical disability?*
10. *Who reviewed the Smarter Balanced Guidelines?*
11. *Where can a person go to get more information about making decisions on the use of designated supports and accommodations?*
12. *What security measures need to be taken before, during, and after the assessment for students who use universal tools, designated supports, and/or accommodations?*

13. *Who is supposed to input information about designated supports and accommodations into the Administration and Registration Tools (ART) or into a member's comparable platform? How is the information verified?*
14. *Are there any supplies that schools need to provide so that universal tools, designated supports, and accommodations can be appropriately implemented?*
15. *What happens when accommodations listed in the Usability, Accessibility, and Accommodations Guidelines do not match any accommodations presented in the student's IEP or 504 plan?*
16. *Are there accessibility resources that members have discussed and agreed not to include in the Smarter Balanced test?*
17. *What are the process and timeline for updating and making changes to the Usability, Accessibility, and Accommodations Guidelines?*
18. *Is the digital notepad universal tool fully available for ELA and math? Will a student's notes be saved if the student takes a 20-minute break?*
19. *For the global notes universal tool, if a student takes a break of 20 minutes, do the notes disappear?*
20. *For the highlighter universal tool, if a student pauses a test for 20 minutes, do the highlighter marks disappear?*
21. *How are students made aware that the spell check universal tool is available when moving from item to item?*
22. *For the zoom universal tool, is the default size specific to certain devices? Will the test administration manual provide directions on how to do this adjustment?*
23. *For the English glossary universal tool, how are terms with grade- and context-appropriate definitions made evident to the student?*
24. *For the mark for review universal tool, will selections remain visible after a 20-minute break?*
25. *Can universal tools be turned off if it is determined that they will interfere with the student's performance on the assessment?*
26. *How are the language access needs of ELs addressed in the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines?*
27. *Why are resources to support English language proficiency needs classified as universal tools and designated supports?*
28. *Is text-to-speech available for ELs to use?*
29. *What languages are available to ELs in text-to-speech?*
30. *For which content areas will the Consortium provide translation supports for students whose primary language is not English?*
31. *Does a student need to be identified as an English learner in order to receive translation and language supports? What about foreign language exchange students?*
32. *For the translated test directions designated support, what options are available for students who do not understand the language available in the digital format? Can a human reader of directions in the native language be provided?*

33. *How is the translations glossary non-embedded designated support different from the bilingual dictionary?*
34. *Will translations be available in language dialects/variants?*
35. *What accommodations are available for students with disabilities (including ELs with disabilities)?*
36. *Is an embedded ASL accommodation available on ELA items that are not part of the Listening test?*
37. *Will sign languages other than ASL (including signing in other languages) be available?*
38. *Can interpreters be used for students who are deaf or hard of hearing who do not use ASL?*
39. *What options do districts have for administering Smarter Balanced assessments to students who are blind?*
40. *Why is the non-embedded abacus an accommodation for the non-calculator items? Doesn't an abacus serve the same function as a calculator?*
41. *Can students without documented disabilities who have had a sudden injury use any of the Smarter Balanced accommodations?*
42. *How will the test administrator know prior to testing that the print on demand accommodation may be needed?*
43. *For the print on demand accommodation, how are student responses recorded – by a teacher using a computer or some other method?*
44. *How do member officials monitor training and qualifications for the non-embedded read aloud accommodation?*
45. *For students taking the paper-pencil test, can read aloud be provided in small groups?*
46. *If students are using their own devices that incorporate word prediction, will this impact their score?*
47. *How are assistive technology (AT) devices certified for use for the Smarter Balanced assessments?*

GENERAL FAQs

1. *What are the differences among the three categories of universal tools, designated supports, and accommodations?*

Universal tools are access features that are available to all students based on student preference and selection. Designated supports for the Smarter Balanced assessments are those features that are available for use by any student (including English learners, students with disabilities, and English learners with disabilities) for whom the need has been indicated by an educator or team of educators (with parent/guardian and student input as appropriate). Accommodations are changes in procedures or materials that increase equitable access during the Smarter Balanced assessments by generating valid assessment results for students who need them and allowing these students the opportunity to show what they know and can do. The *Usability, Accessibility, and Accommodations Guidelines* identify accommodations for students for whom there is documentation of the need for the accommodations on an Individualized Education Program (IEP) or 504 accommodation plan.

Universal Tools, designated supports, and accommodations may be either embedded in the test administration system or provided locally (non-embedded).

2. *Which students should use each category of universal tools, designated supports, and accommodations?*

Universal tools are available to all students, including those receiving designated supports and those receiving accommodations. Designated supports are available only to students for whom an adult or team (consistent with member-designated practices) has indicated the need for these supports (as well as those students for whom the need is documented).

Accommodations are available only to those students with documentation of the need through either an Individualized Education Program (IEP) or a 504 accommodation plan. Students who have IEPs or 504 accommodation plans also may use designated supports and universal tools.

What Tools Are Available for My Student?

	All Students	English learners (ELs)	Students with disabilities	ELs with disabilities
Universal Tools	✓	✓	✓	✓
Designated Supports	✓ ¹	✓ ¹	✓	✓
Accommodations			✓	✓

¹ Only for instances that an adult (or team) has deemed the supports appropriate for a specific student's testing needs.

3. *What is the difference between embedded and non-embedded approaches? How might educators decide what is most appropriate?*

Embedded versions of the universal tools, designated supports, and accommodations are provided digitally through the test delivery system while non-embedded versions are provided at the local level through means other than the test delivery system. The choice between embedded and non-embedded universal tools and designated supports should be based on the individual student's needs. The decision should reflect the student's prior use of, and experience with, both embedded and non-embedded universal tools, designated supports, and accommodations. It is important to note that although print on demand is a non-embedded accommodation, permission for students to request printing must first be set in the Administration and Registration Tools (ART) or the member's comparable platform.

4. *Who determines how non-embedded accommodations (such as read aloud) are provided?*

IEP teams and educators make decisions about non-embedded accommodations. These teams (or educators for 504 plans) provide evidence of the need for accommodations and ensure that they are noted on the IEP or 504 plan. Members are responsible for ensuring that districts and schools follow Smarter Balanced guidance on the implementation of these accommodations.

5. *Are any students eligible to use text-to-speech or read aloud for ELA reading passages on the Smarter Balanced assessments?*

For students in all grades, text-to-speech or read aloud is available on ELA reading passages as a non-embedded accommodation for students whose need is documented on an IEP or 504 plan, subject to each member's laws, regulations, and policies. Text-to-speech and read aloud are available on reading passages in all grades. Text-to-speech and read aloud for ELA reading passages are not available for ELs (unless the student has an IEP or 504 plan). Whenever text-to-speech is used, appropriate headphones must be available to the student, unless the student is tested individually in a separate setting. Similarly, if the student receives a read aloud accommodation, the student may need to be tested in a small group or individual setting (also see FAQ 44).

6. *Why are some accommodations that were allowed on previous assessments not listed in the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines?*

After examining the latest research and conducting numerous discussions with external and member experts, Smarter Balanced members approved a list of universal tools, designated supports, and accommodations applicable to the current design and constructs being measured by its tests and items within them. Upon review of new research findings or other evidence applicable to accessibility and accommodations considerations, the list of specific universal tools, designated supports, and accommodations approved by Smarter Balanced may be subject to change. The Consortium has established a standing committee, including members from Governing members, to review suggested adjustments to the list of universal tools, designated supports, and accommodations to determine whether changes are warranted.

Proposed changes to the list of universal tools, designated supports, and accommodations will be brought to Governing members for review, feedback, and approval. Furthermore, members may issue temporary approvals (i.e., one summative assessment administration) for individual students.

Member leads will evaluate formal requests for temporary approvals and determine whether the request poses a threat to the measurement of the construct. The formal requests will include documentation of the student need, the specific nature of the universal tools, designated supports, or accommodations, and the plan for follow-up monitoring of use. Upon issuing a temporary approval, the member will send documentation of the approval to the Consortium. The Consortium will consider all member-approved temporary accommodations as part of the Consortium's accommodations review process. The Consortium will provide to members a list of the temporary accommodations issued by members that are not Consortium-approved accommodations. In subsequent years, members will not be able to offer as a temporary accommodation any temporary accommodation that has been rejected by the Consortium.

7. *Under which conditions may a member elect not to make available to its students an accommodation that is allowed by Smarter Balanced?*

The Consortium recognizes that there should be a careful balance between the need for uniformity among members and the need for members to maintain their autonomy. To maintain this balance, individual members may elect not to make available an accommodation that is in conflict with the member's laws, regulations, or policies.

8. *Can members allow additional universal tools, designated supports, or accommodations to individual students on a case by case basis?*

Yes, only in certain restricted and emergent circumstances. To address emergent issues that arise at the local level, authorized staff members will have the authority to provide temporary approvals for individual students. Authorized staff members include only those individuals who are familiar with the constructs the Smarter Balanced assessments are measuring, so that students are not inadvertently provided with universal tools, designated supports, or accommodations that violate the constructs being measured.

The temporary approvals for individual students will be submitted to Smarter Balanced for review. Temporary approvals accepted by Smarter Balanced will be incorporated into the official guidelines released by Smarter Balanced in the following year or continue to be investigated for acceptance. Authorized staff members are not to add any universal tools, designated supports, or accommodations to the *Smarter Balanced Guidelines*; only the Smarter Balanced Consortium may do so.

9. *What is to be done for special cases of "sudden" physical disability?*

One exception to the IEP or 504 requirement is for students who have had a physical injury (e.g., broken hand or arm) that impairs their ability to use a computer. For these situations, students may use the speech-to-text or scribe accommodations (if deemed appropriate based on the student having had sufficient experience with the use of the accommodations).

10. Who reviewed the Smarter Balanced Guidelines?

In addition to individuals and officials from the Smarter Balanced Governing members, several organizations and their individual members provided written feedback during the creation of the guidelines. Furthermore, Smarter Balanced facilitates an annual process to solicit feedback from membership. This feedback includes both feedback from each member in addition to stakeholder feedback provided to members.

11. Where can a person go to get more information about making decisions on the use of designated supports and accommodations?

Practice and training tests provide students with experiences that are critical for success in navigating the platform easily. The practice and training tests may be particularly important for those students who will be using designated supports or accommodations, because the practice tests can provide data that may be useful in determining whether a student might benefit from the use of a particular designated support or accommodation. It is important that students have ample opportunities to use selected designated supports and accommodations in daily instruction. Smarter Balanced practice and training tests are available at [Practice and Training Tests - Smarter Balanced Assessment Consortium](#).

In addition, it is recommended that decision makers refer to professional development materials provided by Smarter Balanced or state offices on the *Individual Student Assessment Accessibility Profile (ISAAP)* or member-developed process, as well as other member-developed materials consistent with the *Smarter Balanced Implementation Guide*.

Additional information on the decision-making process, and ways to promote a thoughtful process rather than an automatic reliance on a checklist or menu, is available through materials developed by groups of members.¹

¹ These materials were developed by collaboratives of members to address decision making for students with disabilities, ELs, and ELs with disabilities:

- *Accommodations Manual: How to Select, Administer, and Evaluate Use of Accommodations for Instruction and Assessment of Students with Disabilities* (3rd ed.). Washington, DC: Assessing Special Education Students State Collaborative on Assessment and Student Standards, Council of Chief State School Officers. Available at: http://www.ccsso.org/Resources/Publications/Accommodations_Manual_-_How_to_Select_Administer_and_Evaluate_Use_of_Accommodations_for_Instruction_and_Assessment_of_students_with_Disabilities.html.
- *Accommodations Manual: How to Select, Administer, and Evaluate Use of Accommodations for Instruction and Assessment of English Language Learners*. Washington, DC: Assessing English Language Learners State Collaborative on Assessment and Student Standards, Council of Chief State School Officers. Available at: http://www.ccsso.org/Resources/Publications/Accommodations_Manual_How_to_Select_Administer_and_Evaluate_Use_of_Accommodations_for_Instruction_and_Assessment_of_English_Language_Learners.html.
- *Accommodations Manual: How to Select, Administer, and Evaluate Use of Accommodations for Instruction and Assessment of English Language Learners with Disabilities*. Washington, DC: Assessing Special Education Students and English Language Learners State Collaboratives on Assessment and Student Standards, Council of Chief State School Officers. Available at: http://www.ccsso.org/Resources/Publications/Accommodations_Manual_How_to_Select_Administer_and_Evaluate_Use_of_Accommodations_for_Instruction_and_Assessment_of_English_Language_Learners_with_Disabilities.html.

12. *What security measures need to be taken before, during, and after the assessment for students who use universal tools, designated supports, and/or accommodations?*

Test security involves maintaining the confidentiality of test questions and answers, and is critical in ensuring the integrity of a test and validity of test results. Ensuring that only authorized personnel have access to the test and that test materials are kept confidential is critical in technology-based assessments. In addition, it is important to guarantee that (a) students are seated in such a manner that they cannot see each other's terminals, (b) students are not able to access any unauthorized programs or the Internet while they are taking the assessment, and (c) students are not able to access any externally-saved data or computer shortcuts while taking the test. Prior to testing, the IEP team should check on compatibility of assistive technology devices and make appropriate adjustments if necessary. When a non-embedded designated support or accommodation is used that involves a human having access to items (e.g., reader, scribe), procedures must be in place to ensure that the individual understands and has agreed to security and confidentiality requirements. Test administrators need to (a) keep testing materials in a secure place to prevent unauthorized access, and (b) keep all test content confidential and refrain from sharing information or revealing test content.

Printed test items/stimuli, including embossed braille printouts, must be collected and inventoried at the end of each test session and securely shredded immediately. DO NOT keep printed test items/stimuli for future test sessions.

The following test materials must be securely shredded immediately after each testing session and may not be retained from one testing session to the next:

- Scratch paper and all other paper handouts written on by students during testing;
 - Please note, for mathematics and ELA performance tasks, if a student needs to take the performance task in more than one session, scratch paper may be collected at the end of each session, securely stored, and made available to the student at the next performance task testing session. Once the student completes the performance task, the scratch paper must be collected and securely destroyed to maintain test security. If the student is using an assistive technology device, the test administrator must ensure that all test materials are deleted from the device.
- Any reports or other documents that contain personally identifiable student information;
- Printed test items or stimuli.

Additional information on this topic is provided in the *Test Administration Manual* (TAM).

13. *Who is supposed to input information about designated supports and accommodations into the Administration and Registration Tools (ART) or into a member's comparable platform? How is the information verified?*

Generally, a school or district will designate a person to enter information into the ART or the member's comparable platform. Often this person is a test coordinator. For those students for whom an IEP team (or educator developing the 504 plan) is

identifying designated supports as well as accommodations, that team or educator is responsible for ensuring that information from the IEP (or 504 plan) is entered appropriately so that all embedded accommodations can be activated prior to testing.

Entry of information for IEP and 504 students can be accomplished by identifying one person from the team to enter information or by providing information to the person designated by the school or district to enter data into the ART. For students who are ELs, an educator who knows the student well and is familiar with the instructional supports used in the classroom should provide information to the person designated to enter information into the ART.

14. *Are there any supplies that schools need to provide so that universal tools, designated supports, and accommodations can be appropriately implemented?*

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

15. *What happens when accommodations listed in the Usability, Accessibility, and Accommodations Guidelines do not match any accommodations presented in the student's IEP or 504 plan?*

IEP or 504 teams should consider accommodations a student needs in light of the *Smarter Balanced Guidelines*. If it is decided that a specific accommodation is needed that is not included in the *Guidelines*, the team should submit a request for a temporary approval to the member. The member contact will judge whether the proposed accommodation poses a threat to the constructs measured by the Smarter Balanced assessments; based on that judgment the member contact will either issue a temporary approval or will deny the request.

Temporary approvals will be forwarded to a standing committee; this committee makes a recommendation to the Governing members about future incorporation of new accommodations into the *Smarter Balanced Guidelines*.

16. *Are there accessibility resources that members have discussed and agreed not to include in the Smarter Balanced test?*

There are several accessibility resources that members discussed with external experts, discussed with members, and agreed not to include in the Smarter Balanced test:

- Translated 'word list' for ELA tests
- Bilingual dictionary for all ELA items except for the full write portion of the ELA Performance Task; the full write is the second part of a Performance Task
- Calculator on mathematics items in grades 3-5
- External protractor/ruler for online mathematics tests
- Multiplication table for mathematics items in grade 3

- Members also agreed to keep the current scribing policy; members agreed not to restrict it
- Members also agreed not to change the font style

UNIVERSAL TOOLS AND DESIGNATED SUPPORTS FAQs (AVAILABLE TO ALL STUDENTS)

17. *What are the process and timeline for updating and making changes to the Usability, Accessibility, and Accommodations Guidelines?*

Smarter Balanced asks members to request changes to the *Guidelines* once each year. The process for making changes to the *Usability, Accessibility, and Accommodations Guidelines* is initiated by a survey that Smarter Balanced administers in April. Member leads or designees then submit requests via the survey. Upon collecting the survey results, Smarter Balanced engages in a process during May to examine research, solicit feedback from external experts and advisory committees, and discuss the requests with the UAAG Committee. Any new policy and/or change to existing policy that the UAAG committee recommends is brought to member leads for a vote. Smarter Balanced then updates the *Guidelines* as necessary and posts the updated version the first week of July.

18. *Is the digital notepad universal tool fully available for ELA and math? Will a student's notes be saved if the student takes a 20-minute break?*

The digital notepad is available on all items across both content areas. As long as a student or test administrator activates the test within the 20-minute break window, the notes will still be there. There is no limit on the number of pauses that a student can take in one test sitting.

19. *For the global notes universal tool, if a student takes a break of 20 minutes, do the notes disappear?*

Global notes, which are used for ELA performance tasks only, will always be available until the student submits the test, regardless of how long a break lasts or how many breaks are taken.

20. *For the highlighter universal tool, if a student pauses a test for 20-minutes, do the highlighter marks disappear?*

If a student is working on a passage or stimulus on a screen and pauses the test for 20 minutes to take a break, the student will still have access to the information visible on that particular screen. However, students do lose access to any information highlighted on a previous screen.

21. *How are students made aware that the spell check universal tool is available when moving from item to item?*

When appropriate, items include universal tools available for students to use. For the spell check tool, a line will appear under misspelled words.

22. *For the zoom universal tool, is the default size specific to certain devices? Will the test administration manual provide directions on how to do this adjustment?*

The default size is available to all students and is not specific to certain devices. Information on how to use the zoom universal tool is included in the directions at the beginning of each test. Please note that in addition to zoom, students may have access to magnification and an enlarged mouse pointer, which are non-embedded designated supports.

23. *For the English glossary universal tool, how are terms with grade- and context-appropriate definitions made evident to the student?*

Selected terms have a light rectangle around them. If a student hovers over the terms, the terms with the attached glossary are highlighted. A student can click on the terms and a pop-up window will appear. In addition, a student can click on the audio button next to each term to hear it.

24. *For the mark for review universal tool, will selections remain visible after a 20-minute break?*

If a student takes a break for longer than 20 minutes, the student will not be able to access items from previous screens.

25. *Can universal tools be turned off if it is determined that they will interfere with the student's performance on the assessment?*

Yes. If an adult (or team) determines that a universal tool might be distracting or that students do not need to or are unable to use them, that universal tool can be turned off. This information must be noted in the ART prior to test administration.

FAQS PERTAINING TO ENGLISH LEARNERS (ELs)

26. *How are the language access needs of ELs addressed in the Smarter Balanced Usability, Accessibility, and Accommodations Guidelines?*

The language access needs of ELs are addressed through the provision of numerous universal tools and designated supports. These include universal tools such as English dictionaries and thesauri for full writes and English glossaries, and designated supports such as translated test directions and glossaries. These are not considered accommodations in the Smarter Balanced assessment system.

27. *Why are resources to support English language proficiency needs classified as universal tools and designated supports?*

- Resources that support students' needs regarding English language proficiency are different from resources that support students' needs associated with disabilities. Historically, assessment systems have confounded these two types of student needs.
- Students who are not formally classified as English learners may benefit from access to language supports on Smarter Balanced assessments. Therefore, associating language supports exclusively with formal English learner classification is unnecessarily limiting and potentially harmful.
- Smarter Balanced makes available resources to support English language proficiency needs as embedded universal tools and designated supports to ensure that the greatest number of students has access to these resources.
- English learners who also have disabilities can be provided access to accommodations as identified in their IEPs/504 plans.

28. *Is text-to-speech available for ELs to use?*

Text-to-speech is available as a designated support to all students (including ELs) for whom an adult or team has indicated it is needed for math items and for ELA items (but not ELA reading passages). Text-to-speech for ELA reading passages is available for an EL in all grades only if the student has an IEP or 504 plan. For text-to-speech to be available for an EL, it must be entered into the ART.

29. *What languages are available to ELs in text-to-speech?*

Text-to-speech is currently available only in English. However, the translated glossaries include an audio component automatically available to any student with the translated glossaries embedded designated support.

30. *For which content areas will the Consortium provide translation supports for students whose primary language is not English?*

For mathematics, the Consortium will provide full translations in American Sign Language, stacked translations in Spanish (with the Spanish translation presented directly above the English item), and primary language pop-up glossaries in various languages and dialects including Spanish, Vietnamese, Arabic, Tagalog, Ilokano, Cantonese, Mandarin, Korean, Punjabi, Russian, and Ukrainian. For the Listening portion of the English Language Arts assessment, Smarter Balanced will provide full translations in American Sign Language delivered digitally through the test delivery system.

Only translations that have gone through the translation process outlined in the *Smarter Balanced Translation Framework* would be an accepted support.

31. *Does a student need to be identified as an English learner in order to receive translation and language supports? What about foreign language exchange students?*

Translations and language supports are provided as universal tools and designated supports. Universal tools are available to all students. Designated supports are available to those students for whom an adult (or team) has determined a need for the support. Thus, these are available to all students, regardless of their status as an EL. Foreign language exchange students would have access to all universal tools and those designated supports that have been indicated by an adult (or team).

32. *For the translated test directions designated support, what options are available for students who do not understand the language available in the digital format? Can a human reader of directions in the native language be provided?*

If a student needs a read aloud/text-to-speech accommodation in another language, then the test directions should be provided in that other language. The reader or text-to-speech device must be able to provide the directions in the student's language without difficulty due to accent or register. To ensure quality and standardized directions, the reader or text-to-speech device should only use directions that have undergone professional translation by the Consortium prior to testing. Smarter Balanced is providing a PDF of the translated test directions in: Spanish, Vietnamese, Arabic, Tagalog, Ilokano, Cantonese, Mandarin, Korean, Punjabi, Russian, Ukrainian, Dakota, French, Haitian-Creole, Hmong, Lakota, Japanese, Somali, and Yup'ik.

33. *How is the translations glossary non-embedded designated support different from the bilingual dictionary?*

The translations glossary non-embedded designated support includes the customized translation of pre-determined construct-irrelevant terms that are most challenging to English learners. The translation of the terms is context-specific and grade-appropriate. Bilingual dictionaries often do not provide context-specific information nor are they customized. In addition, the translated glossary includes an audio support.

34. *Will translations be available in language dialects/variants?*

Translated glossaries are available in different languages and dialects including Spanish, Vietnamese, Arabic, Tagalog, Ilokano, Cantonese, Mandarin, Korean, Punjabi, Russian, and Ukrainian.

FAQs PERTAINING TO STUDENTS WITH DISABILITIES

35. *What accommodations are available for students with disabilities (including ELs with disabilities)?*

Students with disabilities (including those who are ELs) can use embedded accommodations (e.g., American Sign Language, braille) and non-embedded accommodations (e.g., abacus, alternate response options, speech-to-text, word prediction) that have been documented on an IEP or 504 accommodations plan. These students also may use universal tools and designated supports. A full list of accommodations can be found in the *Guidelines* document, tables 5 and 6.

36. *Is an embedded ASL accommodation available on ELA items that are not part of the Listening test?*

The embedded ASL accommodation is not currently available on any ELA items that are not part of the Listening claim. For the Listening test, a deaf or hard of hearing student who has a documented need in an IEP or 504 plan may use the embedded ASL.

37. *Will sign languages other than ASL (including signing in other languages) be available?*

Currently, only ASL is available.

38. *Can interpreters be used for students who are deaf or hard of hearing who do not use ASL?*

Smarter Balanced has consulted with external experts who have unanimously advised against this practice. Research indicates severe challenges with standardization and quality.

39. *What options do districts have for administering Smarter Balanced assessments to students who are blind?*

Students who are blind and who prefer to use braille should have access to either screen reader support with refreshable braille (only for ELA) or screen reader support with on-site embosser-created braille (for ELA or math). Students who are blind may also take a paper-pencil form of the assessment in braille. Various braille codes are offered for both online and paper-pencil braille.

For those students who are blind and prefer to use text-to-speech, access to text-to-speech should be provided for the math test, and for ELA items only (text-to-speech is not available on ELA reading passages without a specific documented need in the student's IEP or 504 plan).

Non-embedded read aloud accommodation in all grades is available for students who have an indicated need on ELA reading passages in their IEP or 504 plan. Students should participate in the decision about the accommodation they prefer to use, and should be allowed to change during the assessment if they ask to do so. Students can have access to both braille and text-to-speech that are embedded in the Smarter Balanced assessment system.

40. *Why is the non-embedded abacus an accommodation for the non-calculator items? Doesn't an abacus serve the same function as a calculator?*

An abacus is similar to the sighted student using paper and pencil to write a problem and do calculations. The student using the abacus has to have an understanding of number sense and must know how to do calculations with an abacus.

41. *Can students without documented disabilities who have had a sudden injury use any of the Smarter Balanced accommodations?*

Students without documented disabilities who have experienced a physical injury that impairs their ability to use a computer may use some accommodations, provided they have had sufficient experience with them. Both speech-to-text and scribe are accommodations that are available to students who have experienced a physical injury such as a broken hand or arm, or students who have become blind through an injury and have not had sufficient time to learn braille. Prior to testing a student with a sudden physical injury, regardless of whether a 504 plan is started, test administrators should contact their district test coordinator or other authorized individuals to ensure the test registration system accurately describes the student's status and any accommodations that the student requires.

42. *How will the test administrator know prior to testing that the print on demand accommodation may be needed?*

The test administrator will know this information prior to testing because accommodations need to be documented beforehand and print on demand is an accommodation. Any accommodations – including both embedded and non-embedded accommodations – need to be entered into the ART. The print on demand accommodation applies to either passages/stimuli or items, or both.

43. *For the print on demand accommodation, how are student responses recorded – by a scribe or some other method?*

The method of recording student responses depends on documentation in the IEP or 504 plan (e.g., after first recording responses on the paper version, the student could enter responses into the computer or the scribe could enter responses into the computer). All individuals acting as a scribe must have read, agreed to, and signed a test security agreement.

44. *How do member officials monitor training and qualifications for the non-embedded read aloud accommodation?*

Members will need to develop processes and procedures to monitor training and the qualifications of individuals who provide the read aloud accommodation when text-to-speech is not appropriate for a student. Member officials can use the Smarter Balanced [ELA Audio Guidelines](#) and [Mathematics Audio Guidelines](#) available online to obtain additional information about recommended processes to follow. Members can also use the Smarter Balanced Read Aloud protocol (see Appendix D).

45. For students taking the paper-pencil test, can read aloud be provided in small groups?

For a paper-pencil test, read aloud can be administered to a small group of students as long as the students are taking the same test (e.g., grade, content area) and students have experience testing under this condition. The number of students in the small group should allow a student to ask the reader to slow down or to repeat text without the request distracting others. For online assessments, readers should be provided to students on an individual basis.

46. If students are using their own devices that incorporate word prediction, will this impact their score?

Word prediction is an allowable non-embedded accommodation. The students' score will not be affected under these circumstances. Students using these devices must still use their knowledge and skills to review and edit their answers.

47. How are assistive technology (AT) devices certified for use for the Smarter Balanced assessments?

Assistive technology device manufacturers may use the Smarter Balanced practice test through a secure browser as a method of determining if a device works with the assessment. In addition, schools and districts can use the practice test through a secure browser to evaluate devices to ensure their functions are consistent with those allowed in the UAAG.

APPENDIX D: READ ALOUD GUIDELINES

June 28, 2018

(Available at: <https://portal.smarterbalanced.org/library/en/v2.0/read-aloud-guidelines.pdf>)

When a student cannot access text-to-speech, an embedded resource available on the Smarter Balanced assessment, the student may be eligible to work with a test reader. A test reader is an adult who provides an oral presentation of the assessment text to an eligible student. The student depends on the test reader to read the test questions accurately, pronounce words correctly, and speak in a clear voice throughout the test. The test reader must be trained and qualified and must follow the *Smarter Balanced Guidelines for Read Aloud, Test Reader* presented here. The guiding principle in reading aloud is to ensure that the student has access to test content.

On Smarter Balanced Assessments, test readers are allowable across all grades as a **designated support** for mathematics stimuli and items and ELA items as appropriate (not ELA reading passages). Test readers are allowable for ELA reading passages in addition to items as a **documented accommodation** in all grades. Note that this accommodation is appropriate for a very small number of students (estimated to be approximately 1-2% of students with disabilities participating in a general assessment). For information on documentation requirements and decision-making criteria for use of test readers and all other Smarter Balanced resources please see the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*.

QUALIFICATIONS FOR TEST READERS

- The test reader should be an adult who is familiar with the student, and who is typically responsible for providing this support during educational instruction and assessments.
- Test readers must be trained on the administration of the assessment in accordance with member policy, and familiar with the terminology and symbols specific to the test content and related conventions for standard oral communication.
- Test readers must be trained in accordance with Smarter Balanced and member administration and security policies and procedures as articulated in Smarter Balanced and Consortium member test administration manuals, guidelines, and related documentation.

PREPARATION

- Test readers should read and sign a test security/confidentiality agreement prior to test administration.
- Test readers are expected to familiarize themselves with the test environment and format in advance of the testing session. Having a working familiarity with the test environment and format will help facilitate reading of the test.
- Test readers should have a strong working knowledge of the embedded and non-embedded accessibility and accommodation options and features available on Smarter Balanced assessments.
- Test readers should be familiar with the Individualized Education Program (IEP) or 504 plan if the student for whom they are reading has access to additional designated supports and/or accommodations. This will ensure that there are plans in place for providing all needed designated supports and accommodations.

- In addition to a test reader, students may make use of any other approved specialized tools or equipment during the test as appropriate and in accordance with the *Usability, Accessibility, and Accommodations Guidelines*. Test readers should be familiar with any assistive technology or approved supports the student requires.
- Test readers should have extensive practice in providing read aloud support and must be familiar and comfortable with the process before working directly with a student.
- The reader should be knowledgeable of procedures for reading aloud text by content area (see Table 1 below).
- The test reader should meet with the student in advance and inform the student of the parameters of the support. A suggested test reader script is included at the end of the *Guidelines for Read Aloud, Test Reader*.
- Unless otherwise specified by a student's IEP or 504 plan, the test reader does not have a role in manipulating the test or assisting with any other support tools. Test readers should be ready with appropriate script that reinforces the parameters during the test session.

GENERAL GUIDELINES

- The test reader's support should ideally be provided in a separate setting so as not to interfere with the instruction or assessment of other students.
- Read each question exactly as written and as clearly as possible.
- Throughout the exam, strive to communicate in a neutral tone and maintain a neutral facial expression and posture.
- Avoid gesturing, head movements, or any verbal or non-verbal emphasis on words not otherwise emphasized in text.
- Avoid conversing with the student about test questions as this would be a violation of test security; respond to the student's questions by repeating the item, words or instructions verbatim as needed.
- Do not paraphrase, interpret, define, or translate any items, words, or instructions as this would be a violation of test security.
- Spell any words requested by the student.
- Adjust your reading speed and volume if requested by the student.

POST-ADMINISTRATION

- The test reader must collect scratch paper, rough drafts, and login information immediately at the end of the testing session and deliver it to the test administrator in accordance with Smarter Balanced and Consortium member policies and procedures.
- The test reader must not discuss any portion of the test with others.

ENGLISH USAGE/CONVENTIONS

- **Punctuation:** Read all text as punctuated.
- **Ellipses:** When an ellipsis is used to signify missing text in a sentence, pause briefly, and read as 'dot, dot, dot.'

- **Quotations:** Quotation marks should be verbalized as “quote” and “end quote” at the beginning and end of quoted material, respectively.
- **Emphasis:** When words are printed in boldface, italics, or capitals, tell the student that the words are printed that way. In order not to provide an unfair advantage to students receiving this support, test readers should be cautious not to emphasize words not already emphasized in print. Emphasis is appropriate when italics, underlining, or bold is used in the prompt, question, or answers.
- **Misspellings:** In some cases a test item may present a word or phrase that is intentionally misspelled as part of the assessment. In these instances the student is required to respond in a specific way. When presented with intentionally misspelled words test readers should not attempt to read the word(s) aloud as pronunciation is somewhat subjective.

IMAGES/ GRAPHICS/ DIAGRAMS

- Before describing an image or graphic, the test reader should determine whether the details of the picture are necessary to understanding and responding to the item(s). In many cases, an image or graphic will be used to accompany a passage or reading excerpt as a piece of visual interest that is not essential in responding to the item. Typically, diagrams are imperative to student understanding and should be read in a logical order.
- Describe the image/graphic/diagram as concisely as possible following a logical progression. Focus on providing necessary information and ignoring the superfluous. Use grade-appropriate language when describing the image/graphic/diagram.
- Read the title or caption, if available.
- Any text that appears in the body of the image/graphic/diagram may be read to a student. Read text in images/graphics/diagrams in the order most suited for the student's needs. Often the reader moves top to bottom, left to right, in a clockwise direction, or general to specific in accordance with teaching practices.

PASSAGES

- Read the passage in its entirety as punctuated (e.g., pauses at periods and commas; raised intonation for questions). Do not verbalize punctuation marks other than ellipses and quotation marks as noted above.
- If the student requires or asks for a specific section of the passage to be re-read with the punctuation indicated, the test reader should re-read those specific lines within the passage and indicate all punctuation found within those lines as many times as requested by the student.
- When test questions refer to particular lines of a passage, read the lines referenced as though they are part of the item.

MATHEMATICAL EXPRESSIONS

- The test reader must read mathematical expressions precisely and with care to avoid misrepresentation for a student who has no visual reference. For mathematics items involving algebraic expressions or other mathematical notation, it may be preferable for the reader to silently read the mathematical notations or the entire question before reading it aloud to the student.

- Test readers must read mathematical expressions with technical accuracy. Similar expressions should be treated consistently.
- In general, numbers and symbols can be read according to their common English usage for the student's grade level.
- Additional examples may be found in the table below.
- Abbreviations and acronyms should be read as full words. For example, 10 cm needs to be read as "ten centimeters." Some abbreviations may be read differently by different readers. For example, cm^3 may be read as "cubic centimeters" or "centimeters cubed."

Table 1. Test Reader Guidance for Mathematics

Numbers		
Description	Example(s)	Read as:
Large whole numbers	632,407,981	"six hundred thirty-two million, four hundred seven thousand, nine hundred eighty-one"
	45,000,689,112	"forty-five billion, six hundred eighty-nine thousand, one hundred twelve"
Decimal numbers	0.056	"zero point zero five six"
	4.37	"four point three seven"
Fractions - common	$\frac{1}{2}$, $\frac{1}{4}$, $\frac{2}{3}$, $\frac{4}{5}$	"one half, one fourth, two thirds, four fifths"
Fractions - not common - read as "numerator over denominator"	$\frac{14}{25}$	Other common fractions include "sixths, eighths, tenths" "fourteen over twenty five"
	$\frac{487}{6972}$	"four hundred eighty-seven over six thousand nine hundred seventy-two"
Mixed numbers - read with "and" between whole number and fraction	$3\frac{1}{2}$	"three and one-half"
	$57\frac{3}{4}$	"fifty-seven and three-fourths"
Percents	62%	"sixty-two percent"
	7.5%	"seven point five percent"
	0.23%	"zero point two three percent"
Money - if contains a decimal point, read as "dollars AND cents"	\$4.98	"four dollars and ninety-eight cents"
	\$0.33	"thirty-three cents"
	\$5368.00	"five thousand three hundred & sixty-eight dollars"

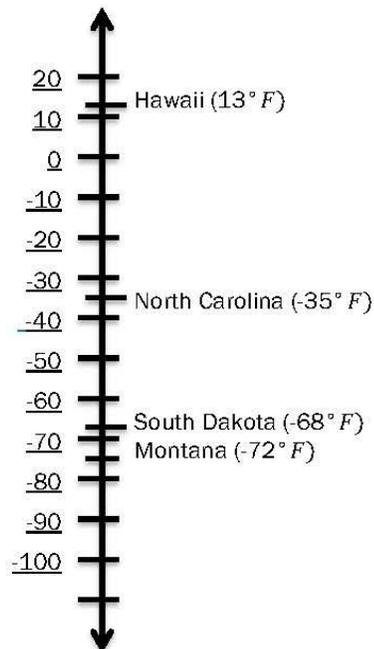
Negative numbers - do NOT read negative sign as "minus"	- 3 - $\frac{5}{8}$ -7.56	"negative three" "negative five eighths" "negative seven point fifty-six"
Dates (years)	1987 2005	"nineteen eighty seven" "two thousand five"
Roman Numerals	I II III IV	"Roman Numeral one" "Roman Numeral two" "Roman Numeral three" "Roman Numeral four"
Ratios	$x : y$	"x to y"
Square roots and cube roots	$\sqrt{6}$ $\sqrt[3]{16}$	"the square root of six" "the cube root of sixteen"
Operations		
Description	Example(s)	Read as:
Addition	$\begin{array}{r} 13 \\ + 27 \\ \hline \end{array}$ 13 + 27 = 13 + 27 = ?	"thirteen plus twenty-seven equals" "thirteen plus twenty-seven equals question mark"
Subtraction	$\begin{array}{r} 487 \\ - 159 \\ \hline \end{array}$ 487 - 159 = 487 - 159 = ?	"four hundred eighty-seven minus one hundred fifty-nine equals" "four hundred eighty-seven minus one hundred fifty-nine equals question mark"
Multiplication	$\begin{array}{r} 63 \\ \times 49 \\ \hline \end{array}$ 63 x 49 = 63 x 49 = ?	"sixty-three times forty-nine equals" "sixty-three times forty-nine equals question mark"
Division - Vertical or Horizontal	$\frac{120}{15} = 8$ 120 ÷ 15 = 8	"one hundred twenty divided by fifteen equals eight"
Operations with boxes	3 + □ = 8	"three plus box equals eight"

Expressions		
Description	Example(s)	Read as:
Expressions containing variables (any letter may be used as a variable)	$N + 4$	"N plus four"
	$8x - 3$	"eight 'x' minus three"
	$4(y - 2) + 5 = 7$	"four open parenthesis 'y' minus two close parenthesis plus five equals seven"
	$V = \frac{4}{3}\pi r^3$	"V equals four thirds pi 'r' cubed"
	$\frac{ t - 2}{6} \leq 15$	"the absolute value of 't' (pause) minus two (pause) over six is less than or equal to fifteen"
	$x^2y^3 = -36$	"x squared 'y' cubed equals negative thirty-six" or "x to the second power times 'y' to the third power equals negative thirty-six"
$156x \geq 4$	"one hundred fifty-six 'x' is greater than or equal to four"	
Functions and inverse functions (Read "of" instead of parentheses)	$f(x)$ $f(x + 2)$ $f(g(x))$	"F of x" "F of x plus 2" "F of g of x"
Coordinate pairs	the point (-1, 2)	"the point (pause) negative one comma two"
Answer choices with no other text	the point A is at (6, 3)	"the point 'A' is at (pause) six comma three"
	A. (-3, -4)	"A' (pause) negative three comma negative four"
Comparing Lines, Shapes, and Angles		
Description	Example(s)	Read as:
Parallels	$\overline{AB} \parallel \overline{CD}$	"line segment AB is parallel to line segment CD"
Perpendiculars	$\overline{AB} \perp \overline{CD}$	"line segment AB is perpendicular to line segment CD"
Similar and congruent	$\triangle ABC \sim \triangle DEF$	"triangle A B C is similar to triangle D E F"
	$\angle ABC \cong \angle DEF$	"angle A B C is congruent to angle D E F"

Lines, line segments, rays, arcs	\leftrightarrow BC	"line B C"
	\overline{CD}	"line segment C D"
	\rightarrow BC	"ray B C"
	\widehat{BC}	"arc B C"
Trigonometry		
Description	Example(s)	Read as:
Sine	$\sin 25^\circ$	"sine twenty-five degrees"
Cosine	$\cos 35^\circ$	"cosine thirty-five degrees"
Tangent	$\tan 10^\circ$	"tangent ten degrees"

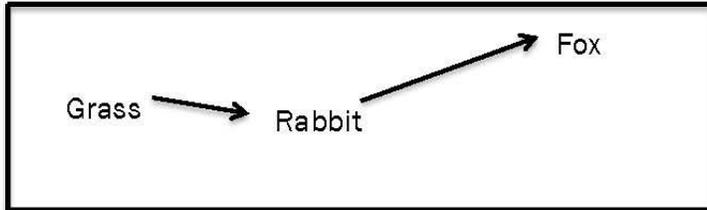
IMAGES/GRAPHICS/DIAGRAMS/TABLES

FROM TOP TO BOTTOM



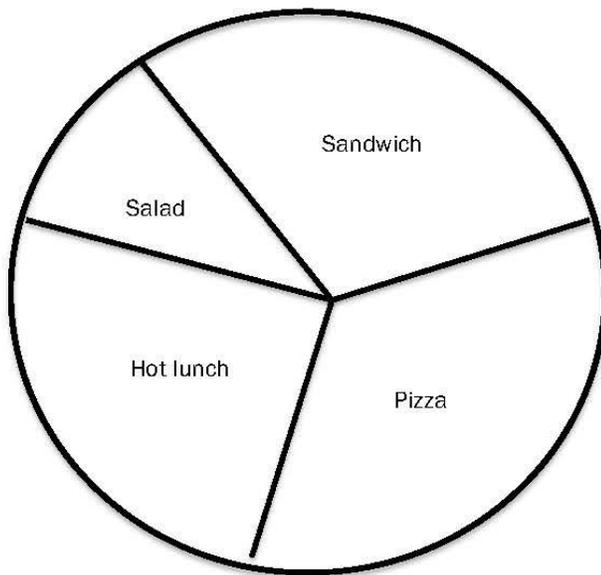
"From top to bottom the figure is labeled: Hawaii thirteen degrees Fahrenheit, North Carolina negative thirty-five degrees Fahrenheit, South Dakota negative sixty eight degrees Fahrenheit, Montana negative seventy two degrees Fahrenheit"

FROM LEFT TO RIGHT



"From left to right, the figure reads: Grass, Rabbit, Fox"

CLOCKWISE (START WHEREVER MAKES SENSE.)



"Clockwise from the top, the figure reads: Sandwich, Pizza, Hot lunch, Salad"

TABLES

1. Read title.
2. Total up the columns and rows.
3. Read column/row headings
4. Read cell values (only as directional language for the first one)

Results from School Walk-a-Thon

NUMBER OF STUDENTS	NUMBER OF MILES WALKED
30	112
46	214
37	98
41	189

"The title of the table is Results from School Walk-a-Thon. The table has 2 columns and 4 rows. From left to right, the column headings read Number of Students, Number of Miles Walked. From left to right the first row reads thirty, one hundred twelve. The second row reads forty-six, two hundred fourteen. The third row reads thirty-seven, ninety eight. The fourth row reads forty-one, one hundred eighty nine."

SUGGESTED TEST READER SCRIPT (TO BE USED WITH STUDENT IN ADVANCE OF THE DAY OF TESTING)

Hi _____,

I'm the person who will be reading your test to you when you take your Smarter Balanced assessment next week in [math/ELA]. I wanted to let you know how we'll work together. When I'm reading a test to you, it's very different from when I'm reading to you during class time. I have to follow certain rules.

