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EXECUTIVE SUMMARY (PART I.D.)

The SMARTER Balanced Assessment Consortium's (SBAC) vision for a new generation assessment system—one that includes a set of balanced components that can be adapted to meet students' needs across participating States—is rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based global economy. This vision also is based on the belief that assessment must support ongoing improvements in instruction and promote meaningful learning experiences for students that lead to outcomes valued by all stakeholders.

The overarching goal of the SBAC is to ensure that all students leave high school prepared for postsecondary success in college or a career through a planned sequence of educational experiences and opportunities. To meet this goal, with support from institutions of higher education (IHEs) and workplace representatives, the Consortium will build upon the strong foundation in each participating State to create a high-quality, balanced multi-state assessment system based on the Common Core State Standards (CCSS). The role of the Consortium in this process is to guide the development and implementation of an assessment system that reshapes educational practice in participating States in strategic ways and leads to improved learning outcomes for students.

Following the principle of "responsible flexibility," SBAC will provide options for customizable system components while also ensuring comparability of high-stakes summative test results across States. In addition, the Consortium is committed to creating a policy environment that fosters innovation while supporting the development of accountability systems that incentivize the right behaviors for students, teachers, and administrators and avoid inadvertently incentivizing behaviors that run counter to SBAC goals.

The comprehensive assessment system proposed by the Consortium calls for strategic use of a variety of item types and performance events to measure the full range of the CCSS and to ensure accurate assessment of all students, including students with disabilities, English learners, and low- and high-performing students. Specifically, SBAC proposes to implement a system that features the following:

- Common CCSS-based computer adaptive summative assessments that make use of technology-enhanced item types and teacher-developed and scored performance events;
- Computer adaptive interim/benchmark assessments—reflecting learning progressions or

content clusters—that provide more in-depth and/or mid-course information about what students know and can do in relation to the CCSS;

- Research-supported instructionally sensitive tools, processes, and practices developed by State educators that can be used formatively at the classroom level to improve teaching and increase learning;
- Focused ongoing support to teachers through professional development opportunities and exemplary instructional materials linked to the CCSS;
- Online reporting and tracking system that enables access to key types of information about student progress toward college- and career-readiness and about specific strengths and limitations in what students know and are able to do at each grade level; and
- Cross-State communications network to inform stakeholders about SBAC activities and ensure a common focus on the goal of college- and career-readiness for all students.

In a number of ways, innovative and efficient use of technology serves as the backbone of this balanced assessment system: (1) SBAC's system capitalizes on the precision and efficiency of computer adaptive testing; (2) the expanded use of technology enables the Consortium's goals of developing innovative and real-world item types that ensure measurement of student achievement across a wide performance continuum and provide efficiencies and enhancements for teacher and administrator professional development and capacity building at the local level; and (3) through use of an interoperable electronic platform and leveraging of cross-State resources, SBAC can deliver assessments and produce both standardized and customizable reports that are cost-effective, timely, and useful for a range of audiences in tracking and analyzing the progress towards college- and career-readiness of individual students, student subgroups, classrooms, schools, districts, and States.

In summary, SBAC's proposed learning and assessment system is grounded in a sound Theory of Action. This system promotes research-supported instructional practice and incorporates a balanced set of technology-supported tools, innovative assessments, and state-of-the-art classroom support mechanisms that work coherently to support teaching and learning. Over time, with a purposeful governing structure and IHEs in participating States, this Consortium's assessment system holds promise to effect the types of reform sought by the Race to the Top Assessment Program.

APPLICATION ASSURANCES (PART I.E.)

Race to the Top Assessment Program Comprehensive Assessment Systems Grant Application Assurances	
Legal Name of Applicant: State of Washington, Office of Superintendent of Public Instruction	Applicant's Mailing Address: PO Box 47200 Olympia, WA 98504-7200
Employer Identification Number: 91-6001112	Organizational DUNS: 808882898
Contact on Matters Involving this Application: Dr. Joseph L. Willhoft	Contact Position and Office: Assistant Superintendent – Assessment & Student Information
Contact Telephone: 360.725.6336	Contact Mailing Address: PO Box 47200 Olympia, WA 98504-7200
Contact E-mail Address: joe.willhoft@k12.wa.us	

SIGNATURE BLOCKS FOR **APPLICANT**

Directions: *If one member State of the consortium is applying for a grant on behalf of the consortium, use the following signature block. The applicant State is the only State that must sign below. If the State has a president of the State Board of Education, then the signature of the State Board of Education President is applicable. However, if a State has no State Board of Education, then the signature is not applicable.*

APPLICANT SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

To the best of my knowledge and belief, all of the information and data in this application are true and correct.

I certify on behalf of the consortium that each member of the consortium has agreed to be bound by every statement and assurance in the application and that each Governing State is fully committed to the application and will support its implementation.

I further certify that I have read the application, am fully committed to it, and will support its implementation.

State Name: **WASHINGTON**	
Governor or Authorized Representative of the Governor (Printed Name): Christine O. Gregoire	Telephone: (360) 902-4123
Signature of Governor or Authorized Representative of the Governor: Christine Gregoire	Date: 6/9/10
Chief State School Officer (Printed Name): Randy I. Dorn	Telephone: (360) 725-6004
Signature of the Chief State School Officer: Randy Dorn	Date: 6/10/10
President of the State Board of Education, if applicable (Printed Name): Jeff Vincent, Chair	Telephone: (360) 725-6025
Signature of the President of the State Board of Education, if applicable: Jeffrey S. Vincent	Date: 6/15/10

ACCOUNTABILITY, TRANSPARENCY, REPORTING, PROCUREMENT AND OTHER ASSURANCES AND CERTIFICATIONS

Accountability, Transparency and Reporting Assurances

The applicant assures that it will comply with all of the accountability, transparency, and reporting requirements that apply to the Race to the Top Assessment program, including the following:

- For each year of the program, the applicant assures that it will comply with the requirements of the American Recovery and Reinvestment Act (ARRA) Division A, Section 14008, and other performance reporting that the Department may require.

- The applicant will cooperate with any U.S. Comptroller General evaluation of the uses of funds and the impact of funding on the progress made toward closing achievement gaps. (ARRA Division A, Section 14009)

- If the applicant uses funds for any infrastructure investment, the applicant will certify that the investment received the full review and vetting required by law and that the chief executive accepts responsibility that the investment is an appropriate use of taxpayer funds. This certification will include a description of the investment, the estimated total cost, and the amount of covered funds to be used. The certification will be posted on the applicant's website and linked to www.Recovery.gov. A State or local agency may not use funds under the ARRA for infrastructure investment funding unless this certification is made and posted. (ARRA Division A, Section 1511)

- The applicant will submit reports, within 10 days after the end of each calendar quarter, that contain the information required under section 1512(c) of the ARRA in accordance with any guidance issued by the Office of Management and Budget or the Department. (ARRA Division A, Section 1512(c))

- The applicant will cooperate with any appropriate Federal Inspector General's examination of records under the program. (ARRA Division A, Section 1515)

Procurement Assurance

The applicant assures or certifies the following:

- A competitive procurement process based on a "best value" selection will be used for tasks related to assessment design and development under the grant. All Federal and ARRA procurement requirements will be met under the grant.

Other Assurances and Certifications

The applicant assures or certifies the following:

- The applicant will comply with all applicable assurances in OMB Standard Forms 424B (Assurances for Non-Construction Programs), including the assurances relating to the legal authority to apply for assistance; access to records; conflict of interest; merit systems; nondiscrimination; Hatch Act provisions; labor standards; protection of human subjects;

animal welfare; Single Audit Act; and the general agreement to comply with all applicable Federal laws, executive orders and regulations.

- With respect to the Certification regarding Lobbying (formerly in Department Form 80-0013), no Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making or renewal of Federal grants under this program; the applicant will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," when required (34 C.F.R. Part 82, Appendix B).

- The applicant will comply with all of the operational and administrative provisions in Title XV and XIV of the ARRA. In using ARRA funds for infrastructure investment, recipients will comply with the requirement regarding Preferences for Quick Start Activities (ARRA Division A, Section 1602).

- Any local educational agency (LEA) receiving funding under this program will have on file with the State a set of assurances that meets the requirements of section 442 of the General Education Provisions Act (GEPA) (20 U.S.C. 1232e).

- Any LEA receiving funding under this program will have on file with the State (through either its Stabilization Fiscal Stabilization Fund application or another U.S. Department of Education Federal grant) a description of how the LEA will comply with the requirements of section 427 of GEPA (20 U.S.C. 1228a). The description must include information on the steps the LEA proposes to take to permit students, teachers, and other program beneficiaries to overcome barriers (including barriers based on gender, race, color, national origin, disability, and age) that impede access to, or participation in, the program.

The applicant and other entities will comply with the Education Department General Administrative Regulations (EDGAR), including the following provisions as applicable: 34 CFR Part 74–Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations; 34 CFR Part 75–Direct Grant Programs; 34 CFR Part 77– Definitions that Apply to Department Regulations; 34 CFR Part 79–Intergovernmental review of Department of Education programs and activities; 34 CFR Part 80– Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments, including the procurement provisions; 34 CFR Part 81– General Education Provisions Act–Enforcement; 34 CFR Part 82– New Restrictions on Lobbying; 34 CFR Part 84– Governmentwide Requirements for Drug-Free Workplace (Financial Assistance); 34 CFR Part 85–Governmentwide Debarment and Suspension (Nonprocurement); 34 CFR Part 86–Drug and alcohol abuse prevention; 34 CFR Part 97–Protection of human subjects; 34 CFR Part 98– Student rights in research, experimental programs, and testing; and 34 CFR Part 99– Family education rights and privacy.

ACCOUNTABILITY, TRANSPARENCY, REPORTING AND PROCUREMENT ASSURANCES SIGNATURE BLOCKS FOR APPLICANT

Directions: *If one member State of the consortium is applying for a grant on behalf of the consortium, use the following signature block. The applicant State is the only State that must sign below. If the State has a president of the State Board of Education, then the signature of the State Board of Education President is applicable. However, if a State has no State Board of Education, then the signature is not applicable.*

ACCOUNTABILITY, TRANSPARENCY, REPORTING AND PROCUREMENT ASSURANCES SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances	
State Name: **WASHINGTON**	
Governor or Authorized Representative of the Governor (Printed Name): Christine O. Gregoire	Telephone: (360) 902-4123
Signature of Governor or Authorized Representative of the Governor: Christine Gregoire	Date: 6/9/10
Chief State School Officer (Printed Name): Randy I. Dorn	Telephone: (360) 725-6004
Signature of the Chief State School Officer: Randy I Dorn	Date: 6/10/10
President of the State Board of Education, if applicable (Printed Name): Jeff Vincent, Chair	Telephone: (360) 725-6025
Signature of the President of the State Board of Education, if applicable: Jeff Vincent	Date: 6/15/10

ELIGIBILITY REQUIREMENTS (PART I.G.)

Eligibility Requirement (1):

To be eligible to receive an award under this category, an eligible applicant must include a minimum of 15 States, of which at least 5 States must be governing States (as defined in the NIA).

Consortium of States (Governing States are identified with an asterisk.)	
1. Washington *	2. Missouri *
3. Connecticut *	4. Nevada *
5. Utah *	6. Idaho *
7. Maine *	8. Wisconsin *
9. North Carolina *	10. Oregon *
11. New Mexico *	12. Hawaii *
13. Vermont *	14. Kansas *
15. Michigan *	16. Montana *
17. West Virginia *	18. Ohio
19. Iowa	20. South Carolina
21. South Dakota	22. Colorado
23. North Dakota	24. Delaware
25. Alabama	26. Kentucky
27. New Hampshire	28. Pennsylvania
29. Oklahoma	30. New Jersey
31. Georgia	

Washington State (#1) is a Governing State in addition to serving in the unique role of Lead Procurement State/Lead State for the Consortium.

Eligibility Requirement (2):

To be eligible to receive an award under this category, an eligible applicant must identify in its application a proposed project management partner and provide an assurance that the proposed project management partner is not partnered with any other eligible applicant applying for an award under this category. [Please see information on Contracting for Services in Part II.F.]

Consortium's proposed Project Management Partner:

WestEd – Interim partner for period not to exceed three months from date of notice of award.

Washington, as the fiscal agent for the Consortium, is in progress with the solicitation process for the primary Project Management Partner. The selection process and contracting implementation is scheduled for completion by October 1, 2010.

Contact information for proposed Project Management Partner:

WestEd (interim)
Stanley Rabinowitz, Ph.D.
Senior Program Director
Assessment and Standards Development Services
730 Harrison Street
San Francisco, CA 94107-1242
T: 415.615.3154
F: 415.565.3012

Check the box:

✓ The applicant assures that the proposed Project Management Partner is not partnered with other eligible applicants.

Per the Department's NIA for the Comprehensive Assessment System Grants, the Consortium views the role of the Project Management Partner as an integral part of the grant implementation and that the associated efforts of the Project Management Partner are part of the grant award itself. With the grant funding not available for actual work until October 1, 2010, the Consortium recognized the potential for project start-up delays as the Project Management Partner familiarized itself with the activities and objectives of SBAC. Concerns of this nature resulted in the Consortium Steering Committee's recognition of need for a transition plan and transition partner. The Consortium has implemented the option within the existing proposal project management contract with WestEd to extend the duration and appoint WestEd interim Project Management Partner for a period not to exceed three months from the date of notice of

an award. The purpose of this interim Project Management Partner contract is to explicitly meet the requirements of the NIA and to allow a smooth transition to immediate first steps as a funded Consortium while proceeding with the comprehensive procurement process required by the State of Washington.

Pursuant to the procurement rules of Washington State, a solicitation for a Project Management Partner is underway. The associated Request for Proposal (RFP) can be found on Washington's Office of Superintendent of Public Instruction website. Viewers need to locate RFP No. 2010-07, *Comprehensive Assessment Systems Grant – Project Management Partner*, in the table of active solicitations. The estimated schedule of procurement activities is listed below.

Estimated Schedule of Procurement Activities	
Issue Request for Proposal	June 4, 2010
Letter of Intent to Propose Due	June 18, 2010
Question and Answer Period	June 7 – July 2, 2010
Pre-proposal Video Conference	June 29, 2010
Last Date for Questions Regarding RFP	July 2, 2010
Release Q&A plus RFP Addendum (as needed)	July 9, 2010
Proposals Due	July 30, 2010
Evaluate written proposals	August 2 – August 13, 2010
Announce "Apparent Successful Contractor"	August 16, 2010
Hold Debriefings (if requested)	August 17– August 19, 2010
Negotiate Contract	August 30 – September 10, 2010
File Contract with OFM	September 16, 2010
Begin Contract Work	October 1, 2010

Eligibility Requirement (3):

To be eligible to receive an award under this category, an eligible applicant must submit assurances from each State in the consortium that, to remain in the consortium, the State will adopt a common set of college- and career-ready standards (as defined in the NIA) no later than December 31, 2011, and common achievement standards (as defined in the NIA) no later than the 2014-2015 school year.

Check the applicable box:

- ✓ Signed assurances are included in Appendix A1-4.
- ✓ See page 3 and pages 14–15 in the MOU (located in Appendix A1-4).
- ✓ See page 16 in the MOU (located in Appendix A1-4) for chief procurement certification.

Assurances that States in the Consortium will adopt the Common Core State Standards by December 31, 2011, and common achievement standards by 2014–15 can be found in the MOU on page 3 (Appendix A1-4). Signature blocks binding States to the terms of the MOU can be found on page 14 for Advisory States and page 15 for Governing States. Certification by the chief procurement official of each State can be found on page 16.

SELECTION CRITERIA (PART I.H.)

(A)(1) **Consortium Governance** (*up to 20 points*)

The extent to which the consortium's proposed governance structure will enable the successful design, development, and implementation of the proposed assessment system. In determining the extent to which the consortium's proposed governance structure will enable the successful design, development, and implementation of the proposed assessment system, we will consider—

(a) The consortium's vision, goals, role, and key deliverables (*e.g.*, assessment components, scoring and moderation system, professional development activities), and the consistency of these with the consortium's theory of action;

(b) The consortium's structure and operations, including—

(i) The organizational structure of the consortium and the differentiated roles that a member State may hold (*e.g.*, lead State, governing State (as defined in the NIA), advisory State); and

(ii) For each differentiated role, the rights and responsibilities (including the level of commitment to adopting and implementing the assessment system) associated with the role;

(iii) The consortium's method and process (*e.g.*, consensus, majority) for making different types of decisions (*e.g.*, policy, operational);

(iv) The protocols by which the consortium will operate, including the protocols for member States to change roles or leave the consortium and for new member States to join the consortium;

(v) The consortium's plan, including the process and timeline, for setting key policies and definitions for the proposed assessment system, including a common set of college- and career-ready standards (as defined in the NIA), a common set of performance level descriptors (as defined in the NIA), a common set of achievement standards (as defined in the NIA), common assessment administration procedures, common item release and test security policies, a common definition of "English learner," and a common set of policies and procedures for accommodations (as defined in the NIA) and student participation; and

(vi) The consortium's plan for managing funds received under this grant category;

(c) The terms and conditions of the Memoranda of Understanding or other binding agreements executed by each member State, including—

(i) The consistency of the terms and conditions with the consortium's governance structure and the State's role in the consortium; and

(ii) The State's commitment to and plan for identifying any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and

(d) The consortium's procurement process, and evidence of each member State's commitment to that process.

Required Tables and/or Attachments:

- ✓ *Summary Table for (A)(1)(b)(ii): States' Roles in the Consortium*
- ✓ *Summary Table for (A)(1)(b)(v): Consortium's Policy and Definition Time Line*

Optional:

- ✓ *For (A)(1)(b)(i): A visual model that conveys the consortium's organizational structure.*

(A)(1)(a) **Consortium's Vision, Goal, Role, Key Deliverables**

The SMARTER Balanced Assessment Consortium's (SBAC's) **vision** for a next generation assessment system—a system that is balanced and responsive to students' needs—is rooted in a commitment to the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are pre-requisites for postsecondary success. It is also rooted in the belief that assessment must support ongoing improvements in instruction and learning and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, institutions of higher education (IHE) stakeholders, policymakers, and members of the public.

The overarching **goal** of SBAC is to ensure that, through improved teaching and increased student learning, all students leave high school prepared for postsecondary success in college or career. The Consortium recognizes that, if all high school graduates are to be prepared in this way, many aspects of the current education system must be improved, and all aspects must be better coordinated and more fully integrated. Thus, the **role** of the Consortium is to influence and support the development and implementation of learning and assessment systems to radically reshape the education systems in participating States so as to improve student outcomes. Essential, though not sufficient, are development of a high-quality assessment system that strategically "balances" summative, interim, and formative components (Darling-Hammond & Pecheone, 2010; Rabinowitz, 2010); use of valid measurement across the full range of common rigorous academic standards, including assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy; and establishment of clear, internationally benchmarked performance expectations (Schmidt, Wang, & McKnight, 2005). Other important elements that are outside SBAC's direct scope of work, but not outside its influence, are comprehensive pre-service and in-service teacher professional development and focused and valid systems of accountability. The Consortium proposes employing technology, research-supported distributed assessment components, and varied assessment types, while at the same time increasing educator assessment literacy and

involvement—all with the intention of maximizing the relevance and utility of the information produced from the various components of the assessment system.

Consortium **key deliverables** are

1. **A comprehensively designed assessment system** that includes the strategic use of a variety of item types (i.e., selected-response items, constructed-response items, technology-enhanced items, and performance events) to assess the full range of the Common Core State Standards (CCSS) with an emphasis on problem solving, analysis, synthesis, and critical thinking. This balanced system will incorporate a required Statewide summative assessment, with two types of optional assessments and tools used to inform instruction and help students understand where they are in their learning: (1) interim/benchmark (I/B) assessments used to track students' learning progress at key points during the year, and (2) a variety of formative tools, processes, and practices for teachers to use to understand what students are and are not learning so as to adjust instruction accordingly.[1] This balanced system is designed to provide accurate assessment of all students—including students with disabilities (SWDs), English learners (ELs), and low- and high-performing students—for a variety of learning and accountability purposes. The summative component will be administered as a computer adaptive assessment and will include performance events. Evidence of student competencies will be linked to the summative system.

2. **An online adaptive test administration** with a secure item and performance event bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

3. **A consolidated reporting system** that enhances understanding of student progress toward college- and career-readiness for all members of the educational enterprise. The reporting system will be based on psychometrically sound scaling and equating procedures in order to provide reliable, valid, and fair scores that can be used to evaluate student achievement and growth. Reports will produce data for specified purposes, one of

[1] The interim/benchmark and formative components are described in the MOU as optional "formative/benchmark components," which is a broader description for these system features.

which will be Title I accountability (e.g., school, teacher, and principal effectiveness). The achievement standards and achievement level descriptors will be internationally benchmarked.

4. **A system of professional development** focused on assessment literacy. To support curricular goals, including expected learning progressions, the Consortium will develop formative assessment tools related to curriculum and lesson development, as well as scoring and examination of student work. Because a key element of SBAC's professional learning approach for educators is to engage teachers directly in developing and scoring SBAC assessments, teachers and administrators will be asked to contribute to the item and performance event banks and participate in the moderated scoring process.

(A)(1)(b)(i) As of June 2010, 31 States make up the SMARTER Balanced Assessment Consortium. Together, they account for the Total State Membership, which, as shown in the Organizational Structure (see Appendix A1-1), includes the Lead Procurement State/Lead State, Governing States, and Advisory States.

The Lead Procurement State/Lead State (hereafter referred to as the Lead Procurement State) is Washington. Washington's unique role is described in section (A)(1)(b)(ii).

As of June 2010, 17 of the 31 member States are Governing States: They have fully committed to this Consortium alone and meet the qualifications specified in the Memorandum of Understanding (MOU); are members of only one Consortium applying for a grant in the Program; have an active role in policy decision-making for the Consortium; provide one representative to serve on the Steering Committee; provide representative(s) to serve on one or more working groups; approve the Steering Committee Members and the Executive Committee Members; and participate in the final decision-making of changes in governance and specific design elements.

As of June 2010, 14 of the 31 member States are Advisory States: They have not fully committed to any consortium but support the work of this Consortium; participate in all Consortium activities but do not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total State Membership vote on an issue; may contribute to policy, logistical, and implementation discussions that are necessary to fully

operationalize the assessment system developed by the Consortium; and are encouraged to participate in the working groups.

All Consortium efforts will be overseen by the Steering Committee. A subset of this group is the Executive Committee, consisting of two Co-chairs, a representative from the Lead Procurement State, a representative from higher education, and one representative each from four Governing States. The Executive Committee will be accountable for overseeing development of the assessment system. The Steering Committee—a larger group composed of one representative from each Governing State in the Consortium—will support the Executive Committee and, to date, has been accountable for determining the broad picture of the assessment system. The Lead Procurement State is accountable for managing funds and all procurement on behalf of the Consortium. For additional details on committee responsibilities, see Appendix A1-2.

To maximize contributions and distribute workload efficiently and effectively, the Consortium has also created working groups, each charged with specific responsibilities, whose members are assigned to the group based on skills and expertise. To be sure all working groups are accomplishing their specific goals and contributing efficiently toward Consortium goals, Consortium leadership will review and revise group structures as appropriate. See Appendix A1-3 for a description of Consortium processes for determining committee/working group members and electing leaders.

Together, the Executive Committee, the Steering Committee, and the Lead Procurement State will work closely with the Project Management Partner and USED to ensure that Consortium efforts are coordinated efficiently and effectively to realize the design, development, and implementation of the assessment system, consistent with the Consortium's Theory of Action.

As illustrated in the Organizational Structure (Appendix A1-1), the Technical Advisory Committee (TAC) will provide expertise and advice to the Consortium in the areas of curriculum/instruction, assessment design, and technology. In addition, SBAC has secured commitments from the following organizations which have expressed their willingness to serve on the Policy Advisory Committee: American Association of School Administrators (AASA), American Federation of Teachers (AFT), American Youth Policy Forum (AYPF), Association for Career and Technical Education (ACTE), Mexican American Legal Defense & Educational Fund (MALDEF), National Association for the Education of Young Children (NAEYC), National Association of State Directors of Special Education (NASDSE), National Association

of Elementary School Principals (NAESP), National Association of Secondary School Principals (NASSP), National Association of State Boards of Education (NASBE), National Educators Association (NEA), National School Boards Association (NSBA), The James B. Hunt, Jr. Institute for Educational Leadership and Policy, Alliance for Excellence, American Association of State Colleges and Universities (AASCU), American Council on Education (ACE), and State Higher Education Executive Officers (SHEEO).

(A)(1)(b)(ii) Described below are the rights and responsibilities that pertain to all States in the Consortium, irrespective of role, followed by the rights and responsibilities that are based on a State's particular role in the Consortium.

Each Consortium member State, irrespective of role, is entitled to all key deliverables outlined above in (A)(1)(a). As for responsibilities, each member State is responsible for adopting the CCSS no later than December 31, 2011, and each State that is a member of the Consortium in 2014–15 will also be responsible for adopting common achievement standards and fully implementing Statewide, no later than the 2014–15 school year, the Consortium's summative assessment in grades 3–8 and high school, for both English language arts and mathematics. In addition, all member States are expected to adhere to the governance as outlined in the MOU; support decisions of the Consortium; follow agreed-upon time lines; participate in the decision-making process; and identify any barriers in State law, statute, regulation, or policy to implementing the assessment system and address any such barriers prior to full implementation of the summative assessment components of the system.

In addition to its general rights and responsibilities as a member State, each Governing State will be entitled to one representative on the Steering Committee, with one vote on all committee decisions. Each Governing State will be responsible for contributing significantly to policy, logistical, and implementation discussions that are necessary to fully operationalize the assessment system; participating significantly in Consortium-wide activities; participating in at least one working group; and approving individuals selected for representation and final decision-making in the following key areas: Steering Committee members, Executive Committee members, changes in governance and other official documents, and specific design elements.

In addition to its general rights and responsibilities as a member State, each Advisory State will be entitled to one vote on all polls of the Total State Membership. Each Advisory State also

will be responsible for contributing to policy, logistical, and implementation discussions that are necessary to fully operationalize the proposed assessment system; and participating in Consortium-wide activities.

The Lead Procurement State has the authority allocated to the Governing States and is also entitled to Washington's negotiated indirect rate for federal grants. The Lead Procurement State also has the responsibilities assigned to the Governing States and, in addition, is responsible for overseeing the management of funds, in collaboration with the Steering Committee and Executive Committee; overseeing all procurement on behalf of the Consortium; and providing one representative to serve on the Executive Committee.

All of these rights and responsibilities are summarized in the following table.

Summary Table for (A)(1)(b)(ii): States' Roles in the Consortium

Role Types of Member States	Description of the Rights and Responsibilities Associated with Role	Member States in this Role
Total State Membership (Governing States, Advisory States, Lead Procurement State/Lead State) Note: The States in this role will be updated as the State membership changes.	All States in the Consortium, by the 2014–15 school year, will be entitled to the following: 1. Comprehensively designed assessment system 2. Online test administration with a secure item and performance event bank 3. Consolidated reporting system 4. System of professional development All States in the Consortium will be responsible for the following: • Adopt the CCSS no later than December 31, 2011. All States that are in the Consortium in 2014–15 will also be responsible for the following: • Adopt common achievement standards no later than the 2014–15 school year, and • Fully implement the summative assessment in grades 3–8 and high school for both ELA and mathematics and no later than the 2014–15 school year. In addition, States are expected to • Adhere to the governance as outlined in the MOU, • Support Consortium decisions, • Follow agreed-upon time lines, • Participate in decision-making, and • Identify and implement a plan to address State barriers prior to full implementation of the summative assessment.	Washington Missouri Connecticut Nevada Utah Idaho Maine Wisconsin North Carolina Oregon New Mexico Hawaii Vermont Kansas Michigan Montana West Virginia Ohio Iowa South Carolina South Dakota Colorado North Dakota Delaware Alabama Kentucky New Hampshire Pennsylvania Oklahoma New Jersey Georgia
Governing State – Additional rights and responsibilities	Each Governing State is entitled to • One representative on the Steering Committee, and • One vote on all decisions brought to the Steering Committee. Each Governing State has the responsibility to	Washington Missouri Connecticut Nevada Utah Idaho Maine

Role Types of Member States	Description of the Rights and Responsibilities Associated with Role	Member States in this Role
Note: The States in this role will be updated as the State membership changes.	• Contribute significantly to policy, logistical, and implementation discussions to fully operationalize the assessment system, • Participate significantly in Consortium-wide activities, • Participate in at least one working group, • Approve Steering and Executive Committee members, and • Approve final decision-making in changes in governance, design elements, and other official documents.	Wisconsin North Carolina Oregon New Mexico Hawaii Vermont Kansas Michigan Montana West Virginia
Advisory State – Additional rights and responsibilities Note: The States in this role will be updated as the State membership changes.	Each Advisory State is entitled to • One vote when the Total State Membership is polled. Each Advisory State has the responsibility to • Contribute to policy, logistical, and implementation discussions to fully operationalize the assessment system, and • Participate in Consortium-wide activities.	Ohio Iowa South Carolina South Dakota Colorado North Dakota Delaware Alabama Kentucky New Hampshire Pennsylvania Oklahoma New Jersey Georgia
Lead Procurement State/Lead State – Additional rights and responsibilities	The Lead Procurement State has the authority allocated to Governing States and, in addition, to • Receive the State's negotiated indirect rate for federal grants. The Lead Procurement State has the responsibilities assigned to Governing States, and, in addition, is responsible for • Overseeing the management of funds, in collaboration with the Steering Committee and Executive Committee, • Overseeing all procurement on behalf of the Consortium, and • Providing one representative to serve on the Executive Committee.	Washington

(A)(1)(b)(iii) Consensus will be the goal for all Consortium decisions. Major decisions for which there is no consensus will be resolved with a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each State will have one vote when polls are conducted. If there is only a one- to three-vote difference, the issue will be re-examined to seek greater consensus. The Executive Committee will decide which decisions or issues are referred to the Steering Committee. The Consortium strives for fairness and transparency in all decisions, and this structure will ensure that polls are conducted knowledgeably and responsibly with strong State participation.

(A)(1)(b)(iv) Membership in the Consortium is assured when (1) a State declares its membership level and required MOU signatures are secured (from the State's Commissioner, State Superintendent, or Chief; Governor; and, if the State has one, from President/Chair of the State Board of Education); (2) the signed MOU is submitted to the Consortium Grant Project Manager (until June 23) or, after August 4, 2010, to the Project Management Partner; (3) the Advisory and Governing States agree and adhere to the requirements of the governance; (4) the chief procurement officer of the State seeking membership has reviewed the State's applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium; (5) the State is committed to identifying any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and (6) the State agrees to support all decisions made by the Consortium. After the Consortium receives the grant award, any request for membership in the Consortium must be approved by the Consortium's Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Any State may exit the Consortium without cause, but must comply with the following exit process:

- A State requesting to exit the Consortium must submit in writing its request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,

- The Executive Committee will act upon the request within a week of receiving it, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to USED for approval.

A State may change its role within the Consortium from an Advisory State to a Governing State or from a Governing State to an Advisory State by submitting its requests and reasons in writing. The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU. The Executive Committee will act upon the request within a week of receiving it and submit it to USED for approval.

As shown in the Summary Table for (A)(1)(b)(v), on October 1, 2010, the Consortium will initiate its support for all States in the Consortium to adopt the CCSS, with all States completing their adoption no later than December 31, 2011. Consistent with the Consortium's commitment to comparable and rigorous assessments, the Consortium will determine common performance level descriptors and achievement standards by August 31, 2014. SBAC will also create common assessment administration procedures and accommodations for English learners and accommodations for students with disabilities, respectively. Further, the Consortium will create common policies regarding item release, test security, definition of English learner, and participation for English learners and students with disabilities, respectively. The time line for this is presented in the table below.

Summary Table for (A)(1)(b)(v): Consortium's Policy and Definition Time Line

Policy or Definition to be Adopted	Approx Date to Initiate	Approx Date to Adopt
State adoption of Common Core State Standards	October 1, 2010	December 31, 2011
Common set of performance level descriptors	October 1, 2010	August 31, 2014
Common set of achievement standards	October 1, 2010	August 31, 2014
Common assessment administration procedures	October 1, 2010	June 30, 2013
Common item release policy	October 1, 2010	June 30, 2013
Common test security policy	October 1, 2010	June 30, 2012
Common definition of "English learner"	October 1, 2010	June 30, 2012
Common policies and procedures for accommodations for English learners	October 1, 2010	June 30, 2012
Common policies and procedures for accommodations for students with disabilities	October 1, 2010	June 30, 2012
Common policies and procedures for student participation for English learners	October 1, 2010	June 30, 2013
Common policies and procedures for student participation for students with disabilities	October 1, 2010	June 30, 2013

The Consortium's process and time line for setting other policies and definitions will be developed and determined by the Executive Committee and Steering Committee. The Committees and working groups will follow the decision-making process described in section (A)(1)(b)(iii).

(A)(1)(b)(vi) The Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act of 2009 (ARRA), and it will be legally responsible for the use of grant funds and for ensuring that the Consortium carries out the project in accordance with federal requirements. Washington has already established an ARRA quarterly reporting system (also referred to as 1512 Reporting).

Per statute, Washington generates claims against grant funds based on qualifying reimbursable deliverables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State for the Consortium will ensure that monetary exchanges are executed against appropriate and qualifying reimbursable deliverables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington is audited regularly by the State government, and has for the past five years been without an audit finding. As noted above, the State is prepared to meet the rigorous scrutiny associated with ARRA funding by leveraging its existing fiscal monitoring and control systems, including

- Washington's accounting practices, which are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM (available upon request) provides details and administrative procedures required of all Washington State agencies, including the State's education agency, for the procurement of goods and services. Actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- Comprehensive contracting rules to which Washington will adhere while serving as fiscal agent on behalf of the Consortium. These rules may be found in the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(A)(1)(c)(i) The terms and conditions of the MOU are described throughout this section, (A)(1), and also can be found in Appendix A1-4. The MOU will become effective as of the date entered and will remain in force until the conclusion of the Program unless terminated earlier in writing by the Consortium.

(A)(1)(c)(ii) Each State agrees to identify existing barriers to implementing this proposed assessment system, in State laws, statutes, regulations, or policies, and to remove any such barriers before full implementation of the summative assessment components of this system.

Each State will use a common process to address barriers. The process includes identifying the issue or risk (if known); the statute, regulation, or policy related to the barrier; the governing body with the authority to remove the barrier; the approximate date to initiate action to remove the barrier; and a target date for removing the barrier. States may have chosen to include any known barriers in the Barriers Table at the time of signing the MOU (see MOUs in Appendix A1-4).

(A)(1)(d) The Consortium's procurement process will be dictated by the laws and rules of the State of Washington, as the Lead Procurement State. Prior to initiating contracts over $20,000, bids must be acquired through a competitive solicitation process, defined as a formal process providing an equal and open opportunity to all qualified parties and culminating in a selection based on criteria delineated in the solicitation, which may include such factors as the consultant's fees or costs, ability, capacity, experience, reputation, responsiveness to time limitations, responsiveness to solicitation requirements, quality of previous performance, and compliance with statutes and rules relating to contracts or services.

The SAAM provides the following particular guidance: "Cost is always a factor but does not need to be the determinant factor. Agencies determine the weighted value of evaluation criteria and select a contractor and negotiate the contract based on these criteria." In sum, a Washington State agency has substantial discretion to build the criteria and scoring weights that it deems best to solicit the contract it wants. The limitations are intended to ensure that all responsible contractors are given equitable opportunity to win the solicitation. Each State's commitment to the Consortium's procurement process is evidenced by the signature blocks of each State's chief procurement official, provided in the MOUs in Appendix A1-4.

(A)(2) **Theory of Action** *(up to 5 points)*

The extent to which the eligible applicant's theory of action is logical, coherent, and credible, and will result in improved student academic outcomes. In determining the extent to which the theory of action has these attributes, we will consider the description of, and rationale for—

(a) Each component of the proposed assessment system and the relationship of the component to other components in the system;

(b) How the assessment results produced by each component will be used;

(c) How the assessments and assessment results will be incorporated into a coherent educational system (*i.e.*, a system that includes standards, assessments, curriculum, instruction, and professional development); and

(d) How the educational system as a whole will improve student achievement and college- and career-readiness (as defined in the NIA).

The SMARTER Balanced Assessment Consortium (SBAC) supports the development and implementation of learning and assessment systems to radically reshape the education enterprise in participating States in order to improve student outcomes. SBAC believes that the current "drop from the sky" approaches to educational testing are ineffective for too many teachers and students. Through expanded use of technology and targeted professional development, the Consortium's Theory of Action calls for full integration of the learning and assessment systems, leading to more informed decision-making and higher-quality instruction, and ultimately to increased numbers of students who are well prepared for college and careers.

The overarching goal of the SBAC is ***to ensure that all students leave high school prepared for postsecondary success in college or a career through increased student learning and improved teaching.*** Our approach is rooted in the belief that stronger learning will result from high-quality assessments that support ongoing improvements in instruction and learning, and that are educative for students, parents, teachers, school administrators, members of the public, and policymakers. Meeting this goal will require the reform and coordination of many elements across the education system, including, but not limited to, a quality assessment system that strategically "balances" summative, interim, and formative components (Darling-Hammond & Pecheone, 2010); provides valid measurement across the full range of common rigorous academic standards, including assessment of deep disciplinary understanding and higher-order

thinking skills that are increasingly demanded by a knowledge-based economy; and by the establishment of clear, internationally benchmarked performance expectations. Other elements that are outside SBAC's direct scope of work, but not outside its influence, are comprehensive pre-service and in-service professional development and focused and valid systems of accountability.

Seven Principles Undergirding the Theory of Action

Our assessment proposal is shaped by a set of seven principles shared by both assessment systems in high-achieving nations and a number of high-achieving States in the U.S.

(1) **Assessments are grounded in a thoughtful, standards-based curriculum and are managed as part of an integrated system** of standards, curriculum, assessment, instruction, and teacher development. Curriculum and assessments are organized around a well-defined set of learning progressions along multiple dimensions within subject areas. Formative and interim/benchmark assessments and instructional supports are conceptualized in tandem with summative assessments—all of them linked to the standards and supported by a unified technology platform.

(2) **Assessments produce evidence of student performance** on challenging tasks that evaluate the Common Core State Standards (CCSS). Instruction and assessments seek to teach and evaluate knowledge and skills that generalize and can transfer to higher education and multiple work domains. They emphasize deep knowledge of core concepts and ideas within and across the disciplines—along with analysis, synthesis, problem solving, communication, and critical thinking—thereby requiring a focus on complex performances as well as on specific concepts, facts, and skills.

(3) **Teachers are integrally involved in the development and scoring of assessments.** While many assessment components are efficiently scored with computer assistance, teachers must also be involved in the formative and summative assessment systems so that they deeply understand and can teach in a manner that is consistent with the full intent of the standards, while becoming more skilled in their own assessment practices.

(4) **The development and implementation of the assessment system is a State-led effort with a transparent and inclusive governance structure.** Since December 2009, SBAC

has hosted weekly conference calls and several face-to-face meetings open to all States interested in establishing a Consortium of States for the development of assessments aligned to the CCSS. Those activities have resulted in a governance structure that has established a consensus decision-making model and clear leadership roles. Each State's commitment to our collaborative process and products will facilitate the development of our complex system and signal ongoing support for its implementation.

(5) **Assessments are structured to continuously improve teaching and learning.** Assessment *as*, *of*, and *for* learning is designed to develop understanding of what learning standards are, what high-quality work looks like, what growth is occurring, and what is needed for student learning.

(6) **Assessment, reporting, and accountability systems provide useful information on multiple measures that is educative for all stakeholders.** Reporting of assessment results is timely and meaningful—offering specific information about areas of performance so that teachers can follow up with targeted instruction, students can better target their own efforts, and administrators and policymakers can more fully understand what students know and can do, in order to guide curriculum and professional development decisions.

(7) **Design and implementation strategies adhere to established professional standards.** The development of an integrated, balanced assessment system is an enormous undertaking, requiring commitment to established quality standards in order for the system to be credible, fair, and technically sound. SBAC is committed to developing an assessment system that meets all Critical Elements required by USED Peer Review, relying heavily on the *Standards for Educational and Psychological Testing* (AERA, APA, NCME, 1999) as its core resource for quality design. Other key sources of professional standards that will guide SBAC's work include a reasoning-from-evidence approach (e.g., see NRC, 2001; Mislevy, Almond, & Lukas, 2004); *Operational Best Practices in Large Scale Assessment* (ATP, CCSSO, in press); and the ANSI-endorsed *Student Evaluation Standards*, *Program Evaluation Standards*, and *Personnel Evaluation Standards* (JCSEE, 2002, 1994, 2008, respectively).

Components of the Theory of Action

Presented below are the components of the Consortium's Theory of Action, including connections to other system components, the results to be produced, and some of the key related Consortium activities. A pictorial schematic of the SBAC Theory of Action is found in Appendix A2-1. While this figure presents the Theory of Action in a somewhat linear fashion, this is simply a limitation of representing a complex system in two dimensions and on a single page. The actual Theory of Action is much more recursive and multidimensional than graphically depicted.

Consortium and State policies and practices support high expectations and increased learning opportunities for students.

A major working assumption of the Consortium is that assessment reform must operate within the context of State policies and practices that can either support or hinder realization of the overall goal to have students graduate from high school as college- and career-ready. Thus, SBAC has committed to creating a policy environment that can support the innovative systems described in the design section of this proposal. Supportive policies would include the development of accountability systems that incentivize the right behaviors for administrators and teachers, and avoid inadvertently rewarding behaviors that would run counter to the learning goals. Another example is policy for provision of ongoing professional development structures and support for teachers.

The assessment system is aligned to a common set of State standards that clearly specify college, career, and grade-level expectations.

A State policy that is fundamental to SBAC's Theory of Action is adoption of the Common Core State Standards (CCSS), which clearly specify college and career expectations as well as the knowledge and skills required at each grade level to meaningfully articulate progress toward these end-of-high-school expectations. These "fewer, higher, and deeper" standards—influenced by findings that high-achieving countries typically teach fewer topics more deeply—will serve as the basis for the comprehensive assessment system. And while it is critical that the assessment system validly reflects these standards, SBAC must interpret or translate these standards before they can be used effectively for assessment or instruction. Specific steps include the following.

1. Ensure that each member State adopts the CCSS by December 31, 2011.

2. Translate the standards into content/curricular frameworks, test maps, and item/ performance event specifications to provide assessment specificity and to clarify the connections between instructional processes and assessment outcomes.

SBAC policies and standards are effectively communicated to districts and schools.

Enacting policies and having standards is not enough. A major lesson learned by SBAC member States is that clear and timely communication of policies and practices is essential for successful implementation of a new system. Effective communication is critical in the short term to signal change, and over the longer term to implement change. Specific steps include the following:

1. Develop a multimedia communications plan that is implemented by each member State to educate stakeholders about key aspects of college and career expectations.
2. Develop score reports that clearly communicate about the assessment system and the results to key stakeholder groups.

Teachers are provided with curriculum, instructional materials, rich professional development, and other supports and resources to effectively instruct students on the standards.

While effective communication with teachers is essential, the SBAC model calls for a fuller level of teacher engagement in an integrated learning and assessment system, which requires that teachers receive adequate supports and resources. This system component, central to the design of the SBAC system, encompasses many different teacher support features. Specific aspects include

1. Model curriculum and instructional modules that are aligned with the CCSS.
2. Training modules that help teachers focus their instruction on the CCSS and develop teaching practices that support more in-depth learning.
3. Training of teachers to use formative assessment tools and interim/benchmark assessments as well as to interpret results and use those results to determine next steps in instruction.
4. Teacher-moderated scoring of performance events as a professional development vehicle

to enhance teacher capacity to evaluate student work aligned to the standards.

5. Online interpretable score reports at the student and classroom level that clearly show strengths and weaknesses and can be tailored to fit individual needs and circumstances.

Technology provides increased access and opportunities for students to fully engage in the learning and assessment systems and supports the design, delivery, scoring, and reporting of the assessment system.

Innovative and efficient use of technology is the hallmark of the SBAC model. SBAC's Theory of Action posits that technology solutions for test delivery will provide students with increased access to the assessment and will yield more accurate measurement of their acquisition of knowledge and skills. For example, use of computer adaptive testing (CAT) methodologies will ensure that students across the full range of performance have an assessment experience that presents them with items that are best suited to their skill level. Average-, very low-, and very high-performing students will be more likely to stay engaged in the assessment because they will be responding to questions targeted to their skill level.

The computer delivery system broadens the availability of the accommodations while establishing a less restrictive testing environment for students with special needs. The system will also support several formalized accommodations. For example, text-to-speech and aural native language translations can be supported if students are tested in isolation, or if they have access to headphones. Refreshable Braille can also be supported with online tests.

Just as technology will support student access and engagement, it will also lead to more valid and timely reporting of assessment results, and lead to efficiencies and enhancements for professional development and resource tools. Specifically, SBAC will

1. Ensure that all students are provided with the technology needed for all aspects of the SBAC assessment system (summative, interim/benchmark, and formative).
2. Support research on how best to increase *access* for all students through the use of technology.
3. Use technology to efficiently deliver training programs, resources, score reports, data, etc., including interactive Web-based social networks designed for teacher use in the development and dissemination of effective curriculum and instructional practices.

4. Create innovative and real-world item types that rely on technology platforms.
5. Use adaptive item selection engines, drawing on a broad item pool, to ensure that accurate measures of student achievement are possible across a wide performance continuum without undue burden.
6. Establish accommodation protocols that capitalize on technological capabilities to support broader access to assessments for all students, including those most at risk.
7. Standardize member State accommodation policies through a coordinated Enhanced Assessment Grant.

A high-quality summative assessment system establishes high expectations and provides relevant information on achievement and growth to teachers, students, and others.

Assessments must be carefully structured to improve teaching and learning. This means establishing summative assessments that reflect the challenging CCSS content, emphasizing not just students' "knowing," but also "doing." SBAC envisions a summative assessment system composed of interactive selected-response and constructed-response items and simulations as well as teacher-developed performance events that measure the full range of student abilities on the CCSS. The incorporation of CAT is based on member States' positive experiences with this methodology (e.g., Oregon) and the many benefits it affords, such as precision of measurement and timely results (Kosty, McBride, Poggio, Wise, & Way, 2006; Lilley, Barker, & Britton, 2004; Rabinowitz, 2005). The summative assessment will accomplish the following:

1. Signal high expectations to students, parents, teachers, administrators, and policymakers.
2. Provide efficient, reliable, and valid information across the full range of achievement.
3. Engage IHEs at the high school level to ensure that assessments truly reflect a measure of readiness for college and careers.
4. Provide explicit measures of student progress toward college- and career-readiness through growth models and criterion-validity studies.
5. Promote policy alignment by establishing internationally benchmarked achievement standards that are common across Consortium States and that are comparable across multiple consortia.

Interim/benchmark (I/B) assessments and formative tools and strategies are integrated with the summative assessments to provide instructionally useful information to teachers,

students, and administrators.

While a rigorous summative assessment is essential, SBAC believes that it is insufficient to drive positive change in teaching and learning. Informed by the recent experiences in England and Hong Kong, SBAC posits that I/B and formative assessments are the other necessary assessment ingredients to drive teaching and learning (Darling-Hammond & Pechone, 2010). As such, I/B and formative assessments will be developed and implemented directly under the purview of the Consortium—not simply adopted from external sources. Grounded in cognitive development theory about how learning progresses across grades and competence develops over time (NRC, 2001; Pellegrino, 2006; Stiggins, 2002), the assessments will (a) work in concert with the summative assessment, (b) allow for more innovative and fine-grained measurement of student progress toward the CCSS (Shepard, Hammerness, Darling-Hammond, & Rust, 2005), and (c) provide diagnostic information that can help tailor instruction and guide students in their own learning efforts. Besides its close connection to the summative component, this component will also operate in tandem with the teacher resources and supports component as well as the teacher engagement component (see below). The main features that SBAC will incorporate into its comprehensive system include

1. I/B assessments on the same scale as the summative assessments to measure within-year student achievement and provide teachers and students with information on the degree to which students are on track to succeeding on the summative assessments.

2. Interpretative guides, using the publicly released I/B assessment items and performance events to illustrate how the SBAC assessments are manifestations of the CCSS.

3. Formative tools that teachers can use throughout the year to better understand where students are in their learning and determine any misconceptions, allowing for quick adjustment to instruction as well as differentiated instruction.

Teachers are engaged in the design, development, and scoring of assessment items and in the reporting of results.

The SBAC model envisages an integral role for teachers in an integrated learning and assessment system. This means teachers must be meaningfully engaged in all aspects of assessment. To that end, the SBAC model incorporates the following features:

1. Work with teachers and policy stakeholders to develop test maps that assess the full range

of the CCSS and that articulate within and across grade levels.

2. Involve teachers in specifying, writing, reviewing, and range finding test items/ performance events.

3. Use teacher-moderated scoring of performance events as a professional development vehicle to enhance teacher capacity to evaluate student work aligned to the standards.

Teachers, students, and administrators use information from instructionally useful assessments to improve teaching and learning.

Information from assessment results must be delivered in ways that are instructionally useful for schools and teachers as well as meaningful and actionable for students (Popham, 2006). Making optimal use of technology, SBAC will

1. Fully involve teachers (and other end-users) in designing different score reports and web-enabled tools and services to maximize their communication value and usefulness.

2. Provide interactive reports and resources so that teachers fully understand performance for each student and the class as a whole.

3. Allow students to more fully engage in the learning process through ongoing interim/benchmark assessments that can be self-administered and reports that allow students to compare where they are to where they need to be.

In summary, the proposed SBAC learning and assessment system is grounded in a sound Theory of Action—taking advantage of current research and lessons from current practice—and incorporates a new generation of technology tools, innovative assessments, and state-of-the-art classroom support mechanisms to improve teacher and student capacity to meet the challenges in ensuring that all students are college- and career-ready.

(A)(3) **Assessment System Design** ***(up to 55 points)***

The extent to which the design of the eligible applicant's proposed assessment system is innovative, feasible, and consistent with the theory of action. In determining the extent to which the design has these attributes, we will consider—

(a) The number and types of components (*e.g.*, through-course summative assessments (as defined in the NIA), end-of-year summative assessments, formative assessments, interim assessments in mathematics and in English language arts in the assessment system);

(b) For the assessment system as a whole—

(i) How the assessment system will measure student knowledge and skills against the full range of the college- and career-ready standards, including the standards against which student achievement has traditionally been difficult to measure; and provide an accurate measure of student achievement, including for high- and low-performing students, and an accurate measure of student growth over a full academic year or course;

(ii) How the assessment system will produce the required student performance data (*i.e.*, student achievement data and student growth data (both as defined in the NIA) that can be used to determine whether individual students are college- and career-ready (as defined in the NIA) or on track to being college- and career-ready (as defined in the NIA);

(iii) How the assessment system will be accessible to all students, including English learners and students with disabilities, and include appropriate accommodations (as defined in the NIA) for students with disabilities and English learners; and

(iv) How and when during the academic year different types of student data will be available to inform and guide instruction, interventions, and professional development; and

(c) For each component in mathematics and in English language arts in the assessment system--

(i) The types of data produced by the component, including student achievement data (as defined in the NIA), student growth data (as defined in the NIA), and other data;

(ii) The uses of the data produced by the component, including determining whether individual students are college- and career-ready (as defined in the NIA) or on track to being college- and career-ready (as defined in the NIA); informing determinations of school effectiveness for the purposes of accountability under Title I of the ESEA; informing determinations of individual principal and teacher effectiveness for the purposes of evaluation; informing determinations of principal and teacher professional development and support needs; informing teaching, learning, and program improvement; and other uses;

(iii) The frequency and timing of administration of the component, and the rationale for these;

(iv) The number and types of items (*e.g.*, performance events, selected response items, brief or extended constructed response items) and the distribution of item types within the component, including the extent to which the items will be varied and elicit complex

student demonstrations or applications of knowledge and skills (descriptions should include a concrete example of each item type proposed); and the rationale for using these item types and their distributions;
(v) The component's administration mode (*e.g.*, paper-and-pencil, computer-based, or other electronic device), and the rationale for the mode;
(vi) The methods for scoring student performance on the component, the estimated turnaround times for scoring, and the rationale for these; and
(vii) The reports produced based on the component, and for each report, its intended use, target audience (*e.g.*, students, parents, teachers, administrators, policymakers), and the key data it presents.

Required Tables and/or Attachments:
- ✓ *Summary Table for (A)(3): English Language Arts*
- ✓ *Summary Table for (A)(3): Mathematics*
- ✓ *Examples of each item type proposed*

(A)(3)(a) The SMARTER Balanced Assessment Consortium is committed to developing an assessment system that purposefully balances summative, interim/benchmark (I/B),[2] and formative components and uses the information available from each component in a manner consistent with its design and purposes. We believe that this balance of assessment components will provide for a fully integrated system of learning and assessment that yields the necessary and actionable information to support quality instruction. The system will further support quality instruction by describing the knowledge and skills required for college- and career-readiness as laid out in the Common Core State Standards (CCSS)—an elaboration that will result from our work in developing an assessment system that measures deep disciplinary understanding and higher-order thinking skills. Our system of summative, I/B, and formative assessments will produce instructionally useful information available throughout the instructional year to help guide and support differentiated instruction. Teachers will be supported in the effective use of these assessment data through a well-developed system of professional development and professional learning groups—vital components of the overall design.

We provide an overview of our proposed assessment system in Appendix A3-1. Our assessment system capitalizes and expands on existing technologies to provide accurate measurement of individual student achievement and growth in student learning based on the CCSS. We are committed to a computer adaptive summative assessment for English language arts

[2] The I/B and formative components are described in the MOU as optional "formative/benchmark components," which is a broader description for these system features.

(ELA) and mathematics to be administered in grades 3–8 and grade 11 within 12 weeks of the end of the instructional year. The adaptive summative assessment includes selected-response, technology-enhanced constructed-response, and extended constructed-response items. The computer adaptive approach provides maximally accurate assessment for each student to better determine whether students are on track for being college- and career-ready and to support the measurement of the full range of student abilities. The summative evaluation for each student will also include performance events that will provide a measure of the student's ability to integrate knowledge and skills across multiple standards—a key component of college- and career-readiness. Performance events will be used to better measure capacities such as depth of understanding, research skills, and complex analysis, which cannot be adequately assessed with selected- or constructed-response items. At grades 3–8, students will engage in two rigorous performance events for ELA and mathematics. At the high school level, students will engage in up to six performance events by grade 11 for both ELA and mathematics. These events will be computer-delivered and typically will require one to two class periods to complete.

The second key component of SBAC's assessment system is adaptive I/B assessments, built around learning progressions. Learning progressions describe "how learning typically unfolds" (Darling-Hammond & Pecheone, 2010, p. 9). Results from these assessments can be used by teachers to develop targeted instructional strategies aimed at addressing specific gaps in understanding to see where each student currently is situated on the learning continuum toward college- and career-readiness. These I/B assessments play a key role in our system because they provide more finely grained information about student progress toward college- and career-readiness than can be provided by the summative assessment. They can be administered at various points within the instructional year to support effective instructional decisions at the student level. This pool of items will contain the same types of items and performance events as the summative pool and will include all released summative items and events.

The third component of the Consortium's assessment system is a set of formative tools, processes, and practices that support the needs of teachers on a daily basis as they help students learn and progress on their path toward college- and career-readiness. The goal of our formative assessment component is to enable full implementation of the learning and assessment system by helping teachers and administrators effectively use data from the summative and I/B assessments and to build their capacity to collect evidence during instruction that can be useful in diagnosing

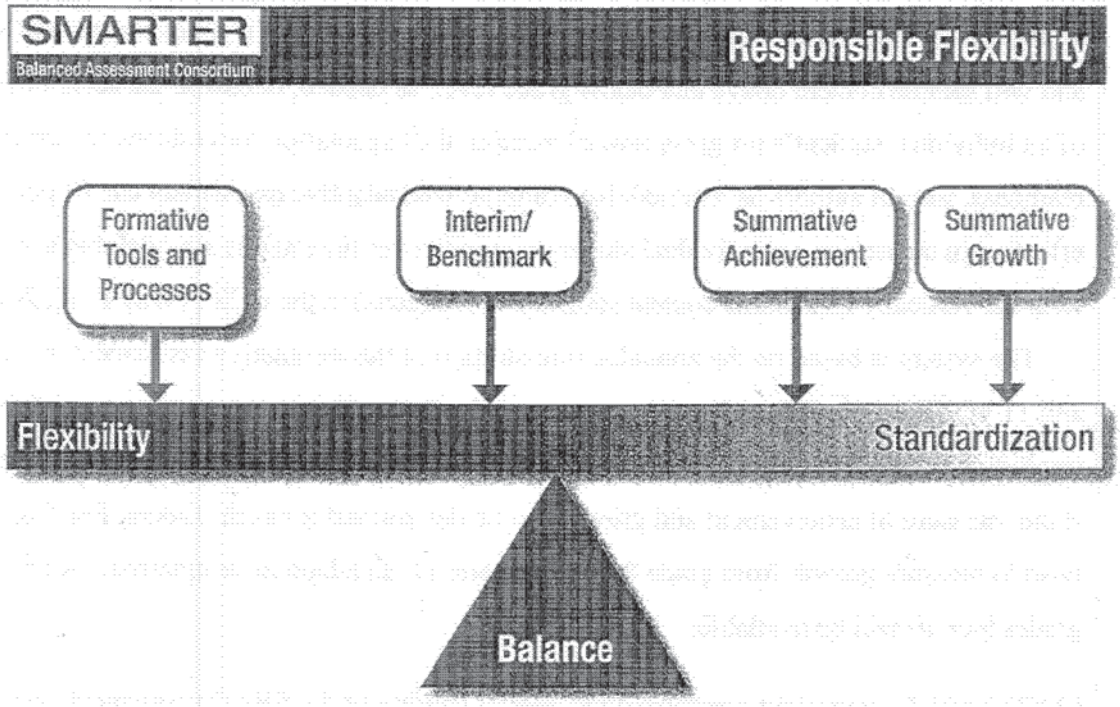
students' learning needs. To build these capacities, the Consortium will develop and disseminate research-supported tools, resources, and materials. It also will provide opportunities for training and collaboration through professional learning work groups to support the development of assessment literacy; an understanding of the content and performance expectations of the CCSS; development of model curriculum units; alignment of curriculum, instruction, and assessment; development of teacher capacity in the reasoning-from-evidence approach to item development supported by the Consortium; an understanding of the expectations of student performance through the effective use of scoring activities and released events with annotated student work; and an in-depth understanding of the learning process to sustain improved instructional practice. By combining these formative practices and tools with the summative and I/B assessments, we are developing a system for learning and assessment that will lead to more informed decision-making and will result in higher-quality instruction, and thus, higher levels of student achievement.

Further, SBAC is committed to developing an assessment system that reflects the principle of responsible flexibility. We want to provide States within the Consortium flexibility in implementing the components of our assessment system in a way that best meets their needs. Consequently, the Consortium is committed to a comprehensive research agenda to ensure that options for administration of the summative assessment adhere to three key principles—comparability, technical adequacy, and fairness. For example, the Consortium will be investigating the reliability and validity of offering States an optional distributed summative assessment as an alternative for States to the administration of the summative assessment within the fixed 12-week testing window. The distributed summative assessment will be developed based on content clusters to allow students to demonstrate mastery of content and skills throughout a course and at the most appropriate time for each student. The scores of these distributed assessments would be rolled up (along with the students' scores on the performance events) to make the overall decision about students' achievement with respect to college- and career-readiness. We believe that this "through course" option reflects the greatest flexibility for States and allows for differentiated instruction and assessment that we believe reflects the best in instructional and assessment practice. We also recognize the need to fully investigate this option to ensure that the results based on a distributed assessment are comparable to those based on the comprehensive summative assessment for all required purposes—student achievement and growth, school accountability, and, as a part of teacher and principal evaluation—meet the requirements for technical adequacy

and fairness.

SBAC recognizes that the purpose and intended use (with associated stakes) of each component play a large part in how flexibility must be weighed in relation to comparability and technical adequacy. Figure A3-1 demonstrates how we view the *balance* among these sometimes conflicting values. On the ends of this continuum, formative assessment tools must allow for classroom flexibility to be successful while the technical requirements of growth models for student and school accountability create strong limits on this dimension. I/B assessments and summative assessments used to measure student achievement fall in between. Ultimately, our research agenda (described in section (A)(5)) will determine how to weigh the various values explicit in our Theory of Action used to drive the development and implementation of our balanced assessment system.

Figure A3-1



(A)(3)(b)(i) A coherent, comprehensive assessment system consists of a set of strategically selected measures to assess students' knowledge and mastery of college- and career-readiness standards. The measures used within this system were selected based on their appropriateness for the construct to be assessed, and they will fit together as a set to evaluate the full range of

standards. Our assessment system will include computer adaptive selected-response items, technology-enhanced constructed-response items, and extended constructed-response items as well as standardized performance events at each grade level (3–8 and high school). The commitment of the Consortium to the use of performance events will be central to our ability to measure student knowledge and skills against the full range of the college- and career-ready standards. The performance components will reflect more ambitious events that can measure aspects of student performance that are reflected in the CCSS but have traditionally been difficult to measure on standardized assessments, including skills such as the use of relevant evidence and technology, thoughtful critique, and adaptive reasoning. Student performance on the adaptive summative assessment will be combined with the performance measures to provide the accurate measure of student achievement as required by the NIA.

SBAC is committed to a computer adaptive model because it represents a unique opportunity to create a large-scale assessment system that provides maximally accurate achievement results for each student. The adaptive assessments will be highly sensitive to the unique status of the learner and will sample content above and below grade level, as needed, to ensure the accurate assessment of an individual student's progress toward meeting the expectation for college- and career-readiness. Recent authors have noted that computerized adaptive assessment can be particularly effective in measuring an individual student's growth over time and is a model that is compatible with the vertically articulated content standards as reflected in the CCSS (Way et al., 2010).

The system is based on the annual administration of the summative assessment at grades 3–8 and 11 within a 12-week window at the close of the instructional year. These summative scores (including the results on the performance events) will provide for a common measure on which a stable measure of achievement and growth can be determined for each student. For States that wish to measure growth from grade 8 prior to grade 11, an adaptive summative assessment in grades 9 or 10 will be available.

(A)(3)(b)(ii) An important measure of the overall validity of the SBAC assessment system will be the extent to which summative results for each content area accurately measure whether students are on track or ready for college or career.

The Consortium's adaptive summative assessment in combination with performance events will operationalize this expectation, and our research studies will validate their effectiveness. Our

evidence will cover the full range of a validity argument, drawing upon the Theory of Action as the foundation for the system's interpretive argument (Kane, 2007). We begin at the content level. Our proposed blueprint provides sufficient data across the clusters of the CCSS to measure achievement (i.e., obtained proficiency level) and growth (i.e., both progress toward meeting grade-level expectations and progress toward the grade 12 exit criteria). We will conduct independent alignment studies to ensure all items and events properly and fully assess the intended content.

Next, the technical analyses of our summative assessment will examine its ability to provide student achievement and growth data to measure college- and career-readiness. For example, the adaptive engine will sample items within grade level and above or below as necessary to provide precise measurement of the student's achievement level. Results of assessments, as translated by the vertically articulated content and achievement standards, will be expressed on the same common scale. Each student can be compared to the same "on-grade" standards regardless of whether or not off-grade items were used in his or her test.

Finally, we will conduct external validity studies to measure whether students who achieve mastery at a grade level (achievement score) or who are considered on a trajectory toward mastery (growth score) do indeed achieve that predicted level at the next grade and, eventually, by grade 12 and beyond.

Following the full system field testing in spring 2014, the Consortium will conduct standard setting for the adaptive summative assessments in grades 3–8 and grade 11 in ELA and mathematics. The method for standard setting will be determined by the Governing States in the Consortium in school year 2012–13, with an understanding that (a) standard setting for computer adaptive tests (CATs) and (b) use of a composite score that includes performance events will require that special issues be addressed prior to model selection. Key to the discussion is whether we will use an item-based approach such as the *Bookmark* method (Mitzel, Lewis, Patz, & Green, 2001) or a more holistic approach where actual student work samples are reviewed (e.g., *Body of Work*, Kingston, Kahl, Sweeney, & Bay, 2001). Neither approach alone is ideal for a system such as ours that features selected-response items, constructed-response items, and performance events. Regardless, the selected standard-setting process will be used to translate the CCSS into the performance standards that will be reported for Title I accountability purposes. Specifically, the purpose of this process is to set cut-scores (benchmarks) for:

- different levels of achievement (e.g., below basic, basic, on track to college- and career-ready, and advanced) for each of grades 3 through 8, and
- different levels of achievement (e.g., below basic, basic, college- and career-ready, and advanced) for grade 11.

Prior to or during standard setting, a set of achievement level descriptors (ALDs) for each achievement level in each grade (3–8 and 11) will be developed by a team of representatives from the Governing and Advisory States that will include teachers and representatives from IHEs and the workplace. The ALDs will serve as the framework that connects the content in the CCSS with summative item-pool/performance event content by describing what a student must know and be able to do at each achievement level.

Cut-scores set during August 2014 standard setting will be validated in July 2015 using spring 2015 operational data. The judges/participants will include local education agency (LEA) and state education agency (SEA) representatives who will review all evidence that the cut-scores set the previous year are reasonable and appropriate, given the actual findings from operational testing. The validated cut-scores will be presented to SBAC's Steering Committee and Governing States for approval, then to the Total State Membership for review and approval in August 2015. The Consortium agrees to adopt common achievement standards across all Governing and Advisory States by the end of August 2015.

Given the desire and value of comparable standards for all U.S. students, SBAC will coordinate standard setting with any other consortia funded under this competitive process. This will include the development of comparable achievement level descriptors to guide the standard-setting process and linking studies that will ensure the ability to translate results (and accountability determinations) across the nation, regardless of to which Consortium a State belongs.

(A)(3)(b)(iii) The Consortium is deeply committed to ensuring that the intellectual integrity and full rigor of the academic content standards are maintained throughout all forms of assessments developed to serve this system and that all students, regardless of disability, language, or subgroup status, have adequate access to the content in the SBAC assessment system. Critical to supporting student achievement of the academic content to which the assessment system is aligned is appropriate student access to the grade-level content in the system. The SBAC system will ensure

meaningful accessibility to students; that is, valid forms of presentation, engagement, and response for students—to address access barriers including vision, hearing, motor, and other sensory, physical, cognitive, processing, and language needs of students—that enable students to fully demonstrate what they know and can do.

Generally, meaningful accessibility will be grounded in the upfront determination of the following three factors: the *targeted constructs* (a clear definition of the specific grade-level content skills and knowledge that the assessment is intended to measure); *unintended constructs* (identification and consideration of the possible influence of construct-irrelevant variables, such as nonessential complexity in text and visuals, and what the assessment is not intended to measure), and *student access profiles* (the particular sensory, physical, cognitive, processing, and/or language needs of students that can be addressed during testing in order to minimize construct irrelevance or the influence of unintended constructs). The upfront determination and careful consideration of these key factors throughout the assessment design and development process will support informed decisions that best ensure the purposeful design and systematic embedding of accessibility features in the system's assessments, and that support student access to targeted grade-level constructs; do not alter the measure of the intended construct; improve the measure of the intended construct for all students, particularly students with disabilities and English learners; and support valid inferences of what students know and can do (e.g., Mislevy, Steinberg, & Almond, 2003; Almond et al., 2010). The SBAC assessment system will rely on experts from relevant fields (e.g., measurement, applied linguistics, special education, curriculum and instruction, technology) and draw upon the most recent research in areas that include cognitive load theory, readability, content relevance and difficulty, principles of universal design for assessment, and fairness for enhancing student access to targeted grade-level constructs and obtaining information that support valid inferences about what all students know and can do.

The general framework for ensuring meaningful access for all students engaging in the Consortium's system will be informed by the Access by Design Model (see Appendix A3-2: *Access by Design: A Theory of Action and Research* [Fedorchak, 2010]). Consistent with the upfront consideration of key factors described previously, the Access by Design Model provides a framework that supports a systematic approach for purposefully engineering accessibility features into all assessment design blueprints and structures from the beginning and throughout the assessment development process. By doing so, the vast majority of student access needs (e.g.,

cognitive, processing, sensory, physical, language) are met by accessibility features (e.g., magnification, audio representation of graphic elements, linguistic simplification) designed into the structure and delivery of the assessment items and formats. This is carried out in a manner that ensures the integrity of the targeted grade-level constructs being measured is maintained. Additional "accommodations" requiring special documentation and procedures, or additional local resources for implementation, are thereby minimized.

Within the Access by Design framework, meaningful accessibility will be ensured according to the principles as outlined in Appendix A3-2. The principles focus in particular on access vis-à-vis the technology approach central to the SBAC assessment system.

(A)(3)(b)(iv) The balanced assessment system proposed by the Consortium will provide student-level data throughout the instructional year to inform and guide instruction, interventions, and professional development. A primary purpose of the assessment system (along with accountability) is to provide timely feedback to students, teachers, and principals. Whereas the summative assessment will serve as the primary measure to determine achievement and growth for accountability, the I/B assessments and formative tools and processes are designed to provide the meaningful, actionable data that can immediately impact instruction.

The computer-administered summative and I/B assessments can provide immediate results based on the selected-response and specific technology-enhanced item types that can be scored via the automated scoring feature built into the testing platform. The scale scores based on these items will be updated as results from the artificial intelligence (AI) scored items and performance events are available. Further, we anticipate that teacher scoring will be required for select dimensions of the performance events (e.g., inference) that may not be scored as reliably through AI technology. Once operational, we anticipate a two-week window for turnaround of items requiring teacher scoring.

We endorse the view of formative assessment as a means to collect evidence *during* the course of instruction about how students are learning so that instructional changes can be made to support student learning (Heritage, 2007). The Consortium will support the development of formative assessment tools that will be an integral part of day-to-day instruction and that will describe a student's academic strengths and limitations, estimate the group's knowledge level prior to instruction, check for misconceptions, provide evidence of progress toward learning goals, support

the evaluation of the effectiveness of instructional strategy, and identify areas for professional development.

(A)(3)(c)(i) The summative assessments in mathematics and English language arts will provide information about student progress toward college- and career-readiness in grades 3–8 and 11. This information will answer two important questions: (1) Has the student met or exceeded the achievement level for his/her current grade? and (2) Will the student meet the college-readiness achievement level by grade 12 if he/she continues on the current achievement trajectory? To accomplish both of these crucial accountability requirements, the Consortium will build a vertical scale and define vertically and horizontally articulated achievement standards in both ELA and mathematics. (A description of the procedure used to develop the vertical scale can be found in section (A)(5).) To assist in the interpretation of scores, results from the summative assessment will be reported as listed in the Summary Tables for section (A)(3). Where appropriate, information such as the scale scores and student progress will be able to be aggregated at the classroom, school, district, State, and Consortium levels. Additional data on student achievement and growth will be available thanks to our commitment to a truly "balanced" assessment system. Thus, the I/B component will allow more finely grained analyses of each student's progress toward grade-level and college-readiness mastery. Our piloting plan for the I/B assessments will allow results to be placed on the same vertical scale as the summative assessment, greatly increasing teachers' ability to transfer information from one to the other.

(A)(3)(c)(ii) We will produce data to determine whether every student is college- and career-ready or on track to being college- and career-ready by building a vertical scale across the 3–11 grade span and by developing vertically and horizontally articulated achievement standards.

Our Consortium anticipates that the model for determining school effectiveness will change from the current limited AYP model once ESEA is reauthorized. We also look forward to guidance from Congress and USED, via the reauthorization process, on the range of available options for using assessment data for "informing determinations of individual principal and teacher effectiveness for the purposes of evaluation; informing determinations of principal and teacher professional development and support needs; informing teaching, learning, and program improvement; and other uses." Regardless of the model or models authorized, the Consortium's

"Balanced System" approach is especially well suited for these purposes for the following reasons:

- Our summative assessment will be sufficiently reliable, valid, fair, and efficient to support high-stakes student, school, and teacher/principal accountability decisions;
- Our I/B assessments and formative support processes will pinpoint student needs and provide teachers and principals with the data they need to build curriculum and tailor instruction at the individual level;
- Our professional development model will provide teachers and principals the supports and strategies to implement data-driven reform;
- Our involvement of teachers and other education practitioners at all stages of development, implementation, and evaluation will create buy-in such that accountability decisions at all levels (student, teacher, school) will be seen as being as fair and equitable as possible; and
- Our reliance on ANSI-approved standards developed by the Joint Committee on Standards for Educational Evaluation in the areas of evaluating students, educational personnel, and programs (JCSEE, 2009).

