Chapter 3. Test Security

CALIFORNIA
Assessment of Student Performance and Progress

CAASPP Online Test Administration Manual

2016–17 Administration

Smarter Balanced for English Language Arts/
  Literacy and Mathematics Summative Assessments
California Alternate Assessments for English
  Language Arts/Literacy, Mathematics, and
  Science
California Science Test

caaspp
California Assessment of
Student Performance and Progress

ETS
Measuring the Power of Learning.™

Security of the Test Environment

Additional Resources:

- *Security Incidents and Appeals Procedure Guide* Web document—
  http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016-17.pdf
- California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration and Incident Reporting System for Summative Assessments Web page—http://www.caaspp.org/stairs/
- CAASPP Manuals and Instructions Web page—http://www.caaspp.org/administration/instructions/

A secure online testing environment is a state in which a device is restricted from accessing prohibited computer applications (local or Internet-based), or copying and/or sharing test data. The purpose of this environment is to maintain test security and provide a stable testing experience for students across multiple platforms. The security of assessment instruments and the confidentiality of student information are vital to maintaining the validity, reliability, and fairness of the results.

All summative test items and test materials are secure and must be appropriately handled. Secure handling protects the integrity, validity, and confidentiality of assessment items, prompts, and student information. Any deviation in test administration must be reported as a test security incident to ensure the validity of the assessment results.

It is the responsibility of each person participating in the administration of the Smarter Balanced summative assessments to immediately report any violation or suspected violation of test security or confidentiality. The CAASPP test site coordinator is responsible for immediately reporting any security violation to the local educational agency (LEA) CAASPP coordinator.

In the case of a student cheating, the test administrator must stop the cheating; however, the student must be allowed to complete the remainder of the test. After testing, the test administrator must notify the CAASPP test site coordinator. **Do not call** the California Department of Education (CDE) or the California Technical Assistance Center (CalTAC) to report student cheating. The LEA CAASPP coordinator or CAASPP test site coordinator must, instead, file a report using the Security and Test Incident Reporting System (STAIRS) process.

Requirements

Note*:* Due to the nature of the CAAs for ELA, mathematics, and science, test examiners are permitted exposure to test questions and student responses. Additionally, in some cases, test examiners will enter student responses to ELA and mathematics assessments into the test delivery system as indicated by the student.

Table 5 describes security requirements for the test environment during various stages of testing. The test environment refers to all aspects of the testing situation while students are

testing and includes what a student can see, hear, or access (including access via technology).

Table 5. Requirements of the Test Environment

Requirement	Description
BEFORE TESTING	
Instructional materials removed or covered	Instructional materials **must be removed or covered, including but not limited to** information that might assist students in answering questions that is displayed on bulletin boards, chalkboards or dry-erase boards, or on charts (e.g., wall charts that contain literary definitions, maps, mathematics formulas, etc.).
Student seating	Students must be seated so there is enough space between them to minimize opportunities to look at each other's work—for example, students may be assigned staggered seating or be seated in every other chair or workstation position—or they should be provided with table-top partitions.
Signage	If helpful, place a "TESTING—DO NOT DISTURB" sign on the door or post signs in halls and entrances rerouting hallway traffic in order to promote optimum testing conditions. CAASPP test site coordinators or test administrators should post the "Unauthorized Electronic Devices May Not Be Used at Any Time During the Testing Session" signs so that they are clearly visible to all students. A master of this sign can be downloaded from the Manuals and Instructions Web page on the CAASPP Portal.
DURING TESTING	
Quiet environment	Provide a quiet environment void of talking or other distractions that might interfere with a student's ability to concentrate or might compromise the testing situation.
Student supervision	Students are actively supervised and are prohibited from access to unauthorized electronic devices that allow availability to outside information, communication among students, or photographing or copying test content. This includes any device with cellular, messaging, or wireless capabilities, but is not limited to cell phones, personal digital assistants (PDAs), iPods, cameras, and electronic translation devices.
Access to allowable resources only	Students must only have access to and use of those allowable resources identified by Smarter Balanced (see the subsection *Establishing Appropriate Testing Conditions* for examples) that are permitted for each specific test (or portion of a test).
Access to assessments	Unauthorized staff or other adults must not be in the room during testing. Only students who are testing can view items. Students who are not being tested must not have access to secure testing materials including test items. Based on the item type (i.e., performance tasks [PTs]), trained test administrators may also have limited exposure to items in the course of properly administering the assessments; however, even test administrators and other trained staff may not actively review or analyze any test items.