- I cannot help you with any answers.
- I cannot click on anything on the screen.¹
- I will not be using different character voices or changes in my tone when I read. I will be using a very direct voice that does not change very much, no matter how exciting the story or test item gets.
- If there is a picture that has words in it, I will read those words. If you ask, I will re-read the words as well.
- Sometimes there may be something about a word or phrase that might give you a hint if I read it out loud. In those cases, I will skip the word, point to it on screen [**or on your booklet if braille or print on demand], and continue to read.
- I can still help you with your [**]ist any assistive technology that the student may require that would need adult support -- if that support is provided by you].
- You can ask me to re-read parts of the test if you didn't hear me or need more time to think.
- You can ask me to pause my reading if you need to take a break.
- You can ask me to slow down or speed up my reading, or read louder or softer if you are having trouble understanding what I read.
- I will only read certain types of punctuation, but if you need me to re-read a sentence and tell you how it was punctuated, I can do that.
- If you ask me a question about the test all I will say is: "Do your best work. I cannot help you with that."
- Do you have any questions for me about how we'll work together during the test?

¹ A reader may click on something on the screen only if this is an identified need in the student's IEP or 504 plan and the reader has received appropriate training on when and how to do so.



REFERENCES

- Educational Testing Service. (2002). *Guidelines for a Test Reader*. Retrieved from ETS Home: https://www.ets.org/disabilities/test_reader/
- Measured Progress / ETS. (2012, April 16). *Mathematics Audio Guidelines*. Retrieved from Smarter Balanced Assessment Consortium: <https://portal.smarterbalanced.org/library/en/mathematics-audio-guidelines.pdf>
- Measured Progress/ETS. (2012, April 16). *ELA Audio Guidelines*. Retrieved from Smarter Balanced Assessment Consortium: <https://portal.smarterbalanced.org/library/en/ela-audio-guidelines.pdf>
- Oregon Department of Education Office of Student Learning and Partnerships. (2012, December). *Guidelines for the Read Aloud Accommodation*. Retrieved from Oregon Department of Education Home: [http://www.ode.state.or.us/teachlearn/testing/admin/alt/ea/2-guidelines-for-the-math-read-aloud-accommodation-for-2012-2013-\(3\).pdf](http://www.ode.state.or.us/teachlearn/testing/admin/alt/ea/2-guidelines-for-the-math-read-aloud-accommodation-for-2012-2013-(3).pdf)
- State of Washington Office of Superintendent of Public Instruction. (2013, September). *Access Supports and Accommodations Guidelines for State Assessments*. Retrieved from State of Washington Office of Superintendent of Public Instruction.
- West Virginia Department of Education. (December, 2013). *West Virginia Department of Education Office of Assessment and Accountability*. Retrieved from West Virginia Guidelines for Participation in State Assessments, 2013-2014: Guidance on Accommodations for Students with Disabilities and/or Limited English Proficiency in State and District-Wide Testing: <http://wvde.state.wv.us/osp/ParticipationGuidelines-2013-2014.pdf>

APPENDIX E: SCRIBING PROTOCOL FOR SMARTER BALANCED ASSESSMENTS

June 28, 2018

A scribe is an adult who writes down what a student dictates in a variety of ways (e.g., speech, American Sign Language (ASL), braille, assistive communication device). The guiding principle in scribing is to ensure that the student has access to and is able to respond to test content.

Scribes are allowable on Smarter Balanced Assessments as a **documented accommodation** for ELA performance task full writes, and a **designated support** for mathematics and ELA items (except ELA performance task full writes). For information on documentation requirements and decision-making criteria for use of scribes and all other Smarter Balanced supports please see the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines*.

QUALIFICATIONS FOR SCRIBES

- The scribe should be an adult who is familiar with the student, such as the teacher or teaching assistant who is typically responsible for scribing during educational instruction and assessments.
- Scribes must have demonstrated knowledge and experience in the subject for which scribing will be provided.
- Scribes should have extensive practice and training in accordance with Smarter Balanced and member administration and security policies and procedures as articulated in Consortium and member test administration manuals, guidelines, and related documentation.

PREPARATION

- Scribes should read and sign a test security/confidentiality agreement prior to test administration.
- Scribes are expected to familiarize themselves with the test format in advance of the scribing session. Having a working familiarity with the test environment will help facilitate the scribe's ability to record the student's answers. Scribes may wish to review the practice test to become familiar with the assessment.
- Scribes should be familiar with the Individualized Education Program (IEP) or 504 plan if the student for whom they are scribing has a disability, so that there are plans in place for providing all needed designated supports and accommodations.
- Scribes should also have a strong working knowledge of the embedded and non-embedded universal tools, designated supports, and accommodations available on Smarter Balanced assessments.
- Scribes should review the *Scribing Protocol for Smarter Balanced Assessments* with the student at least one to two days prior to the test event.
- Scribes should practice the scribing process with the student at least once prior to the scribing session.

GENERAL GUIDELINES

- Scribing must be administered so that the interaction between a scribe and a student does not interrupt other test-takers, or inadvertently reveal the student’s answers.
- If not in a separate setting, the scribe should be situated near enough to the student to prevent their conversations from reaching other students in the room.
- For computer-based administrations, scribes must enter student responses directly into the test interface, making use of the embedded and non-embedded tools available for a given item and student.
- Scribes are expected to comply with student requests regarding use of all available features within the test environment.
- Scribes may respond to procedural questions asked by the student (e.g., test directions, navigation within the test environment, etc.).
- Scribes may not respond to student questions about test items if their responses compromise validity of the test. The student must not be prompted, reminded, or otherwise assisted in formulating his or her response during or after the dictation to the scribe.
- Scribes may ask the student to restate words or parts as needed. Such requests must not be communicated in a manner suggesting that the student should make a change or correction.
- Scribes may not question or correct student choices, alert students to errors or mistakes, prompt or influence students in any way that might compromise the integrity of student responses. A scribe may not edit or alter student work in any way, and must record exactly what the student has dictated.
- Students must be allowed to review and edit what the scribe has written. If necessary, the student can request the scribe to read aloud the completed text before final approval.

CONTENT-AREA SPECIFIC GUIDELINES

Content Area	Guidelines
<p>English Language Arts</p>	<p><u>Selected Response Items (Single and Multiple Answer)</u></p> <ul style="list-style-type: none"> • The student must point to or otherwise indicate his/her selection(s) from the options provided. • Scribes are expected to comply with student directions regarding screen and test navigation and use of test platform features available for a given item. • The student will confirm the selected answer and indicate to the scribe when he/she is ready to move to the next item. <p><u>Constructed Response Items (Short-Text)</u></p> <ul style="list-style-type: none"> • The scribe will write verbatim student responses on paper or on screen in an area occluded from other students’ view. • The scribe will correctly spell all words as dictated. • The scribe will not capitalize words or punctuate text. • The scribe will orally confirm spelling of homonyms and commonly confused homophones, e.g., <i>than</i> and <i>then</i>; <i>to</i>, <i>two</i>, and <i>too</i>; <i>there</i>, <i>their</i>, and <i>they’re</i>. • The student will proofread to add punctuation, capitalization, spacing, and make other edits. • The scribe will make student requested changes, even if incorrect.

	<ul style="list-style-type: none"> • The student will confirm the fidelity of the response. • The student will indicate to the scribe when he/she is ready to move to the next item. <p><u>Long Essay (Full Write)</u></p> <ul style="list-style-type: none"> • The scribe will write verbatim student responses on paper or on screen in an area occluded from other students' view. • The scribe will correctly spell all words as dictated. • The scribe will not capitalize words or punctuate text. • The scribe will orally confirm spelling of homonyms and commonly confused homophones, e.g., <i>than</i> and <i>then</i>; <i>to</i>, <i>two</i>, and <i>too</i>; <i>there</i>, <i>their</i>, and <i>they're</i>. • The student will proofread to add punctuation, capitalization, spacing, and other edits. • The scribe will make student requested changes, even if incorrect. • The student will confirm the fidelity of the response. • The student will indicate to the scribe when he/she is ready to move to the next item. • Scribes should request clarification from the student about the use of capitalization, punctuation, and the spelling of words, and must allow the student to review and edit what the scribe has written.
<p>Mathematics</p>	<p><u>Selected Response Items (Single and Multiple Answer)</u></p> <ul style="list-style-type: none"> • The student must point to or otherwise indicate his/her selection from the options provided. • The scribe will comply with student directions, including requests regarding screen and test navigation and use of test platform features available for the question. • The student will confirm his/her selections and indicate to the scribe when he/she is ready to move to the next item. <p><u>Constructed/Equation Response Items</u></p> <ul style="list-style-type: none"> • The student must point or otherwise direct the scribe in developing his/her response. • The scribe will input student work directly onscreen and in view of the student. • For responses requiring equations, the student must specify where to place figures and operands. • For responses requiring text, the scribe will correctly spell all words as dictated and conform to standard writing conventions. • For responses requiring text, the student will proofread to add punctuation, capitalization, spacing, and other edits. • The scribe will make student requested changes, even if incorrect. • The student will confirm the fidelity of the response.

- | | |
|--|--|
| | <ul style="list-style-type: none">• The student will indicate to the scribe when he/she is ready to move to the next item. |
|--|--|

CONSIDERATIONS FOR STUDENTS ALSO USING ASL OR OTHER SIGN SYSTEM

- The scribe should be proficient in the sign system utilized (e.g., ASL) or the scribe should be working with an interpreter proficient in the sign system, as determined by the Consortium member.
- When a constructed response is required, the interpreter/scribe should convey the meaning behind the student's indicated response.
- The interpreter/scribe should show the student the written response, but NOT sign the response to the student.
 - Probing or clarifying is allowed in the case of classifiers for students using ASL or other sign systems.
- Students may review the written or typed response on paper or on the computer screen and indicate any changes or revisions to the scribe.

CONSIDERATIONS FOR STUDENTS USING BRAILLE

- The scribe should be proficient in reading (visually or tactually) braille in all braille codes used by the student, as determined by the Consortium member.
- The scribe should enter the responses on paper or online exactly as the student has brailled. In addition to following the content specific guidelines above, errors in braille code should not be corrected.
- The scribe may ask for the student to read back brailled responses for clarification if the brailled response is difficult to read due to student corrections.
- Students may review the written or typed response on paper or on the computer screen by either using the scribe to read back the entered response or using assistive technology. Students may indicate any changes or revisions to the scribe.

POST-ADMINISTRATION

- The scribe will submit online or paper-based student responses and collect scratch paper, rough drafts, and login information immediately at the end of the testing session and deliver it to the test administrator in accordance with Consortium and member policies and procedures.

REFERENCES

- California Department of Education. (2010, February). California High School Exit Examination. Retrieved from CAHSEE Accommodations and Modifications: <https://www.cde.ca.gov/ta/tg/hs/>
- Delaware Department of Education. (2013, 06 14). *Guidelines for Inclusion of Students with Disabilities and English Language Learners*. Retrieved from DCAS Online: http://dscyfeducation.wikispaces.com/file/view/Guidelines_for_Inclusion_2013-14_V2.pdf
- New England Common Assessment Program (NECAP). (2010, August). *New England Common Assessment Program Accommodations Guide*. Retrieved from: https://www.maine.gov/education/necap/1011materials/accommodations_guide_final.pdf
- State of Washington Office of Superintendent of Public Instruction. (2013, September). *Access Supports and Accommodations Guidelines for State Assessments*. Retrieved from State of Washington Office of Superintendent of Public Instruction.
- Utah State Office of Education. (2013). *Scribe Accommodation Guidelines*. Retrieved from: <https://schools.utah.gov/file/d20bd730-8fdd-4012-a84b-4424e487a735>.
- West Virginia Department of Education. (December, 2013). *West Virginia Guidelines for Participation in State Assessments, 2013-2014: Guidance on Accommodations for Students with Disabilities and/or Limited English Proficiency in State and District-Wide Testing*. Retrieved from West Virginia Department of Education Office of Assessment and Accountability: <http://wyde.state.wv.us/osp/ParticipationGuidelines-2013-2014.pdf>.

APPENDIX F: REVISION LOG

Updates to the *Smarter Balanced Usability, Accessibility, and Accommodations Guidelines* are captured in this Revision Log. Updates are based on requests from Members that do not impact policy. Any changes impacting policy require discussion and vote by Governing Members. Updates captured in the Revision Log are separated into two categories:

- **Clarification:** Updates of this type add details to existing information included in the *Guidelines*.
- **Increased Flexibility:** Updates of this type reflect explicatory information included in the *Guidelines* that result in augmented access to Smarter Balanced assessments.

Revisions are captured in tracking tables according to category. In cases where both **Clarification** and **Increased Flexibility** edits are made, changes to the *Guidelines* will be captured in the **Increased Flexibility** tracking table.

Section	Page	Clarification: Description of Changes	Date	Version
Table 3	9	Consistently used the term "ELA reading passages" instead of "ELA passages" to clarify availability of text-to-speech as an embedded designated support.	03/12/14	1.2
Table 4	12	Consistently used the term "ELA reading passages" instead of "ELA passages" to clarify availability of read aloud as a non-embedded designated support.	03/12/14	1.2
Table 5	17	Consistently used the term "ELA reading passages" instead of "ELA passages" to clarify availability of text-to-speech as an embedded accommodation.	03/12/14	1.2
Table 6	19	Consistently used the term "ELA reading passages" instead of "ELA passages" to clarify availability of read aloud as a non-embedded accommodation.	03/12/14	1.2
Table 3	10	Added verbiage clarifying the audio component of translated glossaries.	08/01/14	2.1
Table 3	10	Added clarifying language for the translated test directions embedded designated support, "As an embedded designated support, translated test directions are automatically a part of the stacked translation designated support."	11/5/14	2.2

Appendix C	32	Added question 16 to FAQs, which reflects information about a state vote addressing accessibility resources discussed and not included.	11/5/14	2.2
Global		References to Consortium "states" were changed to "members."	6/1/15	3.1
Global		References to TIDE were changed to ART.	6/1/15	3.1
Figure 1	4	Updated graphic to reflect new resources.	6/1/15	3.1
Introduction	5	Updated to include all appendices (A-E) and descriptions.	6/1/15	3.1
Table 1	6	Inserted grade levels for which calculators are permitted.	6/1/15	3.1
Table 6	19			
Appendix A	23			
Table 4	15	Updated the description of non-embedded Translations (Glossaries) to reflect that it is a resource available only for paper-pencil tests.	6/1/15	3.1
Appendix C	36	Add question 43 to FAQs to clarify small group administration of the Read Aloud.	6/1/15	3.1
Appendix D	39	Example added to guidance regarding misspellings in the Read Aloud Protocol.	6/1/15	3.1
Table 4	14	Updated description of Separate Setting to include, "or to use a device requiring voicing (e.g., a Whisper Phone)."	8/15/15	3.2
Appendix C	32	Added FAQ 17 to describe the process for updating the UAAG.	8/15/15	3.2
Introduction	9	Elementary and Secondary Education Act (ESEA) (reauthorized as the No Child Left Behind Act of 2001 – NCLB) replaced with: Every Student Succeeds Act (ESSA) of 2016 and/or ESSA	7/1/16	4.1
Introduction FAQ 2	3 27	To maintain consistency throughout the document, the description of DS updated to: Designated supports are available to students for whom the need has been indicated by an educator (or team of educators with parent/guardian and student).	7/1/16	4.1
Section Introductory Text	6 9	Added verbiage to introductory text to clarify impact of using accessibility resources: "The following [Universal Tools/Designated Supports/Accommodations] are not modifications. Universal tools all	7/1/16	4.1

	16	yield valid scores that count as participation in assessments that meet the requirements of ESSA when used in a manner consistent with the Guidelines.”		
Table 4 Table 6	13 20	Read Aloud policy clarified and updated for consistency through document to indicate use of separate setting may be needed	7/1/16	4.1
Table 5	18	Incorrect reference to ‘Read Aloud’ corrected to Text to speech.	7/1/16	4.1
Table 6	21	To maintain consistency in the document, a footnote referencing appendix a was added	7/1/16	4.1
FAQ 1	26	Formatting updated to increase readability	7/1/16	4.1
FAQ 10	29	Verbiage updated to more clearly reflect current process for soliciting feedback	7/1/16	4.1
FAQ 11	29	Updated link to the Practice test	7/1/16	4.1
FAQ 12	30	Update verbiage to align with new policy on scratch paper which includes use of white boards and assistive technology devices	7/1/16	4.1
FAQ 29	35	Updated the link to the translations accommodation framework	7/1/16	4.1
Global		English language learner updated to English learner	6/30/17	4.2
Global		Formatting updates to increase readability. Editorial changes to increase consistency within and across documentation and to include updated information and references.	6/30/17	4.2
Table 4	14	Added verbiage to Magnification, “Magnification allows increasing the size <u>and changing of the color contrast, including the size and color of the mouse pointer,</u> to a level not provided for by the zoom universal tool, <u>color contrast designated support, and/or mouse pointer designated support.”</u>	6/30/17	4.2
Table 3, Table 4	11, 14	To Read aloud and Text to speech, added clarifying verbiage, “for math <u>stimuli and items</u> ”	6/30/17	4.2
Table 4	15	To Separate Setting, added verbiage, “use Amplification” and “It may also include a calming device or support as recommended by educators and/or specialists.”	6/30/17	4.2

Table 4,	15	For Scribe, added clarifying verbiage, "(for all items except ELA performance task full write. (See Accommodations for ELA performance task full write)"	6/30/17	4.2
Table 5	18	Included updated verbiage on technology, "Due to limitations with refreshable braille technology and math" and "Alternative text descriptions are embedded in the assessment for all graphics."	6/30/17	4.2
Table 6	20	Inserted grade levels to the 100s Number Table	6/30/17	4.2
Table 6	20	For Scribe, added clarifying verbiage, "(for ELA performance task full write. (See Designated Supports for all items except ELA performance task full write)"	6/30/17	4.2
Global		Carried out minor editorial changes to the text of the document to remove spelling or grammatical errors and to increase consistency in terminology and capitalization.	6/28/18	6.1
FAQ 27	41	Added FAQ, Why are resources to support English language proficiency needs classified as universal tools and designated supports?	6/28/18	6.1
Read Aloud Protocol	49-53	Removed "numbers greater than 99, however, should be read as individual numbers" and updated the examples that follow for this removal	6/28/18	6.1
Read Aloud Protocol	50-52	Added examples for square roots, functions, comparing lines, shapes and angles, trigonometry, and images/graphics, diagrams. Removed example for graphic organizer.	6/28/18	6.1
Read Aloud Protocol	60	Updated reference links	6/28/18	6.1
Scribing Protocol	61	From the section guiding scribing for selected responses, removed "Scribes should request clarification from the student about the use of capitalization, punctuation, and the spelling of words, and must allow the student to review and edit what the scribe has written."	6/28/18	6.1

Section	Page	Increased Flexibility: Description of Changes	Date	Version
Table 2	8	Scratch paper, the non-embedded universal tool, description has additional details regarding the performance task testing sessions: "For mathematics and ELA performance tasks, if a student needs to take the performance task in more than one session, scratch paper may be collected at the end of each session, securely stored, and made available to the student at the next performance task testing session. Once the student completes the performance task, the scratch paper must be collected and securely destroyed to maintain test security."	03/12/14	1.2
Table 4	14	Added information regarding the availability of translated test directions in PDF format. New accessibility resource also added to Figure 1 and Appendix A.	08/01/14	2.1
Table 4	14	To separate setting, added that, "A specific adult, trained in a manner consistent with the TAM, can act as test proctor (test administrator) when student requires it."	08/01/14	2.1
Table 4	13	Added information regarding the availability of noise buffers. New accessibility resource also added to Figure 1 and Appendix A.	08/01/14	2.1
Appendix C	26	Added the FAQs section.	08/01/14	2.1
Table 4	13	Moved noise buffers from non-embedded accommodations to non-embedded designated support. Same change was made to graphic and Appendix A table.	11/5/15	2.2
Table 5	18	Added descriptive information on the Streamline accommodation. Streamline was also added to graphic and Appendix A table.	11/5/14	2.2
Table 6	20	Throughout document, updated the policy on Read Aloud non-embedded Accommodation, per member vote on 3/6/15	3/9/15	2.3
Appendix D	38	Added Read Aloud protocol reflecting change in policy as per member vote on 3/6/15	3/9/15	2.3
Intro, Appendix C	1 28	Added descriptive information regarding temporary approvals for individuals unique student accommodations or designated supports. Language to address this language included in FAQ 6.	6/1/15	3.1
Table 4	13	Added information regarding the availability of Read Aloud in Spanish. New accessibility resource also added to Figure 1 and Appendix A.	6/1/15	3.1
Table 4	14	Updated the information on Translated Test Directions to include ELA	6/1/15	3.1

Section	Page	Increased Flexibility. Description of Changes	Date	Version
Table 6, Appendix C	20 35	Removed the conditional school year 2014-2015 for the Read Aloud non-embedded accommodation on ELA passages. Language consistent with this change included in FAQ 37.	6/1/15	3.1
Appendix C	34	Added languages to reflect all languages offered for Translated Test Directions to FAQ 30.	6/1/15	3.1
Table 2	9	To Scratch Paper, added verbiage, "A whiteboard with marker may be used as scratch paper. As long as the construct being measured is not impacted, assistive technology devices, including low-tech assistive technology (Math Window) are permitted to make notes." ... "Access to internet must be disabled on assistive technology devices." ... "All notes on whiteboards or assistive technology devices must be erased at the end of each CAT session." ... "whiteboards should be erased, and notes on assistive technology devices erased to maintain test security."	7/1/16	4.1
Table 4	14	Added information regarding the availability of Designated Support, Simplified Test Directions. New accessibility resource also added to Figure 1 and Appendix A.	7/1/16	4.1
Table 6	19	Added information regarding the availability of Accommodation, 100s Number Table. New accessibility resource also added to Figure 1 and Appendix A.	7/1/16	4.1
Table 1	7	Added information regarding the availability of the embedded Universal Tool, Line reader. New accessibility resource also added to Figure 1 and Appendix A.	6/30/17	5.1
Table 1	7	Updated information to acknowledge the availability of the embedded Universal Tool, Thesaurus. Resource also added to Figure 1 and Appendix A.	6/30/17	5.1
Table 3	11	Added information regarding the availability of the embedded Designated Support, Mouse pointer. New accessibility resource also added to Figure 1 and Appendix A.	6/30/17	5.1
Table 4	13	Added information regarding the availability of the non-embedded Designated Support, Amplification. New accessibility resource also added to Figure 1 and Appendix A.	6/30/17	5.1
Table 5	19	Added information regarding the availability of the embedded Accommodation, Braille Transcript. New accessibility resource also added to Figure 1 and Appendix A.	6/30/17	5.1

Section	Page	Increased Flexibility: Description of Changes	Date	Version
Table 6	20	Added information to acknowledge the availability of the non-embedded (paper/pencil) Accommodation, Braille. Resource also added to Figure 1 and Appendix A.	6/30/17	5.1
Table 6	23	Added information regarding the availability of the non-embedded Accommodation, Word Prediction. New accessibility resource also added to Figure 1 and Appendix A.	6/30/17	5.1
Table 2	8	Added to the description for the non-embedded universal tool, scratch paper, "including the use of digital graph paper" and "familiar to the student and/or" and removed "and acceptable to the member".	6/28/18	6.1
Table 3	11	Streamline added as an embedded designated support.	6/28/18	6.1
Table 4	14	Added policy for non-embedded designated support, medical device. New accessibility resource also added to Figure 1 and Appendix A.	6/28/18	6.1
Table 5	20	Added the UEB codes that will be available for embedded braille in the 18-19 school year.	6/28/18	6.1
Table 5	20	Removed the embedded accommodation, streamline. As described above, streamline was added as an embedded designated support.	6/28/18	6.1
Table 6	21	Added " <u>including students with visual impairments or with documented processing impairments</u> " the recommendations for use for the abacus policy.	6/28/18	6.1

Exhibit H1a



WASHINGTON
COMPREHENSIVE ASSESSMENT PROGRAM



Student Record Management for Assessment Accountability

User Guide

2018-19

Published August 22, 2018

Prepared by the OSPI Assessment Analysts

Available on the WCAP Portal at: <http://wa.portal.airast.org>

This manual includes specific details on student data flow from CEDARS to TIDE, pre-identification, participation calculation (including reason not tested), and reporting.

Table of Contents

Overview.....	1
Enrolled Student Extract Logic.....	1
How That Works Operationally.....	2
What a Student Needs to Test.....	3
Non-Enrolled and New Students.....	4
Smarter Balanced ELA and Math in grades 3-8 and High School.....	6
Washington Comprehensive Assessment of Science.....	6
Online Administrations.....	6
Paper-Pencil Administrations.....	7
Alternate Testing Sites.....	8
The Goals.....	9
Exemptions for students enrolled only for part of the test window: 'Partially Enrolled' students.....	9
Status Calculation for Recently Arrived English Learners.....	10
Medical Exemption (ME).....	10
How Attempt Codes are Processed.....	12

Table of Tables

Table 1: Online Administration Pre-ID	7
Table 2: Paper Administrations Pre-ID	7
Table 3: Non-Standard Registration	8
Table 4: Attempt Code Scheme 2018-19 (spring)	11
Table 5: Attempt Code Processing	12
Table 6: Processing	13
Table 7: Processing of Incorrect Grade level	13
Table 8: Processing of Previously Passed Data from Enrollment File	13
Table 9: Processing of Medical Exemption Data from Enrollment File	13
Table 10: Processing of Invalidation Data from Test	13
Table 11: Processing New Non-English Proficiency Status	14
Table 12: Processing of Partially Enrolled and Not Enrolled Data from Enrollment File	14
Table 13: Post Processing	14

SECTION I: STUDENT RECORD DATA FLOW FROM CEDARS TO TIDE

Overview

The ability to identify students for assessments is a critical element of the process of doing formative assessment for instruction. Washington districts now have an unprecedented capacity to track students' academic progress over time, as measured by standardized interim and summative assessments, and report back to teachers to inform instruction.

The Test Information Distribution Engine (TIDE) is the system used to manage student information and user accounts for all of Washington's state assessments. After your district's first Comprehensive Education Data And Research System (CEDARS) submission or October 15, whichever is first, OSPI sends CEDARS enrolled student records to TIDE on a regular basis. Students must have a record in TIDE in order to participate in state assessments. This section outlines how this routine data transmission occurs, as well as the steps to take for fringe cases including non-enrolled students participating in state assessments.

Before your district completes their first CEDARS submission or by October 15, you may use the application in WAMS to download and submit a bulk upload via TIDE template file. Only one bulk upload may be submitted per day. Records uploaded through this process will appear in TIDE the following day. You can access this application and additional instructions in [WAMS](#) > Assessment Operations > Pre-ID > TIDE Pre-ID.

Alternately, you may also send individual student records by following the instructions in the section [Non-Enrolled and New Students](#), instructions 1.b.

Enrolled Student Extract Logic

After October 15, a nightly file will be sent to TIDE to add, update, or remove student records. The goal is to keep TIDE as synced as possible with CEDARS, given that each school district submits data to CEDARS on an individual schedule.

Currently enrolled student records are identified through CEDARS (Element C10: IsPrimarySchool='Y'), or in the case of a student with only a non-primary record, the non-primary school enrollment is extracted and sent.

Full-replace files are no longer being sent nightly. After the first file, nightly files are effectively delta files. Here is the current pull logic:

- 1) Currently enrolled students (students with no school exit date) who are primary = yes.
- 2) Currently enrolled students (students with no school exit date) on the date of the extract with **no** primary school enrollment and only **one** non-primary school enrollment.
- 3) If an SSID (representing a currently enrolled student) is associated with multiple records:
 - a. One SSID school enrollment record is primary and all others are not primary: keep **only** the primary enrollment record and send it to TIDE.
 - b. Multiple SSIDs with school enrollment records that are primary: all records are sent to TIDE.

- c. No SSID school enrollment records are primary; set aside duplicates and **no** student enrollment records are sent to TIDE for that SSID.

A record will persist in a school in TIDE until that school reports the student as having exited via CEDARS. Once an exit date is reported for a student, that student's record will be sent with a "delete" indicator to TIDE and the record will no longer be visible or editable in TIDE by the district that reported the exit date.

How That Works Operationally

For the 2018-19 assessment cycle, initial enrollment records will begin to populate in TIDE for districts within 24 hours of a successful CEDARS submission.

Three nightly file extract reports – "Last sent to Vendor", "Duplicate SSIDs", and "Dual Primary" – will continue to be available to districts to create visibility of which students are being sent to TIDE under which schools and districts. The "Duplicate SSIDs" report (formerly Duplicate SSIDs Not Sent" report) was repurposed to show students with multiple non-primary records that cannot be sent to TIDE, since all enrollments reported as primary are sent to TIDE. The Dual Primary report will indicate to assessment staff in school districts that another district is reporting the student as primarily enrolled or that there is a potential shared SSID across two students that may need attention.

When records in the list of duplicates represent a shared SSID that requires a split, the district's CEDARS District Administrator must request an SSID split through OSPI's Customer Support office at 1-800-725-4311 or customersupport@k12.wa.us. Splitting the SSID results in two new unique SSIDs issued in CEDARS. Once the new unique SSID(s) is reported to CEDARS, the record(s) will be loaded to TIDE and the old SSID will no longer be sent to TIDE.

In the instance of a student having primary enrollment in multiple districts in CEDARS, resolution will require finding out which district ought to be reporting the student as primary and which should be reporting as non-primary. The enrollment record(s) must then be updated via a CEDARS submission. This may require staff from multiple districts to contact one another directly to resolve the issue. DC contact information can be found on the [Test Administration page](#) of the OSPI website.

Example scenario 1: Student A is a 5th grader enrolled at a school in Tacoma School District from September through December. Student A leaves Tacoma on January 2 and enrolls in Bellingham School District the next day. Bellingham reports Student A as enrolled to CEDARS on that same day through a routine CEDARS submission:

1. Because Student A had a unique SSID and an active enrollment record in CEDARS at some point during the year, he has a record in TIDE and can access the assessments.
2. During the window of time in which Tacoma has yet to add an exit date for Student A and Bellingham is simultaneously reporting Student A as enrolled, both districts can see Student A's record in TIDE.

- a. Any test settings and completed test information for Student A will be preserved as part of Student A's assessment record in TIDE.
3. Both Bellingham and Tacoma would have the ability to modify test settings in TIDE until Tacoma reports Student A as exited. Once Tacoma reports Student A as having exited to CEDARS, a TIDE record for Student A from Tacoma with a "delete" flag will be transmitted. Tacoma will no longer see Student A's record in TIDE.

Example scenario 2: Student A is a 5th grader enrolled at a school in Tacoma School District all year. Student A also takes some online classes through a school in Federal Way School District. Both sites have reported Student A as primary all year in CEDARS:

1. Because the data in CEDARS shows that Student A is primary in two sites, Student A's record will be visible to both locations and both districts will be able to modify test settings.
2. District staff need to periodically check the "Dual Primary" report in WAMS to identify students with dual primary enrollment reported.
3. Only one district should be reporting Student A as primary. It may be necessary for staff from both Tacoma and Federal Way to review any inter-district agreements regarding primary responsibility for the student and determine which district should be reporting as non-primary to update CEDARS accordingly.

What a Student Needs to Test

Students must have a record in TIDE to access the state assessments. On the date of testing, students will need to log in using their SSID, first name (as it appears in TIDE, which is directly from CEDARS), and the test session ID, generated by the TA at the time of test administration.

Example scenario 3: Student A is a 5th grader enrolled all year at a school in Tacoma School District. Student B just moved to Federal Way from Oregon in February, and due to an error in SSID issuance upon Student B's arrival in Federal Way, Student B is issued Student A's SSID number:

1. Because Student A has a unique SSID and an active enrollment record in CEDARS, Student A can access the assessment.
2. Once the SSID is reported by both Tacoma and Federal Way in CEDARS at the same time, the student identifiers and demographics on the record will update to reflect the most recent information attached to the SSID:
 - a. Tacoma and Federal Way will both see the SSID in their system, but both districts will see "Student B" until the shared SSID issue is resolved.
 - b. A CEDARS District Administrator needs to contact OSPI's CEDARS Customer Support Team to resolve the shared SSID.
3. If this error is not identified prior to testing, both students may attempt to test.
 - c. The student who first accesses any portion of a summative test with the shared SSID will be able to access that test portion. The other student will not.

4. One of the students will have trouble accessing the test because either the student information on the screen that the student must validate will be incorrect (the "Is this you?" screen that appears before the test can begin) or the test system will not allow any further opportunities for the student. It is likely that one district will initiate the act of splitting the SSID. Regardless of who finds the error first, the resolution is to split the SSID, then work with the AIR Washington helpdesk to reassign the test to the correct student at 1-844-560-7366 or wahelpdesk@air.org.

Non-Enrolled and New Students

Non-enrolled students routinely participate in state assessments (i.e., home school, private school students). Students also may need to test after moving to a new school, but before the student record is sent to CEDARS as part of a routine submission. Since these students do not have current CEDARS enrollment records in the district in which they will test, no record will exist for them in TIDE, and one must be created. A student must have a record in TIDE including an SSID to access state assessments with the exception of the ELPA21 Screener, which can be accessed by creating a Temporary ID in TIDE prior to a student having an SSID created for them. Non-enrolled students and new students who do not have current enrollment records will require special handling.

For new EL students who need to participate in the ELPA21 Screener at the beginning of the school year, TIDE has a function to create a temporary ID that allows these students to access TDS. Temporary IDs exist to allow newly arrived students to take the screener prior to having an SSID issued, but the Temporary ID process requires districts to update these records to reflect the student's actual SSID prior to the student's first appearance in a nightly data file. Detailed instructions on how to update records with a temporary ID to an SSID are available in the [TIDE User Guide](#).

Additionally, OSPI is working with AIR on a way to update Temporary IDs with students' SSIDs in bulk. Once available, details will be announced through the Washington Assessment Weekly (WAW).

OSPI strongly advises districts to create firm policies regarding the amount of advanced notice that is needed for a non-enrolled student to participate in testing. The following protocol should be followed prior to testing non-enrolled students:

A non-enrolled student arrives at your school to participate in testing, or a student enrolls but has yet to have that enrollment reported to CEDARS:

1. The DC, TA, or other school staff with appropriate access must search CEDARS to check if a current school year enrollment record exists for the student anywhere in the state.
 - a. If a current student enrollment record with an SSID is found, the student can test using that SSID and no special action is needed.

If a current student enrollment record with an SSID is not found, no SSID exists for the student in the state, the CEDARS District Administrator (or individual in the district who manages SSIDs) must request an SSID for the student through CEDARS Screen Entry or Bulk Upload process.

For assistance with the SSID issuance process, please have the appropriate staff refer to the [SSID User Guide](#).

- b. Access the tool in WAMS called "Send Student to TIDE" (Pre-Id->Nightly File Extracts->Send Student to TIDE) and search for the student by SSID. From this screen, if the record is returned for the student, indicate the school where the student will test and the grade level of the student. A record will be sent overnight to TIDE to create a record associated with that school. The record in appears in TIDE the following morning.

NOTE: In the rare event of a student arriving the same day of testing, contact OSPI's Assessment Data Analysts

(assessmentanalysts@k12.wa.us or 360-725-6109) to transmit the new student information to TIDE (after steps A and B) above. The analysts will run a validation of the SSIDs against known student information in CEDARS and SSID Issuance to ensure the validity of the SSIDs. If data is validated and accurate, load the data to TIDE. With proper planning locally, this should **only** be necessary as a last resort.

2. If nobody at the school level has the appropriate role to search CEDARS, school level staff must contact their DC or DA (as determined locally) to repeat step 1.

SECTION II: PRE-ID DETAILS

Smarter Balanced ELA and Math in grades 3-8 and High School

All students in grades 3–8 and 10 must take the Smarter Balanced ELA and Math Assessments. Students are automatically identified by OSPI for testing based on grade level. Information on how to identify students testing Off-Grade Level (OGL) in Smarter Balanced ELA and/or Math is detailed in the [Online Administrations](#) section.

Washington Comprehensive Assessment of Science

All students in grades 5, 8, and 11 must take the Washington Comprehensive Assessment of Science (WCAS). Students are automatically identified by OSPI for testing based on grade level.

Online Administrations

Pre-ID for Smarter Balanced ELA and Math assessments will occur automatically by OSPI based on student enrollment in CEDARS. Any students that are currently being reported in CEDARS in grades 3–8 and 10 will be loaded to TIDE and will be eligible to take ELA and math test. Students in grades 11 and 12 will also have records in TIDE to facilitate their assessment toward graduation purposes.

Students in grades 5, 8, and 11 will also be pre-ID by OSPI to take the Washington Comprehensive Assessment of Science (WCAS)

Students in grades K–2 are included for any applicable ELPA21 testing. These students also have access to Smarter Balanced interim assessments. Students identified in CEDARS as English Learners in grades K–12, including Native American students receiving English language supports under Title III, will be Pre-ID to take ELPA21.

Students with an IEP, taking the Off-Grade Level ELA or math assessment to fulfill graduation requirements, will be individually identified by the DC, DA, or SC within TIDE. Students must be identified for OGL testing no later than one day prior to testing.

To update eligibility for OGL ELA or math assessments, you must find the student in TIDE using the “View/Edit/Export Students” screen. Open the student’s record by clicking the “Edit” button. This will take you to the “View/Edit Student” page, where you will locate the Off Grade Testing section. Identify the grade level the student is eligible to test in. At this time, the system only supports individual entries (one student at a time). Instructions on how to find students and edit settings in TIDE are available within the [TIDE User Guide](#).

Accessibility features (tools, supports, and accommodations) must align to the [Guidelines on Tools, Supports & Accommodations](#) (GTSA). Accessibility features must be assigned in TIDE, through the “View/Edit Student” page. They may also be uploaded for multiple students using the “Upload Student Settings” tab. See the TIDE User Guide for more guidance on uploading student accessibility features.

Table 1: shows a list of all online administrations, including what action and where the action needs to be taken at the district and/or school level to pre-ID students. For federal accountability, students must also be assessed in grade 11 with the science assessment and grade 10 with the ELA and math assessments.

Table 1: Online Administration Pre-ID

ADMIN	TESTING BEGINS	WHERE TO PRE-ID	PRE-ID LIST LOCATION
Smarter ELA & Math	Gr 3-8 & 10 3/4/2019	No action needed. All students reported in CEDARS (grades 3–8 & 10) will be pre-identified to take ELA and Math	WAMS > Pre-ID > Nightly File Extracts Or TIDE
OGL ELA & Math	Gr 10, 11, 12 3/4/2019	Action needed. Off Grade Level eligibility must be done on a student-by-student basis in TIDE	TIDE— Individually by student
WCAS Science	Gr 5 & 8 4/15/2019	No action needed. All students reported in CEDARS (grades 5 & 8) will be pre-identified to take science	WAMS > Pre-ID > Nightly File Extracts Or TIDE— View all grade 5 or 8 students
WCAS Science	Gr 11 5/6/2019	No action needed. All students reported in CEDARS (grade 11) will be pre-identified to take science	WAMS -> Pre-ID -> Smarter Balanced Pre-ID Or TIDE— View all grade 11 students

Paper-Pencil Administrations

Initial orders of English and Spanish paper-pencil test booklets and large print and Braille forms for Smarter Balanced and WCAS, must be identified directly through the WAMS > Assessment Operations > Pre-ID > Test Registration Students Receiving Services tab. Additional orders (AOs) of materials may be placed in TIDE. Refer to the [WCAP Portal](#) for A/O schedules.

Instructions on ordering additional materials and printing pre-ID labels are available in the [TIDE User Guide](#).

Table 2: Paper Administrations Pre-ID

ADMIN	TESTING BEGINS	WHERE TO PRE-ID	PRE-ID LIST LOCATION
Smarter ELA & Math	Gr 3-8 4/15/2019	Action needed. Register in WAMS (student level) by 10/15/18 – 1/31/19	WAMS > Pre-ID > Nightly File Extracts
Smarter ELA & Math	HS 5/3/2019	Action needed. Register in WAMS (student level) by 10/15/18 – 2/21/19	WAMS > Pre-ID > Nightly File Extracts
WCAS Science	Gr 5, 8 4/15/2019	Action needed. Register in WAMS (student level) by 10/15/18 – 1/31/19	WAMS > Pre-ID > Nightly File Extracts
WCAS Science	HS 5/3/2019	Action needed. Register in WAMS (student level) by 10/15/18 – 2/21/19	WAMS -> Pre-ID -> Smarter Balanced Pre-ID

Alternate Testing Sites

Districts may need to accommodate “guest testers” (e.g., online school program students or primarily homebased students). They can define which test sessions are open to guest testers and/or are offered outside normal school hours through WAMS and leverage the application to produce rosters of guest testers for tracking purposes. Enrolled Site (ALE/Online Program) must:

1. For online tests, print and ship/fax test tickets
2. For paper tests, print and ship Pre-ID labels
3. Assign any off-grade tests, supports, and accommodations before the start of testing; communicate those to test site coordinators by having students complete off-site test registration: <https://eds.ospi.k12.wa.us/TestRegistration/>.

Table 3: Non-Standard Registration

REGISTRATION	WINDOW	LOCATION	REQUIRED ACTION
Alternate Test Site Registration	10/15/18 – Ongoing	WAMS > Pre-ID > Alternate Site Registration	(Voluntary) Identify any sites and test session times within your district that are open to guest testers (e.g. homeschool students, online school program students, Running Start students) and/or are available outside normal school hours to accommodate guest testers with irregular schedules (e.g. Running Start students).
Online school program students testing at alternate sites	10/15/18 Ongoing – must complete prior to testing	https://eds.ospi.k12.wa.us/TestRegistration/	Online school program coordinators are responsible for identifying students to be assessed at a district other than their primary district along with date/time of test session. Online school programs may contact the test site directly (not using WAMS) to make arrangements as well.
Running Start Students testing at non-resident site	10/15/18 Ongoing – must complete prior to testing	https://eds.ospi.k12.wa.us/TestRegistration/	Running Start Students in high school must make arrangements with their testing site to take any remaining required assessments for accountability purposes.
Non-Enrolled students needing tests	Ongoing	CEDARS>SSID & WAMS>Send Student to TIDE	Non-enrolled students who need to participate in testing (e.g. create a record in TIDE for online testing or generate a pre-ID label from TIDE for paper tests) must have an SSID and a record sent via WAMS to TIDE.
Review Students with Dual Enrollment	Ongoing	WAMS > Pre-ID > Smarter Balanced Pre-ID	Review student enrollment to ensure any student with conflicting primary enrollment across districts are resolved by having one of the districts report to CEDARS as non-primary. If conflict is due to a shared SSID, work with CEDARS admin and OSPI Customer Support to resolve the issue. If this conflict is caused by a student’s former district not yet reporting the student as exited, no further action is necessary.

SECTION IV: PARTICIPATION CALCULATIONS AND REASON NOT TESTED

The Goals

To capture student non-participation on assessments, the goals are to create a set of attempt codes that:

1. Makes sense for a test administered over multiple days throughout a long testing window that includes makeup testing opportunities
2. Reduces the burden on districts to unnecessarily document factors that do not have a downstream impact on reporting or accountability outcomes
3. Recognizes and diminishes the impact of standardized assessments on staff and technology resources during the final 12 weeks of the school year
4. Is compliant with federal exceptions to participation rules, specifically medical exemptions and requirements for recently arrived English learners

Full process diagrams defining the current and proposed processing of attempt codes from a default 'No Booklet' status to an end result are available at the end of this document.

The federal definition of a 'Participant' is a student that generates a valid score on a test. All enrolled students are expected to sit for assessments and are considered "non-participants" unless a valid score is returned or the student meets exemption criteria. Only students who generate a valid score during an administration or who are retained in a grade after having earned a level 3 or 4 during a previous administration at the same grade level can be considered participants.

