

CALIFORNIA

Assessment of Student Performance and Progress



California Assessment of
Student Performance and Progress

CAASPP Security Incidents and Appeals Procedure Guide

2018-19 Administration

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



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CAASPP Security Incidents and Appeals Procedure Guide

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Acronyms and Initialisms Used in the *Security Incidents and Appeals Procedure Guide*

Abbreviation	Definition
CAA	California Alternate Assessment
CAASPP	California Assessment of Student Performance and Progress
CaITAC	California Technical Assistance Center
CAST	California Science Test
CAT	computer adaptive test
CDE	California Department of Education
CDS	county/district/school
CSA	California Spanish Assessment
DEI	Data Entry Interface
ELA	English language arts/literacy
IEP	individualized education program
LEA	local educational agency
PT	performance task
SSID	Statewide Student Identifier
STAIRS	Security and Test Administration Incident Reporting System
TIDE	Test Information Distribution Engine
TOMS	Test Operations Management System

Introduction

Security Incidents and Appeals Procedure Guide **Content**

What's New for Reporting Incidents and Filing Appeals in 2018–19

Submitting Incidents Using the Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process

- California Assessment of Student Performance and Progress (CAASPP) testing incidents are reported using the STAIRS/Appeals process in the Test Operations Management System (TOMS).

Submitting Appeals

- Appeals are submitted during the STAIRS/Appeals process and then tracked and accessed using TOMS rather than the Test Information Distribution Engine.

Programs Reported

- Testing incidents and appeals for the operational **Smarter Balanced Summative assessments in English language arts/literacy (ELA) and mathematics** in grades three through eight and grade eleven are submitted using the STAIRS/Appeals process in TOMS.
- Testing incidents and appeals for the operational **California Alternate Assessments in ELA and mathematics** in grades three through eight and grade eleven are submitted using the STAIRS/Appeals process in TOMS.
- Testing incidents and appeals for the operational **California Science Test** in grades five and eight and high school are submitted using the STAIRS/Appeals process in TOMS.
- Testing incidents and appeals for the operational **California Spanish Assessment** in grades three through high school are submitted using the STAIRS/Appeals process in TOMS.
- Testing incidents and appeals for the **CAA for Science** in grades five and eight and high school are submitted using the STAIRS/Appeals process in TOMS.
- Errors in entering data in the Data Entry Interface for **Smarter Balanced paper-pencil tests** are submitted using the STAIRS/Appeals process in TOMS; a Reset or Re-open Appeal is filed, enabling student responses to be entered or reentered. (*Available in April 2019*)

Reports Generated

- STAIRS and Appeals reports that show the status of STAIRS cases and Appeal types can be generated at the LEA and school levels.

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. It also addresses what to do after reporting the incident through the STAIRS/ Appeals process, as, for example, when directed to file an Appeal.

Document Conventions

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

Table 1. Key Symbols and Document Conventions

Element	Description
	Warning: This symbol accompanies important information regarding actions that may cause fatal errors.
	Alert: This symbol accompanies important information regarding a task that may cause minor errors.
	Note: This symbol accompanies additional information that may be of interest.
	Resources: This symbol accompanies a list of URLs for web pages and or web documents that provide additional information.
[text]	Text in brackets is used to indicate a link or button that is selectable.

Overview of Manual Content

This manual is organized as follows:

- [Security Incidents and Appeals Procedure Guide Content](#) (this section), describes this guide.
- [Chapter 1, Test Security Incident Management](#), describes how and when to report testing improprieties, irregularities, and breaches.
- [Chapter 2, The Security and Test Administration Incident Reporting System \(STAIRS\)/ Appeals Process](#), provides the steps necessary to report a CAASPP test administration incident.
- [Chapter 3, Appeals](#), provides information about Appeal types and searching for Appeal statuses in TOMS.
- [Appendix A, Test Security and Incident Chart](#), describes and sorts incident types into “impropriety,” “irregularity,” and “breach.”

- [Appendix B, Incident Types, Descriptions, and Actions in the California Assessment of Student Performance and Progress \(CAASPP\) Security and Test Administration Reporting System \(STAIRS\)/Appeals Process](#), lists testing incidents and possible actions to take.
- [Appendix C, STAIRS/Appeals Process Flowchart](#), maps the flow of the STAIRS process.
- [Appendix D, Incident Types and Questions on the California Assessment of Student Performance and Progress \(CAASPP\) Security and Test Administration Incident Reporting System \(STAIRS\)/Appeals Form](#), contains a list of testing incidents that can be selected during the STAIRS/Appeals process as well as the questions that must be answered as a result of a selection.
- [Appendix E, Security and Test Administration Incident Reporting System \(STAIRS\) Applicable Testing Incidents](#), shows a list of the incident descriptions associated with incident types.
- [Appendix F, Reasons for Appeal Types in the Appeals System](#), contains a table that lists the reasons for each available Appeal type.

Chapter 1. Test Security Incident Management

Background

Resources In This Section

- *California Assessment of Student Performance and Progress (CAASPP) Online Test Administration Manual* web document—
http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2018-19.pdf
- CAASPP Security and Test Administration Incident Reporting System (STAIRS)/ Appeals Process for Summative Assessments web page—
<http://www.caaspp.org/stairs/>
- *Smarter Balanced Paper-Pencil Test Administration Manuals* web documents—linked at <http://www.caaspp.org/administration/about/smarter-balanced/>
- Test Operations Management System (TOMS) website—<https://caaspp.ets.org/>

Local educational agency (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 web form 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 form is submitted by the CAASPP test site coordinator. Ensure that communications generated by the email address caaspp@ETS.org are not automatically sent to a junk mail or spam folder.

The LEA CAASPP coordinator is responsible for notifying the California Department of Education (CDE), via the STAIRS/Appeals process, of any incidents that occur before, during, or after testing. The CAASPP test site coordinator is responsible for immediately notifying the LEA CAASPP coordinator of any security breaches or testing irregularities that occur in the administration of the test but may also submit the form.

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

After you have entered the details of the incident, the system presents the next steps you must take in TOMS—either by having the LEA CAASPP coordinator or CAASPP test site coordinator fill out an Appeal request; saving the confirmation email for your records; or, in the case of breaches, by contacting the CDE by phone at 916-445-8765 (breaches that are not the result of social media exposure), or contacting the California Technical Assistance Center (CaITAC) by phone at 800-955-2954 (breaches that are the result of social media exposure). Only LEA CAASPP coordinators contact CaITAC; CAASPP test site coordinators should contact their LEA CAASPP coordinator.



Note: LEA CAASPP coordinators use the STAIRS/Appeals process 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 CalTAC.

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 form 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

Type	Definition
Impropriety	<p>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.</p> <p>Improprieties must be escalated in accordance with state policies and procedures, protocols, and guidelines within 24 hours of the incident using the STAIRS/Appeals process in TOMS.</p>
Irregularity	<p>An unusual circumstance that impacts an individual or group of students who are testing and may potentially affect student performance on the test or impact test security, or test validity. These circumstances can be corrected and contained at the local level and submitted in the online Appeals System via TOMS for resolution.</p> <p>Irregularities must be escalated in accordance with state policies and procedures, protocols, and guidelines within 24 hours of the incident via the online CAASPP STAIRS/Appeals process in TOMS.</p>

Type	Definition
Breach	<p>An event that poses a threat to the validity of the test. Examples may include such situations as a release of secure materials or a security or system risk. These circumstances have external implications for the Consortium and may result in a Consortium decision to remove the test item(s) from the available secure bank.</p> <p>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, he or she must complete the online STAIRS/Appeals process in TOMS within 24 hours.</p>

Reporting Timelines and Activities

Applicable Tests

Please note that STAIRS and the online Appeals System are for the 2018–19 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 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 process flow diagram for improprieties is presented in Figure 1. The process flow diagram for irregularities is presented in Figure 2. The process flow diagram for breaches is presented in Figure 3.

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] leaving the testing room without authorization, or related instructional materials were left on the walls in the testing room.)

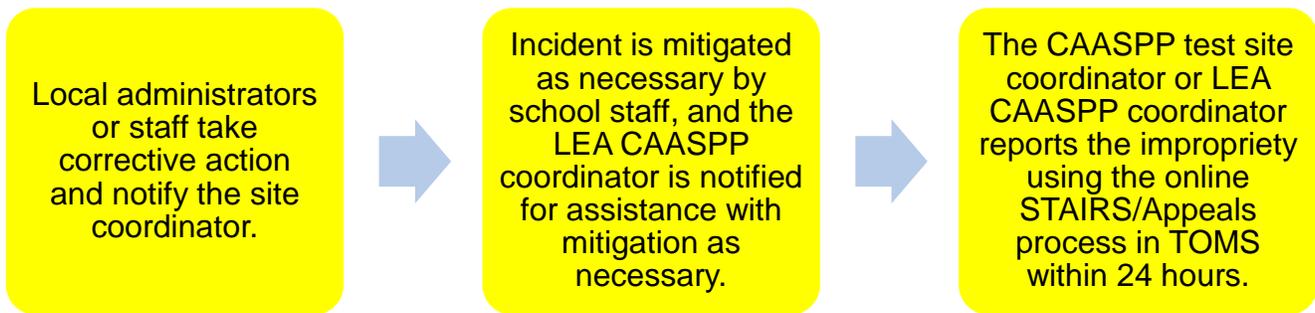


Figure 1. Impropriety process flow diagram

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.)

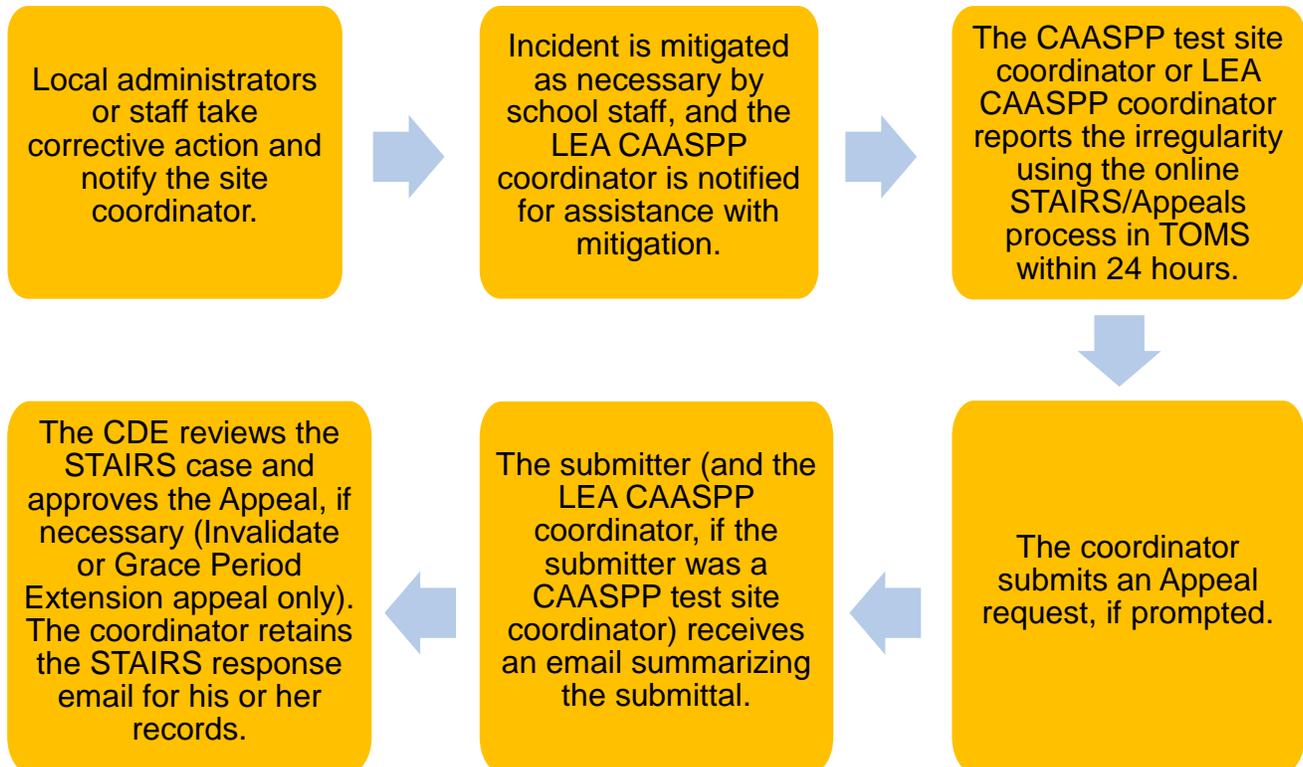


Figure 2. Irregularity process flow diagram

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.)