All Roles

Requirement	Description
Testing through secure browser	Administration of the Smarter Balanced assessments is permitted only through the student interface via a secure browser or a method of securing the student device.
DURING AND AFTER TESTING	
No access to responses	LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and other staff are not permitted to review student responses in the testing interface or students' notes on scratch paper.
No copies of test materials	Unless needed as a print-on-demand or braille accommodation, no copies of the test items, stimuli, reading passages, PT materials, or writing prompts may be made or otherwise retained.
No access to digital, electronic, or manual devices	No digital, electronic, or manual device may be used to record or retain test items, reading passages, or writing prompts. Similarly, these materials must not be discussed with or released to anyone via any media, including fax, e-mail, social media Web sites, etc.
No retaining, discussing, or releasing test materials	Descriptions of test items, stimuli, printed reading passages, or writing prompts must not be retained, discussed, or released to anyone.
No reviewing, discussing, or analyzing test materials	LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and other staff may not review, discuss, or analyze test items, stimuli, reading passages, or writing prompts at any time, including before, during, or after testing. Student interaction during a test is limited to what is necessary for the purpose of a PT or to respond during the California Alternate Assessment (CAA) for Science embedded PT.
All test materials must remain secure at all times	Printed materials from the print-on-demand accommodation, scratch paper, and documents with student information must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration.
No retaining of test "tickets" or any materials created to assist students with logging on to the summative assessments	All students' ID information must be collected at the end of each test session, stored securely, and then securely destroyed.
AFTER TESTING	
No test materials used for instructions	Test items, stimuli, reading passages, or writing prompts must not be used for instruction.
Destroy test materials securely	Printed test items/passages, including embossed braille printouts, scratch paper, notecards or paper that include student logon information, and printed *Directions for Administration* for the CAAs for English language arts/literacy (ELA) and mathematics and <mark>unused</mark> CAA for Science embedded PTs must be collected and inventoried and then immediately shredded upon a student's completion of the test. See the next subsection, *Handling Secure Printed Materials*, for details.

Test administrators, test examiners, and CAASPP test site coordinators or other individuals who have witnessed, been informed of, or suspect the possibility of a test security incident that could potentially affect the integrity of the assessments or the data should review the information in the subsections *Identifying Testing Improprieties, Irregularities, and Breaches* and *Appeals* (as necessary) of this manual; and then refer to the *Security Incidents and Appeals Procedure Guide* Web document for additional instructions. Note that only LEA CAASPP coordinators and CAASPP test site coordinators may file the *Security and Test Administration Incident Reporting System* form to report the incident and, if directed, an appeal.

All Roles

All Roles

Handling Secure Printed Materials

Secure Handling of Printed Materials

Using Print-on-Demand Materials

For those students whose individualized education program (IEP) or Section 504 plan expresses a need for a paper copy of **passages or items,** permission for the students to receive this accommodation must be requested by the local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinator at least one to two weeks prior to testing by contacting the California Technical Assistance Center (CalTAC).

Printing **individual test items** for students with this accommodation will require that the LEA CAASPP coordinator make a request to CalTAC to have the accommodation set for each student.

Print requests must be approved and processed by the test administrators and test examiners during test administration. The decision to allow students to use print on demand must be made on an individual student basis and is available only for students with an IEP or Section 504 plan. However, utilizing the print-on-demand functionality does not allow a printed version of the online test due to its adaptive nature. A very small percentage of students should need this accommodation. The use of this accommodation may result in the student needing additional time to complete the assessment. Only one item can be printed at a time.

Once a student is approved to receive the printing of test items/passages for Smarter Balanced assessments or the California Science Test (CAST), that student may send a print request to the test administrator during testing by selecting the print icon on the screen. For the California Alternate Assessments (CAAs) for English language arts/literacy (ELA) and mathematics, the test examiner may select this icon. This request needs to be made for each individual item.