Exemptions for students enrolled only for part of the test window: 'Partially Enrolled' students

The state testing window is calculated by referencing the last day of school at each school in the state as reported to CEDARS, walking back 12 weeks depending on the grade of the student expected to test, and bounding the earliest and latest possible test dates to fixed dates in the year (e.g., testing could begin no earlier than March 4 and end no later than June 7 in the 2018-19 assessment cycle).

OSPI recognizes that, while districts are obligated to test all enrolled students, there comes a point in the school year where it is no longer reasonable to expect a school to devote the staff time required to administer two or more multi-day assessments to students arriving particularly late in the school year.

The compromise solution is to reserve the 'PE' exemption for students who exit more than or enter less than 3 weeks (21 calendar days) prior to the last day of school or June 7, whichever is earlier. This exemption should not be read as 'not able to complete all portions of the test prior to 21 days before school ends'; students enrolling 22 days before the last day of school would still be required to test for accountability purposes within the remainder of the testing window.

A similar calculated exemption exists for the WA-AIM to document students who are unable to participate in the general assessment due to specific disabilities, but who also enroll too late in the year to complete both the baseline and final WA-AIM data collection prior to the submission deadline.

Status Calculation for Recently Arrived English Learners

New, Non-English Proficient or “NN” is a one-time status granted to students who are English learners and in their first 12 months of schooling in the US (fifty states plus DC – does **not** include territories or protectorates). These students have different testing requirements relative to state and federal accountability per ESSA; ESSA also relabels these students “Recently Arrived English Learners” (RAEL). A student is defined as RAEL if their first date enrolled in a US school as reported to CEDARS is within 12 months of the start of their school’s testing window and the student has not exhausted their RAEL status for a previous year.

Medical Exemption (ME)

Medical Exemptions will continue to be documented locally and submitted to OSPI through ARMS. Students will only be excluded from all aggregate calculations for accountability purposes if the state approves the request for exemption.

Table 4: Attempt Code Scheme 2018-19 (spring)

ATTEMPT CODE	NUMERATOR ^A	DENOMINATOR ^B	DEFINITION	SOURCE
TS = Tested	Y	Y	Student generates a valid score	SBA & WCAS: attemptednessIndicator = Y AIM: status code = TS
IC = Incomplete	N	Y	Student participates in only one part of the test (CAT or PT)	SBA & WCAS: attemptednessIndicator = N AIM: status code = IC
IV = Invalid	N	Y	Test invalidated due to impropriety or ineligibility to take alternate assessment	SBA & WCAS: teststatus = invalidated AIM: not applicable
IG = Incorrect Grade	N	Y	Student inappropriately tests at a grade level other than the enrolled grade	SBA & WCAS: CEDARS enrolled grade =/ tested grade generally AIM: not applicable
PP = Previously Passed	Y	Y	Student met grade level standard in a previous administration	References data from WA Query and CAA/CIA database
BL = Blank Booklet	N	Y	Booklet returned without any items answered; Online test with login to both CAT and PT but no items answered	SBA & WCAS: attemptednessIndicator = P AIM not applicable
NB = No Booklet Returned	N	Y	Student expected to test for accountability, no test returned and no documented exemption	SBA & WCAS: CEDARS phantom record AIM not applicable
NT = Not Tested (WA-AIM Only)	N	Y	Student expected to test for accountability, no test returned and no reason given, student completed other content area on alternate assessment	SBA & WCAS: not applicable AIM: status code = NT
ME = Medically Exempt	N	N	Medical emergency prevents student from participating in enough of the assessment to generate a valid score (OSPI)	SBA, WCAS, & AIM: ARMS medically exempt ME
NN = New Non-English Proficient	N	N	Student new to country (within last 12 months) and is enrolled in EL program as calculated from data provided to CEDARS	SBA, WCAS, & AIM: 365 days from the start of test window
NE = Not Enrolled	N	N	Student exits school prior to start or exits after end of testing window	SBA, WCAS, & AIM: CEDARS enrolledInWindow = N
PE = Partially Enrolled	N	N	Student exits during the test window and prior to testing, or student exits either 21 days before school ends or prior to June 7, whichever is sooner.	SBA & WCAS: CEDARS enrolledInWindow = P AIM: PE, enrolledInWindow = P for phantom record (not BL)

^A When "Y" = counts as participant in Numerator

^B When "Y" = students expected to test for participation in denominator

How Attempt Codes are Processed

The amount of work a student does on a test establishes the base attempt code. The table below provides definitions of how a student record appears in the Student Data File (SDF) received by OSPI from AIR and how those data are used to establish a base attempt.

Table 5: Attempt Code Processing

AIR PARTICIPATION LABEL IN RAW DATA	AIR DEFINITION (FLAG)	OSPI BASE ATTEMPT	GENERATES OVERALL SCORE?
Non-Participant (w/o test data)	No login to a test (*no record in SDF from AIR; accountability record generated by OSPI). As this status does not generate a valid score, the record cannot count toward participation. The label is a Smarter Balanced and AIR label that does not match the federal definition of participation.	NB: no booklet / test	No
Non-Participant (w/ test data)	A student who only had activity on a single part of the test – CAT or PT, but not both (flag 'N')	IC: Incomplete (some data from one part but not the other)	No
Participant	A student who logged into both parts of the test but did not respond to anything on at least one part of the test (flag 'P'). As this status does not generate a valid score, the record cannot count toward participation. The label is a Smarter Balanced and AIR label that does not match the federal definition of participation.	BL: Blank Test returned	No
Attempted	A student who logged into both parts of the test and responded to at least one item on both (flag='Y')	TS (tested - generated score)	Yes

Process reasons not tested to establish tested, not tested, and exempted status. For Smarter Balanced Assessments, refer to [Table 6](#), [Table 7](#), [Table 8](#), [Table 9](#), [Table 11](#), and [Table 12](#).

Table 6: Processing

	Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
A2	ELA, Math		Y	Y = Attempted							TS
A3	ELA, Math		Y	P = Participant							BL
A4	ELA, Math		Y	N = Non-Participant							IC
A5	ELA, Math		N	Phantom record, OSPI generated							NB

Table 7: Processing of Incorrect Grade level

	Reporting Grade	Start Value ²	Description	End Value ²
B1	All	NB	Any	NB
B2	3-8	TS, IC, BL	Reporting Grade = Test Grade	TS, IC, BL
B3	3-9	TS/IC/BL	Reporting Grade = Test Grade	IG
B4	10, 11, 12	TS/IC/BL	Test Grade = 11 (HS)	TS, IC, BL
B5	10, 11, 12	TS/IC/BL	Reporting Grade = Test Grade and (SpEd= N or Blank)	IG
B6	10, 11, 12	TS/IC/BL	Reporting Grade = Test Grade and (SpEd=Y)	TS, IC, BL

Table 8: Processing of Previously Passed Data from Enrollment File

	Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
C1		TS, IG					Y, N				TS, IG
C2		IC, BL, NB					Y				PP
C3		IC, BL, NB					N				IC, BL, NB

Table 9: Processing of Medical Exemption Data from Enrollment File

	Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
D1			Y	Y = Attempted							TS
D2		IC, BL, NB, IG						Y			ME
D3		IC, BL, NB, IG						N			IC, BL, NB, IG

Table 10: Processing of Invalidation Data from Test

	Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
G1		TS, IC, BL				Y					IV
G2		TS, IC, BL				N					TS, IC, BL
G3		PP, ME, PE, NE, NN, NB, IG				Y, N					PP, ME, PE, NE, NN, NB, IG

Table 11: Processing New Non-English Proficiency Status

NNEP status calculated by looking at whether student's 1st day in US school is within 365 days of start of admin and student has not used NN exemption previously.

Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
E1	TS			Y, N					Y	TS
E2	TS			Y					N	NN
E3	TS			N					Y/N	TS
E4	IC, BL, NB			Y						NN
E5	IC, BL, NB			N						IS, IC, BL, NB
E6	PP, ME, PE, NE, IG			Y, N						PP, ME, PE, NE, IG

Table 12: Processing of Partially Enrolled and Not Enrolled Data from Enrollment File

Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
F1	IC, BL, NB							N		NE
F2	IC, BL, NB							Y		IC, BL, NB
F3	IC, BL, NB							P		PE
F4	TS, PP, ME, IG							Y, N, P		TS, PP, ME, IG

Table 13: Post Processing

Subject	Start Value ²	Test Returned	Subject	NNEP ¹ Test Flag	IV Test Flag	PP Enrollment Flag	ME Enrollment Flag	Enrolled Enrollment Flag	Standard Enrollment Flag	End Value ²
Grade 9	Any									IG

¹ NNEP applies to all subjects. If one subject is marked "Y" for NNEP, then all subjects are flagged NNEP. When a test score meets standard for an individual subject flagged NNEP, that individual subject is treated as if it were not NNEP and the final test status will be TS.

² Attempt Code Definitions:

Tested – TS= Tested

Not Tested – IC=Incomplete; NB=No Test; IV=Invalid; AU=Absent Unexcused; AX=Absent Excused; RFP=Refusal Parent; RFS=Refusal Student; BL=Blank; IG=Incorrect Grade

Exemptions – NE=Not Enrolled; PE=Partially Enrolled; NN=New Non-English Proficient; ME=Medical Exemption; PP=Previously Passed; F1=Student attending school on F1 Visa; P1=Private School Student no ALE funding; P2=Private School Student with ALE funding < 0.8 FTE; P3=Private School Student with ALE funding = or >0.8 FTE; H1=Homebased no ALE funding; H2= Homebased with ALE funding < 0.8 FTE; H3= Homebased with ALE funding = or >0.8 FTE

³ N and blank are synonymous in this document.

SECTION V: CUSTOMER SUPPORT

For additional information and assistance with student records management and pre-ID, contact the Assessment Analysts. Please provide a detailed description of your problem.

Assistance is available Monday–Friday from 8:00 a.m. to 5:00 p.m. Pacific Time (except holidays).

Assessment Analysts

Toll-Free Phone Support: 1-800-725-4311 Opt. 4
360-725-6109 or Email Support: AssessmentAnalysts@k12.wa.us

Assessment Operations

Toll-Free Phone Support: 1-800-725-4311 Opt. 3
360-725-6348 or Email Support: Assessment@k12.wa.us

SECTION VI: REVISION LOG

Updates to the user guide after August 22, 2018 are noted below.

PAGE	SECTION	DESCRIPTION OF REVISION	DATE OF REVISION

Exhibit H1b

Domain: Student Info
SME: Lucas Snider

Metric: Assessment Results

Date: Aug 23, 2018
Version: 4

Documentation of Current Process for Assessment Results

Requirement Name: Assessment Results

Requirement id #: 1- 8, 15-16, 24.

https://waospi.sharepoint.com/:x:/r/teams/Projects/reportcardrewrite/_layouts/15/Doc.aspx?sourcedoc=%7B22449AF0-8C14-483C-8BA7-7E629FA7D742%7D&file=wbs%20report%20card3rec.xlsx&action=default&mobileredirect=true

Brief Description: By Sept 10 of every year OSPI must report the percent of students performing at each level of the math, English language Arts (ELA), science assessments as well as the percent who met the standard on those three tests. In addition to these results OSPI voluntarily and separately reports the percent of students who met the standard for the WA-AIM assessments in math, science and ELA. WA-AIM are specialized assessments for students with the most significant cognitive disabilities. The process described below is the same for all six tests.

Finally, by December 2018 OSPI will have to report the number and percentage of students with the most significant disabilities who take an alternate assessment by grade and subject. The number has been approximated in the past but the percentage has not been reported.

Background: Every spring students in specific grades take assessments in Math, ELA and Science. Their results are ranked into four performance levels wherein levels 3 and 4 are considered “proficient” in those content areas. Some students with Individualized Education Programs (IEPs) have been considered to have met standard at level 2 but are reported as “basic” on the state report card. All other students earning a level 1 or 2 do not meet standard. The basic level will not be used on the new Report Card. For the 2017-18 academic year the line between meeting and not meeting the standard will be between levels two and three for all students.

All assessments are currently administered by two private contracting companies, AIR and DRC. AIR administers the Smarter Balanced tests (regular math and ELA assessments), the Washington Comprehensive Assessment of Science (WCAS), and the ELPA21 (English language mastery for non-English speakers.) DRC administers the WA-AIM and Alt ELPA tests for students with significant cognitive disabilities. The ELPA tests are described in a separate document.

Requirement source: ESSA, section 1111(1)(C)(ii), section 111(1)(c)(xi) and RCW 28A.655.090(1&2)

Business requirements

Federal requirements:

The state report card shall include information on student achievement on academic assessments [defined in subsection(b)(2)] at each level of achievement for all students and by each student subgroup including homeless, foster care, parent who is on active military duty, major racial and ethnic groups, poor and not poor, disabled and not, ESL status, gender, and migrant status .

State Requirements:

By Sept 10 of every year the superintendent shall report to the schools, districts and legislature on results of the Washington assessment of student learning and State mandated norm-referenced standardized tests. Reports shall include assessment results by schools, school districts and changes over time. Results shall be reported as percentage of students meeting the standards and percentage of students performing at each level of the assessment. Results shall be disaggregated by at least the following subgroups of students: White, Black, Hispanic, American Indian/Alaskan Native, Asian, Pacific Islander/ Hawaiian Native, low income, transitional bilingual, migrant, special education, and section 504.

In other words:

Publish percent of students performing at each level of the math, ELA, science and WA-AIM statewide assessments by grade and by student subgroup for schools and school districts. Publish the percent of students meeting the standard on math and ELA assessments. Include past years' results for comparison.

Publishing the actual number of students performing at these levels is not specifically required, although that is what OSPI has done. **One exception is that WA AIM results have been published in numbers and percentages of students performing at each level, and in number of students participating overall, but percentage of students participating in testing is missing. This calculation will need to be added to future Report Cards.**

CURRENT PROCESS: *This is being provided so that we have a shared understanding of the current process and can build a new process that incorporates what is needed from the current process to meet the new requirements and new technical solution.*

Description: Contractor sends test results on a nightly basis via the Online Reporting System (OARS). The results are merged with the student data from CEDARS and published on the Assessment Review page where they are visible to schools. Districts make corrections in CEDARS and contractors send final miscellaneous sourced results. A date is designated as the deadline for making corrections and after this point the data is considered final, complete and correct. The Information Technology (IT) Department then creates the Final Score File (in SQL) which is also known as the "x-60." Student Information Department (SI) and IT, i.e. Lucas and Doug, collaborate to send out individualized results to school districts via WAMS. Next IT and SI run parallel processes to aggregate the data, including suppression; IT uses SQL and SI uses SPSS. SI compares the numbers in order to find any errors resulting from a misapplication of business rules. Final results are in the Report Master Assessment File, a data table that lives on SQL server 3. IT loads data into multiple views including report card, data analytics and reports (Excel files.)

The programming that calculates the aggregations often has to be tweaked from year to year to accommodate new rules, student subgroups or definitions.

Flow chart: see appendix A

How often does the process run? Officially, this process is run once a year, starting in the summer in order to meet the Sept 10 statutory deadline. In reality, it may run one to two additional times during the year in order to fix errors in the original data. There are no rules or guidelines that determine what types of data errors or circumstances require a rerun.

When is data available/ pull date: mid- summer, typically July

Inputs/data source: Current report card data sources are listed below but may need to be migrated for tableau use

1. Sandbox tables are on Dev-sql07. Assessmentanalysts
2. Production is on SQL 03
3. x95_ScoredFileAfterRR_10312015regenerated
4. x60_2016_4Spring_ScoredFile_08042016FINAL
5. x60_2017_4Spring_ScoredFileVS_830201
6. x60_2018_4Spring_ScoredFile...

Outputs/ where posted: EDS, Report card, performance indicators

Report card shows percent meeting standard for ELA, Math, Science and Biology for all applicable grades and includes bar charts showing the past three years' performance. Clicking on the specific grades links to a page showing performance in more detail, i.e. number and percentage of students scoring at each performance level, metrics for students who met the standard in previous tests, those who didn't test, and those who took an alternate test. Results can be filtered by district, school and student subgroup.

English Language Arts 5th Grade			Math 5th Grade		
	Number	Percent		Number	Percent
Meeting Standard including PP#	48,408	58.6%	Meeting Standard including PP#	40,159	48.6%
Meeting Standard	48,408	58.6%	Meeting Standard	40,159	48.6%
Level 4	22,483	27.2%	Level 4	23,785	28.8%
Level 3	25,599	31.0%	Level 3	16,137	19.5%
Basic	326	0.3%	Basic	237	0.2%
Not Meeting Standard	34,169	41.3%	Not Meeting Standard	42,417	51.3%
Level 2	14,641	17.7%	Level 2	20,317	24.6%
Level 1	18,113	21.9%	Level 1	20,683	25.0%
No Score*	1,415	1.7%	No Score*	1,417	1.7%
Total	82,577	100.0%	Total	82,576	100.0%
Meeting Standard excluding No Score		59.6%	Meeting Standard excluding No Score		49.4%
Alternate Assessment (see WA-AIM)	850		Alternate Assessment (see WA-AIM)	848	
WA-AIM	850		WA-AIM	848	
Not included in test calculations**	3,054		Not included in test calculations**	3,021	
Total Enrollment	86,481		Total Enrollment	86,445	

Code location/ ODS: X-60, Report Assessment Master, File path for aggregation code is R:\WASL\Waslfs08\Report Card\ 2018-rebuild groundwork\validation code 2017 or prior.

Data governance issues: none at this time

BUSINESS RULES

Grades to report publicly are 3-8 and 11 for years 2014-15, 2015-16, 2016-17. For years 2017-18 and beyond report grades 3-8 and 10.

Include student records that are identified with an "Accountability" flag indicating "accountability=Y"

Exclude students flagged as f-1 visa, primarily home based or primarily private school, even if they have an "accountability=y" flag.

District aggregations should include the following school types: Public (P), College/University affiliated with district (C), Alternative school w/>50 % from within District (A), Special education school (S), Contract school (Z), Tribal compact (Q).

State aggregations should include all schools in district aggregation plus Institutions (I), Tribal school affiliated with District (T), Tribal school unaffiliated with District (Y), Alternative school w/ > 50% from outside the District (5), Re-engagement school (R.)

Student performance is presented by performance level and “met standard.” For future reports met standard means meeting level three or above.

Performance levels vary depending on grade level. See appendix B for threshold scores

Denominators must present 1. “of all students” 2. “among tested students” (proficiency)

Apply “ESSA denominator” rule to all proficiency rate calculations. (rule is to apply 95% or actual participation rate, whichever is higher)

Variables and Values	
<i>thing we report on</i>	<i>variable name and relevant values</i>
which test did the student take?	resolvedtesttype
does the record go into the report card at all? Is the student expected to test for participation rate?	accountability='Y'
did the student test?	attempted
expected to test but didn't test?	IF ANY(attempted,'AU','BL','IC','IS','IV','IG','RF','NB')
student exempted from testing due to other factors?	IF ANY(attempted,'ME','NE','PE','NN')
type of school for aggregation rules	school type
Student's grade level when tested	reportinggrade
which subject	Course (ELA, Math Science)
student-level test exemption (exclude records)	not any(homebased,'1','2') and not any (private,'1','2') and isforeignexchange<>'Y'.
did the student meet standard?	metstandard
did the student meet standard in a previous year?	attempted='PP'
performance Level	level

Calculation elements and calculations:

	Performance on State ELA Assessment	Regular		Alt		Total	
		#	%	#	%	#	%
a	Level 4						
b	Level 3						
c	Level 2						
d	Level 1						
e	No score						
f	Previously passed						
g	Exceptions/ exclusions						

h	Percent met standard including Previous pass	$(a+b+f)/(a+b+c+d+e+f)$						
i	Percent met standard among tested	$(a+b)/(a+b+c+d)$						

Percent scoring at each level is number at that level divided by all students tested: $a/a+b+c+d+e$.

Percent with no score is "Other" which includes no booklet, enrolled but not tested, incomplete, insufficient, invalidated and tested out of grade divided by all expected to test: $e/a+b+c+d+e$

Percent meeting standard including Previous Pass: Students scoring in levels three and four plus previously passed divided by students scoring in all levels plus no score and previously passed.

Percent met standard among tested this year: Students scoring in levels three and four divided by students scoring in all levels.

ESSA denominator rule for accountability: the denominator for a proficiency rate must be the greater of: A) the number of students tested, or B) 95% of all students.

Percent achieving/performing at each level: **Need to find out if this is just among tested or do we need to go back to previous pass, break that into levels, and include those students? Where would that information be?**

What fields to use as filters: student subgroups to meet both state and federal requirements, grade levels

Subgroups displayed:

- major racial and ethnic groups (Asian, Black, Hispanic, American Indian/Native American, Pacific Islander, White, two or more)
- Low income and not low income
- Students with disabilities and students without disabilities
- English learners and non-English learners
- Gender
- Migrant and not migrant
- Homeless and not homeless
- foster care and not foster care
- parent is active duty armed forces and parent is not active duty armed forces
- 504 and not 504

Suppression rules: Current suppression rules

Number of places currently displayed

What does public see? Results of the Smarter Balanced assessments s are on Report Card, with percent meeting standard and changes over past three years for each grade on the summary page. Results by

level and student subgroup are linked to the summary page results. Results are suppressed where appropriate. Proficiency rates are also published as part of the WaSIF information but don't include results by level.

What do districts see? Same as public but results are not suppressed

Data Quality Procedures:

Application of business rules is cross checked by running them in two different systems. SI (Lucas) creates results and IT (Doug) creates results using different processes/tools. These are compared to ensure the IT process correctly implements the business rules. Data is checked by districts during a data preview window that occurs prior to posting the public results.

* * * *

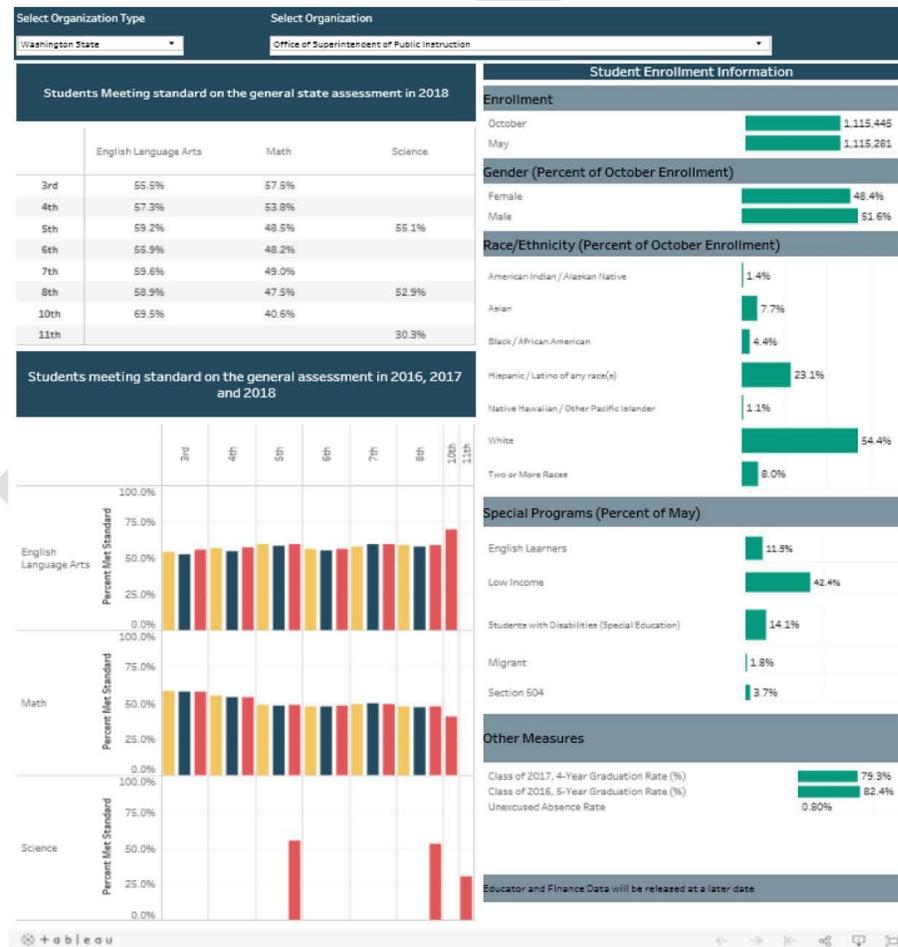
DRAFT

Requirements for Future Process of Assessment Results: *the purpose of this section is to provide a Road Map of what will be posted in December*

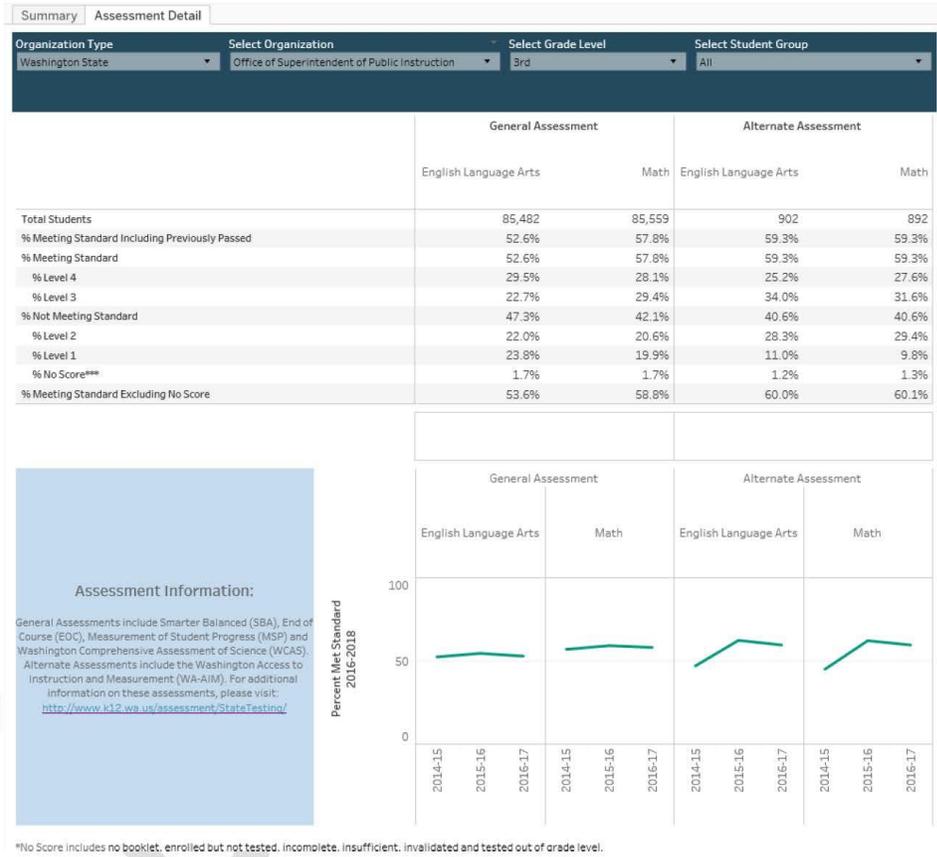
1. VISUALIZATION

Number of pages: 2

The snip below shows the latest version of the landing page where the assessment results will be displayed. Only the left side is relevant to assessment data. From OSPI Report card Web page 9-25-18



Clicking on the assessment detail tab at the top of the page takes the user to the following visualization:



Comments on Vis:

We need to add a line to the chart that specifies number and percent of students assessed vs not assessed for both General and Alternate Assessments

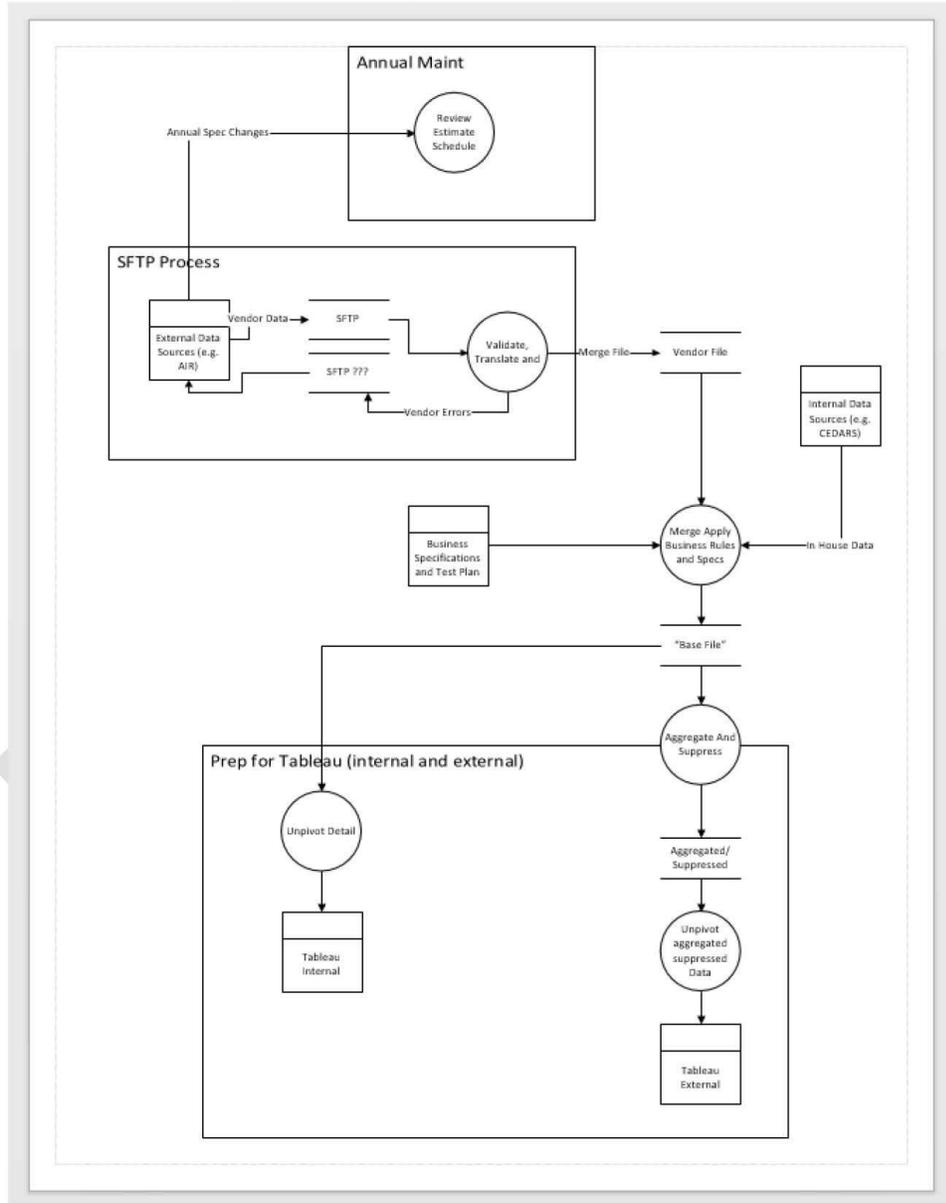
Other Aspects of Visualization to be determined:

1. Feedback from September or previous releases will be incorporated.
2. Navigation including layers of data:
3. ADA requirements reviewed
4. Communications Dept standards

Text for notes, definitions and explanations for text areas

2. ETL:

Flowchart from Doug as of 8-22-18. May add narrative, additional items later



Comments on process: check with Daniel for revisions to methodology

3. DATA SOURCE AND ELEMENTS (in score file)

To be updated by Lucas

Thing we report on	Variable name and relevant values	Business rules and logic		
Which test did student take?	Resolved test type: SBA Aim Science			
Does the record go into the report card at all? Is the student expected to test for participation rate?	Accountability "y" "n"	Accountability = "y" means the record should be included in the aggregation		
Did the student test?	Attempted Not tested	If code is TS then include in aggregation. If code is IC,RL, NB, IV then do not include for SBA &WCAS		
Expected to test but didn't test?				
Student exempted from testing due to other factors?				
Type of School for aggregation rules				
Student's grade level when tested				
Which subject				
Student level test exemption				
Did the student meet standard?				
Did the student meet standard in previous year?				
Performance level				

4. BUSINESS RULES (calculations)

To be updated by Lucas

Calculation elements and calculations:

Performance on State ELA Assessment		Regular	Reg	Alt	Alt	Total	Total
		#	%	#	%	#	%
a	Level 4						
b	Level 3						
c	Level 2						
d	Level 1						
e	No score						
f	Previously passed						
g	Exceptions/ exclusions						
h	Percent met standard including Previous pass	$(a+b+f)/(a+b+c+d+e+f)$					
i	Percent met standard among tested	$(a+b)/(a+b+c+d)$					

Percent scoring at each level is number at that level divided by all students tested: $a/a+b+c+d+e$.

Percent with no score is "Other" which includes no booklet, enrolled but not tested, incomplete, insufficient, invalidated and tested out of grade divided by all expected to test: $e/a+b+c+d+e$

Percent meeting standard including Previous Pass: Students scoring in levels three and four plus previously passed divided by students scoring in all levels plus no score and previously passed.

Percent met standard among tested this year: Students scoring in levels three and four divided by students scoring in all levels.

ESSA denominator rule for accountability: the denominator for a proficiency rate must be the greater of: A) the number of students tested, or B) 95% of all students.

Percent achieving/performing at each level: Need to find out if this is just among tested or do we need to go back to previous pass students, break that into levels, and include those students? Where would that information be?

What fields to use as filters: student subgroups, grade level

Subgroups displayed:

- major racial and ethnic groups (Asian, Black, Hispanic, American Indian/Native American, Pacific Islander, White, two or more)

Domain: Student Info
SME: Lucas Snider

Metric: Assessment Results

Date: Aug 23, 2018
Version: 4

- Low income and not low income
- Students with disabilities and students without disabilities
- English learners and non-English learners
- Gender
- Migrant and not migrant
- Homeless and not homeless
- foster care and not foster care
- parent is active duty armed forces and parent is not active duty armed forces
- 504 and not 504

Data correction process: Need to create a set of rules to take care of unique/unforeseen situations. This process needs to ensure business rules are followed consistently

Suppression rules: Use current suppression rules. Will still do full suppression on less than 10. There is discussion about displaying % but not the N size. May also display % in ranges for the 5% -95% rather than use a cut off. Will need to establish these based on tables for N size.

Additional or modified business rules:

Show assessed vs non assessed students who take Wa-AIM by number and percentages.

Will need to re run prior years with the ESSA denominator rule so prior year results will be consistent with 2017-18.

5. TEST PLAN: (this should be developed by the owner of the data coupled with a UAT. UAT test plan should be created by owner in collaboration with programmer)

Identify number and types of pages/views.

Identify measures that should appear on each page

Verify each measure is calculated correctly

Verify that static text, explanations, labels, etc. appear and are located where they should be.

Verify that content of text, explanations, labels, etc. is correct.

Verify that tools (search, drop downs, call out box/ hover) are present and work in a variety of browsers

Verify navigation works as planned.

How do you get to each page

Where can you go from each page

Can you go anyplace that you shouldn't

Verify suppression is applied correctly

Verify ADA compliance.

Use cases/ UAT

6. SUSTAINABILITY: *“meet the needs of the present without compromising the ability to meet needs of the future.” “Sustainability is viability over the long haul”.*

General guidelines and considerations:

- Analyze and align for the larger picture
- Planning for quality eliminates unnecessary risk
- Begin with the end users in mind to make better choices
- Short and long term strategies
- Required resources
- Outputs and outcomes become marketing tools
- Incorporate effort into ongoing community operations
- Borrow ideas from others
- Flexibility
- Capacity

Specific Considerations:

- Frequency of “new data” being refreshed for public view.
- Changes to data collection, for example expanded race/ethnicity categories or annual vendor changes.
- Modularity (unplug and replace one part without impacting other parts)
- Ongoing fixes of low priority issues after launch to production environment
- Staffing for bug fixes and enhancements

7. TECHNICAL REQUIREMENTS

Mobile vs Desktop

O.S. Compatibility

Drupal friendly

ISSUES, CHALLENGES, AND DEPENDENCIES

Since number of previously passed is so large, do we break it down into students performing at each level?

Definitions:

ELA: English Language Arts

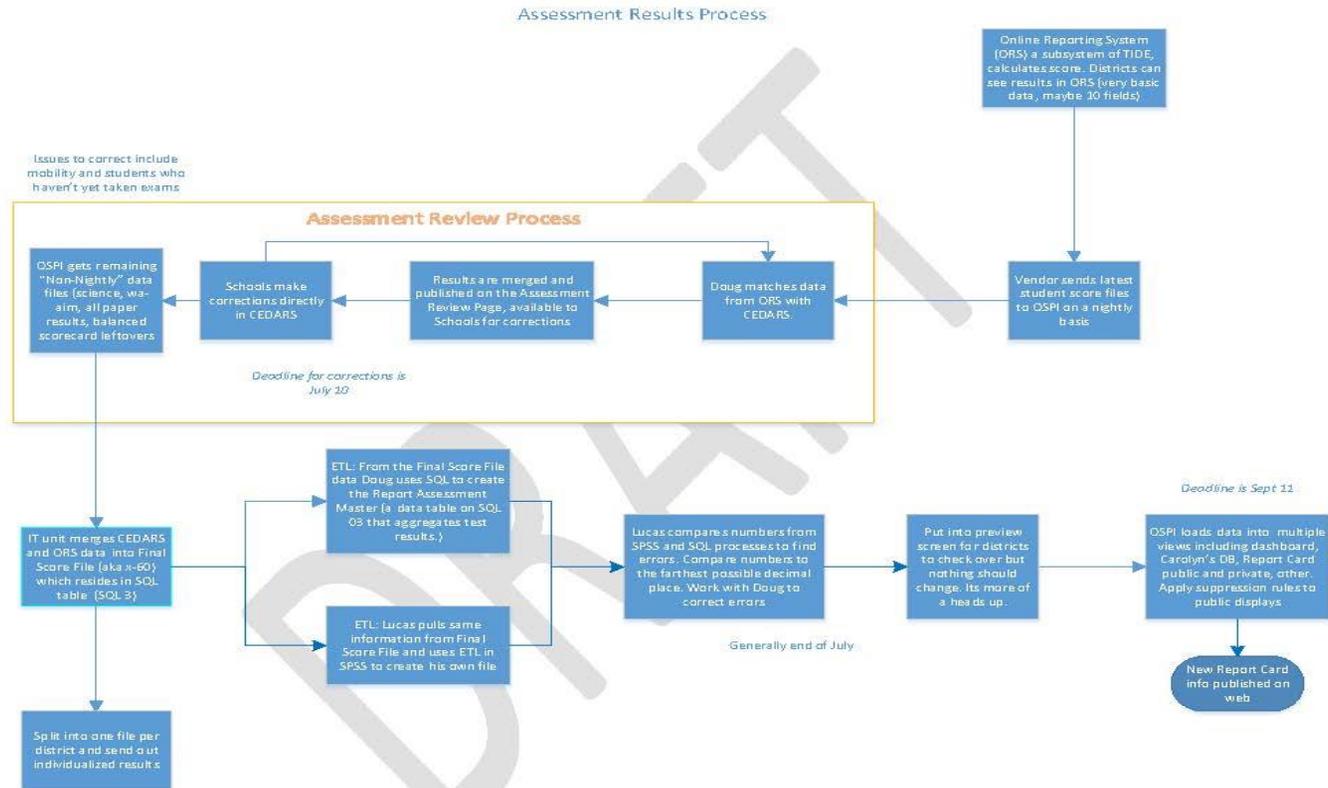
Non nightly files: data files from the testing contractors, typically WA-AIM, Science, late Smarter Balanced records (typically from paper tests or accommodated forms,) etc.

Washington assessment of student learning (WASL): predecessor to Smarter Balanced tests

Proficiency: scoring at level three and above

ESSA Denominator Rule:

Appendix A:



Appendix B:

Scale Scores: State Assessments

Smarter Balanced Assessments

The cut (or threshold) scores for Levels 1, 2, 3, and 4, within the scale score range, were initially developed by the Smarter Balanced Assessment Consortium, with input from thousands of educators and community members. The Smarter Balanced member states approved these scores. The scores were then adopted by the State Board of Education in January 2015. ESHB 2224 (passed July 2017) moved the high school testing grade from grade 11 to grade 10. Grade 10 cut scores were adopted by the State Board of Education in January 2018. The graduation cut scores for both ELA and Math, adopted by the State Board in August 2015, did not change.

Below are the scale score ranges for all achievement levels on the Smarter Balanced assessments.

Smarter Balanced ELA	Level 1	Level 2	Level 3	Level 4
Grade 3	<2367	2367-2431	2432-2489	>2489
4	<2416	2416-2472	2473-2532	>2532
5	<2442	2442-2501	2502-2581	>2581
6	<2457	2457-2530	2531-2617	>2617
7	<2479	2479-2551	2552-2648	>2648
8	<2487	2487-2566	2567-2667	>2667

Domain: Student Info
SME: Lucas Snider

Metric: Assessment Results

Date: Aug 23, 2018
Version: 4

10*	<2491	2491-2576	2577-2677	>2677
------------	-------	-----------	-----------	-------

*On 8/5/2015 the State Board of Education (SBE) set the minimum scores on the high school assessments needed to meet the assessment graduation requirement. [View these cut scores.](#)

Smarter Balanced Math	Level 1	Level 2	Level 3	Level 4
Grade 3	<2381	2381-2435	2436-2500	>2500
4	<2411	2411-2484	2485-2548	>2548
5	<2455	2455-2527	2528-2578	>2578
6	<2473	2473-2551	2552-2609	>2609
7	<2484	2484-2566	2567-2634	>2634
8	<2504	2504-2585	2586-2652	>2652
10*	<2533	2533-2613	2614-2696	>2696

*On 8/5/2015 the State Board of Education (SBE) set the minimum scores on the high school assessments needed to meet the assessment graduation requirement. [View these cut scores.](#)

Scores for Science Assessments are currently being reset and are not available at this time.