We have conceptualized our score scale and achievement levels as broadly as possible so that they can accommodate a range of possible Federal and State accountability models. Our research agenda focuses on ensuring the technical adequacy of our data across these possible models and will ensure that comparability is achieved regardless of the model(s) selected.

(A)(3)(c)(iii) The assessment system has three major components that serve different primary purposes within the system. Thus, the frequency and time of administration vary by component. The adaptive summative component will be administered within the last 12 weeks of the instructional calendar. Students would be allowed two testing opportunities, and the student's highest score would be used to determine achievement and growth. (The second testing opportunity is to provide students a second administration if there is evidence to suggest that the score associated with their first administration is invalid.) Performance events will be administered within an established testing window. These fixed administration windows are being implemented to facilitate comparability while providing States an adequate window to allow for student access to the computers required for administration. We will continue with this defined testing window until our research supports comparability decisions for assessments administered outside through the distributed model.

The I/B assessments allow for flexible administration at the discretion of the State, district, school, or teacher. Because these assessments will be tied to specific targeted knowledge and skills within a learning progression, the I/B item pool can be used to provide valuable information about student progress on the identified learning progressions before, during, or near the end of instruction.

We envision teachers implementing formative processes as *part of their instructional routine* (Resnick & Berger, 2010). As such, the frequency and timing would be throughout the instructional year and as part of daily instruction.

(A)(3)(c)(iv) The Summary Tables for (A)(3) outline the numbers and types of items proposed for the summative assessment. These numbers are based on the preliminary review of the CCSS and will be refined based on the final assessment framework and blueprint as outlined in section (A)(4)(a). The adaptive summative assessment will include selected-response items, technology-enhanced items, and extended constructed-response items and will be combined with the performance events to provide for the assessment of declarative and procedural knowledge along with the extended problem solving, inquiry, and synthesis expected for college- and career-readiness. The proposed distribution of item types is based on the number of CCSS, the preliminary analysis of their content, and the need to produce a scale that will include enough score points to reliably measure student abilities. Sample items for each item type included in the assessment system are presented in Appendix A3-3.

Whereas selected-response items have routinely been a part of assessments of student learning, their emphasis has too often been on low-level skills reflecting knowledge of discrete pieces of information that are not critical for subsequent student learning. The emphasis here will be on the development of items that reflect important knowledge and skills consistent with the expectations of the CCSS. Items can be developed to address knowledge and skills from more than one standard. The appropriate and judicious use of selected-response items provides for a cost-effective means to address content in terms of test development, administration, and scoring.

The Consortium is committed to making effective use of technology by including items that capitalize on the capabilities of the assessment platform. The effective use of technology can expand not only the nature of the content that can be presented but also the knowledge, skills, and processes that can be assessed (Quellmalz & Moody, 2004). Technology-enhanced items can take

advantage of drag-and-drop, hot spot, and simulation technologies along with the use of online tools to measure content that was previously not assessed or was assessed through constructed-response item formats requiring more elaborate scoring procedures. While most of the work with the technology-enhanced items has been done in the area of science, we envision the development of technology-enhanced items in both English language arts and mathematics. For example, a video presentation of a speech could be combined with a reading passage to provide students the opportunity to integrate reading and listening skills per the CCSS and evaluate content across diverse media.

Our assessment design calls for the use of extended constructed-response items. These items will be used to assess knowledge and skills not easily assessed with selected-response or technology-enhanced items. Constructed-response items allow students to demonstrate their use of complex thinking skills such as formulating comparisons or contrasts; proposing cause and effects; identifying patterns or conflicting points of view; categorizing, summarizing, or interpreting information; and developing generalizations, explanations, justifications, or evidence-based conclusions (Darling-Hammond & Pecheone, 2010). These complex thinking skills are consistent with the expectations for college- and career-readiness and will be included in both the English language arts and mathematics assessments.

The summative assessment system also includes the strategic use of performance events in both English language arts and mathematics. We anticipate two performance events per content area for grades 3–8 and up to six performance events in each content area by the end of grade 11. These events will evaluate the CCSS in ways that require more student-initiated planning, management of information and ideas, interaction with other materials and/or people, and production of more extended responses (e.g., oral presentations, exhibitions, product development, in addition to more extended written responses) that reveal additional abilities of students (Darling-Hammond & Pecheone, 2010) not captured by the other item types included in the summative assessment.

(A)(3)(c)(v) The Consortium is committed to the use of a computer adaptive summative assessment with performance events delivered via computer. We propose the computer adaptive system because of its ability to provide precision of measurement at the individual student level across the achievement continuum and for its efficiencies in scoring and reporting of results

(Kosty, McBride, Poggio, Wise, & Way, 2006; Lilley, Barker, & Britton, 2004; Rabinowitz, 2005). The computer-based platform also provides for immediate scoring of selected-response items and technology-enhanced items, the use of AI scoring applications for constructed-response items and performance events, and distributed scoring by teachers. For performance events, computer delivery provides a common platform that will enable students to produce responses in a variety of formats that can be digitized and uploaded for scoring. The computer assessment also reflects the appropriate use of technology as called for in the CCSS.

The Consortium will provide a paper-and-pencil option for a limited time (three years) to support States where required student access to computers for the test administration window remains a barrier. By definition, the paper-and-pencil forms will not be able to take advantage of all advances that SBAC will provide in the computer mode, but the integrity of the assessment will be maintained by adherence to the same test blueprint. The paper option will be offered as an accommodated form and will include selected-response items, constructed-response items, and performance events. The content addressed by the technology-enhanced items will be replaced with additional constructed-response items. To address security concerns, the paper option will be available in a limited window at the end of the school year. The costs associated with the administration and scoring of the paper-and-pencil assessments will be borne by the individual States requiring their use. Comparability between the paper option and the CAT will be established during standard setting.

(A)(3)(c)(vi) As shown in the Summary Table for (A)(3), the assessment system calls for the use of automated computer-based scoring of selected-response and technology-enhanced items. These methodologies are well developed and currently employed within State assessment programs (e.g., Oregon, Louisiana, Minnesota, and Utah). AI scoring will be employed for the constructed-response items and performance events. While we recognize that AI scoring continues to be an emerging technology, we believe that the methodology will continue to advance and that the benefits of the timely return of results warrant their continued development and use. By the time an item is administered on the operational assessment, the AI scoring methodology will have been implemented and evaluated for reliability, so the AI scoring can be used immediately upon the completion of the assessment administration. We also recognize that it is critically important to involve teachers in the scoring process to provide opportunities for them to internalize the standard

for student performance, to build school-level capacity for accurate scoring, and to ensure confidence in the AI scoring, as well as to provide the critical check on the accuracy of the AI-assigned score. Once the system becomes operational, we propose the use of a distributed teacher scoring model that is fully supported by the assessment platform. We project a two-week turnaround of teacher scores during the operational administration. For those select performance events that are found to tap student performances not effectively scored through AI technology, we will employ teachers as scorers and employ similar read-behind methodologies to ensure scorer accuracy. Teachers will play a greater role in the scoring of I/B and formative assessments.

(A)(3)(c)(vii) To help improve teaching and learning, SBAC's Theory of Action asserts that assessment reports must provide actionable information about students' progression toward college- and career-readiness. Through use of an interoperable electronic platform, SBAC will produce assessment reports that are more timely, relevant, and usable to stakeholders than those that are currently available to them. Our system will feature tools for producing preset and customizable reports that track and analyze the progress toward grade-level mastery and college- and career-readiness of individual students, classes, and subgroups of students (e.g., students with disabilities [SWDs], English learners [ELs], and students participating in a research intervention). We will provide timely user-friendly information to students, teachers, parents, administrators, and policymakers in traditional as well as innovative formats. For example, we will produce reports that show achievement level data (e.g., scale scores, growth measures) related to CCSS clusters and individual standards within the clusters. Interpretability of this information will be enhanced through innovative graphic displays (e.g., the *honeycomb* concept developed by Wireless Generation [Resnick and Berger, 2010] or the *ontology* model supported by CRESST [Baker & Herman, 2010]). In addition, in keeping with our Theory of Action, our score reports will follow the principles for reporting called for in the *Joint Standards* (1999) as well as recommendations from the research community (e.g., Hambleton, 2007). (See section (A)(4)(d) for more details about the overall design features as well as the approach and strategy for developing the reporting system.) Described below are the types of reports and design elements for reporting summative and I/B assessments. This information is also summarized in Appendix A3-4. For more information about the formative tools, processes, and practices, refer to section (A)(6).

Summative Assessment Reports

Accessible through the system portal, SBAC reporting will support both static report displays and dynamic customized reports based on data-mining tools. Summative assessment interpretive guides, graphic displays of data, and text focused on the particular needs of students, parents, teachers, school and district administrators, and key local, State, and national stakeholders will support the effective use of student performance results. They will be tailored to each major user group and allow for varying degrees of customization, depending on the needs of the particular user group. Access to student data and reporting tools will be credential dependent to ensure student privacy and protect the security of individual student results. Test results will be provided online and in paper form for three languages beyond English (i.e., Spanish and two languages determined based on results of the Home Language Survey). The major types of reports will include the following:

- *Performance summaries for each student on both standardized and performance measures.* This includes annual achievement scores on individual student achievement on the CCSS in English language arts and mathematics, including information on "readiness for college and career" (high school level) and "on track to be ready for college and career" (earlier grades) as well as indices of annual growth in student learning (e.g., Colorado Growth Model) that allow for normative comparisons of student gains. Score bands will be placed around each student test score based on the conditional standard error of measurement. Reports will provide item-level performance and sub-scores for content clusters from the ELA and mathematics tests, insofar as such results can be validly and reliably reported. Student scores on the performance components of the assessment will be reported separately as well as integrated statistically into the summary scale score and performance levels. Performance level descriptors for the summative assessment results as a whole will provide guidance in understanding the performance levels identified, as appropriate to grade level and content area. Student performance will be explained, as it is in the National Assessment of Educational Progress (NAEP) reports, with examples to enhance interpretation of results.
- *Class/school/district/State summaries.* Aggregated student data will be reported, providing quantitative and descriptive data to all stakeholders. Group data will be reported by teacher, school, district, Statewide, and across participating States. Also, it will be

disaggregated by designated subgroups, as identified in Federal and State regulations or by local-level interest. In reporting results for special populations (e.g., SWDs and ELs), the system will access a table or platform that clearly delineates which accommodations are available and which would lead to valid and non-valid scores.

Interim/Benchmark Assessment Reports

To maximize the usability of I/B assessment scores (as a predictor of performance on the summative assessment or as an early warning system to focus teacher attention on student and class learning deficits), results will be reported on the same scale as the summative assessments and mirror the summaries described above, with one important enhancement. Because I/B assessments are meant to drive instructional interventions more directly than their summative counterparts, I/B items will be built directly around the concept of learning progressions and the focus of each I/B assessment will be on fewer and deeper concepts—reports will be able to provide more direct student-level information at a finer grain size. The results will be of immediate value to students, parents, teachers, and school and district administrators as comparable evidence of student progress and program effectiveness throughout the school year—evidence not currently available in most States. Through credential-based access to the reporting suite (via the system portal), the full range of stakeholders can view and generate meaningful I/B assessment reports appropriate to their level of access.

Formative Assessment: Tools, Processes, and Practices

While formative assessments can take many forms, for the results to be put to diagnostic use, the assessment process should be integrated with ongoing instruction. The heavily contextualized nature of such assessment processes creates a challenge for reporting results in ways that are most directly useful to teachers and students.

SBAC will provide information in the form of professional agreements about classroom assessment tools, processes, and practices and what the results from them will look like. In practice, such reports will primarily take the form of records of student performances, including grades, teacher observation protocols and notations, classroom activities, evaluations using scoring guides, results from quizzes, and samples of student work, including methods of combining the variety of data into an evidence-based indicator of student growth and achievement.

Standardized protocols will be developed for the identification of evidence of student learning and for the interpretation of that evidence, and they will be shared throughout the system.

Electronic technology will provide the platform and the tools for teachers to share information about these processes and practices, between classrooms, through professional development, across grade levels, between schools and school districts, throughout the State, and across States. This component is unique in this assessment system in that classroom teachers take the lead in adding student performance information to the system.

By coordinating the ongoing results of the formative component with the periodic results of I/B assessments and the summary results of the summative assessment, this assessment system will address all of the essential needs for measuring student achievement and growth and student progress toward college- and career-readiness.

Summary Table for (A)(3): English Language Arts – Summative Reading

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[3]	Administration mode	Scoring method and estimated turnaround time
3-8*	Comprehensive summative assessing CCSS	Scale score used for achievement or growth metric	Must be administered at least once annually; 1–2 testing opportunities per year.	30 Selected-response items (SR) 3 Extended constructed-response items (ECR) 7 Technology-enhanced items (TE) 1 Performance event	**Computer adaptive:** SR, ECR, and TE **Computer delivered:** Teacher-administered performance event	**Computer adaptive:** includes automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** combination of AI and teacher scoring with read-behinds to be completed within two weeks of administration)
HS*	Comprehensive summative assessing CCSS	Scale score used for achievement or growth metric	Must be administered at least once annually; 1–2 testing opportunities per year. Must be administered in grade 11 until research shows that scores from assessments administered in grades 9 or 10 are comparable to those from grade 11.	30 Selected-response items 3 Extended constructed-response items 7 Technology-enhanced items Up to 3 Performance events by the end of grade 11	**Computer adaptive:** SR, ECR, and TE **Computer-delivered:** Teacher-administered performance event	**Computer adaptive:** includes automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance events:** combination of AI and teacher scoring with read-behinds to be completed within two weeks of administration

*Ten additional FT items required annually to build the item bank

[3] Final distribution of items by grade to be determined by CCSS.

Report(s) produced, intended use, audience: Comprehensive Summative Reading Assessment
Individual student achievement and growth report: Student achievement and progress toward college- and career-readiness; intended to inform instructional effectiveness. Exemplars are provided in Appendices A4-4c and A4-4d. Audience: Teachers, parents, students, administrators **Class, school, district, and State reports of student achievement:** Student achievement and progress toward college- and career-readiness; intended to inform instructional and program effectiveness. Exemplars are provided in Appendices A4-4a, A4-4b, and A4-4d. Audience: Teachers, administrators, parents, policymakers **Consortium-level report for Title I Accountability:** Consortium-level student achievement toward college- and career-readiness for Federal reporting. An exemplar is provided in Appendix A4-4e. Audience: Administrators, parents, policymakers, USED **Data Mining Tool:** Supports dynamic subgroup disaggregation of assessment results by class, school, or district to allow public access to assessment results. Also supports secure-access data mining for teachers and authenticated administrators to inform instructional effectiveness for various subgroups and programs. Exemplars are provided in Appendices A4-4a, A4-4b, A4-4d, and A4-4e. Audience: Policymakers, administrators, teachers, education stakeholders **Human Scoring Accuracy and Reliability Report:** Inter-rater reliability and scoring validity (based on calibration papers) will be available on demand for the purpose of monitoring scoring validity and reliability. Audience: Administrators

Summary Table for (A)(3): English Language Arts – Summative Writing, Listening and Speaking, and Language

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[4]	Administration mode	Scoring method and estimated turnaround time
3-8*	Comprehensive summative assessing CCSS	Scale score used for achievement or growth metric	Must be administered at least once annually; 1–2 testing opportunities per year.	Writing/Language: 6 Selected-response items (SR) 6 Technology-enhanced items (TE) 2 On-demand writing prompts 1 Performance event (involving prewriting, drafts, and edits over time) Speaking/Listening: 2 Technology-enhanced items and 2 technology-enhanced constructed response (tied to writing performance event)	**Computer adaptive:** TE, CR items. **Computer-delivered:** Teacher-administered performance events	**Computer adaptive:** includes automated computer-scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be scored within two weeks of administration **Performance events:** combination of AI and teacher scoring with read-behinds to be completed within two weeks of administration
11*	Comprehensive summative assessing all CCSS	Scale score used for achievement or growth metric	Must be administered in grade 11 until research shows that scores from assessments administered in grades 9 or 10 are comparable to those from grade 11. Students have 1–2 testing opportunities.	Writing/Language: 6 Selected-response items (SR) 6 Technology-enhanced items (TE) 2 On-demand writing prompts Up to 3 performance events by the end of grade 11 Speaking/Listening: 2 Technology-enhanced items and 2 technology-enhanced constructed-response items	**Computer adaptive:** TE, CR items. **Computer-delivered:** Teacher-administered performance events	**Computer adaptive:** includes automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance events:** combination of AI and teacher scoring with read-behinds to be completed within two weeks of administration

*Six additional FT items required annually to build the item bank

[4] Final distribution of items by grade to be determined by CCSS.

Report(s) produced, intended use, audience: Summative Writing, Listening and Speaking, and Language
Individual student achievement and growth report: Student achievement and progress toward college- and career-readiness; intended to inform instructional effectiveness. Audience: Teachers, parents, students, administrators **Class, school, district, and State reports of student achievement:** Student achievement and progress toward college- and career-readiness; intended to inform instructional and program effectiveness. Audience: Teachers, administrators, parents, policymakers **Consortium-level report for Title I Accountability:** Consortium-level student achievement toward college- and career-readiness for Federal reporting. Audience: Administrators, parents, policymakers, USED **Data Mining Tool:** Supports dynamic subgroup disaggregation of assessment results by class, school, or district to allow public access to assessment results. Also supports secure-access data mining for teachers and authenticated administrators to inform instructional effectiveness for various subgroups and programs. Audience: Policymakers, administrators, teachers, education stakeholders **Human Scoring Accuracy and Reliability Report:** Inter-rater reliability and scoring validity (based on calibration papers) will be available on-demand for the purpose of monitoring scoring validity and reliability. Audience: Administrators

Summary Table for (A)(3): Summative Mathematics

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[5]	Administration mode	Scoring method and estimated turnaround time
3–8*	Comprehensive summative assessing all CCSS	Scale score used for achievement or growth metric	Must be administered at least once annually; 1–2 testing opportunities per year.	19 Selected-response items (SR) 3 Extended constructed-response items (ECR) 18 Technology-enhanced items (TE) 2 Performance events	**Computer adaptive:** SR, ECR, and TE items **Computer-delivered:** Teacher-administered performance events	**Computer adaptive:** includes automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance events:** combination of AI and teacher scoring with read-behinds to be completed within two weeks of administration
HS*	Comprehensive summative assessing all CCSS	Scale score used for achievement or growth metric	The adaptive summative must be administered in grade 11 until research shows that scores from assessments administered in grades 9 or 10 are comparable to those from grade 11. Students have 1–2 testing opportunities on the adaptive portion of the summative assessment.	19 Selected-response items (SR) 3 Extended constructed-response items (ECR) 18 Technology-enhanced items (TE) Up to 6 performance events by the end of grade 11	**Computer adaptive:** SR, ECR, and TE items **Computer-delivered:** Teacher-administered performance events	**Computer adaptive:** includes automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance events:** combination of AI and teacher scoring with read-behinds to be completed within two weeks of administration

*Four additional FT items required annually to build the item bank

[5] Final distribution of items by grade to be determined by CCSS.

Report(s) produced, intended use, audience: Summative Mathematics
Individual student achievement and growth report: Student achievement and progress toward college- and career-readiness; intended to inform instructional effectiveness. Exemplars are provided in Appendices A4-4c and A4-4d. Audience: Teachers, parents, students, administrators **Class, school, district, and State reports of student achievement:** Student achievement and progress towards college- and career-readiness; intended to inform instructional and program effectiveness. Exemplars are provided in Appendices A4-4a, A4-4b, and A4-4d. Audience: Teachers, administrators, parents, policymakers **Consortium-level report for Title I Accountability:** Consortium-level student achievement toward college- and career-readiness for Federal reporting. An exemplar is provided in Appendix A4-4e. Audience: Administrators, parents, policymakers, USED **Data Mining Tool:** Supports dynamic subgroup disaggregation of assessment results by class, school, or district to allow public access to assessment results. Also supports secure-access data mining for teachers and authenticated administrators to inform instructional effectiveness for various subgroups and programs. Exemplars are provided in Appendices A4-4a, A4-4b, A4-4d, and A4-4e. Audience: Policymakers, administrators, teachers, education stakeholders **Human Scoring Accuracy and Reliability Report:** Inter-rater reliability and scoring validity (based on calibration papers) will be available on-demand for the purpose of monitoring scoring validity and reliability. Audience: Administrators

Summary Table for (A)(3): English Language Arts – Interim/Benchmark Reading

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[6]	Administration mode	Scoring method and estimated turnaround time
3–8	Interim/ Benchmark assessing CCSS	Scale score used for achievement or growth metric Cluster-level achievement and growth	Multiple testing opportunities per year	Comprehensive Assessment: 30 SR, 3 ECR, 7 TE 1 PE Cluster Assessment: 15 SR, 1 ECR, 3 TE 1 PE available following release from summative pool	**Computer adaptive:** SR, ECR, and TE **Computer delivered:** Teacher-administered performance event	**Computer adaptive:** automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** AI scoring with teacher score resolution
HS	Interim/ Benchmark assessing CCSS	Scale score used for achievement or growth metric Cluster-level achievement and growth	Multiple testing opportunities per year	Comprehensive Assessment: 30 SR, 3 ECR, 7 TE 1 PE Cluster Assessment: 15 SR, 1 ECR, 3 TE 1 PE available following release from summative pool	**Computer adaptive:** SR, ECR, and TE **Computer-delivered:** Teacher-administered performance event	**Computer adaptive:** automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** AI scoring with teacher score resolution

[6] Final distribution of items by grade to be determined by CCSS.

Report(s) produced, intended use, audience: Interim/Benchmark Reading Assessment
Content Cluster Learning Progression Visual Report: Progress on content clusters of the Common Core State Standards; intended to inform instruction. Audience: Teachers, parents, students, administrators **Individual student achievement and growth report:** Student achievement and progress toward college- and career-readiness; intended to inform instructional effectiveness. Audience: Teachers, parents, students, administrators **Class, school, district, and State reports of student achievement:** Student achievement and progress toward college- and career-readiness; intended to inform instructional and program effectiveness. Audience: Teachers, administrators, parents, policymakers **Consortium-level report for Title I Accountability:** Consortium-level student achievement toward college- and career-readiness for Federal reporting. Audience: Administrators, parents, policymakers, USED **Data Mining Tool:** Supports dynamic subgroup disaggregation of assessment results by class, school, or district to allow public access to assessment results. Also supports secure-access data mining for teachers and authenticated administrators to inform instructional effectiveness for various subgroups and programs. Audience: Policymakers, public, administrators, teachers, education stakeholders **Human Scoring Accuracy and Reliability Report:** Inter-rater reliability and scoring validity (based on calibration papers) will be available on-demand for the purpose of monitoring scoring validity and reliability. Audience: Administrators

Summary Table for (A)(3): English Language Arts – Interim/Benchmark Writing, Listening and Speaking, and Language

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[7]	Administration mode	Scoring method and estimated turnaround time
3–8	Interim/ Benchmark assessing CCSS	Scale score used for achievement or growth metric Cluster-level achievement and growth	Multiple testing opportunities per year	Comprehensive Assessment: Writing/Language: 6 SR, 6 TE, 2 WP, 1 PE Speaking/Listening: 2 TE, 2 ECR Cluster Assessment: Writing/Language: 6 SR, 6 TE, 2 WPs, 1 PE Speaking/Listening: 2 TE, 2 ECR	**Computer adaptive:** TE, CR items **Computer-delivered:** Teacher administered performance events	**Computer adaptive:** automated computer-scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** AI scoring with teacher score resolution
HS	Interim/ Benchmark assessing CCSS	Scale score used for achievement or growth metric Cluster-level achievement and growth	Multiple testing opportunities per year	Comprehensive Assessment: Writing/Language: 6 SR, 6 TE, 2 WP, 1 PE Speaking/Listening: 2 TE, 2 ECR Cluster Assessment: Writing/Language: 6 SR, 6 TE, 2 WPs, 1 PE Speaking/Listening: 2 TE, 2 ECR	**Computer adaptive:** TE, CR items **Computer-delivered:** Teacher-administered performance events	**Computer adaptive:** automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** AI scoring with teacher score resolution

[7] Final distribution of items by grade to be determined by CCSS.

Report(s) produced, intended use, audience: Interim/Benchmark Writing, Listening and Speaking, and Language Assessment
Content Cluster Learning Progression Visual Report: Progress on content clusters of the Common Core State Standards; intended to inform instruction. Audience: Teachers, parents, students, administrators **Individual student achievement and growth report:** Student achievement and progress toward college- and career-readiness; intended to inform instructional effectiveness. Audience: Teachers, parents, students, administrators **Class, school, district, and State reports of student achievement:** Student achievement and progress toward college- and career-readiness; intended to inform instructional and program effectiveness. Audience: Teachers, administrators, parents, policymakers **Consortium-level report for Title I Accountability:** Consortium-level student achievement toward college- and career-readiness for Federal reporting. Audience: Administrators, parents, policymakers, USED **Data Mining Tool:** Supports dynamic subgroup disaggregation of assessment results by class, school, or district to allow public access to assessment results. Also supports secure-access data mining for teachers and authenticated administrators to inform instructional effectiveness for various subgroups and programs. Audience: Policymakers, administrators, teachers, education stakeholders **Human Scoring Accuracy and Reliability Report:** Inter-rater reliability and scoring validity (based on calibration papers) will be available on-demand for the purpose of monitoring scoring validity and reliability. Audience: Administrators

Summary Table for (A)(3): Interim/Benchmark Mathematics

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[8]	Administration mode	Scoring method and estimated turnaround time
3–8	Interim/ Benchmark assessing CCSS	Scale score used for achievement or growth metric Cluster-level achievement and growth	Multiple testing opportunities per year	Comprehensive Assessment: 19 SR, 3 ECR, 18 TE 2 PE Cluster Assessment: 15 SR, 1 ECR, 3 TE 1 PE available following release from summative pool	**Computer adaptive:** SR, ECR, and TE **Computer-delivered:** Teacher-administered performance event	**Computer adaptive:** automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** AI scoring with teacher score resolution
HS	Interim/ Benchmark assessing CCSS	Scale score used for achievement or growth metric Cluster-level achievement and growth	Multiple testing opportunities per year	Comprehensive Assessment: 30 SR, 3 ECR, 7 TE 1 PE Cluster Assessment: 15 SR, 1 ECR, 3 TE 1 PE available following release from summative pool	**Computer adaptive:** SR, ECR, and TE **Computer-delivered:** Teacher-administered performance event	**Computer adaptive:** automated computer scoring of SR and TE items; 100% AI-scored ECR items; 10% teacher read-behinds to be completed within two weeks of administration **Performance event:** AI scoring with teacher score resolution

[8] Final distribution of items by grade to be determined by CCSS.

Report(s) produced, intended use, audience: Interim/Benchmark Mathematics Assessment
Content Cluster Learning Progression Visual Report: Progress on content clusters of the Common Core State Standards; intended to inform instruction. Audience: Teachers, parents, students, administrators **Individual student achievement and growth report:** Student achievement and progress toward college- and career-readiness; intended to inform instructional effectiveness. Audience: Teachers, parents, students, administrators **Class, school, district, and State reports of student achievement:** Student achievement and progress toward college- and career-readiness; intended to inform instructional and program effectiveness. Audience: Teachers, administrators, parents, policymakers **Consortium-level report for Title I Accountability:** Consortium-level student achievement toward college- and career-readiness for Federal reporting. Audience: Administrators, parents, policymakers, USED **Data Mining Tool:** Supports dynamic subgroup disaggregation of assessment results by class, school, or district to allow public access to assessment results. Also supports secure-access data mining for teachers and authenticated administrators to inform instructional effectiveness for various subgroups and programs. Audience: Policymakers, administrators, teachers, education stakeholders **Human Scoring Accuracy and Reliability Report:** Inter-rater reliability and scoring validity (based on calibration papers) will be available on-demand for the purpose of monitoring scoring validity and reliability. Audience: Administrators

Summary Table for (A)(3): Formative Assessment Tools, Processes, and Practices

Grade	Type of Component	Types of data produced / how used	Frequency and timing of administration	Number and types of items, and distribution of item types[9]	Administration mode	Scoring method and estimated turnaround time
3–8, HS	Formative Assessment Tools, Processes, and Practices	Cluster-level achievement and growth	Teacher determined: as necessary to support teaching and learning	Teacher determined: a range of formal and informal assessments using the full range of item types as appropriate to learning objective	**Computer adaptive:** SR, ECR, and TE **Computer-delivered:** Teacher-administered performance event and TE **Classroom exercises:** Teacher administered	**Computer adaptive:** automated computer scoring of SR, TE, ECR **Performance event:** AI scoring with teacher score resolution **Classroom exercises:** Teacher scored
Report(s) produced, intended use, audience: Formative Assessment Tools, Processes, and Practices						
To the extent that interim/benchmark assessment items are used as part of the formative assessment process, interim/benchmark reporting will be available. Reporting for formative classroom-embedded exercises will be teacher determined.						

[9] Final distribution of items by grade to be determined by CCSS.

(A)(4) **Assessment System Development** *(up to 35 points)*

The extent to which the eligible applicant's plan for developing the proposed assessment system will ensure that the assessment system is ready for wide-scale administration in a manner that is timely, cost-effective, and consistent with the proposed design and incorporates a process for ongoing feedback and improvement. In determining the extent to which the development plan has these attributes, we will consider—

(a) The approaches for developing assessment items (*e.g.*, evidence centered design, universal design[10]) and the rationale for using those approaches; the development phases and processes to be implemented consistent with the approaches; and the types of personnel involved in each development phase and process (*e.g.*, practitioners, content experts, assessment experts, experts in assessing English learners, experts in assessing students with disabilities, psychometricians, cognitive scientists, IHE representatives, career and technical education experts);

(b) The approach and strategy for designing and developing accommodations (as defined in the NIA), accommodation policies, and methods for standardizing the use of those accommodations for—

(i) English learners; and
(ii) Students with disabilities;

(c) The approach and strategy for ensuring scalable, accurate, and consistent scoring of items, including the approach and moderation system (as defined in the NIA) for any human-scored items that are part of the summative assessment components and the extent to which teachers are trained and involved in the scoring of assessments;

(d) The approach and strategy for developing the reporting system; and

(e) The overall approach to quality control; and the strategy for field testing assessment items, accommodations, scoring systems, and reporting systems, including, with respect to assessment items and accommodations, the use of representative sampling of all types of student populations, taking into particular account high- and low-performing students and different types of English learners and students with disabilities.

[10] Universal design for learning" is used as that term is defined in section 103(24) of the HEA.

(A)(4)(a) SBAC is committed to the development of a coherent system in which summative assessments, interim/benchmark (I/B)[11] assessments, formative tools, professional development opportunities, and instructional resources work together to support student progress toward college and career readiness and high-quality instruction. Guided by the principles adopted by the Joint Committee on *Standards for Educational and Psychological Testing* (AERA, APA, NCME, 1999), our development processes focus on maximizing the usefulness of each component of our proposed assessment system and the validity of interpretations drawn from results from each measure. We provide an overview of our proposed assessment system in Appendix A3-1.

System development starts with clear specification of the constructs to be measured, intended users and uses, and target student population, so that items and performance events comprising each assessment can be purposely designed to address the intended learning construct(s) in ways that are consistent with intended uses and maximally accessible for all students. Our approach brings together the last decade's work on the logic of assessment as a process of reasoning from evidence with principles of evidence-based design and model-based assessment (NRC, 2001; Mislevy & Riconscente, 2006; Baker, 2007). Its hallmarks are (1) clear specification of progressions of learning expectations, coordinated across summative, I/B, and formative assessment tools at increasingly more finely grained levels of detail; (2) test blueprints with clear rules for sampling the full domain of those learning expectations; (3) learning-based item and performance event design templates, including scoring rubrics that establish clear targets for teaching and learning; support coordinated sets of summative, interim, and formative tools; and provide a substantive basis for test comparability from year to year to complement psychometric indices; and (4) the potential for innovation and efficiency through technology-enhanced items and automated scoring.

It will be the charge of the Assessment Design Working Group to ensure that steps in the process of development for each component are transparent and lead to measures that are valid, fair, of high technical quality, and appropriate for the intended purposes. Guided by the Consortium's Technical Advisory Committee (TAC), the Research and Evaluation Working

[11] The interim/benchmark and formative components are described in the MOU as optional "formative/benchmark components," which is a broader description for these system features.

Group will monitor these steps and provide ongoing feedback to the Assessment Design Working Group and Steering Committee about the technical adequacy of the development processes and areas for improvement.

Building the assessment frameworks, test blueprints, and item templates

Linking standards and assessments, as well as making expectations clear for teaching and learning, requires that we first specify standards in ways that precisely identify what is to be assessed and how proficiency is defined relative to that content (i.e., at what levels of cognitive demand are students expected to know that content and how should they be able to apply it during testing?). For example, the CCSS for mathematics lay out the major domains of mathematics, and the clusters and standards for each grade constitute the content of what students are supposed to "know," but we must also specify what students are expected to be able to "do" with the content. Building from the CCSS, we propose to convene key stakeholders and content specialists to develop assessment frameworks that precisely lay out the content and cognitive demands that define college- and career-readiness for each grade level. We then will systematically develop items and performance events that collectively provide evidence for valid conclusions about what a student knows and can do in relation to college- and career-readiness.

The vertical pathways to college- and career-readiness embedded in the CCSS across grades also enable us to hypothesize implicit learning progressions (i.e., empirically validated descriptions of how learning typically unfolds within a curricular domain [Darling-Hammond & Pecheone, 2010]) and what prior understandings are most essential for future performance.[12] Similarly, within grades, with the help of teachers and learning theorists, we will identify within-year learning progressions on which to base the summative and I/B assessments and formative tools. We plan to validate and strengthen these hypothesized progressions as one element of our planned research agenda (see section (A)(5)).

Once the comprehensive assessment framework that defines learning expectations is developed, assessment blueprints will be constructed that specify how items and performance events can work in various combinations to measure the full range of the CCSS. Performance event design templates then can be created to provide more concrete detail about the nature of test items and/or performance events that best measure different types of knowledge and skills. In this way, the content and cognitive demand are used in combination to describe and measure

[12] See Appendix A4-1 for examples of learning progressions in ELA and mathematics.

the development of competency within a domain (NRC, 2001).

Based on prior research and learning theory (Baker, 2007), we plan to develop reusable event design templates for generating a variety of selected- and constructed-response items and performance events. These templates will be designed to measure specific types of understanding (e.g., conceptual, procedural, or strategic knowledge) or skills (e.g., problem solving, reasoning, or argumentation). This type of reusable event design template or shell invokes a consistent set of principles, criteria, and expectations for defining appropriate content limits and generating events and scoring criteria to address particular cognitive demands that can be adapted for use across subject matter domains and grade levels. For example, using a common definition of problem solving, an appropriate event design might feature a non-routine, authentic problem (at various degrees of near or far transfer) that requires students to integrate core concepts and principles they have learned and apply reasoning to develop a novel solution strategy. In doing so, they follow the general path of identifying the problem within the novel context, identifying critical variables and their relationships, constructing a suitable representation of the problem, solving the problem, justifying their strategy, and/or communicating results (see, e.g., Mayer, 1992; NRC, 1999; Hiebert et al., 1996).

In the past, such authentic problem-solving tasks have been difficult for State assessment programs to implement in ways that are appropriate for large-scale assessment. Complex unstructured problems may have enabled high-competency students to show what they know and can do, but may have left low-ability students unable to respond. The remedy of using highly structured tasks may have provided access for low-ability students, but it does not reflect true problem solving. Over the past two decades, this picture has improved. The technology for building such items and tasks has evolved significantly, to the point where it may increase access and generalizability across tasks (Baker, 2007; Darling-Hammond & Pecheone, 2010). That progress allows our performance event designs, coupled with the use of technology, to offer a possible solution: technology-enhanced adaptive items and performance events can provide additional challenge to those students who are ready to move forward, while at the same time providing progressive scaffolding and hint systems to customize difficulty and diagnosis for other students.

Building in support for flexibility and accessibility, the templates will provide item developers with efficient, standard routines for item development and scoring, which ultimately

may provide capacity for automated development. Further, by supporting constancy and comparability in the nature of the learning assessed from year to year, this approach also will allow for better measurement of growth over time along key domains and/or learning progressions. Initially, we will develop detailed design templates for the summative performance events to support comparability from year to year. However, these templates also provide an easy link among summative, I/B, and formative functions and classroom instruction. That is, teachers can use the design templates to generate rich classroom assignments and curriculum-embedded assessment tasks.

Model for the development of the summative assessments

Building from the CCSS, the Consortium will develop cognitive models for the domains of ELA and mathematics that specify the content elements and relationships reflecting the sequence of learning that students would need to achieve college- and career-readiness. Implementation of these models will require close collaboration with IHEs, workplace representatives, cognitive scientists, classroom teachers, experts in assessing English learners and students with disabilities, and content experts in ELA and mathematics who have studied the CCSS and have deep understanding of the knowledge, skills, and cognitive processes that characterize the pathways in grades 3 through 8 and high school that lead to the college- and career-ready outcomes specified in the standards. Once the content of the CCSS has been studied, an assessment framework will be developed that specifies the item types that can provide the necessary evidence of student achievement.

The next critical step in the process is the development of item and performance event shells. These will provide constancy in the set of constructs measured by a set of items and events. They also will allow for better measurement of achievement and growth, development of equivalent tasks, and a framework to guide the development of scoring rubrics. The item/event shells will be complemented by the development of item specifications that will delineate the content limits to be reflected in the items. Once the assessment framework, item/event shells, and item specifications have been established, the test blueprint will be developed that will specify the number and types of items to be established in the summative item banks. An overview of the development process for the summative assessments can be found in Appendix A4-2.

Model for the development of the interim/benchmark assessments

The I/B assessments are designed to provide a measure of progress toward the summative goals and to help identify learning gaps and guide instruction (Rabinowitz, 2009). Consequently, I/B assessments will be developed to zero in on a student's current level of understanding in each learning progression in English language arts and mathematics. Learning progressions are empirically validated descriptions of how learning typically unfolds within a curricular domain or area of knowledge and skill (Darling-Hammond & Pecheone, 2010). By design, a set of items developed to measure learning progressions for the purposes of the I/B assessments will be deep in terms of content coverage for each content cluster in the CCSS—a larger number of items will be used to measure small, incremental differences in what students know and can do. Item "clusters" will be developed that can hone in on students' precise level of understanding of those linked pieces of knowledge and/or demonstration of skills that constitute a progression.

The I/B assessments will require the specification of the learning progressions as a first step in the development process. Once identified, these learning progressions will be mapped to the CCSS and the evidence-based model again will be applied to determine the knowledge and/or skills a student must demonstrate to show mastery of the steps in the learning progression. As with the summative assessment, an assessment framework, test blueprint, and item specifications will be developed to guide the development of the I/B assessment item bank.

Item development

The Assessment Design Working Group will work in conjunction with technical advisors and vendors to build from the item/event shells and item specifications in producing item development training materials. These training materials will serve as guides to item development but also as criteria for evaluating item alignment and quality. Initially, we will build both the summative and I/B assessment item banks by collecting existing items and performance events from States.[13] All contributed items will be subjected to a centralized review for technical adequacy, appropriateness, and alignment that will involve extensive cross-State participation. The value of this centralized review will be to help to establish a common Consortium standard,

[13] An assumption has been made that for the summative assessments 25% of the SR items and 15% of the CR items would be supplied from existing State item banks. For the I/B assessments, 30% of the SR items and 20% of the CR items would be contributed by the States. All performance events and technology-enhanced items will be developed during the grant period and will not be supplemented by State item banks.

clarifying expectations for test items, and helping to ensure uniform application of the alignment and quality criteria.

Once the alignment and quality control reviews have been completed, the distribution of items within the banks will be determined and targets for item development established. At first, we propose that regional item development meetings be convened to support the States as they develop items to complete the item bank. These meetings will include classroom teachers, IHE and workplace representatives, content experts, measurement experts, and specialists in assessing ELs and SWDs. We believe that conducting the development of items on a regional (i.e., multi-State) basis will move the Consortium forward with the implementation of a broader vision than might occur if development is situated within each State. After the initial drafting of items at these regional workshops, States will be responsible for finalizing and editing the items. States may choose to continue to use teachers and IHE representatives in this process or they may decide to retain the services of vendors to support their item development efforts.

Though States have extensive experience in developing SR and CR items, they do not bring the same depth and breadth of experience in developing technology-enhanced items and performance events. Consequently, we propose that States that have the greatest experience in these item types (e.g., Missouri, Ohio, Oregon, and Utah) take the lead in developing these items. These States are best positioned to move forward with development while research is conducted and monitored to support their efforts.

Once stakeholders have reviewed and approved the items a State has developed, items will be randomly distributed for review by at least two other States. Each State will apply common criteria in evaluating (1) the degree of alignment of each item to the CCSS (blind to the coding from other States) in terms of content and cognitive demand, and (2) the technical quality (e.g., clarity, accessibility, and developmental appropriateness) of each item. Proposed item edits will be tracked separately by each State. If consensus cannot be achieved, the item-originating State can choose to discard the item or move it to another State for review until two States have approved the item.

Prior to pilot and field testing, items will be reviewed for bias and sensitivity by a Consortium-wide panel that includes assessment-literate educators, representatives from IHEs and the workplace, and members of the community at large. Items identified as problematic will be sent to an expert review panel to determine whether to (1) reject the recommendation and

retain the item as submitted, (2) edit the item as recommended by the panel, or (3) discard the item. Items that are approved by the sensitivity panel will be eligible for pilot and field testing. States will receive reports regarding the degree to which their items were edited, the volume and percentage of items that progressed to the field test, and other information that may be helpful in refining the item development support materials, improving item writer quality, and providing additional motivation for high-quality item writing.

As a further measure of quality control, SBAC will submit 25% of the Consortium-approved items to an independent contractor for review of whether they adhere to quality standards and meet alignment criteria in terms of content and cognitive complexity. If the results based on the random sampling of 25% of the bank reflect strong alignment and adherence to quality standards, items will be approved for pilot and field testing and the review protocols will remain in place. If the results of the alignment study suggest that the item pool needs further study, the Steering Committee will collect recommendations for improving the cross-State review process.

Development for I/B assessments and formative assessment tools will follow similar processes. This model ensures equal attention to quality and access concerns during item development regardless of the "stakes" of the assessment.

Accommodations

(A)(4)(b)(i) and (ii) SBAC's approach for item and performance event development, accommodations, accommodation policies, and accommodations use will be consistent with the principles of universal design for assessment and inclusive assessment practices, as defined by the National Center on Educational Outcomes (NCEO), and findings from recent research on accommodating students with disabilities (SWDs) (e.g., Russell, Goldberg, & O'Connor, 2003; Thompson, Thurlow, & Malouf, 2004) and English learners (ELs) (e.g., Kopriva, Emick, Hipolito-Delgado, & Cameron, 2007; Rivera, Acosta, & Willner, 2008). SBAC is committed to developing common understandings, guidelines, and/or policies and practices that will lead to more accurate reporting for ELs, SWDs, and Section 504 students and will ensure that students are served across States in an equitable manner. As a demonstration of the Consortium's commitment to developing coherent accommodation policies and working together to achieve this common goal, twenty-three States within the Consortium supported the submission of an Enhanced Assessment Grant (EAG) to develop the required common accommodation policies. The specific goals of the EAG and proposed activities associated with each of these goals can be

found in Appendix A4-3.

Scoring

(A)(4)(c) The Consortium will build on the existing methods and capacities for automated scoring of selected-response and technology-enhanced CR items, and AI-scoring and hand-scoring of more complex CR items and performance events. The Consortium is committed to meeting or exceeding the industry standard for technical adequacy during all phases of the scoring process. We also are committed to the strategic use of teachers for scoring CRs and performance events, and envision teachers supporting the creation of scoring guides and selecting anchor and training papers. In the section that follows, we outline the process to be implemented to ensure accurate and consistent scoring of items. Section (A)(5) describes planned activities to ensure the ongoing monitoring of these scoring activities.

Development of scoring rubrics

Development of the scoring rubrics will be an integral part of the scoring process. Building on the reasoning-from-evidence analysis of the content domains and the item specifications, we will target the knowledge and skills to be assessed. Through the purposeful development of items and use of item and event templates, we will specify the CCSS-based knowledge or skills students are expected to demonstrate with each item. From this content specification, scoring rubrics will be developed. Consistent with our Theory of Action, we propose the active participation of teachers as well as IHE and workplace representatives in each participating State in all phases of the scoring process.

Selection of AI and teacher training materials

Once field testing has been completed, student work will be reviewed and exemplars selected to support AI scoring of constructed-response items and teacher-moderated scoring of more complex constructed-response items and performance events. Different models for AI scoring exist, including those that are based on natural language processing and those that analyze samples of student responses to produce a model of a rater's scoring behavior. The Assessment Design Working Group will collaborate with technical advisors in selecting the most appropriate model for meeting Consortium needs. Regardless of the model selected, it will be important to have sample student work to verify the AI score assigned or to train the scoring engine.

- ***Selected-response items.*** Selected-response items will be "machine-scored" as part of the

assessment platform. All answer keys will be verified by at least two content specialists. Key-check analyses will be conducted based on the field test responses to ensure score-key accuracy.

- ***Technology-enhanced items.*** Technology-enhanced items will be developed that include a variety of response formats including drag-and-drop, hot spot, drawing, graphing, and written responses. The majority of these will be scored automatically; the methodology used to score written responses is described in the following section. Drag-and-drop, drawing, and graphing responses will be developed to elicit a range of correct response options. As items are developed, scoring rubrics will be written that identify possible correct responses for each score point option. These rubrics will be compared to actual student responses collected during field testing. Field testing will require that a representative sample of students be included to ensure that the anchor papers reflect all possible ways to earn full and partial points on any given item. These model responses will be used to "train" the automated scoring system. Accuracy of the assigned scores will be validated by human raters as part of the automated-scoring training process. This methodology is in current use. It has been successfully applied to the scoring of items across different content domains and is used in high-stakes testing for medical licensure and architectural design (Bennett, 2004). Items that do not yield sufficiently high consistency between human and automated scoring (above 0.80) will not be considered for use on the summative assessment.
- ***Constructed-response items, performance events, and verbal responses.*** The scoring of more complex responses (constructed-response items, performance events, and verbal responses) will require the use of AI scoring. While AI scoring continues to be an emerging technology and a focus of ongoing research, the Consortium has confidence in the potential for these methodologies to strongly and appropriately support the Consortium's goals. Methodologies exist to score the content and quality of written responses in terms of grammar, usage, mechanics, style, organization, and development (ETS, 2010). We believe that AI will continue to advance in the next three years, and that the time frame for expected new developments makes this a compelling scoring model. After conferring with technical advisors, we believe that during the time period between initial funding and operational administration of the Consortium's summative assessment

in the spring of 2015, the AI scoring methodology will be firmly established and recognized as a valid and reliable scoring platform. Should this assumption not be met, we will develop backup plans that involve higher rates of human scoring to support or supplant the AI process.

The Consortium recognizes and values the professional development opportunity inherent in the use of teacher scorers. We value teacher scoring because of its potential to help teachers internalize the performance standards and buy into the scoring process. It also can help build school-level capacity in evaluating student work and be used to validate AI-assigned scores. For the summative assessments, teachers will read 10% of the CR items and 33% of the performance events. In recognition of the stakes associated with the summative use of the performance events, we have provided for increased teacher scoring to allow for the scoring of certain dimensions that may not be as reliably scored by AI technology (e.g., inference). For the I/B assessments, 10% of the constructed-response items will be scored by teachers following AI scoring. Teachers will also score individual responses to performance events that cannot be adequately scored by AI. For the summative assessments, teachers will not be allowed to score the work of students from their own State. Where there are discrepancies between the teacher-assigned and AI-assigned scores, responses will be blindly scored by additional rater(s) until agreement is reached on two scores.

Building from existing methods for training human readers, the Consortium is committed to the development of a robust training system that will include orientation to the item or event, discussion of the scoring guide, review of exemplar papers for each score point, scoring practice based on training papers including feedback on scoring accuracy, and completion of a qualifying set. Scorers must achieve at least 80% accuracy (within one score point) on the qualifying set before being allowed to score student work for the summative assessment. This training and moderation can be accomplished initially through regional scoring centers that can bring teachers together to orient them to the scoring process. As capacity is built, we believe that the SBAC web-based portal will support distributed training, calibration, and scoring.

While we envision that scoring of constructed-response items will be conducted with a single-content-domain rubric, each performance event will be scored with a multiple-content-domain rubric to provide for student work on the different dimensions of a task. By scoring with multiple-content-domain rubrics within a single performance event, we intend to capture the

richness of the tasks and provide for increased reliability with a larger number of score points per event. This multi-content domain rubric will provide a profile of performance across all events to be reported in addition to the score for each event and an overall composite score that meaningfully weights scores on the performance events with the score from the adaptive summative component. The relative contribution of performance events to the composite score will be determined following comprehensive review by the Consortium in collaboration with technical advisors and will be informed by ongoing research.

Ongoing monitoring of scoring

Ongoing scoring accuracy will be monitored through check sets and reader drift monitoring. Once scorer drift has been identified, the teachers will receive reader retraining, involving scoring leadership and recalibration as needed. Thresholds on quality indices will be set to trigger reader retraining, dismissal, and rereading of papers read by a retrained or dismissed reader.

Reporting

(A)(4)(d) SBAC is committed to developing an assessment system that reflects responsible flexibility. We seek to allow States to implement the components of our assessment system in a way that best meets their needs. For this reason, we propose to implement a reporting plan that affords an appropriate balance between standard and customized reports but also serves the various purposes of the reporting system. (See section (A)(3)(c)(vii) for a description of our specific reports for each component of our assessment system.)

Specifically, the reporting system will be developed to meet the following purposes: (a) managing an integrated assessment and accountability system that meets the needs of participating States; (b) providing "early warning" information to monitor curriculum, instruction, and learning; (c) making timely and informed improvements in curriculum and instruction; (d) supporting professional development; (e) providing meaningful achievement information to all stakeholders, including IHEs; and (f) providing comparable information about student achievement for accountability at the local, State, and Federal levels. As described previously, our system will feature tools for producing customizable reports that track and analyze the progress toward college- and career-readiness of individual students, classes, and student subgroups (e.g., SWDs and ELs). It will also employ the following design features:

- A common electronic platform that allows for better management of assessment data and significantly accelerates the speed with which assessment information is made available to stakeholders. The reporting module will have elements that are both dynamic (assessment results linked to units, lesson plans, and curricular resources) and static (results linked to accountability and growth models).
- A set of data analysis and report-generating tools, built on the model of the NAEP Data Explorer, allowing for the development of customized reports that display data through a variety of tables and graphic formats, and drill-down capacity during data analysis (see Appendix A4-4e for an example).
- In keeping with research-supported best practices, an array of trustworthy information about student achievement and growth, reporting results that are technically sound and consistent with the technical parameters and limitations of the data (see, e.g., Zenisky, Hambleton, & Sireci, 2009).
- A variety of reporting interfaces and reports differentiated by audience (student, teacher, parent, school or district administrator, SEA, or Consortium) with tiered security to limit access to authorized users.

The reporting system will provide both standard paper-based reports and more technologically advanced web-based data analysis tools.[14] Base reporting of summative assessment results will be common across States for comparison purposes, but schools, districts, and States will have the capacity to conduct independent data analyses and research studies to answer the key accountability and student achievement questions relevant to their contexts. This innovative system will include links to model curriculum, instructional, and assessment resources aligned with State and local content, and professional development resources related to data use. Information on allowable accommodations and instructional supports will be accessible to teachers and test administrators as they prepare for instruction or assessment. District and school administrators and teachers will be trained in the interpretations of assessment results so as to become more informed users of assessment data.

Quality control measures

(A)(4)(e) SBAC's approach to quality control (q/c) recognizes that producing error-free,

[14] We provide a number of exemplars in Appendices A4-4a through A4-4e that suggest our current direction for this work.

technically sound, innovative assessments is a function of two key components: (1) development of interconnected systems for each phase of development, implementation, and evaluation, coupled with (2) a monitoring plan with built-in redundancies to ensure full compliance with these systems from all parties involved (member States, the support partners [e.g., Project Management Partner, vendors] and school staff and their students). SBAC will select the Project Management Partner and vendors, in large part, based on their inclusion of q/c plans and approaches as part of their proposals and their track record implementing such plans. Several organizations and authors have published compendia of quality control guidelines relevant to large-scale assessment, and we plan to draw heavily on these (e.g., see Allalouf, 2007; International Test Commission, 2005; and CCSSO, 2003).

Our experience is that errors are most likely to occur in the following four key assessment activities.

- *Item/form development*: Errors occur at this stage in two distinct ways. The first involves failure to adequately track item history from original drafting through editing, bias review, field testing, and production. Our item management system will maintain full item/performance event histories and will require management signoff at each step. Other errors occur from inadequate proofing at the production stage. At the "form" level, CAT-based assessments will require ongoing monitoring to ensure that the adaptive engine produces student-level data that meet the assessment blueprint. We will monitor this throughout the assessment window.
- *Scoring*: Both the human scoring and AI scoring approaches will use the same general q/c approaches—training and read-behinds. Human training will involve the selection of exemplars for use in training and calibration and a threshold of 80% scorer accuracy to qualify for scoring. All scoring (human and AI) will be checked with 10% read-behinds. Given the large number of participating States, this will result in the review of thousands of student work samples.
- *Equating*: Consistent with best State practices, SBAC will check our equating vendor by requiring third-party independent verification of all equating procedures and results.
- *Reporting*: Reporting shells will be carefully reviewed for accuracy and utility. As much as possible, we will track individual student responses all the way through the reporting stage.

Field testing

Field testing is an essential step to ensure technical adequacy and fairness to all student populations. SBAC will incorporate a strategy that begins with strategic piloting and ends with a comprehensive "all member State" representative field test to support

- development of item parameters to support the CAT design;
- review of CR items and performance events to ensure that the full range of responses are attainable and that each item is scorable based on its rubric; and
- inclusion of all student populations in the sample to ensure fairness and full access.

Specifically, we will include the following steps:

- *Small-scale pilot testing*: As items and performance events are developed, we will conduct small-scale tryouts to ensure they are functioning as intended. For selected-response (SR) items, convenience samples of approximately 500 students will be obtained to determine whether the correct answer and distractors are operating as intended. For CR items, we will examine whether each score point on the rubric is attainable. For performance events, the Consortium will study whether teacher and student supports are adequate and whether there are multiple scaffolded entry points for students across the achievement continuum. To purposefully support the development of accessible assessments for ELs and SWDs, prototype items and performance events will be piloted with these populations and evaluated through a method of micro-experimentation (within-subjects design) and revision, with the most promising variations further tested through a larger-scale field trial across the Consortium States. The effectiveness of these design variations will be evaluated by examining the contribution of specific task features and accommodations to the performance of students from special populations.
- *Field testing*: In 2013–14 and 2014–15, SBAC will conduct a full field test of all items and performance events in the adaptive summative pool that survive the content, bias, and sensitivity review processes. To ensure the validity of findings, all Consortium States

will be expected to participate and will be provided demographic targets that they must meet.[15]

- *Accommodations and the full range of student populations:* For SBAC, "all" truly means all. Our piloting and field test procedures will oversample SWDs, ELs, and urban and rural students to ensure that their assessment needs are met and they are not disadvantaged by any item or performance event. The Consortium States have submitted an Enhanced Assessment Grant (EAG) to fully study whether proposed accommodations for SWDs and ELs are sufficient. (See sections (A)(4)(a) and (A)(4)(b)(i) and (ii) for a full description of our strategy to ensure access for all students and Appendix A4-3 for the EAG grant proposal goals.)

[15] Preliminary cut-scores will be determined based on review of field test data during this standard setting session. These cut-scores will be verified based on operational administration data collected in Spring 2015.

(A)(5) **Research and Evaluation** *(up to 30 points)*

The extent to which the eligible applicant's research and evaluation plan will ensure that the assessments developed are valid, reliable, and fair for their intended purposes and for all student subgroups. In determining the extent to which the research and evaluation plan has these attributes, we will consider—

(a) The plan for identifying and employing psychometric techniques suitable to verify, as appropriate to each assessment component, its construct, consequential, and predictive validity; external validity; reliability; fairness; precision across the full performance continuum; and comparability within and across grade levels; and

(b) The plan for determining whether the assessments are being implemented as designed and the theory of action is being realized, including whether the intended effects on individuals and institutions are being achieved.

Framework for Research and Evaluation Plan

The Consortium's research and evaluation plan is grounded in the principles adopted by the Joint Committee on Standards for Educational Evaluation in the *Standards for Educational and Psychological Testing* (AERA, APA, NCME, 1999). The Research and Evaluation Working Group will ensure that the assessment system has integrity and is characterized by high technical quality, that the measurement components are trustworthy and fair, and that results are useful for the purposes intended.

Our research and evaluation plan also follows a reasoning-from-evidence approach (NRC, 2001) in collecting and evaluating documentation to support claims of validity, ensuring that different types of evidence (including content, construct, predictive, and consequence-related validity and measurement reliability and precision) are collected on an ongoing basis during all phases of design, development, and implementation. This model requires close collaboration with the Consortium's Technical Advisory Committee (TAC) as well as IHEs, workplace representatives, and content experts in ELA and mathematics who have an in-depth understanding of the range of expectations in the Common Core State Standards (CCSS) and the college- and career-ready outcomes specified in those domains.[16] Of particular importance will be validation of the cognitive model (i.e., construct representations, developmentally sound learning progressions over time, and benchmark learning targets at each grade) on which each

[16] For example, Conley (personal communication, 2010) recommends that the Consortium focus on measuring a key set of cognitive strategies (problem formulation, research, interpretation, communication, and precision and accuracy) and self-management skills (time management, goal-setting, self-awareness, persistence, and study skills) that have been shown to be critical for success in college courses and technical certificate programs.

component is based and consideration of evidence that each item/performance event operates as intended across all student performance levels. All components of the assessment system (i.e., adaptive summative tests and performance events used to measure achievement and growth and optional interim/benchmark assessments and formative tools[17]) will be examined during these evaluation processes.

In addition, the research and evaluation plan will support the Consortium's key pillars of balance, comparability, and flexibility. In keeping with SBAC's Theory of Action, the research and evaluation agenda will support the use of assessment data for rational interpretations of student achievement and growth and for the improvement of teaching and learning. It will monitor key indicators of system performance at different levels; provide feedback to the Steering Committee, technical advisors, and participating States about coherence across system components; and inform Consortium-level decision-making about tradeoffs—particularly from a psychometric perspective—associated with system flexibility (e.g., distributed administration window, options for measuring growth and teacher effectiveness, on-demand access to item pool). Active and ongoing attention to test-based consequences (both intended and unintended, positive and negative) will be a priority. Through this process, the Research and Evaluation Working Group will ensure documentation of steps in implementing system components, collect evidence to inform refinements to the system during roll-out, and monitor overall system effectiveness.

Psychometric research and evaluation activities will be carried out for the high-stakes summative assessments (achievement and growth measures) and the optional interim/benchmark assessments. The Consortium is committed to the use of industry-standard psychometric techniques during all phases of system development, including planning, design and development, small-scale pilot testing, ongoing field testing, score scale development, operational administration, setting of performance/achievement standards, and post-administration data review. The TAC will provide expertise and advice to the Steering Committee and the Research and Evaluation Working Group through face-to-face meetings twice a year and electronic communication and conference calls, as needed.

[17] The interim/benchmark and formative components are described in the MOU as optional "formative/benchmark components," which is a broader description for these system features.

Measures of Achievement and Growth: SBAC's Summative Assessment

All participating States will administer the Consortium's summative assessments to students in grades 3–8 and high school. Data from the summative assessments will be used to measure annual achievement and growth, to inform evaluations of teacher and principal effectiveness, and for Title I accountability purposes.

*(1) **Validity and Fairness.*** The evaluation plan and research agenda will address whether the computer adaptive platform and innovative item pool together support the use of these assessments for high-stakes purposes. We will ensure that the underlying computer adaptive testing (CAT) engine exposes each student to an item set that measures the full range of the CCSS in a manner tailored to the student's current achievement level and grade level expectations. In addition, we will monitor ongoing item/performance event pool development and examine the degree to which items and performance events address the full range (depth and breadth) of the CCSS; elicit specifically targeted knowledge, skills, and/or cognitive processes related to college- and career-readiness by using a reasoning-from-evidence approach during item/event development; are developmentally appropriate and support accessibility so all students can show what they know and can do during testing; and can be combined to create (a) a composite score that defines a meaningful weight for each component (adaptive score and performance events) in relation to the intent of the CCSS and (b) a detailed score profile for each student that describes that student's progress toward college- and career-readiness on a number of dimensions.

During the development phase, through open-ended surveys, interviews, and focus groups, we will collect qualitative data about the items and performance events from students and teachers. We will monitor field testing of items and performance events and calibration using three-parameter logistic (3-PL) Item Response Theory (IRT) frameworks, with the addition of dimensionality analysis for defining scale granularity and multidimensional IRT where feasible and necessary. The Consortium will contract for independent alignment studies of items in the item pools at each grade. The research and evaluation team will use item-level analyses to examine the validity of claims of strong item-to-content and item-to-cognitive complexity match. The Consortium will be guided in item pool refreshment by findings from these studies and by the broader research agenda described at the end of this section.

Table A5-1 outlines the activities that will be used to monitor validity and fairness for the summative assessments, and Table A5-2 details the evaluation questions that will guide this work and planned data collection and analysis strategies.

Table A5-1. Specific Steps Related to Collection of Evidence of Validity and Fairness

Validity Topic	Beginning Steps (design & development)	Transition Steps (implementation)	Long-Term Steps (evaluation & research)
Content, Construct, and Predictive Validity	• Monitor documentation of design and development activities • Identify, *a priori*, plausible intended and unintended consequences • Ensure strategies are used to avoid unintentional introduction of construct-irrelevant variance • Oversee independent alignment studies • Review contingency plans • Ensure a broad representation from State educators and IHEs and workplace representatives in all activities • Conduct pre-equating analyses	• Monitor documentation of implementation steps • Survey States and stakeholders regarding emerging unanticipated, unintended consequences • Monitor impact of weighting of performance events in composite score • Monitor fidelity of implementation of accommodations • Monitor fidelity of implementation to the Theory of Action • Observe test administrations • Monitor AI scoring (validity) and provide feedback for system improvement (i.e., formative) regarding scoring methods	• Evaluate degree to which system components work together as intended • Evaluate consequences of testing (intended and unintended, both positive and negative) • Conduct utilization and cost-benefit analyses to determine whether findings support continued use of system components • Monitor impact over time of scale drift, changes in alignment, and scoring methods • Support IHE research • Conduct equating analyses to determine the comparability of scores over time
External Validity (Generalizability to College- and Career-Readiness)	Include IHEs and representatives from the workplace in: • Defining college- and career-readiness • Developing benchmarks in grade 3–8 in pathways to college- and career-readiness • Developing items for summative and I/B item/ event banks • Alignment activities	Include IHEs and representatives from the workplace in: • Setting performance standards linked to college- and career-readiness • Monitoring emerging consequences	Include IHEs and representatives from the workplace in evaluating the predictive validity of performance standards in grades 3–8 (on track to college- and career-ready) and high school (college- and career-ready)

Validity Topic	Beginning Steps (design & development)	Transition Steps (implementation)	Long-Term Steps (evaluation & research)
Fairness	• Ensure population specialists are involved in all activities • Monitor adherence to UD principles • Share trustworthy findings from studies (e.g., cognitive interviews with students) of different item types (accessibility, feasibility, comparability) with developers • Review accessibility requirements for all items and performance event types • Oversee development of test security guidelines	• Monitor impact of testing at the subgroup level • Study fidelity of implementation of allowable accommodations during testing across States • Monitor emerging effects (intended and unintended) of test use • Monitor adherence to test security guidelines across States • Observe test administrations • Conduct stakeholder surveys and provide feedback for improving test accessibility for special populations	• Conduct validity and reliability analyses at the subgroup level • Design protocols for ongoing monitoring of DIF and/or detecting evidence of bias • Monitor impact of college- and career-ready performance standards on special student populations over time • Support IHE research • Evaluate overall system security

(2) ***Measurement reliability and precision.*** By analyzing performance data during small-scale pilot testing, field testing, and operational administrations of the summative assessments, the Research and Evaluation Working Group will examine whether the items/events work as intended and the degree to which use of the item pools and adaptive engine work together to

- efficiently and effectively select items for each student based on that student's prior responses and identify that student's achievement level on the construct assessed;
- provide high and comparable degrees of precision in identifying students' level of college- and career-readiness across a broad performance range; and
- support valid inferences about meeting achievement standards.

Further, the Research and Evaluation team will take the following steps to monitor the reliability of all scoring systems:

- Consult technical advisors in development of both achievement and growth scales and monitor characteristics over time;

- Consult technical advisors in decisions related to psychometric calibration, scaling, and equating models (e.g., multi-group calibration and linking);
- Conduct internal consistency analyses to estimate (1) population and sub-population reliabilities and (2) measurement error across the scales and at particular decision points and provide rationale for statistical indices used to evaluate disparate impact for subgroups;
- Collect data about classification accuracy *and* consistency based on achievement and growth measures; and
- Conduct optional transitional linking from existing State scales to SBAC scales.

(3) ***Item types and scoring reliability***. The summative and I/B assessments will make use of technology-enhanced item types and performance events. During small-scale pilot testing, field testing, and operational administrations, the Research and Evaluation Working Group will monitor the

- reliability of automated and/or AI scoring of selected-response items, constructed-response items, technology-enhanced items, and performance events;[18]
- reliability of the scoring systems to ensure reliable data collection and to safeguard against technological problems in data collection; and
- development of scoring guides that detail the educational intent of each item type and how each works to collect information about students' levels of cognitive complexity/ critical thinking skills.

Further, to support this work, we propose a research and evaluation process that will support

- implementation of quality control and test security measures to (a) maintain the integrity of scores over time and across students, schools, districts, and States; (b) monitor administration conditions; and (c) encourage ethical testing practices; and
- development of innovative test reports to ensure transparency with stakeholders about the psychometric strengths and limitations of each measure and facilitate appropriate interpretation of results and use of data.

[18] To allow for rapid turnaround of results, the scoring process will capitalize on emerging technology as feasible. All items scored via artificial intelligence (AI) will be subjected to a systematic read-behind process.

Strategies for Measuring Growth

Growth models focus on changes in performance of individual students (and/or the aggregate of individual growth at the school or district level) over time and/or across performances. To support measures of growth, the Consortium will build vertical scales and vertically articulated grade- or grade-span-specific achievement scales and will be prepared to set standards for grades 3–8, using "on-track to college- and career-readiness" as the vertical articulation criterion.

However, unless a single growth model is required for accountability upon Title I reauthorization, the Consortium proposes to allow States flexibility in selecting the approach for modeling student growth that is most appropriate for their contexts. If required by the funder, a Consortium-wide growth model can be quickly implemented by applying any one of the existing models to all States' data. But we propose instead, as described in the Research Agenda below, that the Consortium actively pursue empirical studies of the characteristics of the different models when used in conjunction with data from CAT so that any single Consortium-wide expectation for growth reporting can then be based on findings from emerging research. An anticipated result of the research and evaluation agenda will be the selection of the maximally valid measure for Consortium-wide adoption in the future. Allowing such flexibility is critical to implementing the Consortium's Theory of Action. Its implications will be closely monitored by the Research and Evaluation Working Group.

An immediate adoption of a single growth model for use at the Consortium level is inadvisable for specific reasons. First, there is significant scholarly disagreement about the appropriateness of vertical scales for measuring student growth—with some researchers claiming that vertical scales can provide valid linear measures of student growth (e.g., Bond & Fox, 2001; McCall & Hauser, 2007) and others claiming that use of a vertical scale may compromise the validity of interpretations about student growth drawn from such measures (e.g. Betebenner, 2009; Dunn & Allen, 2009; Reckase, 2006; Schmidt, Houang, & McKnight, 2006; Martineau, 2006). In addition, each growth modeling approach is associated with specific strengths and limitations. Therefore, the Consortium proposes that States serve as laboratories to help SBAC examine the tradeoffs of various models in real-world contexts.

In addition, prior to implementation of a required model, consensus must be reached to make key decisions about what type of growth is best measured with CAT, how much growth will be considered sufficient at each grade level, and whether students with different starting points

should be expected to grow at the same rate (Gong, Perie, & Dunn, 2006). None of the measures of growth inherently defines how much growth is enough—each simply reports student growth without value judgments. While SBAC proposes to allow flexibility in choice of model at this time, we will provide research-supported guidance to States to inform decision-making about (a) placing values on specific ranges of growth to determine appropriate growth targets for individual students and (b) implementing measures of educator effectiveness as appropriate for the context. Importantly, however, this flexibility does not preclude Consortium-wide use of growth data for the purpose of informing teacher and principal evaluations, or other desirable aims.

Comparability

The Consortium recognizes that in proposing the implementation of an adaptive summative assessment across more than 30 States we are facing unique challenges. We will have many steps to oversee and many more contexts to monitor. High-stakes assessments used for accountability purposes by a Consortium necessitate greater attention to comparability across diverse States, especially given the types of potential flexibility (e.g., in administration options such as timing and use of translations) needed to support enactment of SBAC's Theory of Action.

Responsible flexibility requires careful monitoring by the Research and Evaluation Working Group, in collaboration with the Consortium's Steering Committee and TAC. The Consortium is committed to ongoing study to examine whether or how much flexibility compromises the validity of comparisons across schools, States, or consortia. At a minimum, with the flexibility described by the system design, there will be within-year and across-year studies of comparability that examine the percentages of students achieving the end-of-year performance standard at each grade level and across key subgroups in each State.

Ongoing research will be focused on determining the extent to which comparability holds, both across participating States and across consortia, for achievement scales, measures of student growth, preliminary measures of teacher and principal impact on student growth, test translations, and preliminary mode of administration. We will collect data to empirically study comparability over time, using such indicators as similarity of equating results, dimensionality of student scores, and relationships among content clusters. We will further examine cross-grade coherence in performance expectations and cut-scores, and support ongoing data sharing by

capitalizing on the open source data framework. We will monitor specific comparability issues related to construct-irrelevant variance, principles of universal design for assessment, accommodations, translations, and other inclusive practices.

Beyond determining the levels at which comparability claims can be validly made, we will also work with (a) professional development providers, to ensure that interpretive guidelines are disseminated and understood by State educators, and (b) representatives from IHEs and the workplace, to ensure that these guidelines are disseminated and understood by policymakers and end-users of college- and career-readiness indicators. In addition, we will work cooperatively with other consortia on possible scenarios that would allow meaningful cross-consortia comparisons. To further address concerns about comparability, the Consortium proposes that the Research and Evaluation Working Group work with the Report Working Group to ensure the development of guidelines for the types of cross-State performance comparisons that are more *and* less appropriate in this novel context.

Interim/Benchmark Assessments

Results from optional interim/benchmark (I/B) assessments are intended to provide more finely grained information about student progress toward college- and career-readiness than that obtained from the comprehensive summative assessments. To ensure that this component serves key purposes related to improved teaching and learning described in our Theory of Action, many decisions about use of the items—including administration window—will be determined on a State-by-State basis. The CCSS-aligned items in this non-secure pool can be grouped into customized blueprints that meet different needs at the State or local level. Because the intent of the I/B assessments is to directly support teaching and learning and these assessments will not be used for accountability purposes, the priorities for evaluation and research will emphasize ongoing research to improve the quality, trustworthiness, and usefulness of data from these assessments for instructional purposes.