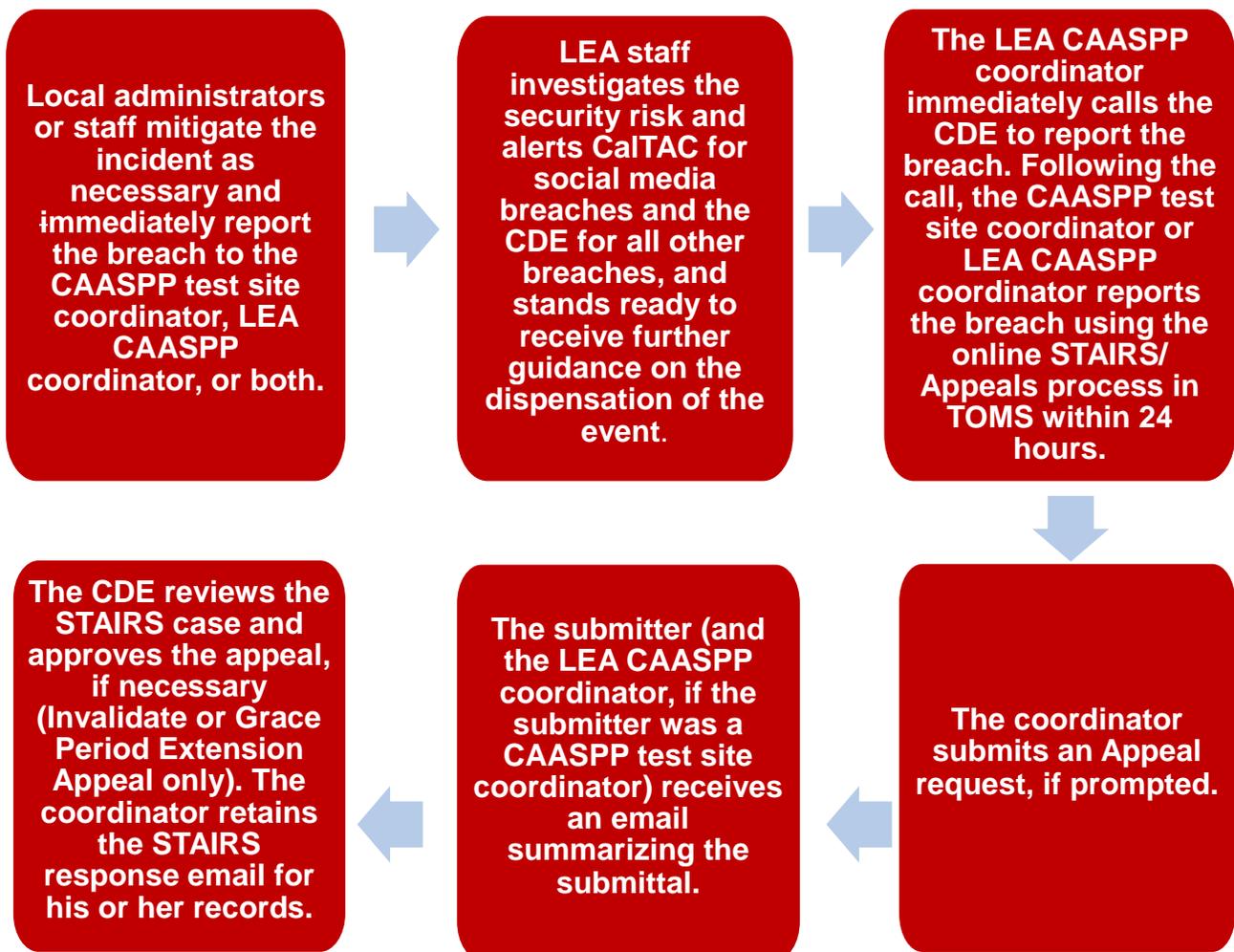


Figure 3. Breach process flow diagram

Commonly Reported Security Issues and How to Avoid Them

Local educational agency (LEA) California Assessment of Student Performance and Progress (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 the Test Operations Management System (TOMS) and the Test Administrator Interface. Incorrect settings mean that the student's testing will be interrupted or delayed while the CAASPP *Security and Test Administration Incident Reporting System (STAIRS)/Appeals* web form 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 CAASPP *STAIRS/Appeals* web form and request the 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.

Chapter 2. The Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process

About the Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process



Resources in This Section

- California Assessment of Student Performance and Progress (CAASPP) STAIRS/ Appeals Process for Summative Assessments web page—
<http://www.caaspp.org/stairs/>



Notes:

- The CAASPP STAIRS/Appeals function in the Test Operations Management System (TOMS) must be used to report incidents that occur during the administration of the CAASPP Smarter Balanced (both online and paper-pencil), California Alternate Assessments, California Science Test, and California Spanish Assessment.
- 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 Smarter Balanced Summative Assessments, the breach incident must be reported to the local educational agency (LEA) CAASPP coordinator immediately. The LEA CAASPP coordinator must **immediately** report the breach by calling either the California Technical Assistance Center (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, he or she must complete the online CAASPP *STAIRS/ Appeals* web form in TOMS **within 24 hours** (instructions on the [STAIRS Process for Summative Assessments](#) Web page).

Purpose

The online CAASPP STAIRS/Appeals function in TOMS must be used by LEA and test site coordinators 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, re-open, 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. They report by means of the CAASPP STAIRS/Appeals web form; they resolve by filing an Appeal to reset, 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 your form to determine whether your testing issue requires additional action by the LEA.

Use



Caution: You cannot file an Appeal without first submitting the CAASPP STAIRS/*Appeals* web form.

The online CAASPP *STAIRS/Appeals* web form, which is available to coordinators through the Test Operations Management System (TOMS), must be used to provide the required information to the CDE when an incident is confirmed. The form includes the opportunity to manually enter or securely upload a spreadsheet containing Statewide Student Identifiers (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 form 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* web form, if this is the procedure established for the LEA, if the incident has not been reported by the CAASPP test site coordinator, and if the incident is not a breach

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, notifies CalTAC for social media breaches and the CDE for all other breaches immediately
- 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

You do not need to report an incident using the CAASPP *STAIRS/Appeals* web form 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.
- Because 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 you think a question was not answered—this scenario has been 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 incorrect Statewide Student Identifiers (SSIDs) were used (SSID swap), LEA CAASPP coordinators must, instead, call the California Technical Assistance Center to report this. CAASPP test site coordinators should contact their LEA CAASPP coordinators for assistance.
- If a student used an electronic device after testing is completed during a session, 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 are engaged in a test session, then report.
- If an English learner enrolled in a U.S. school less than 12 months as of April 15, 2018, and accidentally took the English language arts/literacy assessment, do not report, as this student's score will not be used for accountability purposes.

Submit the *STAIRS/Appeals* Web Form



Additional Resources in This Section:

- California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process for Summative Assessments web page—<http://www.caaspp.org/stairs/>
- CAASPP Forms web page—<http://www.caaspp.org/administration/forms/>
- *Guide to CAASPP Completion Status and Roster Management* web document—<http://www.caaspp.org/rsc/pdfs/CAASPP.completion-status-roster-management-guide.2018-19.pdf>
- *Technical Specifications and Configuration Guide for CAASPP Online Testing*—<http://www.caaspp.org/rsc/pdfs/CAASPP.tech-specs-and-config-guide.2018-19.pdf>

Required Information

The STAIRS/Appeals process in the Test Operations Management System (TOMS) requires the following information from you:

- Date of the incident
- School name
- Grade affected
- Test name and type (for example, the Smarter Balanced mathematics performance task or the California Science Test)
- The type of testing issue; incident types are listed in [appendix D](#), which includes the details required by the form
- Total number of students involved in this incident
- Statewide Student Identifier(s) (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* web form in TOMS and the [CAASPP STAIRS/Appeals](#) web page.
 - You will be prompted during the STAIRS/Appeals process when you need to enter or upload SSIDs.
 - Not all incident reports require that you upload SSIDs, including these types:

- Administration errors
- Exposure of secure materials
- Student disruption
- If you are filing an Appeal, you will also be required to submit SSIDs.
- A brief description of the incident (required)
- 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:

- You can only identify one test per submittal. You must file a separate incident report using the STAIRS/Appeals process for each test. You cannot combine incidents.
- You can only identify one grade level per submittal. You must file a separate STAIRS/Appeals incident report for each grade, even if there were multiple grades associated with an incident.
- Mandatory fields are marked with an asterisk (*).
- You 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 your email administrator that the email address caaspp@ETS.org is whitelisted and that you are able to receive emails 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 your network's firewalls.

Steps for Submitting an Incident



Note: To ensure you are submitting the right incident type and will be able to request the appropriate Appeal, select the [**Completion Status Report**] button in the left navigation bar to access the Completion Status system to run a report of student testing status(es). This will help ensure you are submitting the right incident type and will be able to request the appropriate Appeal. Refer to the [Guide to CAASPP Completion Status and Roster Management](#) for instructions on how to look up student completion status.

Access the *STAIRS/Appeals* web form in TOMS.

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



Figure 4. Buttons on caaspp.org

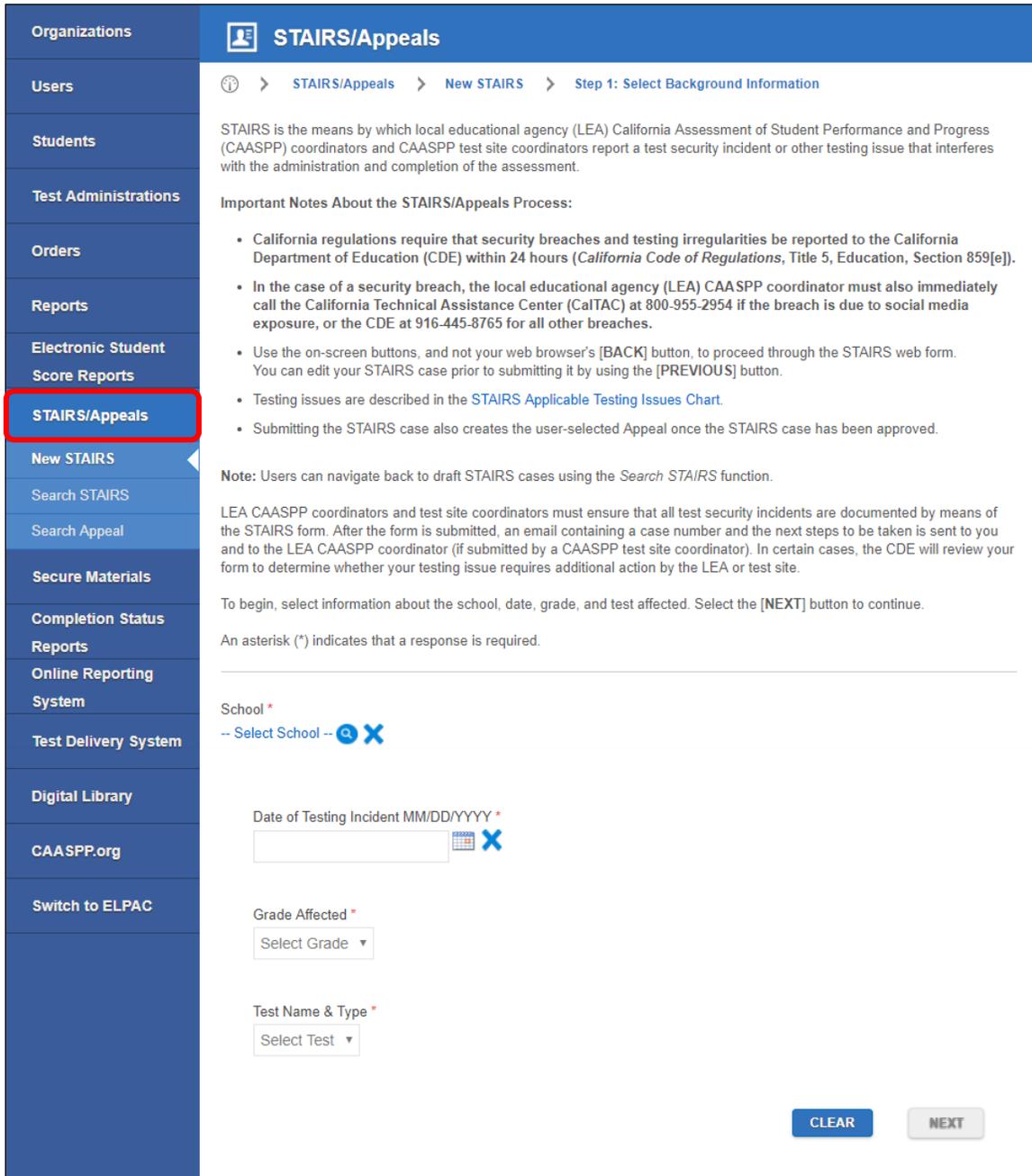
2. After you have logged on and when TOMS has opened, select the [**STAIRS/Appeals**] button—indicated in Figure 5—in the left navigation bar to open the *STAIRS/Appeals* web form. Follow the online prompts to complete the steps to submit the *STAIRS/Appeals* web form.