Domain: Student Info
SME: Lucas Snider

Metric: Assessment Results

Date: Aug 23, 2018
Version: 4

WA-AIM ELA

	Level 1	Level 2	Level 3	Level 4
Grade 3	100-108	109-123	124-149	150-200
4	100-106	107-124	125-157	158-200
5	100-107	108-128	129-161	162-200
6	100-109	110-124	125-158	159-200
7	100-107	108-122	123-153	154-200
8	100-109	110-122	123-149	150-200
High school	100-108	109-122	123-150	151-200

WA-AIM Mathematics

	Level 1	Level 2	Level 3	Level 4
Grade 3	100-107	108-128	129-160	161-200
4	100-105	106-125	126-160	161-200
5	100-105	106-119	120-152	153-200
6	100-108	109-130	131-159	160-200
7	100-108	109-123	124-162	163-200
8	100-111	112-132	133-161	162-200
High school	100-107	108-119	120-145	146-200

WA-AIM Science

	Level 1	Level 2	Level 3	Level 4
Grade 5	100-109	110-126	127-165	166-200
8	100-106	107-127	128-157	158-200
High school	100-111	112-124	125-158	159-200

Exhibit H1c

AIR-OSPI Data File Specifications - Basics

BASICS

AIR-OSPI Results Data File Specifications - 2018-19

Name	Student Data File	Items Data File	Assertions Data File
Worksheet Name	Output(STUDENT)	Output(ITEMS)	Output(ASSERTIONS)
Description	Data file containing test-level results and student demographic data - each row represents a single test opportunity	Data file containing item-level data - each row represents a single item administered for a given test opportunity	Data file containing assertion level data - each row represents a single <i>scoring assertion</i> .
File Naming Convention	[Prefix]_ProductionExaminee_[date generated; format YYYYMMDDHHmmss]_[Suffix].txt	[Prefix]_ProductionItemCapture_[date generated; format YYYYMMDDHHmmss]_[Suffix].txt	[Prefix]_ProductionAssertionCapture_[date generated; format YYYYMMDDHHmmss]_[Suffix].txt
File Naming Examples	ProductionExaminee_20181001060000.txt	ProductionItemCapture_20181001060000.txt	ProductionAssertionCapture_20181001060000.txt
Format	Pipe-delimited, first row contains column headers	Pipe-delimited, first row contains column headers	Pipe-delimited, first row contains column headers
Delivery Format	.txt	.txt	.txt
Delivery Mechanism	SFTP	SFTP	SFTP
Delivery Location	OSPI sFTP	OSPI sFTP	OSPI sFTP

AIR-OSPI Data File Specifications - Delivery Info

AIR-OSPI Results Data File Specifications - 2018-19

Assessment	Admin	Subject	Test Grade	Status	Incomplete	Delivery Frequency	Delivery Start Date	Delivery End Date	File Prefix	File Suffix
SBAC Summative	Spring 2019	ALL	ALL	Completed,Invalidated,Pending,Reset,expired		Nightly	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	3	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	3	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	4	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	4	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	5	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	5	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	6	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	6	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	7	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	7	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	8	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	8	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	9, 10, 11, 12	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	9, 10, 11, 12	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	ALL	Tool Usage Report - Wide format			Once	Once		
SBAC Summative - Late Batch	Spring 2019	ALL	ALL	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
Washington Assessment - WCAS Science Grades 5 and 8	Spring 2019	Science	5, 8	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
Washington Assessment - WCAS Science Grades 5 and 8 - Late Batch	Spring 2019	Science	5, 8	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
Washington Assessment - WCAS Science Grades 5 and 8	Spring 2019	ALL	ALL	Tool Usage Report - Wide format			Once	Once		
ELPA21 Operational	Spring 2019	ELPA21	ALL	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
SBAC Summative	Spring 2019	ALL	ALL	Tool Usage Report - Wide format			Once	Once		
ELPA21 Operational - Late Batch	Spring 2019	ELPA21	ALL	Completed,Invalidated,Pending,Reset,expired		Cumulative	TBD	TBD	<Grade> <Subject>	
ELPA21 Operational Screener	Spring 2019	ELPA21	ALL	Completed,Invalidated,expired		Cumulative	TBD	TBD	<Grade> <Subject>	

AIR-OSPI Data File Specifications - Output(Student)

STUDENT (EXAMINEE) FILE LAYOUT

AIR-OSPI Results Data File Specifications - 2018-19

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
1	SchoolYear	SchYr	School Year	4	Yes	School Year	1819	1819 = Year of 2018-2019	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Calculated	
2	StudentIdentifier	SSID	State Assigned Student ID	30	Yes	Unique student identifier	30 alphanumeric characters		All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = EXTERNALID	
3	First name	LgFNm	First name	35	No	Student First Name	Alpha/space/comma/hyphen/apostrophe/hi special characters		All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = LgFNm	
4	Last name	LgLNm	Last name	35	No	Student Last Name	Alpha/space/comma/hyphen/apostrophe/hi special characters		All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = LgLNm	
5	Middle Name	LgMNm	Middle name	35	No	Student Middle Name	Alpha/space/comma/hyphen/apostrophe/hi special characters		All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = LgMNm	
6	Date of Birth	BirthDTxt	Date of Birth	10	No	Student date of Birth	10 alphanumeric characters(MMDDYYYY)		All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = BirthDTxt	
7	Sex	GNDR	Gender	1	Yes	Student Gender	M or F	M - Male F - Female	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = GNDR	
8	HispanicOrLatinoEthnicity	HispEthnicFg	Hispanic/Latino ethnic flag	1	No	Hispanic/Latino ethnic flag	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = HispEthnicFg	
9	AmericanIndianOrAlaskaNative	AmerIndianAlsknNtvRaceFg	American Indian/Alaskan Native race flag	1	No	American Indian/Alaskan Native race flag	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = AmerIndianAlsknNtvRaceFg	
10	Asian	AsianRaceFg	Asian race flag	1	No	Asian race flag	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = AsianRaceFg	
11	BlackOrAfricanAmerican	BlackRaceFg	Black/African-American race flag	1	No	Black/African-American race flag	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = BlackRaceFg	
12	White	WhiteRaceFg	White/Caucasian race flag	1	No	White/Caucasian race flag	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = WhiteRaceFg	
13	NativeHawaiianOrOtherPacificIslander	PacIsldrRaceFg	Native Hawaiian/other Pacific Islander race flag	1	No	Native Hawaiian/other Pacific Islander race flag	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = PacIsldrRaceFg	
14	DemographicRaceTwoOrMoreRaces	MultiracialEthnicFg	Demographic Race Two or More Races	1	No	A person having origins in any of more than one of the racial groups.	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = MultiracialEthnicFg	
15	IDEAIndicator	SPED	Individualized Education Program	1	No	Student enrolled in IEP	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = SPED	Option in the IndividualizedProgramType CEDS field
16	LEPStatus	LEPG	Limited English Proficient/English Language Learner	1	No	Student identified as LEP	Y or N	Y= Yes N = No	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = LEPG	Option in the IndividualizedProgramType CEDS field
17	Section504Status	504Plan	504 Plan	1	No	Student with 504 plan	Y or N or U	Y - Yes N - No U - Unknown or cannot provide	All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = 504Plan	Option in the IndividualizedProgramType CEDS field
18	EconomicDisadvantageStatus	TITLE1	Economic Disadvantage Status	3	No	An indication that the student met the State criteria for classification as having an economic disadvantage.	Y or N	Y= Yes N = No		Hard Error	Roster Tracking System; attribute name = TITLE1	TitleSchoolStatus is designated at the school level, not the student level, according to CEDS

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
19	StudentExemption	StudentExemption		9000	Yes		Format = [Code] List of possible codes: 99 NN F1 P1 P2 P3 H1 H2 H3	99 None NN New Non-English Proficient F1 Student is attending school on an F-1 Visa P1 Private School student, no ALE funding P2 Private School student, ALE funding < 0.8 FTE P3 Private School student, ALE funding > =0.8 FTE H1 Homebased, no ALE funding H2 Homebased, ALE funding < 0.8 FTE H3 Homebased, ALE funding > =0.8 FTE	This information is pulled 14 calendar days after the end of the testing window.	Hard Error	Roster Tracking System; attribute name = StudentExemption	
20	ResponsibleDistrictIdentifier	DISTRICTID	District Institution ID	30	Yes	Enrolled District Institution ID at end of testing window	Alphanumeric		This reflects the district the student belonged to as of the test end date. If there is no test end date available then we use the test start date. If the student relationship doesn't exist as of the test start/end date then it is the most recent relationship to which the student is associated. Dual Relationship: If there is only one enrollment, we'll provide the district and school information for the student with no change. If there are multiple enrollments and the relationships started at different times, we'll report the one most recently created. But if both relationships started at exactly the same time, we'll just pick one to include in the absence of any other rule. We'll also capture all school codes to which the student is associated (comma delimited) in the following field "AdditionalSchoolCodes".	Hard Error	Student Extract	Need to provide the district that belongs to the school chosen if there are multiple relationships active
21	ResponsibleSchoolIdentifier	SchoolID	School Institution ID	30	Yes	Enrolled School Institution ID at end of testing window	Alphanumeric		This reflects the district the student belonged to as of the test end date. If there is no test end date available then we use the test start date. If the student relationship doesn't exist as of the test start/end date then it is the most recent relationship to which the student is associated. Dual Relationship: If there is only one enrollment, we'll provide the district and school information for the student with no change. If there are multiple enrollments and the relationships started at different times, we'll report the one most recently created. But if both relationships started at exactly the same time, we'll just pick one to include in the absence of any other rule. We'll also capture all school codes to which the student is associated (comma delimited) in the following field "AdditionalSchoolCodes".	Hard Error	Student Extract	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
22	GradeLevelWhenAssessed	EnrGrdCd	Enrolled Grade	2	Yes	Enrolled Grade at time of assessment	PK KG 01 02 03 04 05 06 07 08 09 10 11 12 13 PS	PK - Pre Kindergarten KG - Kindergarten 01 - First grade 02 - Second grade 03 - Third grade 04 - Fourth grade 05 - Fifth grade 06 - Sixth grade 07 - Seventh grade 08 - Eighth grade 09 - Ninth grade 10 - Tenth grade 11 - Eleventh grade 12 - Twelfth grade 13 - Grade 13 PS - Postsecondary	This is the student's enrolled grade at the time the test was ended	Hard Error	Roster Tracking System; attribute name = EnrGrdCd	
23	GradeLevelWhenReported	GradeWhenReported	Enrolled Grade when reported	2	Yes	Enrolled Grade at time of reporting	PK KG 01 02 03 04 05 06 07 08 09 10 11 12 13 PS	PK - Pre Kindergarten KG - Kindergarten 01 - First grade 02 - Second grade 03 - Third grade 04 - Fourth grade 05 - Fifth grade 06 - Sixth grade 07 - Seventh grade 08 - Eighth grade 09 - Ninth grade 10 - Tenth grade 11 - Eleventh grade 12 - Twelfth grade 13 - Grade 13 PS - Postsecondary	This is the student's enrolled grade at the time the data file is generated	Hard Error	Calculated	
24	AssessmentSubtestResultDateCreated	CrtDt	Record Creation Date	14	No	Record Creation Date (date record was sent in files)	MMDDYYYYhhmmss	MM = 01 to 12 DD = 01 to 31 YYYY = 2019 hh = 00 to 23 mm = 00 to 59 ss = 00 to 59		Hard Error	Calculated	
25	AssessmentAcademicSubject	TestSubj	Test Subject	5	Yes	Test Subject (delivered)	01166, 13373, 00562, 00560, 01287, 73086, EL	01166 - Mathematics (SBAC) EOC Alg/Int1/Geo/Int2 13373 - Reading/Language Arts (SBAC) 00562 - Science (MSP) 73086 - Science - Life (EOC Bio) EL = ELPA21		Hard Error	Calculated	
26	AssessmentLevelForWhichDesigned	TestGrd	Test Grade	2	No	Test Grade (delivered)	03, 04, 05, 06, 07, 08, 11, 00	00 = ELPA test	Calculated based on grade in Test Name. Value will be blank for EOC tests.	Hard Error	Calculated	
27	AssessmentSubtestTitle	Test_Name	Test Name	75	Yes	Test Name	See Tests tab.		For iCA / Summative the Test Name will be the Combined Test as described in the Mappings tab. For Blocks the test Names will be the individual Block tests, complete list in the Mappings tab.	Hard Error	AIR Database of Record	The 'Completed' status will be reported for the following statuses from TDS: Completed Submitted Scored Reported
28	AssessmentSubtestIdentifier	TestNm_ID	Test ID	75	Yes	Test ID	See Tests tab.			Hard Error	AIR Database of Record	
29	TestStatus	TestStatus	Test Status	11	Yes	Test Status	completed invalidated expired pending reset		Applies only for Smarter Balanced Tests. If one of the component is invalidated then the combo test status would be "invalidated" instead of "completed"	Hard Error	AIR Database of Record	
30	TestMode	TestMode	Test Mode	1	No	Test Mode	O, P	O - Online P - Scanned paper		Hard Error	AIR Database of Record	
31	AssessmentSessionActualStartDateTime	TStartDt	Test Start Date	12	Yes	Initial test event start date	MMDDYYYYhhmm	MM = 01 to 12 DD = 01 to 31 YYYY = 2019 hh = 00 to 23 mm = 00 to 59		Hard Error	Calculated	
32	AssessmentSessionActualEndDateTime	TEndDt	Test End Date	12	Yes	Test Event Completion Date	MMDDYYYYhhmm	MM = 01 to 12 DD = 01 to 31 YYYY = 2019 hh = 00 to 23 mm = 00 to 59		Hard Error	Calculated	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
33	VndrTstEvent_ID	VndrTstEvent_ID	Vendor Test Event ID	8	Yes	Unique result ID for each test opportunity taken within a school year	Numeric, 0-99999999			Hard Error	AIR Database of Record	
34	CAT_VndrTstEvent_ID	CAT_VndrTstEvent_ID	CAT Vendor Test Event ID	8	No	Unique result ID for each test opportunity taken within a school year	Numeric, 0-99999999		This is the unique result ID for CAT test opportunities	Hard Error	AIR Database of Record	This field will be populated only for the SBAC tests
35	CAT_AssessmentSubtestTitle	CAT_Test_Name	CAT Test Name	100	No	Test Name	See Tests tab		Test Name will be the 'Adaptive' Test as described in the Mappings tab. This only applies to Summative test	Hard Error	AIR Database of Record	This field will be populated only for the SBAC tests
36	CAT_AssessmentSubtestIdentifier	CAT_TstNm_ID	CAT Test ID	100	No	Test ID	See Tests tab		Test ID will be the 'Adaptive' Test as described in the Mappings tab. This only applies to Summative test	Hard Error	AIR Database of Record	This field will be populated only for the SBAC tests
37	PT_VndrTstEvent_ID	PT_VndrTstEvent_ID	PT Vendor Test Event ID	8	No	Unique result ID for each test opportunity taken within a school year	Numeric, 0-99999999		This is the unique result ID for PT test opportunities	Hard Error	AIR Database of Record	This field will be populated only for the SBAC tests
38	PT_AssessmentSubtestTitle	PT_Test_Name	PT Test Name	100	No	Test Name	See Tests tab		Test Name will be the 'Perf' Test as described in the Mappings tab. This only applies to Summative test	Hard Error	AIR Database of Record	This field will be populated only for the SBAC tests
39	PT_AssessmentSubtestIdentifier	PT_TstNm_ID	PT Test ID	100	No	Test ID	See Tests tab		Test ID will be the 'Perf' Test as described in the Mappings tab. This only applies to Summative test	Hard Error	AIR Database of Record	This field will be populated only for the SBAC tests
40	AssessmentAccommodation	Accommodation	Accommodation	5000	Yes	This field is a comma separated list of accommodation code values (ie. TDS_Emboss0,TDS_ERT0, TDS_ASLO, TDS_ERT_OR)	See list of values in SBAC Online Testing Deployment Specifications - TDS, Accomms&StudentTools tab			Truncate	AIR Database of Record	
41	TotNbrPaused	TOT_NUM_PAUSED	Number of times student paused the test	3	No	Number of times student paused the test	Numeric, 0-999			Hard Error	AIR Database of Record	
42	NbrPauseRet	NUM_PAUSED_20	Number of times student paused and returned within 20 minutes	3	No	Number of times student paused and returned within 20 minutes	Numeric, 0-999			Hard Error	AIR Database of Record	
43	Opportunity	Opportunity	Test Opportunity Number	1	Yes	Test Opportunity Number	Numeric			Hard Error	AIR Database of Record	
44	LanguageCode	LanguageCode	Language Code	3	No	The code for the specific language or dialect that a person uses to communicate.	Alpha only; up to 3 chars			Hard Error	Student Extract	
45	EnglishLanguageProficiencyLevel	EnglishLanguageProficiencyLevel	English Language Proficiency Level	20	No	An indicator of an ELL student's English language proficiency based on a scale used by the State for reporting purposes.	Alphanumeric/space/comma/hyphen/apostrophe/HL special characters			Hard Error	Student Extract	
46	MigrantStatus	MigrantStatus	Migrant Status	1	No	Persons who are, or whose parents or spouses are, migratory agricultural workers, including migratory dairy workers, or migratory fishers, and who, in the preceding 36 months, in order to obtain, or accompany such parents or spouses, in order to obtain, temporary or seasonal employment in agricultural or fishing work (A) have moved from one LEA to another; (B) in a state that comprises a single LEA, have moved from one administrative area to another within such LEA; or (C) reside in an LEA of more than 15,000 square miles, and migrate a distance of 20 miles or more to a temporary residence to engage in a fishing activity.	Y or No or <BLANK>	Y - Yes N - No		Hard Error	Student Extract	
47	FirstEntryDateIntoUSSchool	FirstEntryDateIntoUSSchool	First Entry Date into a US School	10	No	The year, month and day of a person's initial enrollment into a United States school.	YYYY-MM-DD	YYYY (Four digit numeric)-MM (Two digit numeric)-DD (Two digit numeric)	Add leading zero to MM and DD if less than 2 digits; recode from RTS values (MMDDYYYY format)	Hard Error	Student Extract	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
48	LimitedEnglishProficiencyEntryDate	LimitedEnglishProficiencyEntryDate	Limited English Proficiency Entry Date	10	No	The year, month and day a student classified as limited English proficient entered the LEP program.	YYYY-MM-DD	YYYY (Four digit numeric)-MM (Two digit numeric)-DD (Two digit numeric) Two digits numeric (01 to 12)	Add leading zero to MM and DD if less than 2 digits; recode from RTS values (MMDDYYYY format)	Hard Error	Student Extract	
49	LEPExitDate	LEPEXITDATE	Limited English Proficiency Exit Date	10	No	The year, month and day a student classified as limited English proficient exited the LEP program.	YYYY-MM-DD	YYYY (Four digit numeric)-MM (Two digit numeric)-DD (Two digit numeric) Two digits numeric (01 to 12)	Add leading zero to MM and DD if less than 2 digits; recode from RTS values (MMDDYYYY format)	Hard Error	Student Extract	
50	TitleIIILanguageInstructionProgramType	TITLEIII_TYPE	Title III Language Instruction Program Type	27	No	The type of Title III language instructional programs.	DualLanguage TwoWayImmersion TransitionalBilingual DevelopmentalBilingual HeritageLanguage ShelteredEnglishInstruction StructuredEnglishImmersion SDAIE ContentBasedESL PullOutESL Other	DualLanguage - Dual language TwoWayImmersion - Two-way immersion TransitionalBilingual - Transitional bilingual DevelopmentalBilingual - Developmental bilingual HeritageLanguage - Heritage language ShelteredEnglishInstruction - Sheltered English instruction StructuredEnglishImmersion - Structured English immersion SDAIE - Specially designed academic instruction delivered in English (SDAIE) ContentBasedESL - Content-based ESL PullOutESL - Pull-out ESL Other - Other	Read values as-is from RTS, do not recode	Hard Error	Student Extract	
51	PrimaryDisabilityType	PD	Primary Disability Type	3	No	The major or overriding disability condition that best describes a person's impairment.	AUT DB DD EMN HI ID MD OI OHI SLD SLI TBI VI Blank	AUT - Autism DB - Deaf-blindness DD - Developmental delay EMN - Emotional disturbance HI - Hearing impairment ID - Intellectual Disability MD - Multiple disabilities OI - Orthopedic impairment OHI - Other health impairment SLD - Specific learning disability SLI - Speech or language impairment TBI - Traumatic brain injury VI - Visual impairment Blank		Hard Error	Student Extract	
52	GradRequirementsYear	GraduationRequirementsYear	Graduation Requirements Year	10	No	Indicates the student cohort that determines graduation requirements.	YYYY Blank		All demographic data in this file, unless otherwise indicated, will be based on the end date of the test.	Hard Error	Roster Tracking System; attribute name = GradRequirementsYear	
53	TestMonitorUserID	TAUserID	Test Monitor User ID	50	No	Test Monitor User ID	Alphanumeric, including special characters @, -, +, .			Hard Error	AIR Database of Record	
54	TestMonitorSessionID	TASessionID	Test Monitor Session ID	50	No	Test Monitor Session ID				Hard Error	AIR Database of Record	
55	TestMonitorEmailAddress	TAEEmailAddress	Test Monitor Email Address	100	No	Test Monitor Email Address				Truncate	AIR Database of Record	
56	Num_ItemsCAT_TOT	Num_ItemsCAT_TOT	Number of CAT Test Item Responses	3	Yes	Number of student responses to operational CAT test items	Numeric, 0-999		Count of student responses to operational items on the CAT portion (Note: for "partial" tests, count only student responses, not items presented). This will NOT count items that were subsequently dropped from the test and that were not used for scoring. Blank for ELPA and WCAS Tests.	Hard Error	AIR Database of Record	
57	Num_ItemsPT_TOT	Num_ItemsPT_TOT	Number of PT Test Item Responses	3	Yes	Number of student responses to operational Performance Task test items	Numeric, 0-999		Count of student responses to operational items on the PT (Note: for "partial" tests, count only student responses, not items presented). This will NOT count items that were subsequently dropped from the test and that were not used for scoring. Blank for ELPA and WCAS Tests.	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
58	Num_Items_TOT	Num_Items_TOT	Number of Item Responses	3	Yes	Number of student responses to operational items	Numeric, 0-999		Count of student responses to operational items (Note: for "partial" tests, count only student responses, not items presented). This will NOT count items that were subsequently dropped from the test and that were not used for scoring. This will not apply for tests that have items that count toward more than one SRC (for example, ELPA).	Hard Error	AIR Database of Record	
59	AssessmentNumberOfItems	NAttempt	Number of Items Presented	3	Yes	Number of operational and field test items presented	Numeric, 0-999		Count of operational and field test items presented. (Note: for "partial" tests, this count may exceed the number of student responses.) For all tests, this count will equal the number of records in the item file for the student. This will count all items presented, including those that were subsequently dropped from the test and were not used for scoring.	Hard Error	AIR Database of Record	
60	THETA_TOT	THETA_TOT	Score: Total Test Theta	10	No	Total Test Theta	Numeric to 4-decimal point precision, N, E		Score reported only when attemptedness indicator is "Y".	Truncate	AIR Database of Record	
61	SEM_TOT_THETA	SEM_TOT_THETA	Score: Total Test Theta SEM	10	No	Total Test Theta SEM	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y".	Truncate	AIR Database of Record	
62	SS_TOT	SS_TOT	Score: Total Test Scaled Score	4	No	Total Test Scaled Score	Integer, 0-9999		Score reported only when attemptedness indicator is "Y".	Hard Error	AIR Database of Record	
63	SEM_TOTSS	SEM_TOTSS	Score: Total Test Scaled Score SEM	4	No	Total Test Scaled Score SEM	Integer, 0-9999		Score reported only when attemptedness indicator is "Y".	Hard Error	AIR Database of Record	
64	Performance_Level	PL_TOT	Score: Total Performance Level	1	No	Total Performance Level	1,2,3,4	See Achievement Level Tab	Score reported only when attemptedness indicator is "Y".	Hard Error	AIR Database of Record	
65	AttemptednessIndicator	AttemptednessIndicator	Attemptedness Indicator	1	NO	Attemptedness Indicator	Y, N, P, <Blank Field>	Y = Attempted N = Non-Participant P = Participant	Blank field is allowed for invalidations and Reset	Hard Error	AIR Database of Record	
66	Label_SRC1	Label_SRC1	Subskill 1 Label	5	No	Subskill 1 Label		See Scoring Specs for attemptedness calculation rules.		Hard Error	AIR Database of Record	
67	Num_Items_SRC1	Num_Items_SRC1	Score: Subskill 1 Number Items	3	No	Number of scored responses to items in subskill 1	Integer, 0-999		Score reported only when attemptedness indicator is "Y". Populated for both Smarter Balanced and Washington state-specific tests.	Hard Error	AIR Database of Record	
68	THETA_SRC1	THETA_SRC1	Score: Subskill 1 Theta	10	No	Theta in subskill 1	Numeric to 4-decimal point precision, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
69	SEM_THETA_SRC1	SEM_THETA_SRC1	Score: Subskill 1 Theta SEM	10	No	Theta SEM for subskill 1	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
70	SS_SRC1	SS_SRC1	Score: Subskill 1 Scaled Score	4	No	Scaled Score for subskill 1	Integer, 1-9999, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
71	SEM_SRC1	SEM_SRC1	Score: Subskill 1 Scaled Score SEM	4	No	Scaled Score SEM for subskill 1	Integer, 0-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
72	PL_SRC1	PL_SRC1	Score: Subskill 1 Performance Level	3	No	See mapping tab for performance band (SDF Subskill)	Alphanumeric, 0-5, N, E, Blank	1 = Level 1 2 = Level 2 3 = Level 3 4 = Level 4 5 = Level 5 N = Did not attempt Blank ELPA: 0 = Performance Not Determined (Screener only) 1 = level 1 2 = level 2 3 = level 3 4 = level 4 5 = level 5 N = Not Attempted E = Exempt Blank	Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
73	PL_Conf_SRC1	PL_Conf_SRC1	Score: Subskill 1 Performance Level Confidence	5	No	Performance Level Confidence for Subskill	0.000-1.000 Blank		Score reported only when attemptedness indicator is "Y". Populated for ELPA	Hard Error	AIR Database of Record	
74	RS_SRC1	RS_SRC1	Strand 1 Raw Score	2	No	Raw point score earned in strand 1	integer, 0-99		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
75	PC_SRC1	PC_SRC1	Strand 1 Percent Correct	3	No	Percent Correct in strand 1	integer, 0-100		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
76	MT_SRC1	MT_SRC1	Strand 1 Met Target	1	No	Met Target in strand 1	Y/N/blank		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
77	Label_SRC2	Label_SRC2	Subskill 2 Label	5	No	Subskill 2 Label				Hard Error	AIR Database of Record	
78	Num_Items_SRC2	Num_Items_SRC2	Score: Subskill 2 Number Items	3	No	Number of scored responses to items in Subskill 2	integer, 0-999		Score reported only when attemptedness indicator is "Y". Populated for Smarter Balanced, ELPA and Washington state-specific tests.	Hard Error	AIR Database of Record	
79	THETA_SRC2	THETA_SRC2	Score: Subskill 2 Theta	10	No	Theta in Subskill 2	Numeric to 4-decimal point precision, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
80	SEM_THETA_SRC2	SEM_THETA_SRC2	Score: Subskill 2 Theta SEM	10	No	Theta SEM for Subskill 2	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
81	SS_SRC2	SS_SRC2	Score: Subskill 2 Scaled Score	4	No	Scaled Score for Subskill 2	Integer, 1-9999, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
82	SEM_SRC2	SEM_SRC2	Score: Subskill 2 Scaled Score SEM	4	No	Scaled Score SEM for Subskill 2	Integer, 0-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
83	PL_SRC2	PL_SRC2	Score: Subskill 2 Performance Level	3	No	See mapping tab for performance band (SDF Subskill)	Alphanumeric, 0-5, N, E, Blank	1 = Level 1 2 = Level 2 3 = Level 3 4 = Level 4 5 = Level 5 N = Did not attempt Blank ELPA: 0 = Performance Not Determined (Screener only) 1 = level 1 2 = level 2 3 = level 3 4 = level 4 5 = level 5 N = Not Attempted E = Exempt Blank	Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
84	PL_Conf_SRC2	PL_Conf_SRC2	Score: Subskill 2 Performance Level Confidence	5	No	Performance Level Confidence for Subskill	0.000-1.000 Blank		Score reported only when attemptedness indicator is "Y". Populated for ELPA	Hard Error	AIR Database of Record	
85	RS_SRC2	RS_SRC2	Strand 2 Raw Score	2	No	Raw point score earned in strand 2	integer, 0-99		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
86	PC_SRC2	PC_SRC2	Strand 2 Percent Correct	3	No	Percent Correct in strand 2	integer, 0-100		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
87	MT_SRC2	MT_SRC2	Strand 2 Met-Target	1	No	Met Target in strand 2	Y/N/blank		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
88	Label_SRC3	Label_SRC3	Subskill 3 Label	5	No	Subskill 3 Label				Hard Error	AIR Database of Record	
89	Num_Items_SRC3	Num_Items_SRC3	Score: Subskill 3 Number Items	3	No	Number of scored responses to items in Subskill 3	integer, 0-999		Score reported only when attemptedness indicator is "Y". Populated for Smarter Balanced, ELPA and Washington state-specific tests.	Hard Error	AIR Database of Record	
90	THETA_SRC3	THETA_SRC3	Score: Subskill 3 Theta	10	No	Theta in Subskill 3	Numeric to 4-decimal point precision, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
91	SEM_THETA_SRC3	SEM_THETA_SRC3	Score: Subskill 3 Theta SEM	10	No	Theta SEM for Subskill 3	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
92	SS_SRC3	SS_SRC3	Score: Subskill 3 Scaled Score	4	No	Scaled Score for Subskill 3	integer, 1-9999, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
93	SEM_SRC3	SEM_SRC3	Score: Subskill 3 Scaled Score SEM	4	No	Scaled Score SEM for Subskill 3	integer, 0-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
94	PL_SRC3	PL_SRC3	Score: Subskill 3 Performance Level	3	No	See mapping tab for performance band (SDF Subskill)	Alphanumeric, 0-5, N, E, Blank	1 = Level 1 2 = Level 2 3 = Level 3 4 = Level 4 5 = Level 5 N = Did not attempt Blank ELPA: 0 = Performance Not Determined (Screener only) 1 = level 1 2 = level 2 3 = level 3 4 = level 4 5 = level 5 N = Not Attempted E = Exempt	Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
95	PL_Conf_SRC3	PL_Conf_SRC3	Score: Subskill 3 Performance Level Confidence	5	No	Performance Level Confidence for Subskill	0.000-1.000 Blank		Score reported only when attemptedness indicator is "Y". Populated for ELPA	Hard Error	AIR Database of Record	
96	RS_SRC3	RS_SRC3	Strand 3 Raw Score	2	No	Raw point score earned in strand 3	integer, 0-99		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
97	PC_SRC3	PC_SRC3	Strand 3 Percent Correct	3	No	Percent Correct in strand 3	integer, 0-100		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
98	MT_SRC3	MT_SRC3	Strand 3 Met-Target	1	No	Met Target in strand 3	Y/N/blank		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
99	Label_SRC4	Label_SRC4	Subskill 4 Label	5	No	Subskill 4 Label				Hard Error	AIR Database of Record	
100	Num_Items_SRC4	Num_Items_SRC4	Score: Subskill 4 Number Items	3	No	Number of scored responses to items in Subskill 4	integer, 0-999		Score reported only when attemptedness indicator is "Y". Populated for Smarter Balanced, ELPA and Washington state-specific tests.	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
101	THETA_SRC4	THETA_SRC4	Score: Subskill 4 Theta	10	No	Theta in Subskill 4	Numeric to 4-decimal point precision, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
102	SEM_THETA_SRC4	SEM_THETA_SRC4	Score: Subskill 4 Theta SEM	10	No	Theta SEM for Subskill 4	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
103	SS_SRC4	SS_SRC4	Score: Subskill 4 Scaled Score	4	No	Scaled Score for Subskill 4	integer, 1-9999, N, E		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
104	SEM_SRC4	SEM_SRC4	Score: Subskill 4 Scaled Score SEM	4	No	Scaled Score SEM for Subskill 4	integer, 0-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
105	PL_SRC4	PL_SRC4	Score: Subskill 4 Performance Level	3	No	See mapping tab for performance band (SDF Subskill)	Alphanumeric, 0-5, N, E, Blank	1 = Level 1 2 = Level 2 3 = Level 3 4 = Level 4 5 = Level 5 N = Did not attempt Blank ELPA: 0 = Performance Not Determined (Screener only) 1 = level 1 2 = level 2 3 = level 3 4 = level 4 5 = level 5 N = Not Attempted E = Exempt Blank	Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced and ELPA tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
106	PL_Conf_SRC4	PL_Conf_SRC4	Score: Subskill 4 Performance Level Confidence	5	No	Performance Level Confidence for Subskill	0.000-1.000 Blank		Score reported only when attemptedness indicator is "Y". Populated for ELPA	Hard Error	AIR Database of Record	
107	RS_SRC4	RS_SRC4	Strand 4 Raw Score	2	No	Raw point score earned in strand 4	integer, 0-99		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
108	PC_SRC4	PC_SRC4	Strand 4 Percent Correct	4	No	Percent Correct in strand 4	integer, 0-100		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
109	MT_SRC4	MT_SRC4	Strand 4 Met Target	1	No	Met Target in strand 4	Y/N/blank		Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
110	Label_SRC5	Label_SRC5	Subskill 5 Label	5	No	Subskill 5 Label				Hard Error	AIR Database of Record	
111	Num_Items_SRC5	Num_Items_SRC5	Score: Subskill 5 Number Items	3	No	Number of scored responses to items in Subskill 5	integer, 0-999		Score reported only when attemptedness indicator is "Y". Populated for both Smarter Balanced and Washington state-specific tests.	Hard Error	AIR Database of Record	
112	THETA_SRC5	THETA_SRC5	Score: Subskill 5 Theta	10	No	Theta in Subskill 5	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
113	SEM_THETA_SRC5	SEM_THETA_SRC5	Score: Subskill 5 Theta SEM	10	No	Theta SEM for Subskill 5	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
114	SS_SRC5	SS_SRC5	Score: Subskill 5 Scaled Score	4	No	Scaled Score for Subskill 5	integer, 1-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
115	SEM_SRC5	SEM_SRC5	Score: Subskill 5 Scaled Score SEM	4	No	Scaled Score SEM for Subskill 5	Integer, 0-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
116	PL_SRC5	PL_SRC5	Score: Subskill 5 Performance Level	1	No	Performance Level for Subskill 5	1,2,3	See Achievement Level Tab	Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
117	RS_SRC5	RS_SRC5	Strand 5 Raw Score	2	No	Raw point score earned in strand 5	Integer, 0-99		Score reported only when attemptedness indicator is "Y". Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
118	PC_SRC5	PC_SRC5	Strand 5 Percent Correct	5	No	Percent Correct in strand 5	Integer, 0-100		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
119	MT_SRC5	MT_SRC5	Strand 5 Met Target	1	No	Met Target in strand 5	Y/N/blank		Score reported only when attemptedness indicator is "Y". Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
120	Label_SRC6	Label_SRC6	Subskill 6 Label	5	No	Subskill 6 Label				Hard Error	AIR Database of Record	
121	Num_Items_SRC6	Num_Items_SRC6	Score: Subskill 6 Number Items	3	No	Number of scored responses to items in Subskill 6	Integer, 0-999		Score reported only when attemptedness indicator is "Y". Populated for both Smarter Balanced and Washington state-specific tests.	Hard Error	AIR Database of Record	
122	THETA_SRC6	THETA_SRC6	Score: Subskill 6 Theta	10	No	Theta in Subskill 6	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
123	SEM_THETA_SRC6	SEM_THETA_SRC6	Score: Subskill 6 Theta SEM	10	No	Theta SEM for Subskill 6	Numeric to 4-decimal point precision		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
124	SS_SRC6	SS_SRC6	Score: Subskill 6 Scaled Score	4	No	Scaled Score for Subskill 6	Integer, 1-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
125	SEM_SRC6	SEM_SRC6	Score: Subskill 6 Scaled Score SEM	4	No	Scaled Score SEM for Subskill 6	Integer, 0-9999		Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
126	PL_SRC6	PL_SRC6	Score: Subskill 6 Performance Level	1	No	Performance Level for Subskill 6	1,2,3	See Achievement Level Tab	Score reported only when attemptedness indicator is "Y". Populated ONLY for Smarter Balanced tests. Not populated for Washington state-specific tests.	Hard Error	AIR Database of Record	
127	RS_SRC6	RS_SRC6	Strand 6 Raw Score	2	No	Raw point score earned in strand 6	Integer, 0-99		Score reported only when attemptedness indicator is "Y". Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
128	PC_SRC6	PC_SRC6	Strand 6 Percent Correct	6	No	Percent Correct in strand 6	Integer, 0-100		Score reported only when attemptedness indicator is "Y". Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
129	MT_SRC6	MT_SRC6	Strand 6 Met Target	1	No	Met Target in strand 6	Y/N/blank		Score reported only when attemptedness indicator is "Y". Populated ONLY for Washington state-specific tests.	Hard Error	AIR Database of Record	
130	Paper_Barcode	Barcode	Paper Test Barcode	15	No	Barcode to uniquely identify a paper test result	Alphanumeric		Only populated for paper-based tests.	Hard Error	AIR Database of Record	
131	TstGrdBnd	TstGrdBnd	Test Grade Band (Delivered)	5	No	No	Test Grade Band (Delivered)	PK KG 1 2-3 4-5 6-8 9-12 <Blank>	<blank> = Not an ELPA test. Populated only for ELPA.	Populated only for ELPA.	AIR Database of Record	
132	ReleaseResultFG	ReleaseResultFG	Release:ResultFG	1	No	Early Release Results of ELA/Math Assessments for College Readiness Flag	Y = Yes N = No			Hard Error	AIR Database of Record	
133	SegmentID1	SegmentID1	Segment ID 1	100	No	Identifier of the first segment on the combined test				Hard Error	AIR Database of Record	
134	Accommodations_Segment1	Accommodations_Seg1	Accommodation	5000	No	Accommodation code string, comma delimited, all accommodations made available on the first test segment	See list of values in SBAC Online Testing Deployment Specifications - TDS, Accom&StudentTools tab		This field is a comma separated list of accommodation code values (ie. <TDS_Masking0_TDS_MFR1_TDS_Mute0_TDS_PW0_TDS_PoD0_TDS_PS_10>)	Truncate	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
135	SegmentID2	SegmentID2	Segment ID 2	100	No	Identifier of the second segment on the combined test				Hard Error	AIR Database of Record	
136	Accommodations_Segment	Accommodation_Seg2	Accommodation	1000	No	Accommodation code string, comma delimited, all accommodations made available on the second test segment	See list of values in SBAC Online Testing Deployment Specifications - TDS, Accom&StudentTools tab		This field is a comma separated list of accommodation code values (ie. <TDS_Masking0,TDS_MFR1,TDS_Mute0,TDS_PM0,TDS_PoD0,TDS_PS_LO>	Truncate	AIR Database of Record	
137	SegmentID3	SegmentID3	Segment ID 3	100	No	Identifier of the third segment on the combined test				Hard Error	AIR Database of Record	
138	Accommodations_Segment	Accommodation_Seg3	Accommodation	1000	No	Accommodation code string, comma delimited, all accommodations made available on the third test segment	See list of values in SBAC Online Testing Deployment Specifications - TDS, Accom&StudentTools tab		This field is a comma separated list of accommodation code values (ie. <TDS_Masking0,TDS_MFR1,TDS_Mute0,TDS_PM0,TDS_PoD0,TDS_PS_LO>	Truncate	AIR Database of Record	
139	ELPA21OverallScore	ESS_TOT	ELPA Overall Scale Score	4	No	Score: ELPA21 Total Test Scaled Score	0-9999, N, E Blank		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
140	ELPA21OverallSEM	ESEM_TOT	ELPA Overall Scale Score Standard Error	4	No	Score: ELPA21 Total Test SEM Score	0-9999 Blank		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
141	ELPA21ProfStatus	EPL_TOT	ELPA Proficiency Status	3	No	Proficiency Status for ELPA21 Total Test	1 = emerging 2 = progressing 3 = proficient N = Not Attempted D = Proficiency Not Determined <Blank>		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
142	EPL_Conf_TOT	EPL_Conf_TOT	ELPA Performance Level Confidence	5	No	Performance Level Confidence for ELPA21 Total Test	0.000-1.000 Blank	Overall Performance level Confidence	Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
143	ESS_Comp_TOT	ESS_Comp_TOT	ELPA Comprehension Scale Score	4	No	Score: ELPA21 Comprehension Scaled Score	0-9999, N, E Blank		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
144	ESEM_Comp_TOT	ESEM_Comp_TOT	ELPA Comprehension Scale Score Standard Error	4	No	Score: ELPA21 Comprehension SEM Score	0-9999 Blank		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
145	OppKey	OppKey	Opportunity Key	36	Yes	The unique OppKey GUID which identifies a test uniquely	Alpa numeric including hyphen(-)			Hard Error	AIR Database of Record	
146	Err_Var_LL	fullErrorVarLL	Error Variance - LL	18	No	Error Variance - LL	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
147	Err_Var_LR	fullErrorVarLR	Error Variance - LR	18	No	Error Variance - LR	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
148	Err_Var_LS	fullErrorVarLS	Error Variance - LS	18	No	Error Variance - LS	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
149	Err_Var_LW	fullErrorVarLW	Error Variance - LW	18	No	Error Variance - LW	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
150	Err_Var_RR	fullErrorVarRR	Error Variance - RR	18	No	Error Variance - RR	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
151	Err_Var_RS	fullErrorVarRS	Error Variance - RS	18	No	Error Variance - RS	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
152	Err_Var_RW	fullErrorVarRW	Error Variance - RW	18	No	Error Variance - RW	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
153	Err_Var_SS	fullErrorVarSS	Error Variance - SS	18	No	Error Variance - SS	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
154	Err_Var_SW	fullErrorVarSW	Error Variance - SW	18	No	Error Variance - SW	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	
155	Err_Var_WW	fullErrorVarWW	Error Variance - WW	18	No	Error Variance - WW	Unrounded value, or blank if the test is not scored, not attempted, or exempt		Applies only to ELPA tests. Values will be populated only for ELPA test	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Student)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
156	AdditionalSchoolCodes	AdditionalSchoolCodes	School codes	500	No		Alpa numeric including underscore(_) and comma delimited values		If there are multiple enrollments , we will capture all school codes(format: <DistrictId>_<SchoolD> to which the student is associated (comma delimited) as of the test end date. If there is no test end date available then we use the test start date.	Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Items)

