2019–2020 Test Administration

CAASPP Security Incidents and Appeals Procedure Guide

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
California Spanish Assessment

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Prepared by Educational Testing Service ®
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CAASPP Security Incidents and Appeals Procedure Guide

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<thead>
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<th>Definition</th>
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<tbody>
<tr>
<td>CAA</td>
<td>California Alternate Assessment</td>
</tr>
<tr>
<td>CAASPP</td>
<td>California Assessment of Student Performance and Progress</td>
</tr>
<tr>
<td>CalTAC</td>
<td>California Technical Assistance Center</td>
</tr>
<tr>
<td>CAST</td>
<td>California Science Test</td>
</tr>
<tr>
<td>CDE</td>
<td>California Department of Education</td>
</tr>
<tr>
<td>DEI</td>
<td>Data Entry Interface</td>
</tr>
<tr>
<td>ELA</td>
<td>English language arts/literacy</td>
</tr>
<tr>
<td>IEP</td>
<td>individualized education program</td>
</tr>
<tr>
<td>LEA</td>
<td>local educational agency</td>
</tr>
<tr>
<td>PT</td>
<td>performance task</td>
</tr>
<tr>
<td>SSID</td>
<td>Statewide Student Identifier</td>
</tr>
<tr>
<td>STAIRS</td>
<td>Security and Test Administration Incident Reporting System</td>
</tr>
<tr>
<td>TDS</td>
<td>Test Delivery System</td>
</tr>
<tr>
<td>TOMS</td>
<td>Test Operations Management System</td>
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</table>
Introduction
Introduction | Security Incidents and Appeals Procedure Guide Content

Security Incidents and Appeals Procedure Guide Content

What’s New for Reporting Incidents and Filing Appeals in 2019–2020

Delayed Appeal

The local educational agency (LEA) can choose to start a Security and Test Administration Incident Reporting System (STAIRS) case in the Test Operations Management System (TOMS) and save it in Draft status in TOMS for the following conditions:

- In the event of student cheating that does not involve electronic devices, if the LEA wants the student to complete the assessment
- In the event of an accidental administration of a summative assessment instead of the interim or a practice test and the student(s) needs a Re-open Appeal later because they will not be ready to finish the assessment before it expires

The LEA can return to TOMS at a later stage before the LEA’s testing window ends to submit the draft STAIRS case.

Re-open over Invalidate Appeal

STAIRS will not allow an LEA to submit a Re-open Appeal for a test assigned to a Statewide Student Identifier (SSID) that has an Invalidate Appeal submitted during the current test administration year.

Partial Withdrawal

The LEA can withdraw selective Appeals submitted for a STAIRS case at the SSID level. The partial withdrawal allows the LEA to remove only selective SSID(s) from that STAIRS case at the LEA’s discretion. The withdrawn appeals can be viewed under the [Search Appeals] action tab at the individual SSID level.

Partial Approval and Rejection

The California Department of Education (CDE) and California Technical Assistance Center (CalTAC) can approve or reject Appeals for selected SSID(s) for a single STAIRS case. The rejected or approved Appeals can be viewed by the individual SSID under the [Search Appeals] action tab.

CalTAC to Submit Restore from Reset Appeal

LEA California Assessment of Student Performance and Progress (CAASPP) coordinators should contact CalTAC at 800-955-2954 to submit an Appeal on behalf of the LEA to restore a test that was reset in error due to a mistakenly submitted Reset Appeal.
STAIRS Notification in MyTOMS at a Glance

The LEA coordinators are notified of the submission of STAIRS cases that are in Draft status for the LEA in the [Notifications] tab of the MyTOMS at a Glance page. The announcement also instructs the LEA about the submission of STAIRS cases before the LEA’s testing window ends. The To-Do List column of the MyTOMS at a Glance page also reminds the LEA CAASPP coordinators of the submission of STAIRS cases in Draft status.

Intended Audience of This Manual

The CAASPP Security and Test Administration Procedure Guide provides instructions to LEA CAASPP coordinators and CAASPP test site coordinators who will file reports of testing improprieties, irregularities, and breaches that were encountered during CAASPP test administration.

Document Conventions

Table 1 lists key symbols and typographical conventions used in this manual.

Table 1. Key Symbols and Document Conventions

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="icon" alt="Warning" /></td>
<td><strong>Warning</strong>: This symbol accompanies important information regarding actions that may cause fatal errors.</td>
</tr>
<tr>
<td><img src="icon" alt="Alert" /></td>
<td><strong>Alert</strong>: This symbol accompanies important information regarding a task that may cause minor errors.</td>
</tr>
<tr>
<td><img src="icon" alt="Note" /></td>
<td><strong>Note</strong>: This symbol accompanies additional information that may be of interest.</td>
</tr>
<tr>
<td><img src="icon" alt="Resources" /></td>
<td><strong>Resources</strong>: This symbol accompanies a list of URLs for web pages and or and web documents that provide additional information.</td>
</tr>
<tr>
<td><img src="icon" alt="Text" /></td>
<td>Text in brackets is used to indicate a link, tab, or button that is selectable.</td>
</tr>
</tbody>
</table>
This page is left blank intentionally.
Chapter 1. Test Security Incident Management
LEA CAASPP coordinators and CAASPP test site coordinators must ensure that all test security incidents are documented by means of the STAIRS/Appeals process. After the information is submitted, TOMS provides the means to file an Appeal. The submitter receives a confirmation email containing a case number; the LEA CAASPP coordinator is copied if the case is submitted by the CAASPP test site coordinator. Ensure that communications generated by the email address ca-assessments@ets.org are not automatically sent to a junk mail or spam folder.

Some incidents may require an Appeal to reset, restore, reopen, invalidate, or request a grace period extension for a test. The type of Appeal is determined and submitted when the STAIRS case is submitted.

After the user has entered the details of the incident, the system presents the next steps that must be taken in TOMS—either by having the LEA CAASPP coordinator or CAASPP test site coordinator fill out an Appeal request; saving the confirmation email for the records; and, in the case of breaches, by contacting the CDE by phone at 916-445-8765 (for breaches that are not the result of social media exposure), or contacting CalTAC by phone at 800-955-2954 (for breaches that are the result of social media exposure). Only LEA CAASPP coordinators may contact CalTAC; CAASPP test site coordinators should contact the LEA CAASPP coordinator in the event of a breach.

**Note:** LEA CAASPP coordinators contact CalTAC to make a request to restore a test that has been reset in error because of a mistakenly submitted Reset Appeal. This type of Appeal request is approved by CDE.
Types of Incidents to Report

Definitions

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 and administration rules constitutes a test security incident.

Table 2 describes the three levels of test security incidents for which a STAIRS case will be filed. Appendix A contains the Test Security and Incident Chart that lists the incident levels and includes examples of issues that are associated with the types.

Table 2. Definitions for Test Security Incidents

<table>
<thead>
<tr>
<th>Type</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Impropriety</td>
<td>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. Improprieties must be escalated in accordance with state policies and procedures, protocols, and guidelines <strong>within 24 hours of the incident</strong> using the STAIRS/Appeals process in TOMS.</td>
</tr>
<tr>
<td>Irregularity</td>
<td>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 or resolved through a STAIRS Appeal, if needed. Irregularities must be escalated in accordance with state policies and procedures, protocols, and guidelines <strong>within 24 hours of the incident</strong> via the online CAASPP STAIRS/Appeals process in TOMS.</td>
</tr>
</tbody>
</table>
Table 2 (continuation)

<table>
<thead>
<tr>
<th>Type</th>
<th>Definition</th>
</tr>
</thead>
</table>
| Breach | An event that poses a threat to the validity of the test. Examples may include the release of secure materials or a security or system risk. These circumstances have external implications for Smarter Balanced or ETS and the CDE and may result in a 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 report the breach by calling either CalTAC at 800-955-2954 if the breach is due to social media exposure on the part of a student or adult; or the CDE at 916-445-8765 for all other breaches. In addition, the coordinator must complete the online STAIRS/Appeals process in TOMS within 24 hours. |

**Reporting Timelines and Activities**

**Applicable Tests**

Please note that STAIRS is for the 2019–2020 summative assessments only. Test incident levels can apply to any test administered in the CAASPP System whether they are computer-based or paper-pencil tests. However, not all types of issues can be applied to all tests. For example, the incident type “Student(s) left the test room without authorization or disrupted the testing session” is an impropriety that can occur during any test. However, the incident type “The summative assessment was administered unintentionally, instead of the interim or practice test” is a breach associated with only the online assessments.

Use the CAASPP STAIRS/Appeals process to report incidents involving any summative test, including the Smarter Balanced paper-pencil tests.
Required Action Steps

The Test Security Required Action Steps depict the required actions for each test security incident in a process flow diagram format. The following subsections describe the security incident types and provide the process flow diagrams for each.

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. (Example: Student(s) making distracting gestures or sounds or talking during the test session that creates a disruption in the test session for other students, or student(s) left the test room without authorization.)

The process flow diagram for improprieties is presented in Figure 1.

Figure 1. Impropriety process flow diagram
**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.)

The process flow diagram for irregularities is presented in **Figure 2**.

![Figure 2. Irregularity process flow diagram](image)
Breach

A test administration event that poses a threat to the validity of the test. Breaches require **immediate** attention and escalation via telephone—if the breach is due to social media exposure on the part of a student or adult, the LEA CAASPP coordinator contacts CalTAC; for all other breaches, the LEA CAASPP coordinator must contact the CDE. Following the call, the CAASPP test site coordinator or LEA CAASPP coordinator must report the breach using the STAIRS/Appeals process within 24 hours.

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

The process flow diagram for breaches is presented in Figure 3.

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**Figure 3. Breach process flow diagram**
Commonly Reported Security Issues and How to Avoid Them

LEA CAASPP coordinators should work with CAASPP test site coordinators and other LEA staff to reduce the chances that student testing will be interrupted or delayed were a testing incident to occur.

- Verify that student test settings are correct in TOMS and in the Test Administrator Interface. Incorrect settings mean that the student’s testing will be interrupted or delayed while the STAIRS case is submitted and the Reset Appeal is requested.

- Set up an appropriate schedule with testing times that ensure all students can test in a timely manner. LEAs are encouraged to schedule all testing, including makeups, either before or after the spring break, if possible, so the test will not expire during the break. This will avoid the need to submit the STAIRS case and ask for a Re-open Appeal.