Follow these guidelines when using the print-on-demand accommodation:

1. Before the test administrator or test examiner approves the student's request to print a test item/stimulus, the test administrator or test examiner must ensure that the printer is on and is monitored by staff who have been trained using the test administrator or test examiner training modules for the test.

2. Immediately after printing a print-on-demand request, the file should be securely deleted from the test administrator's or test examiner's device in such a way that the file does not remain in a temporary storage file where it can be undeleted. See the *Destroying Electronic Files* subsection on the next page for additional instructions.

3. The test administrator or test examiner must collect the previously printed item from the student after the next item's print request. Printed items must be securely stored and then securely destroyed after the test session.

Destroying Secure Printed Materials

Printed materials from the print-on-demand accommodation, *Directions for Administration (DFA)* of the CAAs for ELA and mathematics, and scratch paper must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration who have signed a *CAASPP Test Security Affidavit.* All test materials must remain secure at all times.

Printed test items/passages, including embossed braille printouts and scratch paper, must be collected and inventoried at the end of each test session and then immediately securely destroyed according to LEA and/or California policies or procedures.

CAA *DFAs* that were printed for test examiners after being downloaded from the password-protected Test Operations Management System must be kept in a securely locked room or locked cabinet when not in use. Once testing is completed, these must be immediately securely destroyed according to LEA and/or California policies and procedures.

CAA for Science embedded performance tasks (PTs) that were printed and student responses that were written down must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration who have signed a *CAASPP Test Security Affidavit.* Student responses must be kept for potential future requests from the California Department of Education.

Destroying Electronic Files

Immediately after printing a print-on-demand request, making a printed copy of the *DFA* for the CAAs for ELA and mathematics, or printing the CAA for Science embedded PTs, the file produced by the process should be securely deleted from the test administrator's or test examiner's device. It must be deleted in such a way that the file does not remain in a temporary storage location such as Windows' Recycle Bin, where it can be undeleted. Test administrators, test examiners, and CAASPP test site coordinators should use the school's or LEA's preferred method of secure file deletion.

While there are many ways to permanently delete a file, including using a "shredding" tool that might be part of a virus scanning tool, what follows are basic ways to remove a file from a Windows or Macintosh system:

- **Windows—**Hold the <Shift> key when deleting the file or empty the Recycle Bin after deleting.

- **Macintosh and Macintosh equivalent devices using OS X**—Press the <Command> + <Delete> keys with any file or folder selected to send a file to the Trash and then press the <Shift> + <Command> + <Delete> keys *or* open the Finder menu and then select "Secure Empty Trash" to immediately empty the Trash.

All Roles

Using and Securely Destroying Scratch Paper on Performance Tasks

Use:

- The only exception to the requirement governing the immediate destruction of printed materials and scratch paper is when students take notes and/or draft responses to ELA or Mathematics PTs.

- During the Smarter Balanced ELA PT, the notes on the embedded universal tool, Global Notes, are retained from Part 1 to Part 2 so that the student may return to the notes even though the student is not able to go back to specific items in Part 1. The embedded Global Notes is the preferred mode for note taking during the Smarter Balanced ELA PT.

- Students may also use scratch paper to make notes or develop draft responses. To maintain the security of scratch paper used for notes on the ELA or mathematics PTs, or CAST or CAA questions, test administrators or test examiners must direct students to write their names (or some appropriate identifying information) on their scratch paper, and then collect and inventory the scratch paper at the end of each test session, as well as upon completion of the test. The retention of scratch paper (including graph paper) is allowed for the PTs, the CAST, and CAAs.

- All scratch paper (including graph paper) must be securely stored in between test sessions and then securely destroyed immediately upon the student's completion of the test according to LEA and/or California policies or procedures. The only exception to the requirement governing the immediate destruction of printed materials and scratch paper is when students take notes and/or draft responses to Smarter Balanced ELA or mathematics PTs, or to CAST or CAA for ELA or mathematics questions or tests.