(1) ***Validity and fairness.*** The I/B assessments will be developed with a foundation in cognitive theory and research about how students learn over time. For this reason, the Consortium's short- and long-term research and evaluation priorities include examining the degree to which

- the I/B assessments are grounded in cognitive development theory about how

learning progresses across grades and competence develops over time; in that respect, the generalizability of learning progressions across various student populations (e.g., high vs. low achieving, students with disabilities [SWDs] and English learners (ELs), within and across States, will be of particular interest;

- the I/B assessments—in keeping with the Theory of Action—elicit specifically targeted knowledge, skills, and/or cognitive processes related to college- and career-readiness, per the Theory of Action, by using a reasoning-from-evidence approach during item/event development that is grounded in understanding about how students acquire competence or develop expertise in a content domain;
- the I/B item pool and banks address the full range (depth and breadth) of the CCSS;
- the items and performance events in the I/B pool—as with all items/events in the summative pool—are developmentally appropriate and support accessibility (i.e., follow universal design principles) so that all students can show what they know and can do during testing;[19] and
- I/B item specifications or assessment frameworks are developed to guide the construction of the clusters of items/events that are appropriate for this pool.

During the development phase, through open-ended surveys, cognitive interviews, and focus groups, we will collect qualitative data about the items and performance events from students and teachers. On an ongoing basis, the research and evaluation team will examine the degree to which results from customized I/B assessments are appropriate for evaluating students' interim progress toward postsecondary readiness, predicting performance on the annual comprehensive summative assessment, diagnosing students' strengths and limitations, or guiding formative data use by teachers during instructional planning and implementation of classroom instruction.

(2) ***Measurement reliability and precision***. The Research and Evaluation Working Group will examine (1) the degree to which the I/B pool of items and performance events is sufficiently large and diverse to measure small, incremental differences in what students know and can do and (2) the effectiveness of innovative item types such as technology-

[19]The Consortium is expected to enlist and train teams composed of independent content experts, IHE and workplace representatives, teachers, and population specialists in the assessment needs of English learners and students with disabilities to review all items in the interim/benchmark pool for appropriateness.

enhanced items and multi-faceted performance events in drilling down deeply into a student's level of understanding of those few key concepts or skills that define a particular learning progression. While the number of items or performance events presented to any one student during adaptive I/B testing and adaptive summative testing may be the same, to allow for the in-depth probing intended, the *types* of items that appear will be more varied, and the *range* of content assessed will be greatly reduced during I/B testing. These assumptions will need to be tested empirically and monitored to ensure technical adequacy for the purpose intended.

(3) ***Item types and scoring reliability.*** In addition to selected-response items, these measures will include a greater number of technology-enhanced items and performance events. In this way, the I/B item pool will serve as an opportunity to field test the feasibility of innovative item types that may also be appropriate for the summative item/event pool. Because the I/B assessments are designed to serve a different purpose than the summative assessments, the focus will be on

- exploring which scoring methods (fully automated, teacher-supported, or fully teacher-scored and moderated) allow for the most efficient and effective use of results;[20]
- collecting inter-rater reliability data for teacher-scored items and performance events to be used formatively to improve scoring processes; and
- collaborating in the development of rubrics and scoring guides that may help teachers better understand how each item collected information about what students know and can do in relation to learning progressions and the pathways to college- and career-readiness.

Plan for evaluating the assessment system

To enable the completion of these responsibilities, the Consortium proposes to implement (1) short-term steps and contingency plans; (2) State-specific interim/transition plans, including linking studies to support the transition from old systems to new; and (3) long-term utilization, cost-benefit, and impact analyses. Initially, the evaluation process will inform the design, development, and implementation of the assessment components. Later we will collect data

[20] We can use this as an opportunity to test different scoring strategies.

related to important indicators of the effectiveness of the assessment system. Evaluation questions will stem from initial design considerations as well as from continual input during implementation of each component.

The Consortium's Research and Evaluation Working Group will oversee formative and summative evaluation processes. Each year the group will provide mid-term reports to the Steering Committee that may be used formatively to support strategic decision-making and advise refinement to course direction. It also will submit annual summative evaluation reports to the Steering Committee that will focus on emerging and/or chronic effects, the effectiveness of system functioning, and status updates on the research studies. Each participating State will be expected to use the same template for identifying and collecting data for this purpose and for documenting implementation steps. Each participating State also will be expected to cooperate with the evaluators during all data collection efforts, including cross-State research studies. The formative and summative reports to the Steering Committee will include consolidated comments and outcomes from all participating States.

Further, the Consortium's Research and Evaluation Working Group agrees to report and disseminate findings from evaluations both formally (e.g., in peer-reviewed journals or through invited or accepted presentations at national conferences) and informally (e.g., in newsletters, white papers, and policy briefs). The Consortium also will participate in any technical assistance activities conducted or facilitated by USED or its designees and work with the Department to develop a strategy to make student-level data available on an ongoing basis for cross-State or cross-consortia research activities.[21] Finally, the Research and Evaluation Working Group will oversee maintenance of a document repository for materials such as technical reports, evaluation reports, research reports, business and legal documents, and State- and Consortium-wide documentation of processes, procedures, and protocols.

Table A5-2 provides an overview of the types of evidence that will be collected on short-term, interim, and long-term bases.

[21] The Consortium will work with the Department and while following all guidelines in the Family Educational Rights and Privacy Act (FERPA) and 34 CFR Part 99, as well as State and local requirements regarding privacy.

Table A5-2. Description of Data Collection Strategies and Evaluation Questions, by Phase

	Beginning Steps (2010–12): Development Phase	Transition Steps (2010 through 2014–15): Initial Implementation Phases	Long-Term Steps (2012–20)
Focus of Evaluation During this Phase	To monitor and document steps taken during development to ensure that one or more planned components (1) will measure the full range of CCSS in ELA and mathematics, including those standards that traditionally have been difficult to measure; (2) are valid for the purpose of measuring individual student achievement and growth over a full academic year or course at the subgroup,[22] classroom, school, LEA, State, and Consortium levels; (3) are appropriate for *all* students, including ELs and SWDs; (4) are valid and reliable	To monitor implementation fidelity, including scoring and reporting functions	To evaluate if and to what degree the system is effective, i.e., the intended effects are realized as described in the Theory of Action, the integration of balanced assessment is supporting educator decision-making in participating States, the system overall has had a positive impact on teaching and learning, and unanticipated and unintended consequences (positive and negative) that emerge over time are considered during decision-making about continued use of each system component

[22] Eligible applicants receiving funds under this competition must aggregate data using the student subgroups in section 1111(b)(3)(C)(xiii) of ESEA (i.e., by gender, by each major racial and ethnic group, by English proficiency status, by migrant status, by students with disabilities as compared to nondisabled students, and by economically disadvantaged students as compared to students who are not economically disadvantaged, except that such aggregation is not required in a case in which the number of students in a subgroup is insufficient to yield statistically reliable information or the results would reveal personally identifiable information about an individual student). When using the term "subgroup" throughout this application and the NIA, we mean these student subgroups.

	Beginning Steps (2010–12): Development Phase	Transition Steps (2010 through 2014–15): Initial Implementation Phases	Long-Term Steps (2012–20)
	for the purposes of determining whether individual students in grades 3–8 are *on track to being college- and career-ready*[23] and whether high school students are on track to being college- and career-ready and/or *are college- and career-ready;*[24] (5) will yield data that describe the full continuum of student performance, including the highest- and lowest-achieving students, based on Consortium, defined achievement standards and performance level descriptors[25] for college- and		

[23]That is, the student is performing at or above grade level such that the student will be college- and career-ready (as defined below) by the time of high school graduation, as demonstrated by an assessment score that meets or exceeds the Consortium's achievement standard for the student's grade level on a summative assessment in mathematics or English language arts.

[24]That is, the student is prepared for success, without remediation, in credit-bearing entry-level courses in an IHE, as demonstrated by an assessment score that meets or exceeds the Consortium's achievement standard for the final high school summative assessment in English language arts or mathematics. In addition, the Consortium expects students to be ready to enter and advance in a job or succeed in advanced training for a high-skill, high-wage job; able to read, comprehend, interpret, analyze and locate complex technical materials; use mathematics to plan, set priorities, and solve problems in the workplace; and pass a State-approved industry certification or licensure exam in the field (SREB, 2009).

[25] That is, a statement or description of a set of knowledge and skills exemplifying a level of performance associated with a standard of performance.

	Beginning Steps (2010–12): Development Phase	Transition Steps (2010 through 2014–15): Initial Implementation Phases	Long-Term Steps (2012–20)
	career-readiness; (6) determine school effectiveness for purposes of Title I accountability; (7) inform decision-making about individual principal and teacher effectiveness for purposes of evaluation; and (8) inform decision-making about principal and teacher professional development and support needs		
Data Collection Strategies During this Phase	• cognitive interviews to try out different item types with students • small-scale pilot studies • field testing with strategic cross-State sampling • equating studies • expert validation of new item/event types and new types of reporting scales (incremental achievement and critical thinking scales)	• cross-State collaboration on transition plans • focus group discussions with teachers in participating States • observation during testing • reliability analyses, post-operational DIF analyses, and examination of error	• document analyses (e.g., proficiency level descriptors, guidelines for test use, scoring protocols, score reports) • examination of performance data at the subgroup, school, and State levels • sharing of data from IHEs and employers (e.g., results from placement exams or performance assessments) • feasibility analyses and cost-benefit analyses in which tradeoffs associated with continuing current practices are weighed • experimental or quasi-experimental design studies to empirically study system effects such as

	Beginning Steps (2010–12): Development Phase	Transition Steps (2010 through 2014–15): Initial Implementation Phases	Long-Term Steps (2012–20)
		rates, omission rates, and distractor analyses • collaboration and data sharing with IHEs, including focused field trials	systematic differences in curriculum or instruction across States or changes in student motivation or teachers' practices over time • surveys and focus groups with cross-State samples of teachers, school and district administrators, parents, and other stakeholders
Evaluation Questions Asked During this Phase	Are test purpose and intended uses clearly specified? Does the validity argument adequately connect test scores and score-based interpretations? Is there evidence of an underlying plan linking theory of action and outcomes? Does the pool of items measure the full range of the Common Core State Standards? Was evidence collected to show that the items aligned to a certain standard capture the depth and breadth of the content/construct intended by each standard? Do students have the opportunity to learn tested content?	Are components being implemented as intended? Did flaws in the conceptualization of the test (i.e., test design) emerge? Was evidence collected that the measures are appropriate for the intended population? Were steps taken to eliminate items showing potential bias? Was evidence of alignment to CCSS documented? Were scoring processes monitored and data (e.g.,	Has new evidence emerged that calls into question current interpretation of test scores? Are students with passing scores on the high school adaptive summative assessment ready for college or careers? Has there been a decrease in the number of students enrolling in college who need remedial classes or an increase in the number of students earning postsecondary education or training credits early through dual enrollment? What is the success rate of students in classes considered non-remedial? What percentage of students are misidentified by the assessment system (as either career/college-ready or not), as measured by a postsecondary criterion (e.g., placement exam shows need for remedial college coursework or additional on-the-job training)? What percentage of students pass State-approved employer certification exams?

	Beginning Steps (2010–12): Development Phase	Transition Steps (2010 through 2014–15): Initial Implementation Phases	Long-Term Steps (2012–20)
	Were proactive or preventative steps (e.g., quality control and test security, bias/sensitivity reviews, professional development for test proctors) taken to avoid all plausible unintended consequences or persistent side effects? Were plausible unintended consequences such as score inflation or impact on student achievement in non-tested content areas (e.g., science and social studies) considered? How will scoring be moderated across schools and over time?	reliability estimates) collected to support continued use of those scoring methods for those item types and testing purposes? How were teachers trained for teacher-moderated scoring? How were they calibrated and recalibrated, if needed? Are results useful to SEAs for accountability purposes? Are results useful to LEAs for monitoring annual achievement and growth? Who else used the results? Are professional development opportunities available to teachers and administrators? Was sufficient validity evidence for the	How do results from the summative assessment compare with results from NAEP preparedness measures? With ACT or SAT college readiness benchmarks? With Advanced Placement test results? What is the relationship between scores on the assessments and local grades? Are the assessments cost effective? Do they drain resources without adding significant value? Is there sufficient justification to continue the assessment without significant modification? Do the positive consequences —both intended and unintended—of using a measure outweigh the negative? Are the benefits greater than the costs? Have important changes occurred recently in instructional practice? Because consequences generalize from the student level to other levels, was a differential impact noted at the subgroup, school, LEA, and SEA levels? Has evidence of differential impact across student subgroups emerged over time? Has the achievement/performance gap narrowed?

	Beginning Steps (2010–12): Development Phase	Transition Steps (2010 through 2014–15): Initial Implementation Phases	Long-Term Steps (2012–20)
		performance events collected and documented, including their alignment and/or transferability to real-world situations? Was the range of administration conditions considered? Were uniform accommodation guidelines followed?	Has anything in the testing context changed recently? Are changes in policy or practice compromising the original intent of the system or component? Does emerging research raise any concerns about current practices or call into question past assumptions? Have any issues relating to the ethics and justice of the consequences of the assessment emerged? Were unintended uses of test results uncovered? Has clear evidence of test misuse emerged? Did unintended positive consequences emerge from test use? Did unintended negative consequences emerge from test use?

Research Agenda

In this section, we describe the Consortium's ambitious research agenda that will allow us to systematically examine empirical questions—raised, prioritized, and vetted by the Steering Committee and participating States—that are critical to informing decision-making about next steps in the development and implementation of a truly innovative and effective comprehensive assessment system.

The planned research agenda is intended to be sufficiently robust to support gradual infusion of theory- and research-supported innovation and continuous system improvement. Based on consultation with State and national experts on practical and theoretical issues, this evaluation plan will include aggressive programs of research in the following areas:

Component and System Development

- The development and validation of a distributed summative assessment system (through-course assessments), including (a) achievement scaling on the complete assessment scale based solely on the unit assessed, (b) predicting the probability of success on a complete assessment, (c) studying the construct measured (retention vs. acquisition), and (d) comparability of prescribed-window summative (non-distributed) versus distributed summative assessment results.
- Research on growth modeling (in conjunction with IHEs), such as (a) learning progression development and validation, (b) tying growth measures to learning progressions, (c) deciding how much growth should be expected at each grade (what is "good enough"?), (d) tying growth measures to formative tools (for targeting professional development), (e) differential functioning of multiple growth measures, (f) growth measures for distributed and/or interim/benchmark assessment, (g) growth as measure of gains in acquisition or retention, (h) growth measures of higher-order thinking skills, and (i) feasibility and reliability of advanced automated scoring.
- Characteristics (or specifications) of innovative technology-based performance tasks or events, especially those that measure the integration of academic content and technical skills (e.g., iterative problem solving with multiple solutions, sustained literacy or oral

communication tasks, extended inquiry using web-based resources and media, simulations)[26] and timing of administration.

- Systems for performance events that may be developed by the Consortium but sustained by the States.
- The development, validation, and implementation of a scale designed to measure higher-order thinking skills, application-based learning, and the ability to transfer knowledge and skills to unique contexts.

Comparability, Consequential Validity, and Score Interpretation

- Appropriateness and feasibility of using interim/benchmark measures for purposes of (a) measuring growth in high school, when annual summative measures are not required, and (b) informing teacher or principal evaluations when annual summative measures are not required.
- Usefulness of interim/benchmark assessments in supporting teaching and learning, either in single administration format (may include end-of-course assessments if items are secure/restricted access) or distributed administration format (curriculum-embedded, on-demand access).
- Standard setting at all grades tied to postsecondary readiness that (a) seeks to identify methods for setting cut-scores on an adaptive high school assessment linked to college- and career-readiness that will be considered sufficiently rigorous to be acceptable to IHEs and career training institutions as a basis for admission and placement decisions, and (b) allows for periodic reviews of cut-scores to assure that what is labeled "on track" in one grade continues to predict "on track" performance in the next grade level, from grade to grade through the high school test.
- Impact of different performance event weighting strategies on a composite score.
- Study of precision and usefulness of different measurement models for capturing educator impact (teacher effectiveness) on student achievement and growth.
- Dimensionality and its impact on achievement and growth inferences.
- Comparability issues within a system, with flexible participation options within and across

[26] For additional ideas and examples, see Quellmalz, Timms, & Buckley, 2009.

grade levels, jurisdictions, and consortia, given (a) options for various achievement scales, (b) options for various measures of student growth and associated reporting tools, (c) options for various measures of teacher and principal impact on student growth, (d) options for mode of administration (at least through 2016–17), (e) variation in item types, and (f) inclusive practices (e.g., accommodation, translation).

- Comparability of summative translated item set and English-only set; also implications of providing translations only for most populous subgroups.

Quality Control, Measurement Reliability and Precision

- For adaptive testing, evidence of precision across the continuum of achievement, with attention to (a) population-wide point-estimates of reliability, (b) population-wide conditional (score-specific) estimates of reliability, (c) individual student and subgroup reliabilities (e.g., conditional standard error measures), (d) the minimum thresholds for precision in reporting, and (e) reasonable stopping rules for situations in which the desired precision cannot be reached (e.g., inestimable or nearly inestimable achievement levels from [near] perfect response or [near] totally incorrect response strings).
- Reliability of AI scoring of items and performance events on the summative assessments.
- Reliability of teacher-moderated scoring of performance events both over time and across events, students, classrooms, and States.

(A)(6) **Professional Capacity and Outreach** *(up to 15 points)*

The extent to which the eligible applicant's plan for implementing the proposed assessment system is feasible, cost-effective, and consistent with the theory of action. In determining the extent to which the implementation plan has these attributes, we will consider—

(a) The plan for supporting teachers and administrators in implementing the assessment system and for developing, in an ongoing manner, the professional capacity to use the assessments and results to inform and improve instructional practice; and

(b) The strategy and plan for informing the public and key stakeholders (including legislators and policymakers) in each member State about the assessment system and for building support for the system from the public and those stakeholders.

Building the professional capacity of teachers and school administrators is central to effecting the level of reform called for in our Theory of Action. For that reason, SBAC proposes a comprehensive plan to involve these two groups in all phases of the development and implementation of our balanced assessment system and to support them in identifying and/or developing and using the types of research-supported tools that have been shown to be essential to improved teaching and learning. Because Consortium efforts will not be successful without strong support from educators as well as a broad set of State stakeholders, we also are committed to developing a comprehensive communication network. Effective communication about the Common Core State Standards (CCSS) and the SBAC assessment system is essential to building a supportive environment for change. For this reason, capacity building and outreach efforts will extend from Consortium States to their districts, schools, and classrooms to promote explicit and meaningful connections among the CCSS, instruction, assessment, and effective data use. See Appendix A6-1 for an overview of SBAC's proposed comprehensive plan for capacity building.

Essential Conditions for and Features of SBAC Professional Capacity Building

To ensure effective implementation of the proposed assessment system, a wide range of capacity-building activities are planned that are tailored to the needs of different stakeholder groups. These activities are designed to develop skills in collecting, interpreting, and using data among all end-users, including State policymakers, school and district leaders, teachers, parents, and students. We will support the development of research-based tools and resources that address needs at different levels (e.g., State, district, school, and classroom).

While capacity building is critical to successful implementation of the SBAC assessment

system, the Consortium also recognizes the limitations of what can be accomplished directly through its own resources. It is neither feasible nor appropriate for the Consortium to provide training for every administrator and teacher in each member State. Instead, our approach will be for the Professional Capacity and Outreach Working Group to collaborate with existing professional development networks in each participating State to ensure that capacity building penetrates the State, regional, and local levels. The networks will focus on building school and district capacity by helping them develop resources and trainings to support teachers, teacher leaders, and administrators at the local level. This approach serves three underlying goals: (1) it models a ***sustainable structure*** that supports teaching, learning, and reliable scoring of performance assessments and development of formative tools and processes; (2) it fosters ***interdependence*** and opportunities for shared learning among teachers and school leaders across States; and (3) it provides access to ***authentic learning experiences*** related to effective data use.

This approach to capacity building brings the added benefits of efficiency and cost effectiveness. Each participating State already has a network of district-level instructional coaches, teacher leaders, and/or trainers, etc., that can serve as the foundation for capacity building related to SBAC goals. In collaboration with representatives from institutions of higher education (IHEs) and the workplace, the Consortium will work with these existing networks to develop the materials and tools on which local professional development efforts can build.

Drawing upon guidance from ESEA on what constitutes high-quality professional learning, SBAC's capacity-building efforts will use "*a comprehensive, sustained and intensive approach to improving teachers' and principals' effectiveness in raising student achievement*" (NSDC, 2009). By taking advantage of existing State and local networks, many professional development activities can be site-based and all can be ongoing and embedded in the instructional context. Regularly scheduled technology-supported meetings (e.g., webinars or videoconferences), a key component of this plan, are intended to ensure that a consistent message is communicated to teachers and principals across districts and States. Also, in the name of consistency, SBAC will work with participating States to develop common frameworks for assessment, guidelines for effective formative assessment practices, and research-supported exemplars of curricular/instructional materials to support teachers' professional growth. Recommended readings, focused group discussions, use of online tools, and sharing of annotated examples of best practices and exercises are among the types of activities that will be available to help

educators develop expertise within the context of local practice.

Essential Steps in SBAC Professional Capacity Building

SBAC's professional capacity-building efforts will begin immediately upon project funding. As the CCSS are the fundamental building blocks of the assessment system, our first priority will be to monitor ongoing State- and district-level efforts to "unpack" these standards at each grade level. As a first step, the Professional Capacity and Outreach Working Group will collect, review, and share exemplary resources from participating States. Web-based discussions will focus on the concepts, skills, and knowledge embedded in the CCSS, the learning pathways students must follow to reach valued college- and career-ready outcomes, and strategies for developing CCSS-aligned curriculum and instruction. SBAC will work with State teachers, technical advisors, and representatives from IHEs and the workplace to develop curriculum frameworks that address the full range of the CCSS and that clearly articulate what students must learn within and across grade levels. For the interim/benchmark assessments, the Professional Capacity and Outreach Working Group also will support the curriculum alignment to the learning progressions and the CCSS domains of ELA and mathematics (see Appendix A6-2).

Other capacity-building efforts with the primary aim of empowering instructional improvement will focus on collaboration in developing and disseminating resources focused on the following set of essential topics:

- ***Assessment literacy*** (i.e., the purpose of each component in a balanced assessment system [adaptive summative assessments that include performance events, optional interim/benchmark assessments, and formative tools[27]]; assumptions associated with computer adaptive testing [CAT]; appropriate interpretation of results from each measure or tool and comparisons across schools, States, and consortia; and effective use of achievement and growth data)
- ***Alignment of curriculum, instruction, and standards*** (i.e., strategies for ensuring alignment among the CCSS, curriculum, instructional practices, and assessments)
- ***Formative assessment to guide instruction*** (i.e., the development of formative tools, processes, and practices; collecting and using student feedback to improve instruction; and making instructional adjustments or refinements based on the results of formative

[27] The interim/benchmark and formative components are described in the MOU as optional "formative/benchmark components," which is a broader description for these system features.

data)

- ***Constructed-response item and performance event development and scoring*** (i.e., ways in which teachers can contribute to the development of constructed-response items and performance events for the summative and interim/benchmark assessments, and applying SBAC rubrics and protocols during scoring of items and events)
- ***Individual-, group-, and organization-level learning*** (i.e., supporting ongoing dialogue about strategies for improving student learning and facilitating professional development opportunities for pre-service and in-service teachers)

Professional Capacity Building in Development and Scoring of Summative and Interim/ Benchmark Assessments and Formative Tools and Processes

A key element of SBAC's professional learning approach for educators is to seek to engage teachers directly in developing and scoring SBAC assessments. Contributing to the item and performance event banks and participating in the moderated scoring process has been found to afford teachers a unique professional learning opportunity (Darling-Hammond & Pecheone, 2010). Planned efforts are summarized in Table A6-1 below.

Table A6-1: Strategies for Building Capacity

COMPONENT	STRATEGIES FOR BUILDING CAPACITY
Summative assessments	States will be encouraged to enlist teacher involvement in developing summative assessment items and performance events and in scoring constructed-response items and performance events. In all States, teachers will continue to review items and events prior to field testing.
Interim/benchmark (I/B) assessments	The use of curriculum-embedded I/B assessments that are based on learning progressions will provide teachers with models of high-quality tools that yield more finely grained information about what students know and can do. As with the summative measures, SBAC's design calls for teachers to contribute to the I/B item and performance event banks and to review all items prior to operational use. Teachers also will be actively involved in scoring the constructed-response items and performance events.
Formative assessment tools and processes	Integration of formative tools, processes, and practices into Consortium classrooms poses the greatest professional development opportunity—and challenge—for teachers and instructional leaders. SBAC will provide models for local development of formative tools and processes, including professional learning modules that showcase best practices in data use for formative purposes in relation to the CCSS. Guidance will be developed that can be adapted to support differentiated instruction and a range of

	classroom practices. Web-based dialogues among teachers will provide opportunities to discuss approaches for collecting and using student feedback to improve instruction.

Use of Technology to Support Professional Capacity Building

Creative and adaptive use of technology to support professional development efforts will be a hallmark of the SBAC approach. Fundamental to the integrated assessment and learning system will be the system portal. The system portal will be the single entry point for educators, students, and parents to interact with the various aspects of the system, as appropriate, including the assessment delivery platform, the formative assessment resource clearinghouse, the distributed hand-scoring system, interactive dynamic reports, and an educator dashboard of student performance information. SBAC will take advantage of a variety of technologies (e.g., webcasts, issue-focused chat rooms, virtual classrooms, clearinghouses with live links to recordings and documents) and media (print, online) to disseminate resources and information, and to interact with users in promoting understanding of how these resources are related to improved instruction. Through SBAC's educator dashboard—a secure online system—educators will be able to

- Download and view various assessment reports, scoring rubrics, and longitudinal data, and develop customized reports;
- Explore instructional strategies and recommendations for interventions related to specific assessment results for individual students or student subgroups;
- View and download vetted resources, including model instructional units, formative tools and rubrics, and sample performance events—all aligned to the CCSS;
- Access applications that facilitate and provide guidance on the design and scoring of items to ensure ongoing educator engagement in test use and validation; and
- Network with other teachers to share information, resources, and tools, and to engage in dialogue about curriculum, instruction, and assessment.

In collaboration with teachers and expert advisors, SBAC will develop and share guidelines to facilitate the selection and/or creation of useful resources and a process for soliciting and vetting resources before possible inclusion in the SBAC dashboard's clearinghouse. Trained "peer reviewers" in participating States will review sets of materials or documents electronically

and apply specific criteria in judging the quality and usefulness of those resources for meeting existing or emerging Consortium needs.

In addition to an educator dashboard, SBAC will develop online tools and resources for students and parents. These may include enrichment activities that help extend current units of instruction, and guidelines for exploring in greater depth I/B performance data or results from formative tools that may be used diagnostically to better understand students' strengths and limitations. Engaging students and their families in using instructional resources is a key element in creating learner-centered school environments. Outreach efforts will support access to reports, student assessment information, and instructional resources by authorized users in a web-based environment.

Outreach and Communications Plan

Per our Theory of Action, a key priority of SBAC member States is to provide clear, accurate, and timely communication of standards, policies, and practices. This is essential for successful implementation of the new system within and across States. Effective communication is critical in the short term to signal change, and over the longer term to build continuing support for reform. SBAC is committed to transparency and clarity in communicating to all stakeholders (e.g., legislators, policymakers, IHEs, the workplace, community members, parents, educators, and students) the principles of the Consortium, the purposes of each assessment component in a balanced system, and the practices and intended outcomes of this assessment system.

The Consortium's Professional Capacity and Outreach Working Group will collaborate with the Steering Committee and technical advisors to develop and implement an outreach and communications plan for informing and updating the public and key stakeholders in each participating State about SBAC implementation. Among the issues covered in the plan are how to communicate descriptions of the assessment system, its purpose, and its components; sample and released test items and performance events; scoring rubrics for constructed-response items and performance events; achievement-level descriptors; and assessment results. It is important to note that the plan also will need to address effective dissemination of a variety of reports.

The Professional Capacity and Outreach Working Group will work with and through existing State communication mechanisms to ensure that essential information gets to stakeholders and the general public in a timely fashion. This collaboration will ensure that each participating State

has a communication plan and a set of communication tools to use with local and State users of data from SBAC assessments. These tools will include

- A timeline for public release of informational materials;
- An overview of communication processes and products (e.g., arrangements for media coverage, talking points, and illustrations needed for all spokespersons within the Consortium);
- Protocol for national press conferences, including State and Consortium contacts for multi-state media releases;
- Materials for public consumption, such as templates for PowerPoint presentations, brochures, pamphlets, information letters, and newsletters; and
- Access to an SBAC-developed and -managed website that provides communication materials, technical reports, and important notices about Consortium projects/initiatives.

Finally, the Professional Capacity and Outreach Working Group will work with existing regional and Federal networks, such as the Comprehensive Centers and Regional Educational Laboratories, as well as the private sector (e.g., service providers and test publishers), so that they are also informed about SBAC's work and, as appropriate, can be engaged in our outreach efforts.

(A)(7) **Technology Approach** ***(up to 10 points)***

The extent to which the eligible applicant is using technology effectively to improve the quality, accessibility, cost-effectiveness, and efficiency of the proposed assessment system. In determining the extent to which the eligible applicant is using technology effectively, we will consider—

(a) The description of, and rationale for—
(i) The ways in which technology will be used in assessment design, development, administration, scoring, and reporting;
(ii) The types of technology to be used (including whether the technology is existing and commercially-available or is being newly developed); and
(iii) How other States or organizations can re-use in a cost effective manner any technology platforms and technology components developed under this grant; and

(b) How technology-related implementation or deployment barriers will be addressed (*e.g.*, issues relating to local access to internet-based assessments).

SBAC's Theory of Action highlights technology as the major vehicle for supporting the integration of the learning and assessment systems. ***Technology will be utilized to support all aspects of the system***, including developing, administering, and scoring of the adaptive summative assessments, performance events, and adaptive interim/benchmark assessments; developing and using formative tools, processes, and practices; and accessing the ***SBAC system portal*** that will house the public website, an educator dashboard, a clearinghouse of instructional resources, and item writing and scoring modules. Per the NIA, all assessment items will be developed to an industry-recognized open-licensed interoperability standard approved by USED during the grant period, without non-standard extensions or additions. The interoperable design will support a consistent system of assessment delivery across Consortium States, provide item portability as needed, ensure continuity of universal item design features across multiple platforms and uses, and provide competition among vendors for future work. An ***open-source technology solution*** will be used as a means to promote continued collaboration, innovation, and low cost of ownership. Recognizing the current limitations in available open-source software, the assessment system software will be developed using a combination of existing and newly developed open-source software and proprietary software.

System portal. Fundamental to the integrated assessment and learning system will be the system portal. The system portal will be the single entry point for educators, students, and

parents to interact with the various aspects of the system, as appropriate, including the assessment delivery platform, formative practices and tools resource clearinghouse, distributed hand-scoring system, interactive dynamic reports, and an educator dashboard of student performance information. The portal will be designed to promote continued expansion and innovation by allowing the integration of external resources. User-defined roles and views will allow the portal to serve as a central location for stakeholders such as administrators, educators, parents/guardians, and students while ensuring that security and confidentiality are properly maintained. For example, students will have access to their individualized results and relevant classroom and project materials, as well as the ability to communicate and share information with teachers and other students, and the ability to submit work for local or distributed scoring. This will enable students and parents to monitor progress toward college- and career-readiness and allow students to collaborate with peers and educators for continuous improvement.

For teachers, the portal will strengthen connections among standards, curriculum, assessment, instruction, student learning, and teacher development. The portal will be the hub for both the educator resource clearinghouse and educator dashboard, which will be fully integrated to allow educators to move seamlessly from student performance profile information found in the dashboard to linked resource materials that support targeted instructional change. These technology-supported connections are essential to making student achievement evidence actionable for teachers and fostering a culture of continuous improvement for students, parents, and teachers. Training for teachers to use the online formative tools, processes, and practices will also be technology-supported via a variety of methods, including videoconferences, webinars, and online training modules that can be accessed by educators at any time.

Technology to support assessment development and implementation. SBAC will use best practices in application design, development, and implementation to create an innovative and flexible online system with a robust set of features that allow States the stability of a Consortium-developed system and the flexibility to implement State-specific approved variations. To that end, the SBAC's Technical Advisory Committee (TAC) will leverage the lessons learned from Consortium members and ensure that best practices of online assessment design and architecture are reflected early in the requirements-gathering and technology-development processes. The purview of the technical advisors will include issues related to user-interface design of the system, software development standards, system development and

enhancement roadmap, database architecture, system testing, security, and all other technological issues necessary for continued growth in system efficiency and effectiveness in improving teaching and learning.

SBAC will design the system to be browser- and operating-system-independent, thereby minimizing user issues and increasing access to the testing platform by all schools. User-interface designs and information architecture will undergo exhaustive use-case scenario testing by an independent third party and will be enhanced to maximize system usability.

Item development will be supported through an online authoring environment, which provides teacher training; allows item submission, feedback, and review; and supports the item approval process. The item development process and design requirements will be documented prior to generating system architecture or code specifications. Additionally, the item development system will warehouse existing items provided by Consortium States and support evaluation of alignment to the CCSS and suitability for the summative or interim/benchmark assessments.

Item designs will incorporate specific "feature tagging" systems that will be used to render items in a consistent manner that meets student access and communication needs. Documentation will allow full interoperability across different delivery platforms in the various Consortium States (e.g., Accessible Portable Item Protocol [APIP]). The item authoring system will be structured to facilitate the development of items that follow the principles of universal design for assessment.

SBAC will use a computer adaptive testing (CAT) engine to deliver summative and interim/benchmark assessments and to score (and/or distribute for scoring) student responses. The CAT engine will be fully integrated with the Consortium item bank to ensure that CAT forms meet content and other psychometric constraints. Assessment item banks will be partitioned into a secure item bank for the summative assessment and a non-secure bank for the interim/benchmark assessments. The assessment platform will support the online delivery of a variety of item types, including traditional selected-response items, constructed-response items, curriculum-embedded performance events, and technology-enhanced items (modeled after assessments currently used by the U.S. military, the architecture licensure exam, and NAEP). The use of technology-enhanced item types will target content standards that, in the past, have

been difficult to measure, such as deep knowledge and/or application of knowledge and skills.

The assessment system will support multiple opportunities for the summative assessment administration window for grades 3 through 8 and high school. It will store students' results for multiple assessment administrations to support defined reporting rules. Banking of student performance event responses and scores will be enabled by a database designed to maximize data integration across the various components of the assessment system (e.g., scoring system and reporting engine) to allow performance event responses to be combined with CAT responses to yield the overall summative assessment score.

The assessment system scoring engine will manage all student response scoring: standard machine scoring (selected-response items), automated scoring (constructed-response items and performance events), distributed teacher-moderated scoring (constructed-response items and performance events), and local scoring (specific I/B assessment performance events). As advancements are made with automated scoring solutions during the life of this project, they will be integrated into the system. Where technology solutions do not yet exist to score student responses collected via this system, the system will facilitate the distributed human scoring of those responses by appropriate individuals or groups of individuals (e.g., teachers score student responses on classroom assessments; trained/certified individuals score student responses on large-scale assessments). The distributed human scoring system will manage scorer qualifying activities, response scoring assignments, and scorer reliability and validity auditing.

Summative and I/B assessment results will be accessible via the assessment system portal and directly integrated with the student performance profile. Student assessment results will flow directly from the scoring and psychometric systems to the reporting system that manages the full suite of reports; thus, reporting will be dramatically faster and less prone to manual integration errors. The latest business-intelligence-based reporting will be used to serve the full continuum of reporting needs, from the more traditional static reports of annual achievement in English language arts (ELA) and mathematics to dynamic reporting that allows data-mining and vivid representations of a student's achievement along a learning progression framework for I/B assessment results. The identity management system will enable a host of stakeholders to access customizable reports; however, the specific suite of reporting tools available will be user-credential-dependent. The reporting suite interface and connections to formative materials will

be designed and piloted with teacher input using rapid iterative design and usability testing processes.

Efficiencies, accessibility, and security of technology solutions. Technology solutions will be selected to maximize each State's ability to deliver services and tools in a cost-effective manner Statewide, regardless of school size, location, or funding status. Equity of student access across small, rural, urban, and other areas will be a high priority. The system will require minimal local IT staff involvement to install, operate, or update any software applications, test engine, or related test administration components. For example, the test engine and its administration ancillaries will have self-diagnostic tools that can determine if the workstation or network configuration is prepared correctly for operation. Additionally, the system will be designed to allow States to integrate their information management system to support administration and management of student performance data.

The SBAC TAC will approve and update security protocols that use state-of-the-art security methods for encryption of test and personal data (e.g., 128-bit SSL encryption). The strict security protocols of encrypted databases will protect the security and confidentiality of student information in adherence to current Family Educational Rights and Privacy Act (FERPA) regulations. Disaster recovery and backup strategies will also be designed into the system to mitigate the risk of data loss. An industry-standard identity management system will define the information available and the rights a user has when logged into the system. Additionally, test session security (secure browser, session control, administrator control, password-required login) will be designed to maximize test security while minimizing local burden.

Cost-effective reuse will be facilitated through a system design process that prioritizes the use of open-source and interoperable standards, alternative scoring models, performance event sharing, hosting options, infrastructure guidelines, and administrative efficiency. A critical component of the ongoing system development process will include code sharing and feedback from an expanding, unrestricted user-base. This process will ensure that the system remains current and continually grows to meet the challenge of improving teaching and learning. Upon completion of system development, the Consortium's legal counsel will create a public license (e.g., gnu.org, Mozilla.org/mpl) defining this product as a free open-source software application.

Identifying and mitigating against barriers. Design of the assessment system will leverage the collective wisdom of the Consortium and the member States' experience addressing

challenging implementation and deployment issues. Therefore, as part of the initial assessment system development process, the Consortium will formalize the collection of lessons learned across Consortium States through a Technology Implementation Task Force. The charge of this task force will be to work with States currently administering online assessments to identify risks and to develop mitigation and/or avoidance strategies to address the risks. These risks, challenges, and solutions will be documented in a formal report to provide guidelines for technology implementation best practices to ensure that lessons learned are reflected in areas like system architecture and the graphic user interface.

Development of the assessment and learning system will be considered a dynamic process of evaluating how technological solutions that are in place meet current needs of the assessment system design (i.e., improving teaching and learning). The TAC will conduct periodic needs assessments and make recommendations for enhancements to the development roadmap. Evaluating the suitability of existing tools and systems currently in development (e.g., the CCSSO data platform) or in use by States (e.g., the Item Bank system in development by the State of Michigan) will be integral to ensuring that Federal investment dollars are maximized.

(A)(8) Project Management *(up to 30 points)*

The extent to which the eligible applicant's project management plan will result in implementation of the proposed assessment system on time, within budget, and in a manner that is financially sustainable over time. In determining the extent to which the project management plan has these attributes, we will consider—

(a) The quality, qualifications, and role of the project management partner, as evidenced by its mission, date of founding, size, experience (including past success in implementing similar projects), and key personnel assigned to this project (including their names, curricula vitae, roles, percent of time dedicated to this project, and experience in managing similar projects);

(b) The project workplan and timeline, including, for each key deliverable (*e.g.*, assessment component, scoring and moderation system, professional development activities), the major milestones, deadlines, and entities responsible for execution; and the approach to identifying, managing, and mitigating risks associated with the project;

(c) The extent to which the eligible applicant's budget—

(i) Clearly identifies Level 1 budget modules (as defined in the NIA) and any Level 2 budget modules (as defined in the NIA);

(ii) Is adequate to support the development of an assessment system that meets the requirements of the absolute priority; and

(iii) Includes costs that are reasonable in relation to the objectives, design, and significance of the proposed project and the number of students to be served; and

(d) For each member State, the estimated costs for the ongoing administration, maintenance, and enhancement of operational assessments in the proposed assessment system and a plan for how the State will fund the assessment system over time (including by allocating to the assessment system funds for existing State or local assessments that will be replaced by assessments in the system).

Required Tables and/or Attachments:

- ✓ *Summary Table for (A)(8)(a): Key Project Management Personnel*
- ✓ *Attachments for (A)(8)(a): Curricula Vita of Key Personnel*
- ✓ *Summary Table for (A)(8)(b): Project Work Plan and Time Line*
- ✓ *Attachments for (A)(8)(c): Budget (See Part I.J)*

(A)(8)(a) The SMARTER Balanced Assessment Consortium (SBAC) is committed to an open procurement process for identifying a Project Management Partner who best meets the following criteria: (1) capacity to effectively and efficiently complete the scope of work; (2) proven track record of success in projects with a similar scope; and (3) economy (i.e., the ability to produce the highest-quality deliverables for the fewest resources possible). SBAC used these criteria in procuring the services of an external agent to support the management and development of this proposal. The Request for Proposals (RFP) that was used to recruit that agent is attached as

Appendix A8-1. The process and selection criteria proved so effective in this first procurement that we are committed to following a similar open, competitive procedure for identifying the Project Management Partner to support SBAC in developing its proposed assessment system. Appendix A8-2 is the RFP let by the State of Washington to procure the services of a successor Project Management Partner, and demonstrates the Consortium's aim to meet the intent of, as well as the requirements described in, the NIA, while abiding by the State of Washington's procurement laws, and continuing to adhere to the values of openness and transparency that are the keystones of this Consortium.

Approach to Project Management

Project management comprises a careful balance of time, resources, and quality. As is clear in our Theory of Action, quality is not optional. The system must meet the highest standards of best practice and meet the needs of our stakeholders so that we can truly enact change. The RFP for the Project Management Partner (Appendix A8-2) serves as an example of the Consortium's approach to ensuring quality by incorporating balance into each of its contracts and Service Level Agreements. As for resources, we will ensure an ambitious development approach while also staying within our budget. Our plan is based on the assumption that the work will be supported solely by the award from USED, even though we will seek additional support from private foundations. The Consortium will control costs through a system of checks and balances as well as by including explicit "not to exceed" parameters in each of its contracts. Time, then, truly is the only variable in our project management approach that will have any flexibility, as long as the assessment is operational by 2014–15.

As a safeguard to ensure the timely completion of deliverables, the Consortium will use a multi-tiered risk management strategy for identifying barriers to completion. First, the working group structure will distribute the work into manageable components so that State assessment experts as well as technical advisors will incrementally monitor progress and escalate issues to the Project Management Partner and the Executive Committee when appropriate. Similarly, as described in the governance structure, the Executive Committee will include technical and policy assessment experts who will prioritize the urgency of problems or concerns, based on their own experience and the advice of the Project Management Partner. The Project Management Partner will disseminate weekly project status updates, requiring systematic tracking that will determine

whether any deliverable is at risk. Consortium members will be able to review these updates and notify the Project Management Partner or members of the Executive Committee if they disagree with the status characterization. Finally, as the Lead Procurement State, Washington, will periodically review the progress of the entire project from a compliance perspective, and as a member of the Executive Committee, will be able to directly identify any issues that would appear to interfere with the timely completion of deliverables.

The primary risk management strategy will be to create comprehensive work plans as soon as possible to ensure that sufficient time and resources are allocated to complete the work. A secondary strategy will be frontloading tasks in the project plan as far ahead as possible to ensure that there is sufficient time to move dates back as necessary to meet the operational administration requirement in 2014–15. The timelines will be reviewed by the quality control vendor to ensure that the full body of work is appropriately described.

Acquiring Project Management Services

Per Section 2.2 of Appendix A8-2 (*Estimated Schedule of Procurement Activities*), the State of Washington has set the timeline for identifying and placing under contract the permanent Project Management Partner by October 1, 2010. The RFP details a comprehensive solicitation that focuses on adherence to protocol, fidelity to the solicitation specifications, and a thorough review process enabling the selection of a "best fit" candidate. Adherence to protocol will ensure fairness for prospective vendors, while fidelity to the specifications will ensure quality proposals are submitted that meet the technical requirements of the Consortium. With a thorough review process detailing the criteria proposals will be evaluated by Consortium members, the Department can have confidence that the best qualified candidate will be selected to assist in the implementation of a grant award.

Since the NIA stipulates that the Project Management Partner is part of the grant implementation plan, the Consortium has inferred that the associated efforts of the Project Management Partner are part of the grant award itself, which would not be available for actual work until October 1, 2010. Given this situation, the Consortium would experience project start-up delays as the Project Management Partner familiarizes itself with the activities and objectives of SBAC. Such concerns resulted in the Consortium Steering Committee's recognition of a need for a transition plan and transition partner. Thus, when developing the RFP for the Grant Project

Manager (see Appendix A8-1), the need for a short-term extension of services beyond the immediate deliverable (proposal submission) was introduced as a contractual clause, allowing SBAC the right to extend the scope of work through subsequent amendment as a means of supporting SBAC through a project transition phase.

The Consortium has implemented this option by extending its contract with WestEd in a role as interim Project Management Partner for a period not to exceed three months from the date of notice of an award. The purpose of this interim Project Management Partner contract is to explicitly meet the requirements of the NIA and to allow a smooth transition to immediate first steps as a funded Consortium while proceeding with the comprehensive procurement process required by the State of Washington. In the event that WestEd is not selected as the Project Management Partner through this competitive process, all parties will remain committed to ensuring a complete and seamless handoff of responsibilities to the organization assuming this role on a permanent basis.

Interim Project Management Partner

WestEd is uniquely qualified to undertake the role of interim Project Management Partner for SBAC. The agency's experience and expertise in the development and management of comprehensive assessment systems has prepared it for this important work. The knowledge and skills WestEd brings to the Consortium include

- **Expertise in large-scale project management and progress tracking.** The proposed Project Management Partner team is experienced in planning and managing projects with multiple partners and activities. Team members understand how to communicate effectively and efficiently, collect and synthesize information from diverse sources, and track project progress—even when time lines are short and stakes are high.
- **Experience working with States on standards and assessment issues.** WestEd has worked directly with multiple SEAs and most of the assessment contractors on large-scale assessment issues. The assembled team knows what types of information SEAs need to support informed decision-making (e.g., how proposed changes may affect struggling learners, students with disabilities [SWDs], and English learners [ELs]) and team members are well versed in bringing diverse groups of constituencies together to achieve common goals. In Appendix A8-3, there is an overview of the states in which

WestEd staff have provided standards and assessment related services. Most recently, staff have been actively involved in supporting states as they conduct crosswalks between the CCSS and applicable state standards, and are supporting states during the transition to instruction based on the CCSS.

- **Experience working with State consortia.** In addition to their current role as the manager of the proposal process for SBAC, Dr. Stanley Rabinowitz, the proposed interim Project Management Partner senior advisor, has served for the past several years as a member of the New England Common Assessment Program TAC, learning about the characteristics of a successful state assessment consortium. Additionally, the Assessment and Accountability Comprehensive Center directed by Dr. Rabinowitz supports a group that includes 16 regional comprehensive centers, USED, and many States working together to meet important assessment goals.
- **Experience with all aspects of "next generation" assessments.** The proposed WestEd team understands and endorses the balanced assessment model. This team has deep, current assessment knowledge and leadership experience in guiding states on the development, implementation, and evaluation of comprehensive, state-of-the-art assessment systems. WestEd also advises other entities that seek its experience and expertise in the research, policy, technical, and logistical aspects of building and sustaining a reliable, valid, and feasible, yet forward-looking assessment system. For example, WestEd is the lead advisor to the Bill and Melinda Gates Foundation College Readiness Assessment Pilot.

More broadly, WestEd brings institutional capacity to serve in the role of Project Management Partner. WestEd is a preeminent educational research, development, and service organization with over 500 employees and 16 offices nationwide. WestEd has been a leader in moving research into practice by conducting research and development (R&D) programs, projects, and evaluations; by providing training and technical assistance; and by working with policymakers and practitioners at state and local levels to carry out large-scale school improvement and innovative change efforts.

In carrying out this work, WestEd has built solid working relationships with education and community organizations at all levels, playing key roles in facilitating the efforts of others and in initiating important new improvement ventures. Over the past 42 years, WestEd and its two

predecessors, Far West Laboratory for Educational Research and Development (FWL) and Southwest Regional Laboratory (SWRL), have carried out nearly 2,000 successful projects representing major contributions to the nation's R&D resources. At any given time, WestEd has from 450 to 700 active contracts and grants. Current work extends beyond the Western Region to include most states in the nation and an increasing number of other countries. More information regarding WestEd's breadth of experience and capacity can be found in Appendix A8-4.

Key Staff for Proposed Interim Project Management Partner

Key staff for this project are listed in the Summary Table for (A)(8)(a) below. Selected staff resumes are provided in Appendix A8-5. All named staff will be available to begin work immediately upon grant award announcement.

Summary Table for (A)(8)(a): Key Project Management Personnel

Key personnel of Interim Project Management Partner	Role Assigned	Percent of Time Dedicated to Project	Vita Attached
Dr. Stanley Rabinowitz	Senior Advisor	0.25	✓
Dr. Joanne Jensen	Project Director	0.50	✓
Dr. Carole Gallagher	Research Director	0.50	✓
Dr. Carol Whang	Project Coordinator	0.50	✓
Dr. Christyan Mitchell	Director of Technology Implementation	0.30	✓
Dr. Elizabeth Berkes	Project Support	0.50	
Patricia Armstrong	Project Support—Mathematics	0.50	
Beverly Nedrow	Project Support—English language arts	0.50	

(A)(8)(b) **A System of Checks and Balances**

The critical first step is to develop a work plan and schedule that includes the high-level requirements for meeting major goals. This process will define the milestones and absolute requirements from which a more detailed development schedule for development will emerge. Effective project management will require development of detailed schedules for each of the assessment system components, which will be combined into a fully integrated master schedule. The process of combining each assessment component into the master schedule increases the awareness of touch-points, hand-offs, and dependencies that may otherwise go unnoticed. Understanding how each project component will interact and relate affords project management staff the ability to better anticipate potential risks and plan for contingencies.

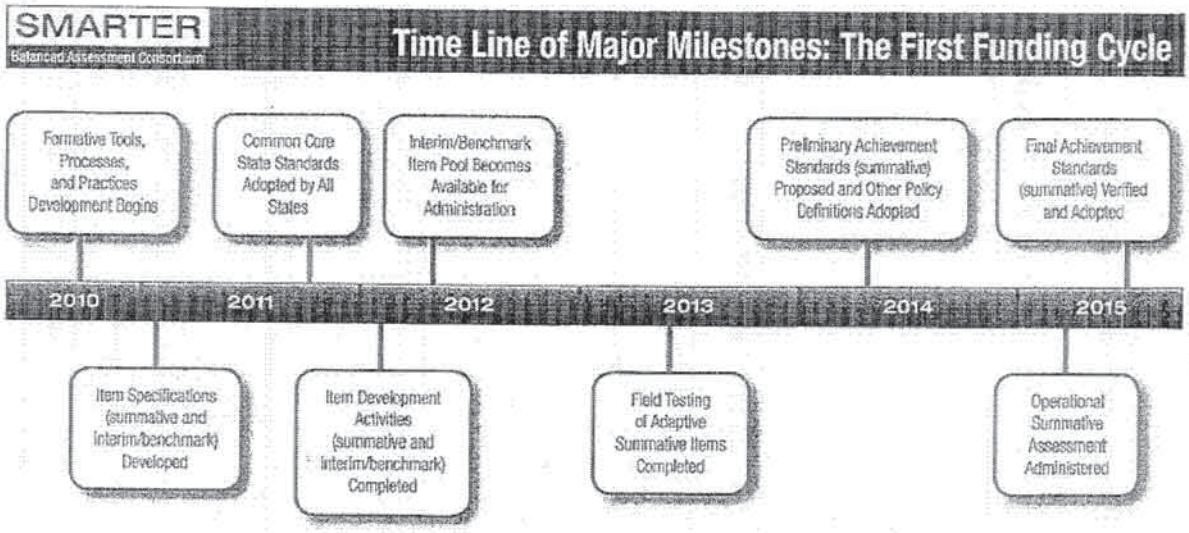
After the master schedule is developed, daily project management reports will be shared with the appropriate SBAC staff/leadership, including daily stoplight-status reports. The stoplight-status reports provide a high-level status indicator for each assessment component—indicating, for each assessment component, whether it is considered "green" (on-schedule, with no anticipated risks), "yellow" (on-schedule, with medium risk of moving off-schedule), or "red" (off-schedule or on-schedule with high risk of moving off-schedule). Any schedule variances (i.e., yellow or red) will be reported with strategies for course correction, the estimated likelihood that corrective action will be effective, and possible mitigation strategies if course correction fails.

As part of the project schedule development process, the Project Management Partner will work with participating States to identify implementation barriers, risks, and possible solutions or mitigation strategies. The key to the success of a project of this complexity will be contingency planning from the outset (e.g., the budget indicated in part (c) of the Project Management section includes a paper-form contingency plan in the event of adaptive computer system failure).

Consistent with the values driving use of ARRA funds, the Consortium will ensure that expenditures are tightly monitored through a series of checks and balances. As described in the budget proposal, Washington State will allocate personnel to serve as project director, project manager, and fiscal analyst. Their role will be to monitor the progress of the grant and the expenditures from a compliance perspective to ensure that the grant deliverables and

expenditures are consistent with the agreement signed by USED. The Project Management Partner, as described above, will plan, monitor, and report on the work as necessary to achieve the deliverables as described in the agreement.

Finally, the Consortium will hire an external third party to conduct quality control of project plans, applications, and documentation as necessary to maintain the confidence of USED, the Consortium's stakeholders, and U.S. taxpayers. For purposes of this submission, the time line presented in the Summary Table for (A)(8)(b) reflects an aggressive implementation plan with this intent in mind. The Project Management Partner will provide a revised and fully fleshed out comprehensive project plan based on input from additional technical experts who are able to assist in the estimation of the duration and contingent nature of tasks. The major project milestone activities and deliverables are shown in the Summary Table for (A)(8)(b): Project Work Plan and Time Line. As an overview, these milestones are shown in the time line below.



Summary Table for (A)(8)(b): Project Work Plan and Time Line

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
Adopt the Common Core State Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned		10/1/2010	12/31/2011	Each State
Release RFP for item writing specifications, protocols, and training materials	Contract for consultant to write RFP	10/1/2010	11/1/2010	Washington (Lead Procurement State)
	RFP released	11/1/2010	12/1/2010	
Select contractor(s) for test specifications, item writing specifications, protocols, and training materials		10/1/2010	4/1/2011	Executive Committee
Contractor(s) produces test specifications, item writing specifications, protocols, and training materials	Draft item writing protocols and training materials	4/1/2011	7/31/2011	Contractor
	Pilot item writing protocols and training materials	4/1/2011	6/30/2011	Contractor with Governing States
	Establish item writing goals based on test specifications	4/1/2011	8/31/2011	Contractor
	Train State/State delegates for item writing	8/31/2011	12/1/2011	Contractor with Governing States

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
Item Development	Evaluate Consortium-submitted items and conduct gap analysis	12/6/2010	4/1/2011	Contractor with Governing States
	Distributed item writing	12/15/2011	3/1/2012	Governing States
	Conduct Content Panel Validation Review I	3/15/2012	3/20/2012	Contractor
	Targeted small-scale pilot assessment	4/1/2012	4/07/2012	Contractor with Governing States
	Revise item writing protocols and training	4/20/2012	5/1/2012	Contractor
	Distributed item writing	6/30/2012	9/3/2012	Governing States
	Conduct Content Panel Validation Review II	12/15/2012	12/20/2012	Contractor with Total State Membership
	Item bias review	12/15/2012	12/20/2012	Contractor with Total State Membership
Identify vendor(s) for Test Development, Delivery, Scoring, and Reporting Application	Contract for consultant to write RFP for test delivery application	10/1/2010	11/1/2010	Executive Committee
	RFP released	11/1/2010	12/1/2010	Washington (Lead Procurement State)
	Select vendor(s) for test development, delivery, scoring, and reporting application	12/1/2010	4/1/2011	Executive Committee

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
Vendor(s) produces Test Development, Delivery, Scoring, and Reporting Application	Create application specifications	4/1/2011	8/1/2011	Vendor
	Unit test and system test application	4/1/2011	8/1/2012	Vendor
	Pilot item authoring system	4/1/2011	8/1/2011	Vendor and Governing States
	Pilot delivery, scoring, and reporting application	4/1/2011	12/1/2012	Vendor and Governing States
	Revise application in preparation for field test	4/1/2011	3/1/2013	Vendor
Field test items using State existing online applications and/or stand-alone implementation of new online system as operational pilot	Assessment administration training	2/1/2013	2/22/2013	Vendor and Governing States
	Embedded and stand-alone field test	3/1/2013	6/1/2013	Vendor and Governing States
	Field test analysis file complete	7/1/2013	7/1/2013	Contractor
Field Test Item Performance Review (Data Review)	Data review meetings	8/15/2013	8/20/2013	Contractor
Adoption of Achievement Standards	Representative stakeholders participate in achievement standard setting	8/31/2014	8/31/2014	Stakeholders from Total State Membership
	Executive Committee reviews the standard-setting process and achievement standards and approves the standards	8/31/2014	11/1/2014	Executive Committee

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
	Executive Committee recommends achievement standards to Steering Committee based on standard setting for their approval	11/1/2014	11/30/2014	Executive Committee
	Standard-setting verification using operational results and makes final recommendations for approval	7/1/2015	7/20/2015	Vendor and Executive Committee
	Governing States vote to approve achievement standards	7/20/2015	8/1/2015	Governing States
	Total State Membership adopts achievement standards	8/1/2015	9/1/2015	Total State Membership
Test Administration	Operational assessment is available	3/1/2015	6/1/2015	Vendor and Total State Membership
	Fully implement Statewide the Consortium summative assessment in grades 3–8 and high school for both English language arts and mathematics	10/1/2014	6/1/2015	Total State Membership
	Operational results reported	TBD	TBD	Vendor
Financial Planning	Governance/Finance Working Group identify ranges of options regarding Consortium financing options	10/1/2010	10/1/2011	Governance/ Finance Working Group with consultants

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
	Governance/Finance Working Group revises operational cost estimates using format established through finance options	10/1/2011	6/1/2012	Governance/ Finance Workgroup with consultants
	Steering Committee selects finance option(s) for Governing vote based on Executive Committee review	6/1/2012	1/30/2013	Steering Committee
	Governing States vote on financial plan	1/30/2013	6/1/2013	Governing States
Identify vendor(s) for Curriculum and Formative Materials	Contract for consultant to write RFP for curriculum and formative material development	10/1/2010	11/1/2010	Executive Committee
	Release RFP	11/1/2010	12/1/2010	Washington (Lead Procurement State)
	Select vendor(s)	12/1/2010	4/1/2011	Executive Committee
Summarize definitions of ELs, State policies, practices, and research on accommodations to inform educators, researchers, and other stakeholders across the States in the SMARTER Balanced Assessment Consortium	Create a report summarizing definitions, criteria and guidelines for identifying and including ELs in content assessments. The report will provide a comprehensive list of accommodations, the frequency of use of each accommodation, and analyses of potential responsiveness of these accommodations for ELs. The report also will identify differences in policies, practices,	10/1/2010	6/30/2011	Assessment Design Working Group

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
	accommodations, and rationales for the use of specific accommodations across the Consortium States			
Produce a definition, inclusion policies, and a set of accommodations appropriate for EL students that are commonly accepted by educators, researchers, and other stakeholders across the States in the SMARTER Balanced Assessment Consortium	Conduct 3-4 update and discussion Webinars that include Consortium SEA teams representing assessment, Title III, special education, and curriculum; (2) hold a final meeting with a representative from each State to attain consensus on allowable accommodations for the Consortium	7/1/2011	10/31/2011	Assessment Design Working Group
	Summarize and disseminate the consensus process and agreements reached with Consortium States. Dissemination strategies will include on-line materials, conference presentations, and other appropriate means that might be identified	11/1/2011	12/31/2011	Assessment Design Working Group
Summarize definitions of SWDs and 504 students, State policies, practices, and research on accommodations to inform educators, researchers, and other stakeholders across Consortium States	Create a report summarizing the definition, criteria, and guidelines for identifying and including SWD and 504 students in regular content assessments. The report will provide a comprehensive list of accommodations, the frequency of use of each accommodation and analyses of potential responsiveness of each of the accommodations for SWD and 504 students. The report also will identify	10/1/2010	6/30/2011	Assessment Design Working Group

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
	differences in policies, practices, accommodations, and rationales for the use of specific accommodation across the Consortium States			
Produce a definition, inclusion policies, practices, and a set of accommodations appropriate for SWD and 504 students that are commonly accepted by educators, researchers, and other stakeholders across the Consortium States	Conduct 3-4 update and discussion Webinars including Consortium SEA teams representing assessment, Title III, special education and curriculum; (2) hold a meeting with a representative from each State to attain consensus on allowable accommodations for the Consortium	7/1/2011	10/31/2011	Assessment Design Working Group
	Summarize and disseminate the consensus process and agreements reached with Consortium States. Dissemination strategies will include online materials, conference presentations, and other appropriate means that might be identified	11/1/2011	12/31/2011	Assessment Design Working Group
Identify the characteristics of the accommodation needs of EL, SWD, and 504 students in a technology-based assessment environment that is commonly accepted by educators, researchers, and other stakeholders across the States in the SMARTER	Conduct an in-depth study of States currently using a high level of computer-delivered tests and the types of accommodations available to students (highlighting, increased typeface, avatar voices, etc.). Create a report summarizing the findings of the in-depth study of the current use of technology in assessment by States, including the specific	11/1/2010	3/1/2011	Assessment Design Working Group

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
Balanced Consortium	types of technology used			
	Conduct an in-depth study examining the technology available from vendors. Summarize the accommodations possible through assessment technologies currently available	2/1/2011	6/30/2011	Assessment Design Working Group
	Determine the barriers to the use of technology for access to assessments and suggest potential solutions. Create a report explicating the barriers to the use of technology for assessment and the recommended solutions	6/1/2011	9/31/2011	Assessment Design Working Group
	Conduct a case study of the Oregon assessment system and the use of technology within the system for EL, SWD, and 504 students. Synthesize and report findings describing the use of technology in the Oregon assessment system so that it might be used to inform the SMARTER Balanced Assessment Consortium decisions	9/1/2011	3/1/2012	Assessment Design Working Group
To monitor fidelity in application of inclusion and accommodations guidelines and/or policies by States, an inclusion and accommodations manual	Create and disseminate an accommodations manual. The EL section will address definition, inclusion and accommodation of EL in content area assessments and will	12/1/2011	9/30/2012	Assessment Design Working Group

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
will be provided that can be used to ensure consistent and streamlined inclusion and accommodation policies across the Consortium of States	include a common definition of an EL, recommended inclusion and accommodation guidelines, and valid and effective accommodations for EL. The SWD/504 section of the manual will address definition, inclusion and accommodation of SWD and 504 students in regular content area assessments and will include recommended inclusion and accommodation guidelines, and valid and effective accommodations for SWD and 504 students			
Systematically review accommodations for the SMARTER Balanced Assessment Consortium	Recommend a detailed process (in writing) to be used by the SMARTER Balanced Assessment Consortium in annual review of inclusion and accommodations guidelines and/or policies	7/1/2011	10/1/2011	Assessment Design Working Group
	Create an online standard template for use in evaluating accommodation use for peer review	10/1/2011	12/31/2011	Assessment Design Working Group
	Establish a research agenda the Consortium can use to study, monitor, evaluate, and improve the validity of accommodations	10/1/2011	9/30/2012	Assessment Design Working Group
Technical Advisory Meetings	Quarterly Meetings	TBD	TBD	Executive Committee

Major Milestones	Associated Tasks	Start Date	End Date	Responsible Entity
SBAC Planning and Management Meetings	Two meetings per year	TBD	TBD	Executive Committee

(A)(8)(c) The Consortium intends to create a comprehensive and balanced assessment system that includes summative, interim/benchmark, and formative assessments. Online computer adaptive summative assessments in ELA and mathematics administered in grades 3–8 and at least once in high school will be created. The design of the summative assessment is described in Section (A)(3). In addition, the Consortium will provide online adaptive interim/benchmark assessments for grades 3–8 and high school that will provide for more in-depth assessment of what students know and can do in ELA and mathematics based on smaller clusters of content aligned to the Common Core State Standards and to describe incrementally the degree to which students are on track to be college- and career-ready. The design of the interim/benchmark assessment is also described in full in Section (A)(3). Finally, as part of the Level 1 budget request, the Consortium will provide formative assessment tools and resources and professional development support for teachers in elementary, middle, and high school as part of the integrated system of teaching and learning described in the Theory of Action (Section (A)(2) and in the assessment design (Section (A)(3)).

The Consortium's main deliverables include a comprehensively designed assessment system, a consolidated reporting system, online test administration with a secure item and performance event bank, and an extensive system of professional development tools and resources.

The table below indicates the Level 1 budget estimates by working group.

	Project Management & Governance	Assessment Design	System Design	Research & Evaluation	Professional Capacity & Outreach	Technology	Higher Ed Engagement	Total
Total Funds Requested	$10,435,922	$97,950,884	$428,693	$5,008,550	$7,550,650	$27,074,143	$1,538,977	$149,987,819

As depicted in the table above, almost 85% of the requested funds go to support two key elements of the SBAC assessment system—the development of the summative and interim/benchmark assessments ($98 million) (described in Section (A)(3) and in the detailed budget narrative section of the document in Appendix A8-6) and the technology required to deliver the computerized adaptive assessments and other systems integral to the effective implementation of the Consortium's vision ($27 million). The development of the assessment

and technology systems will be facilitated by vendors working closely with States and the Consortium in a collaborative process under contractual arrangements with the Consortium.

The Consortium plans on developing two key technology systems as part of its assessment system—a computerized assessment delivery platform to deliver the actual computer adapted assessments ($15 million) and a centralized data repository, reporting, and professional development delivery system ($7.5 million) where all student responses and professional development materials will be housed and all test results and other information will be generated and reported. Additionally, the Consortium plans on enhancing and using a Michigan-developed web-based item authoring and item banking system where teachers and other contributors can develop and archive new items for the assessment system ($2 million) and have numerous item characteristics and metadata stored for use in populating item pools for the test delivery system. This process, using an existing State system and enhancing it for use by the Consortium, is a significant cost-savings approach.

Key to a successful implementation of the SBAC vision is the Consortium project management and governance ($10 million) bringing together the technology, assessments, and other key elements into a coherent, unified, and balanced assessment system. The Consortium has created and implemented a comprehensive management structure consisting of an Executive Committee, a Steering Committee, and Governing States, with Washington as Lead Procurement State. Washington is accountable for managing the funds and all procurement on behalf of the Consortium. The Executive Committee will oversee the working groups and the Technical Advisory Committee (TAC) and ensure that State-specific issues are taken into account in the development of the assessment system. The Project Management Partner ($8 million), which will be retained before the project begins, will play a key role in the effort to ensure that Consortium efforts are coordinated efficiently and effectively to realize the design, development, and implementation consistent with the Consortium's vision, goals, and Theory of Action.

The Consortium has a robust research plan that will be directed by the Executive Committee and managed by the Research and Evaluation Working Group to ensure that the assessment system has integrity and is characterized by responsible flexibility, high technical quality, trustworthy and fair measurement components, and results that are useful for the purposes intended. The Consortium will contract with outside research specialists ($5 million) to assist with the research and evaluation studies outlined in section (A)(5).

Building the professional capacity of teachers and administrators is central to the Consortium's Theory of Action; therefore, SBAC has a comprehensive plan to involve teachers and administrators at all phases of development and implementation of the balanced assessment system and to provide the types of tools and supports research has shown to be essential to change behaviors of teachers and improve the learning of students in the classroom. The Consortium also knows that reform will not be successful without strong support outside of schools, so it is committed to implementing a comprehensive program for communicating with a broad set of stakeholders. Professional capacity building and outreach efforts will extend from Consortium member States to districts, schools, and classrooms to promote explicit and meaningful connections between the CCSS, college- and career-readiness, instruction, assessment, and effective data use. The Consortium has budgeted $5.125 million to contract with an organization that will develop instructional and curriculum resources for educators and $1.5 million to work with an outside communications firm to help develop the strategy and plan for informing key stakeholders and legislatures about the assessment system and for building support for the system from the public and those stakeholders.

The Consortium recognizes the importance of working collaboratively with higher education in order to achieve the goal of better preparing students for college- and career-readiness. Achieving this goal will benefit higher education over time because students will enter IHE systems having met clear college-ready standards that are common across the Consortium States. The Consortium intends to collaborate with higher education in the creation of student achievement standards that will define college-ready. This collaboration will ensure that high school graduates will be able to track their readiness for college and careers throughout high school and will reduce the need for remediation within higher education. The Consortium expects this collaboration will ultimately result in students being on track to college- and career-ready and college- and career-ready. The Consortium will create an advisory group that will include members of the higher education community to achieve its goals of better preparing students to be college- and career-ready. This work is budgeted at $1.5 million.

For further details regarding the SBAC assessment system budget, including an explanation of the model and assumptions used to develop the actual assessment costs, please refer to the detailed budget narrative located in Appendix A8-6.

(A)(8)(d) The projected costs for the ongoing administration, maintenance and enhancements of the SBAC summative and interim/benchmark assessments are $19.81 and $7.50 per pupil, respectively. Of the 31 States in the Consortium that provided data on their current assessment spending for ELA and mathematics (Appendix A8-7), the average cost (in today's dollars) per pupil cost is $31. Of those States, 25 reported per pupil costs above the projected SBAC per pupil costs for the summative assessment and six reported costs below. Five States reported assessment costs that included interim/benchmark or formative assessments along with their summative assessment data, but only one (Michigan – $21) reported a per pupil assessment cost close to that of the proposed SBAC summative assessment per student figure. Thus, the system will be very sustainable for the large majority of member States in the Consortium. Even without these six States, SBAC exceeds the requirement of having at least five Governing States and a minimum of 15 member (Advisory) States.

It is expected that all States in the Consortium will eliminate their current ELA and mathematics summative assessments in favor of the new SBAC assessments and allocate all funding for those portions of their current assessment systems to the new system. Additionally, the Consortium will aggressively pursue ways to decrease the costs of its new assessment system by increased use of cost savings technologies and devising procurement strategies to maximize the value received for different, key elements of the assessment system. SBAC will also be seeking assistance from foundations to help fund parts of its assessment system and will work with member States to devise a cost allocation methodology that will allow all States to participate in the Consortium at a cost no greater than that which each State pays for its current summative assessment system. It is expected that all States that have expressed a desire to join SBAC will be able to fund the ongoing operational cost for the summative assessment.

COMPETITION PRIORITIES (PART I.I)

Competitive Preference Priority: Collaboration and Alignment with Higher Education (*up to 20 points*)

The Department gives eligible applicants competitive preference points based on the extent to which they have promoted collaboration and alignment between member States' public elementary and secondary education systems and their public IHEs (as defined in section 101(a) of the Higher Education Act of 1965, as amended (HEA)) or systems of those IHEs. Eligible applicants addressing this priority must provide, for each IHE or IHE system, a letter of intent that—

(a) Commits the IHE or IHE system to participate with the consortium in the design and development of the consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness;

(b) Commits the IHE or IHE system to implement policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system; and

(c) Is signed by the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system.

All letters of intent must provide the total number of direct matriculation students (as defined in the NIA) in the partner IHE or IHE system in the 2008-2009 school year. An eligible applicant must also provide the total number of direct matriculation students (as defined in the NIA) in public IHEs in the consortium's member States.

The Department will award up to 20 competitive preference points based on the strength of commitment demonstrated in the letters of intent and on the percentage of direct matriculation students in public IHEs in the member States who are direct matriculation students in the partner IHEs or IHE systems. To receive full competitive preference points under this priority, eligible applicants must provide letters of intent that demonstrate strong commitment from each partner IHE or IHE system and that represent at least 30 percent of direct matriculation students in public IHEs in member States. No points will be awarded for letters of intent that represent fewer than 10 percent of direct matriculation students in public IHEs in member States.

