# ETS logo

# California Assessment of Student Performance and Progress and English Language Proficiency Assessments for California Test Security Auditor Questionnaire

**2022–23 Administration**

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## Introduction and Auditor Information

Thank you for the work you do as an audit representative for the 2022–23 California Assessment of Student Performance and Progress (CAASPP) and English Language Proficiency Assessments for California (ELPAC) site visit process. Note the following about security at the schools (test sites) you visit:

* As an audit representative, you must have with you a letter of authorization and government-issued identification (ID).
* There are several methods that testing sites can use for issuing visitor passes. Some schools will scan ID cards into a digital ID device and print a sticker ID that you must wear at all times while on the premises, while other schools will collect your ID and hold it until you depart. Schools may also provide a visitor pass or badge worn on a lanyard.
* It is recommended that you have two forms of ID when visiting schools, such as a driver’s license, passport, or work ID badge with a photo.

The information in this section should help your understanding of the CAASPP and ELPAC test administration procedures, and it supplements the training and other information you have already been provided. It is vital that those auditing the CAASPP and ELPAC testing sites avoid confusing CAASPP and ELPAC policies with those of other testing programs. Please review the California Department of Education (CDE)’s [2022–23 California Assessment System](https://www.cde.ca.gov/ta/tg/ai/documents/calassesssystem.pdf) web document for additional information about all the testing programs in California’s assessment system.

### Guidelines for Describing California Assessment System Testing Environments

#### All Assessments

**Description:** Both theCAASPP and ELPAC each encompass several assessments, each with its own requirements for student participation. At the time of a visit, schools will be administering mostly computer-based assessments. These assessments may be administered in person, remotely, or a combination of both. The ELPAC includes a paper-based writing exam for kindergarten through grade two. All other paper exams are for students with special needs, such as large print or braille. Paper–pencil exams can only be administered in an in-person environment.

**Note:** The auditor will need to ask the local educational agency (LEA) about the location where paper–pencil test materials are stored, if applicable. The key point is that paper–pencil materials for both ELPAC kindergarten through grade two, and any special versions for CAASPP or ELPAC assessments, such as braille and large print, are stored securely and cannot be accessed by unauthorized staff or students.

**Note:** Photograph a testing environment only when students are not present. If students are present, simply document a description of the environment (e.g., “computer lab with testing carrels,” “four rows of tables with 10 computers,” etc.).

#### Smarter Balanced Summative Assessments

**Description:** The computer-based Smarter Balanced Summative Assessments for English language arts/literacy (ELA) and mathematics are administered to students in grades three through eight and grade eleven.

#### California Science Test

**Description:** The computer-based California Science Test (CAST) is administered to students in grades five and eight and once in high school (i.e., grade ten, eleven, or twelve).

#### California Alternate Assessments

**Description:** The computer-based California Alternate Assessments (CAAs) for ELA, mathematics, and science are alternate assessments for students with the most significant cognitive disabilities. The CAAs for ELA and mathematics are administered **one-on-one** to students in grades three through eight and grade eleven. The CAA for Science is administered to students **one-on-one** in grades five and eight and once in high school (i.e., grade ten, eleven, or twelve). None of the alternate assessments may be given remotely.

**Note:** If you must have access to the testing room while a student is present, you must first gain prior permission from the test examiner who is familiar with the student about whether your presence will disturb the student. Do not enter the room if you are not granted permission.

**Note:**  With the CAA population of students, a test examiner may point to the screen and perform actions to refocus the student to the task at hand. This interaction with the student is unique to alternate assessments.

#### California Spanish Assessment

**Description:** The computer-based California Spanish Assessment (CSA) is an **optional** assessment administered to students in grades three through twelve who speak Spanish as their primary language and those who are learning Spanish as an additional language.

#### Smarter Balanced Interim Assessments

**Description:** The computer-based Smarter Balanced Interim Assessments are designed for grades three through eight and high school, but may be administered to students in all grades. These interim assessments provide teachers with information on student performance to gauge the knowledge and skills of their students; they also familiarize test takers with the testing interface and accessibility resources that are offered with computer-based exams.

Interim assessments can be administered in standardized and non-standardized manner. In a standardized administration, educators assign each student an interim assessment to take individually. In a nonstandardized administration, a teacher can display items to a class or to small groups. Items should not be posted into third-party systems or printed and sent home. The items are considered student and teacher facing only.