- Limit requesting a Restore Appeal only to those cases where a test has been inadvertently or improperly reset. Note that this type of Appeal cannot be applied in cases where a test has been reset in error and opened again by the student.

- Limit requesting a Grace Period Extension Appeal to situations where a technical issue beyond the control of the test administrator has occurred that resulted in the expiration of the 20-minute pause rule for the computer-adaptive test. A grace period extension will only be granted in cases where there was a disruption to a test session, such as a technical difficulty, fire drill, schoolwide power outage, earthquake, or other act beyond the control of the test administrator. A grace period extension cannot be granted for situations where the pause rule expired due to student breaks, such as recess- or lunch-related issues that lasted for more than 20 minutes. Note that for a performance task (PT), having the test administrator open a new testing session may be all that is needed to continue testing.
Chapter 2. The STAIRS/Appeals Process
About the STAIRS/Appeals Process

Resources in This Section


Note: Incidents that occur during the administration of the interim assessments are handled at the local level and should not be reported using the STAIRS/Appeals process.

Alert:

In the event of a breach involving the CAASPP Smarter Balanced, California Alternate Assessments (CAAs), the California Science Test (CAST), and the California Spanish Assessment, the breach incident must be reported to the LEA CAASPP coordinator immediately. The LEA CAASPP coordinator must immediately report the breach by calling either CalTAC at 800-955-2954 if the breach is due to social media exposure on the part of a student or adult; or the CDE at 916-445-8765 for all other breaches. In addition, the coordinator must complete and submit a CAASPP STAIRS/Appeals case in TOMS within 24 hours (instructions on the STAIRS Process for Summative Assessments web page).

Grade, Alternate Assessment, Domain Exemption, Individualized Education Program (IEP), and Primary Disability fields are locked on the first testing event for the student between ELPAC or CAASPP assessments, whichever is first. Please contact CALTAC by phone at 800-955-2954 to unlock these fields and all the fields for the domain(s) tested on paper by the student. If the student tested in all domains or content areas in the ELPAC and CAASPP assessments, the LEA needs to submit STAIRS cases for all the testing opportunities.

Purpose

LEA and test site coordinators must use the online CAASPP STAIRS/Appeals process in TOMS to report a test security incident or other testing issue that interferes with the administration and completion of the summative assessments and then submit an Appeal to reset, restore, reopen, or invalidate a test. The STAIRS/Appeals process is the means by which LEA CAASPP coordinators and CAASPP test site coordinators report and resolve CAASPP summative testing incidents. Coordinators report by means of the CAASPP STAIRS/Appeals process. Sometimes, the issue is resolved by an Appeal to reset, restore,
reopen, invalidate, or grant a grace period extension to a student’s test. Refer to appendix C for a flowchart that maps the STAIRS process.

The CDE will review the submitted STAIRS case to determine whether the testing issue requires additional action by the LEA.

**Use**

| Caution: Coordinators cannot file an Appeal without first submitting a CAASPP STAIRS case online. |

The online CAASPP STAIRS/Appeals submission screen, which is available to coordinators through TOMS, must be used to provide the required information to the CDE or CalTAC when an incident is confirmed. The screen includes the opportunity to manually enter or securely upload a spreadsheet containing the SSIDs of the students involved in the irregularity. **Do not include 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 STAIRS case will receive an email that includes details about the submittal.

**Coordinator Procedures**

**CAASPP Test Site Coordinator Responsibilities**

- Receives notification of an incident
- Reviews the information provided and verifies that an incident has occurred
- Contacts the LEA CAASPP coordinator and provides all pertinent information or fills out and submits the online CAASPP STAIRS/Appeals case, 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

**LEA CAASPP Coordinator Responsibilities**

- Receives notification of an incident from the CAASPP test site coordinator
- Reviews the information provided and verifies that the occurrence is a reportable incident
- In the case of a breach, immediately notifies CalTAC for social media breaches and the CDE for all other breaches
- Reports the incident using the STAIRS/Appeals process
- Responds to and assists the CDE and test security personnel as requested
- Keeps any documentation associated with the incident for one year
When Not to Report in STAIRS

There is no need to report an incident using the CAASPP STAIRS/Appeals process under the following circumstances:

- If student logon information is lost or misplaced, do not report; this is a breach of a student’s personally identifiable information that should be addressed at the local level.

- With the exception of the CAAs for ELA, mathematics, and science, the system does not allow students to skip questions or submit a segment where any questions have not been answered. There is no reason to file a report if the coordinator thinks that a question was not answered—this scenario has been thoroughly tested and no evidence has ever been found that this happens.

- If a student in grade ten or eleven has already started testing in any content area and the student is not required to take the science test this year after all, do not administer the test and do not file a report.

- If during a session, a student used an electronic device after testing was completed, do not report. However, if the student was actively engaged in a testing session or the student completed testing but the LEA can verify that the device was being used to help other students that were engaged in the testing session, then report.

- If an English learner enrolled in a U.S. school less than 12 months as of April 15, 2019, and accidentally took the English language arts/literacy (ELA) assessment, do not report, as this student’s score will not be used for accountability purposes.

- If an SSID has an existing Invalidate Appeal, the system does not allow a test to be reopened.
Submit the Information Requested on the STAIRS/Appeals Screen

Additional Resources in This Section:
- CAASPP Forms web page—http://www.caaspp.org/administration/forms/

Required Information
The STAIRS/Appeals process in TOMS requires the following information from coordinators:
- Date of the incident
- School name
- Grade affected
- Test name and type (for example, the Smarter Balanced mathematics PT or the CAST)
- Test Delivery Mode (for example, if the Smarter Balanced for Mathematics PT or the CAST was an online or a paper-pencil test)
- The type of testing issue; incident types are listed in appendix D, which includes the details required by the STAIRS case
- Total number of students involved in this incident
- SSID(s) for the involved student(s)
  - The spreadsheet template in which the SSIDs are to be loaded is linked on both the STAIRS/Appeals information in TOMS and the CAASPP STAIRS/Appeals web page.
  - Coordinators will be prompted during the STAIRS/Appeals process when SSIDs must be entered or uploaded.
The STAIRS/Appeals Process
Submit the Information Requested on the STAIRS/Appeals Screen

- Not all incident reports require that coordinators upload SSIDs. Examples include the following types:
  - Administration errors
  - Disruption or Technical Issue—If submitted for a CAA for Science item that is a PT
  - Exposure of secure materials—When an adult is the source of breach.
  - Student Cheating or Accessing Unauthorized Devices—When the LEA wants to submit a Re-open Appeal after the student completes the assessment.
  - Student disruption

- A brief description of the incident—required (The description should contain additional information about the case and not just restate the testing issue selected on the previous screen[s].)

- SSID swap information if the incident type involved SSIDs that were used incorrectly during testing

Cautions When Using the STAIRS/Appeals Process

Note the following about using the STAIRS/Appeals process to report testing incidents:

- Coordinators can only identify one test per submittal. Coordinators must file a separate STAIRS case using the STAIRS/Appeals process for each test. Incidents cannot be combined.

- Coordinators can only identify one grade level per submittal. Coordinators must file a separate STAIRS case for each grade, even if there were multiple grades associated with an incident.

- Mandatory fields are marked with an asterisk (*).

- Coordinators must select the [SUBMIT] button to finish the process. If an Appeal can be filed, it can be selected by checking a box before selecting this button.

- Check with the email administrator that the email address ca-assessments@ets.org is whitelisted and that emails can be received from this address. STAIRS email confirmations should be received within two hours of submittal.

- Refer to appendix B of the Technical Specifications and Configuration Guide for CAASPP Online Testing for a complete list of URLs that should be whitelisted by the network’s firewalls.
Steps for Submitting an Incident

**Note:** Coordinators should select the Completion Status Report (from the [Reports] navigation tab) in TOMS to run a report of student testing status(es). This will help ensure the right incident type can be submitted and the appropriate Appeal can be requested. The report is available in TOMS at LEA level, and at site level.

Access the STAIRS/Appeals Screen in TOMS.

1. Use an internet browser to go to the CAASPP website and select the [Test Operations Management System (TOMS)] button, shown in Figure 4, to access the TOMS Logon screen to open TOMS.

Figure 4. Buttons on CAASPP.org

2. After TOMS has opened, select the [STAIRS] navigation tab—indicated in Figure 5—in the top navigation bar to open the NEW STAIRS screen. Follow the online prompts to complete the steps to submit the STAIRS case.

**Notes:**

- All fields on the New STAIRS screen are required.
- To save the New STAIRS data without submitting it, select the [SAVE AS DRAFT] button. Once the [SAVE AS DRAFT] button is selected, the user shall be directed to the [Search STAIRS] action tab in the STAIRS module in TOMS. Drafts can be searched using the drop-down for STAIRS Status box provided in the Search STAIRS page.
- Coordinators can see notifications regarding STAIRS cases in Draft status in the [Notifications] tab of the MyTOMS at a Glance page. Coordinators can view draft STAIRS cases on the [Search STAIRS] action tab by selecting Draft in the STAIRS Status drop-down list.
- LEA CAASPP coordinators can view STAIRS messages in the To-Do List column of the MyTOMS at a Glance page, such as notices about STAIRS case(s) in
Draft status, and receive notifications when nearing the close of the LEA’s testing window.

- Coordinators should ensure that all STAIRS cases in Draft status are submitted before the school’s testing window ends.

Figure 5 shows the STAIRS/Appeals screen.
Step 1. Select background information.

1. Select the [School] link on the New STAIRS screen and type at least five characters of a school name (including spaces) or the county/district/school code for the school in the search field.

2. Enter a date in the Date of Testing Incident field by either typing the date in the field using the MM/DD/YYYY format or by selecting the [View Calendar] calendar icon and then selecting a date.

3. Select a grade in the Grade Affected drop-down list. Options are grade three through grade twelve for summative tests for CAASPP.