> **The retention of scratch paper is only allowed for the Smarter Balanced PTs, the CAST, and CAAs.** At the end of each test session, all scratch paper (including graph paper) must be collected, inventoried, and securely stored. All scratch paper must be securely destroyed immediately upon the student's completion of the test to maintain test security.

Identifying Testing Improprieties, Irregularities, and Breaches

Note: The processes described in this section are to be used to report incidents for the CAASPP online assessments only. See the *Paper-Pencil Testing Test Administration Manual* for the paper-pencil test being administered for what to do in the event of an incident that occurs during paper-pencil testing.

Test security incidents, such as improprieties, irregularities, and breaches, are behaviors prohibited either because they give a student an unfair advantage or because they compromise the secure administration of the assessments. Whether intentional or by accident, failure to comply with security and administration rules, either by staff or students, constitutes a test security incident. Improprieties, irregularities, and breaches need to be reported in accordance with the instructions in this section for each severity level.

Some incidents may require that an appeal be submitted to reset, re-open, restore (if a test had been reset in error), or invalidate a test. Local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators or CAASPP test site coordinators can make the determination by submitting the online *CAASPP Security and Test Administration Reporting System (STAIRS)* form. After you have entered the details of the incident, you will receive an e-mail that tells you what action you should take, either to have the LEA CAASPP coordinator or CAASPP test site coordinator fill out an appeal in the Test Operations Management System (TOMS) or by saving the e-mail reply for your records.

Impact and Definitions

Additional Resources:
- *Security Incidents and Appeals Procedure Guide* Web document— http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016-17.pdf
- CAASPP Security and Test Administration and Incident Reporting System (STAIRS) Process for Summative Assessments Web page— http://www.caaspp.org/stairs/

Definitions for test security incidents that can occur during administration of the summative assessments are provided in Table 6. Incidents should be logged using the STAIRS process.

Table 6. Definitions for Test Security Incidents

Type	Definition
Impropriety	An unusual circumstance that has a low impact on the individual or group of students who are testing, and has a low risk of potentially affecting student performance on the test or of impacting test security or test validity. These circumstances can be corrected and contained at the local level. An impropriety should be reported to the LEA CAASPP coordinator and CAASPP test site coordinator immediately. The coordinator will report the incident **within 24 hours,** using the online *CAASPP STAIRS* form; instructions for access are on the STAIRS Process Web page on the CAASPP portal at http://www.caaspp.org/stairs/.

Type	Definition
Irregularity	An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test or impact test security, or test validity. These circumstances can be corrected and contained at the local level and submitted in the online Appeals System for resolution. An irregularity must be reported to the LEA CAASPP coordinator and CAASPP test site coordinator immediately. The coordinator will report the irregularity **within 24 hours,** using the online *CAASPP STAIRS* form (instructions at http://www.caaspp.org/stairs/).
Breach	An event that poses a threat to the validity of the test. Examples may include such situations as a release of secure materials or a security/system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank. A breach incident must be reported to the LEA CAASPP coordinator immediately. The LEA CAASPP coordinator must **immediately** call the California Department of Education (CDE) at 916-445-8765 to report the breach; in addition, he or she must complete the online *CAASPP STAIRS* form **within 24 hours** (instructions at http://www.caaspp.org/stairs/).

It is important for test administrators and test examiners to ensure that the physical conditions in the testing room meet the criteria for a secure test environment. See the subsection *Requirements* for more detail.

Reporting Timelines and Activities

Improprieties must be escalated in accordance with state policies and procedures, protocols, and/or guidelines **within 24 hours of the incident** via the online *CAASPP STAIRS* form at http://www.caaspp.org/stairs/.

Irregularities must be escalated in accordance with state policies and procedures, protocols, and/or guidelines **within 24 hours of the incident** via the online *CAASPP STAIRS* form at http://www.caaspp.org/stairs/.

A **Breach requires immediate notification/escalation** to the CDE. The LEA CAASPP coordinator **must immediately telephone the CDE at 916-445-8765** and then submit a report **within 24 hours,** using the online *CAASPP STAIRS* form at http://www.caaspp.org/stairs/.