Tables and/or Attachments:

- ✓ *Summary Table for Competitive Preference Priority*
- ✓ *Attachments: Letters of Intent*

The SMARTER Balanced Assessment Consortium recognizes that any effort to graduate all high school students ready for success in college must be collaborative, involving elementary and secondary education systems and their higher education systems. Thus, while much of the Consortium effort focuses on changes at the elementary and secondary levels, the Consortium also plans to work closely with higher education. Chiefly, SBAC intends to partner with IHEs to establish specific achievement standards for each summative high school assessment—performance standards that, when met, will be accepted by IHEs as signifying a student's readiness to take on credit-bearing college-level work without first going through remediation. The establishment of such achievement standards will ensure that, throughout high school, students will be able to track their progress toward college readiness based on the results of their summative assessments.

To date, the Consortium has taken the following steps to promote collaboration with States' public IHEs or IHE systems:

1. The Consortium understands the value of higher education representation on the Consortium leadership group and, thus, will include one representative from the higher education community to serve on the Executive Committee, as described in the Consortium Processes for Determining Committee/Working Group Members and Electing Leaders (see Appendix A1-3).
2. In addition, the Consortium has organized two different working groups that will focus on higher education issues. An Institutions of Higher Education policy advisory group will focus mainly on defining Consortium policies around the high school assessment and other issues related to preparing students for college. The Collaboration with Higher Education Working Group has focused around engaging higher education associations in the work of the Consortium. These two groups are shown in the Organizational Structure (see Appendix A1-1). Consortium leadership will ensure that the involvement of IHE representatives across the Executive Committee, the policy advisory group, and the working group is coordinated efficiently and effectively to address the design and development of the high school assessment, the determination of college-readiness, the

setting of achievement standards, and the creation of professional development supports, consistent with the Consortium's vision, goals, and Theory of Action.

3. The Consortium has convened meetings with higher education stakeholders to orient them to the Consortium, this grant application, and the IHEs' role in shaping the high school assessment and in determining college-readiness.
    - The Consortium has secured the support of the State Higher Education Executive Officers (SHEEO). Paul Lingenfelter, President of SHEEO, has encouraged SHEEO members to work with the Consortium.
    - The Consortium has also secured the support of the National Association of System Heads and the American Council on Education, and both have also encouraged their State members to send a letter of support.
4. The Consortium has received Letters of Intent from 162 public IHE/IHE systems across 30 States in the Consortium (described in further detail below).[28]

Letters of Intent

As demonstrated by the signed Letters of Intent (see Appendix CPP-1), each IHE or IHE system has (1) agreed to commit the IHE or IHE system to participate with the Consortium in the design and development of the Consortium's final high school summative assessments in English language arts and mathematics in order to ensure that the assessments measure college-readiness; (2) agreed to commit the IHE or IHE system to implement policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard for each assessment and any other placement requirement established by the IHE or IHE system; and (3) provided the total number of its direct matriculation students for the 2008–09 school year. All Letters of Intent have been signed by the State's higher education executive officer (if the State has one) and/or the president or head of each participating IHE or IHE system.

As noted above, each IHE or IHE system that signed the Letter of Intent was asked to provide data for the number of its direct matriculation students for 2008–09. The data source for these numbers is the State or the actual IHE or IHE system. In some cases, the data source is the National Center for Educational Statistics Integrated Postsecondary Education Data System

[28] The Consortium has also secured letters of commitment from 13 private IHEs across four States.

(IPEDS). These numbers are reported in the Summary Table for the Competitive Preference Priority. Although some States also provided the total number of direct matriculation students in their State, those numbers were only used for the Summary Table if the State total was greater than the State total from IPEDS. Because IPEDS data are based on first-time, degree-seeking students in fall 2008, this number is most likely larger than the direct matriculation number, as it includes all first-time students, not just those that matriculated within two years of graduating high school. Thus, the data source for the total direct matriculation students in the State is either the total provided by the State or IPEDS, whichever is larger. By reporting the larger number, our estimate is very likely a conservative estimate, and the actual percentage is slightly higher. IPEDS data were selected as the source because IPEDS provides numbers formally reported for each IHE in the United States.

As shown in the Summary Table for the Competitive Preference Priority, the total number of direct matriculation students in public IHEs in 2008–09 across the Consortium's member States is 995,538. Of this total number, the Consortium has secured commitments from IHEs with 739,377 direct matriculation students in 2008–09.[29] The total number of direct matriculation students in the Consortium's participating IHEs represents 74% of the total number of direct matriculation students across all States in the Consortium.

[29] Some States also secured support from private IHEs. These Letters of Intent are included in Appendix CPP-1; however, no matriculation numbers are reported for these private institutions in the Summary Table.

Summary Table for Competitive Preference Priority

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
Washington[30]	Washington Higher Education Coordinating Board	Y	Y	Y	15,734	33,177	47%
Missouri[31]	Mineral Area Community College	Y	Y	Y	523	39,325	46%
	Jefferson College	Y	Y	Y	908		
	University of Central Missouri	Y	Y	Y	1,183		
	State Fair Community College	Y	Y	Y	515		
	Linn State Technical College	Y	Y	Y	364		
	Ozarks Technical Community College	Y	Y	Y	515		
	Missouri State University	Y	Y	Y	1,918		
	St. Louis Community College System	Y	Y	Y	2,722		
	University of Missouri – Columbia & Kansas City	Y	Y	Y	2,399		
	University of Missouri – St. Louis	Y	Y	Y	1,242		
	Missouri Western State University	Y	Y	Y	525		
	Missouri Southern State University	Y	Y	Y	822		

[30] The data source for the number of direct matriculation students in the IHE system and the total direct matriculation students in the State is the NCES IPEDS.
[31] The data source for the number of direct matriculation students in the IHEs is the Missouri Department of Higher Education. The data source for the total direct matriculation students in the State is the NCES IPEDS.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Southeast Missouri State University	Y	Y	Y	298		
	Metropolitan Community College	Y	Y	Y	4,020		
Missouri (private)	Central Methodist University	Y	Y	Y	N/A	N/A	N/A
	Westminster College	Y	Y	Y			
	Avila University	Y	Y	Y			
Connecticut[32]	Connecticut Community Colleges	Y	Y	Y	7,780	19,851	92%
	Connecticut State University System	Y	Y	Y	6,162		
	University of Connecticut	Y	Y	Y	4,362		
Nevada[33]	Nevada System of Higher Education	Y	Y	Y	10,814	16,097	67%
Utah[34]	Utah System of Higher Education	Y	Y	Y	19,252	24,231	97%
	Utah College of Applied Technology (UCAT) System	Y	Y	Y	4,278		
Idaho[35]	Boise State University	Y	Y	Y	2,576	8,902	100%
	College of Southern Idaho	Y	Y	Y	1,295		
	Eastern Idaho Technical College	Y	Y	Y	76		
	Idaho State University	Y	Y	Y	1,551		
	Lewis-Clark State College	Y	Y	Y	648		

[32] The State provided the number of direct matriculation students in the IHE/IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[33] The State provided the number of direct matriculation students in the IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[34] The State provided the number of direct matriculation students in the IHE systems and the total direct matriculation students in the State.
[35] The data source for the number of direct matriculation students in the IHEs and the total direct matriculation students in the State is the NCES IPEDS.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	North Idaho College	Y	Y	Y	1,047		
	University of Idaho	Y	Y	Y	1,709		
	College of Western Idaho	Y	Y	Y	Opened in 2009		
Maine[36]	Maine Maritime Academy	Y	Y	Y	234	6,593	84%
	University of Maine System	Y	Y	Y	2,082		
	Maine Community College System	Y	Y	Y	3,240		
Wisconsin[37]	University of Wisconsin System	Y	Y	Y	30,329	46,647	99%
	Wisconsin Technical College System	Y	Y	Y	16,243		
Wisconsin (private)	Wisconsin Association of Independent Colleges and Universities	Y	N	Y	N/A	N/A	N/A
North Carolina[38]	University of North Carolina – General Administration	Y	Y	Y	27,347	70,533	85%
	North Carolina Community College System	Y	Y	Y	32,423		
Oregon[39]	Oregon University System	Y	Y	Y	12,403	31,158	100%
	Oregon Department of Community Colleges and Workforce Development	Y	Y	Y	18,755		

[36] The data source for the number of direct matriculation students in the IHE/IHE system and the total direct matriculation students in the State is the NCES IPEDS.
[37] The data source for the number of direct matriculation students in the IHE systems and the total direct matriculation students in the State is the NCES IPEDS.
[38] The State provided the number of direct matriculation students in the IHE systems. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[39] The State provided the number of direct matriculation students in the IHE and the total direct matriculation students in the State.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
New Mexico[40]	New Mexico Junior College	Y	Y	Y	395	18,115	2%
Hawaii[41]	University of Hawaii System	Y	Y	Y	4,590	7,963	58%
Vermont[42]	–	–	–	–	–	4,470	0%
Kansas[43]	Kansas Board of Regents	Y	Y	Y	25,802	25,802	100%
Michigan[44]	Alpena Community College	Y	Y	Y	1,386	78,985	64%
	Central Michigan University	Y	Y	Y	3,899		
	Eastern Michigan University	Y	Y	Y	2,185		
	Ferris State University	Y	Y	Y	2,690		
	Gogebic Community College	Y	Y	Y	310		
	Kalamazoo Valley Community College	Y	Y	Y	4,218		
	Lansing Community College	Y	Y	Y	3,688		
	Macomb Community College	Y	Y	Y	1,479		
	Michigan State University	Y	Y	Y	7,337		
	Michigan Technological University	Y	Y	Y	1,378		
	Montcalm Community College	Y	Y	Y	646		
	North Central Michigan College	Y	Y	Y	289		

[40] The data source for the number of direct matriculation students in the IHE and the total direct matriculation students in the State is the NCES IPEDS.
[41] The IHE system provided the number of direct matriculation students. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[42] The data source for the total direct matriculation students in the State is the NCES IPEDS.
[43] The data source for the number of direct matriculation students in the IHE system and the total direct matriculation students in the State is the NCES IPEDS.
[44] The State provided the number of direct matriculation students in the IHE. The data source for the total direct matriculation students in the State is the NCES IPEDS.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Northern Michigan University	Y	Y	Y	2,030		
	Oakland University	Y	Y	Y	2,386		
	Schoolcraft College	Y	Y	Y	1,826		
	Saginaw Valley State University	Y	Y	Y	1,662		
	St. Clair County Community College	Y	Y	Y	992		
	University of Michigan	Y	Y	Y	5,768		
	Wayne State University	Y	Y	Y	2,919		
	Western Michigan University	Y	Y	Y	3,760		
Montana[45]	Montana State University System	Y	Y	Y	2,067	7,647	57%
	Montana University System[46]	Y	Y	Y	2,319		
West Virginia[47]	West Virginia Higher Education Policy Commission	Y	Y	Y	8,993	15,878	57%
Ohio[48]	University System of Ohio	Y	Y	Y	60,521	77,709	78%
Iowa[49]	Western Iowa Tech Community College	Y	Y	Y	415	26,979	57%
	Northwest Iowa Community College	Y	Y	Y	225		

[45] The State provided the number of direct matriculation students in the IHE systems. The data source for the total direct matriculation students in the State is the NCES IPEDS.

[46] Signatures for both Montana State University System and The University of Montana System are on the same signature block.

[47] The State provided the number of direct matriculation students in the IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.

[48] The State provided the number of direct matriculation students in the IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.

[49] The data source for the number of direct matriculation students in the IHE and the total direct matriculation students in the State is the NCES IPEDS.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Iowa Valley Community College District	Y	Y	Y	797		
	Kirkwood Community College	Y	Y	Y	3,420		
	Hawkeye Community College	Y	Y	Y	1,259		
	North Iowa Area Community College	Y	Y	Y	839		
	Eastern Iowa Community College District	Y	Y	Y	1,469		
	Iowa Lakes Community College	Y	Y	Y	736		
	Des Moines Area Community College	Y	Y	Y	3,199		
	Northeast Iowa Community College	Y	Y	Y	597		
	Southeastern Community College	Y	Y	Y	386		
	Southwestern Community College	Y	Y	Y	236		
	Indian Hills Community College	Y	Y	Y	1,012		
	Iowa Western Community College	Y	Y	Y	836		
South Carolina[50]	College of Charleston	Y	Y	Y	4,126	57,741	86%
	Winthrop University	Y	Y	Y	2,026		
	Lander University	Y	Y	Y	1,011		
	Francis Marion University	Y	Y	Y	1,362		

[50] The State provided the number of direct matriculation students in the IHE and the total direct matriculation students in the State.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Clemson University	Y	Y	Y	5,880		
	University of South Carolina System[51]	Y	Y	Y	11,821		
	Spartanburg Community College	Y	Y	Y	1,784		
	Florence-Darlington Technical College	Y	Y	Y	1,515		
	Orangeburg-Calhoun Technical College	Y	Y	Y	855		
	Technical College of the Lowcountry	Y	Y	Y	420		
	York Technical College	Y	Y	Y	1,469		
	Northeastern Technical College	Y	Y	Y	324		
	Williamsburg Technical College	Y	Y	Y	153		
	Aiken Technical College	Y	Y	Y	910		
	Trident Technical College	Y	Y	Y	3,593		
	Denmark Technical College	Y	Y	Y	429		
	Piedmont Technical College	Y	Y	Y	1,357		
	Midlands Technical College	Y	Y	Y	3,578		
	Horry-Georgetown Technical College	Y	Y	Y	1,724		
	Greenville Technical College	Y	Y	Y	4,420		
	Central Carolina Technical College	Y	Y	Y	816		
South Dakota[52]	South Dakota Regental System	Y	Y	Y	5,125	7,081	72%

[51] Individual letters from IHEs that are part of this System (Upstate, Beaufort, and Aiken) also submitted Letters of Intent.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
Colorado[53]	Colorado Higher Education System	Y	Y	Y	39,862	39,862	100%
North Dakota[54]	Bismarck State College	Y	Y	Y	308	7,708	75%
	Dickinson State University	Y	Y	Y	203		
	Lake Region State College	Y	Y	Y	62		
	Mayville State University	Y	Y	Y	86		
	Minot State University	Y	Y	Y	319		
	Dakota College at Bottineau	Y	Y	Y	59		
	North Dakota State College of Science	Y	Y	Y	141		
	North Dakota State University	Y	Y	Y	2,525		
	University of North Dakota	Y	Y	Y	1,858		
	Valley City State University	Y	Y	Y	123		
	Williston State College	Y	Y	Y	119		
Delaware[55]	Delaware Technical & Community College (all campuses)	Y	Y	Y	3,297	7,889	100%
	University of Delaware	Y	Y	Y	3,862		
	Delaware State University	Y	Y	Y	730		
Alabama[56]	Alabama Southern Community College	Y	Y	Y	362	41,372	76%

[52] The State provided the number of direct matriculation students in the IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[53] The data source for the number of direct matriculation students in the IHE system and the total direct matriculation students in the State is the NCES IPEDS.
[54] The State provided the number of direct matriculation students in the IHEs. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[55] The data source for the number of direct matriculation students in the IHEs and total direct matriculation students in the State is the NCES IPEDS.
[56] The data source for the number of direct matriculation students in the IHEs is the Alabama Statewide Student Database. Note: Totals provided do not include 22 students with unknown date of birth. The data source for the total direct matriculation students in the State is the NCES IPEDS.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Bevill State Community College	Y	Y	Y	682		
	Bishop State Community College	Y	Y	Y	392		
	Calhoun Community College	Y	Y	Y	1,232		
	Central Alabama Community College	Y	Y	Y	396		
	Chattahoochee Valley Community College	Y	Y	Y	247		
	J. F. Drake State Technical College	Y	Y	Y	87		
	Enterprise State Community College	Y	Y	Y	389		
	Gadsden State Community College	Y	Y	Y	1,081		
	Jefferson Davis Community College	Y	Y	Y	187		
	Jefferson State Community College	Y	Y	Y	1,138		
	Lawson State Community College	Y	Y	Y	607		
	Lurleen B. Wallace Community College	Y	Y	Y	252		
	Marion Military Institute	Y	Y	Y	261		
	Northeast Alabama Community College	Y	Y	Y	495		
	Northwest-Shoals Community College	Y	Y	Y	633		
	Reid State Technical College	Y	Y	Y	79		

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Shelton State Community College	Y	Y	Y	1,060		
	Snead State Community College	Y	Y	Y	492		
	H. Councill Trenholm State Technical College	Y	Y	Y	172		
	Wallace Community College – Dothan	Y	Y	Y	667		
	Wallace State Community College – Hanceville	Y	Y	Y	960		
	Wallace Community College – Selma	Y	Y	Y	332		
	Alabama A & M University	Y	Y	Y	1,018		
	Alabama State University	Y	Y	Y	1,262		
	Auburn University	Y	Y	Y	3,965		
	Auburn University – Montgomery	Y	Y	Y	577		
	Jacksonville State University	Y	Y	Y	1,159		
	Troy University	Y	Y	Y	1,482		
	University of Alabama	Y	Y	Y	5,069		
	University of Alabama – Birmingham	Y	Y	Y	1,266		
	University of Alabama – Huntsville	Y	Y	Y	767		
	University of North Alabama	Y	Y	Y	1,008		
	University of South Alabama	Y	Y	Y	1,470		
	University of West Alabama	Y	Y	Y	278		
Alabama (private)	Stillman College	Y	Y	Y	N/A	N/A	N/A
	Talladega College	Y	Y	Y			
	Concordia College – Selma	Y	Y	Y			

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
	Stamford University	Y	Y	Y			
Kentucky[57]	Kentucky Council on Postsecondary Education	Y	Y	Y	22,744	30,341	75%
New Hampshire[58]	University System of New Hampshire	Y	Y	Y	5,255	7,897	100%
	Community College System of New Hampshire	Y	Y	Y	2,642		
Pennsylvania[59]	Pennsylvania State System of Higher Education	Y	Y	Y	21,625	79,284	79%
	Pennsylvania Commission for Community Colleges	Y	Y	Y	40,755		
Oklahoma[60]	Oklahoma State System of Higher Education	Y	Y	Y	24,249	30,390	80%
New Jersey[61]	Ocean County College	Y	Y	Y	3,915	55,933	16%
	Montclair State University	Y	Y	Y	2,293		
	Camden County College	Y	Y	Y	2,594		
New Jersey (private)	Rider University	Y	Y	Y	N/A	N/A	N/A
	Monmouth University	Y	Y	Y			
	Georgian Court University	Y	Y	Y			
	Bloomfield College	Y	Y	Y			
	Caldwell College	Y	Y	Y			

[57] The State provided the number of direct matriculation students in the IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[58] The data source for the number of direct matriculation students in the IHE systems and the total direct matriculation students in the State is the NCES IPEDS.
[59] The State provided the number of direct matriculation students in the IHE systems. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[60] The State provided the number of direct matriculation students in the IHE system. The data source for the total direct matriculation students in the State is the NCES IPEDS.
[61] The State provided the number of direct matriculation students in the IHEs. The data source for the total direct matriculation students in the State is the NCES IPEDS.

State (List all in Consortium)	Name of Participating IHE or IHE System	IHE Committed to Participating w/Consortium? (Y/N)	IHE Committed to Exempting Students from Remediation? (Y/N)	LOI Signed by IHE Leader(s)? (Y/N)	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009	Direct Matriculation Students in Participating IHEs as % of State Total
Georgia[62]	University System of Georgia	Y	Y	Y	51,353	69,978	92%
	Technical College System of Georgia	Y	Y	Y	12,921		
TOTAL	N/A	N/A	N/A	N/A	**739,377**	**995,538**	**74%**

[62] The State provided the number of direct matriculation students in the IHE systems. The data source for the total direct matriculation students in the State is the NCES IPEDS.

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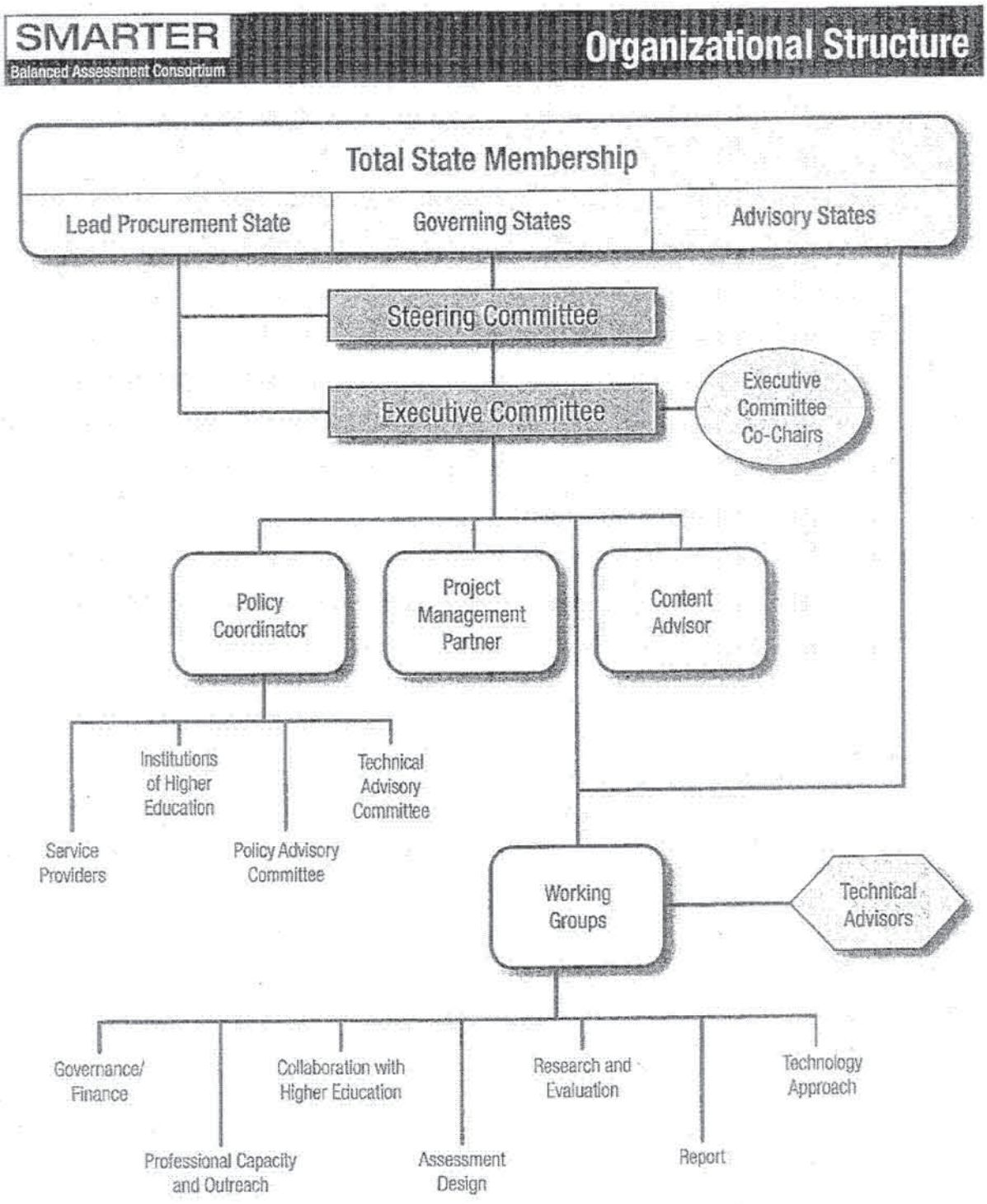
Appendix A1-1: SBAC Organizational Structure



Appendix A1-2: Responsibilities of the Consortium's Committees and Leadership

The **Executive Committee** is responsible for the following:

- Oversee development of the assessment system,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee and/or Advisory and/or Governing States for decisions/votes,
- Oversee the decisions about expenditure of funds, in collaboration with the Lead Procurement State,
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State, and
- Prepare additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision.

The **Executive Committee Co-chairs** are responsible for the following:

- Set the Steering Committee agendas,
- Set the Executive Committee agendas,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with the Content Advisor,
- Coordinate with the Policy Coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with the Executive Committee to provide oversight to the Consortium.

The **Steering Committee** is responsible for the following:

- Determine the broad picture of the assessment system,
- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing/Advisory States,
- Oversee the decisions about expenditure of funds, in conjunction with the Lead Procurement State,
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State, and
- Prepare additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee.

Appendix A1-3: Consortium Processes for Determining Committee/Working Group Members and Electing Leaders

Determining Membership and Leaders

The Steering Committee is composed of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

The Executive Committee is composed of the Co-chairs of the Executive Committee, a representative from the Lead Procurement State, a representative from higher education, and one representative each from four Governing States.

- The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years, and the two representatives with the second highest number of votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Leadership:

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different States. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering Committee will vote on two individuals and the one individual with the most votes will serve a three-year term, and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Working Groups

The working groups are composed of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors, and other specialists as needed from States. Individuals interested in participating on a working group should submit their request in writing to the Project Management Partner, indicating their preferred subgroup. The primary communication for the working groups will be through virtual meetings and individual assignments. Working group Co-chairs will regularly communicate with the Executive Committee Co-chairs to coordinate design decisions with other working groups. Working groups will make decisions as directed by the working group Co-chairs who are selected by the Co-chairs of the Steering/Executive Committee. Decisions that will influence the work of other working groups will need to be communicated to and approved by the Executive Committee.

Appendix A1-4: SMARTER Balanced Assessment Consortium Memoranda of Understanding (PART I.F.)

MOUs for all SBAC States follow this page, in the order presented below.

SBAC States (Governing States are identified with an asterisk.)	
1. Washington *	2. Missouri *
3. Connecticut *	4. Nevada *
5. Utah *	6. Idaho *
7. Maine *	8. Wisconsin *
9. North Carolina *	10. Oregon *
11. New Mexico *	12. Hawaii *
13. Vermont	14. Kansas *
15. Michigan *	16. Montana *
17. West Virginia *	18. Ohio
19. Iowa	20. South Carolina
21. South Dakota	22. Colorado
23. North Dakota	24. Delaware
25. Alabama	26. Kentucky
27. New Hampshire	28. Pennsylvania
29. Oklahoma	30. New Jersey
31. Georgia	

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of June 9, 2010, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Washington**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

XX A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.
6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.
7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.
8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

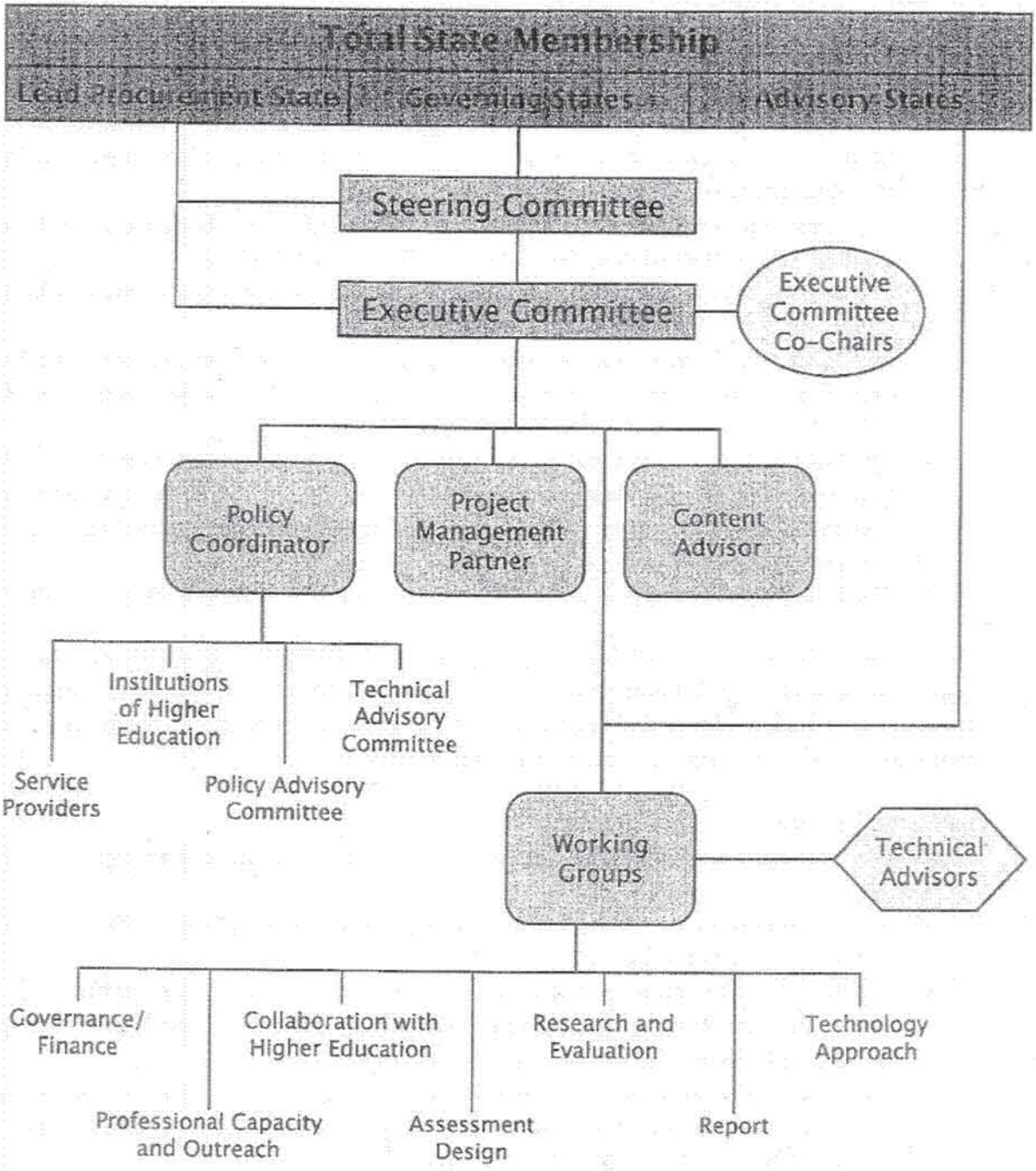
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
Number of HS testing opportunities established in WA law	SBAC may conflict w state law	RCW Chapter 28A.655	Legislature	As SBAC policy is set	No later than 2014 Leg. Session	
Approval of new HS exams to meet current Reading, Writing, Math exams required for graduation	SBAC may conflict w state law	RCW Chapter 28A.655	Legislature	As SBAC policy is set	No later than 2014 Leg. Session	

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: **WASHINGTON**	
Governor or Authorized Representative of the Governor (Printed Name): **Christine O. Gregoire**	Telephone: (360) 902-4123
Signature of Governor or Authorized Representative of the Governor: Christine Gregoire	Date: 6/9/10
Chief State School Officer (Printed Name): **Randy I. Dorn**	Telephone: (360) 725-6004
Signature of the Chief State School Officer: Randy I. Dorn	Date: May 21, 2010
President of the State Board of Education, if applicable (Printed Name): **Jeff Vincent, Chair**	Telephone: (360) 725-6025
Signature of the President of the State Board of Education, if applicable: Jeffrey S. Vincent	Date: May 26, 2010

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from <u>all States</u> in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: **WASHINGTON**	
State's chief procurement official (or designee), (Printed Name): **Marty Brown**	Telephone: (360) 902-0530
Signature of State's chief procurement official (or designee),: Marty Brown	Date: 5/28/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of May 25, 2010, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of** Missouri, which has elected to participate in the Consortium as (check one)

____ An **Advisory** State (description in section e),

OR

X A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

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(a) Describe the Consortium vision and principles,
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(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

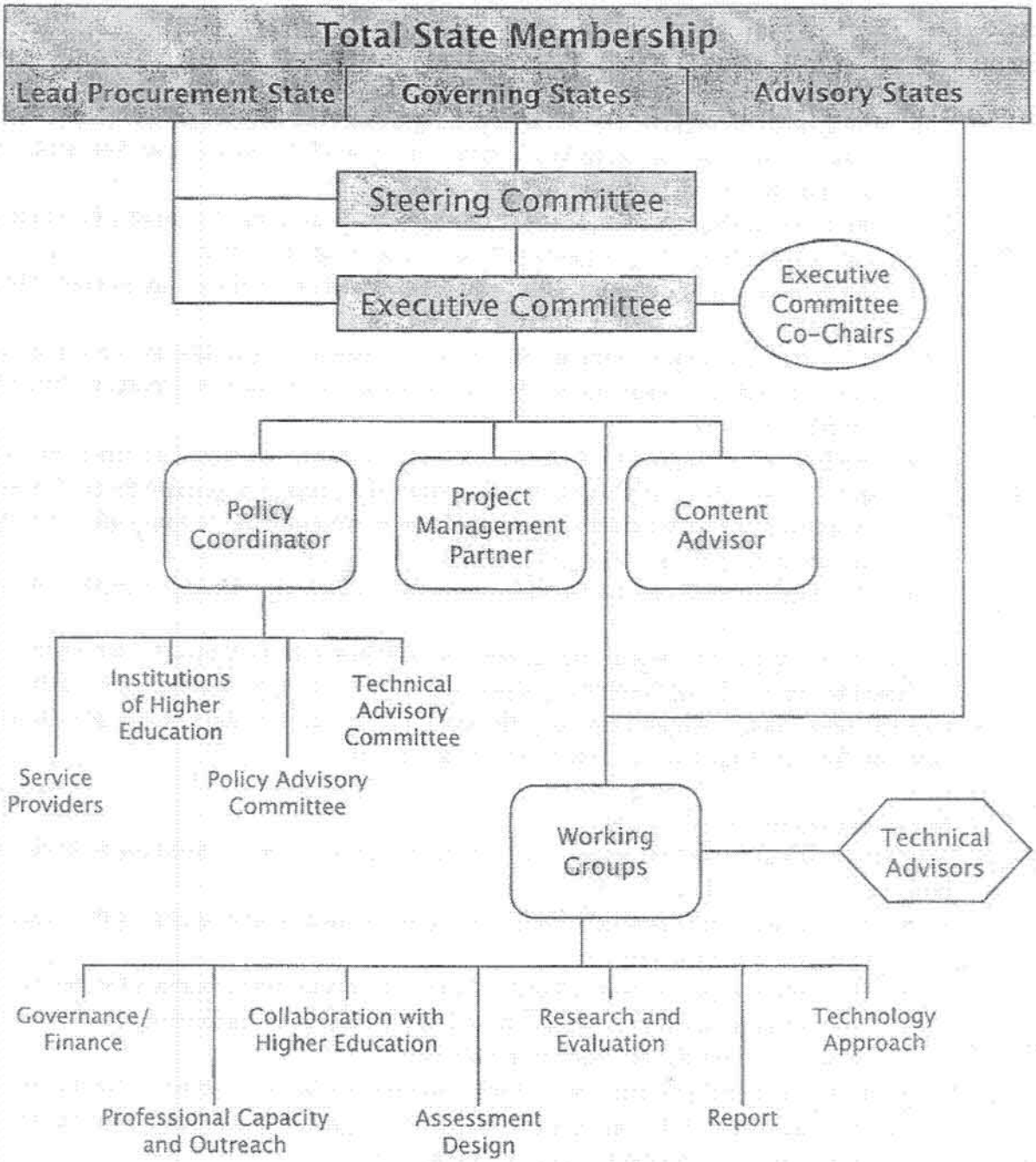
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

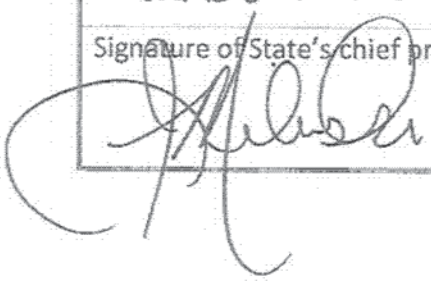
I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: Missouri	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone: 573-751.3222
Signature of Governor or Authorized Representative of the Governor: Jeremiah W. Nixon	Date: 5-25-10
Chief State School Officer (Printed Name):	Telephone: 573.751.4446
Signature of the Chief State School Officer: Chris L. Nicastro 5-20-10	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone: 573.751.3563
Signature of the President of the State Board of Education, if applicable: David G. Liechti	Date: 5-20-2010

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances.

(Required from all States in the Consortium.)

I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.

State Name:	
Missouri	
State's chief procurement official (or designee), (Printed Name):	Telephone:
James Miluski	573-751-8900
Signature of State's chief procurement official (or designee),:	Date:
	5-26-10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 10, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Connecticut** which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

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8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

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7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

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11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

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(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

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(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
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An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
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Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

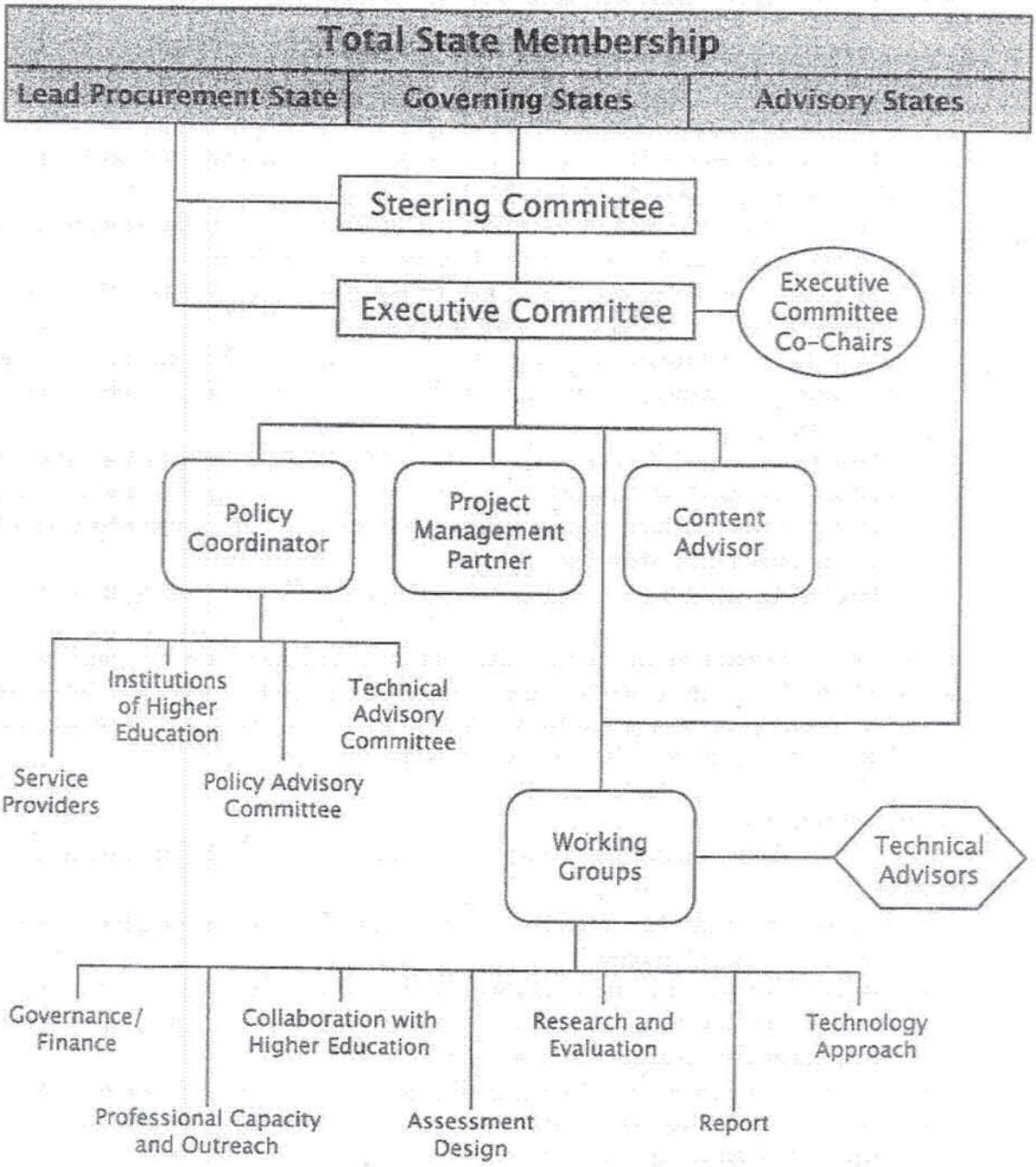
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
State Budget to Support 2014-15 Administration of New Assessments	Risk: Projected State budget deficits over the next several years	Statute: Biennial budget adopted by Connecticut General Assembly (CGA)	Authority to Remove: CGA	Date of Action: Yearly budget discussions with CGA	Target Date: Yearly budget discussions with CGA	
Alignment of Testing Components to Connecticut Needs	Risk: Connecticut Standards May Span Beyond the Consortium	Statute: Connecticut General Statutes Section 10-14n	Authority to Remove: CGA	Date of Action: Yearly review	Target Date: Yearly discussions with Connecticut State Board of Education and CGA	

Ability of and Burden on LEA to Participate if State Funding Declines	Risk: Capacity of district technology and burden on LEA for administering online assessments and related duties	Statute: None (unfunded mandate)	Authority to Remove: LEA commitment	Date of Action: Ongoing yearly	Target Date: Yearly discussions for participation	
Alignment of State Educational Reforms at Elementary and Secondary Level	Risk: Overall Elementary and Secondary Reforms	Statute: Public Act 10-111, An Act Concerning Educational Reform in Connecticut	Authority to Remove: CGA	Date of Action: Yearly review	Target Date: Yearly discussions	
Scoring of Open-Ended Items by Teachers	Risk: Subject of Collective Bargaining (negotiations over impact)	Statute: Section 10-153d et seq	Authority to Remove: Product of collective bargaining	Date of Action: When requested by one of the parties of collective bargaining	Target Date: As necessary	

State Supreme Court Decision in Conn. Coalition for Justice in Funding v. Governor Rell (March 30, 2010) Addressing *Adequacy* of Education in Connecticut.	Risk: Supreme Court held that the Connecticut Constitution guarantees students educational standards and resources suitable for advancement in society, *employment and higher education. Case* remanded to the Superior Court to better define equal opportunity to adequate education. The action by the Superior Court may require the State to provide more economic resources to meet adequacy which has now read into State Constitution as a right.	Statute: Article 8th of the State Constitution	Authority to Remove: State Constitutional Convention	Date of Action: Unclear	Target Date: Unclear	

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(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: Connecticut	
Governor or Authorized Representative of the Governor (Printed Name): M. Jodi Rell	Telephone: 860-566-4840
Signature of Governor or Authorized Representative of the Governor: M. Jodi Rell	Date: 6/2/10
Chief State School Officer (Printed Name): Mark K. McQuillan	Telephone: 860-713-6500
Signature of the Chief State School Officer: M. McQuillan	Date: 6/1/10
President of the State Board of Education, if applicable (Printed Name): Allan B. Taylor	Telephone: 860-275-0225
Signature of the President of the State Board of Education, if applicable: Allan B. Taylor	Date: 6/2/10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Connecticut	
State's chief procurement official (or designee), (Printed Name): Carol Wilson	Telephone: 860-713-5093
Signature of State's chief procurement official (or designee),: Carol S. Wilson, Director of Procurement DAS	Date: 6/7/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of MAY, **2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of** NEVADA, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

X A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

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- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
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- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
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- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

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- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

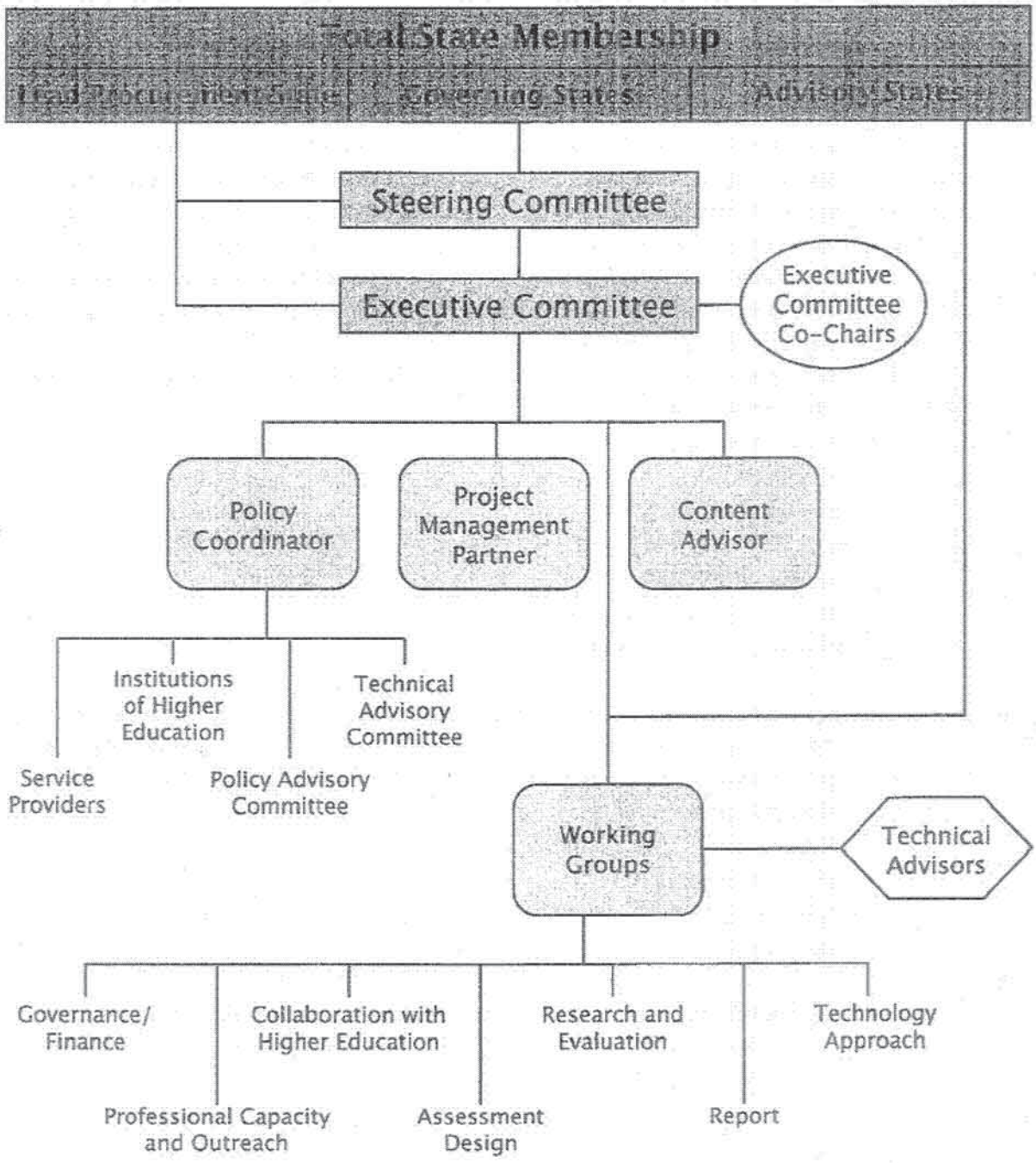
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: NEVADA	
Governor or Authorized Representative of the Governor (Printed Name): JIM GIBBONS	Telephone: 775-684-5670
Signature of Governor or Authorized Representative of the Governor: Jim Gibbons	Date: 05-27-2010
Chief State School Officer (Printed Name): Keith W. Rheault	Telephone: 775-687-9217
Signature of the Chief State School Officer: Keith W. Rheault	Date: 5/27/10
President of the State Board of Education, if applicable (Printed Name): Chris Wallace	Telephone: 702-586-1742
Signature of the President of the State Board of Education, if applicable: Chris Wallace	Date: 5/27/2010

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Nevada	
State's chief procurement official (or designee), (Printed Name): GREG SMITH	Telephone: 775-684-0184
Signature of State's chief procurement official (or designee),: Greg Smith	Date: 5-28-10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **May 26, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Utah**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

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- Governance/Finance,
- Assessment Design,
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- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
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- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

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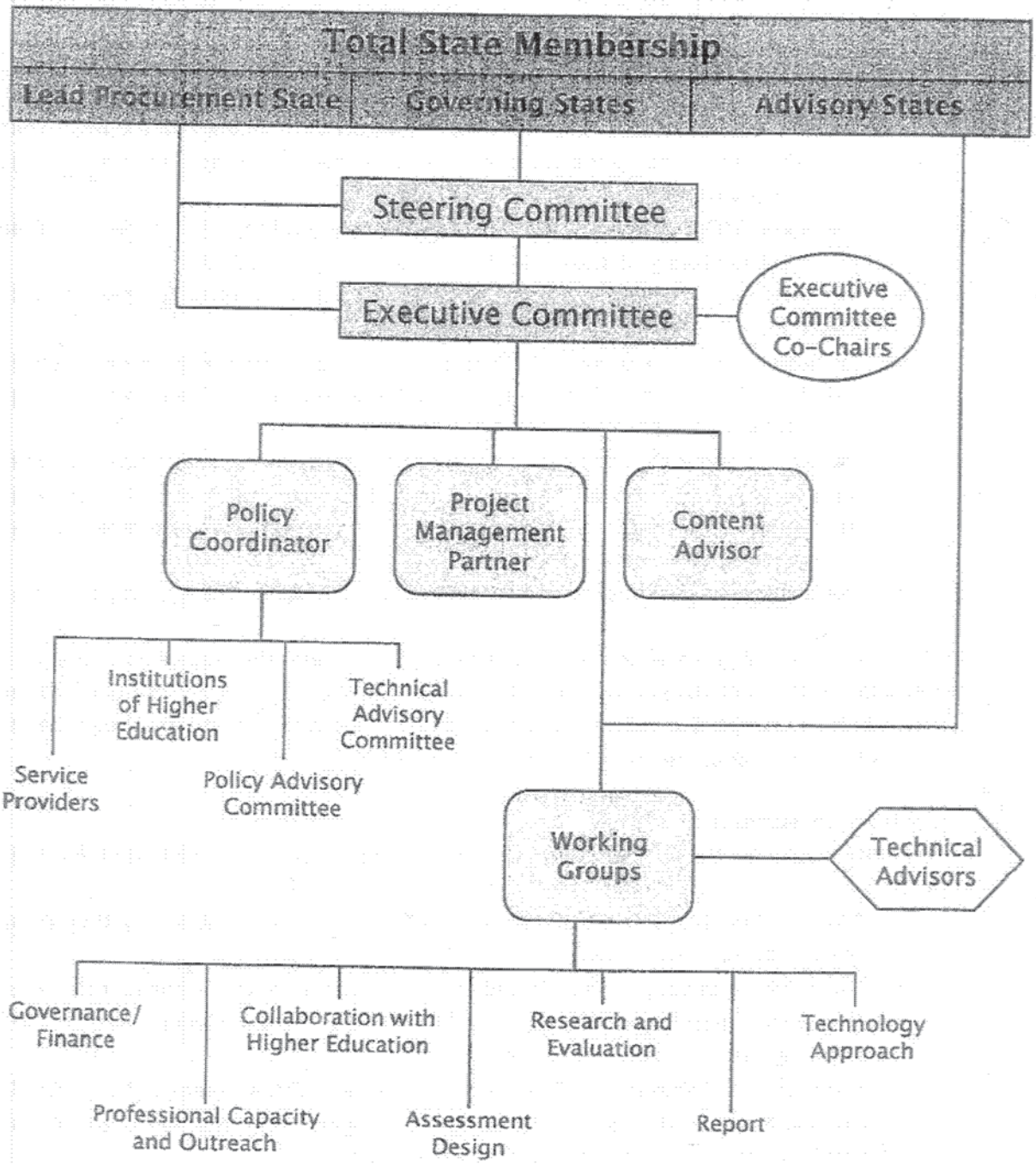

(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
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Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
§ (b) State legislature must appropriate sufficient funds to implement common core standards.	Risk	Policy	Legislature	Next legislative session, January, 2011	End of legislative session, March, 2011	
§ (c)(13) State contributions--what are these expected to be? Certain costs may need prior legislative approval.	Risk	Policy	Legislature	Next legislative session, January, 2011	End of legislative session, March, 2011	

§ (d) According to Utah Code § 63G-6-104(2) "Except as provided in Section 63G-6-105, this chapter shall apply to every expenditure of public funds irrespective of their source, including federal assistance, by any state agency under any contract."						
§ (d) Only the legislature may authorize the state to make procurements outside the current statute (Utah Code Title 63G Chapter 6). The Chief Procurement Officer does not have that authority.						

[remainder of page intentionally left blank]

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name:
Utah

Governor or Authorized Representative of the Governor (Printed Name):
Governor Gary R. Herbert

Telephone:
(801) 538-1000

Signature of Governor or Authorized Representative of the Governor:

Date:
5/24/10

Chief State School Officer (Printed Name):
Superintendent Larry K. Shumway

Telephone:
(801) 538-7517

Signature of the Chief State School Officer:

Date:
5/20/10

President of the State Board of Education, if applicable (Printed Name):
Debra G. Roberts

Telephone:
(435) 438-5843

Signature of the President of the State Board of Education, if applicable:

Date:
5/20/10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium with the exceptions noted in Section (g) ("Barriers" section) of the MOU.	
State Name: Utah	
State's chief procurement official (or designee), (Printed Name): Kent Beers	Telephone: (801) 538-3026
Signature of State's chief procurement official (or designee),: Kent D Beers	Date: 5/25/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 2, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Idaho**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
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    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

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9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

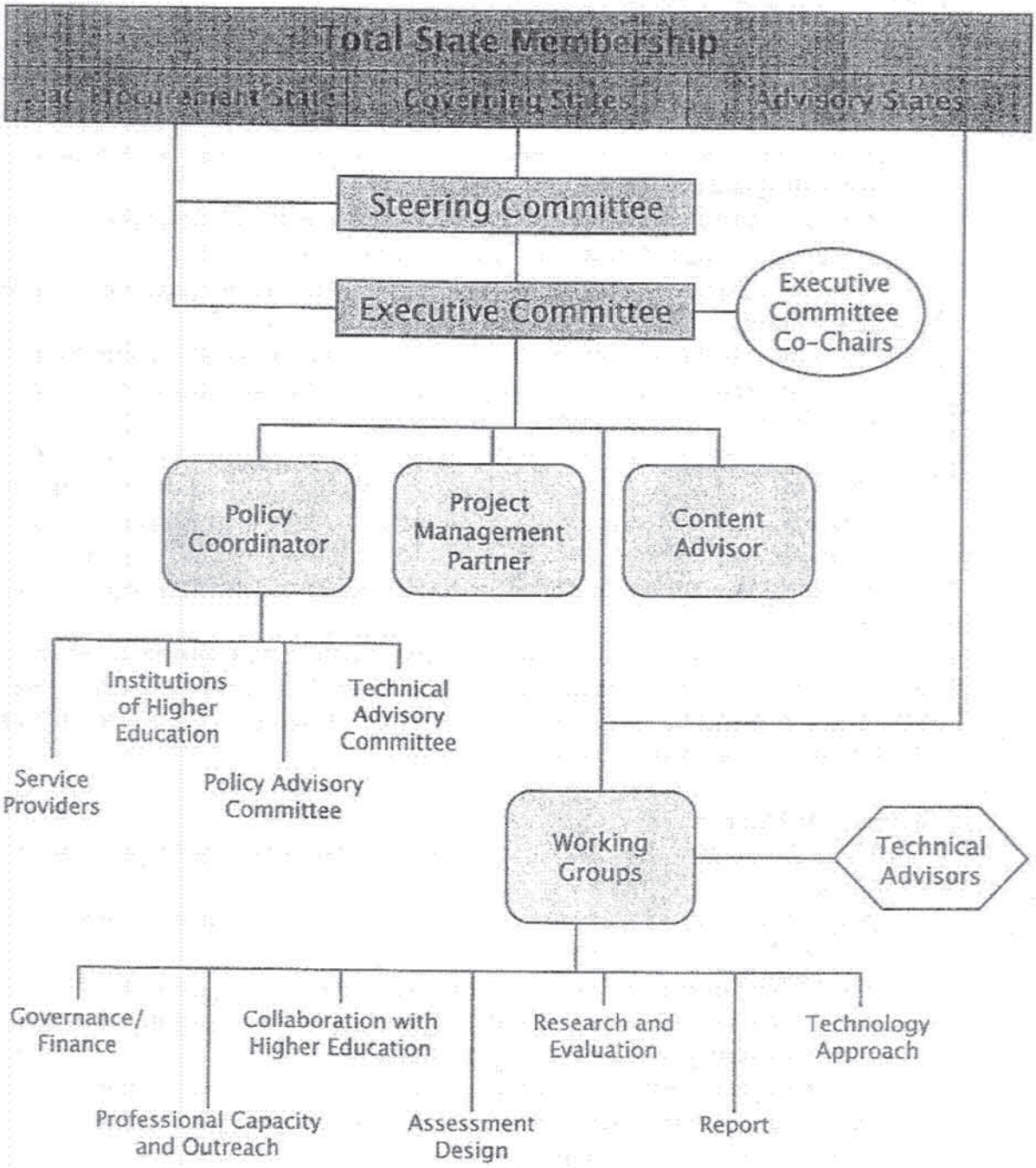
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
State Board or Legislature may not adopt the common core content standards	Risk	Statute, Regulation, State Board of Education Administrative Code	State Board of Education, State Legislature	November 2010	January 2011	The Common Core Standards adoption is currently before the State Board of Education and if the Board promulgates a rule adopting the standards, the rule will be presented to the State Legislature for full adoption in January 2011. Idaho law requires that the legislature approve all rules promulgated by administrative agencies.
State Budget May Get Cut	Risk	Statute	State Legislature	January 2013	May 2013	State budgets for FY2014 are set during this period.

State Legislature may not appropriate sufficient funds or may not grant spending authority for adoption of complete assessment system.	Risk	State Constitution, Statute	State Legislature	January 2013	May 2013	State constitutional and statutory provisions require appropriations and prohibit contractual agreements without appropriations.
State law requires Attorney General review of Interstate Agreements	Risk	Statute	Secretary of State, State Attorney General	May 2010	June 2010	As a necessary precondition to the enforceability in Idaho of interstate agreement, state law requires the Attorney General to review any Interstate Agreement and to determine that it does not violate the US Constitution, state constitution or state statute.

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) **ADVISORY STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: IDAHO	
Governor or Authorized Representative of the Governor (Printed Name): GOVERNOR C.L. "BUTCH" OTTER	Telephone: (208) 334-2100
Signature of Governor or Authorized Representative of the Governor:	Date: JUNE 2, 2010
Chief State School Officer (Printed Name): TOM LUNA	Telephone: 332-6815
Signature of the Chief State School Officer:	Date: 6/2/10
President of the State Board of Education, if applicable (Printed Name): Richard Westerberg	Telephone: 852-0803
Signature of the President of the State Board of Education, if applicable:	Date: 6-2-10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement laws for my State and find that, to the best of my knowledge, the Idaho State Department of Education's participation in the SMARTER Balanced Assessment Consortium, and any procurements made through said Consortium, do not violate the applicable State's procurement laws.	
State Name: State of Idaho	
State's chief procurement official (or designee), (Printed Name): Mark Little, State Purchasing Manager	Telephone: (208) 332-1611
Signature of State's chief procurement official (or designee),:	Date: 6/3/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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OR

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12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

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14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

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(d) Management of Consortium Funds

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As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

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- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
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- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
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- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
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- Work with project staff to develop agendas,
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- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

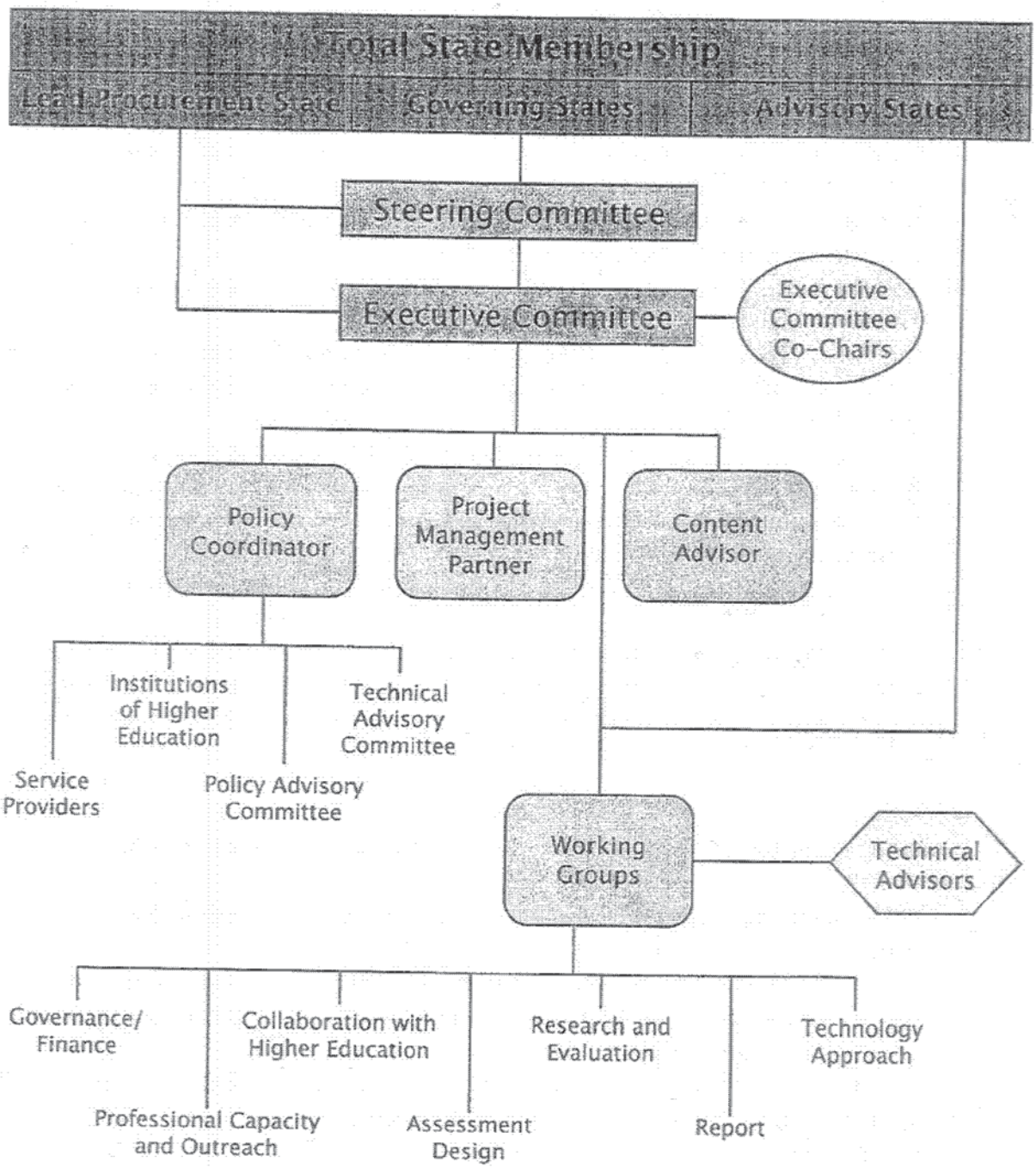
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: Maine	
Governor or Authorized Representative of the Governor (Printed Name): John E. Baldacci	Telephone: 207-287-3531
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name): Angela Faherty, Acting Commissioner	Telephone: 207-624-6620
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name): Ann I. Weisleder, Chair	Telephone: 207-947-2822
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name: Maine	
Governor or Authorized Representative of the Governor (Printed Name): John E. Baldacci	Telephone: 207-287-3531
Signature of Governor or Authorized Representative of the Governor: John E. Baldacci	Date: 6/3/10
Chief State School Officer (Printed Name): Angela Faherty, Acting Commissioner	Telephone: 207-624-6620
Signature of the Chief State School Officer: Angela Faherty	Date: 5-26-2010
President of the State Board of Education, if applicable (Printed Name): Ann I. Weisleder, Chair	Telephone: 207-947-2822
Signature of the President of the State Board of Education, if applicable: Ann I. Weisleder	Date: 6-9-2010

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Maine	
State's chief procurement official (or designee), (Printed Name): Betty M. Lamoreau	Telephone: 207-624-7340
Signature of State's chief procurement official (or designee),: Betty M. Lamoreau	Date: 6/4/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 1, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Wisconsin**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

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- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

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The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

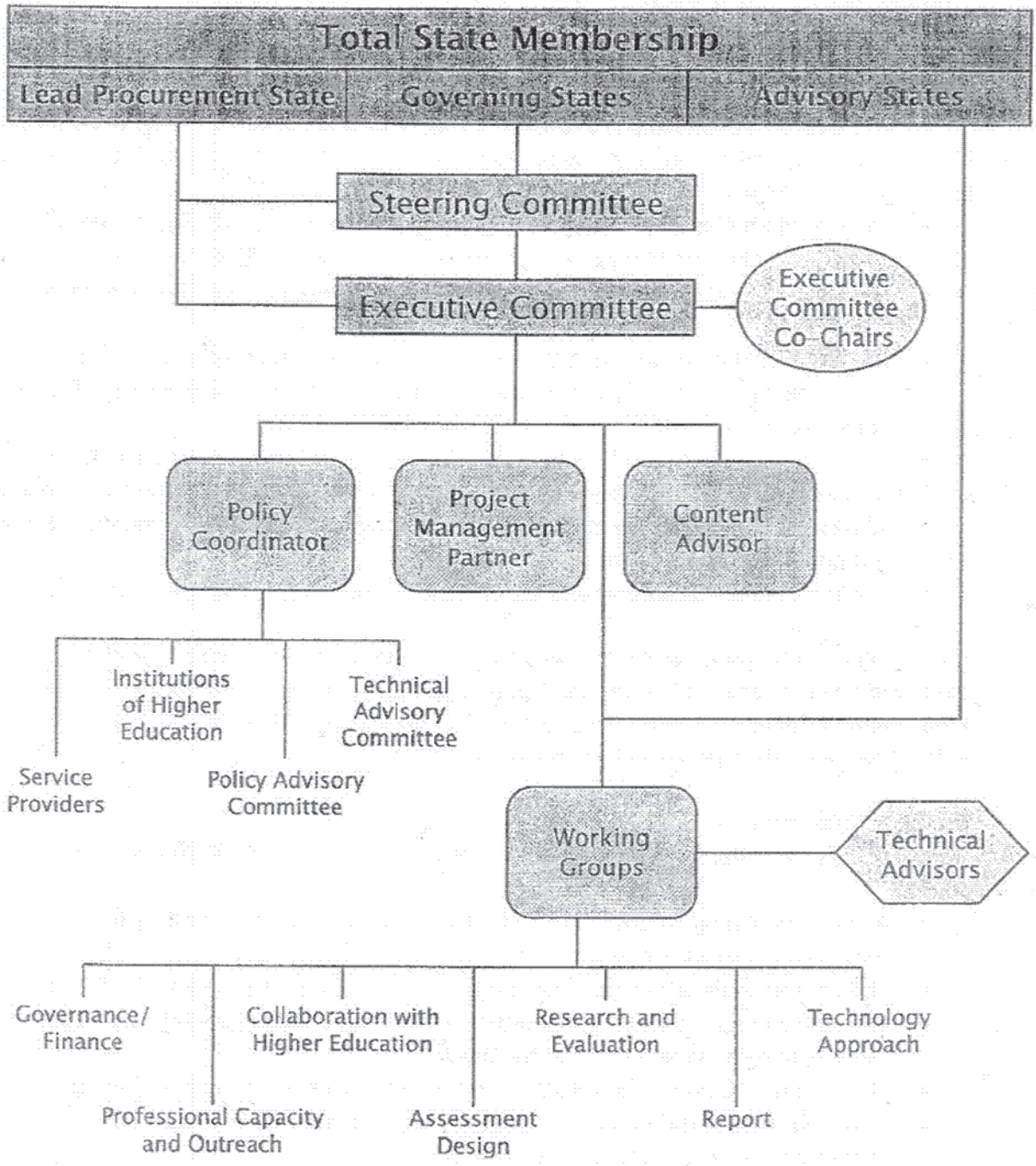
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
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- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) **GOVERNING STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name: **Wisconsin**	
Governor or Authorized Representative of the Governor (Printed Name): Jim Doyle	Telephone: 608-266-1212
Signature of Governor or Authorized Representative of the Governor:	Date: 5/24/10
Chief State School Officer (Printed Name): Tony Evers	Telephone: 608 266-8687
Signature of the Chief State School Officer:	Date: 5/21/10
President of the State Board of Education, if applicable (Printed Name): **N.A.**	Telephone:
Signature of the President of the State Board of Education, if applicable: **N.A.**	Date:

(h)(ii) **STATE PROCUREMENT OFFICER** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: **Wisconsin**	
State's chief procurement official (or designee), (Printed Name): Helen McCain	Telephone: 608-267-9634
Signature of State's chief procurement official (or designee),: Helen McCain	Date: 6/27/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 2, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of North Carolina**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

X A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
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- Oversee the work of the Executive Committee,
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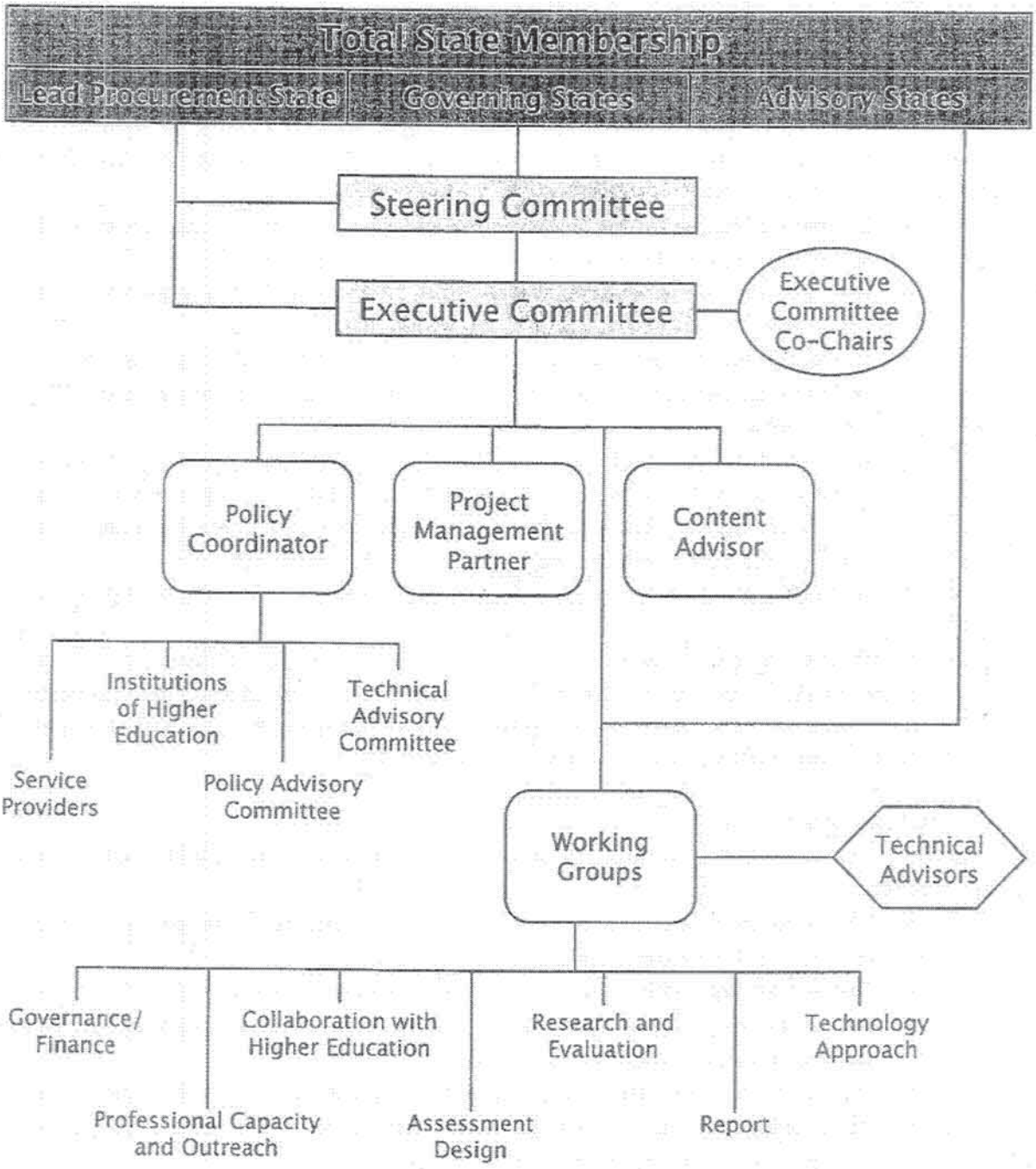

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(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

See North Carolina Barriers on Next Page

Barrier	Comments/ Action Plan	Statute, Regulation, or Policy	Governing Body to Remove Barrier	Target Date to Initiate and Remove Barrier
Potential Conflict: Policy requiring end-of-course assessments to be given within 5 days of the end of a course on a block schedule and 10 days for those on a traditional schedule. Through-course assessment and/or performance items would need to be done prior to this time period.	State Board of Education (SBE) approach the General Assembly (GA) to institute the change. If in agreement, SBE and GA petition for a change of administrative code.	• State Board of Education Policy GCS-C-003 • General Statute: NC GS 115C-12(9)c. • Administrative Procedures Act 16 NCAC 6D .0305	General Assembly and State Board of Education	Initiate: 2011 Legislative Session Remove Barrier: July 2013
Potential barrier: Funding to implement the assessment. General Assembly must agree to include funding for the implementation into the budget.	DPI will include costs for funding the assessment in its budget request for the General Assembly. DPI will initiate conversations with legislators about the Smarter Balanced Assessment system.	Appropriations Act of 2013	General Assembly	Initiate: 2012 legislative session Remove Barrier: 2013
Potential Barrier: Implementing the Assessment System *Online ;* At present, not all LEAs able to implement online assessments.	NC is in the process of revising its State School Technology Plan to include an emphasis on building infrastructure to implement online assessment.	N/A	N/A	State Plan approved by SBE: January 2011 – implemented July 1, 2011
	LEAs will be required to align their plans with the State plan, and subsequent technology funding will be used to support the plan and build infrastructure.			LEA plans approved Jan. 2012 – implemented July 1, 2012
	NC DPI published (April 2009) a report looking at the State and LEA readiness to implement online assessment.			Report published April 2009

[redacted]

State Name: **North Carolina**	
Governor or Authorized Representative of the Governor (Printed Name): **Beverly Perdue**	Telephone: (919) 733-4240
Signature of Governor or Authorized Representative of the Governor: Bev Perdue	Date: 6/17/10
Chief State School Officer (Printed Name): **Dr. June Atkinson**	Telephone: (919) 807 3430
Signature of the Chief State School Officer: June St Clair Atkinson	Date: 6/3/10
Chairman of the State Board of Education, if applicable (Printed Name): **Dr. William C Harrison**	Telephone: (919) 807-3441
Signature of the President of the State Board of Education, if applicable: Wllm C Harrison	Date: 6/3/10

[NEW] STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances (Required from all States in the Consortium) I certify that I have the authority to procure assessment items and related services on behalf of the State of [illegible] and that the procurement of assessment items and related services funded by the Race to the Top Assessment Program will be conducted in accordance with all applicable procurement laws.	
State Name: North Carolina	
State's chief procurement official (or designee), (Printed Name): James D. Staton, Jr	Telephone: 919-807-4533
Signature of State's chief procurement official (or designee),: James D. Staton, Jr.	Date: 6/7/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 6th, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Oregon**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

X A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

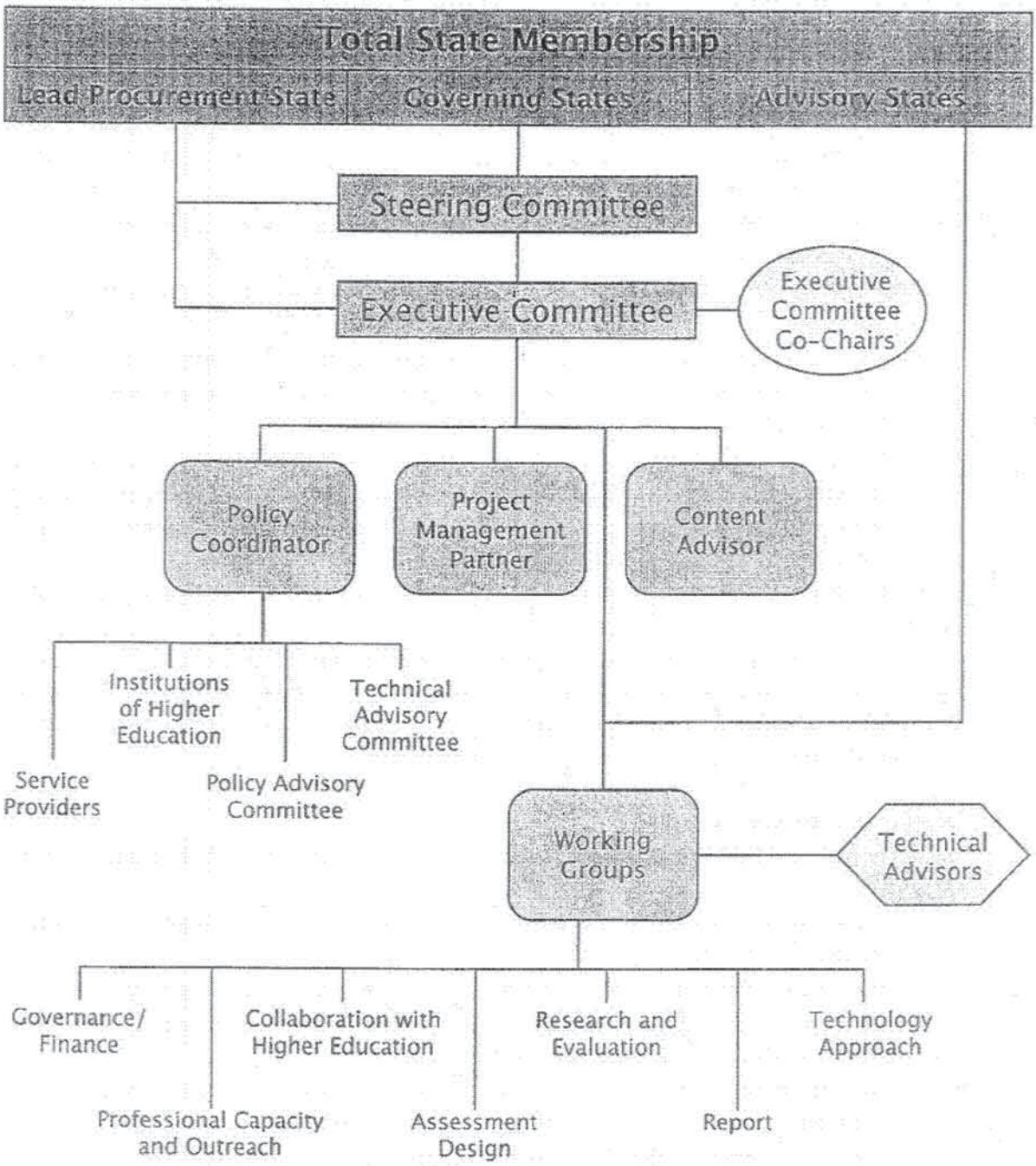
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
Adoption of the Common Core Standards	Final version of the standards hasn't been reviewed through Oregon's process	ORS 326.051, ORS 326.011 authorizes the State Board to establish educational policy	Legislature	7/1/2010	9/1/2011	Oregon intends to fully review the Common Core Standards including vetting with Oregon stakeholders.