ITEMS (ITEM CAPTURE) FILE LAYOUT

AIR-OSPI Results Data File Specifications - 2018-19

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
1	AssessmentSubtestResultDateCreated	CrtdDt	Record Creation Date	12	Yes	Record Creation Date (date record was sent in files)	MMDDYYYYhhmm	MM = 01 to 12 DD = 01 to 31 YYYY = 2019 hh = 00 to 23 mm = 00 to 59			Calculated	
2	AssessmentItemIdentifier	Item_ID	Item ID	20	Yes	Item Bank Key and Item ID	Alphanumeric		ItemBank key followed by hyphen character followed by item ID	Hard Error	AIR Database of Record	
3	AssessmentItemType	Item_format	Item Format	5	Yes	Item Format	MC, NL, GI, ER, SA, WB, WER, EQ, HT, HTQ, MI, MS, MS2, MS3, MS4, MS5, MS6, MS7, MS8, EBSR, EB, SR4, EBSR5, EBSR6, EBSR7, EBSR8, TI, CL, ER, NL, SA, VR, WB, MULTI, IAT, GGM, GHS, ETC	NL = Natural Language (Constructed Response) GI = Grid Item ER = Extended Response SA = Short Answer WB = Word Builder WER = Writing Extended Response EQ = Equation Editor HT = Hot Text HTQ = Hot Text (QTI version) MI = Matching Item MS/MS2/ MS3/MS4/MS5/MS6/ MS7/ MS8 = multi-select (selected response items with more than one correct answer) EBSR/EBSR4/EBSR5/EBSR6/EBSR7/EBSR8= Evidence-based selected-response TI= Fill-in table item TI = tableinput, CL = textEntryEmbedded, ER = textEntryExtendedResponse, NL = textEntryNaturalLanguage, SA = textEntrySimple, VR = verbalResponse, MULTI = One or more of the following subtypes. IAT (AIR Craft) GGM = gridGraphicGapMatch GHS = gridHotspot ETC=EditTaskChoice			AIR Database of Record	
4	RespTypCd	RespTypCd	Response Type Code	1	Yes	Response Type Code	A, B, <blank>	A = Item Response field (#5) contains the full text of the student response B = Item Response field (#4) is blank (not populated for GI, EQ or SIM items) For SBAC tests Only: GI, ER, WER, EQ, HT, HTQ, SA and TI will be type 'B', rest will be type 'A'	A = Item Response field contains the full text of the student response B = Item Response field (#4) contains a filename reference to the student response (the responses for the item type: VR, will have the external image posted in zip image response file)	Hard Error	Calculated	
5	Response	Response	ItemResponse	20,000	No	Item Response	1, 2, 3, 4, 5, alphanumeric and special characters including HTML tags, <blank>	1 = MC choice A 2 = MC choice B 3 = MC choice C 4 = MC choice D 5 = MC choice E		Hard Error	AIR Database of Record	
6	AssessmentItemResponseScoreValue	ItemScore	ItemScore	3	No	Item Score	numeric			Hard Error	AIR Database of Record	
7	ItemOrdr	ItemOrdr	ItemOrder	3	Yes	Item Order	1 to 999	1 = First item presented 2 = Second item presented, Etc.		Hard Error	AIR Database of Record	
8	AssessmentFormNumber	FORM	Form ID	100	No	Form ID	Alphanumeric and {"("","")","."","_"}		This is the form name	Truncate	AIR Database of Record	
9	SegmentID	SegmentID	SegmentID	100	No	Segment ID	Alphanumeric and {"("","")","."","_"}			Hard Error	AIR Database of Record	
10	VndrTstEvent_ID	VndrTstEvent_ID	Vendor Test Event ID	8	Yes	Unique result ID for each test opportunity taken within a school year	Numeric, 0-9999999			Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Items)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
11	StudentIdentifier	SSID	State Assigned Student ID	50	Yes	Unique student identifier	50 alphanumeric characters			Hard Error	AIR Database of Record / Roster Tracking System	
12	First name	FirstName	First name	50	No	Unique student identifier	50 alphanumeric characters			Hard Error	AIR Database of Record / Roster Tracking System	
13	Last name	LastName	Last name	50	No	Unique student identifier	50 alphanumeric characters			Hard Error	AIR Database of Record / Roster Tracking System	
14	Date of Birth	DateOfBirth	Date of Birth	10	No	Unique student identifier	08 alphanumeric characters			Hard Error	AIR Database of Record / Roster Tracking System	
15	ItemLifeStg	item_life_stage	Item Life Stage	1	Yes	Indicates item status - operational vs. field test	O, F	O = Operational F = Field Test		Hard Error	AIR Database of Record	
16	NbrItemVisits	NumItemVisits	Item Visits	3	No	Number of times the student visited the page on which this item was presented	Numeric, 0-999			Hard Error	AIR Database of Record	
17	ScoringDimension	ScoringDimension	Scoring Dimension	4	No	Scoring Dimension	ELPA: IL, GR, <blank> Smarter Balanced: EP, OP, EE, CD, <blank>	Smarter Balanced: EP = Collapsed Evidence/Purpose OP = Organization/Purpose EE = Evidence/Elaboration CO = Conventions <blank> = Not an item scored on multiple dimensions	A row in this file will exist for each item and scoring dimension. For items without scoring dimensions, there will only be a single row per item. Scoring dimensions are only used on Smarter Balanced tests.	Hard Error	AIR Database of Record	
18	Scr_Rater1	Scr_Rater1	Handscoring Rater 1 Score	2	No	Hand score by rater 1	Numeric, 0-99			Hard Error	AIR Database of Record	
19	Scr_Rater2	Scr_Rater2	Handscoring Rater 2 Score	2	No	Hand score by rater 2	Numeric, 0-99			Hard Error	AIR Database of Record	
20	Scr_Rater3	Scr_Rater3	Handscoring Rater 3 Score	2	No	Hand score by rater 3	Numeric, 0-99			Hard Error	AIR Database of Record	
21	CC_Rater1	CC_Rater1	Handscoring Rater 1 Condition Code	1	No	Handscoring condition code by rater 1	Smarter Balanced: B, I, L, T, M WCAS Science: B, U, T, F, X ELPA: A, B	Smarter Balanced: B = Blank I = Insufficient L = Non-Scorable Language T = Off Topic M = Off Purpose WCAS: B = Blank U = Unrelated T = Not Legible F = Language other than English X = No Answer Document ELPA: A = Blank B = empty audio file due to technological problem		Hard Error	AIR Database of Record	
22	CC_Rater2	CC_Rater2	Handscoring Rater 2 Condition Code	1	No	Handscoring condition code by rater 2	Smarter Balanced: B, I, L, T, M WCAS Science: B, U, T, F, X ELPA: A, B	Smarter Balanced: B = Blank I = Insufficient L = Non-Scorable Language T = Off Topic M = Off Purpose WCAS: B = Blank U = Unrelated T = Not Legible F = Language other than English X = No Answer Document ELPA: A = Blank B = empty audio file due to technological problem		Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(Items)

Field	OSPI Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
23	CC_Rater3	CC_Rater3	Handscoring Rater 3 Condition Code	1	No	Handscoring condition code by rater 3	Smarter Balanced: B, I, L, T, M WCAS Science: B, U, T, F, X ELPA: A, B	Smarter Balanced: B = Blank I = Insufficient L = Non-Scorable Language T = Off Topic M = Off Purpose WCAS: B = Blank U = Unrelated T = Not Legible F = Language other than English X = No Answer Document ELPA: A = Blank B = empty audio file due to technological problem		Hard Error	AIR Database of Record	
24	CC_Reso	CC_Reso	Resolved Condition Code	1	No	Resolved condition code	Smarter Balanced: B, I, L, T, M WCAS Science: B, U, T, F, X ELPA: A, B	Smarter Balanced: B = Blank I = Insufficient L = Non-Scorable Language T = Off Topic M = Off Purpose WCAS: B = Blank U = Unrelated T = Not Legible F = Language other than English X = No Answer Document ELPA: A = Blank B = empty audio file due to technological problem		Hard Error	AIR Database of Record	
25	ID_Rater1	ID_Rater1	Handscoring Rater 1 ID	10	No	Rater 1 Identifier	Alphanumeric			Hard Error	AIR Database of Record	
26	ID_Rater2	ID_Rater2	Handscoring Rater 2 ID	10	No	Rater 2 Identifier	Alphanumeric			Hard Error	AIR Database of Record	
27	ID_Rater3	ID_Rater3	Handscoring Rater 3 ID	10	No	Rater 3 Identifier	Alphanumeric			Hard Error	AIR Database of Record	
28	Science_A1	Science_A1	Science Item Attribute 1	1	No	Score for Science Item Attribute 1	0, 1, Blank			Hard Error	AIR Database of Record	
29	Science_A2	Science_A2	Science Item Attribute 2	1	No	Score for Science Item Attribute 2	0, 1, Blank			Hard Error	AIR Database of Record	
30	Science_A3	Science_A3	Science Item Attribute 3	1	No	Score for Science Item Attribute 3	0, 1, Blank			Hard Error	AIR Database of Record	
31	Science_A4	Science_A4	Science Item Attribute 4	1	No	Score for Science Item Attribute 4	0, 1, Blank			Hard Error	AIR Database of Record	
32	Science_A5	Science_A5	Science Item Attribute 5	1	No	Score for Science Item Attribute 5	0, 1, Blank			Hard Error	AIR Database of Record	
33	Science_A6	Science_A6	Science Item Attribute 6	1	No	Score for Science Item Attribute 6	0, 1, Blank			Hard Error	AIR Database of Record	
34	Science_A7	Science_A7	Science Item Attribute 7	1	No	Score for Science Item Attribute 7	0, 1, Blank			Hard Error	AIR Database of Record	
35	OppKey	OppKey	Opportunity Key	36	Yes	The unique OppKey GUID which identifies a test uniquely	Alpa numeric including hyphen(-)			Hard Error	AIR Database of Record	

AIR-OSPI Data File Specifications - Output(ASSERTIONS)

ASSERTIONS (ASSERTION CAPTURE) FILE LAYOUT

Field	ODE Field Name	AIR Field Name	Data Element Name	Width	Required	Data Element Description	Acceptable Values	Definitions	Business Rules	Exceed Field Length?	Source (AIR Internal Use Only)	Notes
1	VndrTstEvent_ID	VndrTstEvent_ID	Vendor Test Event ID	8	Yes	Unique result ID for each test opportunity taken within a school year	Numeric, 0-99999999			Hard Error	Vndr_test_Event_ID	
2	OppKey	OppKey	OpportunityKey	45	Yes	Unique opportunity identifier	Alphanumeric and '-'			Hard Error	TDSOpportunityGUID	
3	AssessmentItemIdentifier	Item_ID	Item ID	20	Yes	Item Bank Key and Item ID	Alphanumeric and '-'		ItemBank key followed by hyphen character followed by item ID	Hard Error	Assigned based on _efk_ItemBank and key	
4	Assertion_Name	Assertion_Name	Assertion Name	200	No	Name of Assertion	Alphanumeric and special characters				DoR [Proposition] - Name	
5	Assertion_Description	Assertion_Description	Assertion Description	1000	No	Text description of the Assertion	Alphanumeric and special characters				DoR [Proposition]- Description	
6	Assertion_Outcome	Assertion_Outcome	Assertion Outcome	2	No	True or False statement on the assertion outcome	0,1, <Blank>	Asserted = 1 NotAsserted = 0			DoR [Proposition] - State	

AIR-OSPI Data File Specifications - Mappings

MAPPINGS

AIR-OSPI Results Data File Specifications - 2018-19

Reporting Categories / Subskill Mappings

Subject	Online Reporting Label	SDF Subskill ID	SDF Subskill Label
SBAC ELA	Reading	1	READ
SBAC ELA	Listening and Speaking	2	L&SP
SBAC ELA	Writing	3	WRIT
SBAC ELA	Research/Inquiry	4	R&IN
SBAC Math	Concepts and Procedures	1	C&PR
SBAC Math	Problem Solving and Modeling & Data	2	PROB
SBAC Math	Communicating Reasoning	3	REAS
WCAS	Physical Sciences	1	PHYS
WCAS	Life Sciences	2	LIFE
WCAS	Earth and Space Sciences	3	E&SS
ELPA	Reading	1	RE
ELPA	Writing	2	WRIT
ELPA	Listening	3	LS
ELPA	Speaking	4	SP
ELPA	Comprehension	5	

Achievement Levels

Subject level performance for a total score - applies to Smarter Balanced ICA and Summative	
1	Level 1
2	Level 2
3	Level 3
4	Level 4
Subject level performance for a total score - applies to Smarter Balanced IAB	
1	Below Standard
2	At/Near Standard
3	Above Standard
Content Strand Performance Levels - applies to Smarter Balanced ICA and Summative	
1	Below Standard
2	At/Near Standard
3	Above Standard

Test IDs

Assessment	Subject	Grade	Test ID	Test Label
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G11 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G11 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G3 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G3 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G4 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G4 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G5 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G5 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G6 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G6 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G7 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G7 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G8 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G8 Summative (Combined)
SBAC Summative Paper	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Grade 10 ELA
SBAC Summative Paper	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Grade 10 MATH
SBAC Summative Paper	ELA	3	TBD	Grade 3 ELA
SBAC Summative Paper	Math	3	TBD	Grade 3 MATH

AIR-OSPI Data File Specifications - Mappings

Assessment	Subject	Grade	Test ID	Test Label
SBAC Summative Paper	ELA	4	TBD	Grade 4 ELA
SBAC Summative Paper	Math	4	TBD	Grade 4 MATH
SBAC Summative Paper	ELA	5	TBD	Grade 5 ELA
SBAC Summative Paper	Math	5	TBD	Grade 5 MATH
SBAC Summative Paper	ELA	6	TBD	Grade 6 ELA
SBAC Summative Paper	Math	6	TBD	Grade 6 MATH
SBAC Summative Paper	ELA	7	TBD	Grade 7 ELA
SBAC Summative Paper	Math	7	TBD	Grade 7 MATH
SBAC Summative Paper	ELA	8	TBD	Grade 8 ELA
SBAC Summative Paper	Math	8	TBD	Grade 8 MATH
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G11 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G3 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G4 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G5 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G6 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G7 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math Braille G8 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G3 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G4 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G5 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G6 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G7 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G8 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G3 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G4 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G5 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G6 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G7 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G8 Summative (Combined)
SBAC Summative	Math	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced Math G10 Summative (Combined)
SBAC Summative	ELA	3, 4, 5, 6, 7, 8, 10, 11, 12	TBD	Smarter Balanced ELA G10 Summative (Combined)
WA WCAS	Science	5	WA-WCAS-G5S-Science-5	Grade 5 Science
WA WCAS	Science	5	WA-WCAS-G5S-DEI-Science-5	G5Science-DEI
WA WCAS	Science	5	WA-WCAS-G5S-PAPER-Science-5	G5Science-Paper
WA WCAS	Science	8	WA-WCAS-G8S-Science-8	Grade 8 Science
WA WCAS	Science	8	WA-WCAS-G8S-DEI-Science-8	G8Science-DEI
WA WCAS	Science	8	WA-WCAS-G8S-PAPER-Science-8	G8Science-Paper
WA WCAS	Science	11	WA-WCAS-G11S-Science-11	Grade 11 Science
WA WCAS	Science	11	WA-WCAS-G11S-DEI-Science-11	G11Science-DEI
WA WCAS	Science	11	WA-WCAS-G11S-PAPER-Science-11	G11Science-Paper
ELPA21 Operational	ELPA53	1	ELPA21-OP-1-COMBINED	Grade 1 ELPA21 Operational Test
ELPA21 Operational	ELPA54	2,3	ELPA21-OP-2-3-COMBINED	Grades 2-3 ELPA21 Operational Test
ELPA21 Operational	ELPA55	4,5	ELPA21-OP-4-5-COMBINED	Grades 4-5 ELPA21 Operational Test
ELPA21 Operational	ELPA56	6, 7, 8	ELPA21-OP-6-8-COMBINED	Grades 6-8 ELPA21 Operational Test
ELPA21 Operational	ELPA57	9, 10, 11, 12	ELPA21-OP-9-12-COMBINED	Grades 9-12 ELPA21 Operational Test
ELPA21 Operational	ELPA58	K	ELPA21-OP-KG-COMBINED	Grade KG ELPA21 Operational Test
ELPA21 Operational	ELPA60	2,3	ELPA21-OP-DEI-2-3-COMBINED	Grades 2-3 ELPA21 Large Print DEI Test
ELPA21 Operational	ELPA61	4,5	ELPA21-OP-DEI-4-5-COMBINED	Grades 4-5 ELPA21 Large Print DEI Test
ELPA21 Operational	ELPA62	6,7,8	ELPA21-OP-DEI-6-8-COMBINED	Grades 6-8 ELPA21 Large Print DEI Test
ELPA21 Operational	ELPA63	9, 10, 11, 12	ELPA21-OP-DEI-9-12-COMBINED	Grades 9-12 ELPA21 Large Print DEI Test
ELPA21 Operational	ELPA65	1	ELPA21-OP-DEI-BRAILLE-1-COMBINED	ELPA21-OP-DEI-BRAILLE-1-COMBINED
ELPA21 Operational	ELPA66	2,3	ELPA21-OP-DEI-BRAILLE-2-3-COMBINED	ELPA21-OP-DEI-BRAILLE-2-3-COMBINED

AIR-OSPI Data File Specifications - Mappings

Assessment	Subject	Grade	Test ID	Test Label
ELPA21 Operational	ELPA67	4,5	ELPA21-OP-DEI-BRAILLE-4-5-COMBINED	ELPA21-OP-DEI-BRAILLE-4-5-COMBINED
ELPA21 Operational	ELPA68	6,7,8	ELPA21-OP-DEI-BRAILLE-6-8-COMBINED	ELPA21-OP-DEI-BRAILLE-6-8-COMBINED
ELPA21 Operational	ELPA69	9, 10, 11, 12	ELPA21-OP-DEI-BRAILLE-9-12-COMBINED	ELPA21-OP-DEI-BRAILLE-9-12-COMBINED
ELPA21 Operational	ELPA70	K	ELPA21-OP-DEI-BRAILLE-KG-COMBINED	ELPA21-OP-DEI-BRAILLE-KG-COMBINED
ELPA21 Screener	ELPA113	K	ELPA21-Screener-KG-ELPA21-KG	Grade KG Screener
ELPA21 Screener	ELPA114	1	ELPA21-Screener-1-ELPA21-1	Grade 1 Screener
ELPA21 Screener	ELPA115	2, 3	ELPA21-Screener-23-ELPA21-2	Grades 2-3 Screener
ELPA21 Screener	ELPA116	4, 5	ELPA21-Screener-45-ELPA21-4	Grades 4-5 Screener
ELPA21 Screener	ELPA117	6, 7, 8	ELPA21-Screener-68-ELPA21-6	Grades 6-8 Screener
ELPA21 Screener	ELPA118	9, 10, 11, 12	ELPA21-Screener-912-ELPA21-9	Grades 9-12 Screener
ELPA21 Screener	ELPA119	K	ELPA21-Screener-DEI-KG-ELPA21-KG	Grade K Screener
ELPA21 Screener	ELPA120	1	ELPA21-Screener-DEI-1-ELPA21-1	Grade 1 Screener
ELPA21 Screener	ELPA121	2, 3	ELPA21-Screener-DEI-23-ELPA21-2	Grades 2-3 Screener
ELPA21 Screener	ELPA122	4, 5	ELPA21-Screener-DEI-45-ELPA21-4	Grades 4-5 Screener
ELPA21 Screener	ELPA123	6, 7, 8	ELPA21-Screener-DEI-68-ELPA21-6	Grades 6-8 Screener
ELPA21 Screener	ELPA124	9, 10, 11, 12	ELPA21-Screener-DEI-912-ELPA21-9	Grades 9-12 Screener

SBAC Component Tests

Component Test Names	
SBAC-OP-ADAPTIVE-BP-EFT-ELA-3	G3 ELA-CAT
SBAC-OP-ADAPTIVE-BP-EFT-ELA-4	G4 ELA-CAT
SBAC-OP-ADAPTIVE-BP-EFT-ELA-5	G5 ELA-CAT
SBAC-OP-ADAPTIVE-BP-EFT-ELA-6	G6 ELA-CAT
SBAC-OP-ADAPTIVE-BP-EFT-ELA-7	G7 ELA-CAT
SBAC-OP-ADAPTIVE-BP-EFT-ELA-8	G8 ELA-CAT
SBAC-OP-ADAPTIVE-BP-EFT-MATH-3	G3 Math-CAT
SBAC-OP-ADAPTIVE-BP-EFT-MATH-4	G4 Math-CAT
SBAC-OP-ADAPTIVE-BP-EFT-MATH-5	G5 Math-CAT
SBAC-OP-ADAPTIVE-BP-EFT-MATH-6	G6 Math-CAT
SBAC-OP-ADAPTIVE-BP-EFT-MATH-7	G7 Math-CAT
SBAC-OP-ADAPTIVE-BP-EFT-MATH-8	G8 Math-CAT
SBAC-OP-ADAPTIVE-G3E-ELA-3	G3 ELA-CAT
SBAC-OP-ADAPTIVE-G3M-MATH-3	G3 Math-CAT
SBAC-OP-ADAPTIVE-G4E-ELA-4	G4 ELA-CAT
SBAC-OP-ADAPTIVE-G4M-MATH-4	G4 Math-CAT
SBAC-OP-ADAPTIVE-G5E-ELA-5	G5 ELA-CAT
SBAC-OP-ADAPTIVE-G5M-MATH-5	G5 Math-CAT
SBAC-OP-ADAPTIVE-G6E-ELA-6	G6 ELA-CAT
SBAC-OP-ADAPTIVE-G6M	G6 Math-CAT
SBAC-OP-ADAPTIVE-G7E-ELA-7	G7 ELA-CAT
SBAC-OP-ADAPTIVE-G7M	G7 Math-CAT
SBAC-OP-ADAPTIVE-G8E-ELA-8	G8 ELA-CAT
SBAC-OP-ADAPTIVE-G8M	G8 Math-CAT
SBAC-OP-Perf-ELA-3	G3 ELA-PT
SBAC-OP-Perf-ELA-4	G4 ELA-PT
SBAC-OP-Perf-ELA-5	G5 ELA-PT
SBAC-OP-Perf-ELA-6	G6 ELA-PT
SBAC-OP-Perf-ELA-7	G7 ELA-PT
SBAC-OP-Perf-ELA-8	G8 ELA-PT
SBAC-OP-Perf-MATH-3	G3 Math-PT
SBAC-OP-Perf-MATH-4	G4 Math-PT
SBAC-OP-Perf-MATH-5	G5 Math-PT
SBAC-OP-Perf-MATH-6	G6 Math-PT
SBAC-OP-Perf-MATH-7	G7 Math-PT
SBAC-OP-Perf-MATH-8	G8 Math-PT
SBAC-Perf-EFT-ELA-3	G3 ELA-PT
SBAC-Perf-EFT-ELA-4	G4 ELA-PT

AIR-OSPI Data File Specifications - Mappings

Component Test Names	
SBAC-Perf-EFT-ELA-5	G5 ELA-PT
SBAC-Perf-EFT-ELA-6	G6 ELA-PT
SBAC-Perf-EFT-ELA-7	G7 ELA-PT
SBAC-Perf-EFT-ELA-8	G8 ELA-PT
SBAC-Perf-EFT-MATH-3	G3 Math-PT
SBAC-Perf-EFT-MATH-4	G4 Math-PT
SBAC-Perf-EFT-MATH-5	G5 Math-PT
SBAC-Perf-EFT-MATH-6	G6 Math-PT
SBAC-Perf-EFT-MATH-7	G7 Math-PT
SBAC-Perf-EFT-MATH-8	G8 Math-PT
WA-SBAC-OP-ADAPTIVE-G10E-ELA-11	G10 ELA-CAT
WA-SBAC-OP-ADAPTIVE-G10M	G10 Math-CAT
WA-SBAC-OP-FIXED-G10E-Perf	G10 ELA-PT
WA-SBAC-OP-G10M-Perf-MATH-11	G10 Math-PT
WA-SBAC-OP-PAPER-G10M-MATH-11	
SBAC-OP-BrailleHAT-MATH-11	HS BRAILLE-Math-CAT
SBAC-OP-BrailleHAT-MATH-3	G3 BRAILLE-Math-CAT
SBAC-OP-BrailleHAT-MATH-4	G4 BRAILLE-Math-CAT
SBAC-OP-BrailleHAT-MATH-5	G5 BRAILLE-Math-CAT
SBAC-OP-BrailleHAT-MATH-6	G6 BRAILLE-Math-CAT
SBAC-OP-BrailleHAT-MATH-7	G7 BRAILLE-Math-CAT
SBAC-OP-BrailleHAT-Perf-MATH-11	HS BRAILLE-Math-PT
SBAC-OP-BrailleHAT-Perf-MATH-3	G3 BRAILLE-Math-PT
SBAC-OP-BrailleHAT-Perf-MATH-4	G4 BRAILLE-Math-PT
SBAC-OP-BrailleHAT-Perf-MATH-5	G5BRAILLE-Math-PT
SBAC-OP-BrailleHAT-Perf-MATH-6	G6 BRAILLE-Math-PT
SBAC-OP-BrailleHAT-Perf-MATH-7	G7 BRAILLE-Math-PT

AIR-OSPI Data File Specifications - Version History

Version History: Change Log

Version Number	Date	POC	Description
1	10/22/2018	Mahendra/Piyush	Initial Draft;

Exhibit H1d

Student File Format

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
1	DistrictID	EXTERNALID	District ID	30	Y	The district responsible for specific educational services and/or instruction of the student.	Up to 30 alphanumeric characters		Must be present in database prior to adding students to it External ID = District ID
2	SchoolID	EXTERNALID	School ID	30	Y	The school responsible for specific education services and/or instruction of the student.	Up to 30 alphanumeric characters		Must be present in database and associated with Attending District IRN External ID = DistrictID + "_" + SchoolID
3	LastOrSurname	LgLNm	Student's Last Name	35	N	The full legal last name borne in common by members of a family.	All standard ASCII characters		
4	FirstName	LgIFNm	Student's First Name	35	N	The full legal first name given to a person at birth, baptism, or through legal change.	All standard ASCII characters		
5	MiddleName	LgIMNm	Student's Middle Name	35	N	A full legal middle name given to a person at birth, baptism, or through legal change.	All standard ASCII characters		
6	Birthdate	BirthDtTxt	Birth Date (MMDDYYYY)	10	N	The year, month and day on which a person was born.	YYYY-MM-DD		
7	SSID	EXTERNALID	SSID	30	Y	A unique number or alphanumeric code assigned to a student by a school, school system, a state, or other agency or entity. This does not need to be the code associated with the student's educational record; this ID may be assigned for use specifically with Smarter Balanced testing.	Alphanumeric (up to 30 characters)		
9	GradeLevelWhenAssessed	EnrIGrdCd	Grade	2	Y	The grade or developmental level of a student when assessed.	KG 01 02 03 04 05 06 07 08 09 10 11 12 13 PS	KG - Kindergarten 01 - First grade 02 - Second grade 03 - Third grade 04 - Fourth grade 05 - Fifth grade 06 - Sixth grade 07 - Seventh grade 08 - Eighth grade 09 - Ninth grade 10 - Tenth grade 11 - Eleventh grade 12 - Twelfth grade 13 - Grade 13 PS - Postsecondary	Add leading zero if less than 2 digits
10	Sex	GNDR	Gender	6	Y	The concept describing the biological traits that distinguish the males and females of a species.	M F X	M - Male F - Female X - Gender not exclusively Male or Female	Ignore the case
11	HispanicOrLatinoEthnicity	HispEthnicFg	Hispanic or Latino	3	N	An indication that the person traces his or her origin or descent to Mexico, Puerto Rico, Cuba, Central and South America, and other Spanish cultures, regardless of race.	Yes No	Yes - Yes No - No	Ignore the case
12	AmericanIndianOrAlaskaNative	AmerIndianAlskNtvRaceFg	American Indian or Alaska Native	3	N	A person having origins in any of the original peoples of North and South America (including Central America), and who maintains cultural identification through tribal affiliation or community attachment.	Yes No	Yes - Yes No - No	Ignore the case
13	Asian	AsianRaceFg	Asian	3	N	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent. This area includes, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.	Yes No	Yes - Yes No - No	Ignore the case
14	BlackOrAfricanAmerican	BlackRaceFg	Black or African American	3	N	A person having origins in any of the black racial groups of Africa.	Yes No	Yes - Yes No - No	Ignore the case
15	White	WhiteRaceFg	White	3	N	A person having origins in any of the original peoples of Europe, Middle East, or North Africa.	Yes No	Yes - Yes No - No	Ignore the case
16	NativeHawaiianOrOtherPacificIslander	PacIslndrRaceFg	Native Hawaiian or Other Pacific Islander	3	N	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	Yes No	Yes - Yes No - No	Ignore the case
17	DemographicRaceTwoOrMoreRaces	MultiracialEthnicFg	Demographic Race Two or More Races	3	N	A person having origins in any of more than one of the racial groups.	Yes No	Yes - Yes No - No	Ignore the case

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
18	IDEAIndicator	SPEED	IDEA Indicator	3	N	A person having intellectual disability; hearing impairment, including deafness; speech or language impairment; visual impairment, including blindness; serious emotional disturbance (hereafter referred to as emotional disturbance); orthopedic impairment; autism; traumatic brain injury; developmental delay; other health impairment; specific learning disability; deaf-blindness; or multiple disabilities and who, by reason thereof, receive special education and related services under the Individuals with Disabilities Education Act (IDEA) according to an Individualized Education Program (IEP), individual Family Service Plan (IFSP), or service plan.	Yes No	Yes - Yes No - No	ignore the case
19	LEPStatus	LEPFG	Limited English Proficiency Status	3	N	Used to indicate persons (A) who are ages 3 through 21; (B) who are enrolled or preparing to enroll in an elementary school or a secondary school; (C) (who are I, ii, or iii) (i) who were not born in the United States or whose native languages are languages other than English; (ii) (who are I and II) (i) who are a Native American or Alaska Native, or a native resident of the outlying areas; and (II) who come from an environment where languages other than English have a significant impact on their level of language proficiency; or (iii) who are migratory, whose native languages are languages other than English, and who come from an environment where languages other than English are dominant; and (D) whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individuals (who are denied I or ii or iii) (i) the ability to meet the state's proficient level of achievement on state assessments described in section 1111(b)(3); (ii) the ability to successfully achieve in classrooms where the language of instruction is English; or (iii) the opportunity to participate fully in society.	Yes No	Yes - Yes No - No	ignore the case
20	Section504Status	504Plan	Section 504 Status	22	N	Individuals with disabilities who are being provided with related aids and services under Section 504 of the Rehabilitation Act of 1973, as amended.	Yes No Unknown/Cannot Provide - Unknown or cannot provide	Yes - Yes No - No Unknown/Cannot Provide - Unknown or cannot provide	ignore the case
21	EconomicDisadvantageStatus	TITLE1	N/A	3	N	An indication that the student met the State criteria for classification as having an economic disadvantage.	Yes No	Yes - Yes No - No	ignore the case
22	LanguageCode	LANGUAGECODE	Language Code	3	N	The code for the specific language or dialect that a person uses to communicate.	Up to 3 characters alpha only		
23	EnglishLanguageProficiencyLevel	LEPType	English Language Proficiency Level	20	N	An indicator of an ELL student's English language proficiency based on a scale used by the State for reporting purposes.	Alphanumeric/space/comma/hyphen/apostrophe/HI special characters		
24	MigrantStatus	MIGRNTDFG	Migrant Status	3	N	Persons who are, or whose parents or spouses are, migratory agricultural workers, including migratory dairy workers, or migratory fishers, and who, in the preceding 36 months, in order to obtain, or accompany such parents or spouses, in order to obtain, temporary or seasonal employment in agricultural or fishing work (A) have moved from one LEA to another; (B) in a state that comprises a single LEA, have moved from one administrative area to another within such LEA; or (C) reside in an LEA of more than 15,000 square miles, and migrate a distance of 20 miles or more to a temporary residence to engage in a fishing activity.	Yes No BLANK	Yes - Yes No - No	ignore the case
25	FirstEntryDateIntoUSSchool	FIRSTENTRYDATEINTO USSCHOOL	First Entry Date into a US School (MMDDYYYY)	10	N	The year, month and day of a person's initial enrollment into a United States school.	YYYY-MM-DD BLANK		
26	LimitedEnglishProficiencyEntryDate	LIMITEDENGLISHPR	Limited English Proficiency Entry Date (MMDDYYYY)	10	N	The year, month and day a student classified as limited English proficient entered the LEP program.	YYYY-MM-DD BLANK		
27	LEPExitDate	LEPEXITDATE	Limited English Proficiency Exit Date (MMDDYYYY)	10	N	The year, month and day a student classified as limited English proficient exited the LEP program.	YYYY-MM-DD BLANK		

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
28	TitleIIILanguageInstructionP	TITLEIII_TYPE	Title III Language Instruction Program Type	27	N	The type of Title III language instructional programs.	Up to 27 characters alpha only	DualLanguage - Dual language TwoWayImmersion - Two-way immersion TransitionalBilingual - Transitional bilingual DevelopmentalBilingual - Developmental bilingual HeritageLanguage - Heritage language ShelteredEnglishInstruction - Sheltered English instruction StructuredEnglishImmersion - Structured English immersion SDAIE - Specially designed academic instruction delivered in English (SDAIE) ContentBasedESL - Content-based ESL PullOutESL - Pull-out ESL Other - Other	Varchar values. Codelist not needed
29	PrimaryDisabilityType	PD	Primary Disability Type	3	N	The major or overriding disability condition that best describes a person's impairment.	Up to 3 characters alpha only	AUT - Autism DB - Deaf-blindness DD - Developmental delay EMN - Emotional disturbance HI - Hearing impairment ID - Intellectual Disability MD - Multiple disabilities OI - Orthopedic impairment OHI - Other health impairment SLD - Specific learning disability SLI - Speech or language impairment TBI - Traumatic brain injury VI - Visual impairment	Varchar values. Codelist not needed
30	GradRequirementsYear	GraduationRequirementsYear	Graduation RequirementsYear	4	N	Indicates the student cohort that determines graduation requirements	YYYY BLANK		
31	DistrictID	DISTRICTID	District assigned student identifier	30	N	Local district student identifier	Alphanumeric (up to 30 characters)		
39	SmarterELAPaper	TDS-TestMode	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for SmarterELAPaper	Y N BLANK		Ignore the case
40	SmarterMathPaper	TDS-TestMode	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for SmarterMathPaper	Y N BLANK		Ignore the case
41	SciencePaper	TDS-TestMode	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for SciencePaper	Y N BLANK		Ignore the case
47	ELPA21	EOC	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for ELPA21	Y N BLANK		Ignore the case
48	DeleteStudent			1	N	This flag is to indicate whether this student record is marked for Deletion	Y BLANK	Y - Yes BLANK	Ignore the case
	TempID								
		ReportingID							

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
AIR USE ONLY	Ethnicity	Ethnicity	N/A	1	N	Student's Ethnicity used for reporting and by TDS adaptive algorithm	0 1 3 4 5 6 7 -1	0 - Multi-Racial 1 - American Indian/Alaskan Native 3 - Asian 4 - Hispanic 5 - African American 6 - White 7 - Hawaiian/Pacific Islander	At least one race must be marked Yes. If the HispanicOrLatinoEthnicity flag is set to Y, then the ethnicity will be 4 regardless of the other flags If more than one flags are marked as Y, and none of the these are Hispanic, then Ethnicity will be stored as 0 Else if the student record has Y for the following fields, the Ethnicity will be stored as*: AmericanIndianOrAlaskaNative: 1 Asian: 3 BlackOrAfricanAmerican: 5 White: 6 NativeHawaiianOrOtherPacificIslander: 7 DemographicRaceTwoOrMoreRaces: 0 *If more than one flag is 'Y', AIR will assign the first field with 'Y' as the student's ethnicity.

Exhibit H1e

Student File Format

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
1	DistrictID	EXTERNALID	District ID	30	Y	The district responsible for specific educational services and/or instruction of the student.	Up to 30 alphanumeric characters		Must be present in database prior to adding students to it External ID = District ID
2	SchoolID	EXTERNALID	School ID	30	Y	The school responsible for specific education services and/or instruction of the student.	Up to 30 alphanumeric characters		Must be present in database and associated with Attending District IRN External ID = DistrictID + "_" + SchoolID
3	LastOrSurname	LgILNm	Student's Last Name	35	N	The full legal last name borne in common by members of a family.	All standard ASCII characters		
4	FirstName	LgIFNm	Student's First Name	35	N	The full legal first name given to a person at birth, baptism, or through legal change.	All standard ASCII characters		
5	MiddleName	LgIMNm	Student's Middle Name	35	N	A full legal middle name given to a person at birth, baptism, or through legal change.	All standard ASCII characters		
6	Birthdate	BirthDTxt	Birth Date (MMDDYYYY)	10	N	The year, month and day on which a person was born.	YYYY-MM-DD		
7	SSID	EXTERNALID	SSID	30	Y	A unique number or alphanumeric code assigned to a student by a school, school system, a state, or other agency or entity. This does not need to be the code associated with the student's educational record; this ID may be assigned for use specifically with Smarter Balanced testing.	Alphanumeric (up to 30 characters)		
9	GradeLevelWhenAssessed	EnrGrdCd	Grade	2	Y	The grade or developmental level of a student when assessed.	KG 01 02 03 04 05 06 07 08 09 10 11 12 13 PS	KG - Kindergarten 01 - First grade 02 - Second grade 03 - Third grade 04 - Fourth grade 05 - Fifth grade 06 - Sixth grade 07 - Seventh grade 08 - Eighth grade 09 - Ninth grade 10 - Tenth grade 11 - Eleventh grade 12 - Twelfth grade 13 - Grade 13 PS - Postsecondary	Add leading zero if less than 2 digits
10	Sex	GNDR	Gender	6	Y	The concept describing the biological traits that distinguish the males and females of a species.	M F X	M - Male F - Female X - Gender not exclusively Male or Female	Ignore the case
11	HispanicOrLatinoEthnicity	HispEthnicFg	Hispanic or Latino	3	N	An indication that the person traces his or her origin or descent to Mexico, Puerto Rico, Cuba, Central and South America, and other Spanish cultures, regardless of race.	Yes No	Yes - Yes No - No	Ignore the case

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
12	AmericanIndianOrAlaskaNative	AmerIndianAlskNtVrRaceFg	American Indian or Alaska Native	3	N	A person having origins in any of the original peoples of North and South America (including Central America), and who maintains cultural identification through tribal affiliation or community attachment.	Yes No	Yes - Yes No - No	Ignore the case
13	Asian	AsianRaceFg	Asian	3	N	A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent. This area includes, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.	Yes No	Yes - Yes No - No	Ignore the case
14	BlackOrAfricanAmerican	BlackRaceFg	Black or African American	3	N	A person having origins in any of the black racial groups of Africa.	Yes No	Yes - Yes No - No	Ignore the case
15	White	WhiteRaceFg	White	3	N	A person having origins in any of the original peoples of Europe, Middle East, or North Africa.	Yes No	Yes - Yes No - No	Ignore the case
16	NativeHawaiianOrOtherPacificIslander	PacIsIndrRaceFg	Native Hawaiian or Other Pacific Islander	3	N	A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.	Yes No	Yes - Yes No - No	Ignore the case
17	DemographicRaceTwoOrMoreRaces	MultiracialEthnicFg	Demographic Race Two or More Races	3	N	A person having origins in any of more than one of the racial groups.	Yes No	Yes - Yes No - No	Ignore the case
18	IDEAIndicator	SPED	IDEA Indicator	3	N	A person having intellectual disability; hearing impairment, including deafness; speech or language impairment; visual impairment, including blindness; serious emotional disturbance (hereafter referred to as emotional disturbance); orthopedic impairment; autism; traumatic brain injury; developmental delay; other health impairment; specific learning disability; deaf-blindness; or multiple disabilities and who, by reason thereof, receive special education and related services under the Individuals with Disabilities Education Act (IDEA) according to an Individualized Education Program (IEP), Individual Family Service Plan (IFSP), or service plan.	Yes No	Yes - Yes No - No	Ignore the case

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
19	LEPStatus	LEPFG	Limited English Proficiency Status	3	N	Used to indicate persons (A) who are ages 3 through 21; (B) who are enrolled or preparing to enroll in an elementary school or a secondary school; (C) (who are i, ii, or iii) (i) who were not born in the United States or whose native languages are languages other than English; (ii) (who are i and ii) (i) who are a Native American or Alaska Native, or a native resident of the outlying areas; and (ii) who come from an environment where languages other than English have a significant impact on their level of language proficiency; or (iii) who are migratory, whose native languages are languages other than English, and who come from an environment where languages other than English are dominant; and (D) whose difficulties in speaking, reading, writing, or understanding the English language may be sufficient to deny the individuals (who are denied i or ii or iii) (i) the ability to meet the state's proficient level of achievement on state assessments described in section 1111(b)(3); (ii) the ability to successfully achieve in classrooms where the	Yes No	Yes - Yes No - No	Ignore the case
20	Section504Status	504Plan	Section 504 Status	22	N	Individuals with disabilities who are being provided with related aids and services under Section 504 of the Rehabilitation Act of 1973, as amended.	Yes No Unknown/Cannot Provide - Unknown or cannot provide	Yes - Yes No - No Unknown/Cannot Provide - Unknown or cannot provide	Ignore the case
21	EconomicDisadvantageStatus	TITLE1	N/A	3	N	An indication that the student met the State criteria for classification as having an economic disadvantage.	Yes No	Yes - Yes No - No	Ignore the case
22	LanguageCode	LANGUAGECODE	Language Code	3	N	The code for the specific language or dialect that a person uses to communicate.	Up to 3 characters alpha only		
23	EnglishLanguageProficiencyLevel	LEPTYPE	English Language Proficiency Level	20	N	An indicator of an ELL student's English language proficiency based on a scale used by the State for reporting purposes.	Alphanumeric/space/comma/ hyphen/apostrophe/Hi special characters		
24	MigrantStatus	MIGRNTDFG	Migrant Status	3	N	Persons who are, or whose parents or spouses are, migratory agricultural workers, including migratory dairy workers, or migratory fishers, and who, in the preceding 36 months, in order to obtain, or accompany such parents or spouses, in order to obtain, temporary or seasonal employment in agricultural or fishing work (A) have moved from one LEA to another; (B) in a state that comprises a single LEA, have moved from one administrative area to another within such LEA; or (C) reside in an LEA of more than 15,000 square miles, and migrate a distance of 20 miles or more to a temporary residence to engage in a fishing activity.	Yes No BLANK	Yes - Yes No - No	Ignore the case
25	FirstEntryDateIntoUSSchool	FIRSTENTRYDATEINTO USSCHOOL	First Entry Date into a US School (MMDDYYYY)	10	N	The year, month and day of a person's initial enrollment into a United States school.	YYYY-MM-DD BLANK		

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
26	LimitedEnglishProficiencyEntryDate	LIMITEENGLISHPROFICIENCYEN	Limited English Proficiency Entry Date (MMDDYYYY)	10	N	The year, month and day a student classified as limited English proficient entered the LEP program.	YYYY-MM-DD BLANK		
27	LEPExitDate	LEPEXITDATE	Limited English Proficiency Exit Date (MMDDYYYY)	10	N	The year, month and day a student classified as limited English proficient exited the LEP program.	YYYY-MM-DD BLANK		
28	TitleIIILanguageInstructionProgramType	TITLEIII_TYPE	Title III Language Instruction Program Type	27	N	The type of Title III language instructional programs.	Up to 27 characters alpha only	DualLanguage - Dual language TwoWayImmersion - Two-way immersion TransitionalBilingual - Transitional bilingual DevelopmentalBilingual - Developmental bilingual HeritageLanguage - Heritage language ShelteredEnglishInstruction - Sheltered English instruction StructuredEnglishImmersion - Structured English immersion SDAIE - Specially designed academic instruction delivered in English (SDAIE) ContentBasedESL - Content-based ESL	Varchar values. Codelist not needed
29	PrimaryDisabilityType	PD	Primary Disability Type	3	N	The major or overriding disability condition that best describes a person's impairment.	Up to 3 characters alpha only	AUT - Autism DB - Deaf-blindness DD - Developmental delay EMN - Emotional disturbance HI - Hearing impairment ID - Intellectual Disability MD - Multiple disabilities OI - Orthopedic impairment OHI - Other health impairment SLD - Specific learning disability SLI - Speech or language impairment TBI - Traumatic brain injury VI - Visual impairment	Varchar values. Codelist not needed
30	GradRequirementsYear	GraduationRequirementsYear	Graduation RequirementsYear	4	N	Indicates the student cohort that determines graduation requirements	YYYY BLANK		
31	DistrictID	DISTRICTID	District assigned student identifier	30	N	Local district student identifier	Alphanumeric (up to 30 characters)		

Column	Field Name (In File)	Field Name (RTS)	Field Label (In UI)	Width	Required	Data Element Description	Acceptable Values	Definitions	AIR Business Rules
39	SmarterELAPaper	TDS-TestMode	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for SmarterELAPaper	Y N BLANK		Ignore the case
40	SmarterMathPaper	TDS-TestMode	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for SmarterMathPaper	Y N BLANK		Ignore the case
41	SciencePaper	TDS-TestMode	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for SciencePaper	Y N BLANK		Ignore the case
47	ELPA21	EOC	Explicit Test Eligibility	1	N	This flag will indicate whether a student is eligible for ELPA21	Y N BLANK		Ignore the case
48	DeleteStudent			1	N	This Flag is to indicate whether this student record is marked for Deletion	Y BLANK	Y - Yes BLANK	Ignore the case
	TempID								
		ReportingID							
AIR USE ONLY	Ethnicity	Ethnicity	N/A	1	N	Student's Ethnicity used for reporting and by TDS adaptive algorithm	0 1 3 4 5 6 7 -1	0 - Multi-Racial 1 - American Indian/Alaskan Native 3 - Asian 4 - Hispanic 5 - African American 6 - White 7 - Hawaiian/Pacific Islander	At least one race must be marked Yes. If the HispanicOrLatinoEthnicity flag is set to Y, then the ethnicity will be 4 regardless of the other flags If more than one flags are marked as Y, and none of the these are Hispanic, then Ethnicity will be stored as 0 Else if the student record has Y for the following fields, the Ethnicity will be stored as*: AmericanIndianOrAlaskaNative: 1 Asian: 3 BlackOrAfricanAmerican: 5 White: 6 NativeHawaiianOrOtherPacificIslander: 7 DemographicRaceTwoOrMoreRaces: 0 *If more than one flag is 'Y', AIR will assign the first field with 'Y' as the student's ethnicity.

Exhibit H5

Montana Member-Specific Data Management Specifications

Demonstrate compliance with Montana Code Annotated (MCA), Administrative Rules for Montana (ARM) and OPI Student Record Policies.

Specifically reference [Montana Code Annotated §20-7-104\(1\)\(b\) and §20-7-104\(9\)](#).