Notes:

- All fields on the pages of the *STAIRS/Appeals* web form are required.
- To save the *STAIRS/Appeals* form data without submitting it, select the [**NEXT**] button on the last page of the web form you want to save and then select the [**YES**] button when asked if you want to save the data on that page. After that, exiting the *STAIRS/Appeals* module will save your incident submittal as a draft up until the point you had last saved. Drafts can be searched using the *STAIRS* search function.

The Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process | Submit the STAIRS/Appeals Web Form



The screenshot shows the STAIRS/Appeals web form interface. On the left is a navigation menu with the following items: Organizations, Users, Students, Test Administrations, Orders, Reports, Electronic Student Score Reports, **STAIRS/Appeals** (highlighted with a red box), New STAIRS, Search STAIRS, Search Appeal, Secure Materials, Completion Status Reports, Online Reporting System, Test Delivery System, Digital Library, CAASPP.org, and Switch to ELPAC. The main content area is titled "STAIRS/Appeals" and contains the following information:

STAIRS/Appeals

STAIRS is the means by which local educational agency (LEA) California Assessment of Student Performance and Progress (CAASPP) coordinators and CAASPP test site coordinators report a test security incident or other testing issue that interferes with the administration and completion of the assessment.

Important Notes About the STAIRS/Appeals Process:

- California regulations require that security breaches and testing irregularities be reported to the California Department of Education (CDE) within 24 hours (*California Code of Regulations*, Title 5, Education, Section 859[e]).
- In the case of a security breach, the local educational agency (LEA) CAASPP coordinator must also immediately call the California Technical Assistance Center (CalTAC) at 800-955-2954 if the breach is due to social media exposure, or the CDE at 916-445-8765 for all other breaches.
- Use the on-screen buttons, and not your web browser's [BACK] button, to proceed through the STAIRS web form. You can edit your STAIRS case prior to submitting it by using the [PREVIOUS] button.
- Testing issues are described in the [STAIRS Applicable Testing Issues Chart](#).
- Submitting the STAIRS case also creates the user-selected Appeal once the STAIRS case has been approved.

Note: Users can navigate back to draft STAIRS cases using the *Search STAIRS* function.

LEA CAASPP coordinators and test site coordinators must ensure that all test security incidents are documented by means of the STAIRS form. After the form is submitted, an email containing a case number and the next steps to be taken is sent to you and to the LEA CAASPP coordinator (if submitted by a CAASPP test site coordinator). In certain cases, the CDE will review your form to determine whether your testing issue requires additional action by the LEA or test site.

To begin, select information about the school, date, grade, and test affected. Select the [NEXT] button to continue.

An asterisk (*) indicates that a response is required.

School *
 -- Select School --

Date of Testing Incident MM/DD/YYYY *

Grade Affected *

Test Name & Type *

Figure 5. Step 1 on the STAIRS/Appeals web form

Step 1. Select background information.

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

2. Enter a date in the *Date of Testing Incident MM/DD/YYYY* field 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.



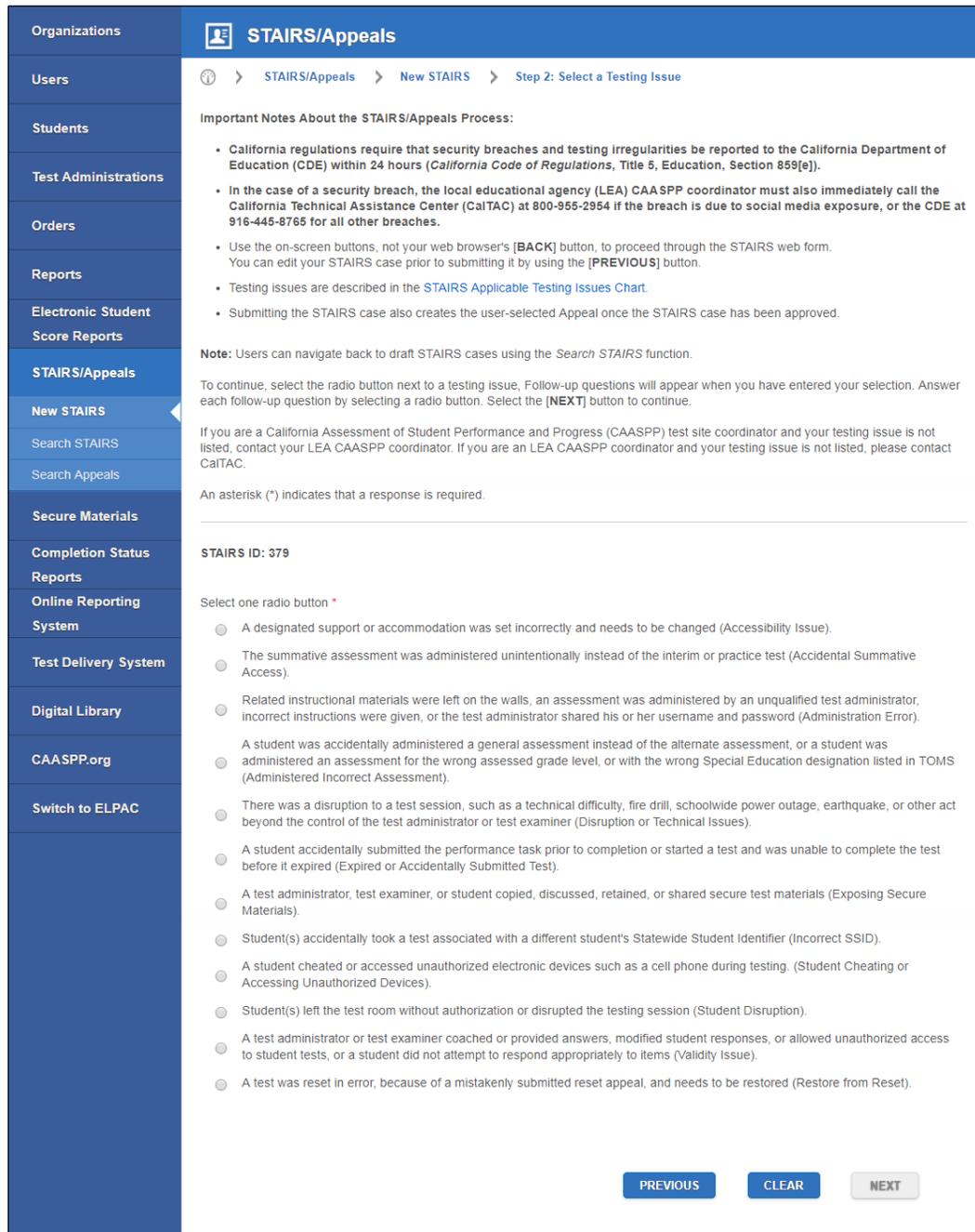
Note: Submit a separate STAIRS report for each grade affected by an incident.

4. Select an assessment from the *Test Name & Type* drop-down list; the list populates only with those assessments available at the grade level you selected. Possible options are as follows:
 - Smarter Balanced Summative English language arts/literacy computer adaptive test (ELA CAT)
 - Smarter Balanced Summative English language arts/literacy performance task (ELA PT)
 - Smarter Balanced Summative English language arts/literacy special version paper-pencil test (ELA SV)
 - Smarter Balanced Summative Mathematics computer adaptive test (Math CAT)
 - Smarter Balanced Summative Mathematics performance task (Math PT)
 - Smarter Balanced Summative Mathematics special version paper-pencil test (Math SV)
 - California Alternate Assessment for English language arts/literacy (CAA ELA)
 - California Alternate Assessment for Mathematics (CAA Math)
 - CAA Science Body Structures and Food Chains, Task 1
 - CAA Science Energy and Physical Properties, Task 2
 - CAA Science Fossils and Shadows, Task 3
 - CAA Science Ecosystems and Energy, Task 1
 - CAA Science Force and Motion, Task 2
 - CAA Science Earth, Task 3
 - CAA Science Moving Objects and Reducing Impacts, Task 1
 - CAA Science Essential Functions and Growth, Task 2
 - CAA Science Weather and Earth's Resources, Task 3
 - California Science Test (CAST)
 - California Spanish Assessment (CSA)
5. Select [**NEXT**] to continue or [**CLEAR**] to clear all data from this page of the form.
6. Select [**YES**] to save the data you entered and continue to the next page of the *STAIRS/Appeals* web form.

The Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process | Submit the STAIRS/Appeals Web Form

Step 2. Select a testing issue.

7. Select the radio button in the “STAIRS ID” section that is associated with the test issue you are reporting. This is shown in Figure 6.



Organizations | **STAIRS/Appeals**

Users | **STAIRS/Appeals** > **New STAIRS** > **Step 2: Select a Testing Issue**

Students

Test Administrations

Orders

Reports

Electronic Student Score Reports

STAIRS/Appeals

New STAIRS

Search STAIRS

Search Appeals

Secure Materials

Completion Status Reports

Online Reporting System

Test Delivery System

Digital Library

CAASPP.org

Switch to ELPAC

Important Notes About the STAIRS/Appeals Process:

- California regulations require that security breaches and testing irregularities be reported to the California Department of Education (CDE) within 24 hours (*California Code of Regulations, Title 5, Education, Section 859(e)*).
- In the case of a security breach, the local educational agency (LEA) CAASPP coordinator must also immediately call the California Technical Assistance Center (CalTAC) at 800-955-2954 if the breach is due to social media exposure, or the CDE at 916-445-8765 for all other breaches.
- Use the on-screen buttons, not your web browser's [BACK] button, to proceed through the STAIRS web form. You can edit your STAIRS case prior to submitting it by using the [PREVIOUS] button.
- Testing issues are described in the [STAIRS Applicable Testing Issues Chart](#).
- Submitting the STAIRS case also creates the user-selected Appeal once the STAIRS case has been approved.

Note: Users can navigate back to draft STAIRS cases using the *Search STAIRS* function.

To continue, select the radio button next to a testing issue. Follow-up questions will appear when you have entered your selection. Answer each follow-up question by selecting a radio button. Select the [NEXT] button to continue.

If you are a California Assessment of Student Performance and Progress (CAASPP) test site coordinator and your testing issue is not listed, contact your LEA CAASPP coordinator. If you are an LEA CAASPP coordinator and your testing issue is not listed, please contact CalTAC.

An asterisk (*) indicates that a response is required.