Using the Security and Test Administration Incident Reporting System

Additional Resources:

- *Security Incidents and Appeals Procedure Guide* Web document—http://www.caaspp.org/rsc/pdfs/CAASPP.stairs-appeals-guide.2016-17.pdf
- California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration Incident Reporting System (STAIRS) Applicable Testing Issues Chart Web document—http://www.caaspp.org/rsc/pdfs/CAASPP.STAIRS-issues.2016-17.pdf
- CAASPP STAIRS Process for Summative Assessments Web page—http://www.caaspp.org/stairs/

The online *CAASPP Security and Test Administration Incident Reporting System (STAIRS)* form, linked in the Test Operations Management System, is the starting point for local educational agency (LEA) CAASPP and CAASPP test site coordinators to report a test security incident or other testing issue that interferes with the administration and completion of the assessment.

Test security incidents, such as improprieties, irregularities, and breaches, are behaviors prohibited because they either give a student an unfair advantage or compromise the secure administration of the assessments. Whether intentional or unintentional, failure by staff or students to comply with security rules constitutes a test security incident.

LEA CAASPP coordinators and CAASPP test site coordinators must ensure that all test security incidents are documented by means of this form. After the form is submitted, an e-mail containing a case number and next steps will be sent to the submitter (and to the LEA CAASPP coordinator, if the form is submitted by the CAASPP test site coordinator) via e-mail. Ensure that communications generated by the e-mail address DONOTREPLY@cde.ca.gov are not automatically sent to a junk mail or spam folder.

The CDE will review your form to determine whether your testing issue requires additional action by the LEA.

Required Action Steps

The Test Security Required Action Steps depict the required actions for each test security incident in a process flow diagram format.

Impropriety

Unusual circumstance that has a low impact on the individual or group of students who are testing and has a low risk of potentially affecting student performance on the test or of impacting test security or test validity. (Example: Student[s] leaving the testing room without authorization, or related instructional materials were left on the walls in the testing room.)
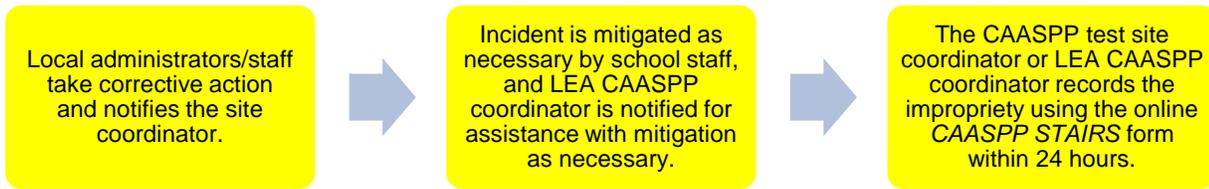
All Roles

Local administrators/staff take corrective action and notifies the site coordinator.	Incident is mitigated as necessary by school staff, and LEA CAASPP coordinator is notified for assistance with mitigation as necessary.	The CAASPP test site coordinator or LEA CAASPP coordinator records the impropriety using the online *CAASPP STAIRS* form within 24 hours.