Transparency And Public Availability Of Public School Performance Data -- Reporting -- Availability For Timely Use To Improve Instruction

20-7-104. Transparency and public availability of public school performance data -- reporting -- availability for timely use to improve instruction. (1) The office of public instruction's statewide data system must, at a minimum:

(a) include data entry and intuitive reporting options that school districts can use to make timely decisions that improve instruction and impact student performance while creating a collaborative environment for parents, teachers, and students to work together in improving student performance. Options that the office of public instruction shall incorporate and make available for each school district must include data linkages to provide for automated conversion of data from systems already in use by school districts or by the office of public instruction that allow districts to collect, manage, and present local classroom assessment scores, grades, attendance, and other data to assist in instructional intervention alongside the existing school accountability and statewide student achievement results. The office of public instruction shall ensure that the design of the system is enhanced to prioritize collaborative support of each student's needs by classroom educators, administrators, and parents.

(b) display a publicly available educational data profile for each school district that protects each student's education records in compliance with the Family Educational Rights and Privacy Act of 1974, 20 U.S.C. 1232g, as amended, and its implementing regulations at 34 CFR, part 99.

(2) Subject to subsection (1)(b), each school district's educational profile must include, at a minimum, the following elements:

- (a) school district contact information and links to district websites, when available;
- (b) state criterion-referenced testing results;
- (c) program and course offerings;
- (d) student enrollment and demographics by grade level; and
- (e) graduation rates.

(3) Each school district shall annually report to the office of public instruction and publish and post on the school district's internet website the following district data for the preceding school year:

- (a) the number and type of employee positions, including administrators;
- (b) for the current employee in each position:
 - (i) the total amount of compensation paid to the employee by the district. The total amount of compensation includes but is not limited to the employee's base wage or salary, overtime pay, and other income from school-sanctioned extracurricular activities, including coaching and similar activities; and
 - (ii) the certification held by and required of the employee;
- (c) the student-teacher ratio by grade;

(d) (i) the amount, by category, spent by the district for operation and maintenance, stated in total cost and cost per square foot; and
(ii) the amount of principal and interest paid on bonds;
(e) the total district expenditures per student;
(f) the total budget for all funds;
(g) the total number of students enrolled and the average daily attendance;
(h) the total amount spent by the district on extracurricular activities and the total number of students that participated in extracurricular activities; and
(i) the number of students that entered the 9th grade in the school district but did not graduate from a high school in that district and for which the school district did not receive a transfer request. For reporting purposes, the students identified under this subsection (3)(i) are considered to have dropped out of school.

(4) Each school district shall also post on the school district's internet website a copy of every working agreement the district has with any organized labor organization and the district's costs, if any, associated with employee union representation, collective bargaining, and union grievance procedures and litigation resulting from union employee grievances.

(5) If a school district does not have an internet website, the school district shall publish the information required under subsections (2) and (3) in printed form and provide a copy of the information upon request at the cost incurred by the school district for printing only.

(6) The superintendent of public instruction shall continually work in consultation with the K-12 data task force provided for in 20-7-105 to analyze the best options for a statewide data system that will best enhance the ability of school districts to use data for the purposes identified in this section. Emphasis must be placed on developing or purchasing and customizing a statewide data system that promotes and preserves community ownership and local control and that incorporates innovative technologies available in the marketplace that may be in use and that are successfully working in other states. The office of public instruction and the K-12 data task force shall collaborate to enhance the statewide data system to support:

(a) the needs of school districts in using data to improve instruction and student performance;

(b) the collection of data from schools through a process that provides for automated conversion of data from systems already in use by school districts or the office of public instruction and that resolves the repetition of data entry and redundancy of data requested that has been characteristic of the data system in the past and that otherwise reduces the diversion of district staff time away from instruction and supervision;

(c) increased use of data from the centralized system by various functions within the office of public instruction; and

(d) transparency in reporting to schools, school districts, communities, and the public.

(7) The superintendent of public instruction shall gather, maintain, and distribute longitudinal, actionable data in the following areas:

(a) statewide student identifier;

(b) student-level enrollment data, including average daily attendance;

(c) student-level statewide assessment data;

(d) information on untested students;

(e) student-level graduation and dropout data;

(f) ability to match student-level K-12 and higher education data;

(g) a statewide data audit system;

(h) a system to track student achievement with a direct teacher-to-student match to help track, report, and create opportunities for improved individual student performance;

(i) student-level course completion data, including transcripts, to assess career and college readiness; and

(j) student-level ACT results, scholastic achievement test results, and advanced placement exam data.

(8) The superintendent of public instruction shall emphasize the creation of and distribution of individual diagnostic data for each student in a manner that is timely and protects the privacy rights of students and families as they relate to education so that school districts may use the data to support timely academic intervention as needed and to otherwise improve the academic achievement of the students of each school district.

(9) In addition to the data privacy protections in subsection (1)(b), the superintendent of public instruction may provide personally identifiable information gathered, maintained, and distributed pursuant to subsection (7) and any other personally identifiable data only to the office of public instruction, the school district where the student is or has been enrolled, the parent, and the student. The superintendent of public instruction may not share, sell, or otherwise release personally identifiable information to any for-profit business, nonprofit organization, public-private partnership, governmental unit, or other entity unless the student's parent has provided written consent specifying the data to be released, the reason for the release, and the recipient to whom the data may be released.

(10) On or before June 30, 2013, the superintendent of public instruction shall begin presenting longitudinal data on academic achievement and shall develop plans for a measurement of growth for the statewide student assessment required by the board of public education.

[OPI Policy 7.2.01](#): Compliance with OPI Student Records Confidentiality Policy

This policy establishes procedures and responsibilities under federal and state laws governing the access, use, and dissemination of confidential, sensitive, and/or restricted student information by the Montana Office of Public Instruction (OPI).

Data Breach—defined in [Montana Code Annotated \(MCA\) 2-6-1501](#).

[§ 2-6-1502 Protection of personal information -- compliance -- extensions](#)

[§2-6-1503 Notification of breach of security of data system](#)

Directory Information—information, as defined in FERPA 20 U.S.C. §1232g(a)(5)(A), 34 CFR §99.3

I1a
Washington Definition of Alert Process

Safety Concerns

When a test scorer identifies a student response that indicates that the student's safety and well-being may require attention, that response will be "alerted." Some examples of student's safety and well-being include:

- Attempts or thoughts of suicide
- Abuse by others or self-abuse
- A child in physical danger
- A crime that has been committed or will be committed which involves physical harm to others
- Suicide
- Criminal activity
- Alcohol or drug use
- Extreme depression
- Extreme violence
- Sexual assault or physical abuse
- Self-harm or intent to harm others
- Neglect
- Bullying

Security Breaches

When a test scorer identifies a student response that indicates that a test security breach may have occurred, that response will be "alerted." Some examples of a security breach during testing because of teacher interference include:

- Two obviously different handwritings in the same response
- Word-for-word duplicate or partial duplicate response with same handwriting from student to student
- Student response is transcribed by school personnel and student errors have been transcribed correctly
- Student states in answer that teacher provided the answer
- Formula necessary to solve the problem is written at the top of the response space in a different handwriting

Examples of possible student plagiarism include:

- Word-for-word duplicate or partial duplicate response from student to student
- Use of the same incorrect formula to come to the same incorrect answer from student to student
- Use of the same correct formula to come to the same incorrect answer from student to student

After a response is alerted by a scorer, it will be copied and provided to the Project Manager who will forward it to the designated OSPI representative.

State Test Coordinator

Kimberly DeRousie
Kimberly.DeRousie@k12.wa.us
(360) 725-6353 or (360) 870-4860

Scoring alert notifications are posted by the scoring contractor to the FTP site. This could include a spreadsheet with descriptions of individual alerts. This could also include the images of student work or a PDF image of the entire test form.

Exhibit I1b

Washington Request to View/Score Appeal

Request to View

- Schools, parents or guardians and emancipated students or students over the age of 18 can request to see a student’s test book after reports are released. The earliest this will be is September following the Spring administration.
- View window is communicated as 9/10-02/01 of each school year.
- Request to View is available for all grade levels and all tests; it is not designed just for students that have failed to meet proficiency on a given test.
- A “Request to View” form is completed and submitted to OSPI; OSPI will process all requests which includes transmitting a fax copy to OSPI’s contractor as received (daily). The contractor will verify faxes to mitigate the chance of duplicate requests across fax machines.
- OSPI sends a “Parent Packet” (contractor involvement not required for this step). The Parent Packet should be reviewed prior to the viewing of the test book. This packet includes released items, answers to frequently asked questions, and an explanation of how the test is scored.
- A requested test book is to be in district hands and reviewed within 45 days of the submission of the “Request to View” form.
- The contractor will pull the “live” test book from storage, make a copy and replace the test book in the storage repository with the copy. The contractor will then send the live test book to OSPI.
- OSPI will deliver the test book to the appropriate district. The district will contact the requesting person to schedule a meeting, at the school, to view the test book. Test books are not released to students, parents or guardians.
- Once the test book has been reviewed, the district returns it to OSPI and OSPI files the booklet – the test booklet will not be returned to the contractor.
- On occasion OSPI may submit Requests to View. With these requests, the contractor will post an image of the test booklet to an SFTP site, notifying OSPI when the posting has occurred.

Re-Score

- Only high school tests may be rescored.
- A party requesting the rescore must return applicable form to OSPI stating the items for rescoring. For parent or student requests, an entire test book WILL NOT be rescored.
- Principals may request rescoring, which would most likely result in a rescore of every item.
- Items for rescoring will be flagged by OSPI; the image(s) of the item(s) that is(are) to be rescored will be posted to an SFTP site. OSPI will filter the rescore requests so that only requests that could result in a “pass” are submitted to the contractor.
- OSPI will provide the contractor with a score appeal results form to be used to collect the pertinent scores from the rescore process. This is the only step required of the contractor; contractor will utilize an SFTP site to exchange information with OSPI.

Exhibit I5a

Montana Testing Alert Process

Testing Alert/Appeal Process

For security incidents that result in a need to reset, reopen, invalidate, applying grace period extensions, or restore individual student assessments, the request must be approved by the state. In most instances, an appeal will be submitted to address a test security breach or irregularity. In some cases, an appeal may be submitted to address incidents that are not security related such as reopening an assessment for a student who becomes ill and is unable to resume testing until after testing has expired.

In order to enter appeals and report test security incidents to the state, the OPI MontCAS test security Application on the OPI website will need to be used. It can be accessed by navigating to <https://apps.opi.mt.gov/MontCAS/frmDefault.aspx>

Online Appeal Types:

- Reset
- Invalidation
- Reopen
- Reopen test segment
- Restore
- Grade period extension

The following hierarchical structure of secure online portal access and responsibilities is used.

OPI State Users (OPI)	The OPI Staff are responsible for: <ul style="list-style-type: none">• Provisioning systems with their initial online test administration platform accounts.• Adding and updating student records, as necessary, within the online test administration platform.• Reviewing and resolving test security incidents as submitted by School Systems.• Reviewing and approving online appeal requests (including resets, reopens, restores for Smarter Balanced assessments).• Coordinating the policies and test administration of all OPI required statewide assessments.
System Authorized Representative (AR)	The AR is assigned by the state and is responsible for: <ul style="list-style-type: none">• Reporting to the OPI and ensuring local compliance with the OPI's standardized policies and procedures for test administration.• Annually required to update the OPI with STC contact information.• Affirming the School System's compliance with the required OPI test administration and test security policies.

System Test Coordinator (STC)	<p>This person is assigned by the AR and is the sole person responsible for managing the administration of the suite of MontCAS assessments that meet federal accountability requirements under the Elementary and Secondary Education ACT and state law (ARM 10.56.101). Responsibilities include:</p> <ul style="list-style-type: none"> • Communicating roles and responsibilities to all authorized staff. • Ensuring school district staff responsible for testing have completed the OPI-specified training and are familiar with the assessment-specific standardized testing procedures found in the assessment-specific Test Administration Manuals. • Using the centralized restricted-use online MontCAS Application to confirm compliance with test security, supplying testing dates, requesting accommodation appeals, reporting non-participation statuses, and reporting any testing incidents. • Oversight for all administration activities including direction for school district staff responsibilities and providing online access to secure restricted-use online test administration portals. • STCs should attend the annual training sessions offered and provided by the OPI to remain current with the MontCAS test administration and test security policies.
Building Coordinator (BC)	<p>This person is assigned by the AR or STC and is typically a licensed non-instructional person responsible for:</p> <ul style="list-style-type: none"> • Coordinating the assessments in their school. • Ensuring appropriate school staff have access to training, have completed the OPI-specified training, and are familiar with the assessment-specific standardized testing procedures found in the assessment-specific Test Administration Manuals. • Ensuring appropriate school staff follow the OPI’s policies and procedures for test administration and test security.
Test Administrator (TA)	<p>This person is assigned by the AR, STC, or BC and is a licensed professional. OPI advises that classroom teachers are assigned as test administrators. This person is responsible for:</p> <ul style="list-style-type: none"> • Following and administering the tests in accordance with the assessment-specific Test Administration Manuals. • Reporting any testing irregularities that occur to the BC and STC.
Technology Coordinator (TC)	<p>This person is assigned by the AR, STC, or BC and responsible for:</p> <ul style="list-style-type: none"> • Ensuring school equipment for administering online MontCAS assessments adheres to the assessment-specific Test Administration Manual technology requirements.

“Sensitive” Papers

OPI expects schools to respond to a student crisis testing incident if notified about a case. The OPI collects student responses via its online testing platform and, in some rare cases, students submit potential crisis responses (or sensitive papers) that are flagged for the OPI's review. The OPI responds in a prudent and timely matter to these events to alert school staff about the crisis response for appropriate local response and action.

Below is a summarized version of the Crisis Reponse Process:

1. Notice is received from the vendor via a secure file transfer system denoted as ‘crisis responses’.
2. OPI makes two points of contact at the school to notify the school officials of the incident.
3. First Contact: OPI staff call the school Principal of the school directly. (OPI staff do not disclose any personally identifiable information over voicemail – contact directly with the administrator is required.)
4. Second Contact: The OPI notifies an additional “school official” typically the guidance counselor of the incident.
5. After initial phone contact, the OPI shares the information with the school using Montana’s [secure file transfer system ePass](#).
6. Schools are provided with instruction on the incident and the process to notify the OPI of resolution steps.
7. A contact log is created with a stamp “Crisis Alert” to document the incident and communication with the school and its school officials.
8. Contact logs are archived and stored pursuant with OPI’s file record privacy and retention policies.

FERPA “School Official” Term

<https://www2.ed.gov/policy/gen/guid/fpco/ferpa/index.html>

Exhibit 15b

Montana Score Appeal Process

Score Appeals

Presently, the OPI does not have a score appeal process or a final data verification process. All non-participant information and testing incidents are reported to the OPI using the centralized reporting platform ([MontCAS Application](#)).

The Montana Comprehensive Assessment System (MontCAS) Application is a restricted-use website that contains information on the state-mandated MontCAS summative assessments. The MontCAS Application is intended for use by the System Test Coordinators (STC). The MontCAS Application allows STCs to annually supply the Office of Public Instruction (OPI) with school system information pertaining to the integrity of the assessment and provide assurance of the assessment results through standardized and secure assessment conditions.

In the MontCAS Application, STCs must complete the following actions:

- Affirmation of Testing Security. STCs affirm their compliance with the guidance defined in the MontCAS Test Security Manual and guidance published in each Test Administration Manual (TAM) for appropriate before, during, and after testing practices.
- Supply Assessment Dates. STCs indicate within the allowable statewide test window(s) for each statewide assessment the dates each test will be given in the school building (or site).
- "Requests for Accommodation Process: STCs make requests for assessment accommodations beyond those routinely allowed. The OPI will review requests and provide instruction on receiving certain accommodations on statewide assessments. Schools must administer statewide assessments with or without accommodations based on individual student needs consistent with all state and federal laws. The STC must submit accommodations requests at least five days prior to testing.
- Report Non-Participation. STCs record the reasons a student did not take the state-mandated summative assessment. This information is required for any child who was enrolled in the school during the MontCAS-published assessment window. There are rare circumstances in which a student did not participate in the expected test or participated in a test but in a non-standard way. Examples include a student who transferred out of the district, student with a medical event or circumstance, and parent refusal. This should be completed as soon after testing as completed as part of the data quality checks and assurances for test completion.
- Report Testing Incident. STCs report any test security incident immediately to the OPI or based on the reporting periods specified by the severity of the incident. These reporting guidelines can be found in the MontCAS Test Security Manual. The OPI must be made aware of incidents within the MontCAS Application for each state-mandated assessment of (i.e., ACCESS for ELLs (or WIDA), CRT-Science, CRT-Science Alt, MSAA, Smarter Balanced, and ACT with Writing). STCs must follow the reporting times specified in the MontCAS Test Security Manual.

Exhibit J1

Washington Advisory & Supplemental Program Meetings

National Technical Advisory Committee (NTAC) Meetings

Washington's (OSPI's) National TAC is an eight-member committee that meets for 2-day sessions, three times each year. In consultation and under the direction of the Assistant Superintendent for Assessment and Student Information, the Contractor will manage and reimburse the NTAC member contracts and associated logistics (e.g., venue, lodging, meals, travel, materials and technology support) reimbursements for the three scheduled meetings. Logistics will also include the needed travel and attending expenses for OSPI staff (up to 10 participants per day) and include meals associated with the meeting for any other vendors attending the meeting.

State Technical Advisory Committee (STAC) Meetings

Washington's (OSPI's) State TAC is a 15-20 member committee that meets for 1-day sessions, two times each year. In consultation and under the direction of the Assistant Superintendent for Assessment and Student Information, the Contractor will manage and reimburse the associated logistics (e.g., venue, lodging, meals, travel, materials and technology support) of members for participation in the two scheduled meetings. Logistics will also include the needed travel and attending expenses for OSPI staff (up to 10 participants per day) and include meals associated with the meeting for any other vendors attending the meeting.

NOTE: *MT wishes to have the information on this exhibit reflected in their member bid.*

Exhibit J2: Hawaii Advisory/Other Meetings

HAWAII STATE ADVISORY AND OTHER MEETINGS

The vendor holding the contract for Hawaii's statewide accountability assessment facilitates two types of meetings each year: (a) Hawaii's National Technical Advisory Committee (TAC) meetings (biennial) and (b) the Hawaii Statewide Assessment Program (HSAP) Trainings (annual).

Hawaii's National Technical Advisory Committee (TAC) Meetings

Hawaii's National TAC has five members and meets twice each year. In consultation and under the direction of the Administrator of the Assessment Section at the Hawaii Department of Education (HIDOE), the vendor holding the contract for Hawaii's statewide accountability assessments manages TAC member contracts and convenes two TAC meetings per year in Hawaii. The vendor also manages travel arrangements and/or reimbursements for TAC members for each meeting. Generally, several representatives from the vendor are in attendance at the TAC meetings, as invited by the Administrator of the Assessment Section.

Hawaii Statewide Assessment Program (HSAP) Trainings

In consultation with the Administrator of the Assessment Section and other relevant staff at the HIDOE, the vendor holding the contract for Hawaii's statewide accountability assessments manages the convening and logistics of the Hawaii Statewide Assessment Program Trainings. These trainings occur in five locations around the state of Hawaii usually in September. Representatives from the vendor may provide technical training at these meetings, in conjunction with other training provided by the HIDOE.

Exhibit J4

Delaware Technical Advisory Committee

The Delaware Technical Advisory Committee (DTAC) serves as a consulting group to the Delaware Department of Education (DDOE) to ensure the validity and reliability of test scores and fairness in testing for all students.

The Delaware Technical Advisory Committee (DTAC) consists of seven members. The members are knowledgeable in educational measurement with rich experiences on psychometric and testing issues in the design, development, and implementation of large-scale assessments. Each serves on multiple technical committees for state assessments, assessment consortia (e.g., Smarter Balance, PARCC), and national tests (e.g., NAEP, SAT, ACT). The Delaware TAC is a good combination of various expertise.

The TAC meets twice a year for two days to review the contractors' work, discusses technical issues in statewide assessments, and provides recommendations to DDOE for improvement. Additional committee meeting(s) and/or phone conference(s) may be called due to special needs; which may involve all or selected members.

The contractor provides the DTAC members with accommodation (hotel room and meals) and transportation for traveling.

EXHIBIT K
Cost Proposal Submission Format

(Upon receipt of Letter of Intent, link to original spreadsheet format will be provided)

Exhibit Ka – Cost Proposal

The Bidder will provide pricing for each of the line items listed below for the provision of services in accordance with the requirements of the RFP. In addition, the Bidder will provide a cost narrative detailing the activities and deliverables included within each line item.

Smarter Balanced Administration, Scoring, and Reporting of Grade-Level ELA and Mathematics Assessments - For each grade level listed below, the Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide a breakdown of the pricing according to Online Administration, Scoring, and Reporting. All costs associated with fulfillment of services will be accounted for in the pricing.

Smarter Balanced Assessment	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 3 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 3 Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 4 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 4 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 5 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 5 Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 6 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 6 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 7 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 7 Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 8 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 8 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 10 or 11 ELA (Accountability)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 10 or 11 Mathematics (Accountability)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 9 ELA (MAAC-member specific)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 9 Mathematics (MAAC-member specific)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 10 ELA (MAAC-member specific)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 10 Mathematics (MAAC-member specific)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Alternate (WA-AIM) Administration, Scoring, and Reporting of Grade-Level ELA and Mathematics Assessments - For each grade level listed below, the Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide a breakdown of the pricing according to Administration, Scoring, and Reporting. All costs associated with fulfillment of services will be accounted for in the pricing.

WA-AM	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 3 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 3 Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 4 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 4 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 5 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 5 Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 6 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 6 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 7 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 7 Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 8 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 8 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 10 ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 10 Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Administration, Scoring, and Reporting of End-of-Course Assessments - For each assessment listed below, the Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide a breakdown of the pricing according to Online or Paper/Pencil Administration, Scoring, and Reporting. All costs associated with fulfillment of services will be accounted for in the pricing. The mode of test delivery will be specified in the RFP for the specific assessment.

Where feasible, the MAAC member will use Smarter Balanced items in support these specific EOC formats, but typically will need to supplement the assessment with state-developed items. Not all MAAC members will use these assessments, so Bidder must refer to the enrollment estimates provided in the RFP.

EOC Exam (High School)	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Algebra I	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Algebra II	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
U.S. History	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Assessment Administration, Scoring, and Reporting of Science Tests - For each assessment listed below, the Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide a breakdown of the pricing according to Online or Paper/Pencil Administration, Scoring, and Reporting. All costs associated with fulfillment of services will be accounted for in the pricing. The mode of test delivery will be specified in the RFP for the specific assessment.

MAAC Member-Specific items will be used to support these assessment formats. Science assessments will be specific to each member pursuing support (Note: DE does not require a bid for science assessments), so Bidder must refer to details about grade-level and enrollment estimates provided in the RFP.

Science Assessments	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 4 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 5 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 8 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 11 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
EOC Biology	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Alternate (WA-AIM & MT) Assessment Administration, Scoring, and Reporting of Science Tests - For each assessment listed below, the Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide a breakdown of the pricing according to Online or Paper/Pencil Administration, Scoring, and Reporting. All costs associated with fulfillment of services will be accounted for in the pricing. The mode of test delivery will be specified in the RFP for the specific assessment.

MAAC Member-Specific items will be used to support these assessment formats. Science assessments will be specific to each member pursuing support (Note: DE does not require a bid for science assessments), so Bidder must refer to details about grade-level and enrollment estimates provided in the RFP.

Alternate Science Assessments	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 5 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 8 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 11 Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Science (General) Assessment Item & Test Development - For each assessment listed below, the Bidder shall provide a firm, fixed per item price for development activities that includes blueprint development, test & item specification creation, item writing, review meetings, and piloting/field testing. MAAC Members will participate in the test and item development activities. All costs associated with fulfillment of services will be accounted for in the pricing.

Science Assessment - Item & Test Development	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 4	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total
Grade 5	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total
Grade 8	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total
Grade 11	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total
EOC Biology	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total	\$ _____ Item & Test Development	\$ _____ Item & Test Development	\$ _____ Total

Assessment Test Development, Administration, Scoring, and Reporting - Retakes for Exit Exam Purposes (WA only): The retake administration is provided to high school students needing to fulfill a graduation requirement. Retake opportunities occur twice during the school year - a short window (about two weeks) in the Fall (late October/early November) and the regular spring window. For the Fall administration, the expectation will be results returned to the state prior to the end of the calendar year; Spring results would align to the regular return of results associated with the content area administered. Bidder shall refer to student estimates referenced in the RFP. Within the total student counts, Bidder is to recognize - and cost appropriately - that 10%-15% of the students count will participate through access to a lower grade level assessment (i.e., a student uses the Grade 4 math or Grade 5 science assessment).

For each of the three content areas (ELA, mathematics, and science) the Bidder shall provide a firm, fixed per student assessment price, for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost. Note: Year 1 (2019-2020) costs do not require Fall administration - covered under existing contract.

Retake Administration	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Mathematics	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

ELP Assessment (ELPA21 - Washington, only) - The Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide such pricing for the annual ELPA21 assessment Administration, Scoring, and Reporting (administered at one time in late winter/early spring), and the ELPA21 screener Administration, Scoring, and Reporting (administered throughout a given school year - August through June).

ELPA21	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade K	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 1	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 2	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 3	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 4	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 5	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 6	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 7	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 8	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 9	\$ _____ Per Student Assessment	\$ _____ Total					
Grade 10	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 11	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Grade 12	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Accommodated Forms

For each grade-level (all assessments included for the grade) referenced previously the Bidder shall provide a firm, fixed total price, per annum, for all activities associated with preparing Braille, Large Print, and Paper/Pencil (when primary administration is conducted online) test forms. All costs associated for accommodated test forms shall be included in the stated prices.

For a MAAC member who administers a unique grade-level combination for an assessment (i.e., HI administers science at Grade 4 while other MAAC members do so at Grade 5), or where a MAAC member administers additional assessments at a given grade level (i.e., HI administers EOC assessments at high school), Bidder must make these distinctions clear in the MAAC-member specific pricing.

Accommodated Forms	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 3	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 4	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 5	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 6	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 7	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 8	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 9	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 10	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 11	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
EOC Algebra I	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
EOC Algebra II	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
EOC Biology	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

Translated Forms

For each grade-level and assessment combination referenced previously the Bidder shall provide a firm, fixed total price, per annum, for all activities associated with preparing fully translated forms (in the languages specified) for administration to English learners. All costs associated for accommodated test forms shall be included in the stated prices. Not all MAAC members require this service, so Bidders are to reference details specific with the RFP.

For a MAAC member who administers a unique grade-level combination for an assessment (i.e., HI administers science at Grade 4 while other MAAC members do so at Grade 5), or where a MAAC member administers additional assessments at a given grade level (i.e., HI administers EOC assessments at high school), Bidder must make these distinctions clear in the MAAC-member specific pricing.

Translation	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade 3	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 4	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 5	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 6	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 7	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 8	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 9	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 10	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total
Grade 11	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

Ancillary Materials Production – The Bidder shall provide a firm, fixed total price for the original contract period and a maximum total price for each potential renewal period for the production of ancillary materials, broken out by assessment type (e.g., Smarter Balanced, Science, EOC, ELP assessment, alternate assessment). The Bidder shall also provide a firm, fixed price per manual for the original contract period and a maximum price per manual for each potential renewal period for a print copy of the Test Administration Manuals and the Test Coordinator Manuals provided to school districts. All cost associated with the production of ancillary materials, including all activities associated with developing and distributing the Test Administration Manuals, Test Coordinator’s Manuals, and the *Guide to Interpreting Results*, must be included in the stated prices.

Test Administration Manual	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
<i>(broken out by assessment type)</i>	Electronic	Electronic	Electronic	Electronic	Electronic	Electronic	Electronic
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Total	Total	Total	Total	Total	Total	Total
	Print Copy	Print Copy	Print Copy	Print Copy	Print Copy	Print Copy	Print Copy
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Manual	Per Manual	Per Manual	Per Manual	Per Manual	Per Manual	Per Manual

Test Coordinators Manual	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
<i>(broken out by assessment type)</i>	Electronic	Electronic	Electronic	Electronic	Electronic	Electronic	Electronic
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Total	Total	Total	Total	Total	Total	Total
	Print Copy	Print Copy	Print Copy	Print Copy	Print Copy	Print Copy	Print Copy
	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Manual	Per Manual	Per Manual	Per Manual	Per Manual	Per Manual	Per Manual

Guide to Interpreting Results	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
<i>(broken out by assessment type)</i>	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Total	Total	Total	Total	Total	Total	Total

Interim Benchmark Assessments for Grade-Level Assessments - The offeror shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost. The costs will include provisions for educator training on applicable systems and processes, classroom delivery, scoring and reporting of grade-level interim assessments.

The Bidder shall provide such pricing for Smarter Balanced assessments. Bidder should refer to student enrollments provided in Section A. of the RFP.

Interim Assessments	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Grade K	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 1	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total
Grade 2	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 3	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 4	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 5	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total
Grade 6	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 7	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 8	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 9	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total
Grade 10	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 11	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total
Grade 12	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____	\$ _____
	Per Student Assessment	Per Student Assessment	Per Student Assessment	Total	Per Student Assessment	Per Student Assessment	Total

Technical Reporting – The offeror shall provide a firm, fixed total price for the original contract period and a maximum total price for each potential renewal period for the provision of the technical reports. All costs associated with the technical reports shall be included in the stated prices.

Technical Reporting	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Technical Report	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Data Forensics -- The Bidder shall provide a firm, fixed, total price for the original contract period and a maximum total price for each potential renewal period for conducting a data forensics analyses.

All costs associated with data forensics analyses must be included in the stated prices.

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Data Forensics Analysis	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

Inventory of Student Responses and Supporting Documentation – The Bidder shall provide a firm, fixed, total price for the original contract period and a maximum total price for each potential renewal period for maintaining an inventory of student responses and supporting documentation related to the development, review, and field-testing of all test items.

All costs associated with maintaining an inventory of student responses and supporting documentation must be included in the stated prices.

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Inventory of Student Responses and Supporting Documentation	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

Digital Library -- The Bidder shall provide a firm, fixed, total price for for development, management and tracking of educator access to Smarter Balanced's Digital Library. Pricing will be broken out by school year (both original contract period and renewals) and overall costs (original period separate and with the two possible renewals included).

All costs associated with the Digital Library must be included in the stated prices.

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Digital Library	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

Authoring Program (Hawaii, only) -

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Authoring Program	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

MAAC Members Advisory & Committee Meetings - The Bidder shall provide a firm, fixed, total price for applicable meetings referenced in the RFP. The costs shall be displayed per administration year, a total for the original contract period, two possible renewal years and the an overall total.

All costs associated with the logistics and reimbursements of referenced meetings must be included in the stated prices.

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Advisory/Committee Meetings	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

Individual Student Reports (Paper) – The Bidder shall provide a firm, fixed, total price to provide print copies of Individual Student Reports (ISRs) for the original contract period and a maximum total price for each potential renewal period. Bidder will provide total costs for each assessment (Smarter Balanced ELA & math, science, alternate assessments, and ELP assessments) associated with each member's proposal.

Bidder will provide cost information for one (1) copy and two (2) copies of the ISR.

All costs associated to provide print ISRs must be included in the stated prices.

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Individual Student Reports (ISRs) - Paper	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total	\$ _____ Total

IHE Reporting – The Bidder shall provide a firm, fixed price for establishing procedures - consistent with each MAAC member's state requirements - to exchange student performance information between the state K-12 system and the state's institutions of higher education. All costs associated with this activity as described in the RFP will be included in the price.

IHE Reporting	\$ _____ Per Program MAAC-Member Specific
---------------	---

Exhibit Kb – Cost Proposal

The Bidder will provide pricing for each of the line items listed below for the provision of services in accordance with the requirements of the RFP. In addition, the Bidder will provide a cost narrative detailing the activities and deliverables included within each line item.

Administration, Scoring, and Reporting - For all tested grades associated with the listed assessments, the Bidder shall provide a firm, fixed per student assessment price for the designated school year administrations, a total cost for the original contract period, a firm, fixed per student assessment price for each potential renewal period and a total contract period cost.

The Bidder shall provide a breakdown of the pricing according to the associated mode of Administration (online or paper/pencil), Scoring, and Reporting. All costs associated with fulfillment of services will be accounted for in the pricing.

Administration	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (202-2023)	Second Renewal (2023-2024)	Total Contract Period
Smarter Balanced Assessment (3-8 & 10/11) ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Smarter Balanced Assessment (3-8 & 10/11) Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Algebra I	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Algebra II	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
ELA (9 & 10)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Mathematics (9 & 10)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Science	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Biology	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Alternate	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
ELP Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Smarter Balanced Assessment (3-8 & 10/11) ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Smarter Balanced Assessment (3-8 & 10/11) Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Algebra I	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Algebra II	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
ELA (9 & 10)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Mathematics (9 & 10)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Science - Scoring	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Biology	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Alternate	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
ELP Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Reporting	Year 1 (2019-2020)	Year 2 (2020-2021)	Year 3 (2021-2022)	Original Contract Period	First Renewal (2022-2023)	Second Renewal (2023-2024)	Total Contract Period
Smarter Balanced Assessment (3-8 & 10/11) ELA	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Smarter Balanced Assessment (3-8 & 10/11) Mathematics	\$ _____ Per Student Assessment	\$ _____ Total					
Algebra I	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Algebra II	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
ELA (9 & 10)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Mathematics (9 & 10)	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Science - Reporting	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Biology	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
Alternate	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total
ELP Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total	\$ _____ Per Student Assessment	\$ _____ Per Student Assessment	\$ _____ Total

Exhibit L2

Sample Data Sharing Agreement

DATA SHARING AGREEMENT BETWEEN THE HAWAII DEPARTMENT OF EDUCATION AND [CONTRACTOR]

1. This Data Sharing Agreement ("Agreement") is made by and between [CONTRACTOR], ("aka") and the Assessment and Accountability Branch, Hawaii Department of Education ("State").
2. The terms of this Agreement shall commence on [date] and end on [date]. This Agreement may be terminated by either party hereto upon thirty (30) days written notice.
3. For purposes of the Family Educational Rights and Privacy Act ("FERPA"), State designates [CONTRACTOR] an "authorized representative" pursuant to 20 U.S.C. 1232g(b)(1)(C) and 34 C.F.R. 99.31(a)(3). [CONTRACTOR] and the State shall comply with the provisions of FERPA in all respects. Nothing in this Agreement may be construed to allow either party to maintain, use, disclose or share personally identifiable student information in a manner not allowed by state or federal law or regulation.
4. "Confidential Information" shall include any personally identifiable student information, as that term is defined 34 C.F.R. § 99.3.
5. "Disclose" or "disclosure" means to permit access to or the release, transfer, or other communication of Confidential Information contained in education records by any means, including oral, written, or electronic means, to any party except the party identified as the party that provided or created the record.
6. The State may disclose Confidential Information to [CONTRACTOR] for the purpose of carrying out an audit or evaluation of Federal- or State-supported education programs, or to enforce or comply with Federal legal requirements that relate to those programs as described in paragraph 9. Further disclosure by [CONTRACTOR] of any Confidential Information released to [CONTRACTOR] by the State is prohibited by this Agreement.
7. [CONTRACTOR] shall not: (i) disclose any Confidential Information to any unauthorized third party; (ii) make any use of Confidential Information except to perform its obligations under this Agreement; or (iii) make Confidential Information available to any of its employees, officers, or agents except those internal [CONTRACTOR] employees who have been authorized by [CONTRACTOR] to use the information as a component of their project assignment(s). The term "unauthorized third party" for purposes of this Agreement does not include employees, officers, or agents of the State of Hawaii who are authorized to have access to the Confidential Information.
8. The types of Confidential Information which may be necessary to disclose to [CONTRACTOR] under this Agreement may include the following: Student Name, Student Identifier, Gender, Race/Ethnicity, Grade, IDEA Indicator, Limited English Proficiency Status, Section 504 Status, Title I Targeted Assistance Participation, State, District Number, District Name, School Number, and School Name. No other personally identifiable student information will be disclosed to [CONTRACTOR].
9. [CONTRACTOR] agrees to use Confidential Information provided by the State only for the purpose of facilitating the administration of assessments which are necessary for: (a) the audit or evaluation of Federal- or State-supported education programs; or (b) to enforce or comply with Federal legal requirements that relate to those programs.

10. [CONTRACTOR] understands that the Confidential Information is protected under state and federal law and agrees to immediately notify the State if any of the Confidential Information is disclosed, either intentionally or inadvertently.
11. [CONTRACTOR] agrees to protect Confidential Information in such a manner that it will be disclosed only to [CONTRACTOR] staff whose duties under this Agreement specifically require them to have access to the Confidential Information.
12. [CONTRACTOR] and the State shall identify at least one authorized representative or data custodian from their respective agencies who shall be responsible for processing and responding to data requests from the other party.
13. Upon request of the State, [CONTRACTOR] shall agree to permit the State to review or shall provide written assurances to the State regarding the use of Confidential Data under this Agreement. The purpose of this provision is to ensure that appropriate policies and procedures are in place to protect the Confidential Information and that there has been no further Disclosure of the Confidential Information.
14. All [CONTRACTOR] employees, officers, and agents with access to the Confidential Information must acknowledge that they are aware of and will abide by the provisions of this Agreement. [CONTRACTOR] agrees to remove any person from performing work who has, or is suspected to have, violated the terms of this Agreement.
15. By disclosing Confidential Information to [CONTRACTOR], the State is in no way assigning ownership of the Confidential Information to [CONTRACTOR]. Upon the termination of this Agreement for any reason, [CONTRACTOR] shall immediately return all Confidential Information, including all copies, to the State or destroy all Confidential Information in its possession, custody, or control unless otherwise agreed to in writing by both parties. [CONTRACTOR] will provide the State with affidavits to this effect.
16. This Agreement shall be governed by and construed in accordance with the laws of the State of Hawaii. Any lawsuit pertaining to or affecting this Agreement shall be venued in a Circuit Court in Hawaii.
17. Violation of this Agreement is cause for immediate termination and could subject any violator to criminal prosecution in accordance with state law. No remedy conferred by any of the specific provisions of this Agreement is intended to be exclusive of any other remedy, and each and every remedy may be cumulative and may be in addition to every other remedy given under this Agreement, not and hereafter existing at law or in equity or by statute or otherwise. The election of any one or more remedies by either party shall not constitute a waiver of the right to pursue other available remedies.

In witness hereto the parties signify their agreement by signature below:

 [Authorized Representative] [Date]
 [CONTRACTOR]

 [Authorized Representative] [Date]
 Hawaii Department of Education

CERTIFICATION:

I, _____, have read this Data Sharing Agreement and agree to abide by its terms.

Dated this _____ day of _____, 20_____.

 Recipient

Exhibit L5a
Montana Data Demands (Rules)

Montana Code Annotated 2017

TITLE 20. EDUCATION

CHAPTER 7. SCHOOL INSTRUCTION AND SPECIAL PROGRAMS

Part 1. Accreditation and Curriculum

Transparency And Public Availability Of Public School Performance Data -- Reporting -- Availability For Timely Use To Improve Instruction

20-7-104. Transparency and public availability of public school performance data -- reporting -- availability for timely use to improve instruction. (1) The office of public instruction's statewide data system must, at a minimum:

(a) include data entry and intuitive reporting options that school districts can use to make timely decisions that improve instruction and impact student performance while creating a collaborative environment for parents, teachers, and students to work together in improving student performance. Options that the office of public instruction shall incorporate and make available for each school district must include data linkages to provide for automated conversion of data from systems already in use by school districts or by the office of public instruction that allow districts to collect, manage, and present local classroom assessment scores, grades, attendance, and other data to assist in instructional intervention alongside the existing school accountability and statewide student achievement results. The office of public instruction shall ensure that the design of the system is enhanced to prioritize collaborative support of each student's needs by classroom educators, administrators, and parents.

(b) display a publicly available educational data profile for each school district that protects each student's education records in compliance with the Family Educational Rights and Privacy Act of 1974, 20 U.S.C. 1232g, as amended, and its implementing regulations at 34 CFR, part 99.

(2) Subject to subsection (1)(b), each school district's educational profile must include, at a minimum, the following elements:

- (a) school district contact information and links to district websites, when available;
- (b) state criterion-referenced testing results;
- (c) program and course offerings;
- (d) student enrollment and demographics by grade level; and
- (e) graduation rates.

(3) Each school district shall annually report to the office of public instruction and publish and post on the school district's internet website the following district data for the preceding school year:

- (a) the number and type of employee positions, including administrators;
- (b) for the current employee in each position:
 - (i) the total amount of compensation paid to the employee by the district. The total amount of compensation includes but is not limited to the employee's base wage or salary, overtime

pay, and other income from school-sanctioned extracurricular activities, including coaching and similar activities; and

(ii) the certification held by and required of the employee;

(c) the student-teacher ratio by grade;

(d) (i) the amount, by category, spent by the district for operation and maintenance, stated in total cost and cost per square foot; and

(ii) the amount of principal and interest paid on bonds;

(e) the total district expenditures per student;

(f) the total budget for all funds;

(g) the total number of students enrolled and the average daily attendance;

(h) the total amount spent by the district on extracurricular activities and the total number of students that participated in extracurricular activities; and

(i) the number of students that entered the 9th grade in the school district but did not graduate from a high school in that district and for which the school district did not receive a transfer request. For reporting purposes, the students identified under this subsection (3)(i) are considered to have dropped out of school.

(4) Each school district shall also post on the school district's internet website a copy of every working agreement the district has with any organized labor organization and the district's costs, if any, associated with employee union representation, collective bargaining, and union grievance procedures and litigation resulting from union employee grievances.

(5) If a school district does not have an internet website, the school district shall publish the information required under subsections (2) and (3) in printed form and provide a copy of the information upon request at the cost incurred by the school district for printing only.

(6) The superintendent of public instruction shall continually work in consultation with the K-12 data task force provided for in 20-7-105 to analyze the best options for a statewide data system that will best enhance the ability of school districts to use data for the purposes identified in this section. Emphasis must be placed on developing or purchasing and customizing a statewide data system that promotes and preserves community ownership and local control and that incorporates innovative technologies available in the marketplace that may be in use and that are successfully working in other states. The office of public instruction and the K-12 data task force shall collaborate to enhance the statewide data system to support:

(a) the needs of school districts in using data to improve instruction and student performance;

(b) the collection of data from schools through a process that provides for automated conversion of data from systems already in use by school districts or the office of public instruction and that resolves the repetition of data entry and redundancy of data requested that has been characteristic of the data system in the past and that otherwise reduces the diversion of district staff time away from instruction and supervision;

(c) increased use of data from the centralized system by various functions within the office of public instruction; and

(d) transparency in reporting to schools, school districts, communities, and the public.

(7) The superintendent of public instruction shall gather, maintain, and distribute longitudinal, actionable data in the following areas:

(a) statewide student identifier;

(b) student-level enrollment data, including average daily attendance;

- (c) student-level statewide assessment data;
- (d) information on untested students;
- (e) student-level graduation and dropout data;
- (f) ability to match student-level K-12 and higher education data;
- (g) a statewide data audit system;
- (h) a system to track student achievement with a direct teacher-to-student match to help track, report, and create opportunities for improved individual student performance;
- (i) student-level course completion data, including transcripts, to assess career and college readiness; and
- (j) student-level ACT results, scholastic achievement test results, and advanced placement exam data.

(8) The superintendent of public instruction shall emphasize the creation of and distribution of individual diagnostic data for each student in a manner that is timely and protects the privacy rights of students and families as they relate to education so that school districts may use the data to support timely academic intervention as needed and to otherwise improve the academic achievement of the students of each school district.

(9) In addition to the data privacy protections in subsection (1)(b), the superintendent of public instruction may provide personally identifiable information gathered, maintained, and distributed pursuant to subsection (7) and any other personally identifiable data only to the office of public instruction, the school district where the student is or has been enrolled, the parent, and the student. The superintendent of public instruction may not share, sell, or otherwise release personally identifiable information to any for-profit business, nonprofit organization, public-private partnership, governmental unit, or other entity unless the student's parent has provided written consent specifying the data to be released, the reason for the release, and the recipient to whom the data may be released.