   **Note:** Submit a separate STAIRS report for each grade affected by an incident.

4. Select an assessment from the Test Name, Type/Domain, and Test Delivery Mode drop-down lists; the list populates only with those assessments available at the grade level selected. Possible options are as follows:

   - Smarter Balanced ELA—Non-Performance Task Online
   - Smarter Balanced ELA—Performance Task Online
   - Smarter Balanced ELA—Special Version/Emergency Form Paper-Pencil
   - Smarter Balanced MATH—Non-Performance Task Online
   - Smarter Balanced MATH—Performance Task Online
   - Smarter Balanced MATH—Special Version/Emergency Form Paper-Pencil
   - CAA ELA Online
   - CAA Math Online
   - CAA for Science Earth & Space Sciences Online
   - CAA for Science Life Sciences Online
   - CAA for Science Physical Sciences Online
   - CAA for Science Physical Sciences B Online
   - CAST Science Online
   - CAST Special Version/Emergency Form Paper-Pencil
   - CSA Spanish Online

5. Select [NEXT] to continue or [CLEAR] to clear all data from this page.
Step 2. Select a testing issue.

6. Select the radio button in the “STAIRS ID” section that is associated with the test issue being reported. The [NEXT] button that is used to move to the next page will be enabled only after a testing issue is selected. This is shown in Figure 6.

Figure 6. Step 2 on the STAIRS/Appeals screen
7. When a testing issue is selected, a list of radio buttons with follow-up questions related to the testing issue appears; this is shown in Figure 7. Select one of the options from each group of buttons. Selections are required. A full list of incident types and options can be found in appendix D.

8. Select the [NEXT] button to continue to step 3, the [PREVIOUS] button to clear the information from the page and return to the previous section of the screen, or [CLEAR] to clear all data from this section.
Step 3. Enter information about the affected student(s).

9. Enter the number of students affected in the *Total number of students involved* field. This is indicated in Figure 8.

Figure 8. Step 3 on the STAIRS/Appeals screen
10. Enter the SSID(s) for each student involved in the incident. Select either the Screen Input or the Upload option to provide the details using the drop-down under [SSID(s)].

   a. The Screen Input option is only available for incidents involving 10 or fewer students. Enter the number of students involved and enter the SSID(s) in the field(s) provided. The correct number of onscreen fields appear only if the number of students entered in the Total number of students involved field is 10 or fewer.

      i. Select [NEXT] to validate the SSIDs entered and continue.

      ii. If the SSID numbers are not associated with the user’s LEA or school, an error message, such as “This SSID is invalid” will appear. Review the SSID(s) entered and update if an error occurs.

      iii. To enable the [NEXT] button, provide a brief description of the testing incident and any remediation efforts made that is to be reported in the Further Description of Testing Issue field. Do not include staff or student names. The description should contain additional information about the case and not just restate the testing issue selected on the previous screen(s).

   b. The upload option can be used to enter any number of SSIDs. However, when the number affected students is 11 or more, the only option to enter the SSIDs is to use the template.

      i. Enter the numeric value between 1 and 500 in the Total Number of Students Involved field.

      ii. To enable the [NEXT] button, provide a brief description of the testing incident and any remediation efforts made that is to be reported in the Further Description of Testing Issue field. Do not include staff or student names. The description should contain additional information about the case and not just restate the testing issue selected on the previous screen(s).

      iii. Select the [DOWNLOAD TEMPLATE] button to download the Excel template. Save the template locally.

      iv. Enter the student SSIDs in the Excel file using the specifications included in the template’s [File Specification] tab.

      v. Save the file as an .xlsx file using the File > Save As option in Excel.

      vi. To upload and validate the file, select the [Browse] (Internet Explorer or Firefox) or [Choose File] (Chrome) button in the “Prepare a File” section.

      vii. After the file has uploaded, select the [NEXT] button to validate the file. If there are errors in the file, a message box describing the error will appear. Select [CLOSE], fix the the errors, and upload again.

11. Select the [NEXT] button to continue to step 4 Confirm Details page or use the [PREVIOUS] button to return to the previous page, or [CLEAR] to clear all data from this page.

12. Review the information displayed in the “STAIRS Submission Information” section of the New STAIRS screen; this is displayed in Figure 9.

![Figure 9. STAIRS Submission Information screen](image-url)
13. If the phone number associated with this submission needs to be changed, it may be changed in the Phone Number field. Doing so does not affect the phone number associated with the organization in TOMS.

14. Use the [PREVIOUS] button to correct information about the submission or the [NEXT] button to continue to the next step.

Step 5. File an Appeal (If Prompted)

**Note:** One reason a STAIRS case may not be eligible for an Appeal is because an incorrect incident type was selected—for example, it is not possible to reopen an assessment that is yet to expire and is in the paused status. To ensure that the right incident type is being submitted, and the case is eligible for the appropriate Appeal, from the [Reports] navigation tab select the Completion Status Report to run a report of student testing status(es). The report can be downloaded at the LEA level, and at school level.

TOMS will immediately prompt the filing of an Appeal if that is the appropriate action. If that is not the required action, the next step is Step 6.
15. Check the box in the Select column to submit the Appeal (Figure 10).

![Figure 10. Select a case for appeal](image)

16. Enter comments in the text field. The maximum number of characters allowed is 1,000.
Step 6. Submit the STAIRS Case

17. Select the [SUBMIT] button.

18. Select the [YES, SUBMIT] button on the confirmation message to make the final submission. To review the STAIRS case before making the final submission, select the [CANCEL] button on the confirmation message.

19. Coordinators will receive an email from ca-assessments@ets.org that summarizes the STAIRS case.
Search Incidents and Check Statuses

The search function can be used to check a STAIRS case, which could be in any of the following statuses:

- Draft
- Pending CDE Approval
- Pending CalTAC Approval
- Partial CDE Approval
- Partial CalTAC Approval
- Completed

Coordinators can find students through the Search for Incidents screen, where it is possible to view and edit the STAIRS and appeals information, as well as to communicate with the CDE or CalTAC about the case using the Notes function.

1. Select the [STAIRS] navigation tab on the top navigation bar (Figure 11).

![Figure 11. Search for Incidents screen](image-url)
2. Select the [Search STAIRS] action tab on the navigation bar in the [STAIRS] navigation tab (Figure 11).

3. Enter details about the student in the search fields in the “Search for Incidents” section (shown in Figure 11). Enter information for one or more of the fields described in Table 3. If the user enters information only in the Organization field, the search will return a list of all students in the organization for whom a STAIRS case has been started or submitted.

Table 3. Search for Incidents Fields

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
</table>
| Organization        | a. To pull up all students in an associated organization, do not specify any search criteria.  
|                     | b. To view students from a particular school, type at least five characters of the school’s name (including spaces) or County-District-School code to get selectable values. |
| SSID                | Enter a single SSID.                                                        |
| STAIRS ID           | Enter the STAIRS case number.                                               |
| Grade               | Enter the grade for all students for whom a STAIRS case has been started or submitted. |
| Test Name and Type  | Select a test type from the drop-down list. If no grade is selected, all tests are listed. If a grade is selected, only those assessments available in that grade are listed. |
| STAIRS Status       | Select a STAIRS status from the drop-down list. Statuses are as follows:  
|                     | • Draft  
|                     | • Pending CDE Approval (Refers to when the CDE has yet to approve or reject at least one SSID associated with a STAIRS case)  
|                     | • Pending CalTAC Approval (Refers to when CalTAC has yet to approve, reject, or withdraw at least one SSID associated with a STAIRS case)  
|                     | • Partial CDE Approval (Refers to cases in which the CDE has approved or rejected some, but not all, of the Appeals within a STAIRS case)  
|                     | • Partial CalTAC Approval (Refers to cases in which CalTAC has approved, rejected, or withdrawn some, but not all, of the Appeals within a STAIRS case)  
|                     | • Completed (Refers to cases where all Appeals for all the SSID(s) included in a STAIRS case were processed by CalTAC or the CDE, or the STAIRS case required no Appeals.) |
The STAIRS/Appeals Process | Search Incidents and Check Statuses

Table 3 (continuation)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submitted Date Range</td>
<td>View all STAIRS cases with all statuses for a desired duration during the test administration year. These STAIRS cases can be viewed by providing a date range using the Submitted Date (From) and Submitted Date (To) boxes.</td>
</tr>
<tr>
<td>Testing Issue</td>
<td>Select a testing issue. These are the issues that are listed on the Step 2 screen and listed in appendix D.</td>
</tr>
<tr>
<td>Appeal Type</td>
<td>Select from the drop-down list to view all STAIRS cases submitted for that Appeal. This will be explained further in chapter 3.</td>
</tr>
</tbody>
</table>

4. Select the [SEARCH] button—indicated in Figure 11—to conclude the search or the [CLEAR] button to clear all information from the screen’s fields.
View a STAIRS Case

The search will yield a list of entries that meet the criteria entered; a sample of results is shown in Figure 12.

Figure 12. STAIRS search results
Select a [View] magnifying glass [ ] icon in the Actions column shown in Figure 12 to access the STAIRS Summary screen for a STAIRS case (Figure 13).

![STAIRS Summary screen](image-url)

Figure 13. STAIRS Summary screen
Withdraw a Case

If the STAIRS case is still pending approval from CalTAC or the CDE, it is possible to withdraw (cancel) the case.

Take the following steps to withdraw a STAIRS case:

1. Search for a STAIRS case.
2. Select a [View] magnifying glass icon in the Actions column shown in Figure 12 to access the STAIRS Summary screen.

![STAIRS Summary Screen](image)

Figure 14. **STAIRS Summary** with the [WITHDRAW] button
3. If the case is pending approval, there is an additional table at the bottom of the screen, the *STAIRS Details* table, shown in Figure 14. This table has the following columns:

- Statewide Student Identifier
- Test Name
- Status
- Test ID
- Result ID
- Total Response
- Grade
- Test Type/Domain
- Test State
- Test Start Date
- Session ID

4. Select the [WITHDRAW] button to withdraw this submission or [CLOSE] to return to the *Search for Incidents* screen.

5. If a selective or partial withdrawal is needed, select the check box of the respective SSID(s) under [STAIRS Details].

6. Selecting the [WITHDRAW] button confirms that those SSID(s) will not be part of the STAIRS case submitted and any Appeal associated to those SSID(s) and resulting from the submitted STAIRS case will not be processed.

7. If [WITHDRAW] is selected, the user will receive an email confirming the withdrawal.

8. Coordinators must enter the details of the incident to resubmit the case once it has been withdrawn.
Communicate with the CDE About a Case

Coordinators can communicate with the CDE about a STAIRS case involving any kind of Appeal using the Notes feature, which permits secure communication with the CDE about a STAIRS case.