Binding future state boards to previous decisions	State Board composition and/or policies may change	ORS 326.051, ORS 326.011 authorizes the State Board to establish educational policy	Legislature	7/1/2010	9/1/2014	Dept of Ed will continue to keep the state board apprised on progress and value of the grant
Reserve authority regarding specific terms or conditions which may be required by the Consortium	Nothing in the agreement can modify state requirements under any law or regulation regarding state liability, monetary obligations, or contracting		Legislature and state board of education	unknown at this time due to uncertainty in the final form of agreements	unknown at this time due to uncertainty in the final form of agreements	State is unaware of specific conflicts, but given the general nature of the agreement and the fact a majority of governing states may establish terms of agreement, it is necessary to reserve Oregon prerogatives
Risk of funding shortfall	State Legislature may not fully fund the assessment system	Art XI, Section 7 of the Oregon Constitution	Legislature	12/1/2012	6/30/2013	Inform the state legislature as it creates its biennial budget regarding the cost required to sustain

						Oregon's assessment system

[remainder of page intentionally left blank]

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: OREGON	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name): Susan Castillo	Telephone: 503-947-5740
Signature of the Chief State School Officer:	Date: 6-2-10
President of the State Board of Education, if applicable (Printed Name):	Telephone: 503-595-7605
Signature of the President of the State Board of Education, if applicable: Duncan Wyse (signature above)	Date: 6-3-10

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I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: OREGON	
Governor or Authorized Representative of the Governor (Printed Name): Theodore R Kulongoski	Telephone: 503-378-6307
Signature of Governor or Authorized Representative of the Governor: Theodore R Kulongoski / Governor	Date: 6/7/10
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: OREGON	
State's chief procurement official (or designee), (Printed Name): Lillie GRAY	Telephone: 503- 947-5647
Signature of State's chief procurement official (or designee),: Lillie Gray	Date: 6-2-10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **_June xx, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of _New Mexico_**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

___X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

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5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

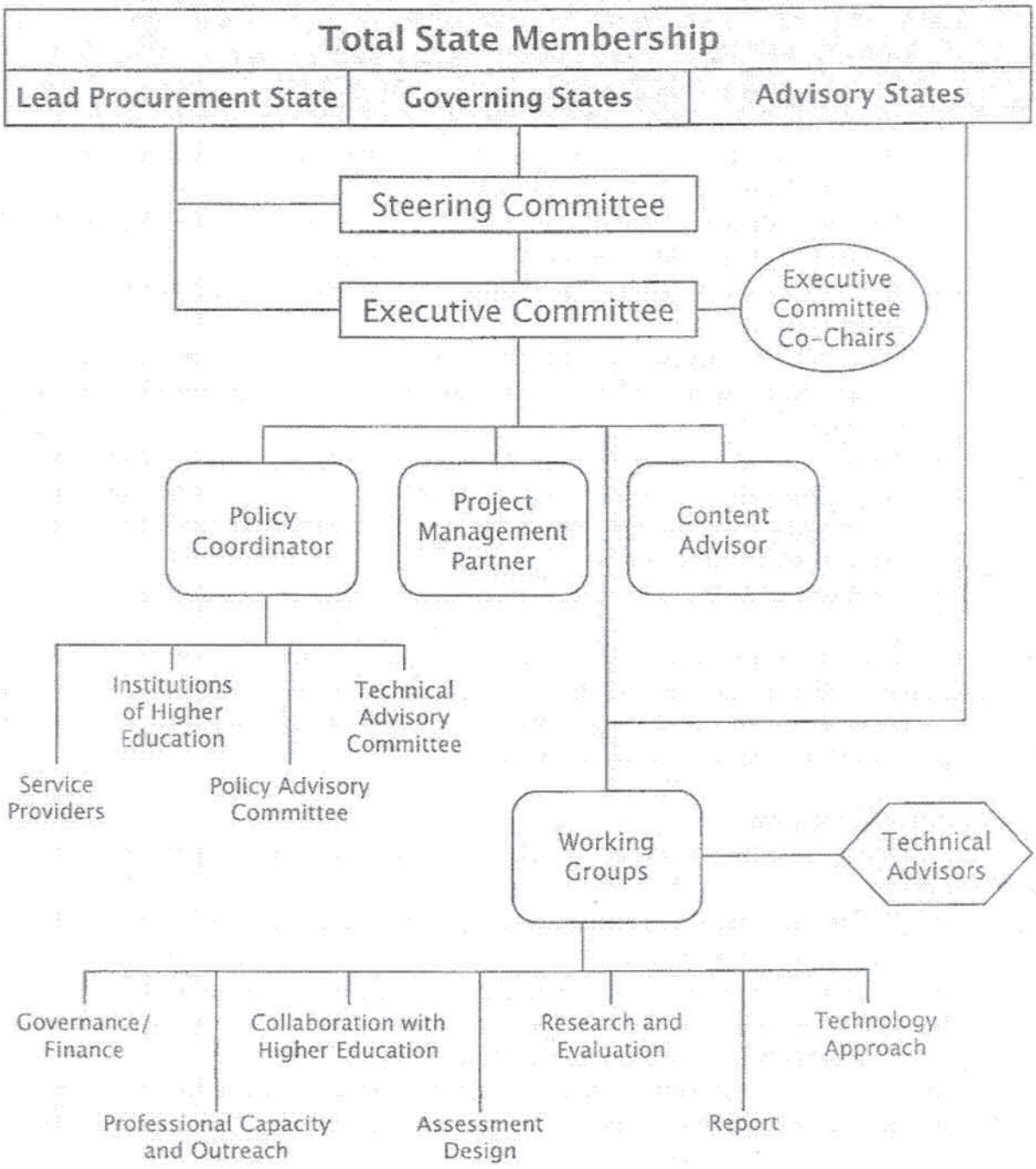
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Statute does not authorize state to adopt Common Core standards that are aligned with college and career readiness standards in Reading and Mathematics		§22-2C-3, NMSA 1978;	Legislature			
Statute does not authorize state to implement an assessment system that aligns with Common Core standards aligned with college and career readiness standards in Reading and Mathematics		§22-2C-4, NMSA 1978;	Legislature			

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.
State Name: Governor or Authorized Representative of the Governor (Printed Name): Telephone: Signature of Governor or Authorized Representative of the Governor: Date: Chief State School Officer (Printed Name): Telephone: Signature of the Chief State School Officer: Date: President of the State Board of Education, if applicable (Printed Name): Telephone: Signature of the President of the State Board of Education, if applicable: Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: New Mexico

Governor or Authorized Representative of the Governor (Printed Name): Telephone:

(505) 476-2200

Bill Richardson, Governor

Signature of Governor or Authorized Representative of the Governor: Date:

Chief State School Officer (Printed Name): Telephone:

Veronica C. García, Ed.D., Secretary of Education 505.827.6688

Signature of the Chief State School Officer: Date: 5.20.10

President of the State Board of Education, if applicable (Printed Name): Telephone:

Not Applicable

Signature of the President of the State Board of Education, if applicable: Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances.

(Required from all States in the Consortium.)

I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.

State Name: New Mexico

Ross Boom

State's chief procurement official (or designee), (Printed Name):

(505) 827-0610

Telephone:

Ross Boom

Signature of State's chief procurement official (or designee),:

6/4/10

Date:

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of ____**June 10, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of** ____ **HAWAII** _____, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

___X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

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- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

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- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

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The Consortium will provide the following by the 2014-15 school year:

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2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

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- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

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As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
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Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

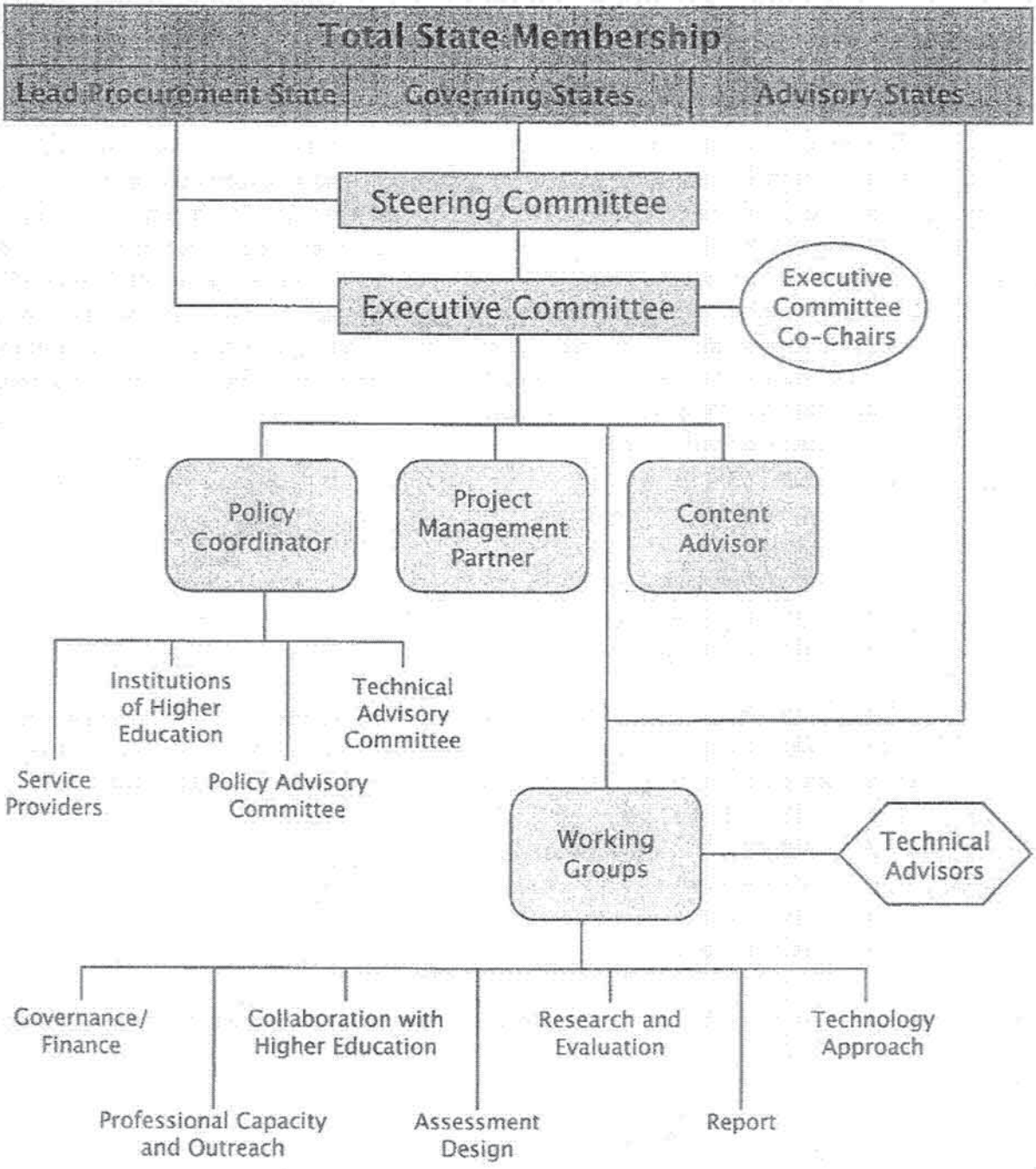
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name: HAWAII	
Governor or Authorized Representative of the Governor (Printed Name): Linda Lingle	Telephone: (808) 586-0034
Signature of Governor or Authorized Representative of the Governor: JAMES R. AIONA JR.	Date: 6/10/10
Chief State School Officer (Printed Name): Kathryn S. Matayoshi	Telephone: (808) 586-3310
Signature of the Chief State School Officer:	Date: JUN 08 2010
President of the State Board of Education, if applicable (Printed Name): Garrett Toguchi	Telephone: (808) 586-3334
Signature of the President of the State Board of Education, if applicable: Garrett Toguchi	Date: 6/8/10

(h)(ii) **STATE PROCUREMENT OFFICER** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: HAWAII	
State's chief procurement official (or designee), (Printed Name): JAMES M. BRESE	Telephone: (808) 586-3737
Signature of State's chief procurement official (or designee),: James M. Brese	Date: 06/08/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of June 10, 2010, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of** Vermont, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__✓__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

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- Be from a Governing State,
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- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

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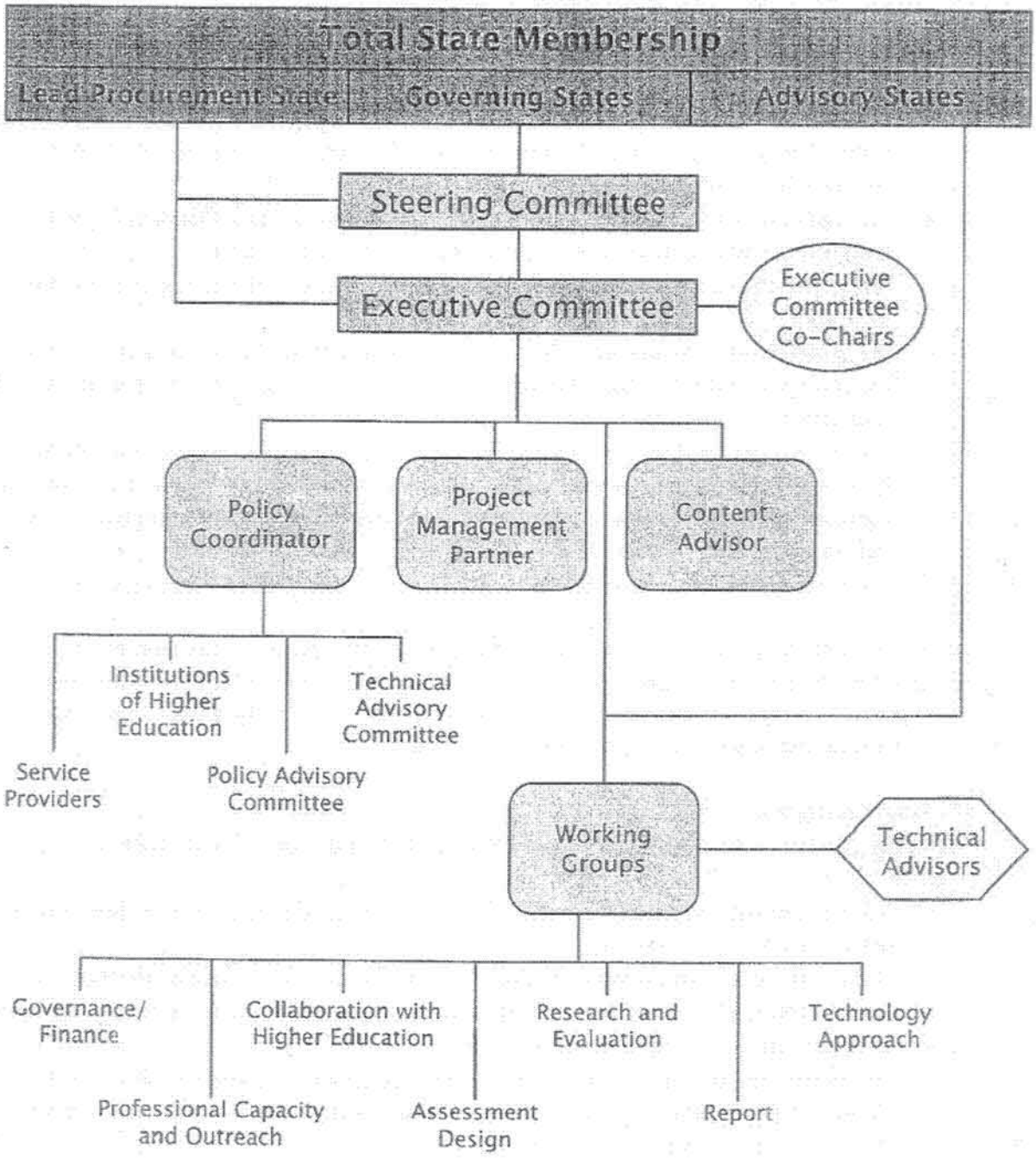

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- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
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- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
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Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
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- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
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Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: Vermont	
Governor or Authorized Representative of the Governor (Printed Name): James H. Douglas	Telephone: 802-828-3333
Signature of Governor or Authorized Representative of the Governor:	Date: 6/10/10
Chief State School Officer (Printed Name):	Telephone: 802-828-3135
Signature of the Chief State School Officer: Armando Vilaseca	Date: 5/26/2010
President of the State Board of Education, if applicable (Printed Name): Faynesse Miller	Telephone: 802-656-3424
Signature of the President of the State Board of Education, if applicable: Faynesse Miller	Date: 5/26/2010

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Vermont	
State's chief procurement official (or designee), (Printed Name): Tom Pelham	Telephone: 828-3322
Signature of State's chief procurement official (or designee),: Tom Pelham	Date: 6/10/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of June 8, 2010, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Kansas**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

_X_ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

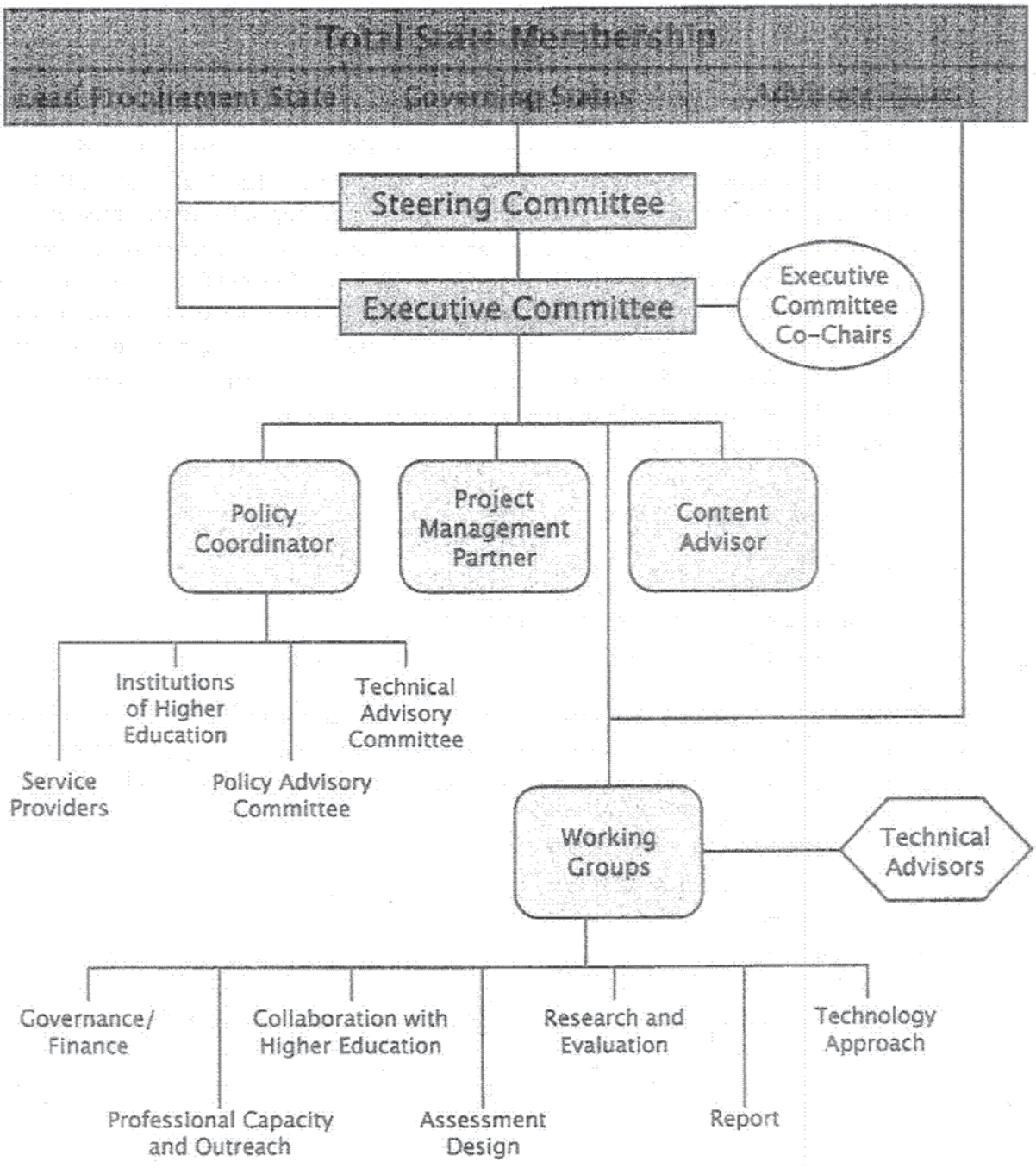
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: Kansas	
Governor or Authorized Representative of the Governor (Printed Name): Mark Parkinson	Telephone: (785) 296-3232
Signature of Governor or Authorized Representative of the Governor: Mark Parkinson	Date: 6/10/10
Chief State School Officer (Printed Name): Diane DeBacker	Telephone: (785) 296-3202
Signature of the Chief State School Officer: Diane M. DeBacker	Date: 6/8/10
President of the State Board of Education, if applicable (Printed Name): Janet Waugh	Telephone: (785) 296-3203
Signature of the President of the State Board of Education, if applicable: Janet Waugh	Date: 6-8-10

(h)(i)(B) **GOVERNING STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name: Kansas	
Governor or Authorized Representative of the Governor (Printed Name): Mark Parkinson	Telephone: (785) 296-3232
Signature of Governor or Authorized Representative of the Governor: Mark Parkinson	Date: 6/10/10
Chief State School Officer (Printed Name): Diane DeBacker	Telephone: (785) 296-3202
Signature of the Chief State School Officer: Diane DeBacker	Date: 6/8/10
President of the State Board of Education, if applicable (Printed Name): Janet Waugh	Telephone: (785) 296-3203
Signature of the President of the State Board of Education, if applicable: Janet Waugh	Date: 6-8-10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Kansas	
State's chief procurement official (or designee), (Printed Name): Ethan Erickson	Telephone: (785) 296-3263
Signature of State's chief procurement official (or designee),:	Date: 6/8/2010

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 15, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **STATE OF MICHIGAN**, which has elected to participate in the Consortium as

_____ An **Advisory** State (description in section e),

OR

___X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

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8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

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10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

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(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

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(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
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- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

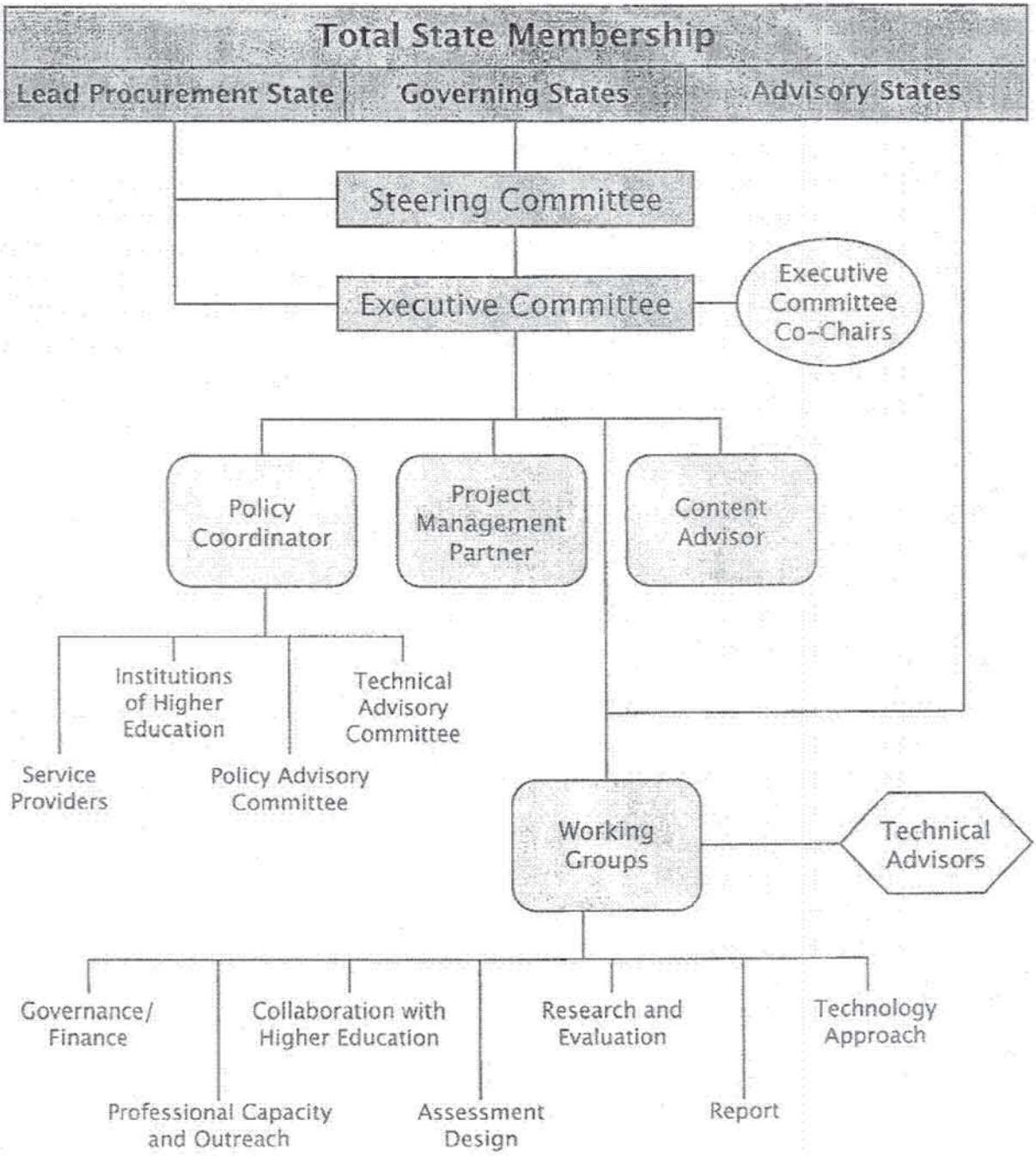
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

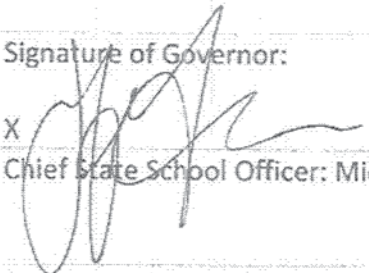
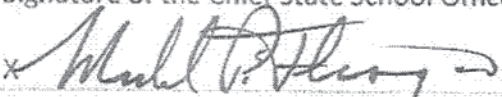
(g) Plan for Identifying Existing State Barriers

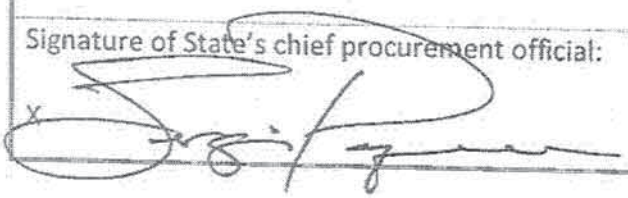
Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
Subject to annual state appropriation of funding to implement standards or assessments	Risk	Statute	Legislature	Annually		
State may create legislation inconsistent with grant	Risk	Statute	Legislature	Annually		
Restrictions on impairment of contracts to the extent affects existing contracts and collective bargaining agreements	Risk	LEA, SEA, Statute	LEA, SEA, Legislature			
State may fail to enact legislation consistent with or required by the standards or assessments	Risk	Statute	Legislature			

[Remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(B) **GOVERNING STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name: STATE OF MICHIGAN	
Governor : Jennifer M. Granholm	Telephone: (517) 373- 3400
Signature of Governor: X 	Date: 6/8/10
Chief State School Officer: Michael P. Flanagan	Telephone: (517) 241-2077
Signature of the Chief State School Officer: X 	Date:
President of the State Board of Education: Kathleen N. Straus	Telephone: (517) 373-3900
Signature of the President of the State Board of Education: X	Date: 6/15/10

(h)(ii) **STATE PROCUREMENT OFFICER** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: STATE OF MICHIGAN	
State's Chief Procurement official: Sergio Paneque	Telephone: (517) 335-0782
Signature of State's chief procurement official: X 	Date: 6/8/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 11, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Montana**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__X___ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

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- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

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The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

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- Oversee development of SMARTER Balanced Comprehensive Assessment System,
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- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
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Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
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- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
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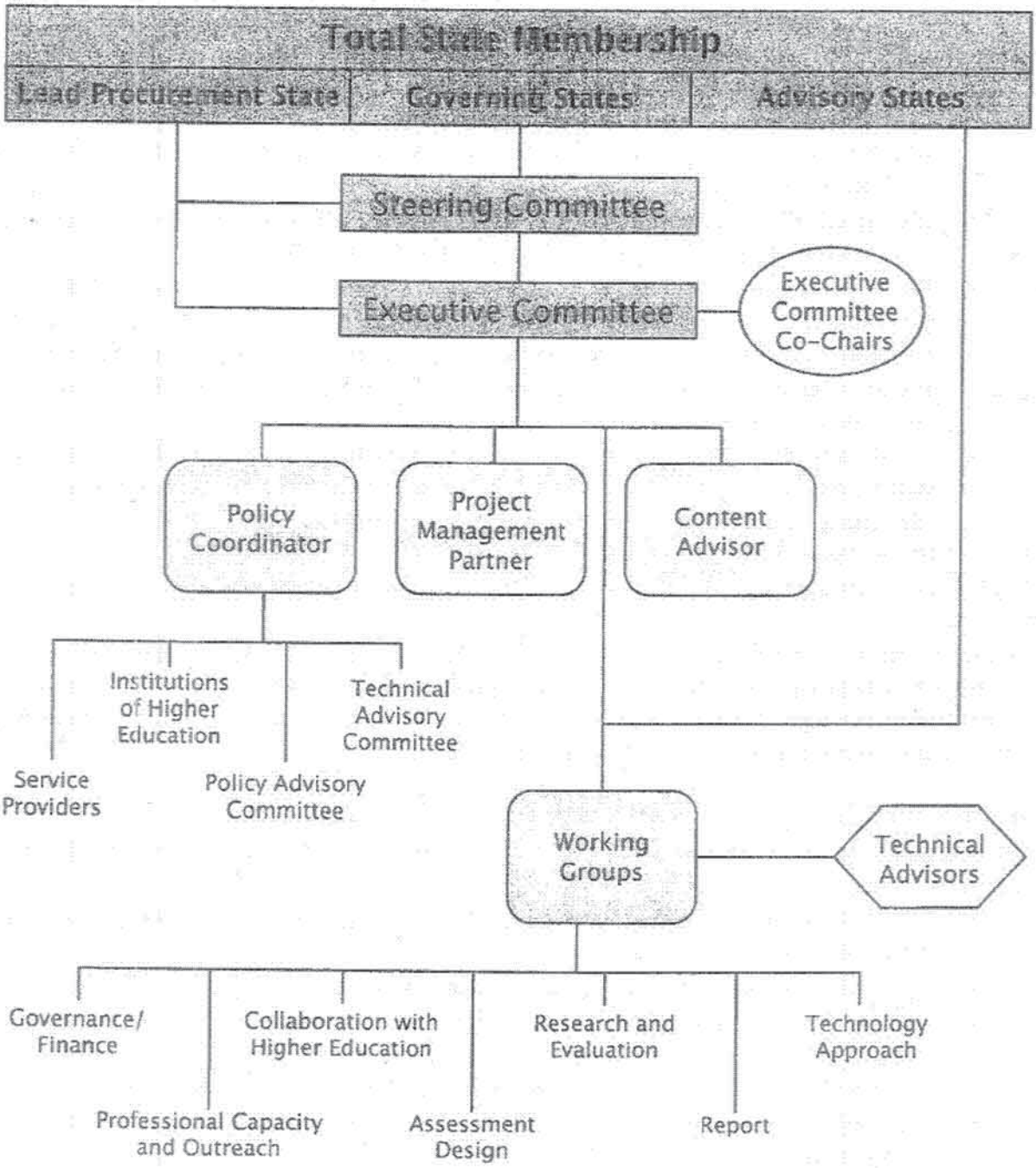
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
Montana Board of Public Education may not adopt the Common Core State Standards	Risk	Policy	Board of Public Education	September 2010	March 2011	

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: Montana	
Governor or Authorized Representative of the Governor (Printed Name): BRIAN SCHWEITZER	Telephone: (406) 444-3111
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name): Denise Juneau	Telephone: 406-444-5658
Signature of the Chief State School Officer:	Date: 6/7/10
President of the State Board of Education, if applicable (Printed Name): Patty Myers	Telephone: 406.899.0874
Signature of the President of the State Board of Education, if applicable: Patty Myers	Date: 6/10/10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances.

(Required from all States in the Consortium.)

I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.

State Name: Montana	
State's chief procurement official (or designee), (Printed Name): Brad Sanders, Chief, State Procurement Bureau	Telephone: 406-444-1459
Signature of State's chief procurement official (or designee),: Brad Sanders	Date: 6/3/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 8, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of West Virginia**, which has elected to participate in the Consortium as (check one)

_____ An **Advisory** State (description in section e),

OR

__X__ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

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- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
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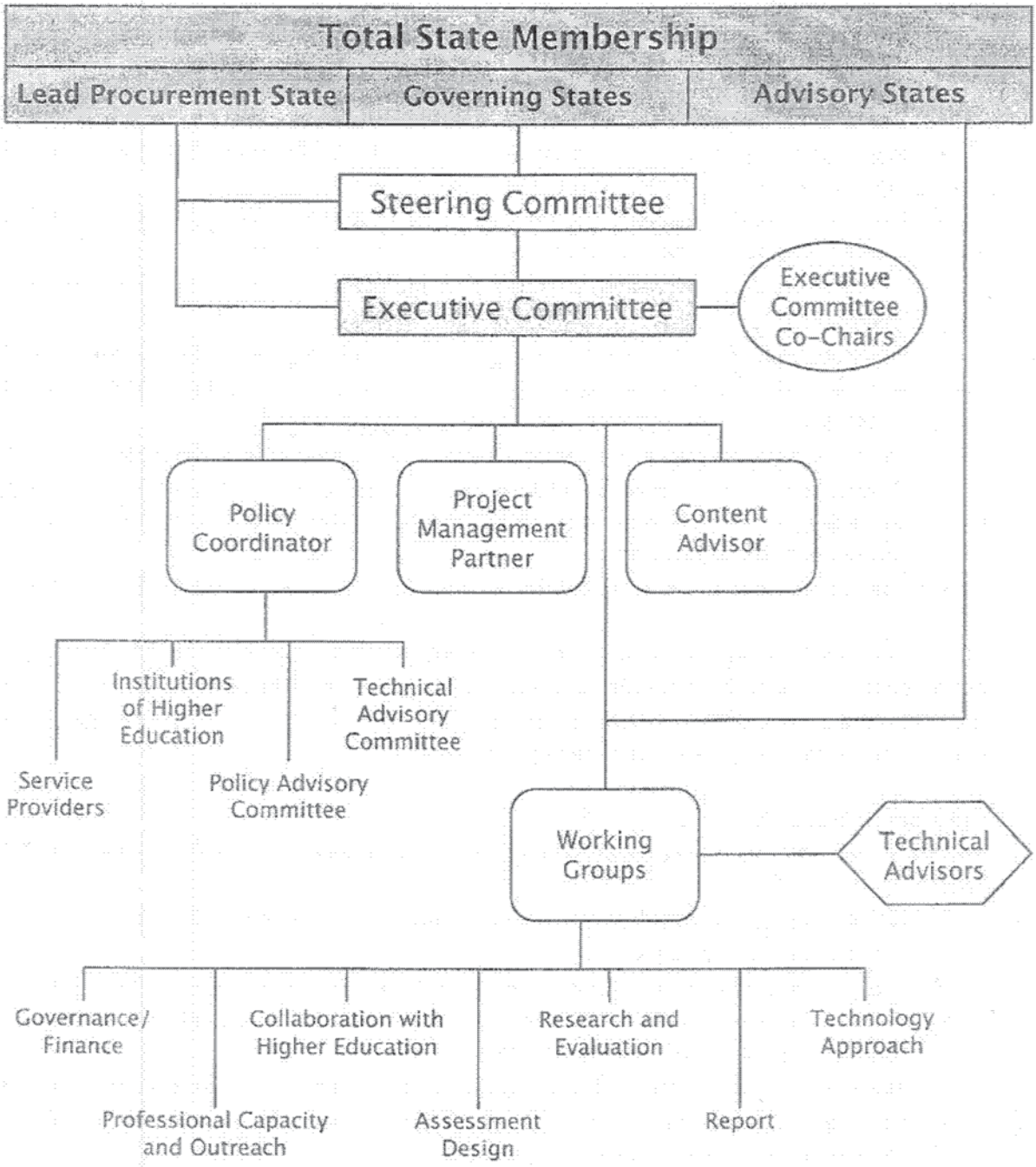

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- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
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- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
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- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name: West Virginia	
Governor or Authorized Representative of the Governor (Printed Name): Governor Joe Manchin III	Telephone: 1 888.438.2731
Signature of Governor or Authorized Representative of the Governor:	Date: 6/8/10
Chief State School Officer (Printed Name): Dr. Steven L. Paine	Telephone: 304.558.2681
Signature of the Chief State School Officer:	Date: 6/8/10
President of the State Board of Education, if applicable (Printed Name): Priscilla M. Haden	Telephone: 304.558.3660
Signature of the President of the State Board of Education, if applicable:	Date: 6/8/10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances.

(Required from all States in the Consortium.)

I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium, provided that the State of West Virginia makes all purchases resulting from participation in the Consortium according to the requirements set forth in West Virginia Code § 5A-3-1 et seq., and the West Virginia Code of State Rules § 148-1-1 et seq.

§ 5A-3-19. Purchases from federal government and other sources

> (a) Notwithstanding any other provision of this article, the director may, upon the recommendation of a state spending unit, participate in, sponsor, conduct, or administer a cooperative purchasing agreement or consortium for the purchase of commodities or services with agencies of the federal government, agencies of other states, other public bodies or other state agencies, if available and financially advantageous. At the discretion of the director, bids may be solicited to determine whether participation in such a cooperative purchasing agreement or consortium is financially advantageous.

State Name:
West Virginia

State's chief procurement official (or designee), (Printed Name): Telephone:

David Tincher DAVID TINCHER 304 558-2538

Signature of State's chief procurement official (or designee),: Date:

6/11/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **May 30**, **2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of** **Ohio**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

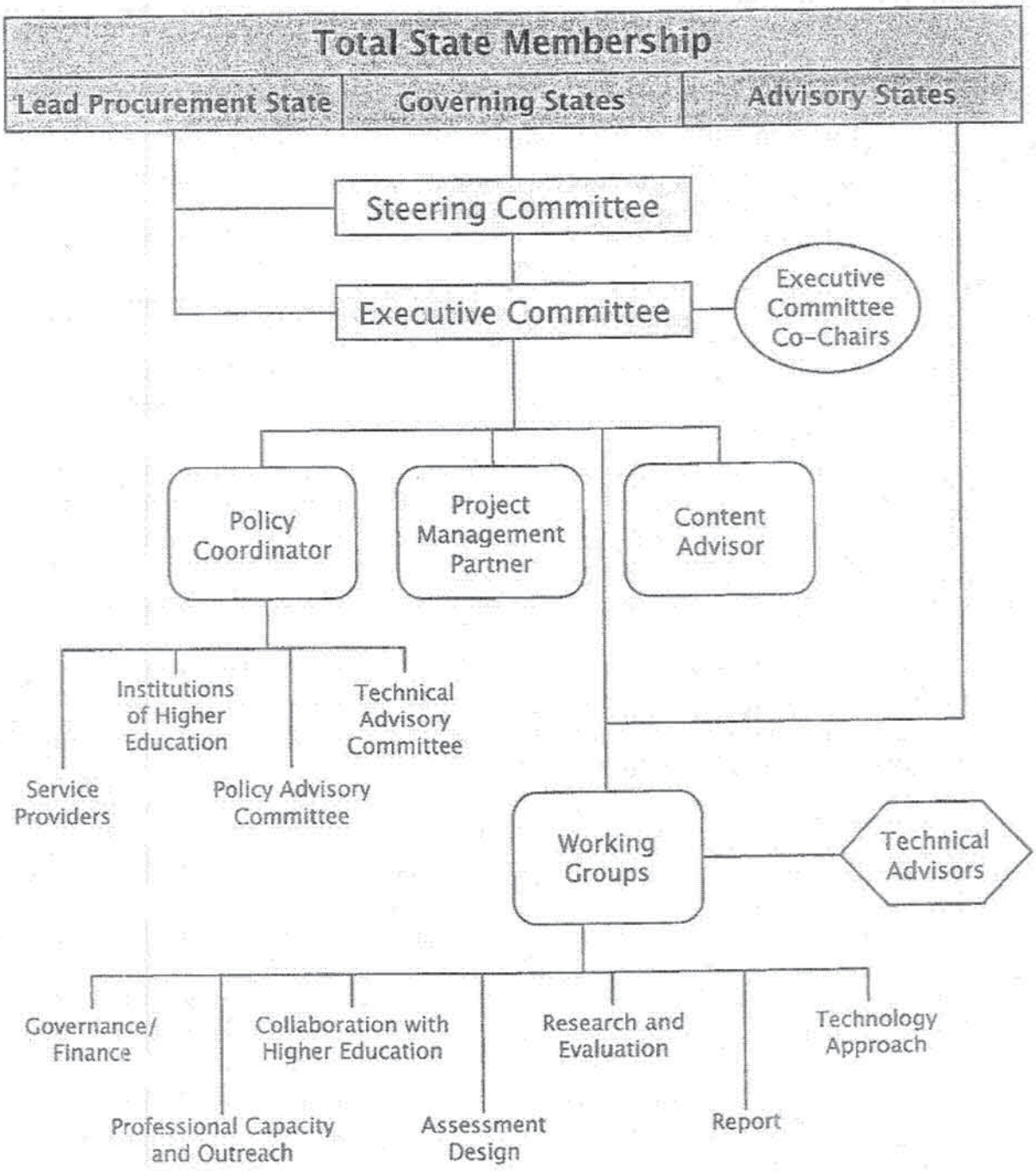
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances.

(Required from all "Advisory States" in the Consortium.)

As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.

State Name: Ohio

Governor or Authorized Representative of the Governor (Printed Name): Telephone: (614) 466-3555

Ted Strickland

Signature of Governor or Authorized Representative of the Governor: Date:

Deborah S. Delisle — Chief State School Officer (Printed Name): Telephone: 614-466-7578

Deborah S. Delisle

Signature of the Chief State School Officer: Date:

Deborah Cain — President of the State Board of Education, if applicable (Printed Name): Telephone: 614-466-4838

Deborah Cain 330-704-5529

Signature of the President of the State Board of Education, if applicable: Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Ohio	
State's chief procurement official (or designee), (Printed Name): Terry E. Tyle	Telephone: 614-644-8497
Signature of State's chief procurement official (or designee),: Terry E. Tyle	Date: 5/28/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 3, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of IOWA**, which has elected to participate in the Consortium as (check one)

X An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

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    (ii) State Procurement Officer

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The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

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2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

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Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

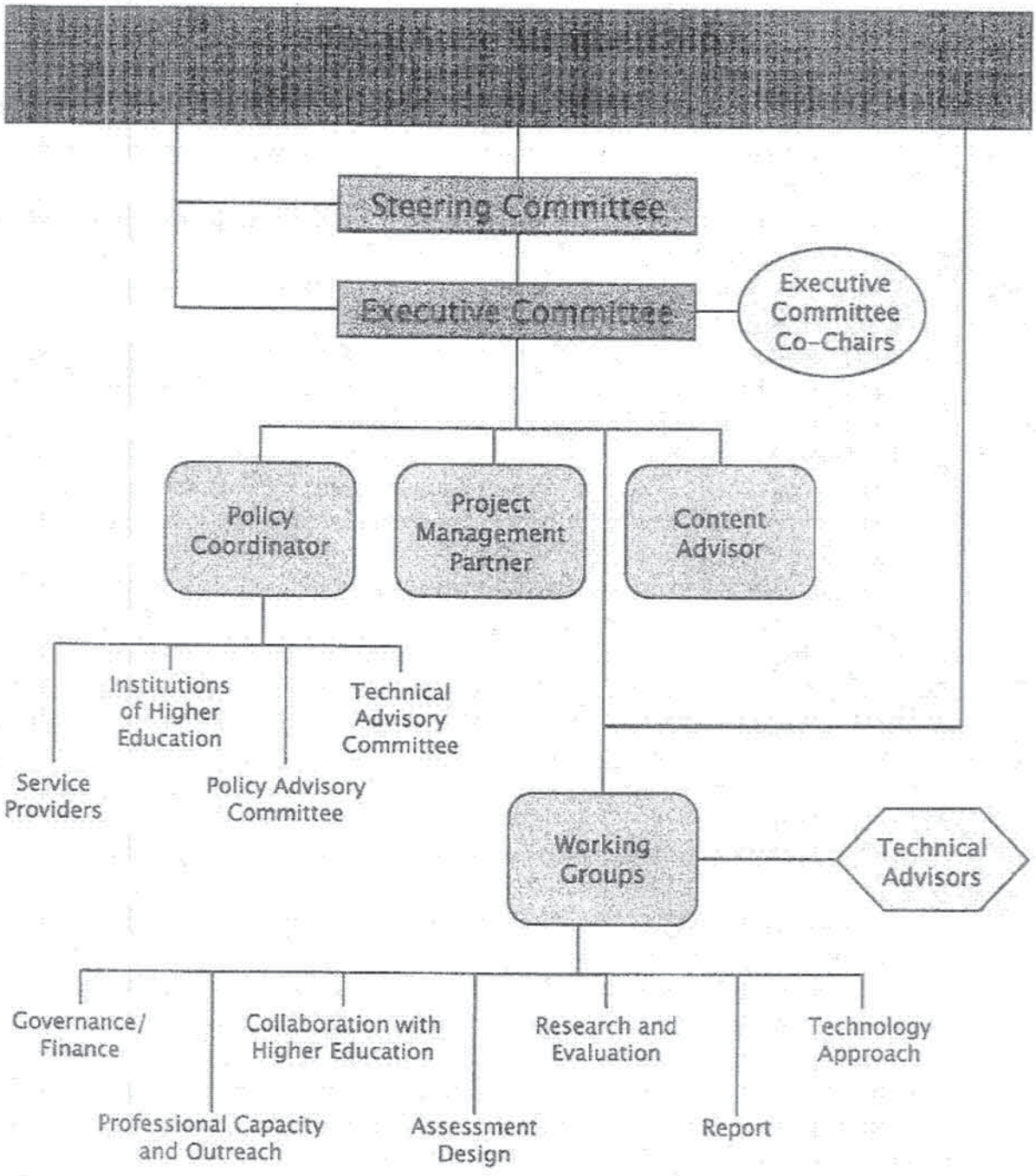
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

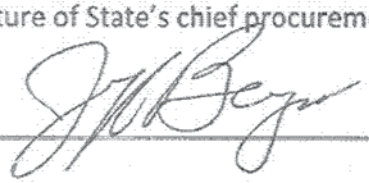
Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
LEAs may not have the capacity for computer adaptive testing.	Issue	Policy	Local School Boards	Spring 2012	Fall 2013	Funds to hardware and bandwith.
State Board may not adopt Common Core.	Risk	Policy	State Board	August 2, 2010	December 2011	
Iowa does not have a state appropriation for assessment	Issue	Statute	Legislature	Spring 2013	Spring 2013	
IHE acceptance of final assessment and approval of MOU	Risk	Policy	IHE Governance	Spring 2013	Fall 2013	
IHE identification of remedial courses to align with passing the summative assessment	Risk	Business Rule	Individual IHEs	Spring 2013	Fall 2013	
Iowa may not adopt core achievement standards by 2014-15	Risk	Policy	State Board	Spring 2013	Fall 2013	

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) **ADVISORY STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: Iowa	
Governor or Authorized Representative of the Governor (Printed Name): Chester J. Culver	Telephone: 515-281-5211
Signature of Governor or Authorized Representative of the Governor: Chet Culver	Date: 6/8/10
Chief State School Officer (Printed Name): Kevin Fangman	Telephone: 515-281-3436
Signature of the Chief State School Officer: Kevin Fangman	Date: 6/8/10
President of the State Board of Education, if applicable (Printed Name): Rosie Hussey	Telephone: 515-281-3436
Signature of the President of the State Board of Education, if applicable: Rosie Hussey	Date: 6/3/10

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from <u>all States</u> in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Iowa	
State's chief procurement official (or designee), (Printed Name): Jeff Berger	Telephone: 515-281-3968
Signature of State's chief procurement official (or designee),: 	Date: 6/4/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 9, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of South Carolina**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

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Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
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- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

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13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

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Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

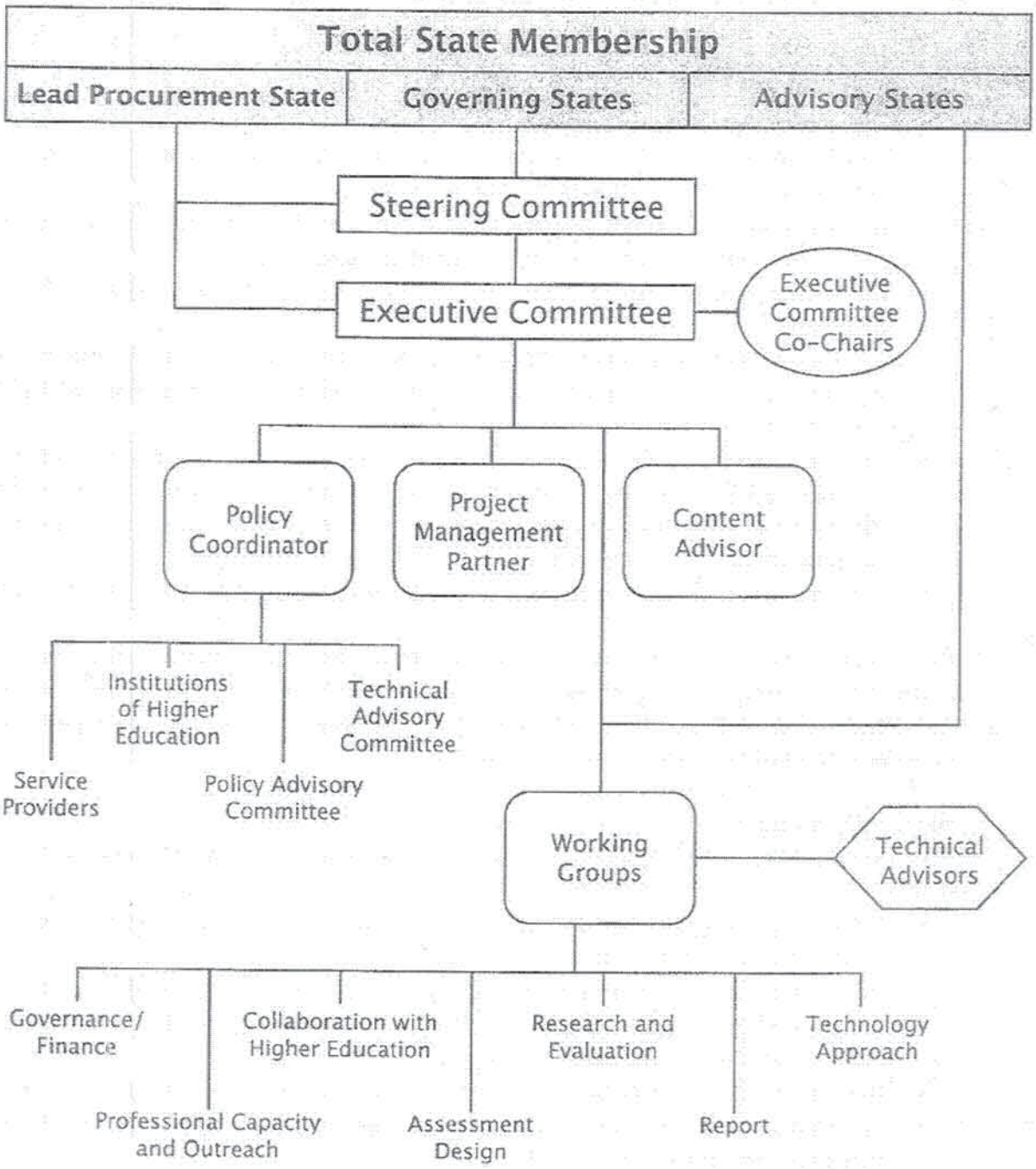
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
The State Board of Education and the Education Oversight Committee (EOC) have not adopted the Common Core State Standards	Risk	Policy	State Board of Education (SBE) and the Education Oversight Committee (EOC)	Already initiated	August 2, 2010	
Before committing funds or administering a field test or the assessment system, the state will take affirmative action to remain in the consortium	Risk	Policy	Governor, SBE, procurement officer,	Upon need to commit funds or before field testing or operational testing	Before field testing	
Current legislation is specific and would have to be re-written to allow for administration of the consortium assessment system	Risk	Statute	Legislation	2011	2014	

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
According to state law, EOC must review test items and item data, recommend actions or modifications, and approve assessment programs following the first statewide field test	Risk	Statute	Legislation	2010	2014	
Districts will need funds for computers, infrastructure, and training to support online administration for all students	Risk	Statute or Policy	Legislation or LEA	July 1, 2013	Preferably by 2014-15 in time for first administration, but before 2017-18, when online administration is the only option.	
Potential conflicts between lead procurement state's procurement laws and South Carolina's procurement laws, conflicts	Illegal contracts	S.C. Code §11-35-4880	Budget & Control Board *or* General Assembly	Immediate	August 2010	See below**

that would prevent South Carolina's full participation.						
Unknown contents of lead procurement state's solicitation, including terms and conditions.	Violation of state law.	Depends on solicitation's terms	Budget & Control Board *or* General Assembly	Upon receipt of draft solicitation.	Upon receipt of draft solicitation.	

** On April 29, 2010, the South Carolina General Assembly adopted a Concurrent Resolution stating "That the members of the General Assembly, by this resolution, are supportive of South Carolina submitting an application for a round two Race to the Top award and are fully committed to assist through appropriate legislative remedies, if needed, to strengthen the state's application and to assist with implementation."

RLS 6/10/10

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances.

(Required from all "Advisory States" in the Consortium.)

As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.

State Name: South Carolina

Governor or Authorized Representative of the Governor (Printed Name): Mark Sanford

Telephone: 803-734-2100

Signature of Governor or Authorized Representative of the Governor:

Date:

Chief State School Officer (Printed Name): Jim Rex

Telephone: 803-734-8500

Signature of the Chief State School Officer:

Date: 6-10-10

President of the State Board of Education, if applicable (Printed Name): Tim Moore

Telephone: 803-259-0208

Signature of the President of the State Board of Education, if applicable:

Date: 6-10-10

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances

(Required from all "Governing States" in the Consortium.)

As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application.

I further certify that as a Governing State I am fully committed to the application and will support its implementation.

State Name:

Governor or Authorized Representative of the Governor (Printed Name): Telephone:

Signature of Governor or Authorized Representative of the Governor: Date:

Chief State School Officer (Printed Name): Telephone:

Signature of the Chief State School Officer: Date:

President of the State Board of Education, if applicable (Printed Name): Telephone:

Signature of the President of the State Board of Education, if applicable: Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* **I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: South Carolina	
State's chief procurement official (or designee), (Printed Name): A. Voight Shealy	Telephone: 803-737-0635
Signature of State's chief procurement official (or designee),: A. Voight Shealy	Date: 6/10/10

** *Subject to item (g) above, the Plan for Identifying Existing State Barriers*

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 9, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of South Dakota** which has elected to participate in the Consortium as (check one)

___x__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

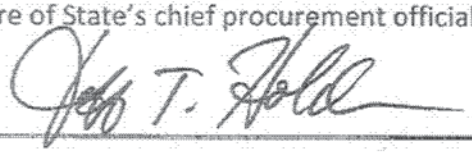
(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

JUN 17 2010

(g) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Advisory States" in the Consortium.")* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: South Dakota	
Governor or Authorized Representative of the Governor (Printed Name): Neil Fulton Chief of staff	Telephone: 605-773-3662
Signature of Governor or Authorized Representative of the Governor: Neil Fulton	Date: 6/9/10
Chief State School Officer (Printed Name): Tom Oster	Telephone: (605) 773-5669
Signature of the Chief State School Officer: Tom Oster	Date: 6-8-10
President of the State Board of Education, if applicable (Printed Name): Kelly Duncan	Telephone: (605) 232-6285
Signature of the President of the State Board of Education, if applicable: Kelly Duncan	Date: 6-4-10

SD-12

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: South Dakota	
State's chief procurement official (or designee), (Printed Name): Jeff T. Holden, Director, SD Office of Procurement Management	Telephone: (605) 773-4280
Signature of State's chief procurement official (or designee),: 	Date: 6/10/2010

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 11, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Colorado** which has elected to participate in the Consortium as (check one)

__X___ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
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(e) Describe the governance structure and activities of States in the Consortium,
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(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
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A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
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    - Specific Design elements, and
    - Other issues that may arise.