(10) On or before June 30, 2013, the superintendent of public instruction shall begin presenting longitudinal data on academic achievement and shall develop plans for a measurement of growth for the statewide student assessment required by the board of public education.

History: En. Sec. 4, Ch. 418, L. 2011; amd. Sec. 4, Ch. 400, L. 2013.

Exhibit L5b

Montana Sample Data Sharing Agreement

The Montana Office of Public Instruction has strict data sharing laws and policies. For research and educational interest, data sharing is permitted as long as the request has been approved by the OPI Privacy and Technical Committee is in accordance with FERPA, state law §20-7-104, and OPI Policy 7.2.01. Montana is a local-control state and for data-sharing with local education agencies the definition of “school officials” is used.

State Law – Montana Code Annotated (MCA) - [§20-7-104, MCA \(9\)](#).

[OPI Student Records Confidentiality Policy OPI 7.2.01](#)

[GEMS Data Request Form](#)

[Research Proposal Form](#)

[Protecting Student Privacy](#)

FERPA “School Official” Term

<https://www2.ed.gov/policy/gen/guid/fpc/ferpa/index.html>

Who is a “school official” under FERPA?

A “school official” includes a teacher, school principal, president, chancellor, board member, trustee, registrar, counselor, admissions officer, attorney, accountant, human resources professional, information systems specialist, and support or clerical personnel.

FERPA (§ 99.31(a)(1)(i)(B)) permits schools to outsource institutional services or functions that involve the disclosure of education records to contractors, consultants, volunteers, or other third parties provided that the outside party:

- Performs an institutional service or function for which the agency or institution would otherwise use employees;
- Is under the direct control of the agency or institution with respect to the use and maintenance of education records;
- Is subject to the requirements in § 99.33(a) that the personally identifiable information (PII) from education records may be used only for the purposes for which the disclosure was made, e.g., to promote school safety and the physical security of students, and governing the re-disclosure of PII from education records; and
- Meets the criteria specified in the school or local educational agency’s (LEA’s) annual notification of FERPA rights for being a school official with a legitimate educational interest in the education records.
- <https://studentprivacy.ed.gov/audience/school-officials-k-12>

**FERPA AGREEMENT BETWEEN
THE OFFICE OF PUBLIC INSTRUCTION
AND
THE **NAME** PUBLIC SCHOOL SYSTEM**

THIS FERPA AGREEMENT is made by and between the Office of Public Instruction (OPI) and the **NAME Public School System.**

RECITALS:

WHEREAS, the OPI has requested **NAME** Public School System student data available from the District Edition of Infinite Campus, which includes, but is not limited to, attendance and transcript data;

WHEREAS, the purpose of this request is to develop a model for an Early Warning System that will recognize students that are at-risk for dropping out; the data will help develop the model that will use historical data of dropouts and graduates to determine characteristics of at-risk students to help identify current students that may be dropout risks;

WHEREAS, the nature of the OPI's request would encompass the submission of personally identifiable information of individual students;

WHEREAS, the Family Educational Rights and Privacy Act (FERPA), set forth in Title 20 U.S. Code Section 1232g and its regulation at Title 34 CFR § 99.1 et seq. (as amended in 2012), generally prohibit the disclosure of student's personally identifiable information without consent, subject to certain exceptions;

WHEREAS, 34 CFR §99.31(3) and §99.35 allow for distribution of student personally identifiable information to authorized representatives of state authorities in connection with an audit or evaluation of Federal or State supported education programs;

WHEREAS, the purpose of this Agreement is to share information between the **NAME** Public School System and the OPI, in a manner consistent with the Family Educational Rights and Privacy Act of 1974 ("FERPA") in regard to data necessary to fulfill the request from the OPI, so that it may conduct its evaluation and study of State supported education programs;

WHEREAS, FERPA requires that information be shared within a way which does not permit personal identification of parents and students by individuals other than employees, officers or agents of **NAME** Public School System and the OPI and requires further that the information be destroyed when no longer needed for the purposes for which study was conducted;

WHEREAS, FERPA provides that if any party allowed access to personally identifiable information does not destroy that information when no longer needed for the purposes for which the evaluation was conducted, then that party will be prohibited from access to future personally identifiable information from educational records for at least five (5) years;

NOW, THEREFORE, IT IS AGREED as follows:

I. TERM OF AGREEMENT

This Agreement shall take effect upon signature by the authorized representatives of the **NAME** Public School System and the OPI, and shall remain in effect until conclusion of the study or being terminated by **NAME** Public School System or the OPI pursuant to Paragraph IV herein.

II. DEFINITIONS AND ABBREVIATIONS

- a) “Disclose” or “disclosure” means the release, transfer or other communication of personally identifiable information contained in education records by any means, including oral, written, or electronic means, to any party except the party identified as the party that provided or created the record. Further disclosure of any information released to the OPI by the **NAME** Public School System is prohibited by this Agreement in that it constitutes a re-disclosure of information. 34 CFR 99.33.
- b) “FERPA” refers to the Family Educational Rights and Privacy Act of 1974 and for purposes of this Agreement means Title 20 U.S. Code Section 1232g as well as all requirements of Part 99 of Title 34 of the Code of Federal Regulations (as amended in 2012), “Family Educational Rights and Privacy”. Nothing in this Agreement may be construed to allow either party to maintain, use, disclose or share student information in a manner not allowed by federal law or regulation.

III. REQUIRED TASKS UNDER THE AGREEMENT

a) Joint Responsibilities

- 1. **NAME** Public School System and the OPI shall comply with the provisions of FERPA in all respects. Nothing in this Agreement may be construed to allow any signatory to this Agreement to maintain, use, disclose or share student information in a manner not allowed by federal law or regulation.

b) Responsibilities of **NAME Public School System:**

- 1. **NAME** Public School System shall share the requested data with the OPI, but only for purposes of the OPI conducting an evaluation and study of student achievement of OPI students in grades K-12 in State public schools.
- 2. **NAME** Public School System shall assign, and through execution of this agreement, hereby does assign, the OPI as an authorized representative for purposes of having access to personally identifiable information of students

as detailed in this agreement and in accordance with 34 CFR 99.35. The OPI is an authorized representative only for the sole purpose of conducting an evaluation and study of federal and State supported education programs as detailed in this agreement.

c) Responsibilities of the OPI:

1. The OPI agrees to use data shared under this Agreement for no purpose other than to conduct an evaluation and study of federal and State supported education programs in State public schools.
2. The OPI agrees not to share or re-disclose personally identifiable data received under this Agreement with any other entity, organization or individual without the prior written approval from **NAME** Public School System. This does not prohibit the OPI or **NAME** Public School System from sharing aggregate student data.
3. The OPI agrees to maintain all data obtained pursuant to this Agreement separate from all other data files that they possess and not copy, reproduce or transmit data obtained pursuant to this Agreement, except as necessary to fulfill the purpose of this Agreement, or the OPI evaluation and study described in this agreement. Transmission of all FERPA-protected data must be by SECURE electronic systems and/or networks. All copies of data of any type including any modifications or additions to data from any source that contains information regarding individual students, are subject to the provisions of this Agreement in the same manner as the original data.
4. The OPI shall promptly, that is, within one (1) hour of learning, report to **NAME** Public School System any incidents in detail of any personally identifiable information received from **NAME** Public School System whose confidentiality was breached or is believed to have been breached.
5. The OPI agrees to destroy all personally identifiable information obtained pursuant to data requests under this Agreement when it is no longer needed for the purpose for which it was obtained under this agreement. The OPI agrees to destroy any personally identifiable data received for this study within 30 days of the conclusion of this study.
6. The OPI shall use the requested data in the following way: data will be used to perform statistical analyses with a variety of predictor variables. Specifically, student grades, attendance, and transcript data will be used with other available AIM data to identify characteristics of students that have dropped out. The statistical information that is obtained from the data will then help to develop an Early Warning System model that will identify current students that are at-risk for dropping out.
7. The OPI agrees to conduct the study in such a way so as not to identify the students and parents involved in the study.

8. Under no circumstance shall the OPI become owners, proprietors or custodians of any data or personally identifiable information provided by the **NAME** Public School System under the terms of this Agreement.

IV. TERMINATION OF AGREEMENT

This Agreement may be terminated by the **NAME** Public School System or the OPI, upon written notice delivered to the other not less than fourteen (14) days prior to the intended termination date. By such termination notice, neither the **NAME** Public School System nor the OPI shall negate obligations already incurred or required to be performed prior to the effective date of the termination. Either party may terminate the agreement immediately upon confirmation of fraud, negligence or abuse of confidentiality restrictions.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed on the year and date indicated, with the effective date being the most recent signature.

NAME PUBLIC SCHOOL SYSTEM EDUCATION DEPARTMENT

By _____
SUPERINTENDENT

Date: _____

NAME PUBLIC SCHOOL SYSTEM

OPI

By _____

Date: _____

OPI

By _____

Date: _____

Exhibit M Frameworks

Lexile Framework for Reading

The Lexile Framework® for Reading is a scientific approach to measuring reading ability and reading materials. A Lexile measure represents both the difficulty of a text, such as a book or article, and an individual's reading ability. The Lexile scale is a developmental scale for measuring reader ability and text difficulty ranging from below 200L for beginning readers and beginning-reader materials to above 1700L for advanced readers and materials. The Lexile measure should be linked to the reading or reading comprehension scale score. For instructional purposes, the Lexile measure should be reported at the student and classroom levels. Lexile measures should appear on reports that are sent home to parents and reports that are provided to the current grade-level teacher and/or the next grade-level teacher.

Quantile Framework for Mathematics

The Quantile Framework® for Mathematics is a scientific approach to measuring mathematical achievement and concept/application solvability. A Quantile measure represents the difficulty of a mathematical skill, concept or application (called a QTaxon) and a developing mathematician's mastery of the QTaxons in the areas of geometry, measurement, numbers and operations, algebra, and data analysis and probability. The Quantile Framework spans the developmental continuum from kindergarten mathematics through the content typically taught in Algebra II, Geometry, Trigonometry and Pre-calculus, from below 0Q (Emerging Mathematician) to above 1400Q. The Quantile measure should be linked to the mathematics, mathematics application, or problem solving scale score. For instructional purposes, the Quantile measure should be reported at the student and classroom levels. Quantile measures should appear on reports that are sent home to parents and reports that are provided to the current grade-level teacher and/or the next grade-level teacher.

Exhibit N Service Level Requirements and Remedies

Timely delivery of services and deliverable is imperative and, as a result, the contract will include provisions for expectations and financial remedies to ensure the completion of tasks and processes deemed essential to OSPI. CONTRACTOR's failure to complete essential tasks and processes both correctly and on time could result in substantial injury to the state, either through incidental cost burdens from corrective actions or through jeopardizing the reputation of the state through the release of inaccurate or misleading information. OSPI and Contractor acknowledge that such injury cannot be calculated with certainty.

For each such failure, Contractor shall be liable to OSPI for liquidated damages as a remedy, not as penalty, as set forth in the table below. If OSPI chooses to impose any of the liquidated damages listed below, OSPI and CONTRACTOR agree such action will be the sole and exclusive remedy for the associated issue other than contract termination through procedures set forth in the contract's general terms and conditions; otherwise, OSPI may take other actions as stipulated under the contract general terms and conditions and allowed under law. If imposing liquidated damages, OSPI does not intend to apply multiple categories for the same underlying event, but should multiple categories apply, will impose the category most advantageous to the state for the associated issue.

The CONTRACTOR shall be assessed as damages no more than 2% of the total annual contracted and funded amount in a given year. The CONTRACTOR will not be held responsible for delays that result from the State or schools failing to meet specific timelines and responsibilities.

The following list of expectations and the associated financial remedies dictate the terms regarding service performance expected of the CONTRACTOR while working with OSPI.

Collection of Remedy

At OSPI's discretion, collection of financial remedies may be initiated through either deduction from contract payments or direct invoicing to the CONTRACTOR.

Service Expectation	Metric	Remedy
Test results are delivered on time.	Final State summative test results (state data file) are not delivered on the mutually agreed upon delivery date*. (This item is not intended to apply to anomalous missing results of individual students.)	\$10,000 per business day
Test Delivery System is fully functional and available to all intended users for accessing the Summative or Interim tests	Specified tests are not available by the opening dates or during the prescribed window as specified in the contract's project plan.	\$25,000 per business day
Test Delivery System is fully functional and available to all intended users for accessing the Interim tests	Specified tests are not available by the opening dates or during the prescribed window as specified in the contract's project plan.	\$5,000 per business day

Service Expectation	Metric	Remedy
Student level data is secure, and only available to authorized viewers as defined in security requirements.	Security of student level data is compromised due to a breach of accepted security protocols, the encryption key or encrypted data resulting from issues with hardware, software, network components, or services within the scope of the CONTRACTOR.	\$25,000 per occurrence
Test Delivery System service is uninterrupted for students and administrators during regularly scheduled school hours within established operational testing windows.	Service interruptions or log in issues lasting more than 10 minutes prevent multiple students, from the same region or across the state, from taking tests (during regularly scheduled school hours within established testing windows), due to issues with hardware, software, network components, or services within the scope of the CONTRACTOR.	\$5,000/hour, prorated as needed, not to exceed \$25,000/day
Test Delivery System performs within prescribed refresh parameters.	Average mean screen refresh time across the state is greater than 1 second	\$5,000/hour, prorated as needed, not to exceed \$25,000/day
Test Delivery System service is uninterrupted for administrators.	Service interruptions or log in issues lasting more than 1 day prevent LEA / school personnel from accessing administrative functions (from June through January), due to issues with hardware, software, network components, or services within the scope of the CONTRACTOR .	\$5,000 per business day

(*) OSPI definition of “end-of-day” is 11:59PM in the sender’s time zone.

Exhibit O2a

Hawaii Printed Reports Specifications

OBJECTIVE AND SCOPE OF WORK

In addition to the focus of the main RFP documentation, the Smarter Balanced assessments for mathematics and ELA, Hawaii is soliciting for services related to the printing of Smarter Balanced reports as described below.

- Produce State Family Reports of the summative assessments in mathematics and ELA for students in grades 3-8 and 10, in science for students in grades 5 and 8, and for students with Biology 1 EOC Exam results.
- Develop mock ups of Family Reports.
- Validate and QC print sample reports.
- Perform comprehensive score report QC.
- Perform visual QC on sample Family Reports.
- Ship Family Reports to schools.
- Deliver replacement reports at no cost (if Contractor responsibility) or at cost (if school responsibility).

Printed Family Reports will be generated for each student who participates in a Smarter Balanced, HSA-Science and/or Biology 1 EOC assessment. The printed reports will be shipped to the school at which the student was enrolled at the end of the school year in which the student was tested. The Hawaii Printed Reports Specifications, Exhibit O2b, details the requirements for the printed Family Reports for the Smarter Balanced assessments for mathematics and ELA.

FUNDING

Exact financial terms shall be determined during the contracting activities for each agency.

Any contract awarded as a result of this procurement is contingent upon the availability of funding. The Bidder shall provide their most favorable and competitive cost estimate to perform the work.

REQUIREMENTS

2.1 Family Report Mockups

Design

Contractor will coordinate with the Hawaii Department of Education (HIDOE) to design full-color mockups of the Family Reports. The Smarter Balanced reports will be four pages in length (two sheets printed front and back): (1) cover page, (2) ELA/L results, (3) mathematics results, and (4) trend or college and career readiness information. The HSA-Science and Biology EOC assessment results will be two pages in length (one sheet front and back). For all assessments, the individual student reports must include, at a minimum, scale scores, achievement levels, achievement level descriptors, any applicable norm-referenced data, and a standard error of measurement around scale scores. For Smarter Balanced-developed assessments, all individual student reports must comply with all consortium reporting requirements. By no later than December 1, the contractor must provide mockups of the individual student reports for all assessments to the state agency for review. The contractor shall modify the mockups as deemed necessary by the state agency.

Review

Contractor will collaborate with HIDOE staff to review and revise as necessary to meet expectations as outlined in the Hawaii Printed Reports Specifications, Exhibit O2b.

2.2 Parent Focus Group Meeting

Contractor will conduct an annual Parent Focus Group Meeting to review the Family Reports, solicit parents' interpretation of the information shared in the reports and to suggest improvements. Focus Group meetings will include parents of students in elementary, middle and high school levels. Meetings are to last no more than two hours and 10-15 parents are to participate. All meeting logistics will be coordinated and arranged by the Contractor, per HIDOE direction and guidelines. Meeting details will be provided in writing to HIDOE staff by Contractor staff for review, input and approval. As part of the meeting arrangements, the Contractor shall be responsible for all facility costs, participant travel expenses. If participant honorarium are involved, the Contractor will be financially responsible.

2.3 Quality Assurance

Contractor will validate sample Family Report data fields and provide HIDOE staff with appropriate data sets and sample reports to conduct additional QC measures. Contractor will perform a comprehensive score report QC prior to printing and shipping. Documentation of established quality checks will be provided upon HIDOE request.

2.4 Printing

Contractor will print all family reports in color. The Smarter Balanced Family Report (four pages) will be printed on one large sheet, front and back, folded in half.

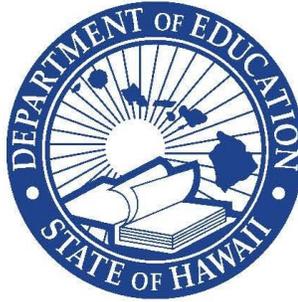
2.5 Packaging and Shipping

Contractor will ship all Family Reports to the school at which the student was last enrolled during the school year in which the student tested. Delivery of Family Reports to schools will occur on an agreed upon timeframe, preferably at the beginning of the following school year. All packages will be shipped and tracked via UPS or a similar system.

2.6 Replacement

Contractor will deliver replacement reports at no cost (if Contractor responsibility) or at cost (if school responsibility) to the school at which the student was last enrolled during the school year in which the student tested.

Exhibit O2b



Hawaii Smarter Balanced ELA/Literacy and Mathematics Assessment Family Reports Paper Reporting Specifications

Hawaii Department of Education
Assessment Section

Table of Contents

1	Change History.....	1
2	Scope and Project Information	1
2.1	Summary of Deliverables by Test and Administration.....	1
2.2	Preliminary Key Dates	1
2.3	Project Contacts.....	2
3	Data Processing Rules	3
3.1	Data Files Required to Produce Paper Reports.....	3
3.1.1	Roster Tracking System File	3
3.1.2	Database of Record File	4
3.1.3	Relevant Information and Schedule	Error! Bookmark not defined.
3.2	Rules for Handling Invalidations	4
3.2.1	Process for Invalidating a Test	4
3.3	Rules for Data Cleaning.....	5
3.4	Other Processing Rules	5
3.4.1	Courtesy Tested Students	5
3.4.2	Similar Schools Group	6
3.5	Scoring Rules	6
4	Special Populations	6
4.1	Rules for Identifying Special School Types.....	6
4.1.1	Charter Schools	6
4.1.2	Special Schools.....	6
4.1.3	Home Schools.....	6
4.2	Rules for Reporting Special Students.....	7
4.2.1	VIPP Rules for Handling Exceptions	7
5	Rules for Construction of Superdata for Paper Reports	7
5.1	Lexile® Measure.....	7
5.2	Content Levels Reported.....	8
5.3	Writing Dimensions.....	10
5.4	Trend Reports	11
5.5	College Readiness	22
5.6	Reporting Incomplete Test Records.....	24
5.7	Enrolled Grade vs. Tested Grade	24
5.8	Calculation Rules.....	24

5.8.1	Standard Error of Measurement (SEM) for ELA/L and Mathematics Scale Scores.....	24
5.8.2	General Rules for Aggregating Scores.....	25
5.8.3	Rounding Rules	25
5.9	Computation Rules.....	25
5.9.1	Means.....	25
5.9.2	Comparing the Student to Higher Aggregate Levels.....	25
5.9.3	CmpTTest	26
5.10	Suppression Rules.....	27
5.11	Report Serial Number	27
5.12	Selecting Students' School and District.....	27
5.13	Processing Address File.....	27
5.14	Missing Information	28
5.14.1	ELA/Literacy or Mathematics Scores	28
5.14.2	Student Name	28
5.14.3	Student Gender.....	28
5.15	Truncation Rules	28
6	Variable Text	29
6.1	Variable Text and Descriptions	29
7	Client Sample	29
7.1	Delivery of Client Sample.....	29
8	Score Report Printing and Distribution.....	29
8.1	Sort Order and Packaging	29
8.1.1	Family Reports	29
8.1.2	Student Labels.....	Error! Bookmark not defined.
8.2	Shipping Method.....	30
8.3	On-Site Quality Control.....	31

1 Change History

Date	Change Description	Author

2 Scope and Project Information

2.1 Summary of Deliverables by Test and Administration

The table below lists the electronic and paper deliverables for each test. Note that electronic deliverables are delivered via the Online Reporting System. Authorized users can retrieve, download, and/or print reports in the Online Reporting System.

Assessment	Administration	Score Report Deliverables	
		Electronic Form via the Online Reporting System or Assessment Portal	Paper Form
Hawaii Smarter Grades 3-8 & 11 ELA/L and Mathematics	[SY]	<ul style="list-style-type: none"> Summary Test Results, including Rosters Student Reports Participation reports Interpretive Guide 	<ul style="list-style-type: none"> Family Reports
DVDs containing Hawaii Smarter ELA/L and Mathematics paper family reports in PDF format	[SY]	Not applicable	PDFs of paper family reports for each school, delivered to HIDOE

2.2 Preliminary Key Dates

ID	Deliverable	Medium	Producer	Recipient	Date Due
1	Preliminary RTS/DoR extracts (as of TBD testing)	Electronic	HIDOE	Score Reporting	
2	Preliminary Superdata (ELA and Mathematics)	Electronic	HIDOE	Score Reporting	
3	Final nightly file (file post on 10am HST)	Electronic	HIDOE	CSSC Analysis	

4	Last day of Smarter Balanced testing window for ELA and Mathematics		TDS		
5	Scoring Center finishes Handscoring all responses	Electronic	Scoring Center	CSSC Analysis	
6	Initial DoR and final RTS extracts	Electronic	HIDOE	N/A	
7	List of invalidations (only includes new invalidations)	Electronic	HIDOE	CSSC TDS	
8	Invalidate records (COB)	Electronic	CSSC TDS	HIDOE	
9	Final DoR extract	Electronic	HIDOE	N/A	
10	Generate pipe file	Electronic	CSSC Analysis	N/A	
11	QC of pipe file	Electronic	HIDOE/QA	N/A	
12	QC of final DoR extract (check all flags and invalidations)	Electronic	HIDOE	N/A	
13	Similar school demographic cuts	Electronic	Tech	HIDOE	
14	Final Superdata (ELA and Mathematics)	Electronic	HIDOE	Score Reporting	
15	School address file	Electronic	[CONTRACTOR STUDENT DEMOGRAPHIC DATABASE]	Score Reporting	
16	Deliver pipe file	Electronic	CSSC Analysis	HIDOE	
17	Tech Team sample	Paper	Score Reporting	Tech	
18	Tech Team sample sign-off	Electronic	Tech	Score Reporting	
19	Client sample	Electronic & Paper	Score Reporting	HIDOE	
20	Client sample sign-off	Electronic	HIDOE	Score Reporting	
21	Family reports printing	Paper	Score Reporting	HI Schools	
22	Family reports shipping	Paper	Score Reporting	HI Schools	
23	Family reports DID	Paper	Score Reporting	HI Schools	
24	Electronic family reports	DVD	Score Reporting	HIDOE	

2.3 Project Contacts

Title	Name	Phone	Email

Title	Name	Phone	Email

3 Data Processing Rules

3.1 Data Files Required to Produce Paper Reports

3.1.1 Roster Tracking System File

The Roster Tracking System File is the mechanism used to add and update the student demographic information database known as RTS. The table below specifies the variables to be included in the extract and the corresponding paper reporting layout (i.e., ASCII layout) variables.

Family Reports		
ASCII Var Name	RTS Var Name	Notes
studentfnm	RTS_LglFNm	Confirmed
studentlnm	RTS_LglLNm	Confirmed
studentkey	StudentRTSKey	Confirmed
schoolname	RTS_ENRLINST_EntityName	Confirmed
schoolcode	RTS_ENRLINST_ExternalID	Confirmed
areaname	RTS_ENRDIST_EntityName	Confirmed
areacode	RTS_ENRDIST_ExternalID	Confirmed
grade	RTS_EnrGrdCD	Confirmed
gender	RTS_Gndr	Confirmed

The RTSkey is unique to each SSID. If the SSID is changed during the testing window, a new RTSkey will be generated. The new SSID does NOT replace the old SSID. For the out of state students, the SSID is blank in the [final nightly file], but not the RTSkey associated with the SSID. In the extract file from SAS/R Team, keep SSID in both DoR and [final nightly file] RTS file.

SAS/R Programmer: If a student has two SSIDs in the DoR extract file, please use the initial SSID and disregard the final SSID. In the extracts with RTS date, there might be some records with missing values of the RTS variables for enrolledgrade or schoolID or districtID or etc. Since these variables are necessary for score aggregation and report, please use the opportunitystartdate extracts to get the missing RTS variable information.

NOTE: In the pipe file, student demographic fields are from the test start date. In the DoR, student demographic fields are from the nightly RTS file. Therefore, the number of students in demographic fields may not match between the pipe file and the DoR.

3.1.2 Database of Record File

Once test windows have closed and HIDEOE's requests for invalidations have been applied, CONTRACTOR's SAS/R Team will run a Database of Record (DoR) extract on the date specified in the Key Dates table. This extract will be used in the production of Superdata for paper score reports. The table below specifies the variables to be included in the extract and the corresponding paper reporting layout (i.e., ASCII layout) variables.

Family Reports		
ASCII Var Name	DoR Var Name	Notes
courtesytestedflag	rts_enlgrdcd="00" then '1'	Confirmed
AttemptFlagCRTELA	Overall_Attempted	Confirmed
AttemptFlagCRTMath	Overall_Attempted	Confirmed
student_ela_scale	Overall_ScaleScore	Confirmed
student_ela_level	Overall_PerformanceLevel	Confirmed
ela_sem_low	ela_sem = Overall_ScaleScoreSE ela_sem_low =Overall_ScaleScore - Overall_ScaleScoreSE	Confirmed
ela_sem_high	ela_sem = Overall_ScaleScoreSE ela_sem_high =Overall_ScaleScore + Overall_ScaleScoreSE	Confirmed
ela_rclaim_level	SOCK_R_PerformanceLevel	Confirmed
ela_lclaim_level	SOCK_LS_PerformanceLevel	Confirmed
ela_wclaim_level	S2_W_PerformanceLevel	Confirmed
ela_iclaim_level	S4_CR_PerformanceLevel	Confirmed
student_math_scale	Overall_ScaleScore	Confirmed
student_math_level	Overall_PerformanceLevel	Confirmed
math_sem_low	math_sem = Overall_ScaleScoreSE math_sem_low =Overall_ScaleScore - Overall_ScaleScoreSE	Confirmed
math_sem_high	math_sem = Overall_ScaleScoreSE math_sem_high =Overall_ScaleScore + Overall_ScaleScoreSE	Confirmed
math_cclaim_level	S1_PerformanceLevel	Confirmed
math_pclaim_level	SOCK_2_PerformanceLevel	Confirmed
math_rclaim_level	S3_PerformanceLevel	Confirmed

3.2 Rules for Handling Invalidations

3.2.1 Process for Invalidating a Test

The following process will be used to handle score invalidations:

- No changes will be made after the [final nightly file] has been uploaded.
- SAS/R Team will generate the initial DoR and RTS extracts, which include ALL tests (including expired tests), and will create a list of invalidations from **the valid tests** (status ≠ “invalidated” and/or “reset”) in the extracts.
- SAS/R Team will provide a list of invalidations to TDS Team for the purpose of invalidating the following records:
 - **Out-of level students**
 - Students whose enrolled grade (from RTS) is not equal to tested grade or if the enrolled grade is missing.
 - **Courtesy tested students**
 - If courtesy tested students have taken two tests with overallattempted=Y, one test will be invalidated based on the following business rule:
 - If both tests are complete, the second test will be invalidated. This is based on the opportunity start date.
 - If both tests are incomplete, the second test will be invalidated.
 - If one test is complete and the other test is incomplete, the incomplete test will be invalidated.
 - **HSA-Alt students**
 - HSA-Alt student flag will be part of the nightly file. This field will be included in the RTS file.
 - Please apply the following rule for HSA-ALT invalidations:
 - If a student is marked as HSA-ALT but did not take any HSA-ALT tests, student’s HI Smarter scores should remain valid.
 - If a student is marked as HSA-ALT but took any HSA-ALT tests, student’s HI Smarter scores should be invalidated.
 - Programmer: To determine which HSA-ALT students took any HSA-ALT tests, please check the HSA-ALT superdata.
- Once tests have been invalidated in the system, SAS/R Team will generate a final RTS/DoR extract and proceed with generating Superdata.

3.3 Rules for Data Cleaning

There are two circumstances which must be accounted for regarding duplicate vndr_test_event_ids. In the first case, it is necessary to remove all vndr_test_event_id’s that are duplicated. In the second case, it will be necessary to identify the ‘latest’ vndr_test_event_id and remove earlier records.

3.4 Other Processing Rules

3.4.1 Courtesy Tested Students

Tested students who are not required to be tested are considered “courtesy tested.” These students are home-schooled students. Courtesy tested students are identified in the RTS file, enrolledgrade =

“00”. SAS/R Team will use enrolledgrade = “00” to create courtesy tested flag. The final courtesy student status will be based on the [final nightly file] RTS file.

NOTE: Courtesy tested students may have two scores if they took tests in multiple grades. Per HIDOE’s request, if courtesy tested students have taken two tests, one test will be invalidated based on the following business rule:

- If both tests are complete, the second test will be invalidated.
- If both tests are incomplete, the second test will be invalidated.
- If one test is complete and the other test is incomplete, the incomplete test will be invalidated.

SAS/R Team – For courtesy tested students (students with courtesy tested flag = 1), both School and Complex Area average scores should be suppressed, as well as comparison variables for School and Complex Area.

3.4.2 Similar Schools Group

There will be no similar schools group for smarter balanced reports.

3.5 Scoring Rules

Please refer to the Smarter Scoring Engine Specifications document.

4 Special Populations

4.1 Rules for Identifying Special School Types

4.1.1 Charter Schools

All records for Charter schools are flagged by areacode = 981. All Charter schools are aggregated into a common complex area, and the resulting complex-area report sent to Charter School Administrative Offices. Reports will be shipped to individual schools.

4.1.2 Special Schools

All discussions about school-complex area associations should be determined internally by HIDOE and those agreements should be reflected in the file CONTRACTOR receives. There will be no exceptions made to special schools outside of the file provided to CONTRACTOR by HIDOE.

“Special Schools” will have their own Complex Area Code (998). These schools will be processed like all others, and their reports shipped to the Executive Director of Special Schools.

4.1.3 Home-Schooled Students

1. Family reports are produced for all home-schooled students for which there is a record.
2. Home-schooled students are excluded from all aggregations.

3. Family reports are sent to the school at which the student was tested.
4. The barrel charts of the home school family reports show ONLY the student’s performance and the aggregate performance at the state level. The home school family reports do not display aggregate data at the school or complex area levels.

4.2 Rules for Reporting Special Students

4.2.1 VIPP Rules for Handling Exceptions

	Courtesy	Out of level
Receive ELA/L and Mathematics Family Report?	Yes	No
Family report includes school, complex area average?	No	No
Family report includes state average?	Yes	No
Include in school-level aggregation?	No	No
Include in complex area aggregation?	No	No
Include in state level aggregation?	Yes	No

5 Rules for Construction of Superdata for Paper Reports

The purpose of the Superdata is to capture the output data from score report processing. The data can also be used for additional analysis. The score reports are generated from the Superdata. It includes a complete set of individual student data and aggregated statistics from school, complex area, and state level data. The Superdata at student level will include all attempted valid tests, excluding only tests with a status = “invalidated” and/or “reset”.

5.1 Lexile® Measure

Starting 2016-17 administration, CONTRACTOR will report a student’s ELA Lexile® Measure. The Lexile Framework for Reading is a scientific approach to measure reading ability and the text demand of reading materials. The Lexile Framework involves a scale for measuring both reading ability of an individual and the text complexity of materials student encounters. The Lexile® Measure will be reported beside Student’s Reading Claim and will be represented by a range followed by the letter “L” (i.e. Lexile® Measure: 820L to 1140L). In instances where Reading Lexile value is missing, the Lexile Value will display as blank.



5.2 Content Levels Reported

CONTRACTOR will report a student’s overall subject performance and the student’s performance on each claim. Overall subject performance is reported as a scale score and associated achievement level (Level 1, Level 2, Level 3, or Level 4). Performance on a claim is reported as a scale score and an indicator for whether student’s score is an achievement category: Below the Standard, At or Near Standard, or Above the Standard.

Performance on the following ELA/L claims will be reported:

1. Reading
2. Listening
3. Research/Inquiry
4. Writing

Has Your Child Met the Standard in the Different Areas of ELA/Literacy?	Next Steps
<p>Reading</p>  <p>Below Standard Near Standard Above Standard</p> <p>Lexile® Measure: 820L to 1140L Your child may be able to read closely and analytically to comprehend a range of increasingly complex literary and informational texts.</p>	<p>Have your child study different texts that present conflicting points of view on the same topic. Compare the texts to other ideas (like myths or historical events) and point out analogies (comparing unlike ideas).</p>
<p>Listening</p>  <p>Below Standard Near Standard Above Standard</p> <p>Your child can employ effective listening skills for a range of purposes and audiences.</p>	<p>Have your child listen to or watch documentaries or speeches on a topic. Have her explain the points presented on the topic using information from the sources. Ask if the sources can be trusted and why.</p>
<p>Research/Inquiry</p>  <p>Below Standard Near Standard Above Standard</p> <p>Your child has difficulty engaging in research and inquiry to investigate topics, and to analyze, integrate, and present information.</p>	<p>Have your child conduct research on a topic. Have her research several sides of the topic, combining data from different sources. She needs to include quotations and her opinion about the topic.</p>
<p>Writing</p>  <p>Below Standard Near Standard Above Standard</p> <p>Your child may be able to produce effective and well-grounded writing for a range of purposes and audiences.</p>	<p>Help your child write argumentative essays, which address opposing views and include a counterclaim, logical reasoning, and support. All essays need direct quotations and formal, subject-specific language.</p>

Performance on the following Mathematics claims will be reported:

1. Concepts and Procedures
2. Problem Solving and Modeling & Data Analysis
3. Communicating Reasoning

Has Your Child Met the Standard in the Different Areas of Mathematics?		Next Steps
<p>Concepts and Procedures</p> <p>Below Standard Near Standard Above Standard</p>	<p>Your child can explain and apply mathematical concepts and interpret and carry out mathematical procedures with precision and fluency.</p>	<p>With your child, find containers in your home that are in the shape of cylinders, cones, and spheres and figure out how their volume (space an object takes up) would change if their dimensions were changed. For example, if the radius of the base of a can is doubled, how does that affect the volume of the can? (The can's volume increases.)</p>
<p>Problem Solving and Modeling & Data Analysis</p> <p>Below Standard Near Standard Above Standard</p>	<p>Your child can solve a range of complex well-posed problems in pure and applied mathematics, making productive use of knowledge and problem solving strategies. Your child can analyze complex, real-world scenarios and can construct and use mathematical models to interpret and solve problems.</p>	<p>With your child, explore functions in real-life relationships such as the height of a thrown ball after different amounts of time or the population of a country over time. See that the shape of the function's graphs is not a straight line. Talk about why the rate of change for a function does not stay the same (balls slow down with time).</p>
<p>Communicating Reasoning</p> <p>Below Standard Near Standard Above Standard</p>	<p>Your child may be able to clearly and precisely construct viable arguments to support their own reasoning and to critique the reasoning of others.</p>	<p>Ask your child to find real-world examples of a right triangle (such as a ramp or a ladder leaning against a wall) and ask her to explain how to figure out the lengths of the sides of the triangle.</p>

For each Smarter claim, the paper report will also display a graphical representation of the claim scale score. There will be a horizontal bar graph, with the mins and maxes aligning with the values in the overall subject barrel chart.

The placement of the dot representing scale score will be placed based on the cuts that will vary by student, subject, and claim.

CONTRACTOR will report achievement categories (below standard, At/near standard, above standard) for each student at the claim. The calculation rules for computing three achievement categories are as follows:

- Below Standard (Code = 1): if $SS_{rc} < \text{round}(SS_{cut} - 1.5 * SE(SS_{rc}), 0)$
- At/Near Standard (Code = 2): if $SS_{rc} \geq \text{round}(SS_{cut} - 1.5 * SE(SS_{rc}), 0)$ and $SS_{rc} < \text{round}(SS_{cut} + 1.5 * SE(SS_{rc}), 0)$,
- Above Standard (Code = 3): if $SS_{rc} \geq \text{round}(SS_{cut} + 1.5 * SE(SS_{rc}), 0)$

where SS_{rc} is the student's scale score on a reporting category; SS_{cut} is the proficiency scale score cut (Level 3 cut); and $SE(SS_{rc})$ is the standard error of the student's scale score on the reporting category.

For each Smarter claim, the paper report will display a graphical representation of the claim scale score. There will be a horizontal bar graph, with the same minimums and maximums used in the overall score barrel chart (Section 3.3).

The following steps describe how to prepare the data for placing a student's claim scale score on a horizontal bar graph.

1. Set the cut for At/Near and Above Standard for each student. The cuts are calculated by

- At/Near Cut = $\text{round}(SS_{cut} - 1.5 * SE(SS_{rc}), 0)$
- Above Cut = $\text{round}(SS_{cut} + 1.5 * SE(SS_{rc}), 0)$

where SS_{cut} is the proficiency scale score cut (Level 3 cut); and $SE(SS_{rc})$ is the standard error of the student's claim scale score.

2. Compute achievement categories (below standard, At/near standard, above standard) for each claim. The calculation rules for computing three achievement categories are as follows:
 - Below Standard (Code = 1): if $\text{round}(SS_{rc}, 0) < \text{At/Near Cut}$
 - At/Near Standard (Code = 2): if $\text{round}(SS_{rc}, 0) \geq \text{At/Near Cut}$ and $\text{round}(SS_{rc}, 0) < \text{Above Cut}$
 - Above Standard (Code = 3): if $\text{round}(SS_{rc}, 0) \geq \text{Above Cut}$
 where SS_{rc} is the student's claim scale score.
3. Compare a computed achievement category based on the rule given in step 2 with the achievement level in the database (DoR). If two categories have discrepancy due to a rounding, adjust the cuts for At/Near and Above Standard in step 1 as follows:
 - If a computed achievement category is less than the reported achievement level in the database :
 - At/Near Cut = $\text{round}(SS_{cut} - 1.5 * SE(SS_{rc}), 0) - 1$
 - Above Cut = $\text{round}(SS_{cut} + 1.5 * SE(SS_{rc}), 0) - 1$
 - If a computed achievement category is greater than the reported achievement level in the database :
 - At/Near Cut = $\text{round}(SS_{cut} - 1.5 * SE(SS_{rc}), 0) + 1$
 - Above Cut + 1 = $\text{round}(SS_{cut} + 1.5 * SE(SS_{rc}), 0) + 1$
4. The student's rounded claim scale score will be placed proportional to the scale score range within an achievement category in a horizontal bar graph.

INTERNAL DOCUMENTATION: When live data is available, CONTRACTOR will confirm that the cuts do not go above or below the minimums or maximums.

Here is an example of how this information would be displayed on the report:



5.3 Writing Dimensions

The Smarter Balanced paper Individual Student Reports will display student's Writing Dimensions under Student's Writing Claim. Each essay item (WER) is associated a passage trait such as *Informative*, *Narrative*, *Opinion*, *Argumentative*, or *Explanatory*. Each student takes one WER item, and three dimension scores for the WER item will be generated. Depending on the performance task and the form administered to each student, the trait assessed and reported may vary.

Depending on which passage trait student gets and how the student has performed on each dimension, the writing performance description would get populated in the ISR.

- Organization/Purpose (0,1,2,3,4)

- Evidence/Elaboration (0,1,2,3,4)
- Conventions (0,1,2)

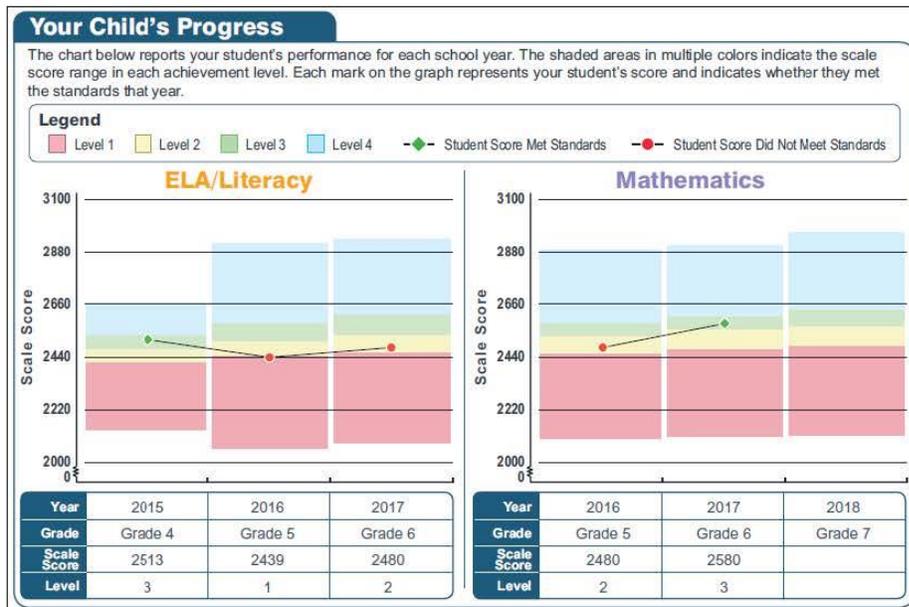
Writing Dimensions			
Essay	Organization/Purpose	Evidence/Elaboration	Conventions
Narrative	The narrative response is somewhat sustained and includes an inconsistent plot of real or imagined events, a minimal setting, and limited character development. The events follow an irregular sequence of events and are linked by weak transitions. (2 out of 4 points)	The narrative response provides uneven elaboration to support the development of the narrative including vague connections to sources; weak narrative techniques; and partial use of sensory, concrete and figurative language that may not advance the story. (2 out of 4 points)	The narrative response shows an adequate understanding of correct sentence formation, punctuation, capitalization, grammar usage, and spelling. (2 out of 2 points)

5.4 Trend Reports

The grade 3-8 paper Individual Student Reports will include a trend chart plotting a student’s performance in ELA or Math over time. Up to 3 years of data can be displayed on this graph and the cut scores that are associated with the tested grade will be graphically displayed.