Note: CalTAC, has and the CDE have access to read these communications.

The Notes feature allows users to communicate securely.

Take the following steps to submit a Note or to read notes and responses associated with a STAIRS case:

1. Search and open a case, following the steps in the Search Students and Check Statuses section.

2. Select the [Notes] tab, indicated in Figure 15. A numeric value in parentheses indicates the total number of comments added in the Comments field.

3. Enter the comments or questions in the text field.

4. Select the [ADD NOTES] button to post the Note, thereby submitting it to the CDE or CalTAC; or select [CLEAR] to delete all the text that was entered.

Coordinators will be notified via email when there is a reply to the comment.
About the Appeals Process

Resources in This Section


Appeals are filed by the LEA CAASPP coordinator or the CAASPP test site coordinator if directed to during the STAIRS/Appeals process in TOMS.

For security incidents that result in a need to invalidate individual student summative assessments or to grant a grace period extension, the request must be approved by the CDE. In the event of restoring a test that was inadvertently or inappropriately reset because a reset was wrongly requested in a test Appeal request, the LEA CAASPP coordinator must contact CalTAC to submit a STAIRS case on behalf of the LEA. A Restore Appeal must be approved by the CDE. Note that it is not possible to restore an invalidated test.

In most instances, an Appeal must be submitted to address a test security breach or irregularity. In some cases, an Appeal must 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 the student’s summative test(s) has expired or for a student who accidentally submitted a test prior to completion.

Cautions About Filing an Appeal

Note the following about when to file the Appeal:

- If the incident type is student cheating that does not involve electronic devices, the LEA should start a STAIRS case by selecting the testing issue for “Student cheating or accessing unauthorized devices” and, as result of the follow-up questions, select the option that the LEA wants the student to complete the assessment. Because a student cannot finish a test that has been invalidated, the LEA may delay submitting the Appeal and save the STAIRS case in Draft mode. Wait until the student has completed testing before finalizing and submitting the Appeal for invalidation. Invalidated summative tests will be scored, and scores will be provided on the Student Score Report with a note that an irregularity occurred. The student(s) will be counted as participating in the calculation of the school’s participation rate for accountability purposes.
 Appeals | About the Appeals Process

- When requesting that a student’s test be reopened, submit the request through the New STAIRS Submit screen and the subsequent Appeal with sufficient time for the student to complete testing since the test will be available for no more than 10 calendar days.

- Any Appeal that results in a student’s continued testing must be filed with sufficient time for the student to complete testing before the end of the LEA’s selected testing window.

- LEA coordinators shall be notified if any STAIRS case is in Draft status. The message will appear in the [Notifications] tab on the LEA’s home page in TOMS.

- LEA CAASPP coordinators can also see a message in the To-Do List when a STAIRS case is in Draft status.

- The messages in the To-Do List and in the [Notifications] tab also remind the LEA about the submission of STAIRS cases in Draft status before the LEA’s testing window ends.

When to File an Appeal

**Warnings:**

- An Appeal must be filed before the end of the selected testing window. Once the selected testing window closes, students cannot resume testing.

- The Appeal may delay the student’s receipt of a Student Score Report that is accurate and final.

LEA CAASPP coordinators or CAASPP test site coordinators should take the following steps to file an Appeal:

1. Document and submit a test security incident for a summative assessment using the STAIRS/Appeals process in TOMS. Users will be prompted for information.

2. If the case is eligible for an Appeal, the system will prompt the user to file an Appeal. If the case is not eligible for an Appeal, the system will notify the user. For guidance on timing the filing of an Appeal, refer to the subsection Cautions When Using the STAIRS/Appeals Process.

3. The Appeal will be processed within four business days of its receipt; coordinators will receive a notification from TOMS when a decision has been made.
Postdecision Actions

If the Appeal is denied for an administrative reason—for example, because the wrong type of Appeal was filed (e.g., to reset instead of reopen)—the coordinator may refile.

If the Appeal is approved, note the following about the actions that can be taken:

- If the case required a **Re-open** Appeal, the student(s) may resume testing. Expired tests will resume at the last unanswered item on the test, which could, in some cases, be different than where the student left off (if the student went back to review prior items, for example).

- If the case required a **Reset** Appeal, the test has been removed from the system and the student(s) will start a new test from the beginning. Please ensure that the test assignment and test settings are accurate before allowing the student(s) to start a new test.

- If the case required a **Grace Period Extension** Appeal, the student(s) may return to prior pages (i.e., screens) within the existing segment. A student may not return to a previous segment once it has been completed and submitted.

- If the case required an **Invalidate** Appeal, the student will be prohibited from continuing the test, the score(s) will be invalidated; invalidated scores will be reported with a text notation on the Student Score Report. The student(s) will be counted as participating in the calculation of the school's participation rate.

- If the case did not require an Appeal for an incorrect SSID that was used in cases when the student has completed the test, and the LEA wants to associate the assessment results with the SSID of the student, the LEA ELPAC coordinator must contact CalTAC by phone at 800-955-2954 or email at caltac@ets.org and confirm the details of the incorrect SSID, correct SSID, result ID, and test status information associated with this incident. This must be done within one business day to report the issue. The approval email received for submitting this STAIRS request also instructs the LEA that further steps of action are needed.

- If the case required a **Restore** Appeal, because a test was inadvertently or inappropriately reset as result of a Reset Appeal submitted earlier, the previous test has been restored. The test will resume at the last unanswered item on the test.

Reasons for Rejection

An Appeal request may be denied if it does not fit the requirements of the types of appeals (Reset, Re-open, Restore, Grace Period Extension, or Invalidate) described in this manual.
Online System Appeals Types

The online appeals types described in this subsection are as follows:

- **Reset**
- **Invalidate**
- **Re-open**
- **Restore**
- **Grace Period Extension**

**Reset**

**Description**

Resetting a student’s summative test removes that test from the system and enables the student to start a new test from the beginning.

**Conditions for Use**

CalTAC may provide approval to reset any test (non-PT or PT) if any of the following settings need to be changed because they were incorrectly set:

- American Sign Language (for mathematics and ELA listening)
- Braille (braille is a language setting)
- Closed captioning (for ELA listening stimuli)
- Streamlined interface (the streamlined interface is a test shell setting)
- Translation—stacked (for mathematics tests only)

**Note:** Stacked translations are automatically provided when the selected language is Spanish.

- Translation—glossary (for mathematics tests only)
- Text-to-speech as an accommodation (e.g., for ELA reading passages in grades three to five only).

**Note:** Text-to-speech when used for items only, except as part of an individualized education program (IEP) or Section 504 plan, is a designated support and NOT a valid reset request.

- Any non-embedded accommodation(s)
Additionally, a Reset includes the following scenarios:

1. The summative assessment is administered unintentionally instead of the interim or practice test and one of the following is true:
   - The student did not receive a designated support or accommodation as prescribed by the student’s IEP or Section 504 plan.
   - The student has completed fewer than 10 non-PT questions or less than 1 PT question.
2. An incorrect SSID is used and the assessment is not completed by the student.
3. There is a data entry issue after an assessment has been submitted (paper-pencil tests only).
4. A test examiner uses an unacceptable means to help or coach the student during the assessment or the student completed less than 10 non-PT or 1 PT.

**Invalidate**

**Description**

Invalidated summative tests will be scored, and scores will be provided on the Student Score Report with a note that an irregularity occurred. The student(s) will be counted as participating in the calculation of the school’s participation rate. The score will be counted as “not proficient” for aggregation into the CAASPP results.

**Conditions for Use**

The CDE may invalidate any test (non-PT or PT) if:

1. There is a test security breach that is not the result of social media exposure. Contact the CDE.
2. A test administrator or test examiner coached or provided answers, modified student responses, or allowed unauthorized access to student tests, or a student did not attempt to respond appropriately to items.
3. Student(s) accessed either the internet or any unauthorized software applications, or used unauthorized electronic equipment (e.g., a cell phone, tablet, or smartwatch) during the testing event.
4. Student(s) cheated or provided answers to each other, including passing notes or giving help to other students during testing.
5. There is a testing session in which a student deliberately does not attempt to respond appropriately to items.
**Re-Open**

**Description**
Reopening a summative test allows a student to access a test that has already been submitted or has expired.

If an *expired* test is reopened, the test will resume at the last unanswered item on the assessment, which could, in some cases, be different than where the student left off (if, for example, the student went back to review prior items). The student will be able to review items within the current segment of the assessment but cannot return to previous segments of the non-PTs without first submitting a grace period extension.

If a *submitted* test is reopened, the test will reopen at the last page of the test. The student cannot review items, even in the current segment, without first submitting a grace-period extension.

**Conditions for Use**
1. CalTAC may reopen a non-PT if a student is unable to complete the test before it expires (45 calendar days) due to an unanticipated excused absence or unanticipated school closure.
2. CalTAC may reopen a PT if a student is unable to complete the test before it expires (10 calendar days) due to an unanticipated excused absence or unanticipated school closure.
   a. A student starts a PT unintentionally—for example, selects a PT instead of a non-PT, or selects a mathematics PT instead of an ELA PT—and the student is unable to complete the test before it expires (10 days).
   b. A student unintentionally submits a test before completing it—for example, a student submits the ELA PT before completing Part 2.
3. There is a data entry issue with selected responses (paper-pencil tests only).

---

1 A test that is reopened following an expiration will remain open for 10 calendar days from the date it was reopened.
**Restore**

**Description**

Restoring a summative test returns a test from the Reset status to its prior status. **This action can only be performed on tests that have been mistakenly reset through a Reset Appeal request.**

**Conditions for Use**

Requests to restore a test if a test was inadvertently or inappropriately reset because an LEA wrongly requested a Reset Appeal must be made by submitting a report using the STAIRS/Appeals process. To file a Restore Appeal, the LEA CAASPP coordinator must contact CalTAC to submit a STAIRS case on behalf of the LEA.

Note that it is *not* possible to restore an invalidated test.

**Grace Period Extension**

A grace period extension is only for a non-PT. There are no pause rules for a PT.

**Description**

An Appeal for summative assessments that allows the student to review previously answered questions upon logging back on to the assessment after the expiration of the non-PT pause rule. Note that for a PT, having the test administrator open a new testing session may be all that is needed to continue testing.