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- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
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Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

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The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

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The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

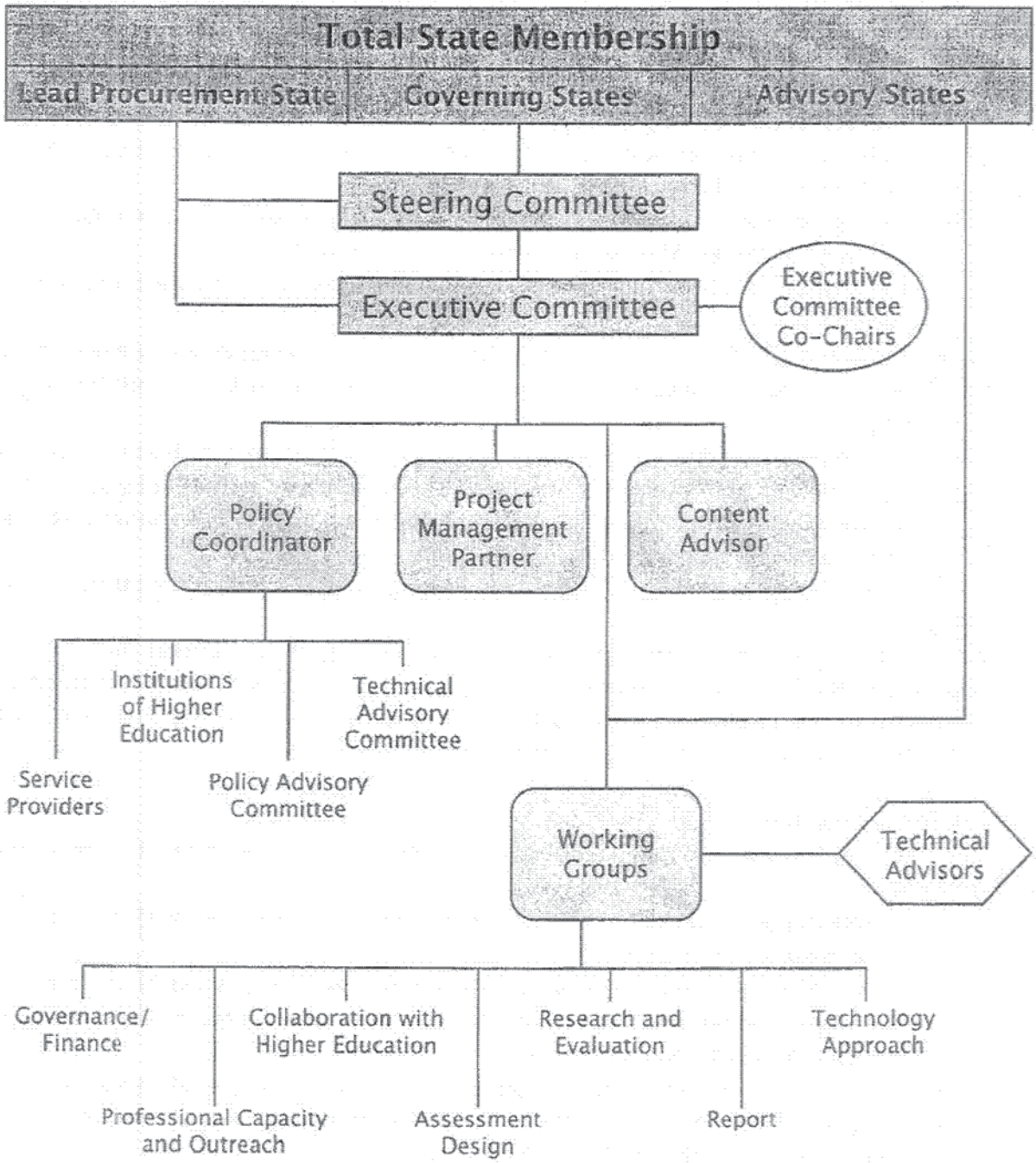
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: **Colorado**	
Governor or Authorized Representative of the Governor (Printed Name): Bill Ritter Jr.	Telephone: 303-866-3453
Signature of Governor or Authorized Representative of the Governor: Bill Ritter Jr.	Date: June 9, 2010
Chief State School Officer (Printed Name): Dwight D. Jones	Telephone: 303-866-6646
Signature of the Chief State School Officer:	Date: 6/8/2010
President of the State Board of Education, if applicable (Printed Name): Bob Schaffer	Telephone: 303-866-6817
Signature of the President of the State Board of Education, if applicable:	Date: 6-10-10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: **Colorado**	
State's chief procurement official (or designee), (Printed Name): John Utterback	Telephone: 303-866-6181
Signature of State's chief procurement official (or designee),: Jol Utterback	Date: 6/09/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 1, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of North Dakota**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
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Organizational Structure

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The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
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- Oversee the work of the Executive Committee,
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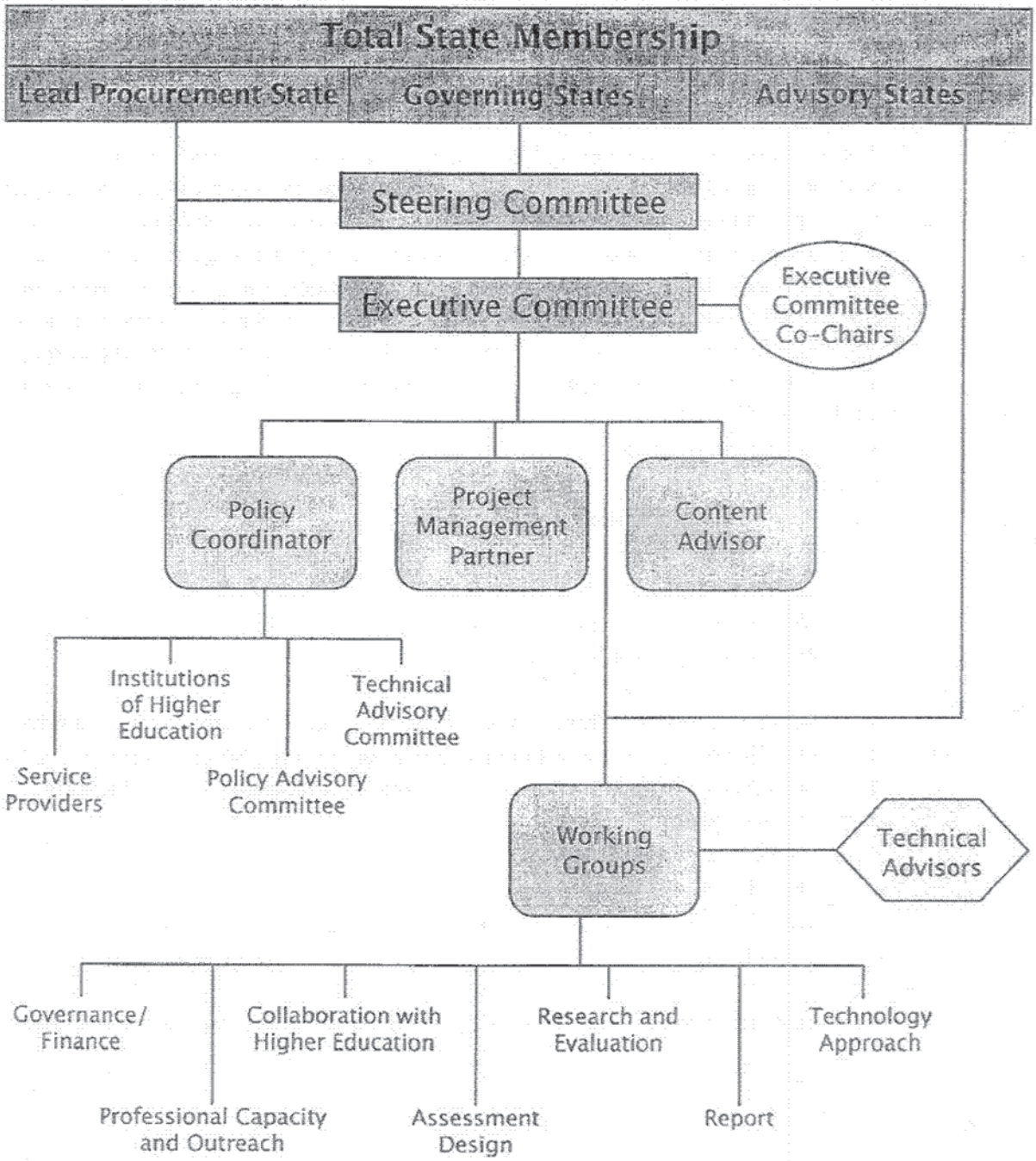

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- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
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Any State may leave the Consortium without cause, but must comply with the following exit process:

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- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
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Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
State budget may be cut	Risk	Statute	Legislation	January 2013		
State may create conflicting legislation with grant	Risk	Statute	Legislation	Unknown		
State advisory committees may recommend adoption of Common Core Standards with conflicting content	Risk	Policy	State Superintendent	March 2011	December 2011	
State may elect to withdraw to implement another consortium's RTTT assessment model	Risk	Policy	State Superintendent	June 2013	September 2013	State is currently enrolled in two RTTT consortia
State may elect to adopt certain assessment and accountability measures, including alternate assessment models, that may become permissible under forthcoming ESEA reauthorization	Issue	Policy	State Superintendent	Unknown	Unknown	

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: **North Dakota**	
Governor or Authorized Representative of the Governor (Printed Name): **John Hoeven, Governor**	Telephone: 701-328-2200
Signature of Governor or Authorized Representative of the Governor: John Hoeven	Date: 6-4-10
Chief State School Officer (Printed Name): **Wayne G. Sanstead, State Superintendent**	Telephone: 701-328-4570
Signature of the Chief State School Officer: Wayne G. Sanstead	Date: 6-02-10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: **North Dakota**	
State's chief procurement official (or designee), (Printed Name): **Angie Scherbenske, Procurement Officer**	Telephone: 701-328-2779
Signature of State's chief procurement official (or designee),: Angie Scherbenske	Date: 6-3-10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **May 28, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Delaware**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments--organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

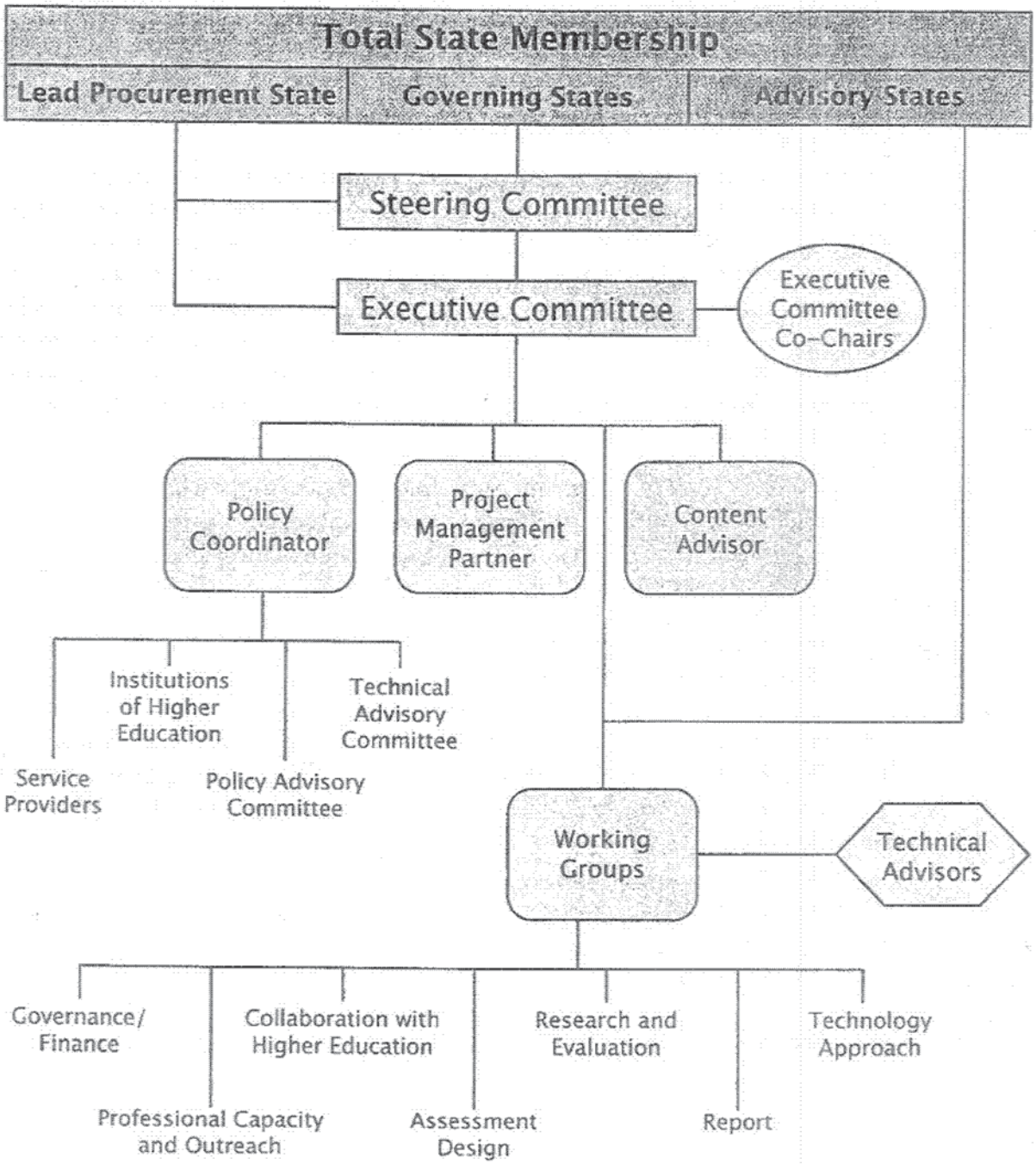
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
State may have to update legislation to support grant	Risk	Statue	Legislature	January 2013	June 2013	Specifics Unknown
Regulation update may be necessary to support grant	Risk	Regulation	State Board	September 2010	December 2011	Specifics Unknown
State will want to assure financial sustainability	Risk	Policy	Delaware Department of Education	Ongoing	September 2014	Specifics Unknown
State will not want to adopt an assessment lesser than available	Risk	Policy	Delaware Department of Education	September 2010	September 2014	Specifics Unknown
State may need to exit the consortium	Issue	Policy	U.S. Department of Education	July 2014	September 2014	Approval Language is Unclear

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: DELAWARE	
Governor or Authorized Representative of the Governor (Printed Name): Governor Jack Markell	Telephone: (302) 744-4101
Signature of Governor or Authorized Representative of the Governor: Jack Markell	Date: 6/9/2010
Chief State School Officer (Printed Name): Dr. Lillian M. Lowery, Secretary of Education	Telephone: (302) 735-4000
Signature of the Chief State School Officer: Lillian M. Lowery	Date: 6/9/2010
President of the State Board of Education, if applicable (Printed Name): Dr. Teri Quinn Gray	Telephone: (302) 735-4010
Signature of the President of the State Board of Education, if applicable: Teri Quinn Gray	Date: 6/10/2010

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: DELAWARE	
State's chief procurement official (or designee), (Printed Name): Karen Field Rogers Associate Secretary/Chief Financial Officer Financial Reform & Resource Management	Telephone: (302) 735-4025
Signature of State's chief procurement official (or designee),: Karen Field Rogers	Date: 6/10/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 10, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Alabama**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

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8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

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As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

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- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

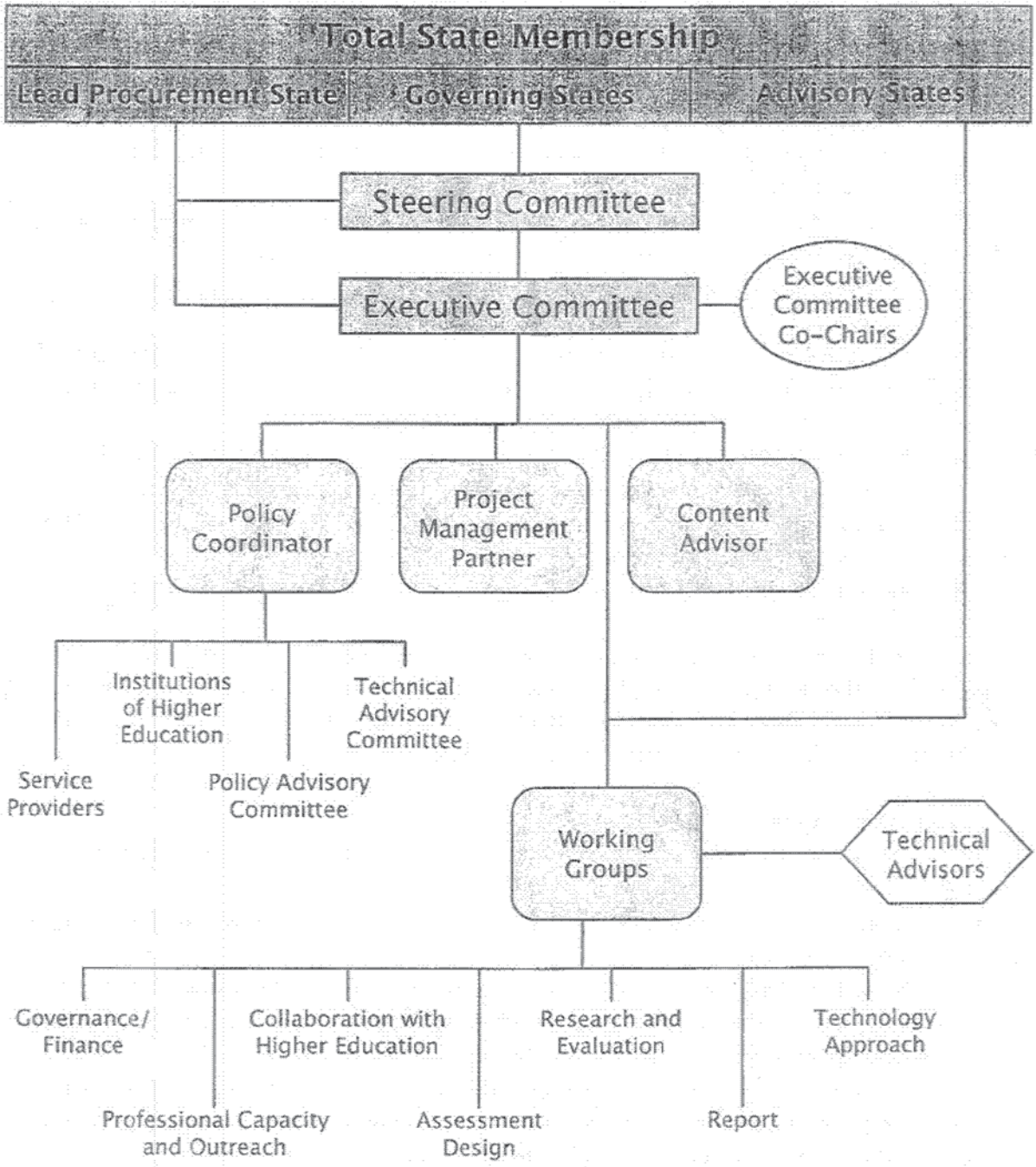
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
State budget may get cut	Risk	Statute	Legislature	January 2013	May 2013	
State may not adopt common core standards	Risk	Policy	State Board of Education	November 2010	December 2010	

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) **ADVISORY STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: Alabama	
Governor or Authorized Representative of the Governor (Printed Name): Bob Riley	Telephone: (334) 242-2000
Signature of Governor or Authorized Representative of the Governor:	Date: 6/10/2010
Chief State School Officer (Printed Name): Joseph B. Morton	Telephone: (334) 242-9700
Signature of the Chief State School Officer:	Date: 6/10/2010
President of the State Board of Education, if applicable (Printed Name): Randy McKinney	Telephone: (251) 967-2166
Signature of the President of the State Board of Education, if applicable:	Date: 6/10/2010

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Alabama	
State's chief procurement official (or designee), (Printed Name): Warren Craig Pouncey	Telephone: (334) 242-9755
Signature of State's chief procurement official (or designee),:	Date:

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 9, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Kentucky**, which has elected to participate in the Consortium as (check one)

__X___ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
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The Consortium will provide the following by the 2014-15 school year:

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2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

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- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
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Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

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The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

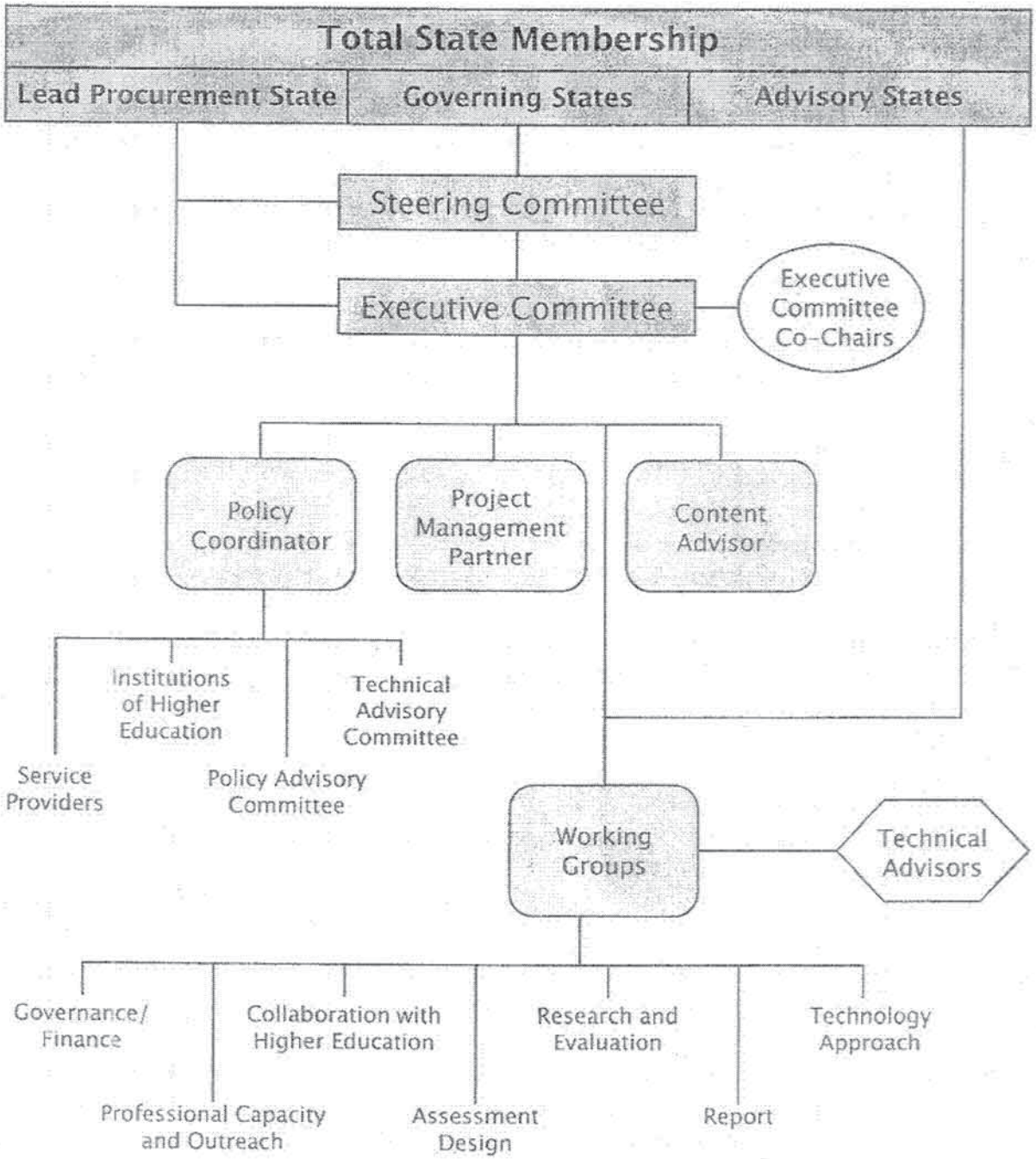
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
Kentucky state law, particularly SB1 of March 2009, will need to be reviewed and possibly adjusted to allow adoption of the consortium test(s) in 2015.	Issue	Statute: SB1, March 2009	General Assembly or State School Board (depending on analysis of new tests)	January 2013	Spring 2015	Needed changes would depend on the final version of the consortium testing program.

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: **KENTUCKY**	
Governor or Authorized Representative of the Governor (Printed Name): **Steve Beshear, Governor**	Telephone: 502-564-2611
Signature of Governor or Authorized Representative of the Governor:	Date: 6-9-10
Chief State School Officer (Printed Name): **Terry Holliday, Ph.D**	Telephone: 502-564-3141
Signature of the Chief State School Officer:	Date: 6-9-10
President of the State Board of Education, if applicable (Printed Name): **Joe Brothers, Chair**	Telephone: 502-564-3141
Signature of the President of the State Board of Education, if applicable:	Date: 6-9-10

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name: **NOT APPLICABLE SECTION FOR KENTUCKY**	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: KENTUCKY	
State's chief procurement official (or designee), (Printed Name): JONATHAN MILLER SECRETARY OF FINANCE	Telephone:
Signature of State's chief procurement official (or designee),:	Date: 6-21-16

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 10, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of New Hampshire**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
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- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
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Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

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The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

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- Governance/Finance,
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- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
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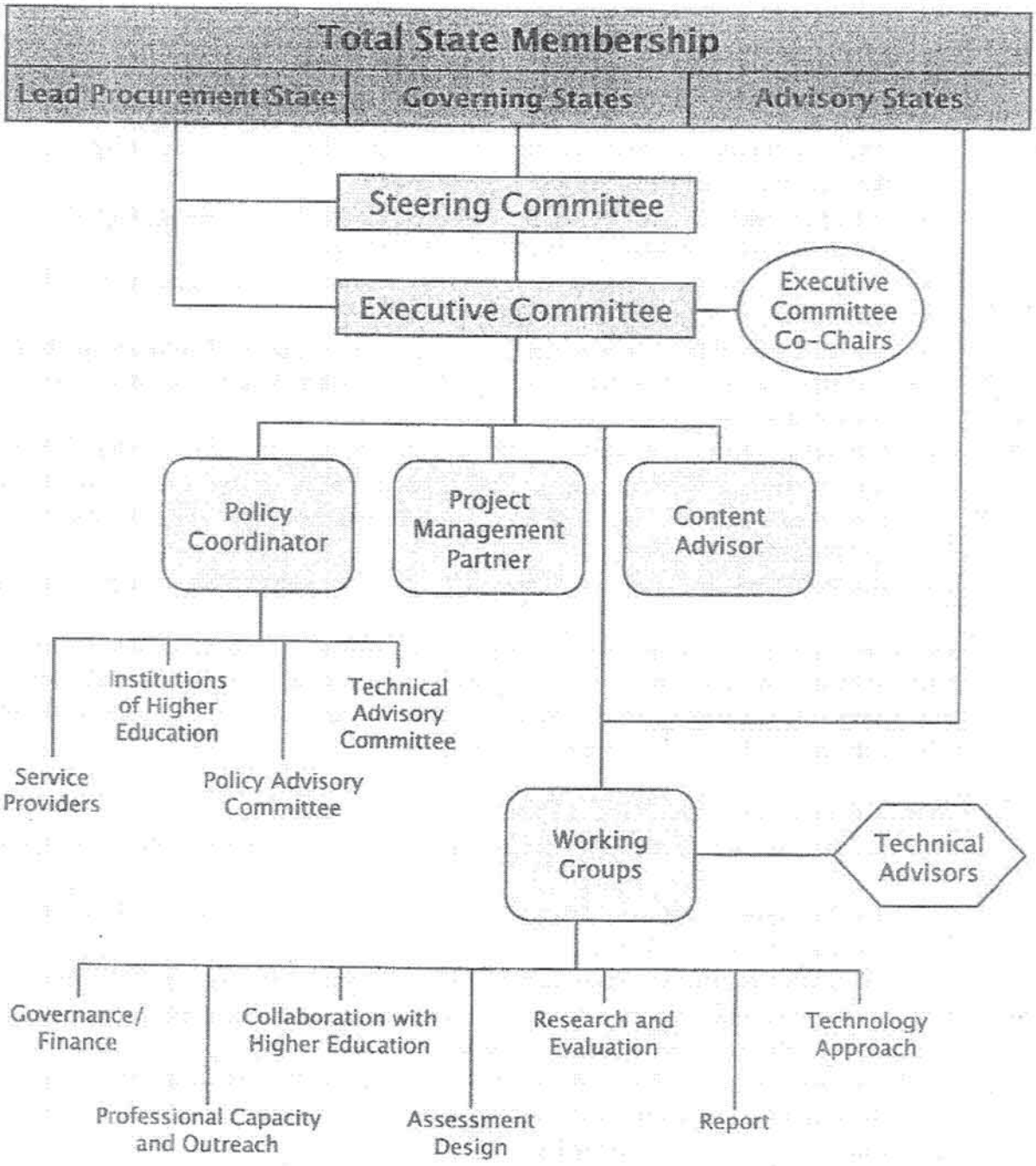
An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments
State Budget may get cut	Risk	Statute	Legislation	ongoing	ongoing	

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: New Hampshire	
Governor or Authorized Representative of the Governor (Printed Name): John H. Lynch	Telephone: (603)271-2121
Signature of Governor or Authorized Representative of the Governor:	Date: 6/8/10
Chief State School Officer (Printed Name): Virginia M. Barry	Telephone: (603)271-3144
Signature of the Chief State School Officer: Virginia M. Barry	Date: 6/8/10
President of the State Board of Education, if applicable (Printed Name): John E. Lyons, Jr.	Telephone: (603)271-3144
Signature of the President of the State Board of Education, if applicable:	Date: 6/9/10

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: New Hampshire	
State's chief procurement official (or designee), (Printed Name): Robert Stowell	Telephone: 603-271-2201
Signature of State's chief procurement official (or designee),:	Date: 6/7/10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 10, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Pennsylvania**, *which* has elected to participate in the Consortium as (check one)

___X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

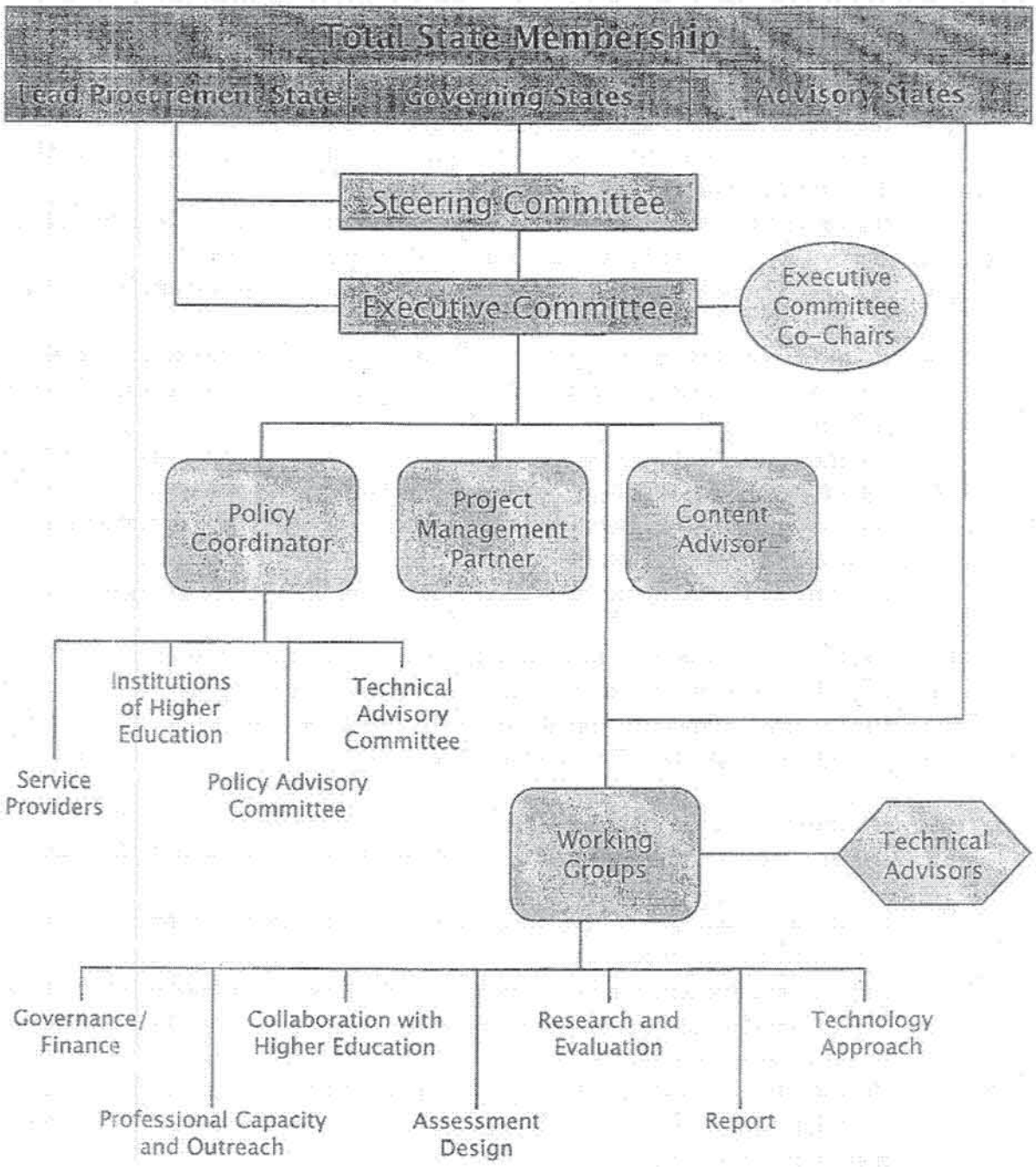
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: Pennsylvania	
Governor or Authorized Representative of the Governor (Printed Name): Edward G. Rendell	Telephone: 717-772-9003
Signature of Governor or Authorized Representative of the Governor: Edward G Rendell	Date: June 8, 2010
Chief State School Officer (Printed Name): Thomas E. Gluck, Acting Secretary of Education	Telephone: 717-783-9780
Signature of the Chief State School Officer:	Date: June 8, 2010
President of the State Board of Education, if applicable (Printed Name): Joseph M. Torsella	Telephone: 717-787-3787
Signature of the President of the State Board of Education, if applicable:	Date: June 8, 2010

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State Name: Pennsylvania	
Governor or Authorized Representative of the Governor (Printed Name): Edward G. Rendell	Telephone: 717-772-9003
Signature of Governor or Authorized Representative of the Governor:	Date: June 8, 2010
Chief State School Officer (Printed Name): Thomas E. Gluck, Acting Secretary of Education	Telephone: 717-783-9780
Signature of the Chief State School Officer:	Date: June 8, 2010
President of the State Board of Education, if applicable (Printed Name): Joseph M. Torsella	Telephone: 717-787-3787
Signature of the President of the State Board of Education, if applicable:	Date: June 8, 2010

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: Pennsylvania	
State's chief procurement official (or designee), (Printed Name): Anne Rung Deputy Secretary for Administration and Procurement	Telephone: 717-705-3896
Signature of State's chief procurement official (or designee),: Anne B	Date: June 8, 2010

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of June 10, **2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Oklahoma**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

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(a) Describe the Consortium vision and principles,
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    OR
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    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

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13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

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As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
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    - Other issues that may arise.

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- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Responsibilities

- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
- Provide oversight of the Lead Procurement State/Lead State,
- Work with project staff to develop agendas,
- Resolve issues,
- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
- Oversee the expenditure of funds, in collaboration with the Lead Procurement State/Lead State, and
- Receive and act on special and regular reports from the Project Management Partner, the Policy Coordinator, the Content Advisor, and the Lead Procurement State/Lead State.

Executive Committee Co-Chairs

- Two Co-chairs will be selected from the Steering Committee States. The two Co-chairs must be from two different states. Co-chairs will work closely with the Project Management Partner. Steering Committee members wishing to serve as Executive Committee Co-chairs will submit in writing to the Project Management Partner their willingness to serve. They will need to provide a document signed by their State Chief indicating State support for this role. The Project Management Partner will then prepare a ballot of interested individuals. Each Steering Committee member will vote on the two individuals they wish to serve as Co-chair. The individual with the most votes will serve as the new Co-chair.
- Each Co-chair will serve for two years on a rotating basis. For the first year, the Steering committee will vote on two individuals and the one individual with the most votes will serve a three-year term and the individual with the second highest number of votes will serve a two-year term.
- If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
- Oversee the work of the Executive Committee,
- Oversee the work of the Steering Committee,
- Coordinate with the Project Management Partner,
- Coordinate with Content Advisor,
- Coordinate with Policy coordinator,
- Coordinate with the Technical Advisory Committee (TAC), and
- Coordinate with Executive Committee to provide oversight to the Consortium.

Decision-making

Consensus will be the goal of all decisions. Major decisions that do not reach consensus will go to a simple majority vote. The Steering Committee will determine what issues will be referred to the Total State Membership. Each member of each group (Advisory/Governing States, Steering Committee, Executive Committee) will have one vote when votes are conducted within each group. If there is only a one to three vote difference, the issue will be re-examined to seek greater consensus. The Steering Committee will be responsible for preparing additional information as to the pros and cons of the issue to assist voting States in developing consensus and reaching a final decision. The Steering Committee may delegate this responsibility to the Executive Committee. The Executive Committee will decide which decisions or issues are votes to

be taken to the Steering Committee. The Steering Committee makes the decision to take issues to the full Membership for a vote.

The Steering Committee and the Governance/Finance work group will collaborate with each Work Group to determine the hierarchy of the decision-making by each group in the organizational structure.

Work Groups

The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

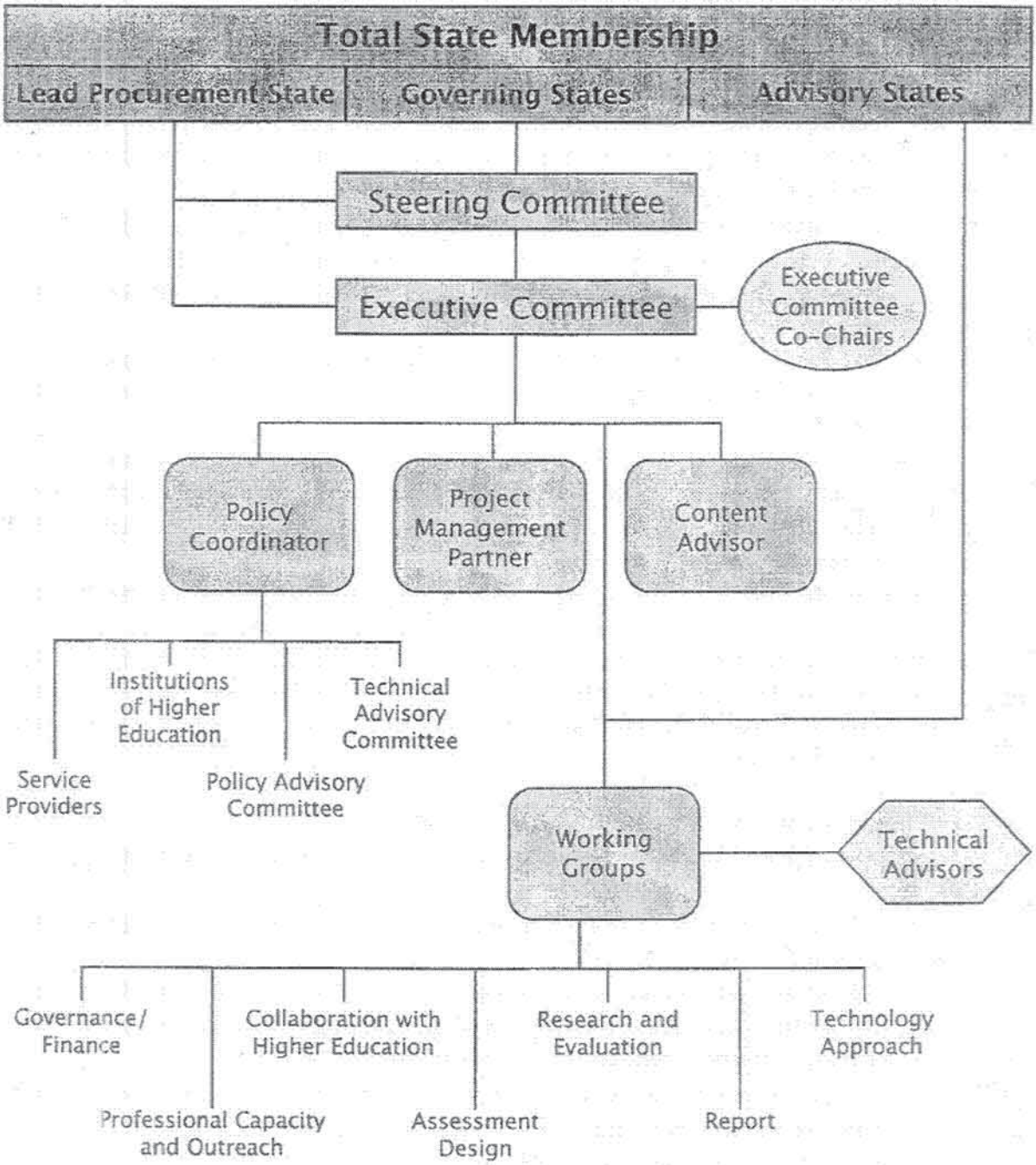
- Governance/Finance,
- Assessment Design,
- Research and Evaluation,
- Report,
- Technology Approach,
- Professional Capacity and Outreach, and
- Collaboration with Higher Education.

The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
- Technical Advisory Committee,
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: OKIAHomA	
Governor or Authorized Representative of the Governor (Printed Name): Brad Henry	Telephone: 405-521-2342
Signature of Governor or Authorized Representative of the Governor:	Date: 6-11-10
Chief State School Officer (Printed Name): Sandy Garrett	Telephone: 405-521-4885
Signature of the Chief State School Officer: Sandy Garrett	Date: 6-11-10
President of the State Board of Education, if applicable (Printed Name): Sandy Garrett	Telephone: 405-521-4885
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) **STATE PROCUREMENT OFFICER** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: OKLAHOMA	
State's chief procurement official (or designee), (Printed Name): SCOTT SCHLOTTHAUER	Telephone: 405-522-2115
Signature of State's chief procurement official (or designee),:	Date: 6/10/2010

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 11, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of New Jersey**, which has elected to participate in the Consortium as (check one)

__✓__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

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Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

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- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
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The Consortium will provide the following by the 2014-15 school year:

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- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

Steering Committee

The Steering Committee is comprised of one representative from each Governing State in the Consortium. Committee members may be a chief or his/her designee. Steering Committee Members must meet the following criteria:

- Be from a Governing State,
- Have prior experience in either the design or implementation of curriculum and/or assessment systems at the policy or implementation level, and
- Must have willingness to serve as the liaison between the Total State Membership and Working Groups.

Steering Committee Responsibilities

- Determine the broad picture of what the assessment system will look like,

- Receive regular reports from the Project Management Partner, the Policy Coordinator, and the Content Advisor,
- Determine the issues to be presented to the Governing and/or Advisory States,
- Oversee the expenditure of funds in collaboration with the Lead Procurement State/Lead State,
- Operationalize the plan to transition from the proposal governance to implementation governance, and
- Evaluate and recommend successful contract proposals for approval by the Lead Procurement State/Lead State.

Executive Committee

- The Executive Committee is made up of the Co-Chairs of the Executive Committee, a representative from the Lead Procurement State/Lead State, a representative from higher education and one representative each from four Governing States. The four Governing State representatives will be selected by the Steering Committee. The Higher Education representative will be selected by the Higher Education Advisory Group, as defined in the Consortium Governance document.
- For the first year, the Steering Committee will vote on four representatives, one each from four Governing States. The two representatives with the most votes will serve for three years and the two representatives with the second highest votes will serve for two years. This process will allow for the rotation of two new representatives each year. If an individual is unable to complete the full term of office, then the above process will occur to choose an individual to serve for the remainder of the term of office.

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- Oversee development of SMARTER Balanced Comprehensive Assessment System,
- Provide oversight of the Project Management Partner,
- Provide oversight of the Policy Coordinator,
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- Work with project staff to develop agendas,
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- Determine what issues/decisions are presented to the Steering Committee, Advisory and/or Governing States for decisions/votes,
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Executive Committee Co-Chair Responsibilities

- Set the Steering Committee agendas,
- Set the Executive Committee agenda,
- Lead the Executive Committee meetings,
- Lead the Steering Committee meetings,
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- Oversee the work of the Steering Committee,
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- Coordinate with the Technical Advisory Committee (TAC), and
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The Work Groups are comprised of chiefs, assessment directors, assessment staff, curriculum specialists, professional development specialists, technical advisors and other specialists as needed from States. Participation on a workgroup will require varying amounts of time depending on the task. Individuals interested in participating on a Work Group should submit their request in writing to the Project Management Partner indicating their preferred subgroup. All Governing States are asked to commit to one or more Work Groups based on skills, expertise, and interest within the State to maximize contributions and distribute expertise and responsibilities efficiently and effectively. The Consortium has established the following Work Groups:

- Governance/Finance,
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- Report,
- Technology Approach,
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The Consortium will also support the work of the Work Groups through a Technical Advisory Committee (TAC). The Policy Coordinator in collaboration with the Steering Committee will create various groups as needed to advise the Steering Committee and the Total State Membership. Initial groups will include

- Institutions of Higher Education,
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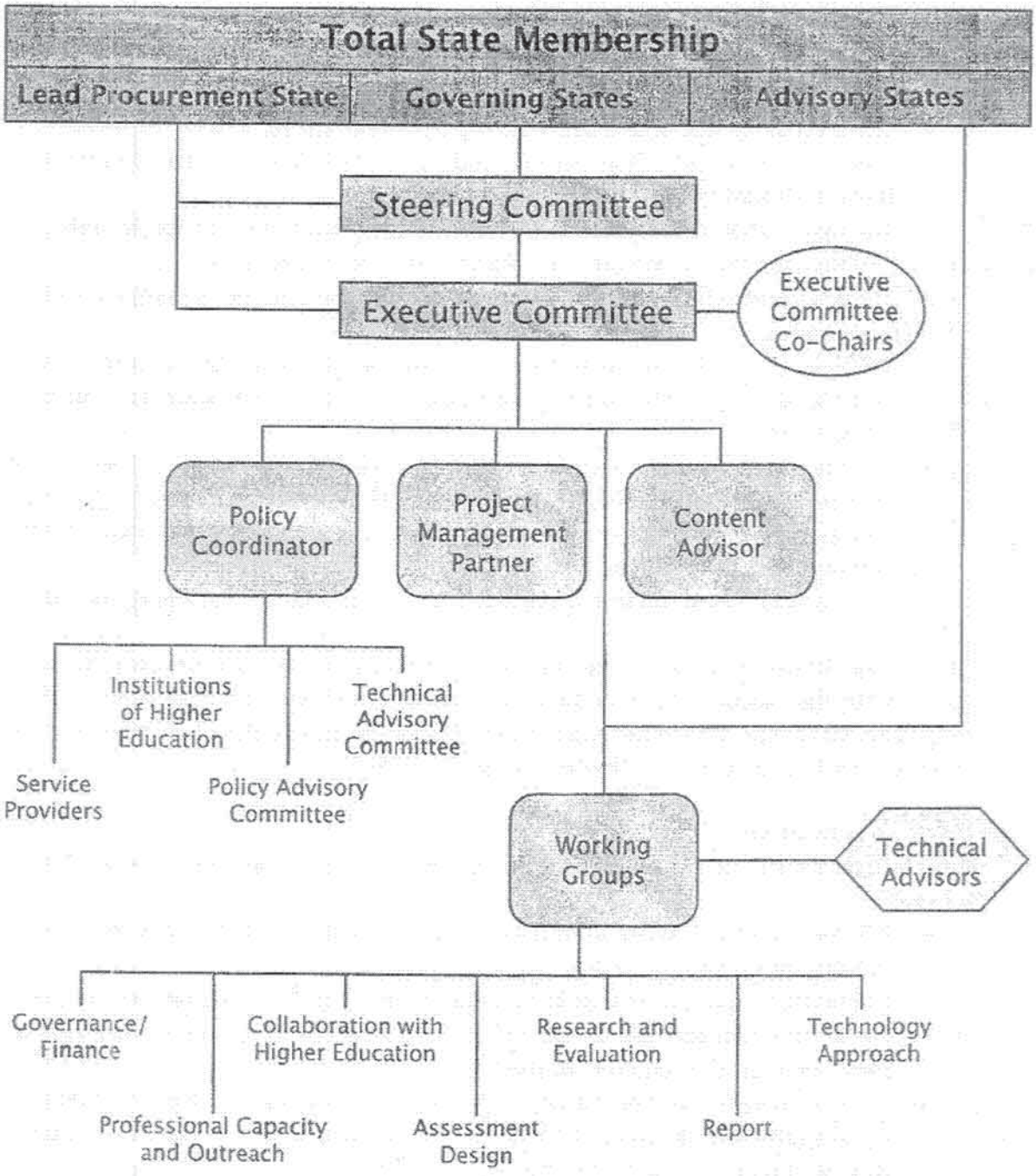
- Policy Advisory Committee, and
- Service Providers.

An organizational chart showing the groups described above is provided on the next page.

SMARTER Balanced Assessment Consortium Organizational Structure



(f) State Entrance, Exit, and Status Change

This MOU shall become effective as of the date first written above upon signature by both the Consortium and the Lead Procurement State/Lead State (Washington) and remain in force until the conclusion of the Program, unless terminated earlier in writing by the Consortium as set forth below.

Entrance into Consortium

Entrance into the Smarter Balanced Assessment Consortium is assured when:

- The level of membership is declared and signatures are secured on the MOU from the State's Commissioner, State Superintendent, or Chief; Governor; and President/Chair of the State Board of Education (if the State has one);
- The signed MOU is submitted to the Consortium Grant Project Manager (until June 23) and then the Project Management Partner after August 4, 2010;
- The Advisory and Governing States agree to and adhere to the requirements of the governance;
- The State's Chief Procurement Officer has reviewed its applicable procurement rules and provided assurance that it may participate in and make procurements through the Consortium;
- The State is committed to implement a plan to identify any existing barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system; and
- The State agrees to support all decisions made prior to the State joining the Consortium.

After receipt of the grant award, any request for entrance into the Consortium must be approved by the Executive Committee. Upon approval, the Project Management Partner will then submit a change of membership to the USED for approval. A State may begin participating in the decision-making process after receipt of the MOU.

Exit from Consortium

Any State may leave the Consortium without cause, but must comply with the following exit process:

- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

Barrier	Issue/Risk of Issue (if known)	Statute, Regulation, or Policy	Governing Body with Authority to Remove Barrier	Approximate Date to Initiate Action	Target Date for Removal of Barrier	Comments

[remainder of page intentionally left blank]

(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: New Jersey	
Governor or Authorized Representative of the Governor (Printed Name): Chris Christie	Telephone: (609) 292-6000
Signature of Governor or Authorized Representative of the Governor:	Date: 6/11/10
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

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(h)(i)(A) **ADVISORY STATE** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: New Jersey	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name): Bret Schundler	Telephone: 609-292-1722
Signature of the Chief State School Officer:	Date: 6/11/10
President of the State Board of Education, if applicable (Printed Name): Josephine E. Hernandez	Telephone: (609)984-6024
Signature of the President of the State Board of Education, if applicable:	Date: 6/10/10

(h)(ii) STATE PROCUREMENT OFFICER SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all States in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: NEW Jersey	
State's chief procurement official (or designee), (Printed Name): Robert A. Romano	Telephone: 609-984-2152
Signature of State's chief procurement official (or designee),: Robert A Romano	Date: 6-10-10

Memorandum of Understanding

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

This Memorandum of Understanding ("MOU") is entered as of **June 10, 2010**, by and between the **SMARTER Balanced Assessment Consortium** (the "Consortium") and the **State of Georgia**, which has elected to participate in the Consortium as (check one)

__X__ An **Advisory** State (description in section e),

OR

_____ A **Governing** State (description in section e),

pursuant to the Notice Inviting Applications for the Race to the Top Fund Assessment Program for the Comprehensive Assessment Systems Grant Application (Category A), henceforth referred to as the "Program," as published in the Federal Register on April 9, 2010 (75 FR 18171-18185.

The purpose of this MOU is to

(a) Describe the Consortium vision and principles,
(b) Detail the responsibilities of States in the Consortium,
(c) Detail the responsibilities of the Consortium,
(d) Describe the management of Consortium funds,
(e) Describe the governance structure and activities of States in the Consortium,
(f) Describe State entrance, exit, and status change,
(g) Describe a plan for identifying existing State barriers, and
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks:
    (i)(A) Advisory State Assurance
    OR
    (i)(B) Governing State Assurance
    AND
    (ii) State Procurement Officer

(a) Consortium Vision and Principles

The Consortium's priorities for a new generation assessment system are rooted in a concern for the valid, reliable, and fair assessment of the deep disciplinary understanding and higher-order thinking skills that are increasingly demanded by a knowledge-based economy. These priorities are also rooted in a belief that assessment must support ongoing improvements in instruction and learning, and must be useful for all members of the educational enterprise: students, parents, teachers, school administrators, members of the public, and policymakers.

The Consortium intends to build a flexible system of assessment based upon the Common Core Standards in English language arts and mathematics with the intent that all students across this Consortium of States will know their progress toward college and career readiness.

The Consortium recognizes the need for a system of formative, interim, and summative assessments—organized around the Common Core Standards—that support high-quality learning, the demands of accountability, and that balance concerns for innovative assessment with the need for a fiscally sustainable system that is feasible to implement. The efforts of the Consortium will be organized to accomplish these goals.

The comprehensive assessment system developed by the Consortium will include the following key elements and principles:

1. A Comprehensive Assessment System that will be grounded in a thoughtfully integrated learning system of standards, curriculum, assessment, instruction and teacher development that will inform decision-making by including formative strategies, interim assessments, and summative assessments.

2. The assessment system will measure the full range of the Common Core Standards including those that measure higher-order skills and will inform progress toward and acquisition of readiness for higher education and multiple work domains. The system will emphasize deep knowledge of core concepts within and across the disciplines, problem solving, analysis, synthesis, and critical thinking.

3. Teachers will be involved in the design, development, and scoring of assessment items and tasks. Teachers will participate in the alignment of the Common Core Standards and the identification of the standards in the local curriculum.

4. Technology will be used to enable adaptive technologies to better measure student abilities across the full spectrum of student performance and evaluate growth in learning; to support online simulation tasks that test higher-order abilities; to score the results; and to deliver the responses to trained scorers/teachers to access from an

electronic platform. Technology applications will be designed to maximize interoperability across user platforms, and will utilize open-source development to the greatest extent possible.

5. A sophisticated design will yield scores to support evaluations of student growth, as well as school, teacher, and principal effectiveness in an efficient manner.

6. On-demand and curriculum-embedded assessments will be incorporated over time to allow teachers to see where students are on multiple dimensions of learning and to strategically support their progress.

7. All components of the system will incorporate principles of Universal Design that seek to remove construct-irrelevant aspects of tasks that could increase barriers for non-native English speakers and students with other specific learning needs.

8. Optional components will allow States flexibility to meet their individual needs.

(b) Responsibilities of States in the Consortium

Each State agrees to the following element of the Consortium's Assessment System:

- Adopt the Common Core Standards, which are college- and career-ready standards, and to which the Consortium's assessment system will be aligned, no later than December 31, 2011.

Each State that is a member of the Consortium in 2014–2015 also agrees to the following:

- Adopt common achievement standards no later than the 2014–2015 school year,
- Fully implement statewide the Consortium summative assessment in grades 3-8 and high school for both mathematics and English language arts no later than the 2014–2015 school year,
- Adhere to the governance as outlined in this document,
- Agree to support the decisions of the Consortium,
- Agree to follow agreed-upon timelines,
- Be willing to participate in the decision-making process and, if a Governing State, final decision, and
- Identify and implement a plan to address barriers in State law, statute, regulation, or policy to implementing the proposed assessment system and to addressing any such barriers prior to full implementation of the summative assessment components of the system.

(c) Responsibilities of the Consortium

The Consortium will provide the following by the 2014-15 school year:

1. A comprehensively designed assessment system that includes a strategic use of a variety of item types and performance assessments of modest scope to assess the full range of the Common Core Standards with an emphasis on problem solving, analysis, synthesis, and critical thinking.

2. An assessment system that incorporates a required summative assessment with optional formative/benchmark components which provides accurate assessment of all students (as defined in the Federal notice) including students with disabilities, English learners, and low- and high-performing students.

3. Except as described above, a summative assessment that will be administered as a computer adaptive assessment and include a minimum of 1–2 performance assessments of modest scope.

4. Psychometrically sound scaling and equating procedures based on a combination of objectively scored items, constructed-response items, and a modest number of performance tasks of limited scope (e.g., no more than a few days to complete).

5. Reliable, valid, and fair scores for students and groups that can be used to evaluate student achievement and year-to-year growth; determine school/district/state effectiveness for Title I ESEA; and better understand the effectiveness and professional development needs of teachers and principals.

6. Achievement standards and achievement level descriptors that are internationally benchmarked.

7. Access for the State or its authorized delegate to a secure item and task bank that includes psychometric attributes required to score the assessment in a comparable manner with other State members, and access to other applications determined to be essential to the implementation of the system.

8. Online administration with limited support for paper-and-pencil administration through the end of the 2016–17 school year. States using the paper-and-pencil option will be responsible for any unique costs associated with the development and administration of the paper-and-pencil assessments.

9. Formative assessment tools and supports that are developed to support curricular goals, which include learning progressions, and that link evidence of student competencies to the summative system.

10. Professional development focused on curriculum and lesson development as well as scoring and examination of student work.

11. A representative governance structure that ensures a strong voice for State administrators, policymakers, school practitioners, and technical advisors to ensure an optimum balance of assessment quality, efficiency, costs, and time. The governance body will be responsible for implementing plans that are consistent with this MOU, but may make changes as necessary through a formal adoption process.

12. Through at least the 2013–14 school year, a Project Management Partner (PMP) that will manage the logistics and planning on behalf of the Consortium and that will monitor for the U.S. Department of Education the progress of deliverables of the proposal. The proposed PMP will be identified no later than August 4, 2010.

13. By September 1, 2014, a financial plan will be approved by the Governing States that will ensure the Consortium is efficient, effective, and sustainable. The plan will include as revenue at a minimum, State contributions, federal grants, and private donations and fees to non-State members as allowable by the U.S. Department of Education.

14. A consolidated data reporting system that enhances parent, student, teacher, principal, district, and State understanding of student progress toward college- and career-readiness.

15. Throughout the 2013–14 school year, access to an online test administration application, student constructed-response scoring application and secure test administration browsers that can be used by the Total State Membership to administer the assessment. The Consortium will procure resources necessary to develop and field test the system. However, States will be responsible for any hardware and vendor services necessary to implement the operational assessment. Based on a review of options and the finance plan, the Consortium may elect to jointly procure these services on behalf of the Total State Membership.

(d) Management of Consortium Funds

All financial activities will be governed by the laws and rules of the State of Washington, acting in the role of Lead Procurement State/Lead State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as *1512 Reporting*).

Per Washington statute, the basis of how funding management actually transpires is dictated by the method of grant dollar allocation, whether upfront distribution or pay-out linked to actual reimbursables. Washington functions under the latter format, generating claims against grant funds based on qualifying reimbursables submitted on behalf of staff or clients, physical purchases, or contracted services. Washington's role as Lead Procurement State/Lead State for the Consortium is not viewed any differently, as monetary exchanges will be executed against appropriate and qualifying reimbursables aligned to expenditure arrangements (i.e., contracts) made with vendors or contractors operating under "personal service contracts," whether individuals, private companies, government agencies, or educational institutions.

Washington, like most States, is audited regularly by the federal government for the accountability of federal grant funds, and has for the past five years been without an audit finding. Even with the additional potential for review and scrutiny associated with ARRA funding, Washington has its fiscal monitoring and control systems in place to manage the Consortium needs.

- As part of a comprehensive system of fiscal management, Washington's accounting practices are stipulated in the State Administrative and Accounting Manual (SAAM) managed by the State's Office of Financial Management. The SAAM provides details and administrative procedures required of all Washington State agencies for the procurement of goods and services. As such, the State's educational agency is required to follow the SAAM; actions taken to manage the fiscal activities of the Consortium will, likewise, adhere to policies and procedures outlined in the SAAM.
- For information on the associated contracting rules that Washington will adhere to while serving as fiscal agent on behalf of the Consortium, refer to the Revised Code of Washington (RCW) 39.29 "Personal Service Contracts." Regulations and policies authorized by this RCW are established by the State's Office of Financial Management, and can be found in the SAAM.

(e) Governance Structure and Activities of States in the Consortium

As shown in the SMARTER Balanced Assessment Consortium governance structure, the Total State Membership of the Consortium includes Governing and Advisory States, with Washington serving in the role of Lead Procurement State/Lead State on behalf of the Consortium.

A **Governing** State is a State that:

- Has fully committed to this Consortium only and met the qualifications specified in this document,
- Is a member of only one Consortium applying for a grant in the Program,
- Has an active role in policy decision-making for the Consortium,
- Provides a representative to serve on the Steering Committee,
- Provides a representative(s) to serve on one or more Work Groups,
- Approves the Steering Committee Members and the Executive Committee Members,
- Participates in the final decision-making of the following:
    - Changes in Governance and other official documents,
    - Specific Design elements, and
    - Other issues that may arise.

An **Advisory** State is a State that:

- Has not fully committed to any Consortium but supports the work of this Consortium,
- Participates in all Consortium activities but does not have a vote unless the Steering Committee deems it beneficial to gather input on decisions or chooses to have the Total Membership vote on an issue,
- May contribute to policy, logistical, and implementation discussions that are necessary to fully operationalize the SMARTER Balanced Assessment System, and
- Is encouraged to participate in the Work Groups.

Organizational Structure

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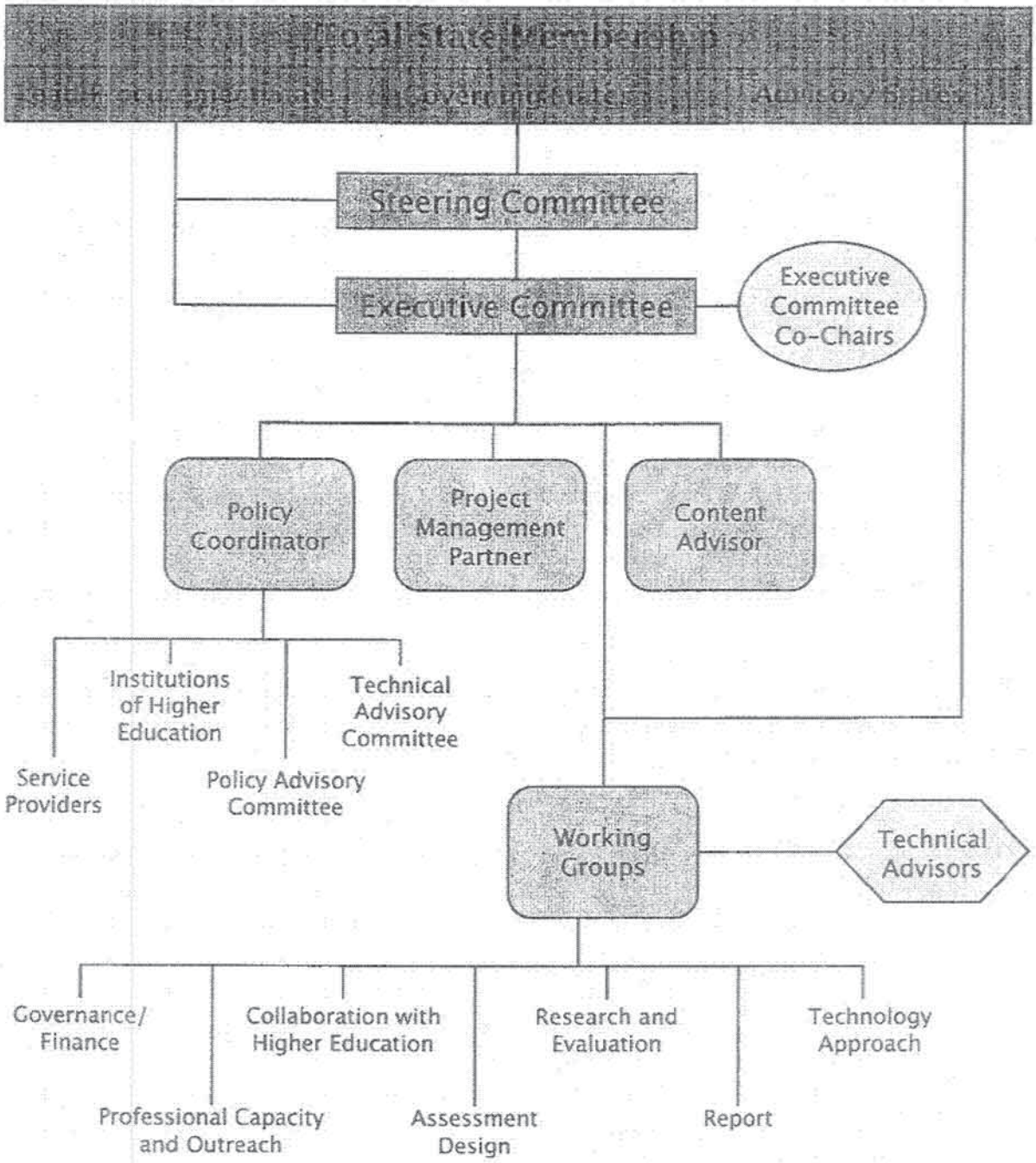

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- A State requesting an exit from the Consortium must submit in writing their request and reasons for the exit request,
- The written explanation must include the statutory or policy reasons for the exit,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU,
- The Executive Committee will act upon the request within a week of the request, and
- Upon approval of the request, the Project Management Partner will then submit a change of membership to the USED for approval.

Changing Roles in the Consortium

A State desiring to change from an Advisory State to a Governing State or from a Governing State to an Advisory State may do so under the following conditions:

- A State requesting a role change in the Consortium must submit in writing their request and reasons for the request,
- The written request must be submitted to the Project Management Partner with the same signatures as required for the MOU, and
- The Executive Committee will act upon the request within a week of the request and submit to the USED for approval.

(g) Plan for Identifying Existing State Barriers

Each State agrees to identify existing barriers in State laws, statutes, regulations, or policies by noting the barrier and the plan to remove the barrier. Each State agrees to use the table below as a planning tool for identifying existing barriers. States may choose to include any known barriers in the table below at the time of signing this MOU.

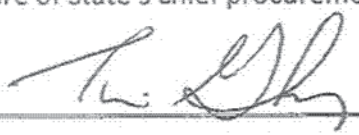
Barrier	Issue
Funding	Additional funding will be required to support operational administration. The Georgia Department of Education will work with the Governor's Office and the State Legislature to secure funding.
Technology	Once minimum system requirements are determined for the administration of the assessment system, the Georgia Department of Education will evaluate district readiness. Implementation may require additional infrastructure (such as hardware and bandwidth) for some districts.
State Board of Education Policies and Regulations	As the assessment systems is developed, including administration policies and protocols, Georgia policies and regulations will be reviewed and updated as needed.

[remainder of page intentionally left blank]

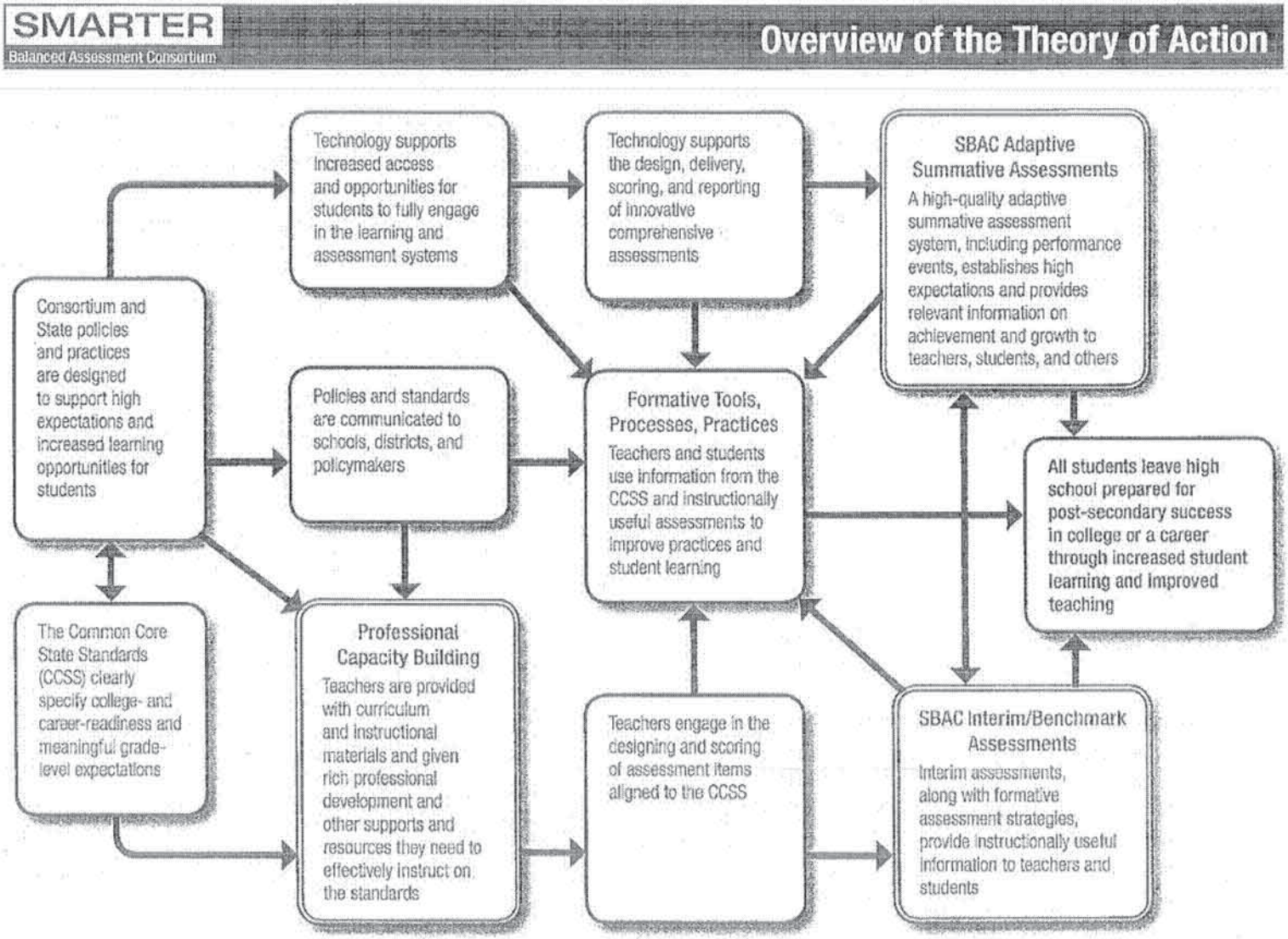
(h) Bind each State in the Consortium to every statement and assurance made in the application through the following signature blocks

(h)(i)(A) ADVISORY STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from all "Advisory States" in the Consortium.)* As an Advisory State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Advisory States, and agree to be bound by the statements and assurances made in the application.	
State Name: Georgia	
Governor or Authorized Representative of the Governor (Printed Name): Sonny Perdue George "Sonny" Perdue	Telephone: 404-463-6225
Signature of Governor or Authorized Representative of the Governor: Sonny Perdue	Date: 6/8/10
Chief State School Officer (Printed Name): Kathy Cox	Telephone: 404.656.2800
Signature of the Chief State School Officer: Kathy Cox	Date: 6/8/2010
President of the State Board of Education, if applicable (Printed Name): Wanda Barrs Wanda T. Barrs	Telephone: 404.657.7410
Signature of the President of the State Board of Education, if applicable: Wanda T. Barrs	Date:

(h)(i)(B) GOVERNING STATE SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances *(Required from all "Governing States" in the Consortium.)* As a Governing State in the SMARTER Balanced Assessment Consortium, I have read and understand the roles and responsibilities of Governing States, and agree to be bound by the statements and assurances made in the application. I further certify that as a Governing State I am fully committed to the application and will support its implementation.	
State Name:	
Governor or Authorized Representative of the Governor (Printed Name):	Telephone:
Signature of Governor or Authorized Representative of the Governor:	Date:
Chief State School Officer (Printed Name):	Telephone:
Signature of the Chief State School Officer:	Date:
President of the State Board of Education, if applicable (Printed Name):	Telephone:
Signature of the President of the State Board of Education, if applicable:	Date:

(h)(ii) **STATE PROCUREMENT OFFICER** SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application Assurances. *(Required from <u>all States</u> in the Consortium.)* I certify that I have reviewed the applicable procurement rules for my State and have determined that it may participate in and make procurements through the SMARTER Balanced Assessment Consortium.	
State Name: State of Georgia	
State's chief procurement official (or designee), (Printed Name): Tim Gibney	Telephone: 404-656-0934
Signature of State's chief procurement official (or designee),: 	Date: June 9, 2010

Appendix A2-1: Overview of the Theory of Action



Appendix A3-1: Overview of Assessment System

Grades 3–8

ASSESSMENT COMPONENT	REQUIRED FOR EACH STATE	TBD BY STATE
Grades 3–8 adaptive comprehensive summative assessment[1] • ELA and mathematics (separate assessments) • Adaptive portion includes multiple-choice, technology-enhanced, and more traditional constructed-response items[2] • Used for measuring achievement and growth for Title I accountability purposes (on track to being college- and career-ready) • Includes 2 performance tasks (typically 1–2 class periods) in each content area (to be administered only one time per year, contingent on budget and item bank)[3] • Secure high-stakes item pool	• Administered annually at each grade level using items from a secure pool • 1–2 testing opportunities per student per year	Administration will occur during the last 12 weeks of instruction
Grades 3–8 adaptive interim/benchmark based on learning progressions and/or CCSS content clusters[4] • Blueprint will provide for more in-depth assessment of what students know and can do based on smaller clusters of content and learning progressions (on track to college- and career-ready) • Will include a performance event bank mapped to the content standards for local use • A non-secure pool of items	Available for State/local use	Administration window (system will provide a fully open testing window)—States may restrict the window according to their policies How scores are used (e.g., State/local accountability)

[1] Consortium-supported research agenda will include studies to determine the comparability of distributed summative assessments with the comprehensive summative assessment for the purposes of Title I accountability. Comparability will be based on meeting the Consortium definition of on track for college- and career-ready and assessing the full range of the CCSS. The Consortium research activities will also support States that wish to develop and pilot highly innovative assessment tasks—simulations, extended performance tasks—as part of the summative assessment.

[2] The basic preliminary item blueprint across grades includes: For reading, 44% selected-response, 21% technology-enhanced constructed-response, 18% traditional constructed-response, 18% performance assessments. For writing, speaking and listening, 9% selected-response, 32% technology-enhanced constructed-response, 25% traditional constructed-response, and 35% performance event. For mathematics, 22% selected-response, 41% technology-enhanced constructed-response, 14% traditional constructed-response, and 23% performance events.

[3] The proposed number and scope of performance events are estimates. The actual events to be included within the system will be dependent on the final version of the Common Core State Standards and the number and scope of tasks necessary to assess the full range of the standards at each grade.

[4] The number of sequences/learning progressions for each grade and content area will be determined by the content specified in the Common Core State Standards.

ASSESSMENT COMPONENT	REQUIRED FOR EACH STATE	TBD BY STATE
Grades 3–8 formative tools, processes, and practices • Focus on data for formative purposes • Linked directly to improved teaching and learning • Evidence collected during instruction (feedback cycle) that can lead to gains in student achievement • Resources support CCSS implementation • Different tools for different purposes (e.g., diagnostic, checking a group's level of understanding prior to and following a lesson or unit of instruction, checking for misconceptions, charting progress, differentiating instruction, evaluating an instructional strategy or program)	Option available for State/local use	Classroom-focused, on-demand set of resources

Grades 9–12

ASSESSMENT COMPONENT	REQUIRED FOR EACH STATE	TBD BY STATE
High school (Grades 9–12)[5] adaptive comprehensive summative assessment • English language arts and mathematics (separate assessments) • Adaptive portion includes multiple-choice, technology-enhanced, and more traditional constructed-response items[6] • Used for measuring achievement and growth for Title 1 accountability purposes (college- and career-ready) • Includes up to 6 performance events (typically 1–2 class periods) in each content area by the end of grade 11—half of the tasks will assess the English language arts or mathematics content in the context of science or social studies (per the expectations of the CCSS) • Secure high-stakes item pool • States must administer the summative assessment in grade 11 until research shows that scores from assessments administered earlier (grade 9 or 10) are comparable to those from the grade 11 assessment • An adaptive grade 9/10 summative assessment will be available for States whose selected high school growth model requires a comparable score between the grade 8 and grade 11 administrations	• Students may test up to 2 times on the adaptive portion of the summative assessment • Any student has the opportunity for retest on the adaptive portion	Administration will occur during the last 12 weeks of instruction

[5] Consortium-supported research agenda will include studies to determine the comparability of distributed summative assessments with the comprehensive summative assessment for the purposes of Title I accountability. Comparability will be based on meeting the Consortium definition of on track for college- and career-ready and assessing the full range of the CCSS. The Consortium research activities will also support States that wish to develop and pilot highly innovative assessment tasks—simulations, extended performance tasks—as part of the summative assessment.

[6] The basic preliminary item blueprint across grades includes: For reading, 44% selected-response, 21% technology-enhanced constructed-response, 18% traditional constructed-response, and 18% performance events. For writing, speaking and listening, 9% selected-response, 32% technology-enhanced constructed-response, 25% traditional constructed-responses, and 35% performance event. For mathematics, 22% selected-response, 41% technology-enhanced constructed-response, 14% traditional constructed-response, and 23% performance events.

States would have access to the secure summative item pool for the development of CCSS cluster/domain assessments or EOCs for purposes **other than** Title I accountability.	Optional for State use States that elect to use the summative item bank for purposes of cluster or EOC assessments are allotted no more than two testing opportunities per grade per cluster (contingent on budget and item bank)	Blueprint for cluster-domain assessments or EOCs to be determined by each State States are responsible for research studies to demonstrate comparability of cluster/domain assessments or EOCs (if different from the Consortium definition) with the comprehensive summative assessment for purposes of Title I accountability. Comparability must meet Consortium definition of proficiency and assess the full range of the CCSS.
Grades 9–12 adaptive interim/benchmarks based on learning progressions and/or CCSS content clusters • Blueprint will provide for more in-depth assessment of what students know and can do based on smaller clusters of content and learning progressions (on track to being college- and career-ready) • Will include a performance event item bank mapped to the standards for local use • A non-secure pool of items	Option available for State/local use	Administration window (system will provide a fully open testing window)—States may restrict the window according to their policies
Grades 9–12 formative tools, processes and practices • Focus on data for formative purposes • Linked directly to improved teaching and learning • Evidence collected during instruction (feedback cycle) that can lead to gains in student achievement • Resources support CCSS implementation • Different tools for different purposes (e.g., diagnostic, checking a group's level of understanding prior to and following a lesson or unit of instruction, checking for misconceptions, charting progress, differentiating instruction, evaluating an instructional strategy or program)	Option available for State/local use	Classroom-focused, on-demand set of resources

Policy Note: For purpose of ESEA accountability, the highest valid score counts.

Appendix A3-2: Access by Design: A Theory of Action and Research

The Access by Design Model is a framework for purposefully engineering accessibility features into all assessment design blueprints and structures from the beginning and throughout the assessment development process. The intention is to address upfront the vast majority of student access needs (e.g., cognitive, processing, sensory, physical, language) with specific accessibility features (e.g., magnification, audio representation of graphic elements, linguistic simplification) that are designed into the structure and delivery of the assessment items and formats. The intention is to do so in a manner that ensures that the integrity of the targeted grade-level constructs is maintained. Additional "accommodations" requiring special documentation and procedures, or additional local resources for implementation, are thereby minimized at every opportunity through the design and development of the assessments. Only for a small subgroup of students will these accessibility features and accommodations not suffice; therefore, the assessments would be modified (e.g., alternate assessments based on alternate achievement standards) (Tier 3 Access).