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#### Initial ELPAC

**Description:** The computer-based Initial ELPAC identifies students as ELs or initial fluent English proficient. While the Initial ELPAC is computer-based, the kindergarten through grade two Writing domain involves the use of paper-based test materials. This assessment may be given remotely without the use of a secure browser on the student’s device.

**Note: ** Describe the location where the Initial ELPAC K–2 Answer Books are stored. Acceptable descriptors include “locked cabinet,” “locked storage room,” “daily-use office floor (e.g., principal, school coordinator, etc.),” “school vault or safe,” “file cabinet,” “conference room with clamshell lock or padlock,” “conference room with standard lock,” or “classroom converted for storage.”

#### Initial Alternate ELPAC

**Description:** The computer-based Initial Alternate ELPAC is an alternate assessment for students with the most significant cognitive disabilities, and whose IEP team has designated the use of an alternate assessment. This assessment identifies students as ELs or initial fluent English proficient. The Initial Alternate ELPAC is administered to students **one-on-one**. None of the alternate assessments may be given remotely.

**Note:**  With the Alternate ELPAC population of students, a test examiner may point to the screen and perform actions to refocus the student to the task at hand. This interaction with the student is unique to alternate assessments.

#### Summative ELPAC

**Description:** The computer-based Summative ELPAC is an assessment given annually that measures an English learner (EL) student’s progress toward English language proficiency. While the Summative ELPAC is computer-based, the kindergarten through grade two (K–2) Writing domain involves the use of paper-based test materials.

**Note: ** Describe the location where the Summative ELPAC K–2 Answer Books are stored. Acceptable descriptors include “locked cabinet,” “locked storage room,” “daily-use office floor (e.g., principal, school coordinator, etc.),” “school vault or safe,” “file cabinet,” “conference room with clamshell lock or padlock,” “conference room with standard lock,” or “classroom converted for storage.”

#### Summative Alternate ELPAC

**Description:** The computer-based Summative Alternate ELPAC is an alternate assessment for students with the most significant cognitive disabilities, and whose IEP team has designated the use of an alternate assessment. This assessment is administered annually to assess an EL student’s progress toward English proficiency. The Summative Alternate ELPAC is administered to students **one-on-one**. None of the alternate assessments may be given remotely.

**Note:**  With the Alternate ELPAC population of students, a test examiner may point to the screen and perform actions to refocus the student to the task at hand. This interaction with the student is unique to alternate assessments.

#### Testing Schedules

Audits are scheduled from August through November and January through June of each school year. This schedule provides a list of assessments and when they may be observed in an audit:

The asterisk (\*) indicates assessments for which LEAs may adjust the starting and closingdates.

| **Assessment Program** | **Administration Start Date** | **Administration End Date** |
| --- | --- | --- |
| Initial ELPAC | July 5, 2022 | June 30, 2023 |
| Initial Alternate ELPAC | July 5, 2022 | June 30, 2023 |
| Summative Alternate ELPAC | February 1, 2023 | May 30, 2023 |
| Summative ELPAC | February 1, 2023 | May 30, 2023 |
| Smarter Balanced Interim Assessments | Year round | Year round |
| Smarter Balanced Summative Assessments\* | January 10, 2023 | July 17, 2023 |
| CAAs for ELA and mathematics\* | January 10, 2023 | July 17, 2023 |
| CAST\* | January 10, 2023 | July 17, 2023 |
| CAA for Science | September 6, 2022 | July 17, 2023 |
| CSA\* | January 10, 2023 | July 17, 2023 |

## Observations

### Information About the Site Visit

Auditors should schedule to meet with both the CAASPP test site coordinator and the site ELPAC coordinator during the same site visit. At some sites, these two roles may be performed by the same person. At sites where these roles are performed by two different people, the auditor may meet with both test site coordinators at the same time, or separately, whatever is most convenient for the school site staff. The LEA coordinator may or may not be present during the audit.

When reporting information regarding the audit, complete role titles will be used (e.g. instead of saying coordinator, it must be stated if the person is an LEA coordinator or a test site coordinator).