**Conditions for Use**

Grace period extensions are for situations where the 20-minute non-PT pause rule expired due to circumstances beyond the control of the test administrator. For example, this may be because of a fire drill, illness, or technical difficulty (and not for student breaks such as recess or lunch that lasted for more than 20 minutes). A grace period extension permits students to access the test and review prior items. A grace period extension will only be granted in cases where there was a disruption to a test session, such as a technical difficulty, fire drill, schoolwide power outage, earthquake, or other act beyond the control of the test administrator.
Checking Appeals Information

Appeals statuses can be checked in the STAIRS module in TOMS. Appeals associated with a student can also be viewed in that student’s Student Profile, in the [Score Status] tab.

View an Appeals Status in STAIRS

Search

Coordinators can access a student’s Appeal status within the STAIRS module in TOMS to review the Appeal within the context of a STAIRS case.

1. Log on to TOMS.
2. Select the [STAIRS] navigation tab in the navigation bar as shown in Figure 16.
3. Select the [Search Appeals] action tab as shown in Figure 16.

Figure 16. Search for Appeals screen
4. Enter details about the student in the search fields in the “Search for Appeals” section (shown in Figure 11). Enter information for one or more of the fields described in Table 4. If the coordinator entered information only in the Organization field, the search will return a list of all students in the organization for whom a STAIRS case has been started or submitted.

### Table 4. Search for Appeals Fields

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
</table>
| **Organization** | a. To pull up all students in an associated organization, do not specify any search criteria.  
                     b. To view students from a particular school, type at least five characters of the school’s name (including spaces) or County-District-School (CDS) code to get selectable values. |
| **SSID**       | Enter a single SSID.                                                        |
| **Appeal ID**  | Enter the Appeal ID generated when the Appeal request was submitted at the end of the STAIRS/Appeals process. |
| **Appeal Type**| Select an Appeal type. Options are as follows:  
                     • Invalidate  
                     • Reset  
                     • Re-open  
                     • Restore  
                     • Grace Period Extension  
                     • No Appeal (refers to STAIRS cases that resulted in no Appeal) |
Table 4 (continuation)

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Appeal Status</strong></td>
<td>Select an Appeal status from the drop-down list. Statuses are as follows:</td>
</tr>
<tr>
<td></td>
<td>• Approved—Appeals for SSIDs included in the STAIRS case are either auto-approved by the Test Delivery System (TDS) or have been approved by CalTAC or the CDE.</td>
</tr>
<tr>
<td></td>
<td>• Pending—Appeals for SSIDs included in the STAIRS case have been approved and are awaiting processing by the TDS.</td>
</tr>
<tr>
<td></td>
<td>• Pending Approval—Appeals for SSID(s) included in the STAIRS case are awaiting approval from the CDE or CalTAC.</td>
</tr>
<tr>
<td></td>
<td>• Rejected—Appeals for SSIDs included in the STAIRS case were rejected by the CDE or CalTAC.</td>
</tr>
<tr>
<td></td>
<td>• Rejected by System—Appeals for SSIDs included in the STAIRS case were rejected by the TDS.</td>
</tr>
<tr>
<td></td>
<td>• Swap Approved—The assessment results for SSIDs included in the STAIRS case have been associated with the correct SSIDs.</td>
</tr>
<tr>
<td></td>
<td>• Withdrawn—Appeals for SSID(s) included in the STAIRS case were withdrawn by the user.</td>
</tr>
<tr>
<td><strong>STAIRS ID</strong></td>
<td>Enter a STAIRS case number associated with this Appeal.</td>
</tr>
</tbody>
</table>

5. Select the [SEARCH] button—indicated in **Figure 11**—to conclude the search or the [CLEAR] button to clear all information from the screen.
View

A list containing as many students who meet the criteria entered appears.

1. Select a [View] magnifying glass icon in the Actions column shown in Figure 17 to open an Appeals summary for that student.

![Figure 17. Appeals search results]

2. After the Appeals summary has been reviewed, use the [GO TO STAIRS SUMMARY] button to review the associated STAIRS case.
View Most Recent Appeals in the TOMS [Score Status] Tab

Coordinators can access a student’s appeal status in the [Score Status] tab of the Student Profile to review the Appeal within the context of the other details about the student’s CAASPP results.

1. Log on to TOMS.
2. Select the [Students] navigation tab in the navigation bar (or, if the “Students” section is already active, select the [SEARCH] button). Figure 18 indicates the location of these buttons.

![Image of the TOMS interface showing the Search for Students screen](image)

**Figure 18. Search for Students screen**

3. Enter details about the student in the search fields in the Search for Students screen (shown in Figure 18);
   or
   Select the associated LEA by selecting the [Select Organization] link.
   a. To pull up all students in an associated organization, do not specify any search criteria.
   b. To view students from a particular school, type at least five characters of the school’s name (including spaces) or CDS code to get selectable values.
4. Select the [SEARCH] button.
5. Select a [View] magnifying glass icon in the Actions column shown in Figure 19 to access the Student Profile screen. The Student Profile opens with the [Demographics] tab selected.

![Student Profile Screen](image)

*Figure 19. Student search results*
6. Select the [Score Status] tab (Figure 20).

![Figure 20. [Score Status] tab on the Student Profile screen](image)

7. Scroll to the bottom of the screen to the “Most Recent Appeals” section to review any processed Appeals for the student (Figure 21).

![Figure 21. “Most Recent Appeals” section of the Student Profile screen](image)

8. Columns in this section of the Student Profile are listed and described in Table 5:

<table>
<thead>
<tr>
<th>Column</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test</td>
<td>Content area that is being appealed</td>
</tr>
<tr>
<td>Date</td>
<td>Date the Appeal was approved</td>
</tr>
<tr>
<td>Type</td>
<td>Type of Appeal: Reset, Restore, Invalidate, Re-open, or Grace Period Extension</td>
</tr>
<tr>
<td>Reason</td>
<td>Descriptive text for why an Appeal was created</td>
</tr>
<tr>
<td>STAIRS ID</td>
<td>STAIRS case number associated with this Appeal</td>
</tr>
</tbody>
</table>
How to Look Up Student Information in the Completion Status System

Additional Resources in This Section:


Use the Plan and Manage Testing tool in the Completion Status module to validate student testing activity prior to filing an Appeal. Detailed instructions about generating these reports can be found in the *Guide to CAASPP and ELPAC Completion Status and Roster Management*. 
Appendices
# Appendix A. Test Security and Incident Chart

The **Test Security Chart** shows the test security incident levels and examples of types of issues.

<table>
<thead>
<tr>
<th>Level of Severity and Potential Effect on Test Security</th>
<th>Types of Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOW—Impropriety</td>
<td>Student(s) making distracting gestures or sounds or talking during the test session that creates a disruption in the test session for other students.</td>
</tr>
<tr>
<td>LOW—Impropriety</td>
<td>Student(s) leaving the test room without authorization.</td>
</tr>
<tr>
<td>LOW—Impropriety</td>
<td>Disruptions to a test session such as a fire drill, schoolwide power outage, earthquake, or other acts outside the administrator’s or examiner’s control.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Student(s) cheating or providing answers to each other, including passing notes, giving help to other students during testing, or using hand-held electronic devices to exchange information.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Student(s) accessing the internet or any unauthorized software or applications during a testing event.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Student(s) accessing or using unauthorized electronic equipment (e.g., cell phones, PDAs, iPods, or electronic translators) during testing.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator, examiner, or coordinator leaving related instructional materials on the walls in the testing room.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator, examiner, or coordinator failing to ensure administration and supervision of the Smarter Balanced assessments by qualified, trained personnel.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or examiner giving incorrect instructions that are not corrected prior to testing.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator, examiner, or coordinator giving out a personal username or password (via email or otherwise), including to other authorized users.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or examiner allowing students to continue testing beyond the close of the testing window (paper-pencil only).</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or examiner providing a student access to another student’s work or responses (unintentional access granted).</td>
</tr>
</tbody>
</table>
## Test Security and Incident Chart (continuation one)

<table>
<thead>
<tr>
<th>Level of Severity and Potential Effect on Test Security</th>
<th>Types of Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Student not receiving accessibility resource or accommodation as required by individualized education program (IEP) or Section 504 plan</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Student without IEP or Section 504 plan did not get a designated support</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or teacher coaching or providing any other type of assistance to students that may affect the responses. This includes both verbal cues (e.g., interpreting, explaining, or paraphrasing the test items or prompts) and nonverbal cues (e.g., voice inflection, pointing, or nodding head) to the correct answer. This also includes leading students through instructional strategies such as think-aloud, asking students to point to the correct answer or otherwise identify the source of the answer, or requiring students to show work.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or examiner providing students with nonallowable materials or devices (e.g., calculators during noncalculator sections) during test administration or allowing inappropriate designated supports or accommodations during test administration</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator allowing designated supports not indicated by an educator (or team of educators with parent/guardian and student input) and that are not in the student's IEP or Section 504 plan</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or examiner allowing inappropriate accommodations (which are not in the student's IEP or Section 504 plan) during test administration</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator allowing anyone other than a student to log on to the test unless prescribed as an allowable accommodation in the student’s IEP. This includes test administrators or other staff using student information to log on or allowing a student to log on using another student’s information.</td>
</tr>
<tr>
<td>MEDIUM—Irregularity</td>
<td>Administrator or examiner providing a student access to another student's work or responses (intentional access granted)</td>
</tr>
</tbody>
</table>
### Test Security and Incident Chart (continuation two)

<table>
<thead>
<tr>
<th>Level of Severity and Potential Effect on Test Security</th>
<th>Types of Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>Administrator, examiner, or coordinator modifying student responses or records at any time</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>The live student interface or Test Administrator Interface being used for practice instead of the training or practice tests</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>Adult or student posting items or test materials on social media (Twitter, Facebook, etc.)</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>Administrator or examiner allowing students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test or failing to otherwise securely store test materials</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>Adult or student copying, discussing, or otherwise retaining test items, reading passages, writing prompts, or answers for any reason. This includes the use of photocopiers or digital, electronic, or manual devices to record or communicate a test item. This also includes using secure test items, modified secure test items, reading passages, writing prompts, or answer keys for instructional purposes.</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>Secure test materials being shared with the media (such as the writing prompts, test items, or reading passages), or allowing media to observe a secure test administration</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>Adult or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment</td>
</tr>
<tr>
<td><strong>HIGH—Breach</strong></td>
<td>The student retaining scratch paper used in a test and had it during subsequent testing</td>
</tr>
</tbody>
</table>
Appendix B. Incident Types, Descriptions, and Actions in the CAASPP STAIRS/Appeals Process

Breaches

**Exposing Secure Materials—Retaining or Sharing (Adult)**

**Issue Description:** Adult retaining or sharing secure summative testing materials

**Action:**
1. Contact the CDE at 916-445-8765 immediately to report the issue.
2. Report the incident using the STAIRS/Appeals process in TOMS.