STAIRS ID: 379

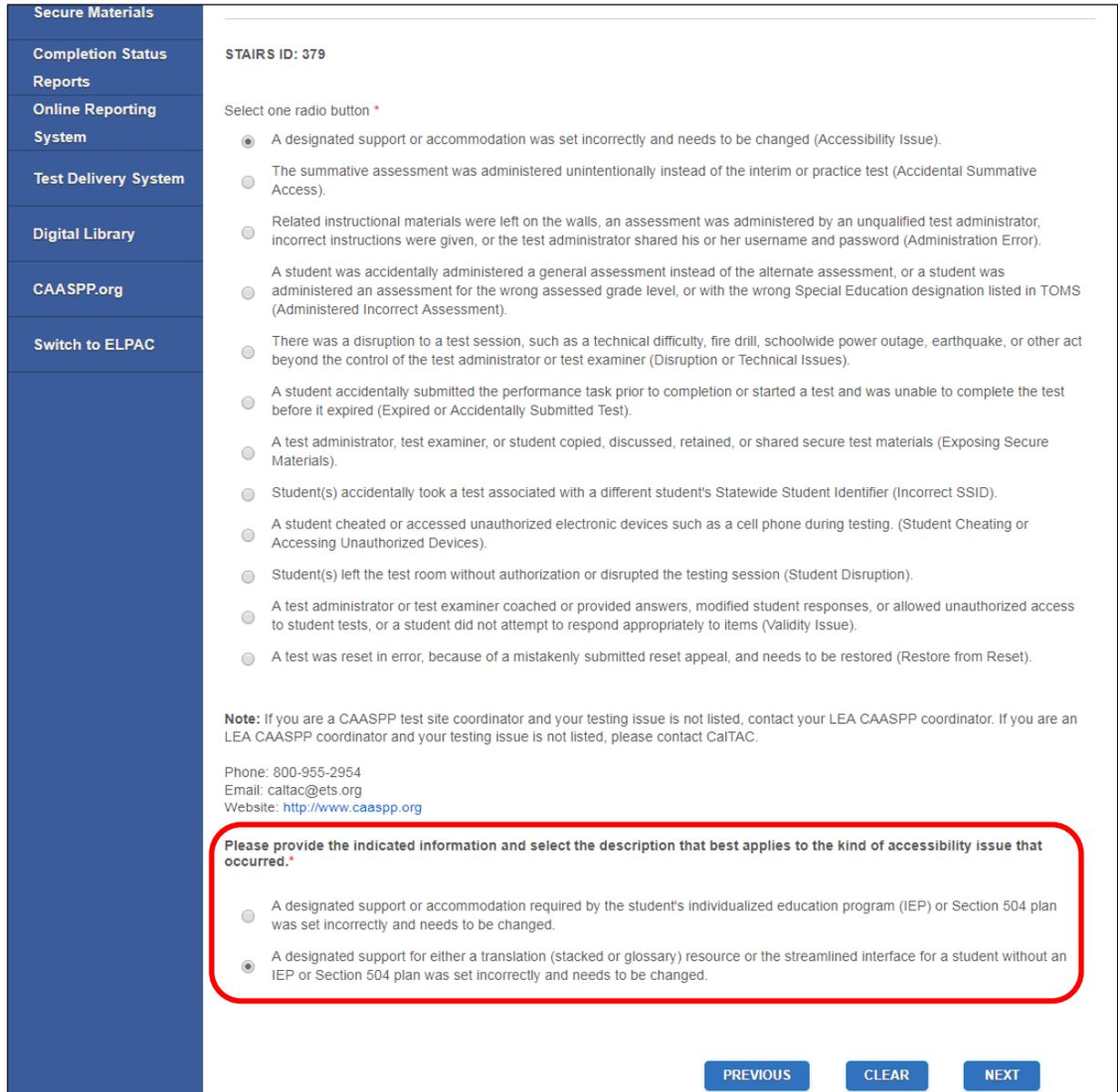
Select one radio button *

- A designated support or accommodation was set incorrectly and needs to be changed (Accessibility Issue).
- The summative assessment was administered unintentionally instead of the interim or practice test (Accidental Summative Access).
- 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 shared his or her username and password (Administration Error).
- 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 (Administered Incorrect Assessment).
- 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 (Disruption or Technical Issues).
- A student accidentally submitted the performance task prior to completion or started a test and was unable to complete the test before it expired (Expired or Accidentally Submitted Test).
- A test administrator, test examiner, or student copied, discussed, retained, or shared secure test materials (Exposing Secure Materials).
- Student(s) accidentally took a test associated with a different student's Statewide Student Identifier (Incorrect SSID).
- A student cheated or accessed unauthorized electronic devices such as a cell phone during testing. (Student Cheating or Accessing Unauthorized Devices).
- Student(s) left the test room without authorization or disrupted the testing session (Student Disruption).
- 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).
- A test was reset in error, because of a mistakenly submitted reset appeal, and needs to be restored (Restore from Reset).

PREVIOUS **CLEAR** **NEXT**

Figure 6. Step 2 on the STAIRS/Appeals web form

8. When an incident type is selected, a list of radio buttons with follow-up questions related to the incident appears; this is shown in Figure 7. Select one of these options from each group of buttons. Selections are required. A full list of incident types and options can be found in [appendix D](#).



Secure Materials

Completion Status Reports

Online Reporting System

Test Delivery System

Digital Library

CAASPP.org

Switch to ELPAC

STAIRS ID: 379

Select one radio button *

- A designated support or accommodation was set incorrectly and needs to be changed (Accessibility Issue).
- The summative assessment was administered unintentionally instead of the interim or practice test (Accidental Summative Access).
- 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 shared his or her username and password (Administration Error).
- 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 (Administered Incorrect Assessment).
- 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 (Disruption or Technical Issues).
- A student accidentally submitted the performance task prior to completion or started a test and was unable to complete the test before it expired (Expired or Accidentally Submitted Test).
- A test administrator, test examiner, or student copied, discussed, retained, or shared secure test materials (Exposing Secure Materials).
- Student(s) accidentally took a test associated with a different student's Statewide Student Identifier (Incorrect SSID).
- A student cheated or accessed unauthorized electronic devices such as a cell phone during testing. (Student Cheating or Accessing Unauthorized Devices).
- Student(s) left the test room without authorization or disrupted the testing session (Student Disruption).
- 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).
- A test was reset in error, because of a mistakenly submitted reset appeal, and needs to be restored (Restore from Reset).

Note: If you are a CAASPP test site coordinator and your testing issue is not listed, contact your LEA CAASPP coordinator. If you are an LEA CAASPP coordinator and your testing issue is not listed, please contact CalTAC.

Phone: 800-955-2954
Email: caltac@ets.org
Website: <http://www.caaspp.org>

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.

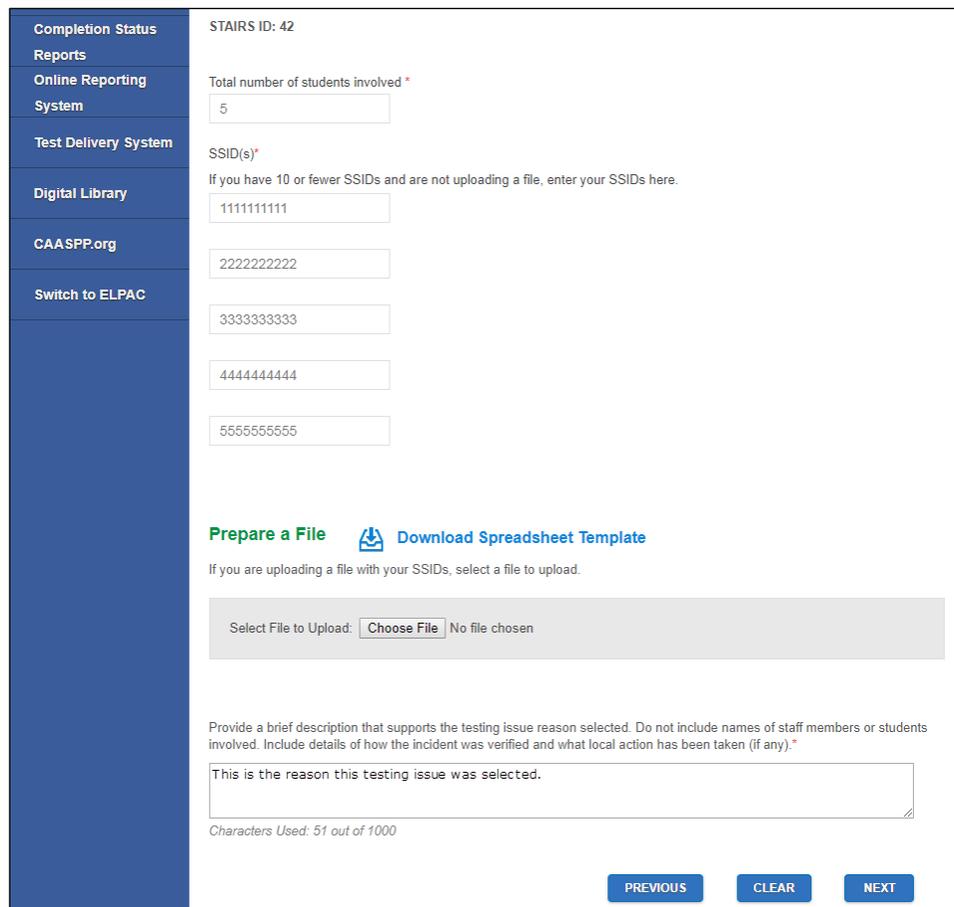
PREVIOUS **CLEAR** **NEXT**

Figure 7. Step 2 with additional options on the STAIRS/Appeals web form

9. Select the **[NEXT]** button to continue to step 3, the **[PREVIOUS]** button to clear the information from the page and return to the previous page in the web form, or **[CLEAR]** to clear all data from this page of the form.

Step 3. Enter information about the affected student(s).

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



Completion Status STAIRS ID: 42

Reports

Online Reporting System Total number of students involved *
5

Test Delivery System SSID(s)*
If you have 10 or fewer SSIDs and are not uploading a file, enter your SSIDs here.

Digital Library 1111111111

CAASPP.org 2222222222

Switch to ELPAC 3333333333
4444444444
5555555555

Prepare a File [Download Spreadsheet Template](#)

If you are uploading a file with your SSIDs, select a file to upload.

Select File to Upload: No file chosen

Provide a brief description that supports the testing issue reason selected. Do not include names of staff members or students involved. Include details of how the incident was verified and what local action has been taken (if any).*

This is the reason this testing issue was selected.

Characters Used: 51 out of 1000

Figure 8. Step 3 on the STAIRS/Appeals web form

11. Enter a Statewide Student Identifier(s) for each student involved in the incident. Select one or the other method: for example, do not enter eight SSIDs in the fields and then add them to a spreadsheet and upload them.
 - a. Enter SSIDs for 10 or fewer affected students in the fields provided. The correct number of onscreen fields appear only if the number entered in the *Total number of students involved* field is 10 or fewer.
 - i. Select **[NEXT]** to validate the SSIDs you entered and continue.
 - ii. If the SSID numbers are not associated with your LEA or school, an error message, such as “This SSID is invalid” will appear. Enter a valid SSID and select **[NEXT]** to continue.

- b. Upload SSIDs for 11 or more affected students using the template.
 - i. Select the [**Download Spreadsheet Template**] down-arrow  icon to download the Excel template. Save the template locally.
 - ii. Enter your student SSIDs in the Excel file using the specifications included in the template's [**File Spec**] tab.
 - iii. Save the file as a .csv file using the *File > Save As* option in Excel.
 - iv. To upload and validate the file, select the [**Browse**] (Internet Explorer or Firefox) or [**Choose File**] (Chrome) button in the "Prepare a File" section.
 - v. After you have uploaded your file, select the [**NEXT**] button to validate your file. If there are errors in your file a message box describing the error will appear. Select [**CLOSE**], fix the the errors, and upload again.
 - c. Describe the testing issue in the field provided and any remediation efforts made. Do not include staff or student names.
 - d. Select the [**NEXT**] button to continue to step 4, the [**PREVIOUS**] button to clear the information from the page and return to the previous page in the web form, or [**CLEAR**] to clear all data from this page of the form.
12. Describe the testing issue in the field provided and any remediation efforts made. Do not include staff or student names.
 13. Select the [**NEXT**] button to continue to step 4, the [**PREVIOUS**] button to return to the previous page in the web form, or [**CLEAR**] to clear all data from this page of the form.

Step 4. Confirm details.

14. Review the information displayed in the "STAIRS Submission Information" section of the STAIRS/Appeals web form; this is displayed in Figure 9.

The Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process | Submit the STAIRS/Appeals Web Form

Secure Materials

Completion Status
Reports

Online Reporting
System

Test Delivery System

Digital Library

CAASPP.org

STAIRS Submission Information

STAIRS ID: 54

User Name: Sample User

User Role: LEA CAASPP Coordinator

Email Address: callac@ets.org

Phone Number:

()	Number	Ext
800	955 2954	

Edits to the phone number affects this STAIRS entry only and will not affect your TOMS user information.

LEA
[County/District/School (CDS) code]: Sample Unified School District [000000000000000]

School [CDS code]: Sample High School [000000000000000]

Date of Incident: 12/07/2018

Grade Affected: 11

Total Number of Students Involved: 1

Test Name and Type: Smarter Balanced Summative English language arts/literacy performance task (ELA PT)

Testing Issue: Accessibility Issue

Further Description of Testing Issue: Q1. 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.

Additional Comments: This is a comment regarding this case.

If the information shown here is correct, please select the [NEXT] button.

If any of the fields shown here are incorrect, use the form's [PREVIOUS] button (NOT your web browser's [PREVIOUS] button) to navigate to the page that requires correction.

PREVIOUS
NEXT

Figure 9. STAIRS Submission Information screen

15. If you need to change the phone number associated with this submission, you may change it in the *Phone Number* field. Doing so does not affect the phone number associated with the organization in TOMS.
16. 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 an Appeal may not be an option is because an incorrect incident type was selected—for example, it is not possible to reopen an assessment that has not yet been submitted. To ensure you are submitting the right incident type and will be able to request the appropriate Appeal, select the **[Completion Status Report]** button in the left navigation bar to access the Completion Status system to run a report of student testing status(es). Refer to the [Guide to CAASPP Completion Status and Roster Management](#) for instructions on how to look up student completion status.