#### Roles

| **Role** | **Definition** |
| --- | --- |
| LEA | The LEA is the governing agency for a school. For example, the LEA for Los Angeles High School is the Los Angeles Unified School District. An LEA may be a school district, an independent charter school, or a county office of education. |
| LEA coordinator | The CAASPP or ELPAC LEA coordinator is responsible for the coordination of testing at an LEA and will usually work from the LEA’s office but may be present at the time of your visit. The LEA coordinator will often have the responsibility of testing for all schools within an LEA. |
| Test site coordinator | The CAASPP test site coordinator or site ELPAC coordinator is the person responsible for testing at the designated site (school) being visited. One person can be the test site coordinator at multiple schools, and a single school can have multiple test site coordinators. The test site coordinator(s) will answer most auditor questions during the interview. |
| CAASPP test examiner (alternate assessments for ELA, mathematics, and science only) | The CAASPP test examiner administers summative alternate assessments and interim, practice, and training tests to students; confirms student test settings in the Test Administrator Interface; and ensures test session security. |

Roles table *(continuation)*

| **Role** | **Definition** |
| --- | --- |
| ELPAC test examiner | The ELPAC test examiner administers the Summative ELPAC, Alternate ELPAC, Initial ELPAC, or Initial Alternate ELPAC to students. For the Summative ELPAC and Initial ELPAC, test examiners are assisted by proctors during group administration of more than 20 students in grades three through twelve.For the Summative Alternate ELPAC, test examiners administer the assessment in a one‑on-one setting. |
| CAASPP test administrator | The CAASPP test administrator administers standard summative assessments and interim, practice, and training tests to students; confirms student test settings in the Test Administrator Interface; and ensures test session security. |

#### Site Details

**Shop ID:**

**Visit Date:**

**Location:**

**Primary Contact:**

**Contact Attempts:**

**Confirmed Appointment Date:**

**Confirmed Appointment Time:**

**Auditor Arrival Time:**

**Auditor Departure Time:**

**Total Audit Time (enter time in 15-minute increments, e.g., 1.25, 2.75, 3.5, 4.0, etc.):**

**Total Travel Time (enter time in 15-minute increments, e.g., 1.25, 2.75, 3.5, 4.0, etc.):**

**Audit Visit Attendees:**

**LEA CAASPP Coordinator’s Name:**

**LEA CAASPP Coordinator’s Title:**

**LEA CAASPP Coordinator’s Telephone Number:**

**LEA CAASPP Coordinator’s Email:**

**LEA ELPAC Coordinator’s Name:**

**LEA ELPAC Coordinator’s Title:**

**LEA ELPAC Coordinator’s Telephone Number:**

**LEA ELPAC Coordinator’s Email:**

**CAASPP Test Site Coordinator’s Name:**

**CAASPP Test Site Coordinator’s Title:**

**CAASPP Test Site Coordinator’s Telephone Number:**

**CAASPP Test Site Coordinator’s Email:**

**Site ELPAC Coordinator’s Name:**

**Site ELPAC Coordinator’s Title:**

**Site ELPAC Coordinator’s Telephone Number:**

**Site ELPAC Coordinator’s Email:**

**List all persons (all staff members including test administrators, test examiners, classified staff) present during the audit:**

#### Interview Questions

##### Students Observed—Questions directed to CAASPP and ELPAC test site coordinator(s) and questions for auditor during observation

For the **observed administration column,** the auditor should enter the number of students observed taking each assessment.

| **Content Area** | **Observed Administration** |
| --- | --- |
| Smarter Balanced for ELA and mathematics | [enter number] |
| Smarter Balanced Interim Assessments | [enter number] |
| CAAs for ELA and mathematics | [enter number] |
| Initial ELPAC | [enter number] |
| Initial Alternate ELPAC | [enter number] |
| Summative ELPAC | [enter number] |
| Summative Alternate ELPAC | [enter number] |
| CAST | [enter number] |
| CAA for Science | [enter number] |
| CSA | [enter number] |

##### Pre-administration—Questions directed to the CAASPP test site coordinator and site ELPAC coordinator

1. How long have you held this position?
2. What type of training did you receive on test administration procedures?
3. Are all test administrators and test examiners current LEA employees or contractors?
4. What process do you have to ensure that students with an individualized education program (IEP) or Section 504 plan are assigned the appropriate accessibility resources in accordance with their IEP or Section 504 plan?
5. What is the decision-making process for assigning students designated supports that are not required in an IEP or a Section 504 plan?
6. Are students’ test settings loaded into the Test Operations Management System (TOMS) by the LEA coordinator or by the site coordinator?