**Exposing Secure Materials—Retaining or Sharing (Student)**

**Issue Description:** Student retaining or sharing secure summative testing materials

**Action:**
1. Contact the CDE at 916-445-8765 immediately to report the issue.
2. Report the incident and submit an Invalidate Appeal request using the STAIRS/Appeals process.

**Exposing Secure Materials—Social Media (Adult)**

**Issue Description:** Adult posting items or secure summative testing materials on social media such as Facebook, Twitter, or Instagram

**Action:**
1. Contact CalTAC at 800-955-2954 immediately to report the issue.
2. Submit the incident using the STAIRS/Appeals process.

**Exposing Secure Materials—Social Media (Student)**

**Issue Description:** Student posting items or secure summative testing materials on social media such as Facebook, Twitter, or Instagram

**Action:**
1. Contact CalTAC at 800-955-2954 immediately to report the issue.
2. Report the incident and submit an Invalidate Appeal request using the STAIRS/Appeals process.
Accidental Summative Access

**Issue Description:** Unintentional administering of the summative assessment for practice instead of the practice or interim test

**Action:**

1. Report the incident using the STAIRS/Appeals process in TOMS. Submit a Reset Appeal request for the student if one of the following conditions apply:
   - Fewer than 10 non-PT items were completed or less than one PT item was completed.
   - Student did not receive a designated support or accommodation as listed in an individualized education Program (IEP) or Section 504 plan.

   or

2. Report the incident using the STAIRS/Appeals process. Submit a Re-open Appeal request, if needed, for the student if one of the following conditions apply:
   - Ten or more non-PT items or 1 or more PT items were completed.
   - Student received the appropriate designated support or accommodation as listed in an IEP or Section 504 plan. and,
   - Student is ready to complete the assessment then.

   or

3. Start a STAIRS case in TOMS. Save the STAIRS case in Draft status because the student(s) will not be ready to finish the assessment before the availability of the test expires and would need a Re-open Appeal later. Submit this STAIRS case for a Re-open Appeal a few days before the LEA is ready to test the student.

4. Retain the email for a delayed Appeal for the record.

Irregularities

**Accessibility Issue—Incorrect Resource or Accommodation Setting**

**Issue Description:** Student given an incorrect setting of Designated Support or Accommodation Required by the Student’s Individualized Education Program (IEP) or Section 504 plan

**Action:** Report the incident using the STAIRS/Appeals process, and submit a Reset Appeal request.

**Note:** If at least five non-PT items and at least one PT item were completed, this will count as an irregularity.
Accessibility Issue—Designated Language Support

**Issue Description:** Student given an incorrect designated support for a translation (stacked or glossary) resource, or the streamlined interface for a student without an IEP or Section 504 plan was set incorrectly

**Action:** Report the incident using the STAIRS/Appeals process in TOMS, and submit a Reset Appeal request.

Disruption or Technical Issues

**Issue Description:** Having technical issues or school emergencies

**Note:** If the test is a PT, having the test administrator open a new testing session may be all that is needed for students to continue testing.

**Action:** Report the incident using the STAIRS/Appeals process; if the 20-minute pause rule for the non-PT expired, submit a Grace Period Extension Appeal request.

Incorrect SSID Used—No Switch

**Issue Description:** Student(s) taking test associated with a different student’s SSID

**Action:**
1. If the student(s) have finished testing and the LEA wants to allow the student(s) to start a new test, report the incident and submit a Reset Appeal request using the STAIRS/Appeals process in TOMS.
   
   or

2. If the student(s) have not finished testing, report the incident and submit a Reset Appeal request using the STAIRS/Appeals process.

Incorrect SSID Used—Switch

**Issue Description:** Student taking test(s) associated with a different student’s SSID, and vice versa

**Action:**
1. The students have finished testing, and the LEA wants to associate the assessment results with the SSID of the correct student. This option should be selected only if the LEA knows both the incorrect SSID(s) and the correct SSID(s).

2. Report the incident using the STAIRS/Appeals process in TOMS.

3. Submit a non-appealable STAIRS case. This is auto-approved.

4. Retain the approval email sent by ca-assessments@ets.org. The approval email determines that the incident is approved for further processing.
5. The LEA must call CalTAC to complete the manual process within one business day.

6. The LEA CAASPP coordinator must contact CalTAC by phone at 800-955-2954 or email at caltac@ets.org and confirm details of the incorrect SSID, correct SSID, result ID, and test status information associated with this incident. This must be done within one business day to report the issue.

Incorrect SSID Used—Intentional

Issue Description: Student(s) taking test associated with a different student’s SSID

Action:
1. Report the incident and request an Invalidate Appeal using the STAIRS/Appeals process in TOMS.
2. Stop the test.

Note: This testing incident is applicable to all test types except the CAAs.

Student(s) Cheating or Provided Answers

Issue Description: Student(s) cheated or provided answers to each other, including passing notes or giving help to other students during testing.

Note: In the case of student cheating that did not involve electronic devices, the LEA has the option to allow the student to complete the assessment.

Action:
1. If the LEA opts to allow the student to complete the assessment, start a STAIRS case in TOMS. Save the STAIRS case in Draft status.
2. Retain the email for delayed Appeal for the records.
3. Complete the submission of the Invalidate Appeal request before the LEA’s testing window closes. When submitting the STAIRS case, select the option No, invalidate the assessment now. I understand that the student will no longer have access to that assessment.

or

4. If the LEA does not want the student to complete the assessment, report the incident using the STAIRS/Appeals process in TOMS, and submit an Invalidate Appeal request.

Note: If a student used an electronic device after testing is completed during a session, it is not necessary to report the incident. However, if the student was actively engaged in a testing session or the student completed testing but the LEA can verify that the device was being used to help other students that are engaged in a test session, then an invalidation is required.
Student(s) Accessing Internet or Unauthorized Devices or Software Applications

**Issue Description:** Student(s) accessed either the internet or any unauthorized software applications, or used unauthorized electronic equipment (e.g., a cell phone, tablet, or smartwatch) during the testing event.

**Action:** Report the incident using the STAIRS/Appeals process in TOMS and submit an Invalidate Appeal request.

**Note:** This does not include non-embedded calculators. Incidents involving non-embedded calculators should be reported under Validity Issues.

Student(s) Unable to Review Previous Answers on the non-PT Due to Technical Issues

**Issue Description:** Exceeding the 20-minute non-PT pause rule due to technical issues, fire drill, schoolwide power outage, earthquake, or other act or circumstance that is outside the control of the test administrator.

**Note:** If the test is a PT, having the test administrator open a new testing session may be all that is needed to continue testing.

A grace period extension cannot be granted for situations where the pause rule expired due to student breaks such as recess or lunch.

**Action:** Report the incident using the STAIRS/Appeal process in TOMS, and submit a Grace Period Extension Appeal request.

Validity Issue—Adult Interference

**Issue Description:** Test administrator, test examiner, or teacher coached or provided answers to students, modified student responses, or allowed unauthorized access to student tests.

**Action:** Report the incident using the STAIRS/Appeals process in TOMS; after the student has completed the assessment, submit an Invalidate Appeal request.

Validity Issue—Inappropriate Designated Support and/or Accommodation

**Issue Description:** Test administrator or test examiner allowing inappropriate designated supports or accommodations that are not designated in the student’s IEP or Section 504 plan during test administration.

**Action:** Report the incident using the STAIRS/Appeals process, and submit an Appeal request in TOMS:

- Reset Appeal, if fewer than 10 non-PT items were completed or less than one PT item was completed
- Invalidate Appeal, if 10 or more non-PT items or one or more PT items were completed
Validity Issue—Student Does Not Respond

Issue Description: Student deliberately not attempting to respond appropriately to items

Action: Report the incident using the STAIRS/Appeals process in TOMS and submit an Invalidate Appeal request.

Improprieties

Administration Error

Issue Description: One of the following conditions:

- Inappropriate or incomplete test preparation
- Leaving related instructional materials on the walls in the testing room
- Failing to ensure administration and supervision of online tests
- Giving incorrect instructions that are not corrected prior to testing
- Sharing username or password (via email or otherwise) with other authorized users
- Allowing students to continue testing beyond the close of a paper-pencil testing window

Action: Report the incident using the STAIRS/Appeals process.

Student Disruption

Issue Description: Student(s) leaving the room or disrupting the testing session

Action: Report the incident using the STAIRS/Appeals process.

Data Entry Interface Error

Issue Description: Adult error while entering student responses from a paper-pencil test in the Data Entry Interface (DEI).

Action: Report the incident using the STAIRS/Appeals process. Submit a Reset Appeal request to enable reentering of all student responses or a Re-open Appeal to correct errors made when entering selected student responses that have already been submitted.
Restoration of Test Access

Expired Test

**Issue Description:** Expiring or accidentally submitting a student’s non-PT or PT prior to completion

**Action:** Report the incident using the STAIRS/Appeals process, and submit a Re-open Appeal request.

**Note:** A Re-open Appeal cannot be submitted for an SSID for which there is an existing Invalidate Appeal.

Restore a Test that Was Reset in Error

**Issue Description:** Resetting a student’s summative test(s) inadvertently or inappropriately because of an LEA wrongly requesting a Reset in a test appeal request (Note that it is not possible to restore an invalidated test.)

**Action:** The LEA CAASPP coordinator must contact CalTAC by phone at 800-955-2954 or email at caltac@ets.org requesting to report the incident using the STAIRS/Appeals process, and submit a Restore Appeal request on behalf of the LEA. The student’s result ID must be available when making this request.