The Access by Design Model:
(Three tiers progressively becoming only two.)

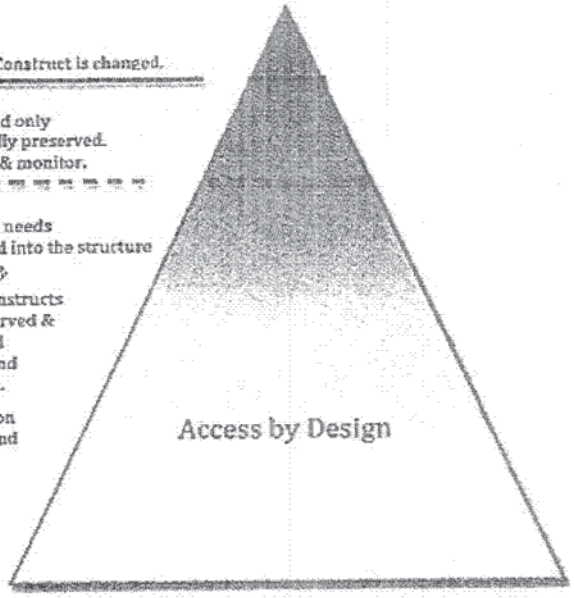
Tier 3 Access: Modified assessment needed for the student to engage. Construct is changed.

Tier 2 Access: Few "accommodations" are needed by fewer students, and only in extreme or unforeseen circumstances. Construct is fully preserved. Accommodations require additional resources to deliver & monitor.

Tier 1 Access: The vast majority of student sensory and communication needs are predictable and met by accessibility features designed into the structure and delivery of test items and formats from the beginning.

Items are designed to be faithful to rigorously defined constructs & required performance elements. AND – delivered, observed & measured in a fully standardized manner that is valid and appropriate to specific access profiles identified. Rigor and standardization are maintained within the system design.

Technology is also employed to gather background data on student problem solving patterns to inform instruction and improve future system design.



Fedorchak, G.V., NH Department of Education, 2010.

The SMARTER Balanced Assessment Consortium assessments will be consistent with the model's "Tier 1 Access" and "Tier 2 Access." That is, the assessments will address the access needs of students, primarily through accessibility features designed upfront into the structure and delivery of the assessments, with few, specific accommodations provided. Additionally, the assessments will fully preserve the targeted grade-level constructs, maintaining the integrity of the grade-level constructs with regard to being on track to college- and career-readiness, and provide information related to students' understanding of grade-level constructs for instructional purposes.

Guiding Principles for our Technological Approach to Providing Universal Access

1. Use of technology will extensively leverage the interactive nature of the medium (i.e., not used solely for efficiency) to support student access, engagement, optimum effort, and performance.
    i. The technology will assess the varying complexity or depth-of-knowledge of skills and abilities as can be effectively done through the medium (e.g., student interface with innovative items).
    ii. The technology will be developed in such a way that access to this interactive nature is provided to the greatest number of students possible (e.g., use of assistive devices that directly address language needs or needs for tab-entering manipulation and response output based on predefined student access profile information).
2. Interactive technology components that provide meaningful and valid forms of presentation, engagement, and response for students, while rigorously preserving grade-level constructs being tested, will address access barriers including vision, hearing, motor, and other sensory, physical, cognitive, processing, and language needs of students.
3. The use of technology for delivery of accessible test items and formats will be evaluated on a regular basis by experts with current knowledge of research and experience relevant to the specific sensory, physical, cognitive, processing, and language access needs of students (e.g., vision, hearing, motor skills, communication disorders, assistive technology, inclusive education, and English learners). Advice and guidance will be solicited from specialized experts who work with the student populations most impacted by accessible designs.
4. Technology used to support universally accessible item design, development, and delivery will recognize and use tagging structures that support interoperability, accessibility, and construct fidelity (e.g., Accessible Portable Item Protocol [APIP] Standards). These standardized technology "feature tagging" systems will be used to render items in a consistent manner that is both faithful to the construct and accessible to students with specific and identifiable access profiles. This will permit transfer and implementation of test content across different delivery platforms (and vendors) in the various Consortium States. Features "tagged" will include various item structure elements, including but not limited to construct definition *and* accessibility (or accommodation) features.
5. Content specialists will regularly evaluate the fidelity of the preservation of the rigor of grade-level constructs being rendered in items and design formats made accessible through the implementation of portable item technology tagging standards. Cognitive elements of item design will be included in the evaluation to ensure that such elements do not adversely impact the academic rigor of the grade-level constructs assessed.
6. Use of all digital technologies in our assessment system will be reviewed on a regular basis, with advice and guidance provided by specialists knowledgeable in computer design and human use of interactive interfaces and graphics as well as other elements of technology employed within the assessment system, such as reporting and professional development portals and tools.
7. Findings from research and emerging practices related to access and accessibility options in technology will be integrated through the iterative processes related to the system's development, refinement, and implementation.
8. The Consortium will seek to provide equity in availability and affordability of technology-based assessment services and tools for all schools regardless of their size, location, or funding status. Technology systems and tools selected for use in assessments under this

proposal will be chosen to maximize each State's ability to deliver these services and tools in a cost-effective manner to all of their schools and public students Statewide. Equity of student access across small, rural, urban, and other areas will be a high priority.

9. Open-source, nonprofit sources will be used to the maximum extent, provided that the suppliers meet the very high standards of production, delivery, and security protection required of a world-class assessment system.
10. All technology selected, used, or developed will be based on existing or developing (but recognized) technology interoperability standards. This will support a seamless system of assessment delivery across Consortium States, provide item portability as needed, and ensure continuity of universal item design features across multiple platforms and uses.
11. Technology will be used to *provide professional and public online portals to serve educators, the community, and our students directly.* Technology used for delivery of (FERPA-compliant) public and confidential reports and interpretive materials to parents, teachers, and students will also provide accessibility options for people within the larger community who use these assessment report, interpretation, student, and staff development tools.

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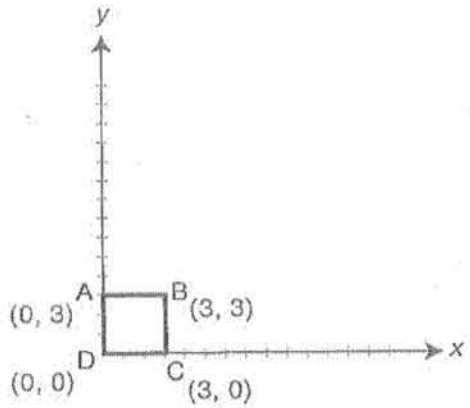
Sample Item · Selected Response

The diagram below shows four points that are connected to form square ABCD.



Square ABCD will be transformed into quadrilateral A′B′C′D′ using the rule $(x, y) \rightarrow (2x, 3y)$. What type of quadrilateral will image A′B′C′D′ be?

- ◯ a square
- ◯ a rectangle
- ◯ a rhombus
- ◯ a trapezoid

Next

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Sample Item · Passage-Based Selected Response

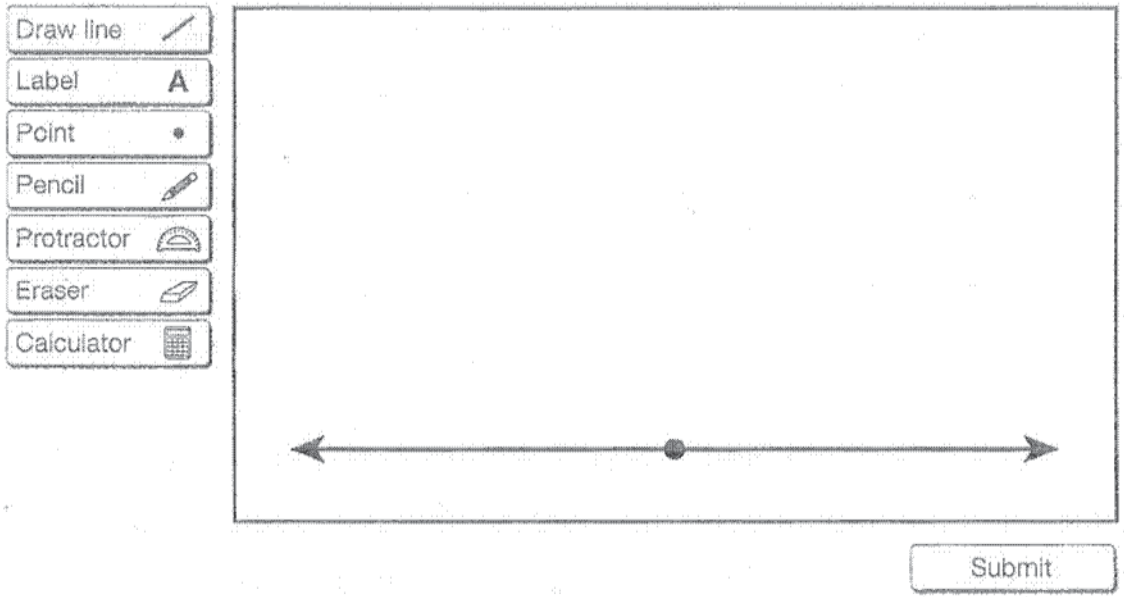
How does the author create the tone of the first paragraph?

- ◯ He uses sarcasm and distorted descriptions to create a cynical tone.
- ◯ He uses vivid word choice and lengthy sentences to create an awed tone.
- ◯ He uses sophisticated sentences and ornate language to create a superior tone.
- ◯ He uses figurative language and humorous comparisons to create an amused tone.

Next

Note: Passage not included.

A straight angle is shown below.



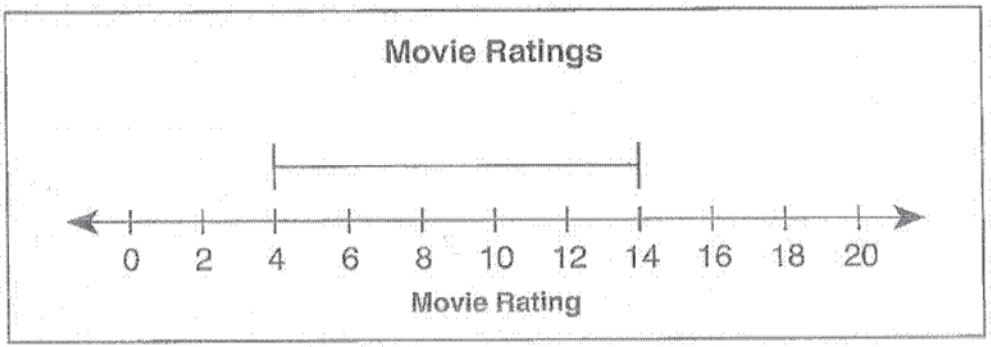
Change the measure of the angle to 35°. Click on the arm of the angle you would like to select. Then click where you would like to place the arm of the angle.

Use the protractor in the toolbar to confirm your measurement.

Fifteen students watched a movie and rated the movie on a scale of 1 (very bad movie) to 20 (very good movie). Their ratings are shown in the table.

a. Using the data in the table, complete the box-and-whisker plot by adding the upper quartile, the lower quartile, and the median. A box will be formed with the three points indicated. You will be able to adjust the box once created if needed.

Click on the line to add the upper quartile, lower quartile, and median.



Submit

Movie Ratings

Student	Movie Rating
Andy	14
Bee	8
Cory	5
Doug	8
Jamal	5
Jasper	11
Jenn	12
Katie	13
Martin	9
Pat	11
Rose	13
Sam	4
Sofie	7
Thomas	12
Young	9

(continued)

b. The teacher gave the movie a rating of 8. The teacher's rating was added to the ratings of the 15 students. Explain how the addition of the teacher's rating will affect the:

- minimum
- maximum
- upper quartile
- lower quartile
- median

Enter response here

Submit

This is the first draft of a second grade student's report on dogs. Make the necessary edits to improve this report.

Edit for:

1. correct capitalization and punctuation
2. spelling
3. standard grammar

there | is | many kinds of dogs. Some dogs are big and some are small | ? | Puppys | are young dogs.

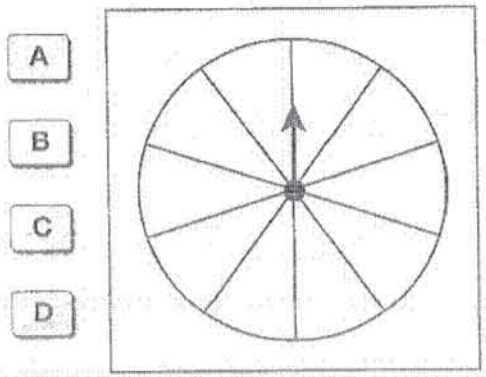
Submit

A spinner has 10 sections of equal size. Each section on the spinner is labeled with one letter (A, B, C, or D). The arrow on the spinner was spun 40 times. The results of the spins are recorded in the table below.

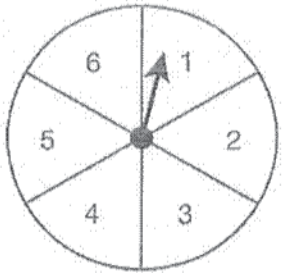
Spinner Results

Letter	Number of Spins
A	8
B	12
C	4
D	16

Based on the data in the table, complete the spinner below to show the number of sections that are most likely labeled with each letter. Click on the letter you want to select. Then click where you would like to place the letter on the spinner.



The spinner below is divided into six equal sections. Each section is marked with a number from 1 to 6.

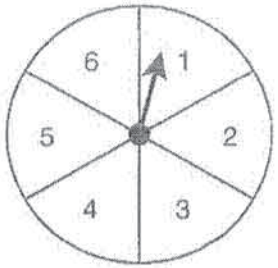


a. The theoretical probability of spinning each number is $\frac{1}{6}$. Based on this probability, how many times should each number occur in 20 spins?

Enter response here | Submit

(*continued*)

You will now conduct an experiment by spinning the spinner 20 times. Use the spinner below to conduct the experiment. Use the spin button to run each trial, then tabulate the results on your scratch paper.



Spin

b. Create a frequency table in the template below that shows the results of the spins. Provide appropriate labels for the table.

Submit

(continued)

c. Explain clearly why your answer from **part a** is different from or the same as the results given in the table above.

Enter response here

Submit

d. If the spinner were spun 200 more times, how would the frequency of the results be affected?

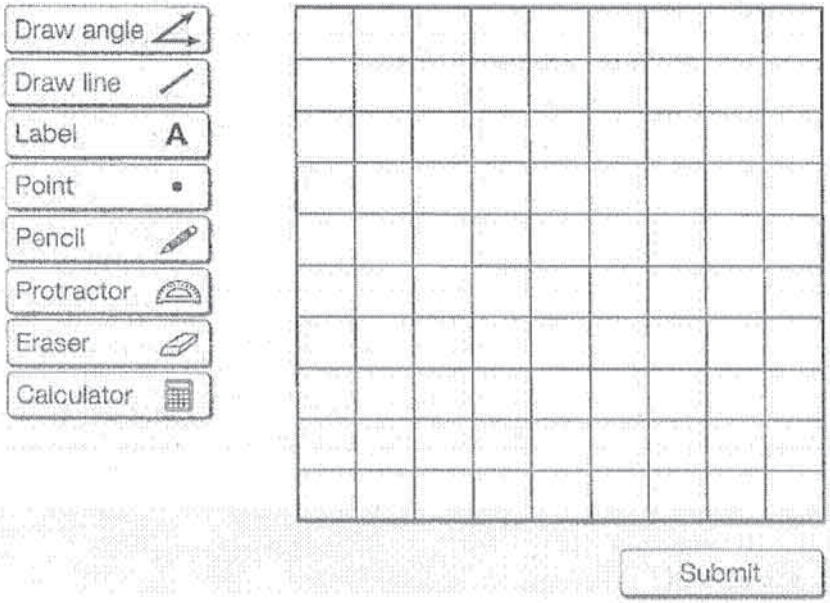
Enter response here

Submit

The Hardwood Furniture Company manufactures small tables and chairs. It costs \$30 to make each table and \$20 to make each chair. The amount available to produce all the tables and chairs in one week is \$1,200. Let t represent the number of tables produced and c represent the number of chairs produced.

a. The equation for the cost of making furniture for one week is $30t + 20c = 1{,}200$. On the grid below, construct a graph of this equation (with correct labels and scales).

b. The Hardwood Furniture Company always produces two chairs with each table. Write an equation that represents the number of chairs (c) in terms of the number of tables (t). Graph and label this equation on the same grid used for **part a**.



(continued)

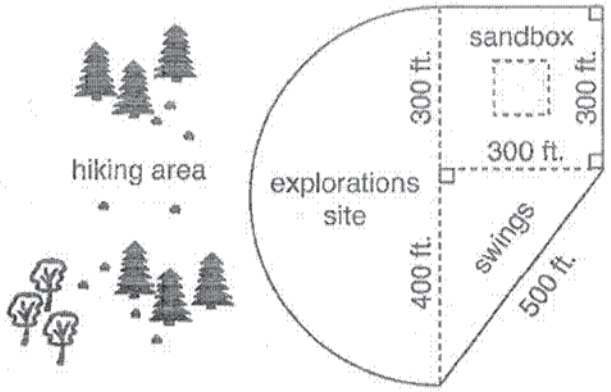
c. Determine the number of tables and chairs the Hardwood Furniture Company can produce per week based on the production costs and the amount of money available (i.e., $1,200). Round the answer appropriately.

d. Explain how the answer to **part c** is indicated on the graph.

Enter response for parts c and d here

Submit

All City Park



The All City Recreation Committee plans to put a fence around a playground area in All City Park. The solid line in the diagram above outlines the sections in the park that the committee wants to surround with a fence. Information about fencing prices is shown below:

FENCE-ALL COMPANY Fencing: $0.30 per foot	ACME FENCE COMPANY Fencing: $0.32 per foot Orders totaling $500 or more will receive a 10% discount.

(continued)

a. How much fencing will the committee need to buy? Show your work.

Enter response here

Submit

b. Based on the information above, determine which fencing company offers the best deal for this project. Explain your reasoning and show all your work.

Enter response here

Submit

Think of something you would like to have changed or added in your school. It could relate to a school policy, a facility or building, or course offerings. Take a position on one specific issue and **convince** others to agree with you.

Enter response here

Submit

Gas Bills, Heating Degree Days, and Energy Efficiency

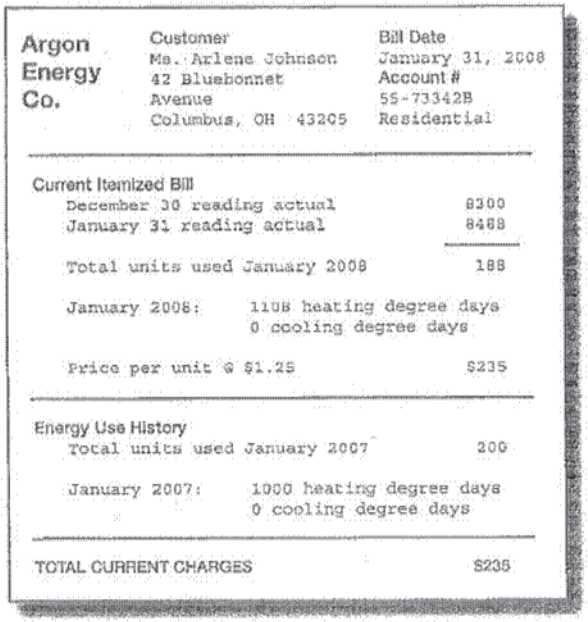
Here is a typical story about an Ohio family concerned with saving money and energy by better insulating their house.

Kevin and Shana Johnson's mother was surprised by some very high gas heating bills during the winter months of 2007. To improve the energy efficiency of her house, Ms. Johnson found a contractor who installed new insulation and sealed some of her windows. He charged her $600 for this work and told her he was pretty sure that her gas bills would go down by "at least 10 percent each year." Since she had spent nearly $1,500 to keep her house warm the previous winter, she expected her investment would conserve enough energy to save at least $150 each winter (10% of $1,500) on her gas bills.

Ms. Johnson's gas bill in January 2007 was $240. When she got the bill for January 2008, she was stunned that the new bill was $235. If the new insulation was going to save only $5 each month, it was going to take a very long time to earn back the $600 she had spent. So she called the insulation contractor to see if he had an explanation for what might have gone wrong. The contractor pointed out that the month of January had been very cold this year and that the rates had gone up from last year. He said her bill was probably at least 10% less than it would have been without the new insulation and window sealing.

Ms. Johnson compared her January bill from 2008 to her January bill from 2007. She found out that she had used 200 units of heat in January of 2007 and was charged $1.20 per unit (total = $240). In 2008, she had used 188 units of heat but was charged $1.25 per unit (total = $235) because gas prices were higher in 2008. She found out the average temperature in Ohio in January 2007 had been 32.9 degrees, and in January of 2008, the average temperature was more than 4 degrees colder, 28.7 degrees. Ms. Johnson realized she was doing well to have used less energy (188 units versus 200 units), especially in a month when it had been colder than the previous year.

Since she used gas for heating only, Ms. Johnson wanted a better estimate of the savings due to the additional insulation and window sealing. She asked Kevin and Shana to look into whether the "heating degree days" listed on the bill might provide some insight.



Argon Energy Co.

Customer
Ms. Arlene Johnson
42 Bluebonnet Avenue
Columbus, OH 43205

Bill Date
January 31, 2008
Account #
55-73342B
Residential

Current Itemized Bill

December 30 reading actual	8300
January 31 reading actual	8488
Total units used January 2008	188
January 2008: 1108 heating degree days, 0 cooling degree days	
Price per unit @ $1.25	$235

Energy Use History

Total units used January 2007	200
January 2007: 1000 heating degree days, 0 cooling degree days	

TOTAL CURRENT CHARGES $235

(continued)

a. Assess the cost-effectiveness of Ms. Johnson's new insulation and window sealing. You will need to research on "heating degree days" on the internet. In your response, you must do the following:

- Compare Ms. Johnson's gas bills from January 2007 and January 2008.
- Explain Ms. Johnson's savings after the insulation and sealing.
- Identify circumstances under which Ms. Johnson's January 2008 gas bill would have been at least 10% less than her January 2007 bill.
- Decide if the insulation and sealing work on Ms. Johnson's house was cost-effective and provide evidence for this decision.

Enter response here

Submit

(*continued*)

b. Create a short pamphlet for gas company customers to guide them in making decisions about increasing the energy efficiency of their homes. The pamphlet must do the following:

- List the quantities that customers need to consider in assessing the cost-effectiveness of energy efficiency measures.
- Generalize the method of comparison used for Ms. Johnson's gas bills with a set of formulas, and provide an explanation of the formulas.
- Explain to gas customers how to weigh the cost of energy efficiency measures with savings on their gas bills.

When you have completed your pamphlet, upload it using the button below.

Select a file... Submit

Performance Event drawn from the Ohio Performance Assessment Project.

Americans Dreaming

We are shaped by the stories we are told and that we tell. One of the most powerful and longstanding stories in the United States of America is one about how, with determination, grit, and maybe a bit of luck, a person can become anything he or she wants to be. This is the legend of the American dream. This idea—and the criticisms of it—is a mainstay of American writing and media. Writers, filmmakers, reporters, and others have long been fascinated by the dream of a land where everything is possible. Evidence of this fascination can be found in the countless stories Americans have produced—whether in private, in print, or in public media. Our lives are wallpapered with the accounts of American dreams—in the making, remembered and romanticized, or broken.

There are two major parts in this performance assessment. In the first part, you will be asked to complete a task in which you synthesize the various perspectives on the American dream you have encountered in high school and elsewhere. Your analyses of these texts and the work you do to select, arrange, and understand the different perspectives each offers are important work in and of themselves, but they also prepare the way for the inclusion of an additional voice—your own. In the second part of the assessment, you will have the chance to offer your own perspective on the American dream by crafting a text of your own about an American dreamer you know.

The parts of this performance assessment are sequenced in a certain order. Be sure to complete them in order because the work you do in the first parts will help you with the later portions of the assessment. The chart on the next page shows what you will be expected to do and submit at the end of this assessment. The specific prompts for each of the tasks are found in the pages that follow.

(*continued*)

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Task Overview

Task	What You Will Do	What to Submit
Part 1	Select 3–5 texts that you will focus on for your anthology: "Perspectives on the American Dream." Make notes on each text.	• one page of notes on each selected text saved electronically
Part 2	Synthesize the various perspectives on the American dream represented in your selection of texts.	• 1,000 word typed essay saved electronically
Part 3	Conduct research on an individual to create an original profile of an American dreamer. You may choose someone you know personally or someone that you can learn about through research.	• 750–1,000 word typed essay saved electronically
Part 4	Write a reflective essay on what you learned from completing the performance assessment.	• 250–500 word typed commentary

Note: Word count limits are guidelines and not strict requirements.

(continued)

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I. Perspectives on the American Dream

At this point in your career as a reader and writer, you already know a lot about what other people say for and against the American dream. In this task you will have an opportunity to take stock of and reflect on that learning—to gather texts you've read previously that grapple with the theme and to notice the arguments different authors make about whether the American dream is a driving force or an illusion.

Your teacher will lead a whole class brainstorm to list several texts you have read in high school English or that you have encountered elsewhere that touch on the idea of the American dream. These texts may be fiction or nonfiction, print or other media such as film. The aim is to gather a group of texts, each of which makes an argument about the American dream (i.e., where people's lives are shaped by their belief in, pursuit of, or disappointment in searching for that dream).

Part 1. Select three to five texts dealing with the American dream for the following task. The selected texts must represent at least two different perspectives and must include at least two different types of text (e.g., print text, visual media, audio media, multi-media, digital media). **At least two texts must be print (written) texts** (or a form of text with written versions of the text, for example, a transcript, script, or lyrics).

(continued)

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For EACH of the texts you chose, make notes in response to the following questions:

- What message or perspective about the American dream is conveyed in the text?
- What methods are used to convey this perspective? How effective are these methods in persuading/appealing to the audience?
- What are the conditions in the world (historical/cultural) in which this text was produced? How does this knowledge help you understand the text? (You may need to do some research to obtain this information.)
- How credible (believable) is this perspective on the American dream?

In your notes, please refer to specific examples from the texts to support your observations. These notes will be submitted to your teacher to be scored as part of this performance event.

You should develop one page of notes per task that can be saved electronically.

You may work in small groups to study and discuss a common set of texts, but you must complete the written portions of the task individually.

(*continued*)

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Possible texts may include (not required):

- *The Adventures of Huckleberry Finn* — Mark Twain
- *Sister Carrie* — Theodore Dreiser
- *The House of Mirth* — Edith Wharton
- *The Great Gatsby* — F. Scott Fitzgerald
- *Beloved* — Toni Morrison
- *How the Garcia Girls Lost their Accents* – Julia Alvarez
- *The House on Mango Street* — Sandra Cisneros
- *A Raisin in the Sun* play — Lorraine Hansberry
- "I Have a Dream" speech – Martin Luther King, Jr.
- "A Dream Deferred" poem – Langston Hughes
- "In America" film (2003) – Jim Sheridan
- "When the Levees Broke" film (2006) – Spike Lee
- "American Land" song – Bruce Springsteen
- Photography of Walker Evans, Dorothea Lange, James VanDerZee

(*continued*)

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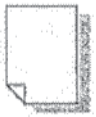
Part 2. Synthesizing: "Perspectives on the American Dream" Anthology Project



Imagine that you are editing an anthology for 11–12th graders entitled, "Perspectives on the American Dream." Your job is to prepare the introduction to this anthology. In your introduction, please do the following things:

a) Include the 3–5 texts that you selected in Part 1 of the task and decide how to arrange them in order.

b) Identify and analyze the varied perspectives on the American dream represented in the texts you selected, including the methods used by each text to convey a perspective.

c) Compare/contrast and draw connections across the messages about the American dream found in each text (or, perhaps in the case of poems and photographs, the *set* of texts).

d) Evaluate and draw conclusions about varied perspectives on the American dream represented in your anthology to convey your own perspective on these texts.

e) Propose a set of questions to focus readers as they consider the perspectives represented in these texts.

As editor of this anthology, you have the opportunity to put forth your own perspective on the American dream as well as to introduce the perspectives on the American dream represented within and across the texts you select. Your introduction should be clear, to the point, and engaging. This work should be typed and saved electronically.

II. Profiling an American Dreamer Task

In the first part of this performance assessment, you synthesized different perspectives on the idea of the American dream. During that work, you paid careful attention to the arguments others have made about the productivity or legitimacy of this idea and, in doing so, you "sampled" an ongoing conversation about the American dream idea, a discussion that has been going

(*continued*)

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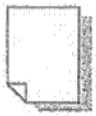
on for a long time. This task, Profiling an American Dreamer, is designed to give you a chance to become more than a careful observer of this conversation—it is intended to give you a chance to "deal in," to craft a profile of your own in which you too can weigh in on questions about "the productivity and legitimacy of the American dream." In this task, you will write a profile about a living American dreamer. You may choose someone you know personally or someone that you can learn about through research.

You may work in small groups to conduct your interviews or research on the person you will profile, but you must compose the profile individually. You may also collaborate with other students to revise and refine your writing (e.g., through writer's workshop).

Part 3. Profiling an American Dreamer



As a result of your work in Part 1, you are more aware of the perspectives people have on the idea of the American dream. In this assessment task, you will have the chance to provide an additional perspective on the idea of the American dream, as you compose a profile of an American dreamer you know.

Writing the Profile: Write a profile about a *living* American dreamer. In your profile, aim to represent or record some aspect of that person and his or her experience that communicates a perspective on the nature or legitimacy of the American dream. You should conduct a range of research activities as you work on this project. The results of this research—photographs, the results of interviews and observations, and/or secondary text work—could all be a part of your final product. If you use published sources, properly cite your sources and include a References page that indicates where to find texts that were retrieved from the Internet.

Essays like Dan Barry's "At an Age for Music and Dreams" (*New York Times*, April 15, 2009, accessed at http://www.nytimes.com/2009/04/15/us/15land.html) can give you ideas for how your project might eventually look. At the end of your work you should aim to have a 750–1,000 word typed profile that will be submitted electronically.

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Appendix A3-4: Reporting Characteristics by Assessment Type

ASSESSMENT TYPE	ASSESSMENT PURPOSE	REPORTING CHARACTERISTICS
Summative Assessment: Grade 3–8	Primary Purpose • Accountability • Instructional effectiveness Secondary Purpose • College- and career-readiness tracking • Indicator of CCSS acquisition o Criterion, grade level, acquisition o Growth	• Rapid results (2 weeks for adaptive portion) • Data-mining customizable • Static AYP configurations • Longitudinal o Growth measures o Previous performance • Credential-based access
Interim/Benchmark: All grades	Primary Purpose • Unit-level acquisition o Overall unit acquisition o Depth of understanding • "On-track" determination for college- and career-readiness Secondary Purpose • Learning progression status o "Early warning" of need for remediation o Targeted instruction to "next step" in progression	• Unit-level reporting • Real-time result (adaptive portion) • Data-mining customizable • Rich learning progression display • Directly linked formative materials • Longitudinal o Growth measures o Previous performance • Credential-based access

Appendix A4-1: Examples of Learning Progressions in ELA and Mathematics

Stages of Listening Comprehension and Speaking Skills

From Bailey, A.L., & Heritage, M. (2008) Formative Assessment for Literacy. Grades K-6: Building Reading and Academic Language Skills Across the Curriculum. Sage/Corwin Press: Thousand Oaks, CA.

Stage 1

Listening Comprehension

Word Level:

- Comprehend a range of frequently used words (e.g., common vocabulary in the domains of Social Language [SL] and School Navigational Language [SNL])
- Identify and intentionally add a small number of new words to broaden receptive vocabulary in the areas of mortar words and Curriculum Content Language (CCL) (by adding new words) and deepen the lexicon (by adding new meanings and nuances to *known* words)

Sentence Level:

- Use word order conventions to make meaning of syntactically simple sentences (e.g., subject +verb+ object = declarative statement; verb + subject + object = question form; verb + object = imperative form).
- Use high frequency inflectional morphology (plural +*s*) to make meaning of syntactically simple sentences

Discourse Level:

- Begin to build spoken language genre knowledge (organization of language and ideas) by interpreting the meanings of a range of oral discourse contexts (conversations with a peer, short teacher monologues, simple one-step instructions/directions)
- Begin to build printed language genre knowledge by acquiring story grammar knowledge and interpreting the meanings of a range of short, simple texts read aloud by the teacher (storybooks, simple expository texts, poetry, puns)
- Comprehend frequently used idioms, clichés and expressions used in the classroom (e.g., *Once upon a time, The End, Are you sitting nicely?*)

Prior/content Knowledge:

- Begin to connect new information heard to that already learned so that general background and content knowledge grow in both depth and breadth

Speaking Skills

Word Level:

- Produce frequently used words (e.g., common vocabulary in the domains of Social Language [SL] and School Navigational Language [SNL])
- Identify and intentionally use a small number of new words to broaden expressive vocabulary in the areas of common mortar words and simple Curriculum Content Language (CCL) (by using new words) and deepen the lexicon (by using the new meanings and nuances of *known* words)

Sentence Level:

- Produce syntactically simple sentences
- Use high frequency inflectional morphology to produce syntactically simple sentences

Discourse Level:

- Begin to display spoken language genre knowledge by producing discourse on familiar topics in a small range of frequently occurring contexts (short conversations with a peer, short responses to teacher requests, simple requests for clarification of teacher directions)
- Produce frequently used idioms, clichés and expressions found in the classroom, often learned in chunks or unanalyzed strings (e.g., *Once upon a time, Mayago [= May + I + go] to recess?*)
- Use language in service of common social functions (*express needs, command*) and simple/common academic language functions (*describe, label*)

Stage 2

Listening Comprehension

Word Level:

- Comprehend a broader range of frequently used words (e.g., common vocabulary in the domains of SL and SNL)
- Identify and intentionally add an increasingly large number of new words to broaden receptive vocabulary in the areas of mortar words and CCL (by adding new words including the academic synonyms of more commonly used words [e.g., *feline* for *cat*]), synonyms to provide more precision or information [e.g., *replied* and *asked* for *said*] and continue to deepen the lexicon (by adding new meanings, shades of meaning [e.g., *anger* vs. *furious*] and nuances to *known* words)
- Begin to use word analysis skills to aid in comprehension (e.g., use high frequency derivational morphology (e.g., adjective +*ness* = noun) to identify parts of speech or understand new meanings (*un* + adjective and *un* + verb = opposite in meaning to root word)

Sentence Level:

- Expand repertoire of recognizable sentence structures to include frequently used complex syntax (e.g., relative clauses)
- Use less common inflectional morphology to make meaning of syntactically complex sentences (e.g., participial modifiers [verb + *ing*] such as *The boys running were late for their class*)

Discourse Level:

- Continue to build spoken language genre knowledge (organization of language and ideas) by interpreting the meanings of a broader range of oral discourse contexts (dialogues between two peers, longer teacher monologues, two- and three-step instructions/directions)
- Continue to build printed language genre knowledge by interpreting the meanings of broader range of simple texts read aloud by the teacher (storybooks, simple expository texts, poetry, puns)
- Comprehend frequently used idioms, clichés and expressions used in the classroom (e.g., *Give it your best, The more the better*)

Prior/content Knowledge:

- Continue to connect larger amounts of new information heard to that already learned so that general background and content knowledge grow in both depth and breadth

Speaking Skills

Word Level:

- Produce a broader range of frequently used words (e.g., common vocabulary in the domains of SL and SNL)
- Identify and intentionally use an increasingly larger number of new words to broaden expressive vocabulary in the areas of mortar words and simple CCL (by using new words) and continue to deepen the lexicon (by using the new meanings and nuances of *known* words)
- Make new words of differing parts of speech from known words using derivational morphology

Sentence Level:

- Produce greater variety of grammatical structures (e.g., inclusion of adjectival and prepositional phrases)
- Use less common inflectional morphology to produce syntactically more complex sentences

Discourse Level:

- Continue to expanded use of spoken language genre knowledge by producing discourse on familiar topics in a broader range of contexts (conversation with a peer, conversation with a group of peers, production of simple monologues such as personal narratives or a short book report, responses to teacher multi-part requests, requests for clarification of teacher and peer directions)
- Produce frequently used idioms, clichés and expressions found in the classroom
- Use language in service of a wider range of social functions (*command, request*) and increasingly complex academic language functions (*explain, summarize*)

Stage 3

Listening Comprehension

Word Level:

- Comprehend a wide range of common and uncommon words in the domains of SL and SNL
- Continue to identify and intentionally add unfamiliar words to broaden receptive vocabulary in the areas of mortar words and CCL (by adding new words) and deepen the lexicon (by adding new meanings, shades of meaning and nuances to *known* words)
- Make inferences about a speaker's stance towards content from their word choices (e.g., *retorted* for *replied*)
- Continue to use word analysis skills to aid in comprehension (e.g., use rarer derivational morphology (e.g. verb *+ate,* [*fixate*] = new verb meaning; adjective *+ify* [*solidify*] = verb)

Sentence Level:

- Comprehend the full range of simple and complex grammatical structures (e.g., nominalization of verb forms [*to form* vs. *formation*] to increase amount of information contained within a sentence), and increase sentence length (e.g., multiple prepositions in a single sentence)
- Continue to use common and uncommon inflectional morphology to make meaning of syntactically complex sentences

Discourse Level:

- Continue to build spoken language genre knowledge (organization of language and ideas) by interpreting the meanings of a broader range of oral discourse contexts (dialogues between multiple peers, extended teacher monologues, plays/dramas, multi-step instructions/directions)
- Continue to build printed language genre knowledge by interpreting the meanings of broader range of simple and challenging texts read aloud by the teacher (storybooks with familiar and unfamiliar story grammars, works of literature, complex expository texts, primary source texts in content areas such as history, poetry, plays, puns)
- Comprehend frequently used idioms, clichés and expressions used in the classroom (e.g., *Don't beat about the bush, All's well that ends well*)

Prior/content Knowledge:

- Continue to connect complex and large amounts of new information heard to that already learned so that general background and content knowledge grow in both depth and breadth

Speaking Skills

Word Level:

- Produce a wide range of common and uncommon words in the domains of SL and SNL

- Continue to identify and intentionally use a wider range of new words to broaden expressive vocabulary in the areas of uncommon mortar words and low frequency CCL (by using new words) and continue to deepen the lexicon (by using the new meanings and nuances of *known* words)
- Continue to make new words of differing parts of speech from known words using derivational morphology

Sentence Level:

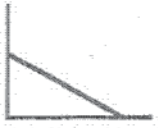
- Produce full range of simple sentences and complex grammatical structures (e.g., relative clauses) and increase sentence length
- Use common and uncommon inflectional morphology to produce syntactically complex sentences

Discourse Level:

- Continue to expanded use of spoken language genre knowledge by producing discourse on familiar and unfamiliar topics in a broader range of contexts (conversation with multiple peers, production of extended monologues, such as personal narratives or book and science reports, responses to teacher multi-part requests, requests for clarification of teacher and peer directions)
- Produce frequently used idioms, clichés and expressions found in the classroom
- Use language in service of a wide range of simple and complex social functions (*command, persuade*) and simple and complex academic language functions (*describe, explain, summarize, hypothesize)*

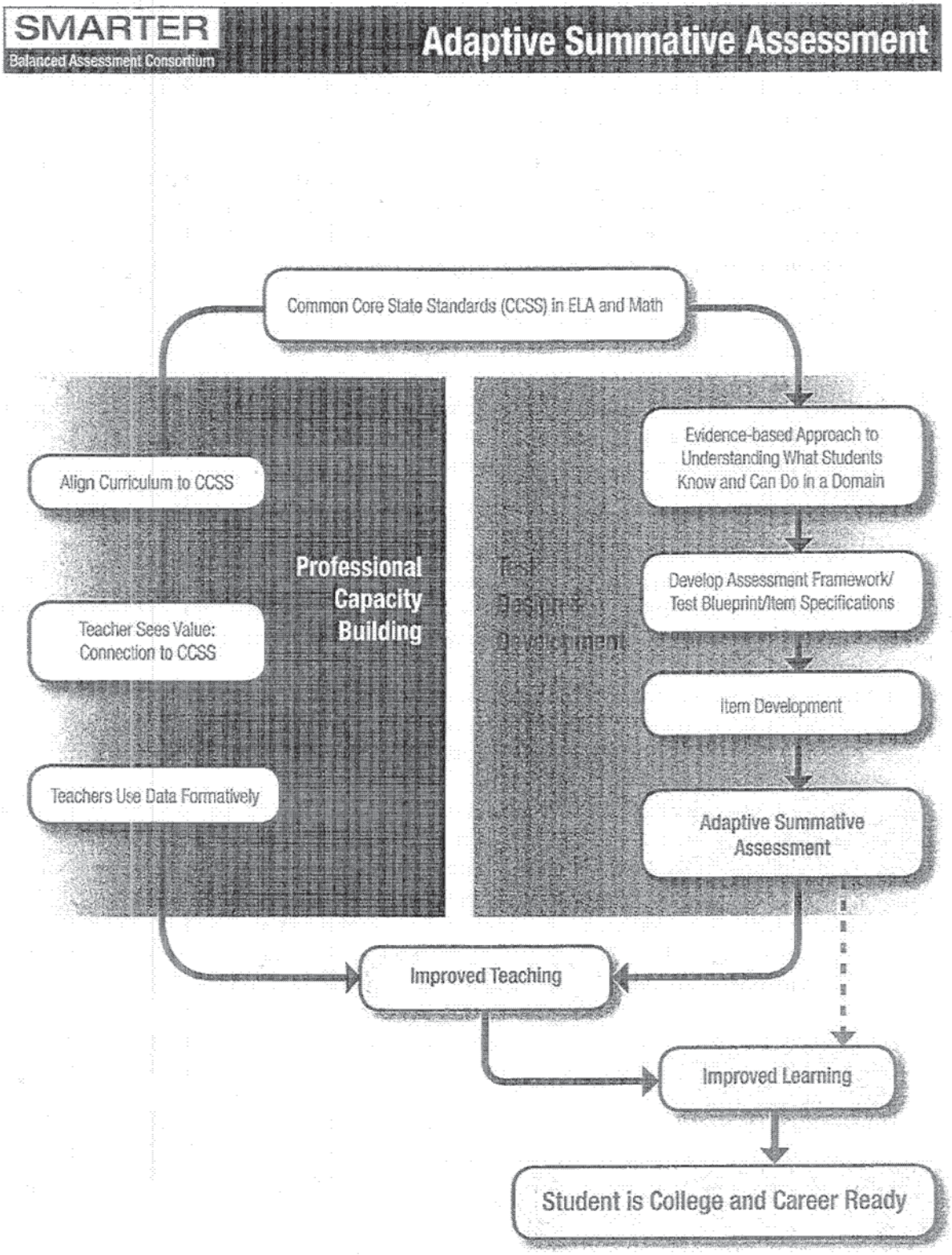
A Developmental Model for Learning Functions

From National Research Council of the National Academies. (2005). How Students Learn: History, Mathematics, and Science in the Classroom. Washington, D.C.: The National Academies Press.

Level	General Description	Example Tasks & Understandings
0	Students have separate numeric and spatial understandings.	
	↝ Initial numeric understanding:	
	Students iteratively compute (e.g., "add 4") *within* a string of positive whole numbers.	Extend the pattern 3, 7, 11, 15, __, __, __.
	↝ Initial spatial understanding: students represent the relative sizes of quantities as bars on a graph and perceive patterns of qualitative changes in amount by a left-to-right visual scan of the graph, but cannot quantify those changes.	Notice in a bar graph of yearly population figures that each bar is taller than the previous bar.
1	Spatial and numeric understandings are elaborated and integrated, forming a central conceptual structure.	
	↝ Elaboration of numeric understanding:	
	--Iteratively apply a single operation to, rather than within, a string of numbers to generate a second string of numbers.	Multiply each number in the sequence: 0, 1, 2, . . . by 2 to get a set of pairs: 0-0, 1-2, 2-4, . . .
	--Construct an algebraic expression for this repeated operation.	
	↝ Elaboration of spatial understanding:	Generalize the pattern and express it as $y = 2x$.
	--Use continuous quantities along the horizontal axis.	
	--Perceive emergent properties, such as linear or increasing, in the shape of the line drawn between points.	Notice that a graph of daily plant growth must leave spaces for unmeasured Saturday and Sunday values.
	↝ Integration of elaborated understandings:	
	--See the relationship between the differences in the y-column in a table and the size of the step from one point to the next in the associated graph.	For every 1 km, a constant "up by" $2 in both the y-column of a table and the y-axis in a graph generates a linear pattern (spatial) with a slope of 2 (numeric). $Y = 2x$ can be read from, or produced in, both a table and a graph.
	↝ Interpret algebraic representations both numerically and spatially.	
2	↝ Elaborate initial integrated numeric and spatial understanding to create more sophisticated variations.	Look at the function below. Could it represent $y = x - 10$? Why or why not?
	↝ Integrate understanding of $y = x$ and $y = x + b$ to form a mental structure for linear functions.	
	↝ Integrate rational numbers and negative integers.	
	↝ Form mental structures for other families of functions, such as $y = xn + b$.	If you think it could not, sketch what you think it looks like.

3	↝ Integrate variant (e.g., linear and nonlinear) structures developed at level 2 to create higher-order structures for understanding more complex functions, such as polynomials and exponential and reciprocal functions. ↝ Elaborate understanding of graphs and negative integers to differentiate the four quadrants of the Cartesian plane. ↝ Understanding the relationship of these quadrants to each other.	At what point would the function $y = 10x - x^2$ cross the x-axis? Please show all of your work.

Appendix A4-2: Overview of Development Process for Summative Assessment



Appendix A4-3: Goals for Enhanced Assessment Grant for Accommodations

Goal 1. Identify, research, and recommend content area assessment-related inclusion and accommodation guidelines and policies pertaining to English learners (ELs) for SBAC.

Objective 1.1: Within the first nine months of the project, summarize definitions of ELs, State policies, practices, and research on accommodations to inform educators, researchers, and other stakeholders across the States in SBAC.

Activity 1.1a: Conduct a survey of States within the Consortium to determine current definitions, inclusion and accommodation guidelines, and/or policies for ELs.

Activity 1.1b: Collect and consolidate available national data from States regarding accommodations allowed.

Activity 1.1c: Conduct an inventory and analysis of State laws, rules, and policies regarding definitions of ELs and inclusion and accommodation of ELs in State content assessments. Identify any State laws, rules, or policies regarding the process by which eligible Statewide accommodations are added, removed, or altered.

Activity 1.1d: Conduct a comprehensive literature review of all research on accommodations for ELs, including the research focused on technology-based assessments. Publish a summary of the literature and an annotated bibliography.

Activity 1.1e: Create a report summarizing definitions, criteria, and guidelines for identifying and including ELs in content assessments. The report will provide a comprehensive list of accommodations, the frequency of use of each accommodation, and analyses of potential responsiveness of these accommodations for ELs. The report also will identify differences in policies, practices, accommodations, and rationales for the use of specific accommodations across the Consortium States.

Objective 1.2: By the end of the first quarter of year two, the project will produce a definition, inclusion policies, and a set of accommodations appropriate for ELs that are commonly accepted by educators, researchers, and other stakeholders across the States in SBAC.

Activity 1.2a: Grant partners will: (1) conduct 3 to 4 update and discussion webinars that include Consortium SEA teams representing assessment, Title III, special education, and curriculum; (2) hold a final meeting with a representative from each State to attain consensus on allowable accommodations for the Consortium.

Activity 1.2b: Summarize and disseminate the consensus process and agreements reached with consortium states. Dissemination strategies will include online materials, conference presentations, and other appropriate means that might be identified.

Goal 2. Identify, research, and recommend content area assessment-related inclusion and accommodation guidelines and policies pertaining to SWDs and 504 students for SBAC.

Objective 2.1: Within the first nine months of the project, summarize definitions of SWDs and 504 students, State policies, practices, and research on accommodations to inform educators, researchers, and other stakeholders across the States in SBAC.

Activity 2.1a: Conduct a survey of States within the Consortium to determine current definitions, inclusion and accommodation guidelines, and/or policies for SWDs and 504 students.

Activity 2.1b: Collect and consolidate available national data from States regarding accommodations allowed.

Activity 2.1c: Conduct an inventory and analysis of State laws, rules, and policies regarding definitions of SWDs and 504 students inclusion, and accommodation of SWDs and 504 students in State content assessments. Identify any State laws, rules, or policies regarding the process by which eligible Statewide accommodations are added, removed, or altered.

Activity 2.1d: Conduct a comprehensive literature review of all research on accommodations for SWDs and 504 students, including the research focused on computer-delivered technology-based assessments. Summarize the literature review in a publication and an annotated bibliography.

Activity 2.1e: Create a report summarizing the definition, criteria, and guidelines for identifying and including SWDs and 504 students in regular content assessments. The report will provide a comprehensive list of accommodations, the frequency of use of each accommodation and analyses of potential responsiveness of each of the accommodations for SWDs and 504 students. The report also will identify differences in policies, practices, accommodations, and rationales for the use of specific accommodations across the Consortium States.

Objective 2.2: By the end of the first quarter of year two, the project will produce a definition, inclusion policies, practices, and a set of accommodations appropriate for SWDs and 504 students that are commonly accepted by educators, researchers, and other stakeholders across the States in SBAC.

Activity 2.2a: Grant partners will: (1) conduct 3-4 update and discussion webinars including Consortium SEA teams representing assessment, Title III, special education, and curriculum; (2) hold a meeting with a representative from each State to attain consensus on allowable accommodations for the Consortium.

Activity 2.2b: Summarize and disseminate the consensus process and agreements reached with Consortium States. Dissemination strategies will include online materials, conference presentations, and other appropriate means that might be identified.

Goal 3. Identify, research, and recommend strategies to address the assessment-related accommodation needs of ELs, SWDs, and 504 students for SBAC specific to computer delivery and other technological assessment enhancements.

Objective 3.1: By the completion of the project, identify the characteristics of the accommodation needs of ELs, SWD, and 504 students in a technology-based assessment environment that are commonly accepted by educators, researchers, and other stakeholders across the States in SBAC.

Activity 3.1a: Conduct an in-depth study of States currently using a high level of computer-delivered tests and the types of accommodations available to students (highlighting, increased typeface, avatar voices, etc.). Create a report summarizing the findings of the in-depth study of the current use of technology in assessment by States, including the specific types of technology used.

Activity 3.1b: Conduct an in-depth study examining the technology available from vendors. Summarize the accommodations possible through assessment technologies currently available.

Activity 3.1c: Determine the barriers to the use of technology for access to assessments and suggest potential solutions. Create a report explicating the barriers to the use of technology for assessments and the recommended solutions.

Activity 3.1d: Conduct a case study of the Oregon assessment system and the use of technology within the system for ELs, SWDs, and 504 students. Synthesize and report findings describing the use of technology in the Oregon assessment system so that it might be used to inform the SBAC decisions.

Goal 4: Monitor fidelity in application of inclusion and accommodations guidelines and/or policies by States and create a sustainable process by which the research described above may continue to inform decisions regarding appropriate access for ELs, SWDs, and 504 students.

Objective 4.1: Grant partners will provide the SBAC States with an inclusion and accommodations manual that can be used to ensure consistent and streamlined inclusion and accommodation policies across the Consortium States.

Activity 4.1a: Grant partners and Consortium members will compile the findings from Goals 1, 2, and 3 and outline a standard, empirically based inclusion and accommodations manual for ELs, SWDs, and 504 students to be used across all Consortium States.

Activity 4.1b: Using the agreed-upon outline, write sections of the manual. The EL section will address definition, inclusion, and accommodation of ELs in content area assessments and will include a common definition of an EL, recommended inclusion and accommodation guidelines, and valid and effective accommodations for ELs. The SWDs/504 section of the manual will address definition, inclusion, and accommodation of SWDs and 504 students in regular content area assessments and will include recommended inclusion and accommodation guidelines, and valid and effective accommodations for SWDs and 504 students.

Activity 4.1c: Conduct 3 to 4 webinars to obtain stakeholder feedback and consensus on how the manual will be used in the Consortium States.

Activity 4.1d: Support the Consortium States in disseminating the accommodations manual by providing strategies and materials that the SEAs can use with the LEAs throughout the SBAC. Dissemination will be through print volumes, online materials, webinars, training modules, conference presentations, and other appropriate means that might be identified.

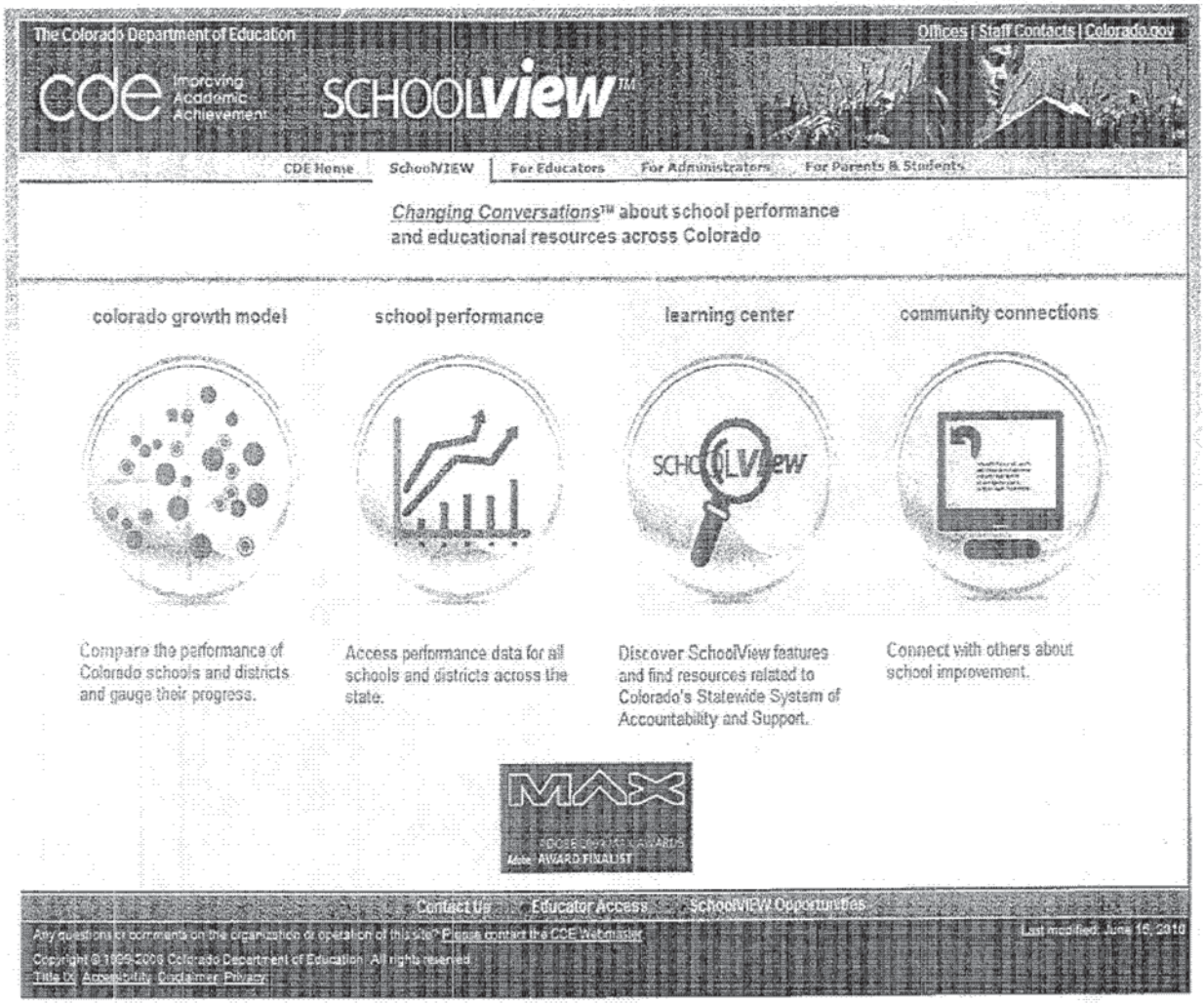
Objective 4.2: Create a process to systematically review accommodations for SBAC.

Activity 4.2a: Grant partners will recommend a detailed process (in writing) to be used by SBAC in annual review of inclusion and accommodations guidelines and/or policies.

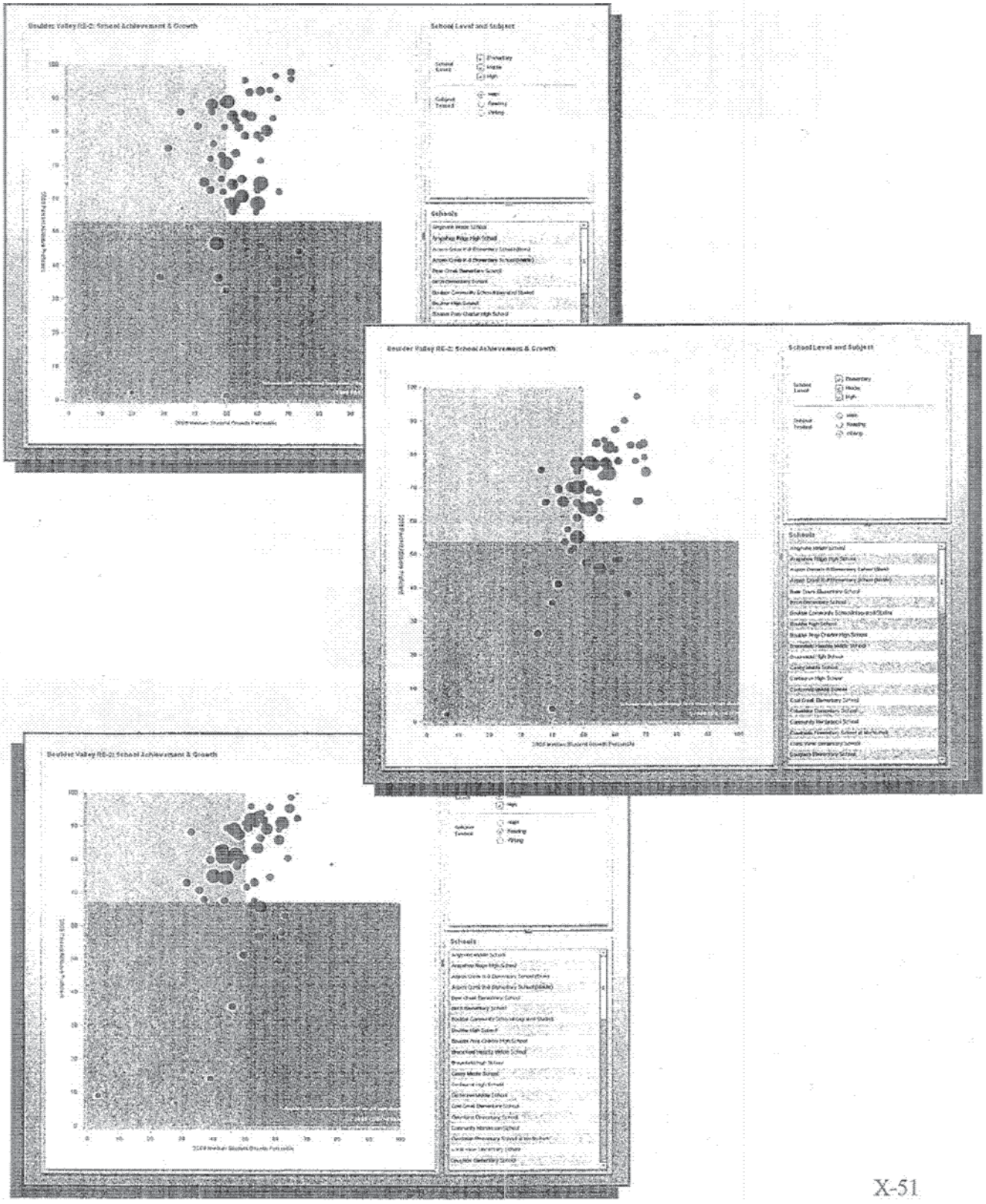
Activity 4.2b: Create an online standard template for use in evaluating accommodation use for peer review.

Activity 4.2c: Grant partners and Consortium States will establish a research agenda the Consortium can use to study, monitor, evaluate, and improve the validity of accommodations.

Appendix A4-4a: Reporting Exemplar – Colorado Electronic Portal for Review of Performance Data



Appendix A4-4b: Reporting Exemplar – Colorado Growth Model Sample District-Level Achievement and Growth Charts for Math, Reading, Writing



Appendix A4-4c: Reporting Exemplar – Colorado's Understanding Your Child's Academic Progress

2009 Growth and Achievement Report

cde Improving Academic Achievement

Understanding Your Child's Academic Progress

How is my child doing? This is a simple question many parents ask when they see a child's test score. There are actually two issues involved when tests are given: **Level of Achievement** and **Growth.**

Level of Achievement: Was my child's test score high enough?

Growth: Are my child's test scores improving quickly enough to move up to the next level, keep from falling behind, or catch up?

Growth: The other half of the story. Most tests we take give only a score reflecting something about our level of achievement (pass/fail, A/B/C/D/F grade, etc.). Until recently, Colorado children received a single test score for each of the CSAP academic areas of reading, writing, and math, plus an *Achievement Level* label of Advanced, Proficient, Partially Proficient, or Unsatisfactory. But we need to recognize kids' progress towards a higher achievement level, even if they are not quite there yet – high growth means they can get there with more time. Achievement levels provide only one part of the story - a snapshot of performance at a single point in time. **The other half of the story is each child's growth in learning.** Growth shows success in the education system, because it shows us where positive change is happening for students and schools.

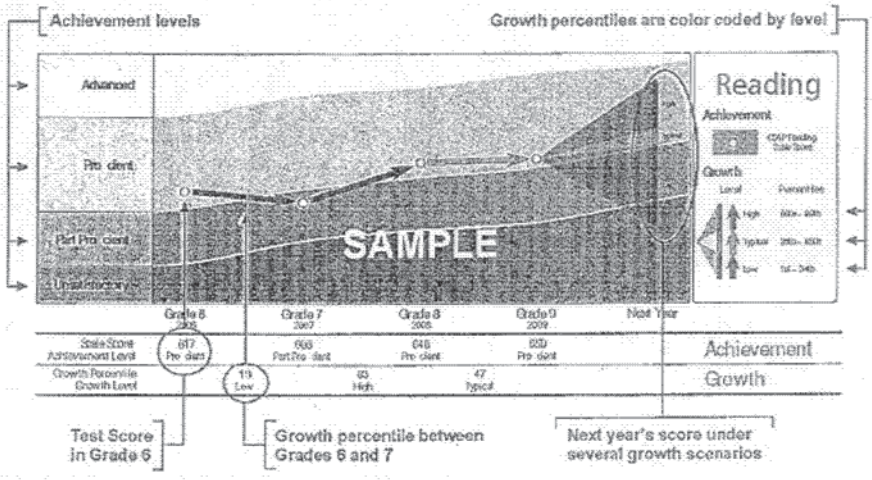
The Colorado Growth Model measures the academic progress each student has made in a year. However, instead of just saying how many points a student has gained or lost since the previous year, the model **tells us how a student's progress compares** to other students with a similar CSAP score history. These **student growth percentile** scores range from 1 (lowest growth) to 99 (highest growth). Percentiles are not percent correct scores, and do not tell us anything about students' "snapshot" achievement levels. Even students with low test scores can get high student growth percentiles, if they made great progress since the previous year's test. For example, in the sample plot below, this boy's reading score between 2007 and 2008 went up, and his growth percentile was 83. His growth was therefore as high or higher than 83% of other students at a similar level of proficiency; in other words, only 17% of similar students progressed more than he did. A 50th percentile growth score is right in the middle, so it's a typical growth score across the state – not particularly low or high. On the other side of this page are graphs of your child's growth and achievement history. The sample below will help you to understand what those graphs are telling you about your child's academic growth.

We hope that this report of your child's growth scores will help you see your child's academic progress in a new, more useful way. This new academic growth report can form the basis of fresh, better-informed conversations with your child's school and teachers because it is more than just a snapshot of what has already happened. We encourage you to discuss your child's **achievement levels** and **growth** in new and more challenging ways. Instead of *"How is my child doing?"* you can ask a teacher or principal more focused questions such as:

- ***What steps can we take since my son's growth in reading wasn't good enough, and he needs to catch up?***
- ***Is my daughter's academic growth enough to keep her Proficient in math next year?***
- ***What will it take for my son to move up to Advanced in writing next year?***

On our website, you'll find descriptions of situations that might be similar to your child's, and lots of ideas to refer to in conversations with your child, your child's teachers, and your school community. You will also find detailed explanations, videos, and interactive tools to help you explore all the exciting information that the Colorado Growth Model provides.

Come and visit us at **www.schoolview.org.**



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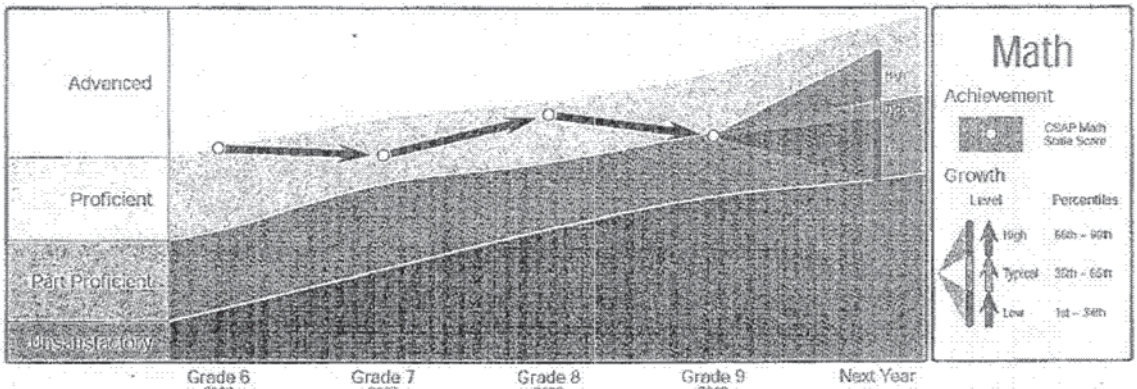
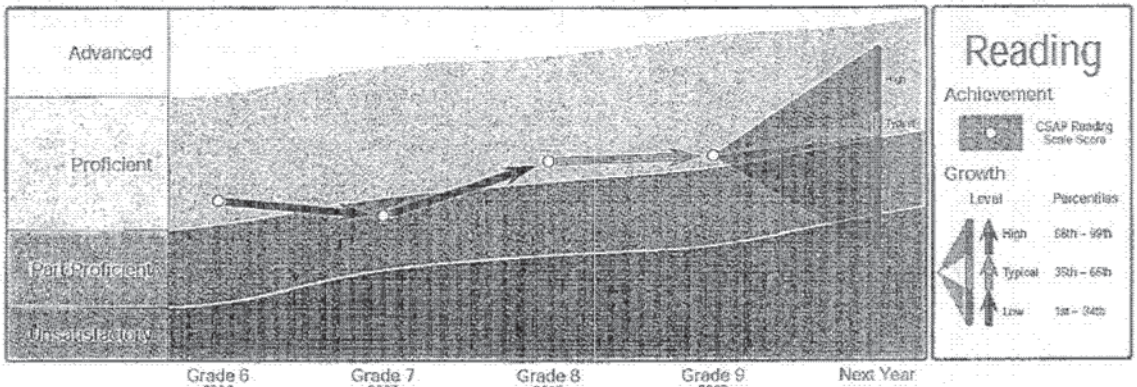
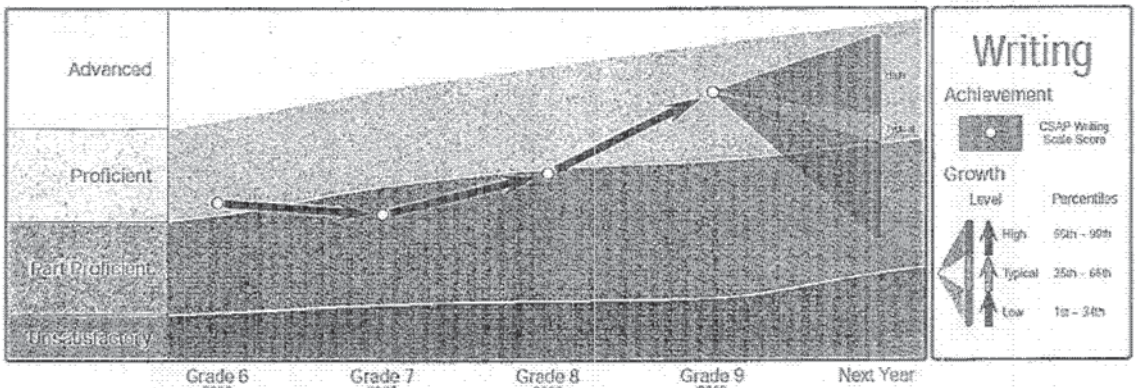
Example Student 24 (1234567824) — **Example High School**



	Grade 6 2006	Grade 7 2007	Grade 8 2008	Grade 9 2009	Next Year	
Scale Score Achievement Level	588 Proficient	582 Proficient	616 Proficient	598 Part Proficient		Achievement
Growth Percentile Growth Level		26 Low	76 High	9 Low		Growth



	Grade 6 2006	Grade 7 2007	Grade 8 2008	Grade 9 2009	Next Year	
Scale Score Achievement Level	617 Proficient	606 Part Proficient	646 Proficient	650 Proficient		Achievement
Growth Percentile Growth Level		19 Low	83 High	47 Typical		Growth



	Grade 6 2006	Grade 7 2007	Grade 8 2008	Grade 9 2009	Next Year	
Scale Score Achievement Level	524 Proficient	513 Part Proficient	551 Part Proficient	626 Proficient		Achievement
Growth Percentile Growth Level		18 Low	72 High	99 High		Growth

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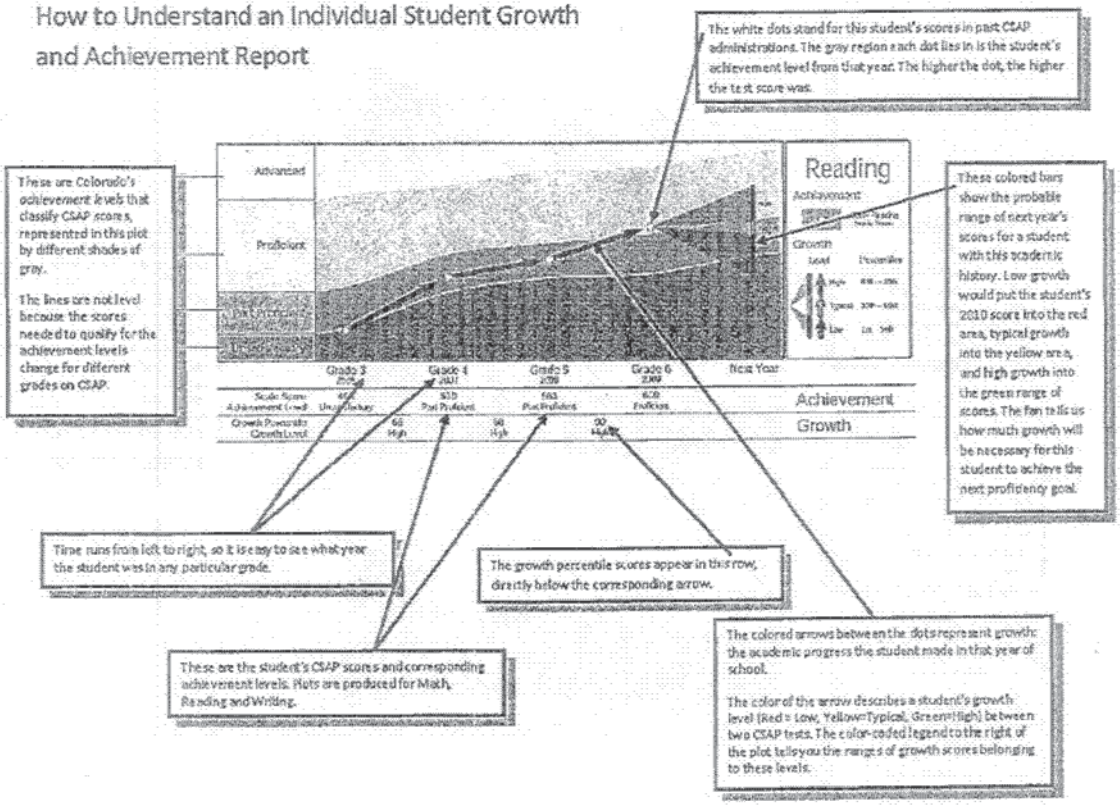
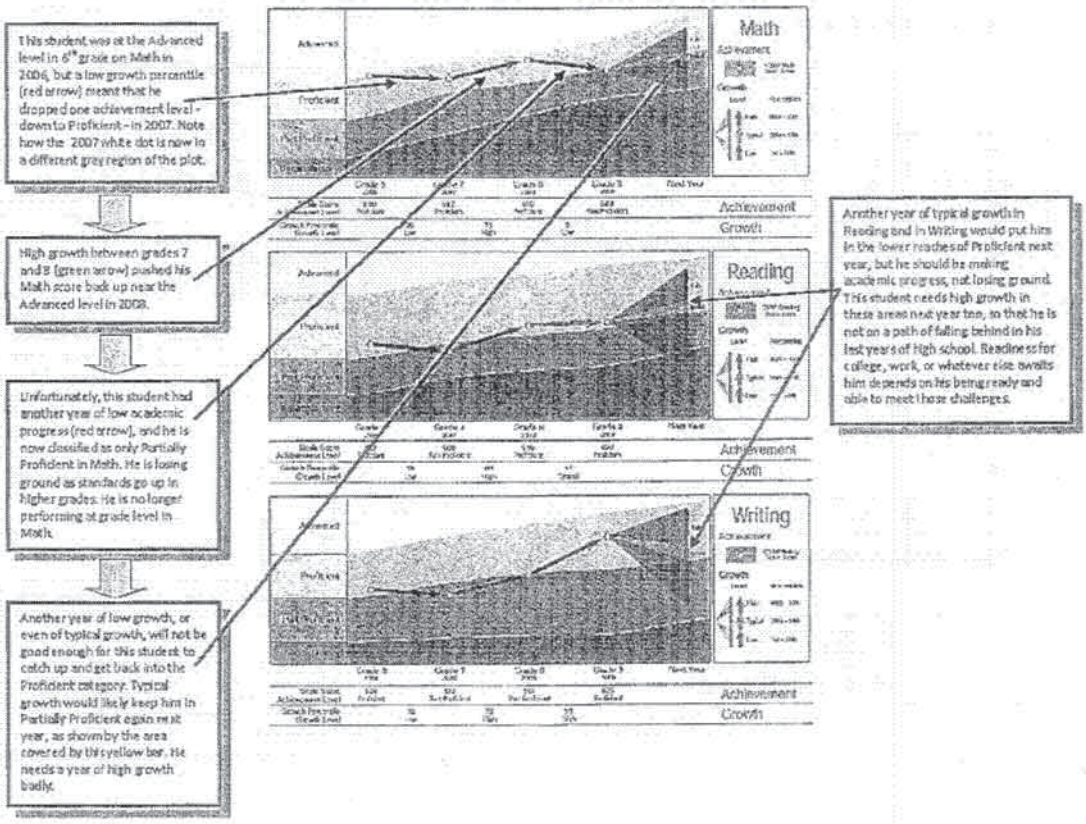
How to Understand an Individual Student Growth and Achievement Report



Interpretation of One Student's Individual Student Growth and Achievement Report



Appendix A4-4d: Reporting Exemplar – Oregon's User Guide for the Online Reporting System

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OAKS Online
User Guide for the OAKS Online Reporting System

INTRODUCTION

The OAKS Online Reporting System allows authorized users to access the following types of reports:

1. Performance Reports *(formerly known as Oregon Assessment Results Reports)*
2. Participation Reports *(formerly accessible through OAKS Online Test Delivery System)*

Performance Reports show school-year test data for individual students, rosters, personnel, institutions, and districts; as well as longitudinal reports for students and rosters. Authorized users can perform the following:

- Manage online rosters (groups)
- View district, institution, personnel, roster, and individual student score reports in table and graph formats
- Filter score reports by student subgroup (gender, ethnicity, LEP, Title I, etc.)
- View longitudinal data for students and rosters in graph format
- Access integrated information from ODE's SSID and OAKS Online systems, resulting in a centralized assessment reporting system

Participation Reports provide a record of all test activity for a given District or Institution. Authorized users can track all test opportunities and monitor student test progress throughout the year.