Irregularity

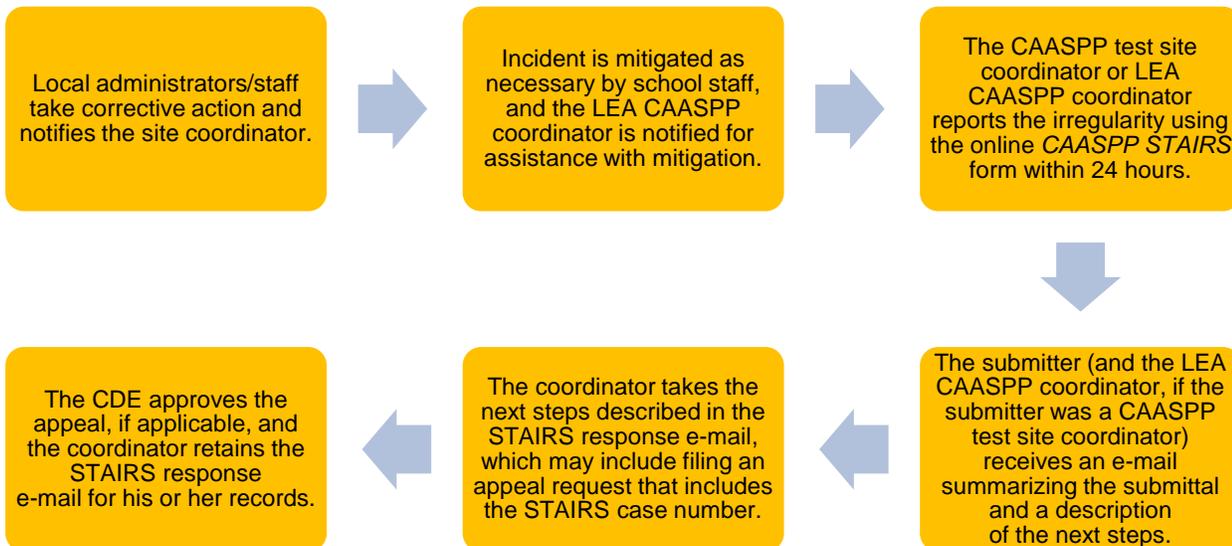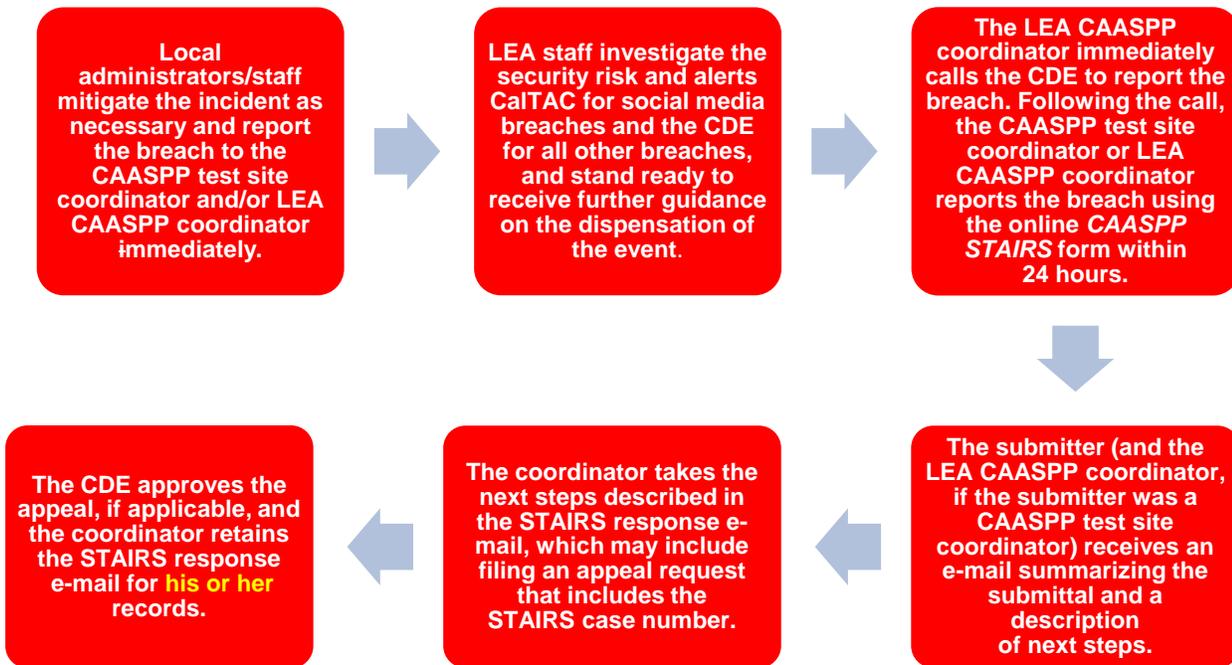*An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test or impact test security or test validity. These circumstances can be contained at the local level. (Example: Disruption during the test session such as a fire drill, or student(s) cheated or provided answers to each other.)*

Local administrators/staff take corrective action and notifies the site coordinator.	Incident is mitigated as necessary by school staff, and the LEA CAASPP coordinator is notified for assistance with mitigation.	The CAASPP test site coordinator or LEA CAASPP coordinator reports the irregularity using the online *CAASPP STAIRS* form within 24 hours.
The CDE approves the appeal, if applicable, and the coordinator retains the STAIRS response e-mail for his or her records.	The coordinator takes the next steps described in the STAIRS response e-mail, which may include filing an appeal request that includes the STAIRS case number.	The submitter (and the LEA CAASPP coordinator, if the submitter was a CAASPP test site coordinator) receives an e-mail summarizing the submittal and a description of the next steps.