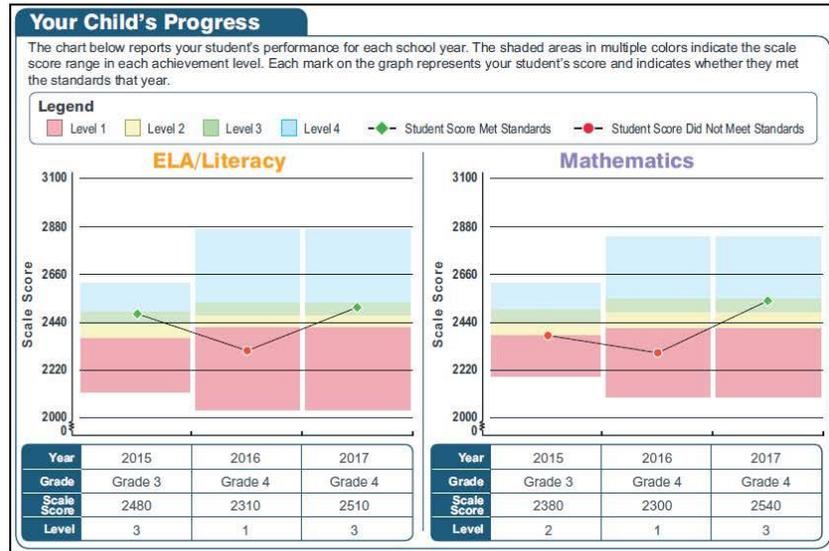
The following rules will apply for trend reporting:

1. Student reports will be matched with any historical data by using their SSID for identification.
 - Score Reporting Team will use 0.85 similarity coefficients fuzzy match rule for the trend chart.
2. The cut scores that are used to display the performance levels will be the cuts that were used in the year of testing for that datapoint.
3. Overall subject scale score and performance level for the current year and the previous years (if available) will be displayed.
4. If the student did not test in the previous administrations for one subject, those administrations would not appear on the graph for that subject. The graph would have the current year as the left-most data point.



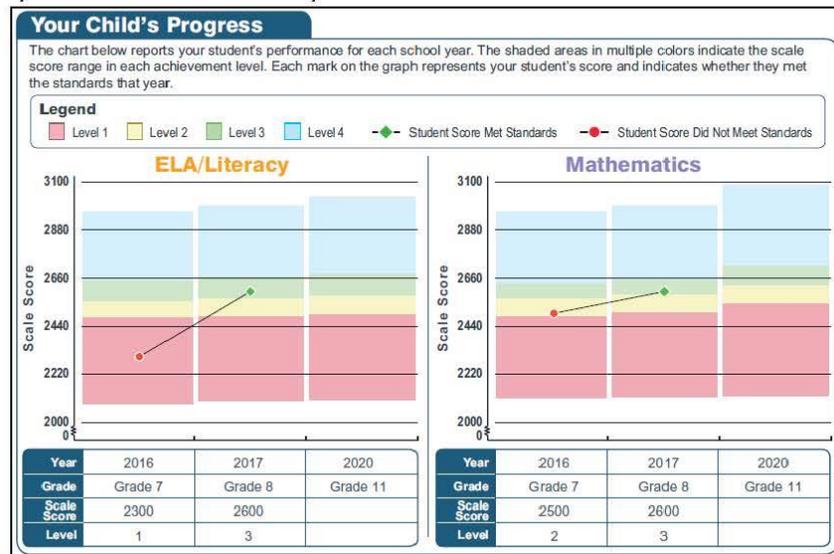
(Figure 4) For example, if student did not take the Grade 4 Mathematics in Spring 2015, the trend chart for Smarter Mathematics will display Grade 5 in Year 2016 as the left-most data point. Notice Grade 4 ELA still appears for Spring 2015 because student have taken the Grade 4 ELA Smarter exams.

5. The grade and year fields on the trend report table should always get populated across all three years unless the grade field in the year 1 is grade 8. The grade and year field for the year 2 and 3 will be populated based on the following rule:
 - 5.1) If grade value for year 1 and 2 are the same (grades 3-7) and the corresponding year values are 2015 and 2016, the grade values for year 3 will be the current grade value +1 (grades 4-8) and the corresponding year would be 2017.

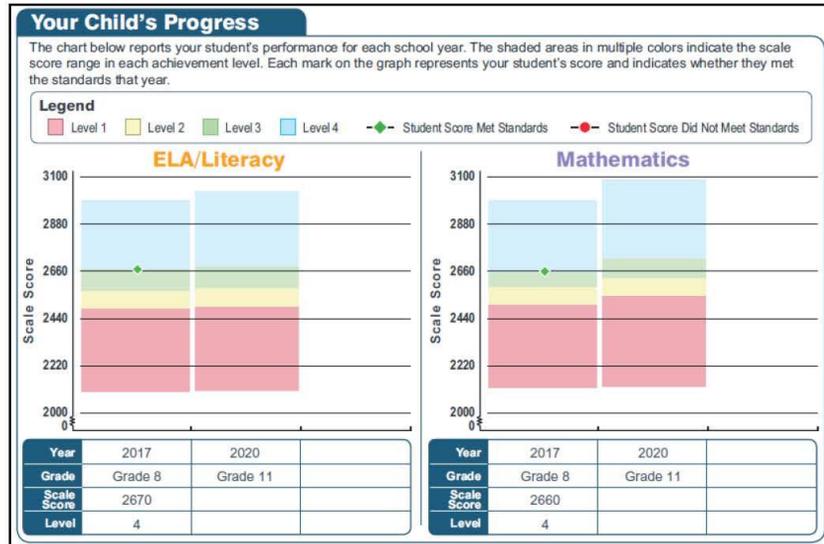


(Figure 5.1) For example, if student took Grade 3 ELA and Mathematics in year 2015 (Year 1), and Grade 4 ELA and Mathematics in year 2016 and 2017 (Year 2 and Year 3), then Grade 4 ELA and Mathematics will display in both years: 2016 and 2017 (Year 2 and Year 3).

5.2) If grade value for year 1 or 2 are 8 (but the grade values are not the same for both year 1 and year 2) and the corresponding year value is 2017, the grade values for year 2 or 3 will be 11 and the year value will be 2020.

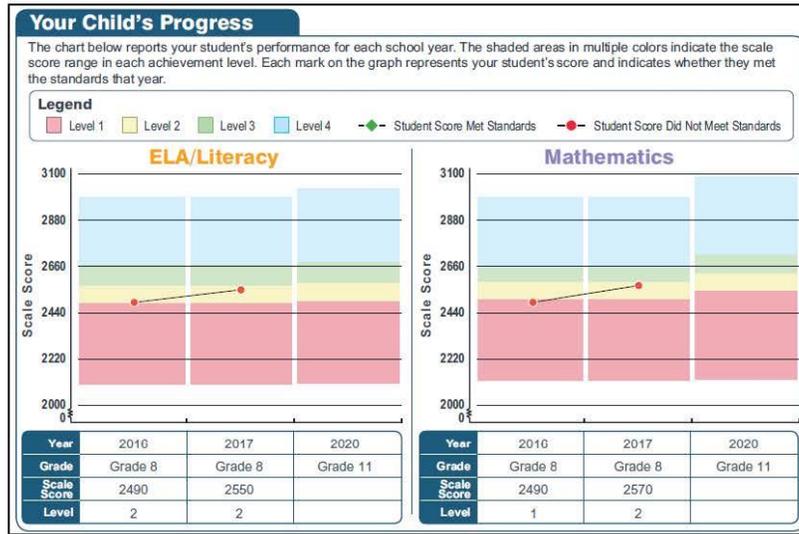


(Figure 5.2.a) For example, if student took Grade 7 ELA and Mathematics for a first time in Hawaii in year 2016 (Year 1), and Grade 8 ELA and Mathematics in year 2017 (Year 2), then Grade 11 ELA and Mathematics will display with year 2020 (Year 3).

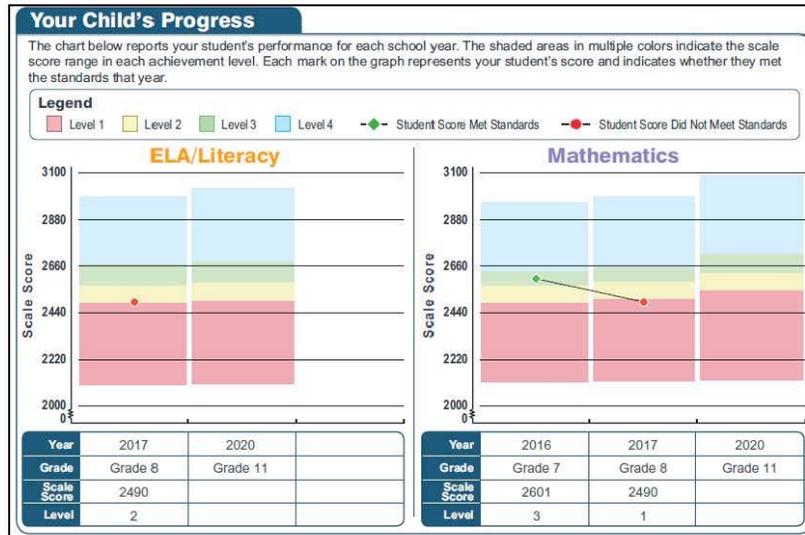


(Figure 5.2.b) For example, if student took Grade 8 ELA and Mathematics for a first time in Hawaii in current year 2017 (Year 1), then Grade 11 ELA and Mathematics will display with year 2020 (Year 2). Grade and year values for Year 3 will be blank.

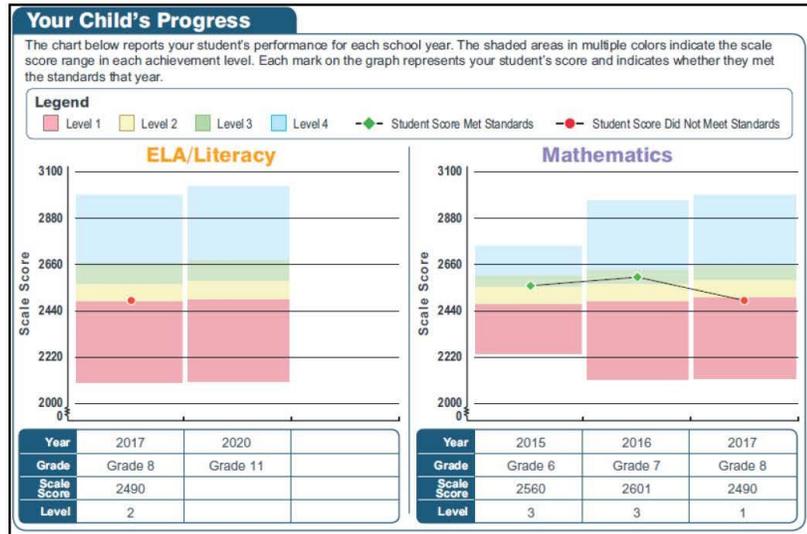
5.3) If grade value for year 1 and 2 are the same (grade 8) and the corresponding year values are 2016 and 2017, the grade values for year 3 will be grade 11 and the corresponding year would be 2020.



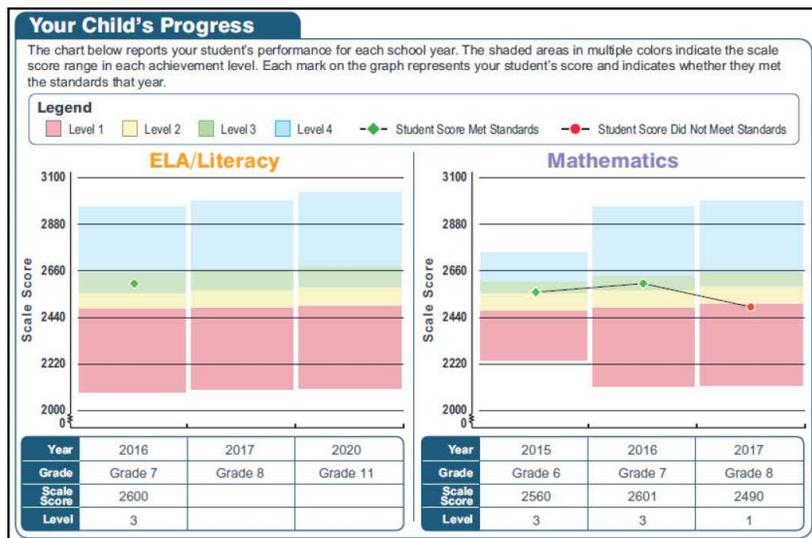
5.4) If the grade value for year 1 is 8 and the year value is 2016, the grade value for year 2 will be 11 and the year value will be 2020. Grade and year values for year 3 will be left blank.



(Figure 5.4.a) Please note that Year 1 values are different between ELA and Mathematics. If student took only Mathematics in Grade 7 previous year 2016 (Year 1), then the trend chart for ELA would have the current year as the left-most data point.

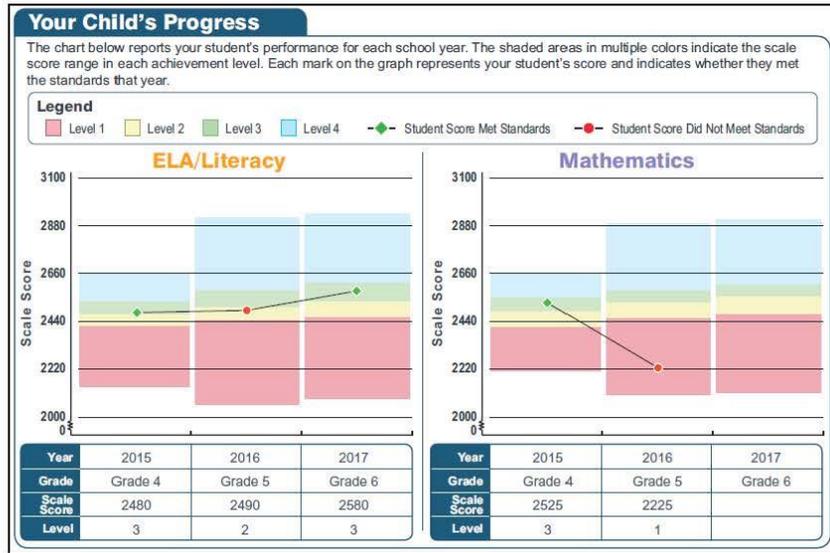


(Figure 5.4.b) Please note that Year 1 and Year 2 values are different between ELA and Mathematics. If student took only Mathematics in Grade 6 and Grade 7 in all previous years {2015 (Year 1) and 2016 (Year 2)}, then the trend chart for ELA would have the current year as the left-most data point.



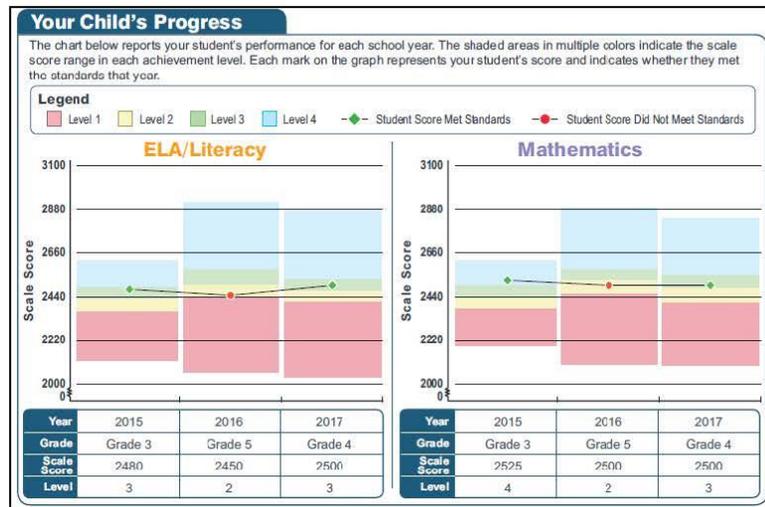
(Figure 5.4.c) Please note that Year 1 and Year 2 values are different between ELA and Mathematics. The above trend chart describe a case where student took only Grade 6 on Mathematics on two years ago in year 2015, and student took both ELA and Mathematics in Grade 7 in last year 2016. Student took only Grade 8 Mathematics for current year, 2017.

- 6) If the student has a valid score for only one of the subject and there are results for the previous administration for the other subject, the scores for previous administration for the other subject will appear on the trend report.



(Figure 6) For example, if a student took grade 4 ELA and Mathematics in previous year (Year 1), and only took Grade 5 ELA in current year (Year 2), the Mathematics trend chart will include previous year's test score.

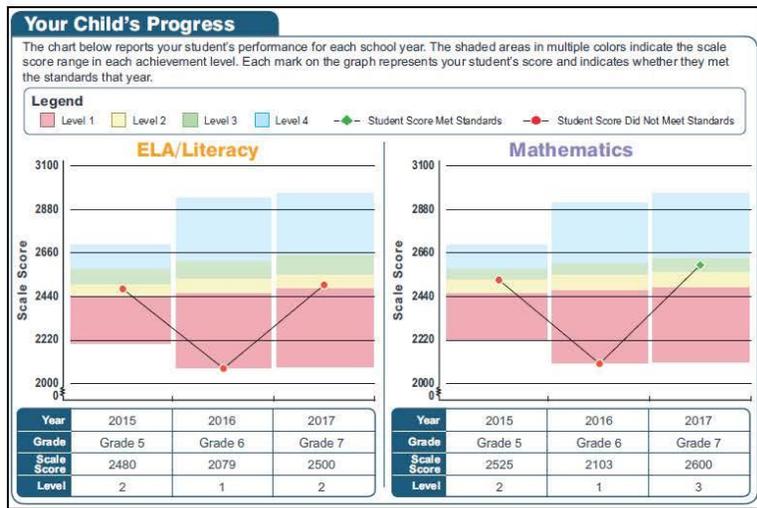
- 7) If a student took a lower grade for current administration than previous administration, the trend chart will appear as is.

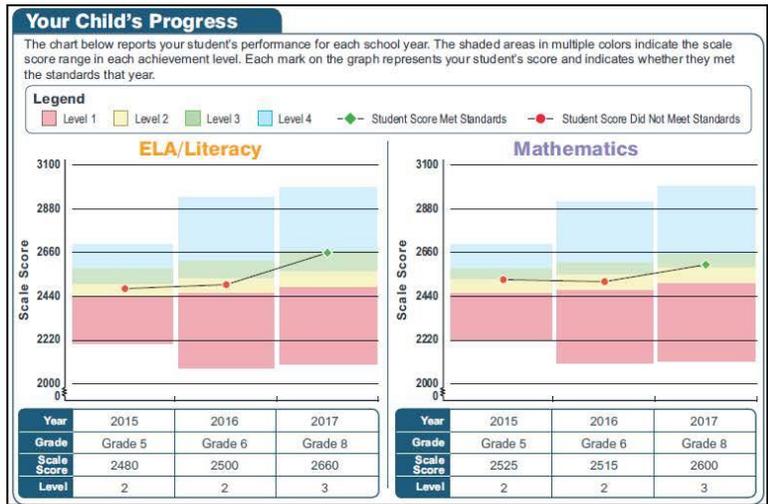


(Figure 7) For example, if a student took grade 3 ELA and Mathematics in year 2015 (Year 1), took Grade 5 ELA and Mathematics in year 2016 (Year 2), and took Grade 4 ELA and Mathematics in year 2017 (Year 3), we will report as is.

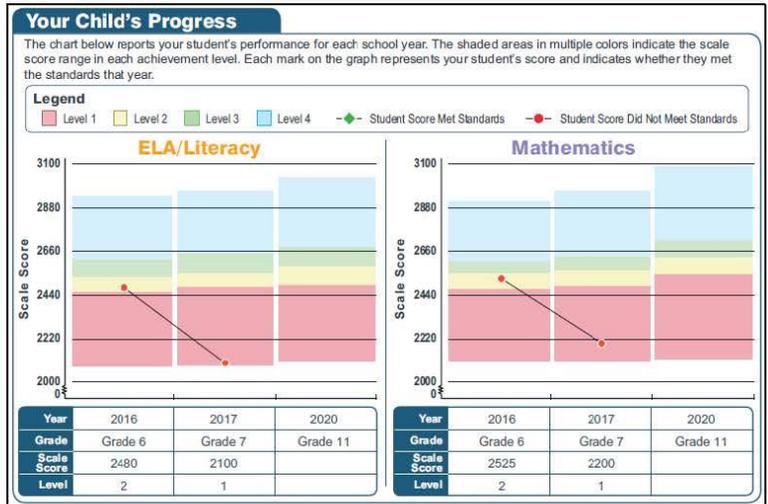
The trend charts will adhere to the following rules in instances where a student takes a test multiple times:

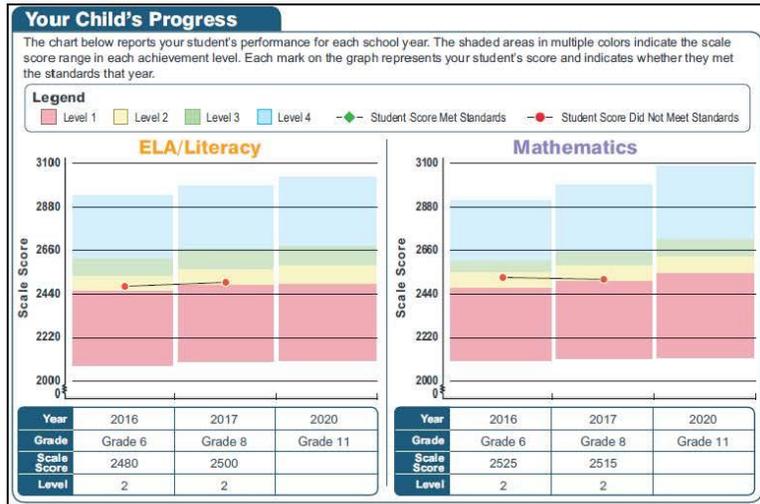
- 8) If a student has taken the same ELA or Math grade 3-8 assessment multiple times in the same year, the score reported in the trend chart will match what is reported in the barrel chart for that ISR. Note that this is because a separate ISR is generated for each opportunity completed in the same year.





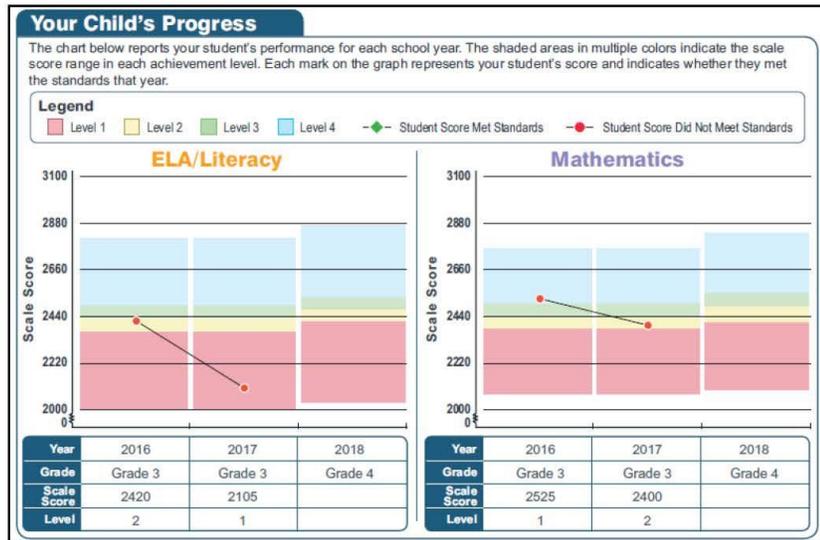
(Figure 8.1) For example, if a student took grade 5 in year 2015 (Year 1), takes grade 6 in year 2016 (Year 2), and takes both grade 7 and grade 8 in year 2017 (Year 3), two Individual Student Reports will be generated with each opportunities. **Ideally**, this will not occur since student can be enrolled into only one grade as of [final nightly file] (Final Nightly File for Student Demographic Information).





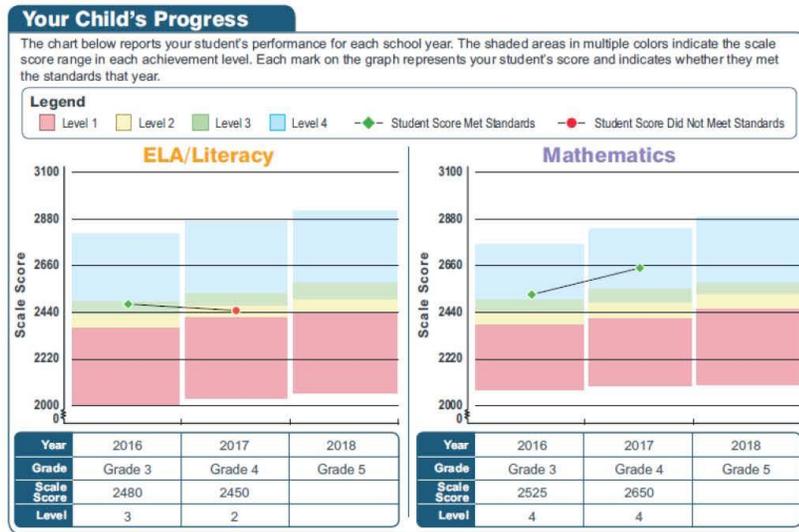
(Figure 8.2) For example, if a student took grade 6 in year 2016 (Year 1) for a first time in Hawaii, and took both Grade 7 and Grade 8 in year 2017 (Year 2), then two different Individual Student Reports will be generated with Grade 11 ELA and Mathematics being displayed with year 2020 (Year 3). Ideally, this will not occur since student can be enrolled into only one grade as of [final nightly file] (Final Nightly File for Student Demographic Information).

- 9) If a student has taken the same ELA or Math grade 3-8 assessment multiple times in two or more separate years, CONTRACTOR will report both scores on the trend chart. For example, if a student takes ELA grade 3 in 2016 and ELA grade 3 again in 2017, CONTRACTOR will report the score obtained in 2016 in the year 1 section of the trend chart and the score obtained in 2017 in the year 2 section of the trend chart. Note that this rule applies when the test taken multiple times is the test reported in the current year. Note also that this rule applies primarily to retained students.



(Figure 9) For example, if a student took grade 3 in 2016 (Year 1) and grade 3 again in 2017 (Year 2), CONTRACTOR will report the score obtained in 2016 in the year 1 section of the trend chart and the score obtained in 2017 in the year 2 section of the trend chart. Note that this rule applies when the test taken multiple times is the test reported in the current year. Note also that this rule applies primarily to retained students.

- 10) If a student has taken the same ELA or Math grade 3-8 assessment multiple times in previous years, only the highest score should be reported on the trend chart. This applies when the test taken multiple times is not the test reported in the current year. For example, if for Spring 2017 reporting, a student takes ELA grade 4 in 2017 and had taken ELA grade 3 twice in 2016, CONTRACTOR will report the highest score obtained in 2016 in the grade 3 section of the trend chart.



(Figure 10) For example, if a student took grade 4 in 2017 and had taken grade 3 twice (multiple attempts) in 2016, CONTRACTOR will report the highest score obtained in 2016 in the grade 3 section of the trend chart.

5.5 College Readiness

The College Readiness section includes both ELA and Math on the printed Family Reports, but students can indicate that his or her results be used by UH by subject in TDS at the end of either the Grade 11 ELA or Math CAT portions of the Smarter Balanced tests.

College Readiness

Determination of Readiness for College-Level Coursework

The University of Hawai'i (UH) and participating Hawai'i Community Colleges have agreed to use the results of the Smarter Balanced English Language Arts/Literacy and Mathematics assessments to determine readiness for college-level English and mathematics coursework. At the completion of the ELA/Literacy and Mathematics assessments your child indicated that his results may be used by UH for placement in credit-bearing courses.

The Smarter Balanced Assessment overall score for English language arts/literacy and mathematics in this report may be used to provide a determination of Jonathan's readiness for college-level coursework, as described below.

Standard Exceeded: Ready for English and/or mathematics college-level coursework.

Standard Met: Conditionally Ready for English and/or mathematics college-level coursework.

Standard Nearly Met: Not yet demonstrating readiness for English and/or mathematics college-level coursework.

Standard Not Met: Not demonstrating readiness for English and/or mathematics college-level coursework.

Review the information at alohahsap.org to see how this information can help avoid the need for additional testing upon entering a university or community college.

For Grade 11 students, the final approved Smarter Balanced ELA and Math printed Family Report mockup displays different text based on whether a student indicated that their results should be sent to UH this year. Please see below for the text that is being displayed on the College Readiness section of the report.

If college_indicator = 0,

"At the completion of the ELA/Literacy and Mathematics assessments your child opted not to have \$\$VARHisHer results submitted to UH for placement in credit-bearing courses."

If college_indicator = 1,

"At the completion of the ELA/Literacy and Mathematics assessments your child indicated that \$\$VARHisHer results may be used by UH for placement in credit-bearing courses."

Our rule for this will be to display the College Readiness text on a student's printed Family Report when a student indicates that their results should be sent to UH for one or more subjects in TDS at the end of the Smarter Balanced CAT tests.

For instance:

- When a student indicates that their results should be sent for one subject to UH but not the other subject, the report will indicate that student's results were sent to UH.
- When the student did not indicate for either ELA or Math that their results should be sent to UH, then the student's Family Paper Report will indicate that the student's results were not sent to UH.

5.6 Reporting Incomplete Test Records

For records that meet the attemptedness rule but are incomplete, CONTRACTOR will produce an overall score. Subscores will not be generated for those students. If a student’s reported score is based on an incomplete test, an asterisk (*) will appear beside the student’s overall scale score. The following footnote will appear to accompany the asterisk:

*VARstudentname’s score is based upon an incomplete test.

For Smarter, if the CAT portion is incomplete, only an overall score will be reported. If the CAT portion is complete, but PT part is incomplete, both an overall and claim score and achievement category will be reported.

Jennifer’s ELA/Literacy Score

2490*
Level 2
Standard Nearly Met

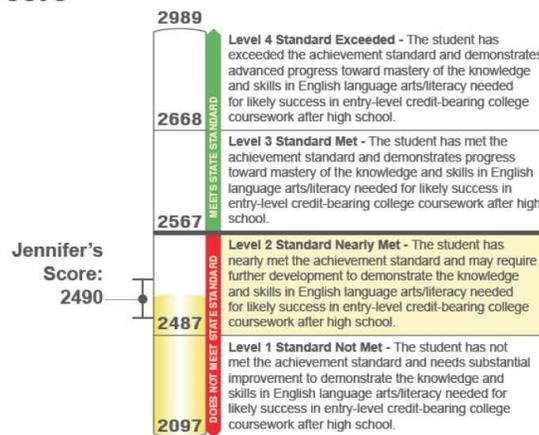
Jennifer’s ELA/Literacy score is 2490. This score is lower than the average score of eighth graders in her school, lower than that of eighth graders in her complex area, and lower than that of eighth graders statewide.

† A student’s test score can vary if the test is taken several times. If your child were tested again, it is likely that Jennifer would receive a score between 2462 and 2518.

* Jennifer’s score is based upon an incomplete test.

How does this compare?

	Average Score
State Average	2651
Complex Area Average	2658
School Average	2605



5.7 Enrolled Grade vs. Tested Grade

The tested grade for any student at the time they start a test must be equal to their enrolled grade. Any student whose enrolled grade is later updated in [CONTRACTOR STUDENT DEMOGRAPHIC DATABASE] to a grade other than the grade they were administered an ELA/Literacy or Mathematics test will be flagged as “out-of-level” for ELA/Literacy or Mathematics, respectively. Records for out-of-level students are invalidated. For students testing on-grade level in grades 3-8 and 11, HIDOE has specified that the tested grade should be reported on the paper individual student report (as opposed to the students’ enrolled grade). The tested grade corresponds to the cut scores, backgrounds, and variable text that display for a report.

5.8 Calculation Rules

5.8.1 Standard Error of Measurement (SEM) for ELA/L and Mathematics Scale Scores

The following sentence will be printed below the scale score on a family report:

A student's test score can vary if the test is taken several times. If your child were tested again, it is likely that VARstudentname would receive a score between ____ and ____.

Each scale score has a SEM. The numbers in "between _a_ and _b_" are computed as $OVERALL_SCALESCORE \pm Overall_ScaleScoreSE$. If the value is below the minimum scale score or above the maximum scale score for a test, replace the number to the minimum or maximum value for that test, respectively. For example, if for Grade 4 Mathematics, you have a value "between 2190 and 2230", change it to "between 2204 and 2230".

$a = OVERALL_SCALESCORE - Overall_ScaleScoreSE$

$b = OVERALL_SCALESCORE + Overall_ScaleScoreSE$

Programmer: Round the values first and then compute the high and low scores:

$student_ela_scale_high_temp = ROUND(Overall_ScaleScore,1) + ROUND(Overall_ScaleScoreSE,1);$

$student_ela_scale_low_temp = ROUND(Overall_ScaleScore,1) - ROUND(Overall_ScaleScoreSE,1);$

$student_math_scale_high_temp = ROUND(Overall_ScaleScore,1) + ROUND(Overall_ScaleScoreSE,1);$

$student_math_scale_low_temp = ROUND(Overall_ScaleScore,1) - ROUND(Overall_ScaleScoreSE,1);$

Cut points are documented in the scoring specifications located here:

TBD

5.8.2 General Rules for Aggregating Scores

All aggregations are aggregated directly from the student level to the target aggregation level.

Aggregated statistics will be reported at the levels of school, complex area, and state.

5.8.3 Rounding Rules

The student's (total) ELA/L and Mathematics scale scores are reported as integers. The averages of ELA/L and Mathematics scale scores at the school, complex area, and state levels will be rounded to the nearest integer. Reported student's scores are rounded, while student's scores used for averages of aggregation levels are not.

All calculations are computed at the greatest level of precision available, and rounding is applied to the resulting aggregate figures.

5.9 Computation Rules

5.9.1 Means

The *means* computation rule computes the arithmetic average, including all eligible cases in the analysis. Eligible cases are records with valid scores.

5.9.2 Comparing the Student to Higher Aggregate Levels

Purpose: To compare a student’s scale scores in ELA/Literacy and Mathematics to the corresponding average scale scores for the following higher aggregate levels: school, complex area, and state.

Jennifer’s ELA/Literacy Score

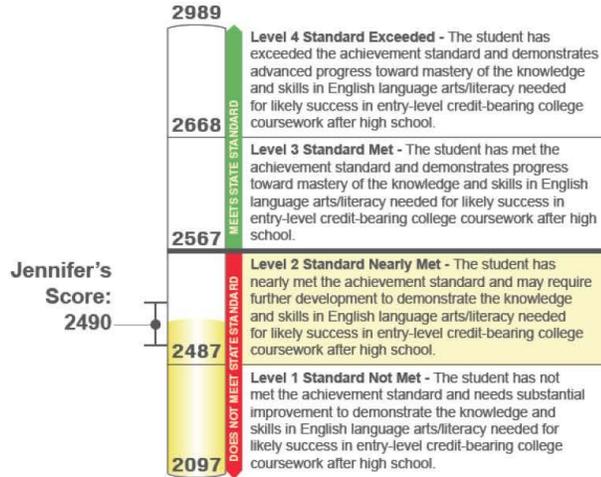
2490
Level 2
Standard Nearly Met

Jennifer’s ELA/Literacy score is 2490. This score is lower than the average score of eighth graders in her school, lower than that of eighth graders in her complex area, and lower than that of eighth graders statewide.

† A student’s test score can vary if the test is taken several times. If your child were tested again, it is likely that Jennifer would receive a score between 2462 and 2518.

How does this compare?

	Average Score
State Average	2651
Complex Area Average	2658
School Average	2605



A 68% confidence interval for the student’s scale scores will be calculated. The results of the comparison are determined as follows:

- When the average scale score for the higher level is strictly less than one standard error of the student’s scale score, the student’s scale score is considered higher than the average for the higher level.
- When the average scale score for the higher level is within one standard error of the student’s scale score, the student’s scale score is considered to be similar to the average for the higher level.
- When the average scale score for the higher level is strictly greater than one standard error of the student’s scale score, the student’s scale score is considered lower than the average for the higher level.

5.9.3 CmpTTest

Purpose: Statistical method for comparing the performance of a given school against data of a sample of similar units at the same aggregation level.

The CmpTTest rule applies a t-test based on the standard error of a simple random sample. The target unit (school or class) is treated as a fixed point, and the comparison schools are each treated as though they are comprised of a sample of students from a superpopulation.

An independent comparison is made to each unit in the comparison group, with no corrections being made for multiple comparisons. Differences will be noted when $p(|t| > 0) \leq 0.10$.

To avoid user confusion, numbers that round to the same number will be recorded as “no difference” and reported as “similar,” even if a statistically significant difference exists.

Computational Details: Suppose there are 1 to n schools. The purpose of the test is to rank school based on comparisons between this school and all the other schools in this group. Suppose school 1 is the target school, there will be $n-1$ comparisons between school 1 and school 2, school 1 and school 3, and so on.

For each of the comparison, the target school is treated as fixed, so the t-statistic is defined as:

$$T_{1i} = \frac{\hat{y}_1 - \hat{y}_i}{se(\hat{y}_i)}$$

where $i > 1$, $\hat{y}_i = \sum_{j=1}^{n_i} y_{ij} / n_i$, and $\hat{y}_1 = \sum_{j=1}^{n_1} y_{1j} / n_1$, n_i is the measure of size for school i . The standard

error of \hat{y}_i is $se(\hat{y}_i) = \sqrt{\frac{\sum_{j=1}^{n_i} (y_{ij} - \hat{y}_i)^2}{n_i(n_i - 1)}}$. The degree of freedom (df) of the above t-test is $n_i - 1$.

The comparisons will use the Bonfferoni adjustment to the alpha level, so if the number of comparisons being made is k , the alpha level becomes $\frac{\alpha}{k}$ and the critical level determined accordingly.

5.10 Suppression Rules

If there are fewer than 10 students tested in a school, the school scale score should be suppressed. The state and complex area scale scores should still display. The school comparison text will be suppressed (variable upxschoolcomp).

5.11 Report Serial Number

A serial number consisting of the school IRN followed by the report sequence number will be printed on the last page of the family report. The serial number serves to aid in quality-checking score report packages before they are sealed and shipped.

5.12 Selecting Students' School and District

Students' school and complex area should be selected from the final RTS extract that is generated on the date specified in the Key Dates table. This extract is based on the students' enrolled school and district on the last day (5:00 PM EST) of the Test Administration Window.

5.13 Processing Address File

School shipping addresses will be obtained from a [CONTRACTOR STUDENT DEMOGRAPHIC DATABASE] extract performed on [date TBD]. Schools enter information for both a “mailing” address and a “shipping” address in [CONTRACTOR STUDENT DEMOGRAPHIC DATABASE]. Each type of school address will be used for the purpose listed:

- Shipping Addresses: The shipping address data obtained from [CONTRACTOR STUDENT DEMOGRAPHIC DATABASE] on [date TBD] will be used as the shipping addresses for paper family report packages. All shipping addresses will be CASS certified.

5.14 Missing Information

5.14.1 ELA/Literacy or Mathematics Scores

5.14.1.1 Family Report

In instances where a student is missing a subject score, “No Data Available” will display in the subject scale score box beside the barrel chart and the section where the student’s performance on each claim would typically display. The text below the score box will read:

Please contact your child’s school for further information.

No aggregations will appear on the report for the subject that was not administered. If a student is missing score data for both ELA/L and Mathematics Smarter administrations, no report will be generated.

5.14.2 Student Name

If a student’s first and last names are missing, “No Name” will be placed in the student information header. If part of a student’s name is provided (first, last, and/or middle), all parts provided will be displayed in the header. Missing first names will result in “Your child,” “Your Child,” or “your child” being displayed, as appropriate, throughout the family report.

5.14.3 Student Gender

If a student’s gender is missing, gendered words throughout the family report will be neutralized:

- “His/Her” will be read as “his or her.”
- “Him/Her” will be read as “him or her.”
- “He/She” will be read as “he or she.”

5.15 Truncation Rules

The following truncation rules will be applied for paper ISR:

	Individual Student Report
Student First Name	All Characters for Header / 11 Characters for anywhere else
Student Last Name	All Characters for Header / 20 Characters on Cover Letter Salutation
School Name	All characters
Complex Area Name	All characters

NOTE: This truncation rule will be applied in VIPP programming.

6 Variable Text

6.1 Variable Text and Descriptions

All static text can be found on the final report mockups approved by HIDOE. Variable text is maintained by CONTRACTOR in the Item Tracking System (ITS). Variable text to appear in the reports includes:

1. **Achievement Level Descriptors “ALDs”** to accompany the barrel charts displaying scale scores.
2. **Claim Performance Descriptions** to appear below each claim.
3. **Next Steps** to appear next to Claim Performance Descriptions.

7 Client Sample

The sample score report files will be provided to HIDOE on **[date TBD]**. All pilot sample reports are from Kapaa-Kauai-Waimea Complex Area (971). HIDOE will inform CONTRACTOR of any possible problems identified during their QC. HIDOE sign-off is due on **[date TBD]**.

7.1 Delivery of Client Sample

Electronic score reports (PDFs) and the accompanying data files will be posted on an FTP site for retrieval by HIDOE.

FTP site URL:

The following electronic files will be provided:

- Family reports for schools (All schools within the selected complex area)

Electronic data files will be provided for all of the PDF reports. Family report data will be grouped into Excel files based on school. Electronic data files will include descriptions for each variable.

8 Score Report Printing and Distribution

All paper family reports will be delivered to the school principal separately.

8.1 Sort Order and Packaging

8.1.1 Family Reports

Schools will receive one copy of paper family reports for Grades 3-8 and 11 in one shipment on the Due in District Date. Within each envelope, paper reports will be sorted by grade, then by last name, and then by first name. The courtesy tested student will be sorted at the end of each grade. The school

envelopes will be sorted by school IDs, not alphabetically by school name. A memo will be included in each package describing the contents of the package.

See sort order and example below:

- ELA/L and Mathematics Grade 3
 - Doe, Jane
 - Doe, John
 - Smith, Jane
 - Smith, John
 - Chris, Jane – *Courtesy Tested Student (courtesytestedflag=1)*
- ELA/L and Mathematics Grade 4
- ELA/L and Mathematics Grade 5
- ELA/L and Mathematics Grade 6
- ELA/L and Mathematics Grade 7
- ELA/L and Mathematics Grade 8
- ELA/L and Mathematics Grade 11

NOTE 1: Because these reports are running on an iGen, we will split files within an area into chunks, cutting the file after completing the first grade after the 3,000th student record.

Example: School “999” has 7,000 students and grades 3, 4, 5 and 6. Grades 3 and 4 comprise the first 3500 records of the file. Grade 5 comprises 3,501-6,500. Grade 6 comprises records 6,501-END

Output files: u999f01.dbf (contains grades 3 and 4), u999f02.dbf (contains grade 5), u999f03.dbf (contains grade 6).

Packaging Instructions: A **RED** divider sheet will separate each student file. Each school’s worth of student reports will be packed into jiffies (cardboard envelopes), stacked so that the binding only ever faces one way (packager is *not* to turn reports upside down so as to fit more reports into a package). Each jiffy should be labeled “School ____, STUDENT REPORTS, x of y” (x being the envelope number, y being the total # of envelopes for students in that order). These envelopes are to be left *unsealed* until Score Reporting Lead gives permission to seal (unsealed envelopes can be QCed by CONTRACTOR on-site staff).

CONTRACTOR on-site staff will directly oversee the packaging of reports for courtesy tested students. These reports should be separated into their own jiffy by school, and clearly labeled “School ____”. This jiffy will then accompany the main jiffy/jiffies for other students in the box for that school.

8.2 Shipping Method

All packages will be shipped and tracked via UPS Ground [or similar].

8.3 On-Site Quality Control

CONTRACTOR representative will be present as an auditor at each print-site to manage quality control checks in place during printing and packaging and ensure the secure handling of reports materials and data. The CONTRACTOR representative will visually check paper family reports as they are printed. He/she will also ensure reports are packaged and labeled according to specifications.

Section F. STATE-SPECIFIC APPENDICES

The following appendices are available as PDF documents on [OSPI's contract website](#) and [Washington Electronic Business Solution \(WEBS\) Procurement website](#).

WA

Appendix WA-1: Science Assessment

Appendix WA-2: Alternate Assessment (WA-AIM)

Appendix WA-3: English Language Proficiency Assessment (ELPA21)

HI

Appendix HI-1: Science Assessment

Appendix HI-2: EOC Biology

Appendix HI-3: EOC Algebra 1 & 2

Appendix HI-4: Hawaii Authoring Program

USVI

Appendix USVI-1: Science Assessment

Appendix USVI-2: G9-10 ELA & Math Assessments

MT

Appendix MT-1: Science Assessment

Appendix MT-2: Science Alternate Assessment