##### Administration—Questions directed to the CAASPP test site coordinator and site ELPAC coordinator

1. What is the plan for students who require more than the recommended time for testing?
2. Did the test site coordinator report any testing incidents using the Security and Test Administration Incident Reporting System?

##### Remote Testing—Questions directed to the CAASPP test site coordinator and site ELPAC coordinator

Some assessments may be administered remotely. No alternate assessments may be administered remotely. Most likely, auditors will not witness a remote session. Please ask the coordinators to answer the following questions based on their overall experience with remote testing.

1. Did your school administer any assessments remotely?
2. If no, please skip to the next applicable section.
3. For remote testing, how did your site communicate with parents/guardians the need for the student to **not receive** any assistance during the assessments?
4. If there was no communication, please explain.
5. For remote test administration, how many students on average were in each testing session?
6. List assessment and number of students
7. For remote test administration, were test administrators and test examiners told to observe students destroying their scratch paper on camera?
8. For remote test administration, were there any security issues reported by test administrators or test examiners?
9. Are the test examiners and test administrators well-informed about the difference between *In-Person* and *Remote or Hybrid* test session types and their respective applicability?
10. Did the test examiner or the test administrator communicate to the students the importance of continuous video access with the student during a remote test session?
11. Did the test examiner or the test administrator face such a testing incident and was the test paused within time?

#### CAASPP Interview Questions

##### CAASPP—Questions directed to the CAASPP test site coordinator

1. Did all CAASPP test administrators participate in a site or LEA training session prior to test administration?
2. Are all CAASPP test examiners (administering the CAAs) certificated or licensed employees of the LEA?
3. Did all CAASPP test examiners complete the Test Examiner Tutorial prior to test administration?

##### Interim Assessments—Questions directed to CAASPP test site coordinator

1. Does your school administer the Smarter Balanced Interim Assessments?
2. If no, please skip to the next applicable section.
3. Did you review the security procedures and guidelines in the *Interim Assessment User Guide*?
4. If no, please explain.
5. What measures are in place at your school to ensure that interim assessment content is available only to staff and students?
6. What is your process for reporting security breaches or compromises of the interim assessments to your LEA CAASPP coordinator?

#### ELPAC Interview Questions

##### ELPAC—Questions directed to site ELPAC coordinator

1. Did all ELPAC test examiners complete the Administration and Scoring Training in Moodle for the grade level and assessment administered?
2. What process does the LEA ELPAC coordinator follow to ensure that if needed, students are correctly assigned a domain exemption or alternate assessment in TOMS?

**Note:**  The following questions and observations are for schools with ELPAC paper–‍pencil materials, which are limited to kindergarten through grade two and special versions such as braille or large print.

1. What processes are in place for the secure transit and storage of test materials between the LEA and the test site?
2. What processes are in place for securely returning materials to the LEA after testing?
3. If possible, ask to check where the ELPAC test materials are stored. Acceptable descriptors include “locked cabinet,” “locked storage room,” “school vault or safe,” “file cabinet,” “conference room with clamshell lock or padlock,” “conference room with standard lock,” or “classroom converted for storage.” If this is not possible, please ask the site ELPAC coordinator to describe the location where the ELPAC test materials are stored.
4.  If test materials are stored on the floor of a daily-use office, please call the ETS Office of Testing Integrity immediately at 609-406-5430.
5. If there were any problems with the Answer Book shipment, did the test site coordinator immediately advise the LEA ELPAC coordinator? If there were no problems with the shipment, please indicate “no problems with the shipment.”
6. What is the process to maintain the security of test materials during testing?
7. What steps does the site coordinator take in distributing, collecting, and tracking test materials before they are returned to the LEA ELPAC coordinator?