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.

17. Check the box in the *Select* column to submit the Appeal.

Completion Status Reports	STAIRS ID: 425												
Online Reporting System	Cases for Appeals *												
Test Delivery System	This case is eligible for an Appeal type Reset . Request the appeal now by checking the box(es) in the <i>Select</i> column of this table at the bottom of this web page and then selecting the [SUBMIT] button.												
Digital Library	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #2c4e64; color: white;"> <th>Select</th> <th>SSID Identifier</th> <th>Grade</th> <th>Test Name</th> <th>Test State</th> <th>Test ID</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td>1111111111</td> <td>04</td> <td>Smarter Balanced Summative Mathematics computer adaptive test (Math CAT)</td> <td>reported</td> <td>SBAC-GEN-SUM-UD-MA-C</td> </tr> </tbody> </table>	Select	SSID Identifier	Grade	Test Name	Test State	Test ID	<input checked="" type="checkbox"/>	1111111111	04	Smarter Balanced Summative Mathematics computer adaptive test (Math CAT)	reported	SBAC-GEN-SUM-UD-MA-C
Select	SSID Identifier	Grade	Test Name	Test State	Test ID								
<input checked="" type="checkbox"/>	1111111111	04	Smarter Balanced Summative Mathematics computer adaptive test (Math CAT)	reported	SBAC-GEN-SUM-UD-MA-C								
CAASPP.org	Comments or questions related to STAIRS case number 425 can be entered in the text box before you select the [SUBMIT] button. A California Technical Assistance Center representative will reply to your message, and you will have additional opportunities to submit a message on the [Notes] tab of the STAIRS <i>Summary</i> screen.												
Switch to ELPAC	<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <p style="font-size: small; margin-top: 5px;">Characters used: 0 out of 1000</p>												
<div style="display: flex; justify-content: space-around;"> RETURN TO STEP 1 CLEAR SUBMIT </div>													

Figure 10. Select a case for appeal

18. Enter comments in the text field. The maximum number of characters allowed is 1,000.

Step 6. Submit the STAIRS Case

19. Select the **[Submit]** button.

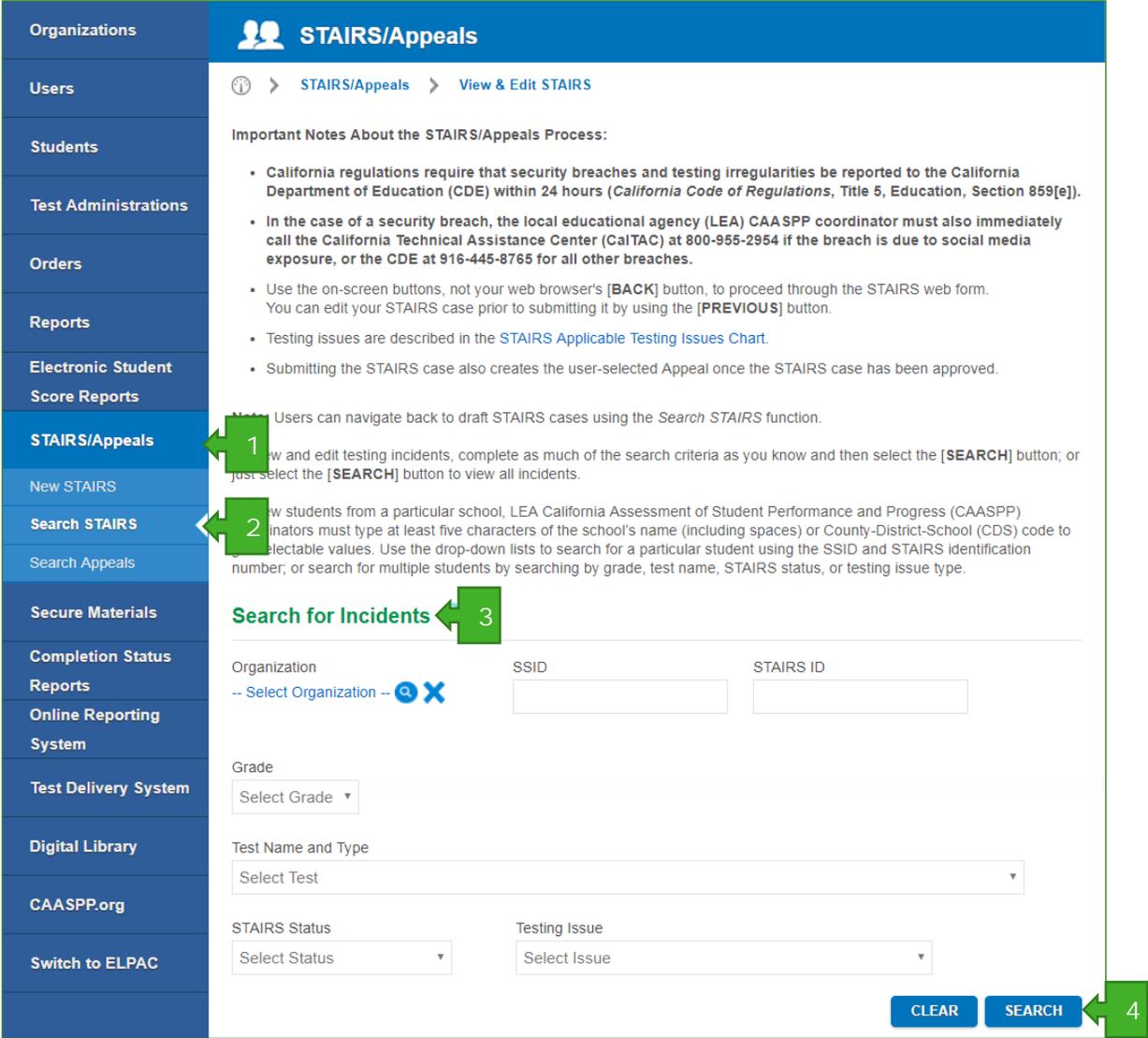
20. You will receive an email from caaspp@ETS.org that summarizes your submittal.

Search Incidents and Check Statuses

You can use the search function to check the status of a STAIRS case you submitted or one you started (“Draft”).

You can find students in the *Search for Incidents* web form, where you can view and edit their STAIRS and appeals information, as well as communicate with the CDE about the case using the Note function.

1. Select the [**STAIRS/Appeals**] button on the left navigation bar (Figure 11).
2. Select the [**Search STAIRS**] button on the left navigation bar (Figure 11).



The screenshot shows the STAIRS/Appeals web interface. On the left is a navigation menu with items like Organizations, Users, Students, Test Administrations, Orders, Reports, Electronic Student Score Reports, STAIRS/Appeals, New STAIRS, Search STAIRS, Search Appeals, Secure Materials, Completion Status Reports, Online Reporting System, Test Delivery System, Digital Library, CAASPP.org, and Switch to ELPAC. The main content area is titled 'STAIRS/Appeals' and contains 'Important Notes About the STAIRS/Appeals Process' and a 'Search for Incidents' section. The search section includes fields for Organization, SSID, STAIRS ID, Grade, Test Name and Type, STAIRS Status, and Testing Issue. There are 'CLEAR' and 'SEARCH' buttons at the bottom right. Four green callout boxes with numbers 1, 2, 3, and 4 point to the 'Search STAIRS' menu item, the search criteria text, the 'Search for Incidents' header, and the 'SEARCH' button respectively.

Figure 11. Search for Incidents web form

- 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 you enter only your *Organization*, 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

Field	Description
<i>Organization</i>	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.
<i>SSID</i>	Enter a single SSID.
<i>STAIRS ID</i>	Enter the STAIRS case number.
<i>Grade</i>	Enter the grade for all students for whom a STAIRS case has been started or submitted.
<i>Test Name and Type</i>	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.
<i>STAIRS Status</i>	Select a STAIRS status from the drop-down list. Statuses are as follows: <ul style="list-style-type: none"> • Approved • Draft • Pending CDE Approval • Pending CalTAC Approval • Rejected • Withdrawn
<i>Testing Issue</i>	Select a testing issue. These are the issues that are listed on the Step 2 screen and listed in appendix D .

- Select the [**SEARCH**] button—indicated in Figure 11—to conclude the search or the [**CLEAR**] button to clear all information from the web form.

View a STAIRS Case

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

We found 15 entries matching your search criteria Results Per Page 20 ▾

To view or edit STAIRS information, select the [View] (magnifying glass) icon. Hover your mouse over the other icons (if present) in the Actions column for a description of additional actions available to some users.

#	STAIRS ID	School	Grade	Test	Date Created	No. of Students	STAIRS Status	Actions
1	30	Sample Elementary School (0000000000000000)	05	Smarter Balanced Summative Mathematics performance task (Math PT)	2018-12-02 18:40:56.175	1	Draft	
2	18	Sample Elementary School (0000000000000000)	05	Smarter Balanced Summative English language arts/literacy computer adaptive test (ELA CAT)	2018-11-28 10:58:11.174	1	Approved	
3	13	Sample Elementary School (0000000000000000)	05	Smarter Balanced Summative English language arts/literacy performance task (ELA PT)	2018-12-02 16:04:23.237	2	Approved	
4	12	Sample Elementary School (0000000000000000)	05	Smarter Balanced Summative Mathematics performance task (Math PT)	2018-11-28 15:43:48.669		Approved	
5	5	Sample Elementary School	05	Smarter Balanced Summative Mathematics	2018-11-28		Draft	

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).

The Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process | Search Incidents and Check Statuses

Summary
Notes

STAIRS Summary

If the status of this STAIRS case is still pending and you would like to withdraw this submission, select the **[WITHDRAW]** button under the STAIRS Details table. This button is present only if the STAIRS case is still pending. You will need to enter the details of the incident again to resubmit the case once it has been withdrawn.

STAIRS ID: 213

STAIRS Status: Pending CalTAC Approval

User Name: Sample User

User Role: CAASPP Test Site Coordinator at Sample Elementary [00000000000000]

Email Address: calltac@ets.org

Phone Number: 8009552954

LEA [County/District/School (CDS) code]: Sample Unified School District [00000000000000]

School [CDS Code]: Sample Elementary [00000000000000]

Date of Incident: 01/02/2019

Grade Affected: 03

Total Number of Students Involved: 1

Test Name and Type: Smarter Balanced Summative English language arts/literacy computer adaptive test (ELA CAT)

Testing Issue: Accessibility Issue

Further Description of Testing Issue: Q1. 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.

Appeal Type: Reset

Additional Comments: abc

STAIRS Details

Statewide Student Identifier	Grade	Test Name	Test State	Test ID
2003794031	03	Smarter Balanced Summative English language arts/literacy computer adaptive test (ELA CAT)	reported	SBAC-GEN-SUM-UD-EL

WITHDRAW
CLOSE

Figure 13. STAIRS Summary screen

Withdraw a Case

If the STAIRS case is still pending—for example, if it is pending approval from the California Technical Assistance Center—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.

The Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process | Search Incidents and Check Statuses

Summary
Notes

STAIRS Summary

If the status of this STAIRS case is still pending and you would like to withdraw this submission, select the **[WITHDRAW]** button under the STAIRS Details table. This button is present only if the STAIRS case is still pending. You will need to enter the details of the incident again to resubmit the case once it has been withdrawn.

STAIRS ID:	213
STAIRS Status:	Pending CalTAC Approval
User Name:	Sample User
User Role:	CAASPP Test Site Coordinator at Sample Elementary [00000000000000]
Email Address:	callac@ets.org
Phone Number:	8009552954
LEA [County/District/School (CDS) code]:	Sample Unified School District [00000000000000]
School [CDS Code]:	Sample Elementary [00000000000000]
Date of Incident:	01/02/2019
Grade Affected:	03
Total Number of Students Involved:	1
Test Name and Type:	Smarter Balanced Summative English language arts/literacy computer adaptive test (ELA CAT)
Testing Issue:	Accessibility Issue
Further Description of Testing Issue:	Q1. 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.
Appeal Type:	Reset
Additional Comments:	abc

STAIRS Details

Statewide Student Identifier	Grade	Test Name	Test State	Test ID
2003794031	03	Smarter Balanced Summative English language arts/literacy computer adaptive test (ELA CAT)	reported	SBAC-GEN-SUM-UD-EL

4 **WITHDRAW**
CLOSE

Figure 14. STAIRS Summary with the [WITHDRAW] button

3. If the case is pending, 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 State
 - Test Name
 - Test ID

- Test Start Date
 - Result ID
 - Session ID
 - Total Response
4. Select the **[WITHDRAW]** button to withdraw this submission or **[CLOSE]** to return to the *Search for Incidents* web form. If you selected **[WITHDRAW]**, you will receive an email confirming the withdrawal.
 5. You must enter the details of the incident to resubmit the case once it has been withdrawn.