Breach

A test administration event that poses a threat to the validity of the test. Breaches require **immediate** *attention and escalation to the CDE,* **via telephone.** *Following the call, the CAASPP test site coordinator or LEA CAASPP coordinator must report the breach using the online CAASPP STAIRS form within 24 hours.*

Examples may include such situations as exposure of secure materials or a repeatable security/system risk. These circumstances have external implications. (Example: Test administrators modifying student answers, or test items shared in social media.)

Local administrators/staff mitigate the incident as necessary and report the breach to the CAASPP test site coordinator and/or LEA CAASPP coordinator immediately.

→ LEA staff investigate the security risk and alerts CalTAC for social media breaches and the CDE for all other breaches, and stand ready to receive further guidance on the dispensation of the event.

→ The LEA CAASPP coordinator immediately calls the CDE to report the breach. Following the call, the CAASPP test site coordinator or LEA CAASPP coordinator reports the breach using the online *CAASPP STAIRS* form within 24 hours.

The CDE approves the appeal, if applicable, and the coordinator retains the STAIRS response e-mail for **his or her** records.

← The coordinator takes the next steps described in the STAIRS response e-mail, which may include filing an appeal request that includes the STAIRS case number.

← The submitter (and the LEA CAASPP coordinator, if the submitter was a CAASPP test site coordinator) receives an e-mail summarizing the submittal and a description of next steps.

All Roles

The *CAASPP STAIRS* Form

Notes*:*

- The *CAASPP STAIRS* form must to be used to report incidents that occur during the administration of the Smarter Balanced Summative Assessments, the California Alternate Assessments, and the California Science Test.
- Incidents that occur during the administration of the interim assessments are handled at the local level and should not be reported using the *CAASPP STAIRS* form.

The *CAASPP STAIRS* form is the means by which LEA CAASPP coordinators or CAASPP test site coordinators report test security incidents to the CDE and determine whether or not the incident warrants that an appeal be filed. (Note: In the event of a breach involving the Smarter Balanced Summative Assessments, the LEA CAASPP coordinator must **immediately** call the CDE at 916-445-8765 and then complete the online *CAASPP STAIRS* form **within 24 hours**.)

Report Incidents

The LEA CAASPP coordinator is responsible for notifying the CDE **within 24 hours**, via the STAIRS online form, of any incidents that occur before, during, or after summative testing. The CAASPP test site coordinator is responsible for immediately notifying the LEA CAASPP coordinator of any security breaches or testing irregularities that occur in the administration of the test.

The online *CAASPP STAIRS* form, which is available on the STAIRS Process for Summative Assessments Web page on the CAASPP Portal, must be used to provide the required information to the CDE when an irregularity is confirmed. The form includes the opportunity to

securely upload a spreadsheet containing Statewide Student Identifiers (SSIDs) of the students involved in the irregularity in cases involving 11 or more students. **Do not upload student names, only SSID numbers.**

The LEA CAASPP coordinator or CAASPP test site coordinator (with a copy sent to the LEA CAASPP coordinator) submitting the form will receive an e-mail that includes the details that were entered into the *STAIRS* form and instructions of the next steps to take (submit an appeal, file the e-mail, or wait to be contacted). These instructions will also be presented on the STAIRS form when the incident is submitted. **You cannot file an appeal in the Test Operations Management System (TOMS) without first submitting the *STAIRS* form because the case number included in the confirmation e-mail is necessary to complete the submission of an appeal.** A copy of the e-mail may be sent to the CDE for the following incident types:

- There was student cheating.
- There was a security breach (where either a student or an adult exposed secure materials).
- The live student testing interface or Test Administrator Interface was used for practice instead of the training or practice tests. (Accidental summative access)
- The test administrator provided the student with access to another student's work/responses. (Accidental SSID swap)