Administration Incidents

Unanticipated Expiration

**Issue Description:** Student not completing the test before it expires due to an unanticipated excused absence or unanticipated school closure

**Action:** Report the incident using the STAIRS/Appeals process in TOMS, and submit a Re-open Appeal request.

**Note:** A Re-open Appeal cannot be submitted for an SSID for which there is an existing Invalidate Appeal.

Student Unable to Finish Due to Unintentional Start

**Issue Description:** Student starting a PT unintentionally—for example, selecting a PT instead of a computer adaptive test, or selecting a mathematics PT instead of an ELA PT—and the student not completing the test before it expires

**Action:** Report the incident using the STAIRS/Appeals process in TOMS, and submit a Re-open Appeal request.

**Note:** A Re-open Appeal cannot be submitted for an SSID for which there is an existing Invalidate Appeal.

Lost Logon Information

**Issue Description:** Having lost or missing student logon information

**Action:** No is action required.
Appendix C. STAIRS/Appeals Process Flowchart

CAASPP Security or Administration Incident Occurs

The CAASPP test site coordinator or LEA CAASPP coordinator takes corrective action and reports the incident using the online STAIRS/Appeals process in TOMS.

Is further action required?

Yes

Is the incident a breach of test security?

Yes

LEA staff alerts CalTAC for social media breaches and the CDE for all other breaches, via phone.

No

Coordinator files the appeal as a step during the STAIRS/Appeals process in TOMS.

No

The LEA CAASPP coordinator retains the STAIRS response email for his or her records.

Is the student the source of the breach?

Yes

No
Appendix D. Incident Types and Questions on the TOMS STAIRS/Appeals Screen

The sentences in this appendix in bold are displayed in the STAIRS interface in TOMS, and the asterisks indicate required fields.

### Accessibility Issue

A designated support or accommodation was set incorrectly and needs to be changed.

**Please provide the indicated information and select the description that best applies to the kind of accessibility issue that occurred.**

- A designated support or accommodation required by the student’s individualized education program (IEP) or Section 504 plan was set incorrectly and needs to be changed.
- A designated support for either a translation (stacked or glossary) resource or the streamlined interface for a student without an IEP or Section 504 plan was set incorrectly and needs to be changed.

**Provide a brief description that supports the testing issue reason selected.**

### Accidental Summative Access

The summative assessment was administered unintentionally instead of the interim or practice test.

**Please select the description that best applies to the condition(s) of the accidental summative access that occurred.** If more than one description applies, please submit a separate STAIRS report for each corresponding case.

**Note:** This does not apply to students who are 12-month English learners or students with a Parent/Guardian exemption (PGE) who were accidentally administered the assessment. Neither of those issues needs to be reported in STAIRS.

- The student did not receive a designated support or accommodation as prescribed by the student’s IEP or Section 504 plan.
- The student has not completed at least 10 non-PT questions or at least 1 PT question.
- Neither of the above options is true.
Appendices | How to Look Up Student Information in the Completion Status System

Provide a brief description that supports the testing issue reason selected.

If the *Neither of the above options is true* radio button was selected, three additional radio buttons appear:

- The student needs a Re-open Appeal to complete the assessment and the status is not paused.
- The student does not need a Re-open Appeal because the status is paused, or the student has completed the assessment.
- The student needs a Re-open Appeal *later* because the student will not be ready to finish the assessment before the Appeal expires.

**Administration Error**

Related instructional materials were left on the walls, an assessment was administered by an unqualified test administrator, incorrect instructions were given, or the test administrator’s username and password were shared.

Please select the description that best describes the kind of administration error that occurred.*

- Related instructional materials were left on the walls in the testing room.
- There was a failure to ensure administration and supervision of the assessment(s) by qualified, trained personnel.
- Incorrect instructions were given that were not corrected prior to testing.
- A test administrator, test examiner, or coordinator’s username/password was shared (via email or otherwise), including to other authorized users.

Provide a brief description that supports the testing issue reason selected.

**Administered Incorrect Assessment**

A student was accidentally administered a general assessment instead of the alternate assessment or a student was administered an assessment for the wrong assessed grade level or with the wrong Special Education designation listed in TOMS.

Provide a brief description that supports the testing issue reason selected.
Disruption or Technical Issues

There was a disruption to a test session, such as a technical difficulty, fire drill, schoolwide power outage, earthquake, or other act beyond the control of the test administrator or test examiner.

Note: If the test is still in a paused status, having the test administrator open a new testing session may be all that is needed for students to continue testing.

Did the disruption or technical issue result in the expiration of the 20-minute pause rule for the non-PT (Yes/No).

- Yes
- No

Provide a brief description that supports the testing issue reason selected.

Expired or Accidentally Submitted Test

A student accidentally submitted the performance task prior to completion or started a test and was unable to complete the test before it expired.

Please provide the indicated information and select the description that best applies to the kind of test expiration issue or accidental submittal that occurred.*

- A student did not complete a test before it expired.
- A student accidentally submitted a performance task prior to completion.

Provide a brief description that supports the testing issue reason selected.

Exposing Secure Materials

A test administrator, test examiner, or student copied, discussed, retained, or shared secure test materials.

The source of the breach was a(n):*

- Student
- Adult

Please select the description that best applies to the kind of exposure of secure materials issue that occurred.

Adult:

- An adult posted items or test materials on social media (e.g., Twitter, Facebook, Instagram, etc.).
Appendices | How to Look Up Student Information in the Completion Status System

- An adult took test materials home, or an administrator allowed students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test or failed to otherwise securely store test materials. Adult copied, discussed, or otherwise retained test items, stimuli, reading passages, writing prompts, or answers for any reason. Note: This does not include student logon information.

- An adult shared secure test materials (such as the writing prompts, test items, or reading passages) with the media, or allowed the media to observe a secure test administration.

**Student:**

- A student posted items or test materials on social media (e.g., Twitter, Facebook, Instagram, etc.).

- A student took test materials home, or an administrator allowed students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test or failed to otherwise securely store test materials. Student copied, discussed, or otherwise retained test items, stimuli, reading passages, writing prompts, or answers for any reason. Note: This does not include student logon information.

- The student retained scratch paper used in a test and had it during subsequent testing.

Provide a brief description that supports the testing issue reason selected.

**Incorrect SSID**

Student(s) accidentally took a test associated with a different student’s SSID.

**Did the student(s) complete the test?**

- No, the student(s) did not complete the test.
- Yes, the student(s) completed the test.

**If Yes, please select the radio button with the option either to:**

- Reset the test and allow the students(s) to start a new test; Or,

- Associate the assessment results with the SSID of the student. This option should be selected only if the LEA knows the incorrect SSID(s) and the correct SSID(s).

**Note:** The LEA will receive an approval email. Retain the approval email sent by ca-assessments@ets.org. The approval email indicates that the incident is approved for further processing, and the LEA must call CalTAC to complete the manual process. The LEA CAASPP coordinator must contact CalTAC by phone at 800-955-2954 or email at caltac@ets.org and provide details of the incorrect SSID, correct SSID, result ID, and test status information associated with this incident within one business day to report the issue.

Provide a brief description that supports the testing issue reason selected.
Student Cheating or Accessing Unauthorized Devices

Student cheated or accessed unauthorized electronic devices such as a cell phone during testing.

Please select the description that best applies to the kind of student cheating or accessing of unauthorized devices that occurred.*

Note: If a student used an electronic device after testing is completed during a session, it is not necessary to invalidate the student’s test. However, if the student was actively engaged in a testing session or the student completed testing but the LEA can verify that the device was being used to help other students who are engaged in a test session, then an invalidation is required.

- Student(s) cheated or provided answers to each other, including passing notes, giving help to other students during testing, or using a hand-held electronic device to exchange information.
  - In the case of student cheating that does not involve electronic devices, you have the option to allow the student to complete the assessment. Do you plan to allow the student to complete the assessment?
    - Yes, I want the student to complete the assessment.
    - No, invalidate the assessment now. I understand that the student will no longer have access to that assessment.
- Student accessed the internet or any unauthorized software or applications during the student’s testing event.
- Student(s) accessed or used unauthorized electronic equipment (e.g., cell phone) during the student’s testing event. Note: This does not include non-embedded calculators. Incidents involving non-embedded calculators should be reported under Validity Issues.

Provide a brief description that supports the testing issue reason selected.

Student Disruption

Student(s) left the test room without authorization or disrupted the testing session.

Please select the description that best applies to the kind of student disruption that occurred.*

- Student(s) made distracting gestures or sounds, or talked during the test session, creating a disruption in the test session for other students.
- Student(s) left the test room without authorization.

Provide a brief description that supports the testing issue reason selected.
Validity Issue

A test administrator or test examiner coached or provided answers, modified student responses, or allowed unauthorized access to student tests, or a student did not attempt to respond appropriately to items.

Please select the description that best applies to the kind of validity issue that occurred.*

- There is a testing session in which a student deliberately did not attempt to respond appropriately to items.
- There was test administrator, test examiner, or teacher coaching or providing any other type of assistance to students that may affect the responses.
- A test administrator or test examiner provided students with nonallowable materials or devices during test administration or nonprescribed accommodation (i.e., not in the student's IEP or Section 504 plan) during test administration (e.g., a non-embedded calculator used by a student without an IEP or Section 504 plan).
  - Did the student(s) complete fewer than 10 non-PT questions or less than 1 PT question?
    - Yes
    - No
- A test administrator or test examiner allowed anyone other than a student to log on to the test (unless prescribed as an allowable accommodation in the student’s IEP or if the student was taking the CAAs).
- A test administrator, test examiner, or coordinator modified student responses or records at any time.

Provide a brief description that supports the testing issue reason selected.

Restore from Reset

The LEA has submitted a Reset Appeal in error and cannot retest the student, so must, instead, Restore the original test.

Provide a brief description that supports the testing issue reason selected.

Data Entry Issue

While entering information from a student’s paper answer booklet into the Data Entry Interface, an error was made and either selected student responses or all of the student’s responses must be reentered.

Provide a brief description that supports the testing issue reason selected.
Appendix E. Security and Test Administration Incident Reporting System (STAIRS) Applicable Testing Incidents

Accessibility Issue—All (Except Paper) (RESET)

- A designated support or accommodation required by the student’s individualized education program (IEP) or Section 504 plan was set incorrectly and needs to be changed.
- The student did not receive a designated support or accommodation as prescribed by the student’s IEP or Section 504 plan.
- A designated support for either translation (stacked or glossary) or the streamlined interface for a student without an IEP or Section 504 plan was set incorrectly and needs to be changed.