Communicate with the California Department of Education (CDE) About a Case

You can communicate with the CDE about a Security and Test Administration Incident Reporting System (STAIRS) case involving any kind of Appeal using the Notes feature, which permits secure communication with the CDE about a STAIRS case.



Note: The California Technical Assistance Center has access to read these communications.

The Notes feature allows you 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.
3. Enter your Note in the text field.

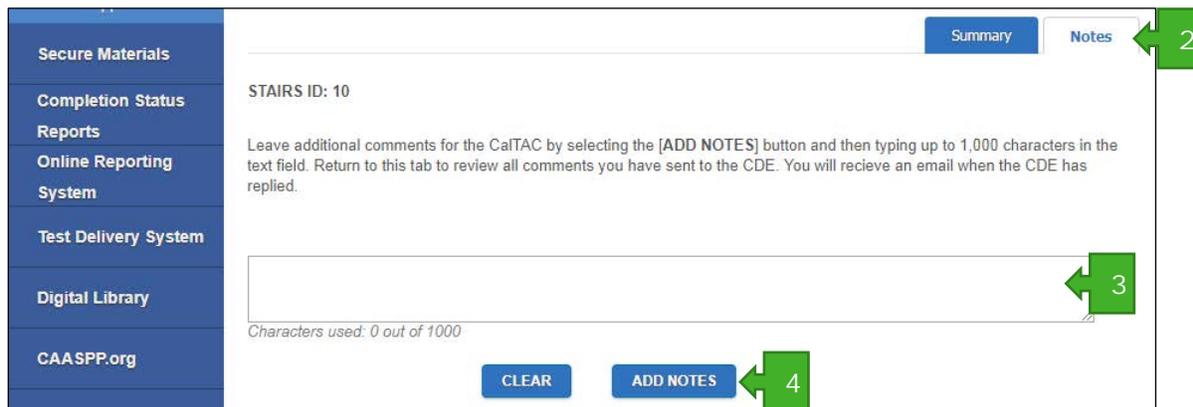


Figure 15. [Notes] tab in STAIRS/Appeals

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

You will be notified, via email, when there is a reply to your comment.

Chapter 3. Appeals

About the Appeals Process



Resources in This Section

- California Department of Education (CDE) California School Dashboard and System of Support web page—<http://www.cde.ca.gov/ta/ac/cm/index.asp>
- California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration Incident Reporting System (STAIRS)/Appeals Process for Summative Assessments web page—<http://www.caaspp.org/stairs/>
- *CAASPP Online Test Administration Manual* web document—http://www.caaspp.org/rsc/pdfs/CAASPP.online_tam.2018-19.pdf

Appeals are filed by the local educational agency (LEA) CAASPP coordinator or the CAASPP test site coordinator if directed to during the STAIRS/Appeals process in the Test Operations Management System (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**. To restore a test that was inadvertently or inappropriately reset because a reset was wrongly requested in a test Appeal request, **the request must be approved by the California Technical Assistance Center (CaTAC)**. 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 his or her summative test(s) has expired or a student who accidentally submitted his or her 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, the LEA should wait until the student has completed testing before filing 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.
- **When requesting that a student's test be reopened, submit the *CAASPP STAIRS/Appeals* web form and 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.**

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 an irregularity or test security incident for a summative assessment using the STAIRS/Appeals process in TOMS. You will be prompted for information.
2. File the Appeal(s) in TOMS unless the appeal type is “invalidate,” in which case you should permit the student to finish testing. For more guidance on timing the filing of an Appeal, refer to the subsection [Cautions When Using the STAIRS/Appeals Process](#).
3. The CDE will make a decision on the appeal within four business days of its receipt; you will receive a notification from TOMS when a decision has been made.

Postdecision Actions

If your Appeal is denied for an administrative reason—for example, because you filed the wrong type of appeal (e.g., to reset instead of re-open)—you may refile.

If your Appeal is approved, note the following about the actions you can take:

- 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 he or she 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 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.

Reasons for Rejection

An Appeal request may be denied if it does not fit the requirements of the types of appeals (reset, re-open, grace period extension, 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

The California Technical Assistance Center may provide approval to reset any test (**computer adaptive test [CAT] or performance task [PT]**) if any of the following settings need to be changed because they were incorrectly set:

- American Sign Language (for mathematics and English language arts/literacy [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 not completed at least 10 non-PT questions or at least 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 CAT or 1 PT.
5. Students who are 12-month English learners or students with a Parent/Guardian exemption who were accidentally administered the assessment are **not** eligible for an Appeal. Neither of those issues needs to be reported in STAIRS.

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 (**CAT or PT**) if:

1. There is a test security breach that is not the result of social media exposure. **Contact the CDE.**
2. The test is administered in a manner inconsistent with the [CAASPP Online Test Administration Manual](#).
3. There is a testing session in which a student deliberately does not attempt to respond appropriately to items.

Note 1: After reviewing the circumstances of an incident, the CDE may elect only to document these conditions as testing irregularities, rather than to invalidate the test. The student should continue testing; the test will not be invalidated.

Note 2: Students may be permitted to complete an assessment prior to the LEA’s submitting the Invalidation Appeal request.

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).¹ The student will be able to review items within the current segment of the assessment but cannot return to previous segments of the CAT 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.

Note: A grace period extension appeal can only be requested for a CAT test that is in a “paused” state and only if the test expired due to a disruption or a technical issue.

Conditions for Use

1. The CDE may reopen any test (**CAT or PT**) if a student is unable to complete a test due to a technological difficulty that results in the expiration of the test.
2. The CDE may reopen a **CAT** if a student is unable to complete the test before it expires (45 days) due to an unanticipated excused absence or unanticipated school closure.
3. The CDE may reopen a **PT** if a student is unable to complete the test before it expires (10 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 CAT, 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 he or she has completed it—for example, a student submits the ELA PT before completing Part 2.
4. 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.

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

Grace Period Extension

A grace period extension is only for a CAT. 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 expiration of the CAT 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 CAT pause rule was caused to expire through no fault of the student, for example, 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.

Checking Appeals Information

Appeals statuses can be checked in the Security and Test Administration Incident Reporting System (STAIRS)/Appeals module in the Test Operations Management System (TOMS). You can also view Appeals associated with a student in that student’s *Student Profile*, in the **[Score Status]** tab.

View an Appeals Status in STAIRS/Appeals

Search

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

1. Open an Internet browser.
2. Open TOMS by going to the [CAASPP Portal](#) and selecting the **[Test Operations Management System (TOMS)]** button—indicated in Figure 16—to access the TOMS Logon web form.



Figure 16. Buttons on caaspp.org

3. Log on to TOMS.
4. Select the **[STAIRS/Appeals]** button in the left navigation bar.
5. Select the **[Search Appeals]** button in the left navigation bar.

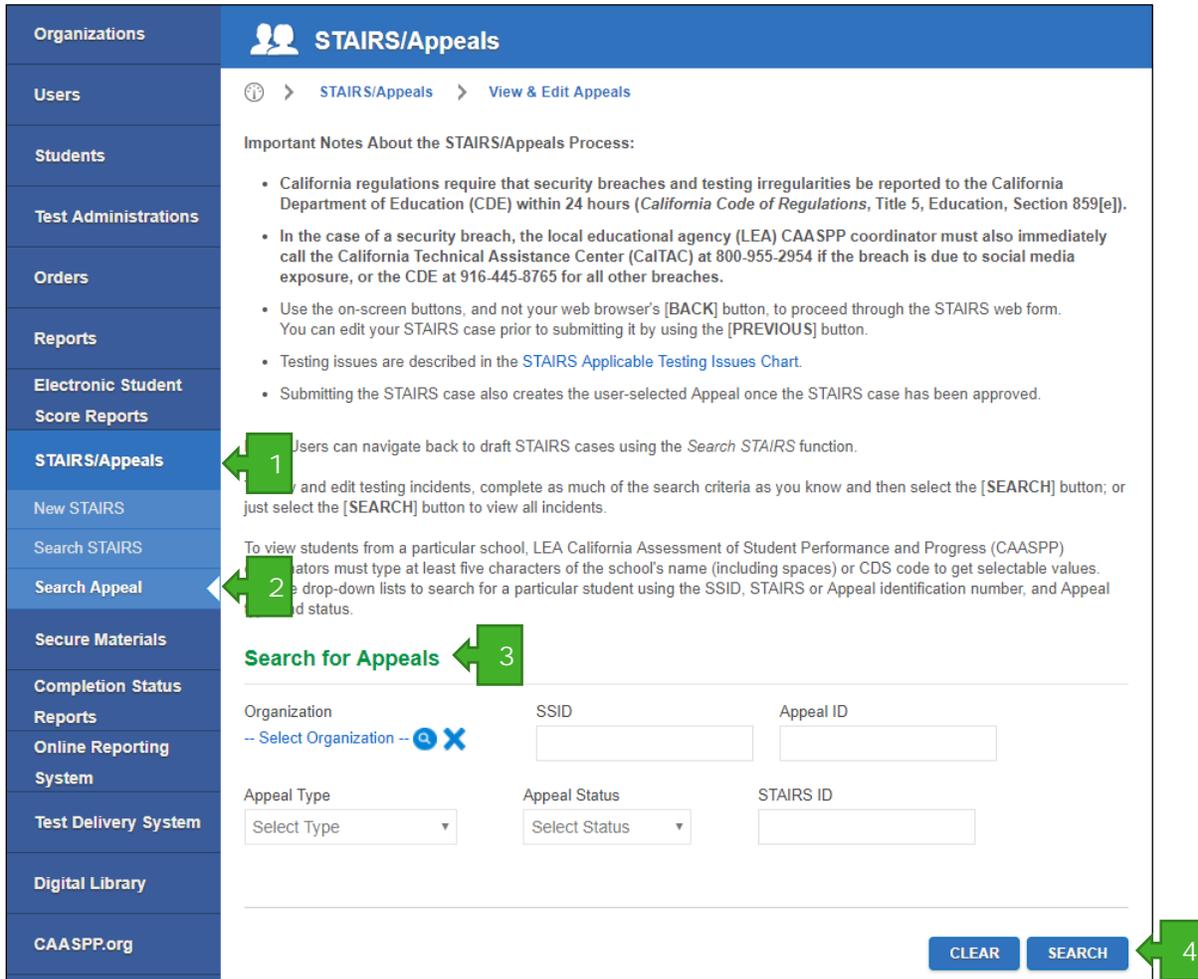


Figure 17. Search for Appeals web form

6. 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 you enter only your *Organization*, 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

Field	Description
<i>Organization</i>	<ol style="list-style-type: none"> 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.

Field	Description
<i>SSID</i>	Enter a single SSID.
<i>Appeal ID</i>	Enter the Appeal ID generated when you submitted the Appeal request at the end of the STAIRS/Appeals process.
<i>Appeal Type</i>	Select an Appeal type. Options are as follows: <ul style="list-style-type: none"> • Invalidate • Reset • Re-open • Restore • Grace Period Extension
<i>Appeal Status</i>	Select an Appeal status from the drop-down list. Statuses are as follows: <ul style="list-style-type: none"> • Pending Approval • Rejected • Processed
<i>STAIRS ID</i>	Enter a STAIRS case number associated with this Appeal.

7. Select the **[SEARCH]** button—indicated in Figure 11—to conclude the search or the **[CLEAR]** button to clear all information from the web form.

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 18 to open an Appeals Summary for that student.

We found 5 entries matching your search criteria Results Per Page 20 ▾

To view or edit STAIRS/Appeals information, select the [View] (magnifying glass) icon. Hover your mouse over the other icons (if present) in the Actions column for a description of additional actions available to some users.

#	Appeal ID	STAIRS ID	SSID	Appeal Type	Appeal Status	Actions
1	6	21	00000000	Reset	Processed	
2	3	10	1111111111	Reset	Rejected	
3	5	18	2222222222	Reset	Processed	
4	10	31	3333333333	Reset	Pending Approval	
5	11	40	4444444444	Reset	Pending Approval	

Figure 18. Appeals search results

2. After you have reviewed the Appeals summary, use the **[GO TO STAIRS SUMMARY]** to review the associated STAIRS case.

View Most Recent Appeals in the TOMS [Score Status] Tab

You 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. Open an Internet browser.
2. Open TOMS by going to the [CAASPP Portal](#) and selecting the **[Test Operations Management System (TOMS)]** button—indicated in Figure 19—to access the TOMS Logon web form.