Coordinator Procedures

The CAASPP test site coordinator:

- Receives notification of an irregularity
- Reviews the information provided and verifies that an irregularity has occurred
- Contacts the LEA CAASPP coordinator and provides all pertinent information *or* fills out and submits the online *CAASPP STAIRS* form, if this is the procedure established for the LEA, if the incident has not been reported by the CAASPP test site coordinator, and if the incident is not a breach; instructions for access can be found at http://www.caaspp.org/stairs/

The LEA CAASPP coordinator:

- Receives notification of an irregularity from the CAASPP test site coordinator
- Reviews the information provided and verifies that the occurrence is an irregularity
- In the case of a breach, notifies the CDE within 24 hours of the incident
- Fills out and submits the online *CAASPP STAIRS* form, if this is the procedure established for the LEA; instructions for access can be found at http://www.caaspp.org/stairs/
- Responds to and assists the CDE and/or test security personnel as requested
- Keeps any documentation associated with the irregularity for one year

Form Actions

The *CAASPP STAIRS* form provides a series of prompts that will ultimately result in a recommended action for the LEA or test site coordinators. Examples of actions include "no action required" to "submit an appeal in TOMS" to "contact the CDE." The *Security Incidents and Appeals Procedure Guide* lists the incident types and the action to be taken.

Notes:

- If you are required to file an appeal in TOMS, you must include the STAIRS case number when you enter your information in TOMS.
- LEA CAASPP coordinators or CAASPP test site coordinators should report test security incidents for the Smarter Balanced paper-pencil assessments and/or the Standards-based Tests in Spanish to the CDE directly by phone at 916-445-8765.
- LEA CAASPP coordinators should contact the California Technical Assistance Center if the incident does not meet any of the criteria in the STAIRS Applicable Testing Issues Web document.

Warning: You **must** select the [**Complete Submission**] button on the *CDE Review Decision* screen, which is the final page of the *CAASPP STAIRS* form as well as the final step in the STAIRS process. Failure to select this button will result in an invalid STAIRS case number that cannot be used to submit an appeal.

Appeals

Notes*:*

- Appeals are filed for summative assessments only.
- A *CAASPP STAIRS* form must be submitted for the LEA CAASPP coordinator or CAASPP test site coordinator before an appeal can be filed.
- Do **not** file an appeal for an interim assessment; the Appeals System is for use with the summative assessments only.
- LEA CAASPP coordinators must contact the California Technical Assistance Center to make a request to restore a test that has been reset in error. **This type of request cannot be made in STAIRS.**

Process

For security incidents that result in a need to reset, re-open, or invalidate individual student summative assessments, **the request must be approved by the California Department of Education (CDE).** In most instances, an appeal will be submitted to address a test security breach or irregularity. *In some cases, an appeal may be submitted to address incidents that are not security related such as re-opening an assessment for a student who becomes ill and is unable to resume testing until after the assessment availability has expired. The LEA CAASPP coordinator or the CAASPP test site coordinator may submit appeals in the Test Operations Management System (TOMS).*

All Roles

LEA CAASPP coordinators or CAASPP test site coordinators should take the following steps to file an appeal. **Note that an appeal must be filed before the end of the selected testing window and with enough time to retest the student within the selected testing window.**

1. Document and submit an irregularity or test security incident for a summative assessment using the *CAASPP STAIRS* form; instructions for access can be found on the STAIRS Process for Summative Assessments Web page on the CAASPP Portal. You will be prompted for information.

2. Review the instructions on the *CDE Review Decision* screen before you select the [**Complete Decision**] button to complete the STAIRS process in the *CAASPP STAIRS* form; or read the e-mail you receive as a result of the submittal. If you are instructed to file an appeal in TOMS, you will receive instructions that include the necessary appeal type.

3. To file the appeal itself, access TOMS by visiting http://www.caaspp.org/ and selecting the [**Test Operations Management System (TOMS)**] button.

4. Follow the instructions in the *Security Incidents and Appeals Procedure Guide*. You must enter the case number you received in the e-mail when you request an appeal in TOMS.

5. The CDE will make a decision on the appeal within four business days of its receipt.