Accidental Summative Access—Smarter Balanced Only (RESET or RE-OPEN)

- The summative assessment was administered unintentionally, instead of the interim or practice test.

Note: This does not apply to students who are 12-month English learners or students with a Parent/Guardian exemption (PGE) who were accidentally administered the assessment. Neither of those issues needs to be reported in STAIRS.

Note: It is not possible to reopen a test that has an existing invalidate Appeal.

Administration Error—All (Except Paper) (None)

- Related instructional materials were left on the walls in the testing room.
- There was a failure to ensure administration and supervision of the assessment(s) by qualified, trained personnel.
- Incorrect instructions were given that were not corrected prior to testing.
- A test administrator, test examiner, or coordinator’s username or password was shared (via email or otherwise), including with other authorized users.
Disruption or Technical Issue—All (Except Paper)
(RE-OPEN / GRACE PERIOD EXTENSION)

- There was a disruption to a test session, such as a technical difficulty, fire drill, schoolwide power outage, earthquake, or other act beyond the control of the test administrator or test examiner.

**Note:** If the test is still in a paused status, having the test administrator open a new testing session may be all that is needed for students to continue testing. Grace Period Extension is not applicable to PT assessments such as the CAA for Science.

Exposing Secure Materials—All

- An adult or student posted items or test materials on social media (e.g., Twitter, Facebook, Instagram, etc.).

**INVALIDATE if a student is the source.**

**Note:** This does not include student logon information.

- An adult or student took test materials home, or an administrator allowed students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test, or failed to otherwise securely store test materials. The adult or the student copied, discussed, or otherwise retained test items, stimuli, reading passages, writing prompts, or answers for any reason.

**INVALIDATE if a student is the source.**

- The student retained scratch paper used in a test and had it during subsequent testing.

**INVALIDATE if scratch paper is retained and the student returns to the same test in a subsequent session.**

- An adult shared secure test materials (such as the writing prompts, test items, or reading passages) with the media, or media were allowed to observe a secure test administration.

Incorrect Statewide Student Identifier (SSID)—All (Except Paper)
(RESET or SWAP)

- A test administrator or test examiner accidentally provided a student access to another student’s work or responses (accidental SSID swap).

**Note:** Only completed tests can be associated with different SSIDs. Incomplete tests must be reset through a Reset Appeal request.

If the LEA does not want to reset the completed tests and wants to associate the assessment results with the SSID of the student, then submit a nonappealable STAIRS case. CAASPP site coordinators must inform the respective LEA CAASPP coordinator. LEA CAASPP coordinators must contact CalTAC by phone at 800-955-2954 or email at caltac@ets.org and confirm details of the incorrect SSID, correct SSID, result ID, and test status information associated with this incident within one business day to report the
issue. The SSID swap is completed only after a STAIRS/Appeals case is submitted and the LEA CAASPP coordinator provides CalTAC with all required information. Receiving an approval email from ca-assessments@ets.org determines that the incident is approved for further processing. The LEA must call CalTAC to complete the manual process within one business day.

**Cheating or Accessing Unauthorized Devices—All**

(INVALIDATE)

- A student cheated or provided answers to other students, including passing notes, giving help to other students during testing, or using a hand-held electronic device to exchange information.

  **Note:** In the case of student cheating that does not involve electronic devices, the LEA has the option to allow the student to complete the assessment. The LEA must start a STAIRS case and save it in Draft status. After the student completes the assessment, the LEA must return to STAIRS before the LEA’s testing window ends to complete the submission of an Invalidate Appeal.

- A student accessed or used unauthorized electronic equipment (e.g., cell phones) during the student’s individual testing event—includes accessing the internet or any unauthorized software or applications.

  **Note:** If a student used an electronic device after testing is completed during a session, it is not necessary to invalidate the student’s test. However, if the student was actively engaged in a testing session or the student completed testing but the LEA can verify that the device was being used to help other students who are engaged in a test session, then an invalidation is required.

**Student Disruption—All (Except Paper)**

(None)

- Student(s) made distracting gestures or sounds or talked during the test session, creating a disruption in the test session for other students.

- Student(s) left the test room without authorization.

**Test Expiration or Accidental Submission—All (Except Paper)**

(RE-OPEN)

- A student accidentally submitted a PT prior to completion.

- A student did not complete a test before it expired.

**Validity Issue—Not CAAs**

(INVALIDATE)

- There is a testing session in which a student deliberately did not attempt to respond appropriately to items.
Appendices | How to Look Up Student Information in the Completion Status System

- There was test administrator, test examiner, or teacher coaching or providing any other type of assistance to students that may affect the responses.

- A test administrator or test examiner provided students with nonallowable materials or devices or a nonprescribed accommodation (i.e., not in the student’s IEP or Section 504 plan) during test administration.

  **Note:** Resets are allowed in the case where the student(s) completed fewer than 10 computer-adaptive test questions or less than one PT question.

- A test administrator or test examiner allowed anyone other than a student to log on to the test (unless prescribed as an allowable accommodation in the student’s IEP, or the student was taking the CAAs).

- A test administrator, test examiner, or coordinator modified student responses or records at any time.

  **Administered Incorrect Assessment—All (Except Paper)**
  
  **(RESET)**

  - A student was administered a general assessment instead of the alternate assessment.

  - A student was administered an assessment for the wrong assessed grade level or with the wrong Special Education designation listed in TOMS.

  **Data Entry Issue—DEI (Paper-based Test Only)**
  
  **(RE-OPEN or RESET)**

  - While entering information from a student’s paper answer booklet into the Data Entry Interface (DEI), an error was made and all of the student’s responses must be reentered (Reset).

  - While entering information from a student’s paper answer booklet into the DEI, an error was made, and selected student responses must be reentered (Re-open).

  **Restore from Reset—All (Except Paper)**
  
  **(RESTORE)**

  - A test was reset in error, because of a mistakenly submitted Reset Appeal, and needs to be restored.
### Appendix F. Reasons for Appeal Types in the Appeals System

<table>
<thead>
<tr>
<th>Appeal Type</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invalidate Test</td>
<td>There is a testing session in which a student deliberately did not attempt to respond appropriately to items.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>The student cheated or provided answers to other students, including passing notes, giving help to other students during testing, or using a hand-held electronic device to exchange information.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>The student accessed or used unauthorized electronic equipment (e.g., cell phone) during the student’s individual testing event—including accessing the internet or any unauthorized software or applications.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A test administrator, test examiner, or teacher coached a student or provided any other type of assistance to students that may affect the responses.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A test administrator or test examiner provided the student with nonallowable materials or devices or a nonprescribed accommodation (i.e., one not in the student’s individualized education program [IEP] or Section 504 plan) during test administration.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A test administrator or test examiner intentionally allowed anyone other than a student to log on to the test (unless prescribed as an allowable accommodation in the student’s IEP, or the student was taking the CAAs).</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A test administrator, test examiner, or coordinator modified student responses or records at any time.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A student posted items or test materials on social media (e.g., Twitter, Facebook, Instagram).</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A student copied, discussed, or removed test items or testing materials.</td>
</tr>
</tbody>
</table>
Reason for Appeal Types table (continuation one)

<table>
<thead>
<tr>
<th>Appeal Type</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invalidate Test</td>
<td>The student retained scratch paper used in a test and returned to the same test in a subsequent session.</td>
</tr>
<tr>
<td>Invalidate Test</td>
<td>A student took test materials home, or an administrator allowed students to take home printed test items, reading passages, writing prompts, or scratch paper that was used during the test or failed to otherwise securely store test materials. Student copied, discussed, or otherwise retained test items, stimuli, reading passages, writing prompts, or answers for any reason. Note: This does not include student logon information.</td>
</tr>
<tr>
<td>Re-open Test</td>
<td>The student accidentally submitted a PT prior to completion. Note: It is not possible to reopen a test that has an existing invalidate Appeal.</td>
</tr>
<tr>
<td>Re-open Test</td>
<td>The summative assessment was administered unintentionally, instead of the interim or practice test and the case does not meet the criteria to reset the test. Note: It is not possible to reopen a test that has an existing invalidate Appeal.</td>
</tr>
<tr>
<td>Re-open Test</td>
<td>A student did not complete a test before it expired. Note: It is not possible to reopen a test that has an existing invalidate Appeal.</td>
</tr>
<tr>
<td>Re-open Test</td>
<td>While entering information from a student's paper answer booklet into the DEI, an error was made, and selected student responses must be reentered. Note: It is not possible to reopen a test that has an existing invalidate Appeal.</td>
</tr>
</tbody>
</table>
### Reason for Appeal Types table (*continuation two*)

<table>
<thead>
<tr>
<th>Appeal Type</th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reset Test</td>
<td>A student was administered a general assessment instead of the alternate assessment.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>A student accidentally took a test associated with another student's SSID.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>A designated support or accommodation required by the student’s IEP or Section 504 plan was set incorrectly and needs to be changed.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>The student did not receive a designated support or accommodation as prescribed by the student's IEP or Section 504 plan.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>A designated support for either translation (stacked or glossary) or the streamlined interface for a student without an IEP or Section 504 plan was set incorrectly and needs to be changed.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>The summative assessment was administered unintentionally, instead of the interim or practice test. The student has not completed at least 10 non-PT questions or at least 1 PT question.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>A student was administered an assessment for the wrong assessed grade level or with the wrong Special Education designation listed in TOMS.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>A test administrator or test examiner coached or provided answers, modified student responses, or allowed unauthorized access to student tests, or a student did not attempt to respond appropriately to items (Validity Issue). The student completed fewer than 10 non-PT questions or less than one PT question.</td>
</tr>
<tr>
<td>Reset Test</td>
<td>While entering information from a student's paper answer booklet into the DEI, an error was made and all of the student's responses must be reentered.</td>
</tr>
</tbody>
</table>
| Restore Test (from Reset) | A test was reset inappropriately or in error.  
**Note:** It is *not* possible to restore an invalidated test. |
| Grace Period Extension | The 20-minute pause rule for the computer adaptive test was exceeded because of disruptions to a test session beyond the control of the test administrator such as a technical difficulty, fire drill, schoolwide power outage, earthquake, or other act or circumstance.  
**Note:** A grace period extension cannot be granted for situations where the pause rule expired due to student breaks such as recess or lunch that lasted for more than 20 minutes. A grace period extension is not applicable to non-PT assessments such as the CAA for Science. |