Figure 19. Buttons on caaspp.org

3. Log on to TOMS.
4. Select the **[Students]** button in the left navigation bar (or, if the “Students” section is already active, select the **[Search]** button).

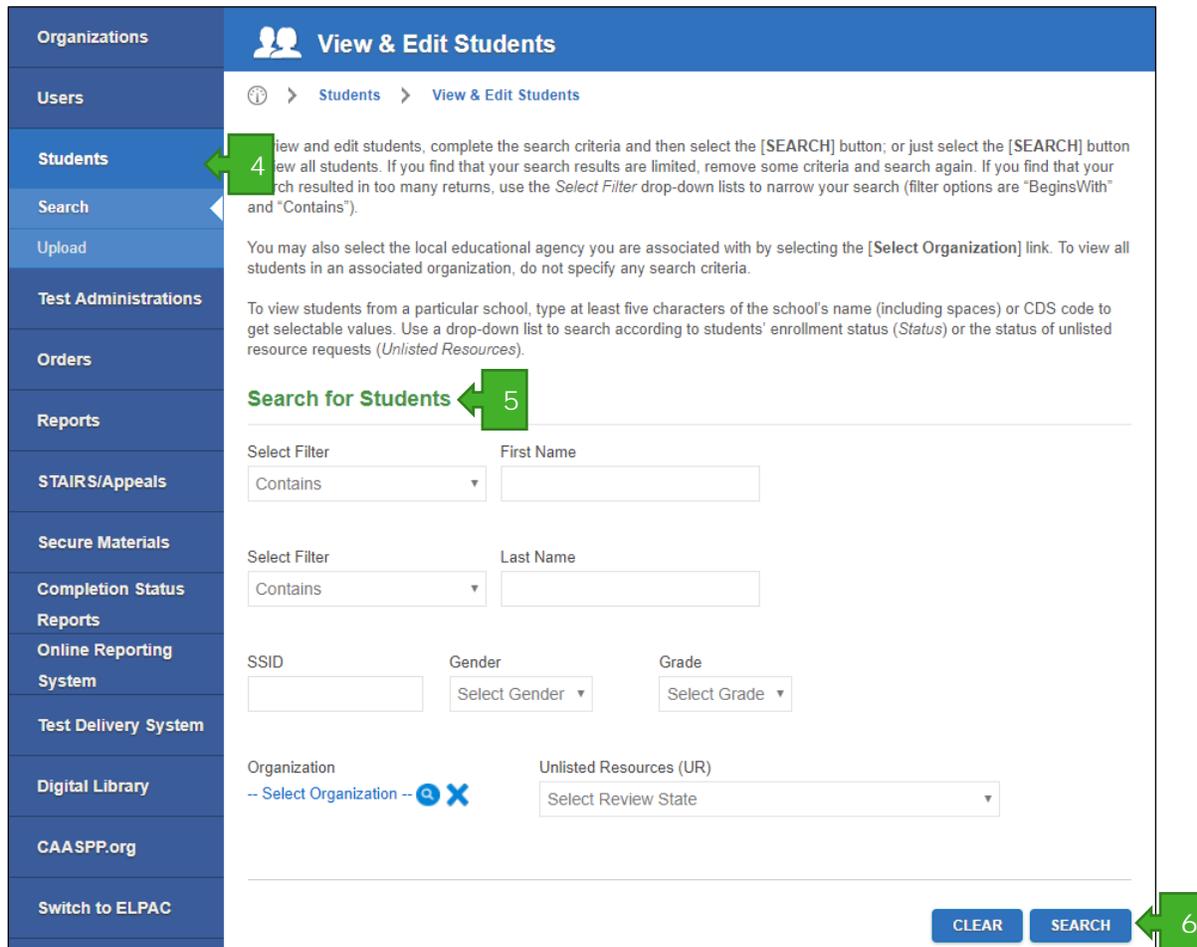


Figure 20. Search for Students web form

5. Enter details about the student in the search fields in the *Search for Students* web form (shown in Figure 20); use the *Select Filter* drop-down lists to narrow your search (options are *BeginsWith* and *Contains*).
or
Select the LEA you are associated with 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.
6. Select the **[SEARCH]** button.

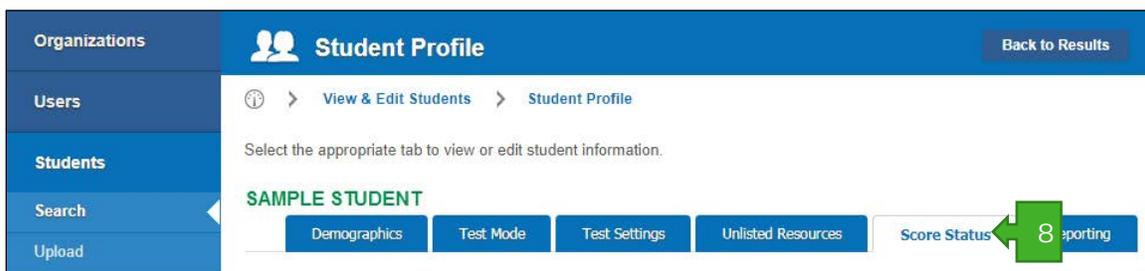
We found 278897 entries matching your search criteria. Results Per Page 20

To view or edit the student information, select the [View] (magnifying glass) icon. Hover your mouse over the other icons (if present) in the *Actions* column for a description of additional actions available to some users.

#	Name	SSID	School	Grade	Actions	Unlisted Resources	UR Submitted Date
1	AAAAAAAAA, BBBBBBBBB	0000000000	SchoolName (1111111111111111)	12	🔍		
2	CCCCCCCC, DDDDDDDD	1111111111	SchoolName (1111111111111111)	01	🔍		
3	EEEEEEEE, FFFFFFF	2222222222	SchoolName (1111111111111111)	07	🔍		
4	GGGGGGGG, HHHHHHH	3333333333	SchoolName (1111111111111111)	04	🔍		
5	IIIIIIIIII, JJJJJJJJ	4444444444	SchoolName (1111111111111111)	05	🔍		
6	KKKKKKKK, LLLLLLLL	5555555555	SchoolName (1111111111111111)	02	🔍		
7	MMMMMMMM, NNNNNN	6666666666	SchoolName (1111111111111111)	06	🔍		

Figure 21. Student search results

7. Select a **[View]** magnifying glass icon in the *Actions* column shown in Figure 21 to access the *Student Profile* screen. The Student Profile opens with the **[Demographics]** tab selected.
8. Select the **[Score Status]** tab (Figure 22).



The screenshot shows the 'Student Profile' interface. On the left is a navigation menu with 'Organizations', 'Users', 'Students', 'Search', and 'Upload'. The main area has a breadcrumb trail: 'View & Edit Students > Student Profile'. Below this is a message: 'Select the appropriate tab to view or edit student information.' Underneath, the name 'SAMPLE STUDENT' is displayed. At the bottom, there are several tabs: 'Demographics', 'Test Mode', 'Test Settings', 'Unlisted Resources', 'Score Status', and 'Reporting'. The 'Score Status' tab is highlighted with a green box and a green arrow pointing to it, with the number '8' next to the arrow.

Figure 22. [Score Status] tab on the Student Profile screen

9. Scroll to the bottom of the form to the “Most Recent Appeals” section to review any processed Appeals for the student (Figure 23).

Most Recent Appeals				
Test	Date	Type	Reason	STAIRS ID
CAA – MATH	Dec 26, 2018	REOPEN		145

Figure 23. “Most Recent Appeals” section of the *Student Profile* screen

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

Table 5. Columns in the “Most Recent Appeals” Section of the *Student Profile* Screen

Column	Description
Test	Content area that is being appealed
Date	Date the appeal was approved
Type	Type of Appeal: either reset, restore, invalidate, re-open, or grace period extension
Reason	Descriptive text for why an Appeal was created
STAIRS ID	STAIRS case number associated with this Appeal

How to Look Up Student Information in the Completion Status System



Additional Resources in This Section:

- *Guide to CAASPP Completion Status and Roster Management* web document—
<http://www.caaspp.org/rsc/pdfs/CAASPP.completion-status-roster-management-guide.2018-19.pdf>

You can 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 Completion Status and Roster Management*](#).

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Appendices

Appendix A. Test Security and Incident Chart

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

Level of Severity and Potential Effect on Test Security	Types of Issues
LOW— Impropriety	Student(s) making distracting gestures/sounds or talking during the test session that creates a disruption in the test session for other students.
	Student(s) leaving the test room without authorization.
	Administrator, examiner, or coordinator leaving related instructional materials on the walls in the testing room.
MEDIUM— Irregularity	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.
MEDIUM— Irregularity	Student(s) accessing the Internet or any unauthorized software or applications during a testing event.
MEDIUM— Irregularity	Student(s) accessing or using unauthorized electronic equipment (e.g., cell phones, PDAs, iPods, or electronic translators) during testing.
MEDIUM— Irregularity	Disruptions to a test session such as a fire drill, schoolwide power outage, earthquake, or other acts.
MEDIUM— Irregularity	Administrator, examiner, or coordinator failing to ensure administration and supervision of the Smarter Balanced assessments by qualified, trained personnel.
MEDIUM— Irregularity	Administrator or examiner giving incorrect instructions that are not corrected prior to testing.
MEDIUM— Irregularity	Administrator, examiner, or coordinator giving out his or her username or password (via email or otherwise), including to other authorized users.
MEDIUM— Irregularity	Administrator or examiner allowing students to continue testing beyond the close of the testing window. For the performance task (PT), this is 10 calendar days. For the computer adaptive test (CAT), this is 45 calendar days. For a paper-pencil assessment, this is three weeks.
MEDIUM— Irregularity	Administrator or examiner providing a student access to another student's work or responses (unintentional access granted).
MEDIUM— Irregularity	Student not receiving accessibility resource or accommodation as required by individualized education program (IEP) or Section 504 plan.

Level of Severity and Potential Effect on Test Security	Types of Issues
MEDIUM—Irregularity	Student without IEP or Section 504 plan did not get a designated support.
MEDIUM—Irregularity	Administrator or teacher coaching or providing any other type of assistance to students that may affect their 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 their answer, or requiring students to show their work.
MEDIUM—Irregularity	Administrator or examiner providing students with nonallowable materials or devices during test administration or allowing inappropriate designated supports or accommodations during test administration.
MEDIUM—Irregularity	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.
MEDIUM—Irregularity	Administrator or examiner allowing inappropriate accommodations (which are not in the student's IEP or Section 504 plan) during test administration.
MEDIUM—Irregularity	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.
MEDIUM—Irregularity	Administrator or examiner providing a student access to another student's work or responses (intentional access granted).
HIGH—Breach	Administrator, examiner, or coordinator modifying student responses or records at any time.
HIGH—Breach	The live student interface or Test Administrator Interface being used for practice instead of the training or practice tests.
HIGH—Breach	Adult or student posting items or test materials on social media (Twitter, Facebook, etc.).
HIGH—Breach	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.

Appendices |
Test Security and Incident Chart

Level of Severity and Potential Effect on Test Security	Types of Issues
HIGH— Breach	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.
HIGH— Breach	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.
HIGH— Breach	Adult or student improperly removing secure testing materials such as test items, stimuli, reading passages, writing prompts, or scratch paper from the testing environment.
HIGH— Breach	The student retained his or her scratch paper and had it during subsequent testing.

Appendix B. Incident Types, Descriptions, and Actions in the California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration Reporting System (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 California Department of Education (CDE) at 916-445-8765 immediately to report the issue.
2. Submit an incident report using the STAIRS/Appeals process in the Test Operations Management System (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 using the STAIRS/Appeals process in TOMS.
3. Submit an Invalidate Appeal request in TOMS after CDE approval.

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 the California Technical Assistance Center (CaTAC) immediately to report the issue.
2. Report the incident using the STAIRS/Appeals process in TOMS.

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 immediately to report the issue.
2. Report the incident using the STAIRS/Appeals process in TOMS.
3. Submit an Invalidate Appeal request in TOMS after CDE approval.