#### Auditor Observations

##### Facilities Information—Questions for auditor during the auditor’s observation

1. Enter the number of students for each testing environment that you observed and whether or not the testing environment was free from materials that could aid students during testing.

|  |  |  |
| --- | --- | --- |
| **Room Type** | **Approximate # of Students** | **Is the Testing Room(s) Free of Aids\*** |
| Classroom 1 | [enter number] | [“Yes” or “No”] |
| Classroom 2 | [enter number] | [“Yes” or “No”] |
| Classroom 3 | [enter number] | [“Yes” or “No”] |
| Classroom 4 | [enter number] | [“Yes” or “No”] |
| Computer Lab | [enter number] | [“Yes” or “No”] |
| Library | [enter number] | [“Yes” or “No”] |
| Cafeteria | [enter number] | [“Yes” or “No”] |
| Office 1 | [enter number] | [“Yes” or “No”] |
| Office 2 | [enter number] | [“Yes” or “No”] |
| Other (describe) | [enter number] | [“Yes” or “No”] |

\*Aids include materials that might assist students in answering test questions, such as mathematics instructions, formulas, and English instructions. (Please note that maps and student drawings are not considered aids.)

1. If other rooms were observed that are not described, please note any additional details about the observation.

##### Observations—Questions for auditor during the auditor’s observation

1. Were any other testing programs (e.g., Advanced Placement, International Baccalaureate, SAT, ACT, McGraw-Hill, etc.) scheduled for administration at this site on the day you observed?
2. Did test administrators and test examiners verify test-taker rosters, student information, and test settings prior to admitting test takers?
3. If no, please explain.
4. Did test administrators and test examiners allow only authorized visitors into the testing room? (Note that only students who are testing are permitted in the testing area.)
5. If no, please explain.
6. Are the computer screens and students’ desks positioned to prevent test takers from referring to their neighbor’s screen or answer documents?
7. Did test administrators and test examiners ensure that test takers did not have improper items or aids in the testing room? (For example, calculators are only permitted for students in grades six through eight or grade eleven taking a mathematics test that have been assigned to use the non-embedded calculator as a testing accommodation, or students in grades five or eight, or in high school, that have been assigned to use the non-embedded calculator as a designated support for ***science*** testing.)
8. If no, please explain.
9. Did test administrators and test examiners securely handle students’ scratch paper?
10. Did test administrators and test examiners ensure that test takers did not write down or photograph test questions?
11. Did test administrators and test examiners refrain from coaching students during testing?
12. Did test administrators and test examiners ensure that test takers did not access cell phones during the test administration?
13. If no, please explain.
14. Did test administrators and test examiners make certain that at least one staff member was always present in each testing room and that the person was actively monitoring students?
15. If no, please explain.
16. Did test administrators and test examiners read verbatim the script or directions for administration of the test being given?
17. If no, please explain.
18. What action was taken by the test administrator or test examiner if a student was suspected of cheating? (Write “No cheating observed” if ***no*** cheating was observed.)
19. Did test administrators and test examiners refrain from reading test questions on individual student computers?
20. Is there clear direction to students regarding what they should and shouldn’t do in the event they finish testing early?
21. Are students that complete testing early prevented from interacting with or distracting students who are still testing?
22. Did test administrators and test examiners appear to provide assistance to test takers (e.g., pointing out responses on the screen, repeatedly visiting the same test taker, nodding to test takers who are pointing at the computer monitor, etc.)?
23. If yes, please call ETS immediately at 609-406-5430.

**Note:**  With the CAA population of students, a test examiner may point to the screen and perform actions to refocus the student to the task at hand. This interaction with the student is unique to alternate assessments.

1. Were any technical issues evident that required all testing to be stopped and assistance to be called for?
2. Did you observe the test examiner enter student scores in the Data Entry Interface in real time? If so, for which assessment?
3. Did the ELPAC test examiner ensure proper functioning of the audio before starting to administer the ELPAC test and educate the students who do not have the embedded designated support of Pause or Replay Audio about its limitations?

##### Post administration Activity—Questions for auditor during the auditor’s observation

1. List and describe any irregularities or security incidents that occurred during this site visit.
2. How was this incident handled by the test administrator, test examiner, or site coordinator?
3. What was the process observed when the testing staff collected the student logon tickets? Student logon tickets are documents that are printed on-site; each ticket includes a student’s first and last names and the student’s SSID. The tickets are handed out to students at the beginning of a testing session and are used by each student to log on to the testing system.
4. Did the auditor observe the destruction of student logon tickets?
5. If the student logon tickets are not destroyed immediately after testing, the auditor should ask when they will be destroyed and where they will be stored securely until destruction.

##### Overall Summary—Questions for auditor during the auditor’s observation

1. List any items you discussed with the test site coordinator that have not already been covered by previous questions in this report.
2. What is your overall impression of this test administration?

**Additional Comments:**