Accidental Summative Access

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

Action:

1. Report the incident using the STAIRS/Appeals process in TOMS; you will submit a Reset a Test Appeal request for the student as part of the process if one of the following conditions apply:
 - Less than 10 CAT items or less than 1 performance task (PT) items were 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 in TOMS; you will submit a Re-open Appeal request for the student as part of the process if one of the following conditions apply:
 - Ten or more CAT 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.
- OR**
3. Report the incident using the STAIRS/Appeals process in TOMS; you will submit an Invalidate Appeal request as part of the process after the student has completed his or her assessment if one of the following conditions apply:
 - Test administrator coached the student.
 - Students interacted about test questions.
 - The student accessed unauthorized materials.

Irregularities

Accessibility Issue—Incorrect Resource or Accommodation Setting

Issue Description: Student not given accessibility resource or accommodation in IEP or Section 504 plan

Action: Report the incident using the STAIRS/Appeals process in TOMS; you will submit a Reset Appeal request as part of the process.

Note: If at least five CAT items and at least one PT item were completed, this will count as an irregularity.

Accessibility Issue—Incorrect Resource or Accommodation Setting

Issue Description: Student given an accessibility resource or accommodation that is not in an IEP or Section 504 plan

Action:

1. Report the incident using the STAIRS/Appeals process in TOMS; you will submit an Invalidate Appeal request as part of the process.
2. Retain the email for your records.

Accessibility Issue—Designated Language Support

Issue Description: Student given either an incorrect stacked translation or embedded glossary setting or the streamlined mode without the designated support in the IEP or Section 504 plan or not given a stacked translation or embedded glossary designated support in the IEP or Section IEP plan

Action: Report the incident using the STAIRS/Appeals process in TOMS; you will submit a Reset Appeal request as part of the process.

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 in TOMS; if the 20-minute pause rule for the CAT expired, you will submit a Grace Period Extension Appeal request as part of the process.

Incorrect SSID Used—No Switch

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

Action:

1. Report the incident using the STAIRS/Appeals process in TOMS; you will submit a Reset Appeal request as part of the process.

OR

2. Report the incident using the STAIRS/Appeals process in TOMS and then readminister tests to the student using his or her assigned SSID.

Incorrect SSID Used—Switch

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

Action:

1. Report the incident using the STAIRS/Appeals process in TOMS.
2. Submit a Reset Appeal request to finish the process if the student has not finished testing.

Incorrect SSID Used—Intentional

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

Action:

1. Report the incident using the STAIRS/Appeals process in TOMS; you will submit an Invalidate Appeal request as part of the process.
2. Stop the test.

Student(s) Cheating or Accessing Unauthorized Devices

Issue Description: Student(s) cheating or access unauthorized device(s) such as a cell phone or other electronic device

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 local educational agency can verify that the device was being used to help other students that are engaged in a test session, then an invalidation is required.

Action: Report the incident using the STAIRS/Appeals process in TOMS; you will submit an Invalidate Appeal request as part of the process.

Student(s) Unable to Review Previous Answers on the CAT Due to Technical Issues

Issue Description: Exceeding the 20-minute CAT pause rule due to technical issues

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.

Action: Report the incident using the STAIRS/Appeal process in TOMS; you will submit a Grace Period Extension Appeal request as part of the process.

Validity Issue—Adult Interference

Issue Description: Test administrator or test examiner coaching or providing answers to students, modifying student responses, allowing unauthorized access to student tests

Action: Report the incident using the STAIRS/Appeals process in TOMS; after the student has completed his or her assessment, you will submit an Invalidate Appeal request as part of the process.

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 in TOMS; you will submit an Appeal request in TOMS:

- Reset Appeal, if less than 10 CAT items or less than 1 PT items were completed
- Invalidate Appeal, if 10 or more CAT items or 1 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; you will submit an Invalidate Appeal request as part of the process.

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 supervisions 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 in TOMS.

Student Disruption

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

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

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 in TOMS; you will 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 CAT or PT prior to completion

Action: Report the incident using the STAIRS/Appeals process in TOMS; you will submit a Re-open Appeal request as part of the process.

Restore a Test that Was Reset in Error

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

Action: You must have the student's result ID when you make 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; you will submit a Re-open Appeal request as part of the process.

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 English language arts/literacy PT—and the student not completing the test before it expires

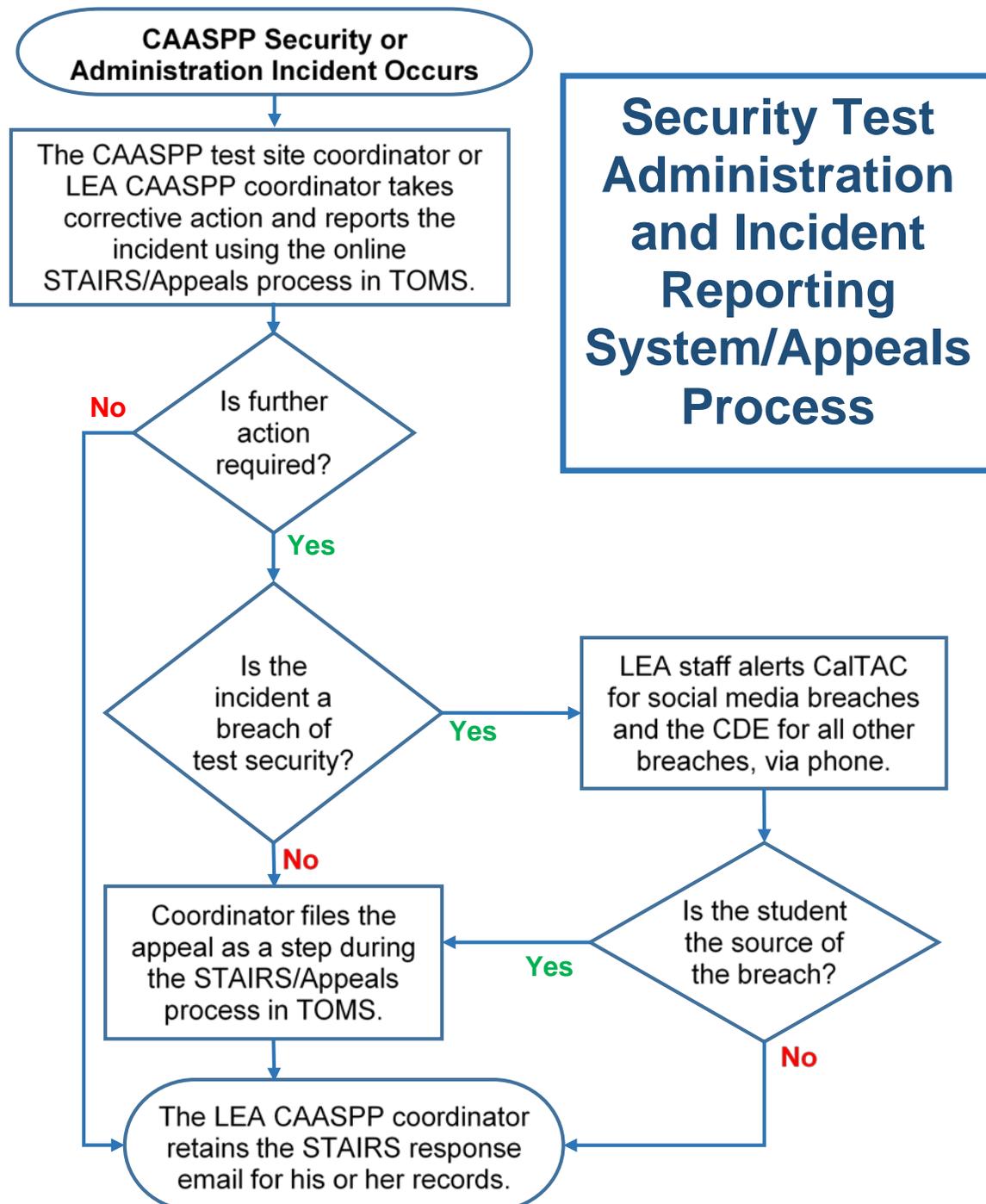
Action: Report the incident using the STAIRS/Appeals process in TOMS; you will submit a Re-open Appeal request as part of the process.

Lost Logon Information

Issue Description: Having lost or missing student logon information

Action: No is action required.

Appendix C. STAIRS/Appeals Process Flowchart



Appendix D. Incident Types and Questions on the California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration Incident Reporting System (STAIRS)/Appeals Form

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.

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

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Incident Types and Questions on the California Assessment of Student Performance and Progress (CAASPP) Security and Test Administration Incident Reporting System (STAIRS)/Appeals Form

If the *Neither of the above options is true* radio button was selected, two 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 they have completed the assessment.

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 shared his or her username and password.

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 shared his or her username/password (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.

The disruption or technical issue resulted in the expiration of the 20-minute pause rule for the CAT (True/False).

- TRUE
- FALSE

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 started a test unintentionally and was unable to complete the 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.

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Incident Types and Questions on the California Assessment of Student Performance and Progress (CAASPP)
Security and Test Administration Incident Reporting System (STAIRS)/Appeals Form

Adult:

- An adult posted items or test materials on social media (e.g., Twitter, Facebook, Instagram, etc.).
- 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 individual 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.
- An individual 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.
- The student retained his or her scratch paper 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 Statewide Student Identifier (SSID).

Please select one of the following test statuses for the student(s) who unintentionally used another student's(s') SSID.

- Test not completed.
- Test completed.

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.
- 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.

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/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 their 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.
- 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.

Reset Error

LEA has submitted a Reset appeal but 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 need to be reported in STAIRS.

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 shared his or her username or password (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.

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 his or her scratch paper and had it during subsequent testing.

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

- Secure test materials were shared (such as the writing prompts, test items, or reading passages) 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: If the issue is identified before the student finishes testing, then the incident is submitted so a reset Appeal can be filed. If the student has finished the test, then the SSIDs are swapped by CalTAC after the *STAIRS/Appeals* web form is submitted.

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.
- 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 local educational agency (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 performance task prior to completion.
- A student did not complete a test before it expired.
- A student started a test unintentionally and was unable to complete it before the test expired.

Note: Provide the indicated information and select the description that best applies to the kind of test expiration or accidental issue that occurred.

Validity Issue—Not CAAs (INVALIDATE)

- 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 their 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.

- 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.

Note: Reset in cases where the student completed less than 10 computer-adaptive test or 1 performance task questions.

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, 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 Data Entry Interface, 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

Appeal Type	Reason
Invalidate Test	There is a testing session in which a student deliberately did not attempt to respond appropriately to items.
Invalidate Test	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.
Invalidate Test	The student accessed or used unauthorized electronic equipment (e.g., cell phone) during the student’s individual testing event—includes accessing the internet or any unauthorized software or applications.
Invalidate Test	A test administrator, test examiner, or teacher coached a student or provided any other type of assistance to students that may affect their responses.
Invalidate Test	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.
Invalidate Test	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 California Alternate Assessments).
Invalidate Test	A test administrator, test examiner, or coordinator modified student responses or records at any time.
Invalidate Test	A student posted items or test materials on social media (e.g., Twitter, Facebook, Instagram).
Invalidate Test	A student copied, discussed, or removed test items or testing materials.
Invalidate Test	The student retained his or her scratch paper and returned to the same test in a subsequent session.

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 Reasons for Appeal Types in the Appeals System

Appeal Type	Reason
Invalidate Test	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.
Re-open Test	The student accidentally submitted a performance task prior to completion.
Re-open Test	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.
Re-open Test	A student did not complete a test before it expired.
Re-open Test	While entering information from a student's paper answer booklet into the Data Entry Interface, an error was made and selected student responses must be reentered.
Reset Test	A student was administered a general assessment instead of the alternate assessment.
Reset Test	A student accidentally took a test associated with another student's Statewide Student Identifier.
Reset Test	A designated support or accommodation required by the student's IEP or Section 504 plan was set incorrectly and needs to be changed.
Reset Test	The student did not receive a designated support or accommodation as prescribed by the student's IEP or Section 504 plan.
Reset Test	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.
Reset Test	The summative assessment was administered unintentionally, instead of the interim or practice test. The student has not completed at least 10 non-performance task (PT) questions or at least 1 PT question.
Reset Test	A student was administered an assessment for the wrong assessed grade level or with the wrong Special Education designation listed in the Test Operations Management System.
Reset Test	A technical issue needs to be corrected through a test reset.

Appeal Type	Reason
Reset Test	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 less than 10 computer adaptive test (CAT) questions or 1 PT question.
Reset Test	While entering information from a student's paper answer booklet into the Data Entry Interface, an error was made and all of the student's responses must be reentered.
Restore Test (from Reset)	A test was reset inappropriately or in error. Note: It is <i>not</i> 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.