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GETTING STARTED

Common Login System (CLS)

OAKS Online has updated the login process for administrators, making it easier for users to switch between OAKS systems without having to sign in to each system separately. This Common Login System (CLS) integrates the following OAKS systems:

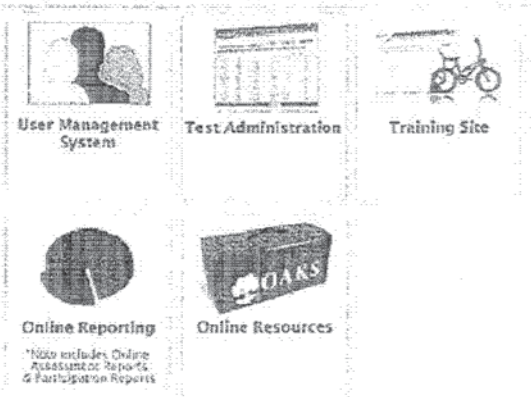
- Test Administrator (TA) Interface
- Online Reporting System
- User Management System (UMS)
- TA Training Site

There are two methods to log in to an OAKS system.

1. Through the OAKS Online Portal (https://www.oaks.k12.or.us/)
2. By entering the URL for that system

To log in via the portal, start by selecting your user-role from the main page, then select the application from the list of available OAKS systems.

Figure 1: Selecting Your OAKS System (OAKS Portal)



You will be directed to the CLS login screen. Entering the URL will also direct you to this login screen. All administrators are directed to this screen regardless of their user role and the system they selected. You will automatically be directed to your desired system upon logging in. Enter your *Username* and *Password* and click [Log In].

Reminder: Your username is your e-mail address.

If you are having trouble, you can receive your password via e-mail. Click the [Forgotten Password?] link in the bottom-right corner. Follow the on-screen instructions to receive an e-mail containing your

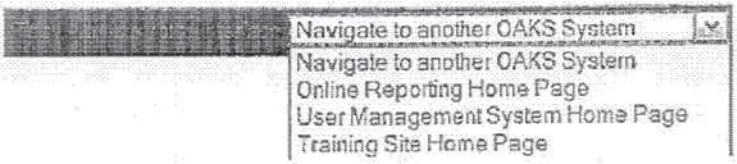
password information. If you continue to have problems logging in, please contact your STC or DSA/DTSA.

Navigating Between OAKS Online Systems

The CLS is designed to ease the login process and simplify navigation between OAKS Online systems. After logging in to their account, users will remain signed in to OAKS as long as one of their browser windows remains on an OAKS system (system timeout rules apply).

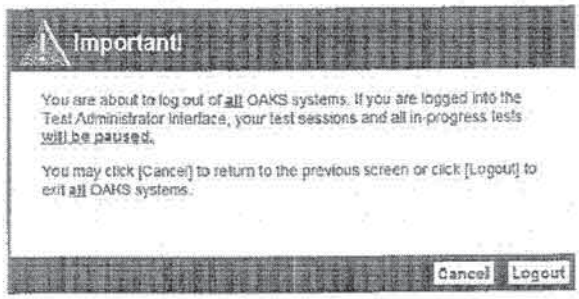
The top of your browser contains a drop-down menu listing all OAKS Online systems. Your current application is displayed to the left of the drop-down. Select the application you want to switch to from the drop-down menu.

Figure 2: CLS Drop-down Menu



To exit the system, click the Logout button from the top-right corner of the screen. You will automatically be logged out of all OAKS Online systems. The following message will be displayed:

Figure 3: Logging Out of CLS Confirmation Message



IMPORTANT

You will be logged out of CLS and all OAKS systems:

- If you click [Logout] from any OAKS system
- If you close your browser
- If you navigate away from an OAKS system (only if it is the last OAKS system open in your browser)
- After 20 minutes of inactivity

Navigating Between Performance and Participation Reports

The Online Reporting System contains tabs for Performance Reports and Participation Reports. Upon logging in using the Common Login System (CLS), you will be directed to the home screen for the Performance Reports. Use the tabs to switch between the two reports.

Figure 4: Online Reporting System Tabs

User Roles and Access

Your OAKS Online User Role determines the District(s) and Institution(s) you are permitted to view.

User Role	Access To
TT – Test Technician	No access to Online Reporting Systems
TA – Test Administrator	Access to view students in their school
STC – School Test Coordinator	Access to view students in their school
DTSA – District Test and Security Administrator	Access to view students in the schools in their district
DSA – District Security Administrator	Access to view students in the schools in their district

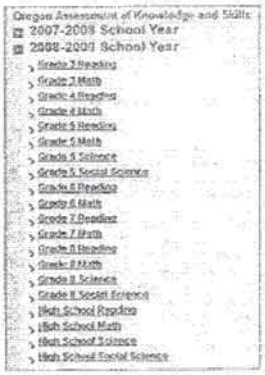
IMPORTANT The Online Reporting System provides information on operational OAKS Online and ELPA tests only. Data from training/practice tests are not included in any reports.

PERFORMANCE REPORTS

Navigation and Layout

These interactive reports are customized for administrators and personnel.

1. To begin, click the ⊞ icon to expand the school year test listing.
2. Click the link for the **Grade and Test** reports you want to view.

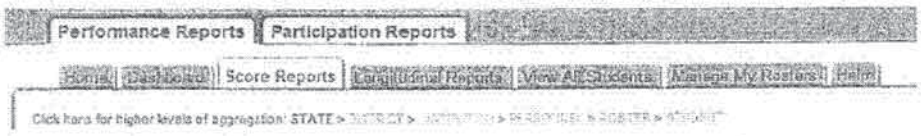


The tests are listed in order by grade level and subject. We currently provide reports for the following:

- Reading Grades 3-8 and High School
- Math Grades 3-8 and High School
- Social Sciences 5, 8, and High School
- Science 5, 8, and High School

To understand the different features of the system, you should be familiar with the layout. The figure below displays the tabs available within Performance Reports.

Figure 5: Performance Reports Navigation



Tab Sections

Home: Click this tab to return to the home page and select a different test grade and subject.

Dashboard: Click this tab to view the following data:

- The percent of students who have taken the subject tests so far (within the selected grade). This feature is also available in the Online Score Report mini-dashboard.
- The percent of students who have taken the test one, two and three times (of the students who took the subject tests). This feature is also available in the Online Score Report mini-dashboard.
- The percent of students who met the state standard in each subject for the current year, as well as at the end of the testing window the previous year and at the same time the previous year.
- The percent of students who met the state standard in each content standard category.

Score Reports: Use this tab to view district, institution, roster, and student scores (in table and graph formats). The Online Score Report also includes a mini-dashboard.

Longitudinal Reports: Longitudinal reports can help you analyze test scores over time (for example, across school years). You can build three types of longitudinal analyses:

- Tracking by Successive Cross-Sections
- Tracking by Individual Students
- Tracking by Cohort

View All Students: Use this tab to view all students' scores within a selected institution. You can choose to display only the highest scale scores for each student, or scores from each opportunity.

Manage My Rosters: Use this tab to view, add, edit, and delete class rosters.

Help: If you have questions, click the **Help** tab to access the user guide and interactive help section. This section will guide you through the features of the online reporting system. You will also find contact information for the Regional ESD Partners and OAKS Help Desks.

Breadcrumbs

If you are a multi-institution user, you can always confirm which level of aggregation you are viewing by looking at the breadcrumbs below the tab section. Your current level will be in bold green font.

NOTE: Breadcrumbs appear only on the Score Report pages; they will not appear in the longitudinal reports or dashboard sections.

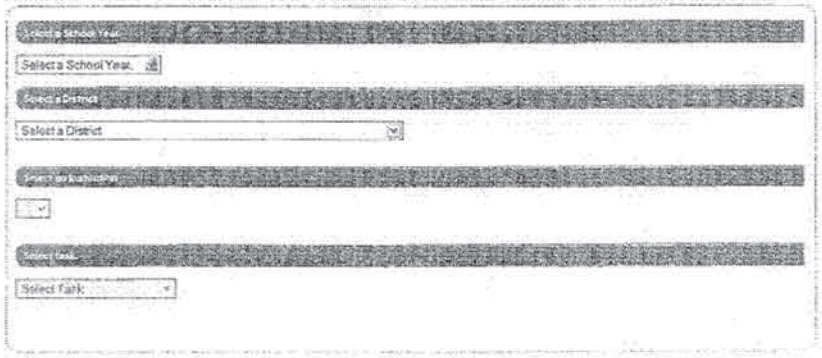
Manage My Rosters

Creating customized rosters (online groups) allows you to obtain detailed score reports for a specific group or cross-section of students. This feature allows for more advanced and expanded reporting options. You may assign students to multiple rosters via the **Manage My Rosters** section. You will also have the ability to view students not currently assigned to any roster(s), as these students will be grouped together under the name "Students With No Group."

You can manage your data in two ways:

1. Add a new roster to your institution.
2. Edit or delete a roster from your institution.

Figure 6: Manage My Rosters



Adding a New Roster

1. Select a school year from the **Select a School Year** drop-down list. (Note: The roster you create will only be viewable within the selected school year.)

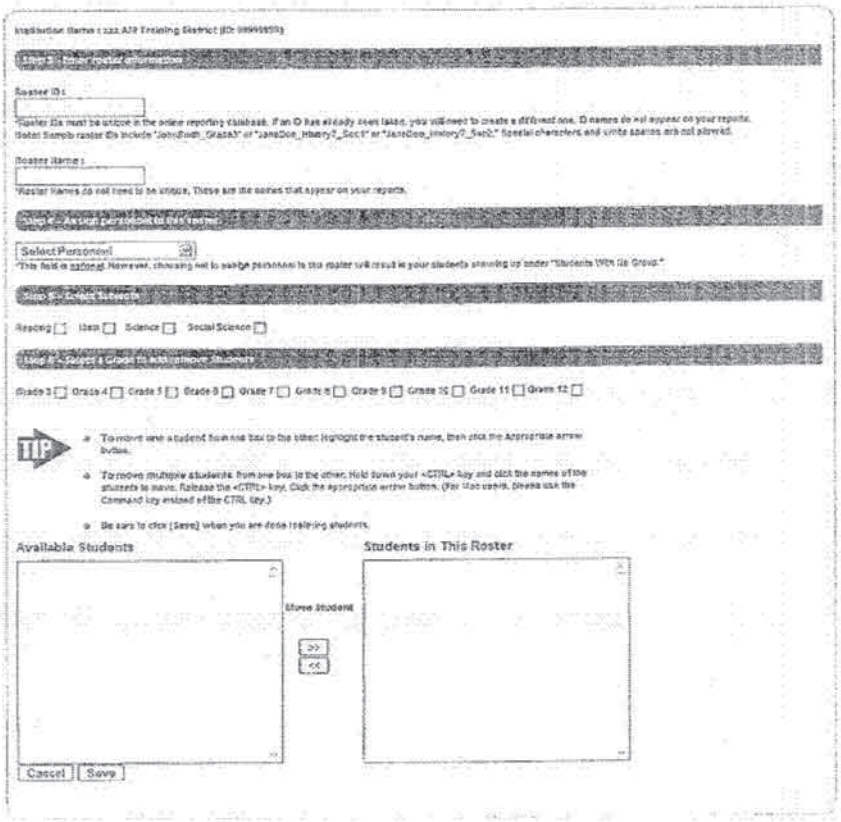
   NOTE: For **multiple-district users**, you will also need to select a district from the **Select a District** drop-down list.

2. Choose your institution from the **Select an Institution** drop-down list.
3. Select "Add Roster" from the drop-down list under **Select task**. The page will automatically load with the form to add a new roster.
4. Add the new roster information, including roster ID, roster name, personnel name, subject(s), grade level, and students.

   NOTE: You may not change your roster ID once you have saved it.

5. Click **Save**.

Figure 7: Add New Roster



Editing a Roster

1. Select a school year from the **Select an School Year** drop-down list.

   NOTE: For multiple-district users, you will also need to select a district from the **Select a District** drop-down list.

2. Choose your institution from the **Select an Institution** drop-down list.
3. Select "View/Edit/Delete a Roster" from the **Select task** drop-down list. A list of the roster(s) in your institution will appear.

4. Click **Edit** next to the roster name. Refer to Figures 8 and 9 below.
5. Edit the information that needs to be changed, including roster name, teacher, subject(s), grade level, and students. NOTE: You cannot change the roster ID.
6. Click **Save**.

Deleting a Roster

1. Select a school year from the **Select a School Year** drop-down list.

   NOTE: For multiple-district users, you will also need to select a district from the **Select a District** drop-down list.
2. Choose your institution from the **Select an Institution** drop-down list.
3. Select "View/Edit/Delete a Roster" from the **Select task** drop-down list. A list of the roster(s) in your institution will appear.
4. Click **Delete** next to the personnel's name. Refer to Figure 8 below.
5. A pop-up window will appear, asking for confirmation that you want to delete the roster. Click **OK** to delete.

After you have saved your roster information, click the **Score Reports** tab to access the updated reports.

Figure 8: Access Rosters to Edit or Delete

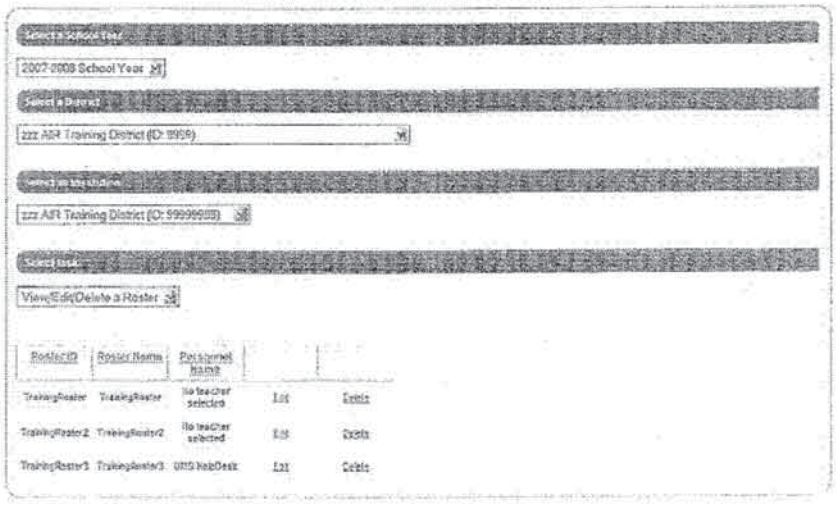
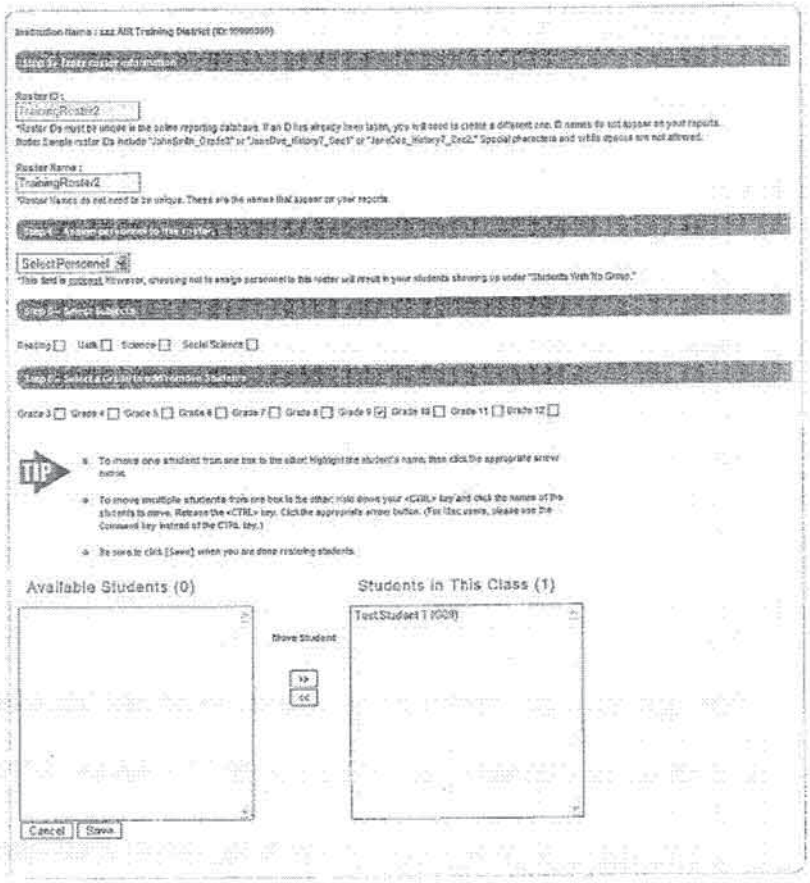


Figure 9: Edit a Roster

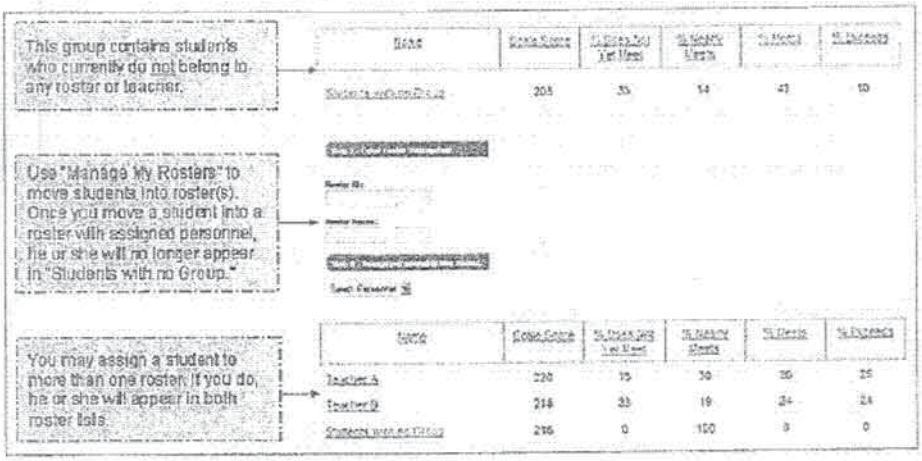


Students With No Group

This group contains students that currently do not belong to any roster. It will also contain students who were added to a roster, but do not have personnel assigned to that roster.

This group is separate from the group(s) that appear for specific personnel in the system. To move these students to a roster with assigned personnel, follow the instructions above for managing rosters.

Figure 10: Students With No Group



Dashboard

The Dashboard page provides overall data within each Grade regarding how many students have taken the subject tests so far. Three graph reports are presented:

- The percent (%) of students who have taken the subject tests (Reading, Mathematics, Science, and Social Sciences).
- The percent (%) of students who have taken the subject tests one, two, or three times.
- The percent (%) of students who took the test(s) and who met or exceeded the state standards for each subject and score reporting category within each subject.

You can also view comparative data between the current school year and the previous school year—you will see "as of today's date," "as of this time last year," and the "final score last year." This data will enable you to track state, district, and school progress and compare it to the previous year's performance.

Figure 11: Percent of Student Tested (by Test Subject)

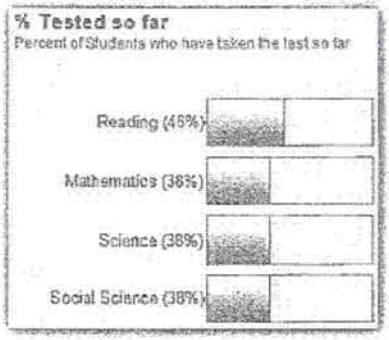


Figure 12: Percent of Students Tested (by Opportunity Number for each Test Subject)

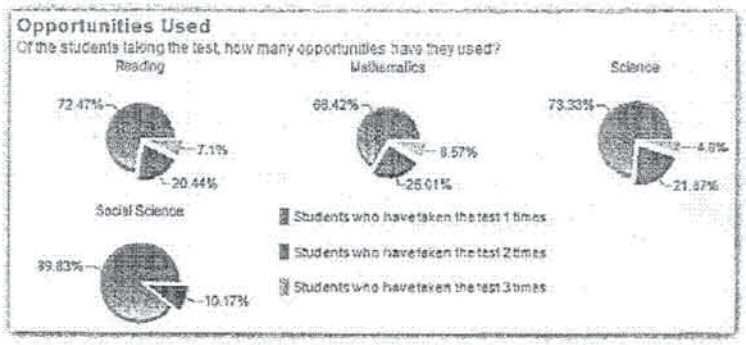


Figure 13: Percent of Students Meeting or Exceeding State Standard (by Test Subject)

Online Score Report

The first report you see is the "Online Score Report." You can use this report to summarize the results of your institution(s) in the selected test grade and subject.

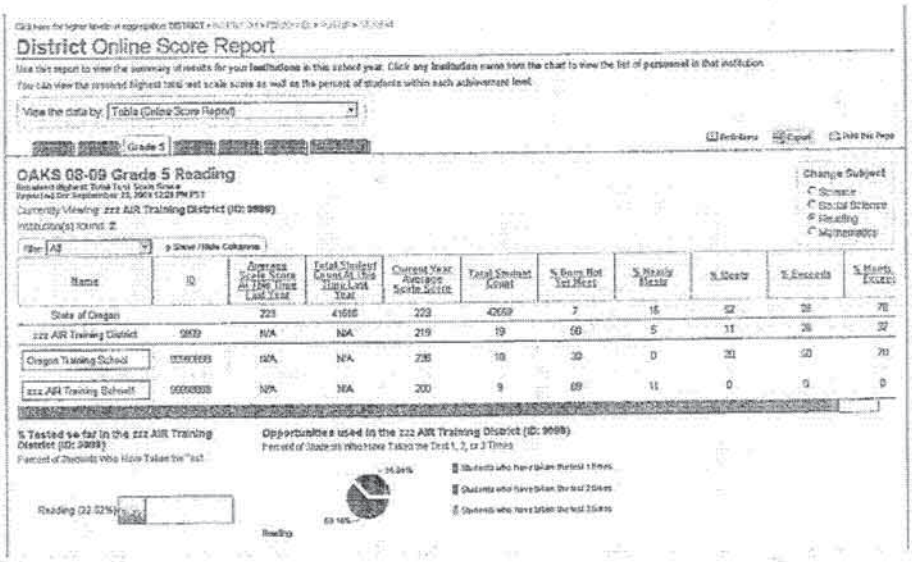
You will view the institution(s) for which you have access. Click the link of the institution to access corresponding personnel, roster and student reports. Each level of the Online Score Report will show the percentage breakdown of students' achievement levels and whether they meet state standards.

> **TIP** Roster reports display only students who have completed tests. Students in your roster who have not yet tested will not appear in reports until after they have completed a test. All students remain in their rosters, even if you do not see their names in the online score report.

District Online Score Report

The district report view shows a summary of results for institutions in the selected test grade and subject. Click any name to access the next lower level (district → institution → personnel → roster → student).

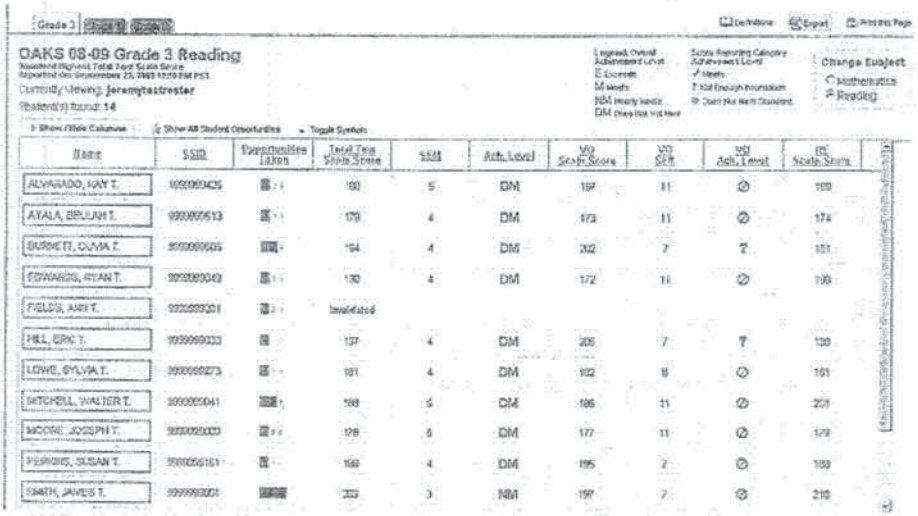
Figure 14: District Online Score Report



Managing Your Report

With this report, you have several options for managing and accessing your data. You can sort data within columns, print roster and student reports, export the data into an Excel spreadsheet, and show and hide specific data columns.

Figure 15: Online Score Report



On-Screen Tools and Resources

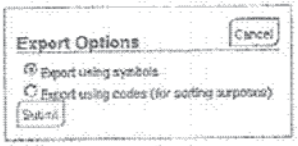
- **Sort Column Data** – View overall scores and individual score reporting category levels from lowest to highest and highest to lowest. Click on the top header of each column to sort from lowest to highest. Click again to sort from highest to lowest.
    - Achievement level symbols are text-based by default and aligned with the exportable spreadsheet.

      DM = Does Not Yet Meet

      NM = Nearly Meets
      M = Meets
      E = Exceeds

    - Click ◦ Toggle Symbols to revert to the old symbol display.
- **Print Roster Reports** – Click Print this Page. The print window will pop up. Click **OK** to print the report.
- **Export Data to Excel** – Click Export. A popup window will appear. Choose either "Open with Excel" or "Save to Disk" and click **OK**. If you save to disk, you will need to locate the file and open in Excel.

- In the **Roster-level** report, you have two options for exporting data.
  1. You may export the report with the same symbols that appear online (default option).
  2. You may export using codes. The codes are text-based, which will allow you to sort data by individual columns in the Excel file.



IMPORTANT FERPA prohibits the release of any personally identifiable information. Printed session details contain personally identifiable student data and must be securely stored and destroyed in accordance with Test Security policies outlined in Part III – Student Confidentiality and Part IV – Test Security of the 2009-10 Test Administration Manual (available at http://www.ode.state.or.us/go/tam).

- **Show/Hide Columns** – Click Show / Hide Columns. A popup window will appear with column options. Click checkboxes to add columns to and remove columns from your online score report. This function allows you to view specific data for performance levels for each score reporting category.

- **View All Test Opportunities in Online Score Report (Roster Level)** ***New!***
  - Default view shows Highest Opportunity score; click Show All Student Opportunities to expand the table. Students who have taken more than one test opportunity will appear on subsequent rows; one for each test opportunity taken and submitted.
  - To revert to highest opportunity view, click Show Only Highest Score Achieved.

Figure 16: Highest Score and Multiple Opportunities

Name	SSID	Highest	Opportunity	Opportunity Date	Total Test Scale Score	SEM	Ach. Level	CT Scale Score	CT SEM
ALVARADO, KAY T.	9999999425	☆	1	4/11/2009	Invalidated				
BURNETT, OLIVIA T.	9999999505	☆	1	10/7/2008	192	6	DM	164	11
BURNETT, OLIVIA T.	9999999505		2	11/10/2008	190	3	DM	160	7
BURNETT, OLIVIA T.	9999999505		3	1/26/2009	173	4	DM	153	11
EDWARDS, RYAN T.	9999999049	☆	1	4/11/2009	189	4	DM	172	8
KENNEDY, RICKY T.	9999999137	☆	1	12/5/2008	188	4	DM	170	8
KENNEDY, RICKY T.	9999999137		2	12/8/2008	173	4	DM	151	11

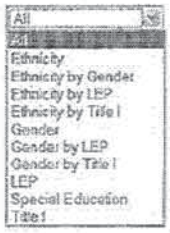
Switch Views or Apply Filters

At any time, you may select another test by changing the subject, grade level, data view (table or graph) or view data using Student Subcategory filters.

- **Changing the Subject** – To change the subject at any time, click the bubble to the left of the subject name. The page will automatically refresh with the new subject report.

- **Changing the Grade Level** – To change the grade level at any time, click the tab for the grade report you need to view. You will be automatically redirected to a new page with the new grade report. Grade 8 | [illegible]

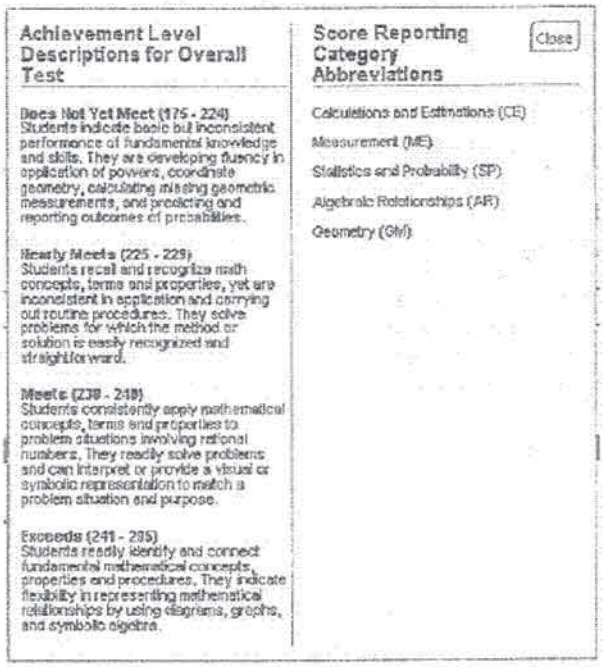
- **Viewing Data by Student Subgroup** – To view reports that include an AYP category, select the desired category from the "Filter by Student Subgroup" drop-down list. Current filters include Ethnicity, Gender, Limited English Proficiency, Special Education, and Title I status, as well as various combination filters (e.g., Ethnicity by LEP). After you select a category, the report will automatically refresh to include the chosen category.



Achievement Levels and Cut Scores

To view a description of the achievement standard levels and the score ranges for each one, click Definitions. Click on individual student names to view graphs and learn more information about his or her score and why he or she was placed within an achievement level range.

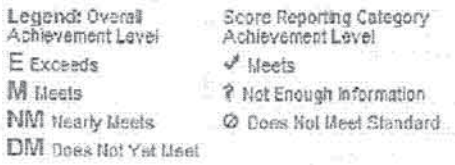
Figure 17: Achievement Level Descriptions



Legend Symbols

At the top of the roster report is a legend that shows symbols that roughly correspond to the achievement levels and cut scores. The symbols in the left column correspond to the students' overall achievement standard levels in each subject. The symbols in the right column correspond to the students' achievement level within each score reporting category.

Figure 18: Legend Symbols



Graphs Available

One of the features of this Web site is graph reports that correspond with the online score reports. The following graphs are available:

- Performance by Scale Score
- Performance by Level of Aggregation
- Performance by Score Reporting Categories

Performance by Resolved Highest Total Test Scale Score Graph

- This default graph appears for individual students and acts as the Individual Student Report (ISR). You may also view scale score graphs at the district, institution and personnel levels. Each report includes the following:
  - Highest scale score to date.
  - Scale score results by score reporting category (content standard), as well as Standard Error of Measurement calculations.
  - State, District and School average scale score data (for comparison purposes).
  - The number of attempt(s) the student made in the current test and the scale score for each test.
- To view the graph for another institution, personnel, or student within the current district, select the name from the drop-down list next to "Select _____."
- To go down to the next level (e.g., institution → personnel), click the link in the yellow box. Note: This graph is not available at the roster level.
- If all opportunities for a student are displayed in the Roster level online score report or View All Students report, clicking on an opportunity will direct you to the graph for that opportunity (not the resolved highest total test scale score)
- In the Individual Student Report, you can click on other opportunities taken by the student to view graphs for those opportunities.
- Printing the Scale Score Graph
  - State, District, Institution, and Personnel levels—Click the Print icon (Print). The print dialogue box will pop up. Click OK to print.
  - Student level---You have four options for printing the student graphs.
    1. You may print the opportunity you are currently viewing.
    2. You may print the highest opportunity achieved by the selected student
    3. You may print graphs for all opportunities this student has taken

4. You may print the highest opportunities only for all students in the rostered group.

To print, click Print this Page. The icon will expand to show the options. Select your desired option and then click **Print**.

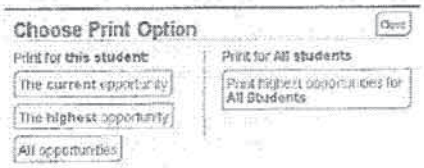
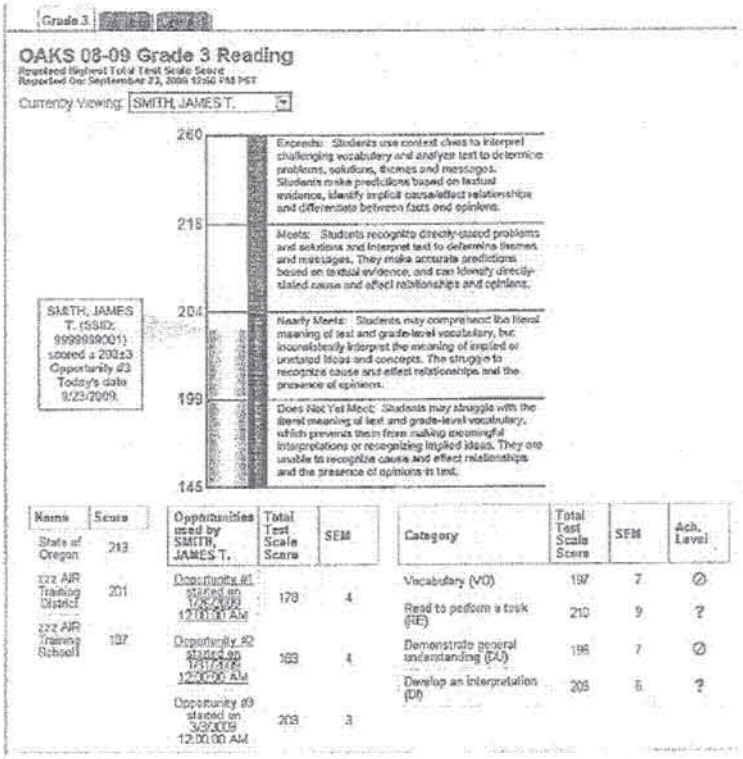


Figure 19: Performance by Resolved Highest Total Test Scale Score Graph (Individual Student)



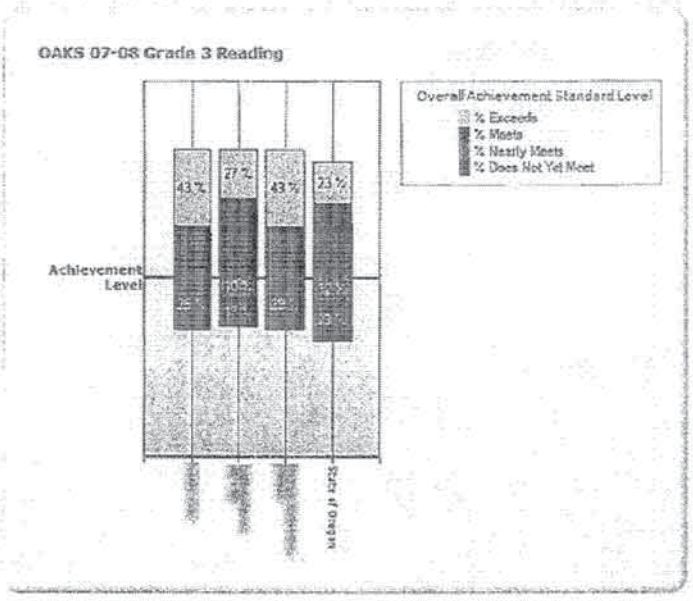
New! Score Reporting Categories data now also includes Scale Score and Standard Error of Measurement for each reported category.

Performance by Level of Aggregation Graph

This graph report shows the overall performance by level of aggregation (subject) for the selected institution or personnel.

- To view the graph for another institution, personnel, or roster within the current district, select the name from the drop-down list next to "Select _____."
- To go down to the next level, click the link in the yellow box.
  Note: This graph is not available at the roster or student levels.

Figure 20: Performance by Level of Aggregation Graph

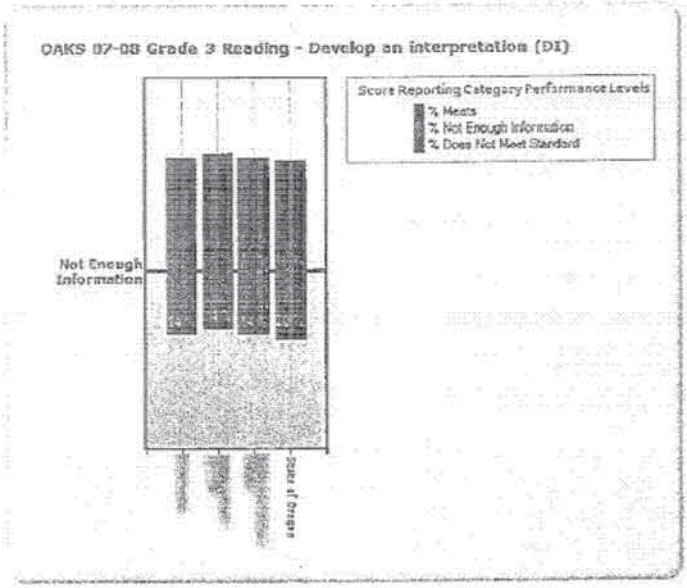


Performance by Score Reporting Category Graphs

This graph report shows the overall performance for each scoring category within a subject. Individual graphs for each category are shown for the selected institution or personnel.

- To view the graphs for other institutions, personnel or rosters within the current district, select the name from the drop-down list next to "Select _____."
- To go down to the next level, click the link in the yellow box.
  Note: This graph is not available at the roster or student levels.

Figure 21: Performance by Score Reporting Category Graphs



Reports are updated almost immediately after a student has completed a test. To see the most recent test results, add the student(s) who have just completed a test to a roster so you can see their results.

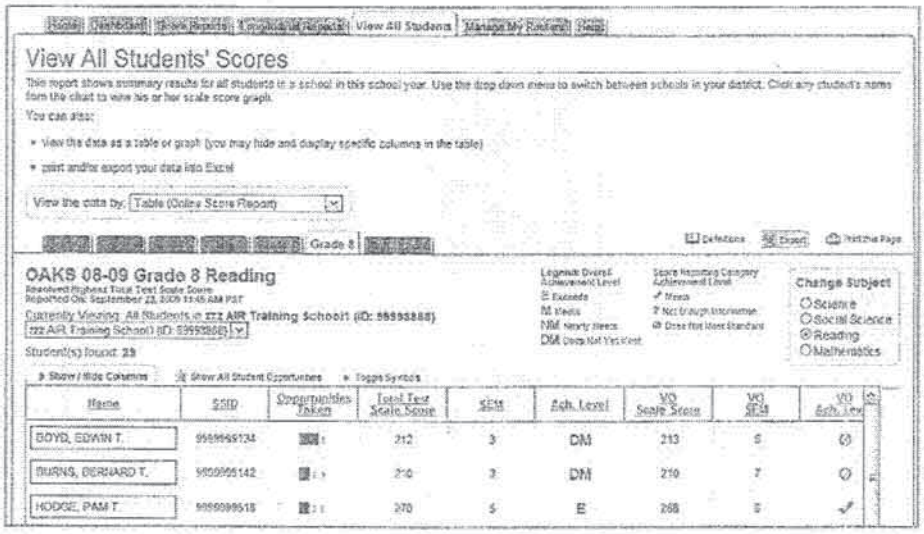
View All Students' Scores

The "View All Students" tab allows users to view all students in an institution for a particular grade and subject, regardless of their roster affiliation. If you want to quickly and easily find one student's score from a test administration, you can use this report to get a listing of all students within a school. This eliminates the need to drill down to the school, teacher, and class levels as you would in the online score report.

This report also allows you to view, at a glance, all the scale scores and overall proficiency levels for all students in one school. You may elect to view the highest scale score achieved by each student or view all test opportunities taken by each student to date. Click a student's name to view the individual score report for that student.

Note: District-level users and above can change the selected institution using the drop-down list.

Figure 22: View All Students' Scores



Longitudinal Reports (Graphs)

Longitudinal reports can help you analyze test scores over time (for example, across school years). You can build three types of longitudinal analyses:

- Tracking by Successive Cross-Sections
- Tracking by Individual Students
- Tracking by Cohort

Tracking by Successive Cross-Sections

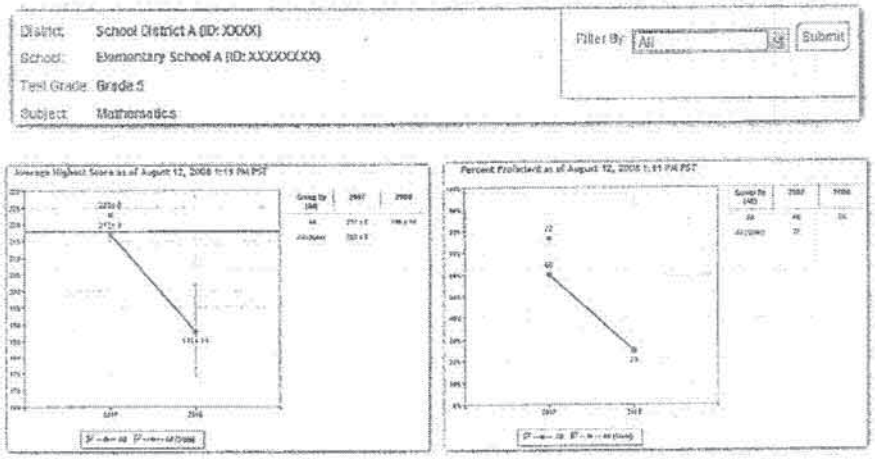
Build this report to answer this question: "Are students scoring higher this year than last year?"

Select a test grade level to compare groups of students across time. Direct comparisons are made between two groups of students that have a similar attribute for the selected test subject and grade level. For example, how did 3rd graders in 2007 fare in Math compared to the 3rd graders in 2008?

The report shows this analysis in two ways: by the Resolved Highest Total Test Scale Score and by the percent of students who scored at or above the proficient level.

Note: If you filter by a sub-group (e.g., Ethnicity → American Indian) and the entity you are plotting the graph for does not have data for that sub-group, then the graph will not plot the comparative state data.

Figure 23: Tracking by Successive Cross-Sections Graphs

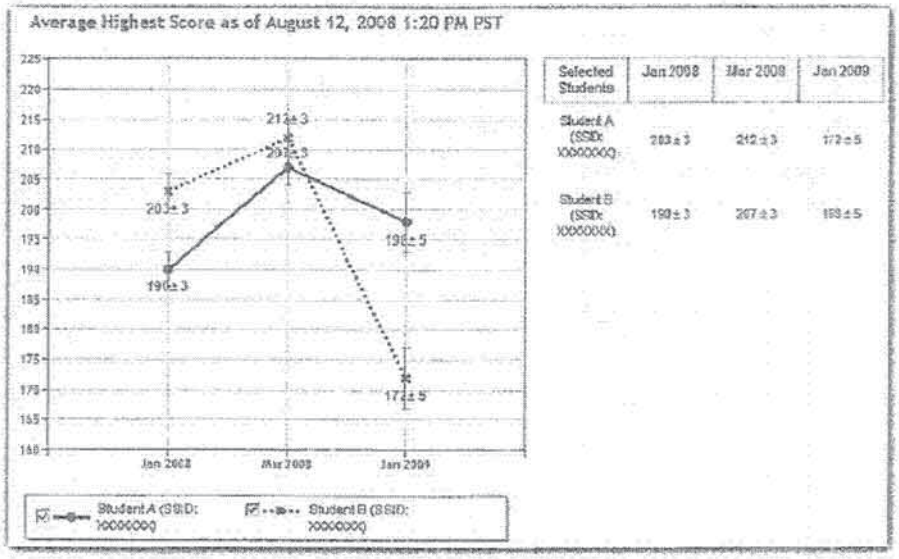


Tracking by Individual Students

Build this report to answer this question: "How much is an individual student's test score increasing from year to year?"

This report allows you to track individual students from one test grade to the next. For example, a student in 2007 who tested Grade 3 Math may be testing Grade 4 Math in 2008. For past school years, this report shows the Resolved Highest Total Test Scale Score for that student. For the current school year, this report shows all available test opportunities for that student. For example, if "Jane Doe" took the Grade 3 Math test three times in 2007, her resolved highest total test scale score is displayed and can be compared to all her test opportunities so far for Grade 4 Math.

Figure 24: Tracking Individual Students Graph



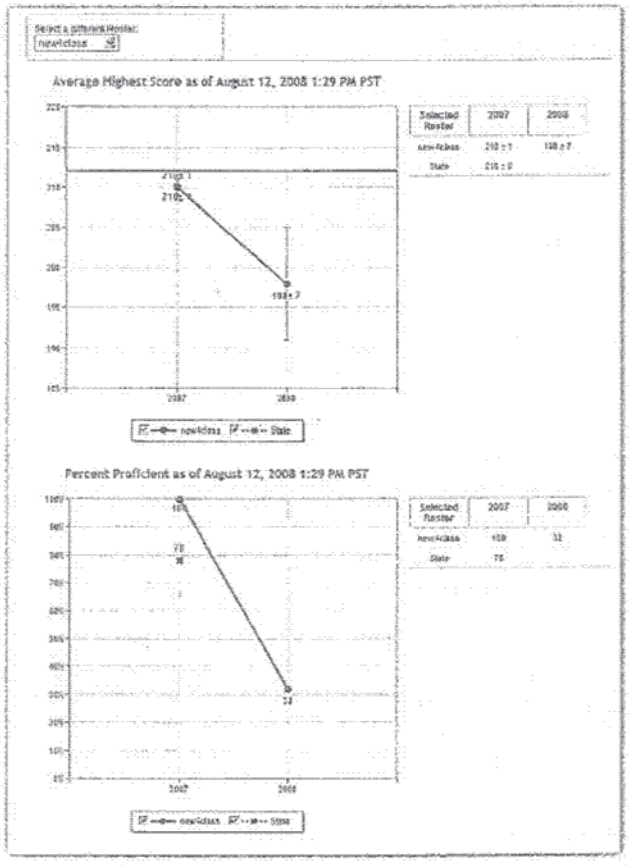
Note: You may select up to five students to track at once.

Tracking by Cohort

Build this report from your existing roster(s) to answer this question: "How much is my cohort of students' average score increasing from year to year?"

By selecting a current roster, you can track your group's (of the same students) performance over time. For example, you might have 20 students in "Roster A" who tested in Grade 3 Math last year, and you would like to analyze the performance of the same 20 students in "Roster A" this year who are taking the Grade 4 Math test. The report shows this analysis in two ways: by the Resolved Highest Total Test Scale Score and by Percent Proficient.

Figure 25: Tracking by Cohort Graph

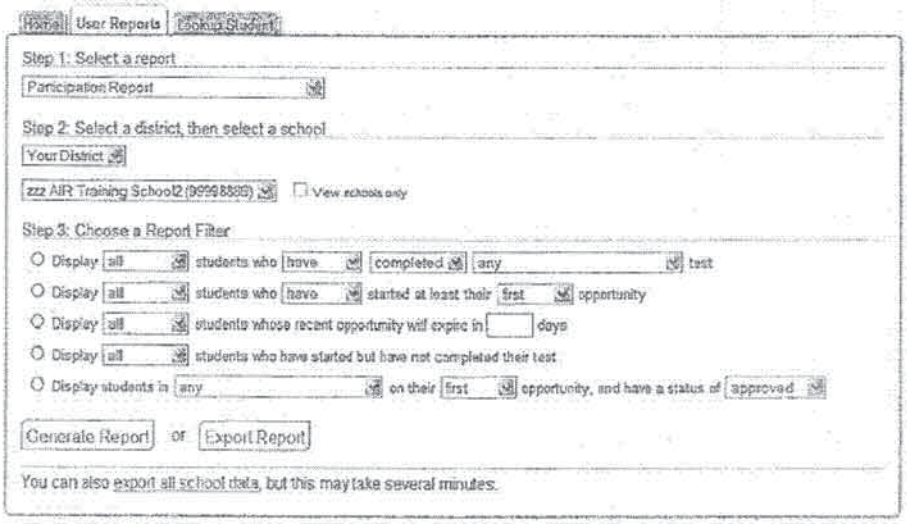


PARTICIPATION REPORTS

Customizing Your Participation Report

The first screen on the Participation Report allows users to set the search parameters for their report.

Figure 26: Participation Report Customization Screen



Set Filters for Your Report

Refer to the following steps to generate your Participation Report.

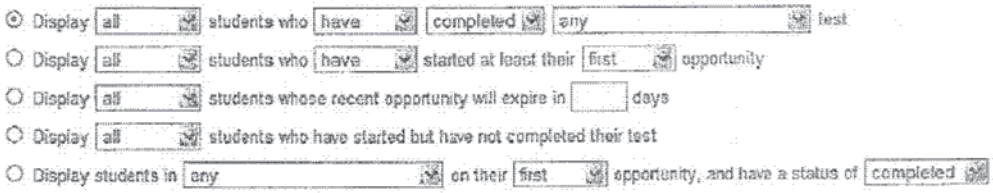
- **Select a District and School**
  Select the District from the drop-down (only the Districts you have access to will display). The School drop-down automatically populates based on the District selected. Select the School for your Participation Report.

> **TIP** Click the "View Schools Only" check box to filter the School drop-down menu so only schools are displayed. Note that some districts may be displayed in the School drop-down menu. Selecting a district from the School drop-down will NOT include all schools for that district in the report. Schools must be selected individually.

- **Choose a Report Filter**

  The characteristics of your report can be customized using filters designed to help administrators target specific information.

Figure 27: Participation Report Filters



You must select one of the five filters before you are able to generate your report. Each filter has one or more user-defined settings, not limited to the following:

Table 1: Filters

Filter Setting	Available Options
Enrolled Grade	Select from Grades 3--12, or All Grades (only available Grades will display in the drop-down)
Opportunity #	First, Second, Third
Test (Grade/Subject)	The specific OAKS Online test for the opportunity (ex: Grade 3 Reading)
Set to Expire	The number of remaining days before an opportunity expires
Status	The status of the test opportunity (see Table 2 for Status definitions)

After setting the options for your selected filter, click [Generate Report] to create your Participation Report. To export the information to a CSV file, click [Export Report]. Your report can also be exported to a CSV on the web-based report screen.

Your Participation Report

Upon clicking [Generate Report], your Participation Report is displayed based on a new page.

> **IMPORTANT** Information displayed in the Participation Report reflects data current as of the time of the request to generate the report (when the report was generated). To update the information displayed in your report, you must generate another report. Do NOT use your browser's "Refresh" button.

Figure 28: Sample Participation Report

This report shows those students who have been entered in the system for the selected test administration and their status for each test opportunity.

Type of Report: Participation Report
District: zzz AIR Training District (9989)
School: zzz AIR Training School1 (99990888)
Filtered by: all students who have started any test

Hide/Show Columns

Student Name	SSID	Enrolled Grade	Restricted Subjects	Current LEP	Test	Opportunity	TA Name	SessionID	status	Results ID
test5, student3	999999812	03	--	N	OAKS-Math-3	1	STC User	User-198	reported	2000875
test3, student3	999999933	03	--	N	OAKS-Read-3	1	ode air	air-5	submitted	2000454
test3, student3	999999933	03	--	N	OAKS-Math-3	1	ode air	air-5	reported	2000453
test3, student3	999999934	03	--	N	OAKS-Read-3	1	TAAIR	AIR-48	paused 0:0	2000265
test3, student3	999999934	03	--	N	OAKS-Math-3	1	DSA USER	USER-73	paused 11:40	2000373
test3, student3	999999935	03	--	N	OAKS-Math-3	1	STC User	User-114	paused 15:50	2000200
test3, student3	999999935	03	--	N	OAKS-Read-3	1	tz air	air-162	submitted	2000442
test3, student3	999999935	03	--	N	OAKS-Math-3	1	tz air	air-162	reported	2000441
test student	999999990	10	--	N	OAKS-Science-HS	3	STC User	User-198	reported	2000715

Understanding Your Participation Report

Each report includes a listing of all students under the user-selected filters. Each test opportunity record contains the following attributes (indicated by column heading):

- **Student Name** – Student's legal name (*Last Name, First Name*).
- **SSID** – Student's SSID.
- **Enrolled Grade** – This shows the student's enrolled grade as indicated in SSID data. This will also be the default test grade except for students that "Challenge Up." Students that Challenge Up will still appear in reports for their enrolled grade, with the Test column reflecting the Challenged Up test. For example, a Grade 3 student who took a Grade 4 Reading test will have his or her score included in the Grade 3 Participation Report.
- **Restricted Subject** *NEW* – This indicates any test subjects the student is currently restricted from taking.
- **Current LEP** *NEW* – This indicates students for whom the Limited English Proficiency flag has been set to "yes" in UMS. This indicator is used for ELPA tests.

- Test – Subject and Grade-level of test.
- Opportunity – The test opportunity number of the student's test.
- TA Name *NEW* – The Test Administrator of the session for the student's test opportunity. For tests taken in multiple sessions, this reflects the Test Administrator who created the session with the student's most recent test activity.
- Session ID *NEW* – The test session for that student's test opportunity. For tests taken in multiple sessions, this reflects the session with the student's most recent test activity.
- Status – The status for that specific test opportunity (see Table 2 for a list of status-types defined). Tests that have been started but have not yet been completed now indicate the student's test progress (the number of items released to the student out of the total number of items on the test).
- Results ID – The unique identifier linked to the student's results for that specific testing opportunity (Note: When reporting a potential testing impropriety or test irregularity to ODE, you will need to include the Results ID in your report).
- Restarts– The total number of times a test is resumed after pausing for that test opportunity (this includes Restarts in 20).
- Restarts in 20 – The total number of times a test is resumed after pausing within 20 minutes of pausing for that test opportunity.
- Date Started – Date when the first item was presented for that test opportunity.
- Date Completed – Date when the student submitted that test for scoring.
- Last Activity – Date of last activity for that test opportunity / record. A "Completed" test can still have test activity (as it goes through the QA and reporting processes).
- Expiration Date – The date that the test opportunity expires (45 days after the test start date).

Table 2: Status Definitions

Status	Definition
Approved	An "Approved" status indicates that the TA has approved the student for the test session, but the student has not yet started or resumed his or her test.
Denied	The TA has denied the student access to the test session. If a student attempts to enter the session again, his or her status will be changed to "Pending" until the TA approves or denies the student.
Expired	The student's test has not been completed and cannot be resumed because the test record (45 days) has expired.
Invalidated	The test result has been invalidated.
Paused	The student's test is currently paused (as a result of one of the following): -The student pauses his or her test by clicking the [Pause] button -The student's browser or computer shuts down or crashes

	-The TA pauses the test session -The TA pauses the individual student's test
Pending	The student is awaiting TA approval for a test they are starting (not resuming).
Started	The student's test is open and currently in progress.
Suspended	The student is awaiting TA approval for a test they are resuming after a pause.

The following status types are listed chronologically as they are displayed during the testing/scoring process.

Status	Definition
Review	The student has completed all test questions and is reviewing their answers. A test with a "Review" status is not considered complete.
Completed	The student has completed the test and submitted it for scoring. No additional action can be taken by the student.
Scored	The student's test is scored, and no additional actions can be taken by the student.
Submitted	The test score has been submitted for quality assurance review before it is submitted to the reporting system.
Reported	The test scores have been submitted to the reporting system.

On-Screen Tools and Resources

- **View Definitions of Columns and Student Statuses**
  Click the [Definitions] button to view information about column attributes and other definitions relevant to your report.
- **Sort Results by Attribute**
  Click a heading of a column to sort your report's results by that particular attribute. Depending on your display preference, you may need to click the column heading a second time to change the order of the results.
- **Hide/Show Columns** Hide/Show Columns
  Use the [Hide/Show Columns] drop-down menu to control the attributes displayed on your report.
- **Print Report**
  Click the [Print] button to print your Participation Report.
  Note: Set your Print Options to Landscape mode (horizontal) to accommodate the various columns in the report. You can also try adjusting the scale of the content (using your browser's "Print Preview" feature) to fit on a printed page.
- **Export Report Data**

Users can export their report data to a CSV file by clicking the [Export Data] button. CSV files can be opened using a spreadsheet application (i.e., Microsoft Excel) or a notepad application. The CSV file will display all columns, including those the user may have hidden on-screen.

IMPORTANT

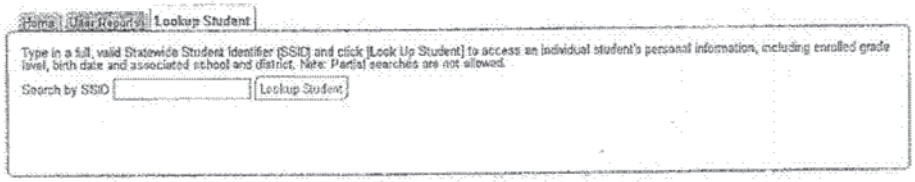
FERPA prohibits the release of any personally identifiable information. Printed reports contain personally identifiable student data and must be securely stored and destroyed in accordance with Test Security policies outlined in Part III – Student Confidentiality and Part IV – Test Security the 2009-10 Test Administration Manual (available at http://www.cde.state.or.us/pota).

Excel files should not be shared electronically and should not be stored on computers accessible to individuals who are not authorized to view confidential student information.

Lookup Student Tool

The TDS Report contains a tool to look up students by SSID. Users can access this feature by clicking the "Lookup Student" tab on the reporting interface.

Figure 29: Lookup Student Screen



To search for a student, enter their complete SSID in the field and click [Lookup Student].

Note: Searches with partial SSID information will not work.

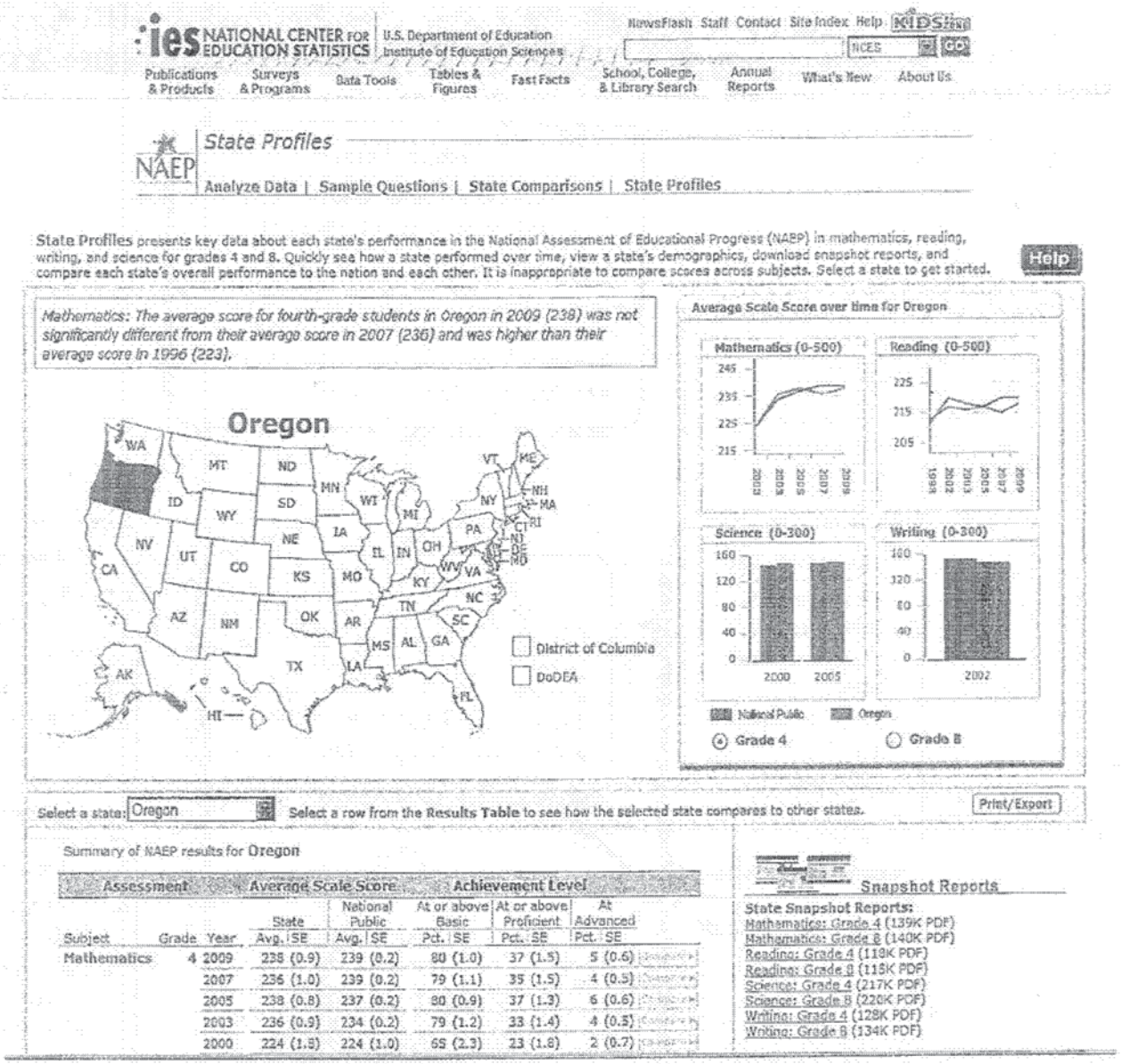
Figure 30: Example Lookup Student Results

Grade	SSID	EthnicityKey	Last Name	First Name	Birthday	Challenge Up	Accommodations	Gender	School ID	School Name	District ID	District Name
12	9999999405	106	POPE	MATTIE	12/07/1992	--	--	F	99999888	zzz AIR Training School1	9999	zzz AIR Training District

If the SSID exists in the statewide database, your search query will return one result. The result displays the official student information as it exists in the database.

If any of this information is incorrect for a student, the student's profile must be updated. Incorrect information will need to be updated in ODE's SSID system via a data upload. For assistance with this process, contact your Regional Assessment ESD Partner.

Appendix A4-4e: Reporting Exemplar – NAEP State Profile Data Base Report



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NAEP State Profiles

Analyze Data | Sample Questions | State Comparisons | State Profiles

State Profiles presents key data about each state's performance in the National Assessment of Educational Progress (NAEP) in mathematics, reading, writing, and science for grades 4 and 8. Quickly see how a state performed over time, view a state's demographics, download snapshot reports, and compare each state's overall performance to the nation and each other. It is inappropriate to compare scores across subjects. Select a state to get started.

Help

Mathematics: The average score for fourth-grade students in Oregon in 2009 (238) was not significantly different from their average score in 2007 (236) and was higher than their average score in 1996 (223).

Oregon

WA MT ND MN WI MI NY VT ME NH MA RI CT NJ DE MD PA OH IN IL WV VA KY TN NC SC GA AL MS LA AR OK KS MO IA NE SD WY ID NV UT CO AZ NM CA TX AK HI FL

District of Columbia

DoDEA

Average Scale Score over time for Oregon

Mathematics (0-500)

Reading (0-500)

Science (0-300)

Writing (0-300)

National Public Oregon

Grade 4 Grade 8

Select a state: Oregon Select a row from the Results Table to see how the selected state compares to other states. Print/Export

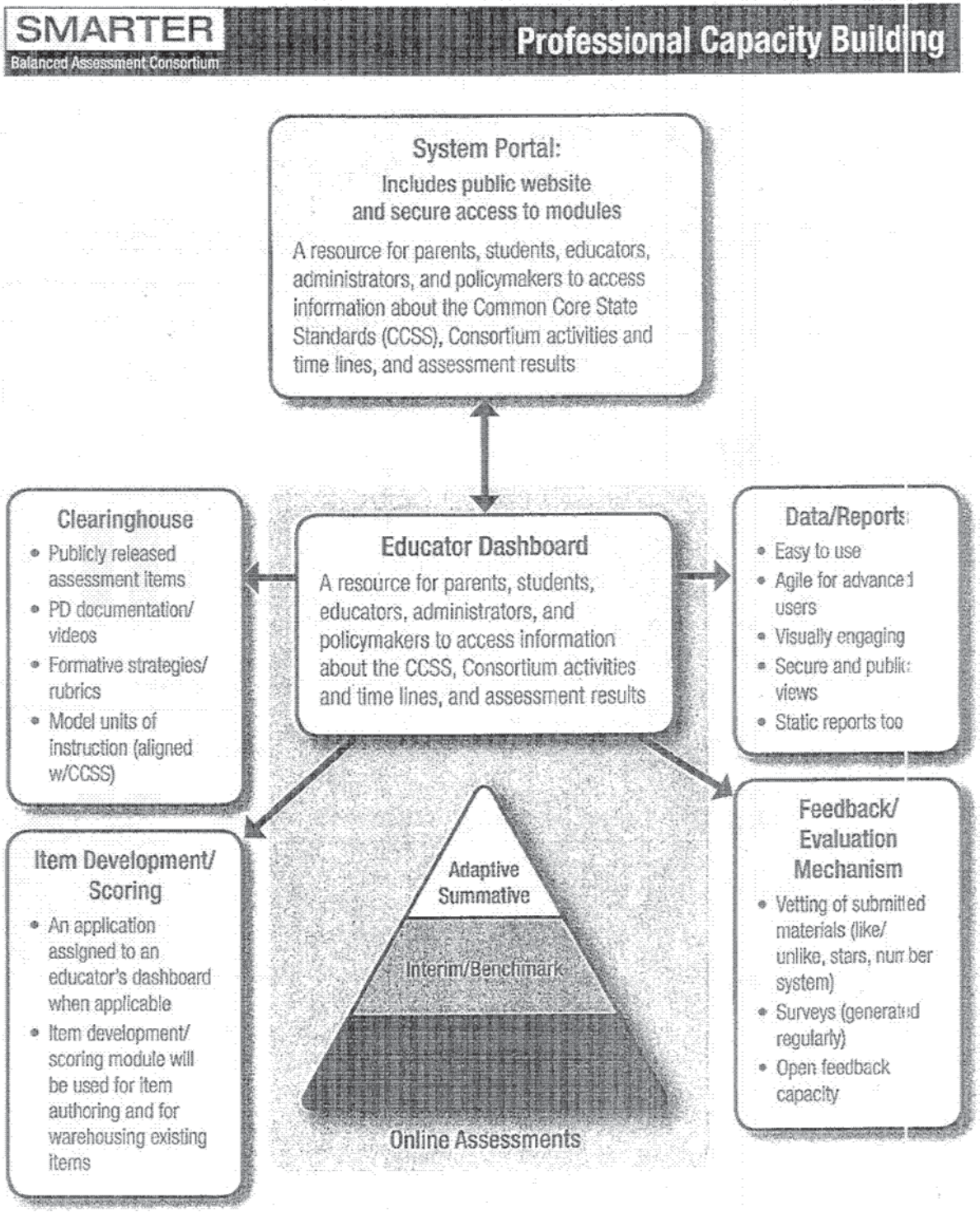
Summary of NAEP results for Oregon

Assessment			Average Scale Score			Achievement Level					
			State		National Public		At or above Basic		At or above Proficient		At Advanced	
Subject	Grade	Year	Avg.	SE	Avg.	SE	Pct.	SE	Pct.	SE	Pct.	SE
Mathematics	4	2009	238	(0.9)	239	(0.2)	80	(1.0)	37	(1.5)	5	(0.6)
		2007	236	(1.0)	239	(0.2)	79	(1.1)	35	(1.5)	4	(0.5)
		2005	238	(0.8)	237	(0.2)	80	(0.9)	37	(1.3)	6	(0.6)
		2003	236	(0.9)	234	(0.2)	79	(1.2)	33	(1.4)	4	(0.5)
		2000	224	(1.8)	224	(1.0)	65	(2.3)	23	(1.8)	2	(0.7)

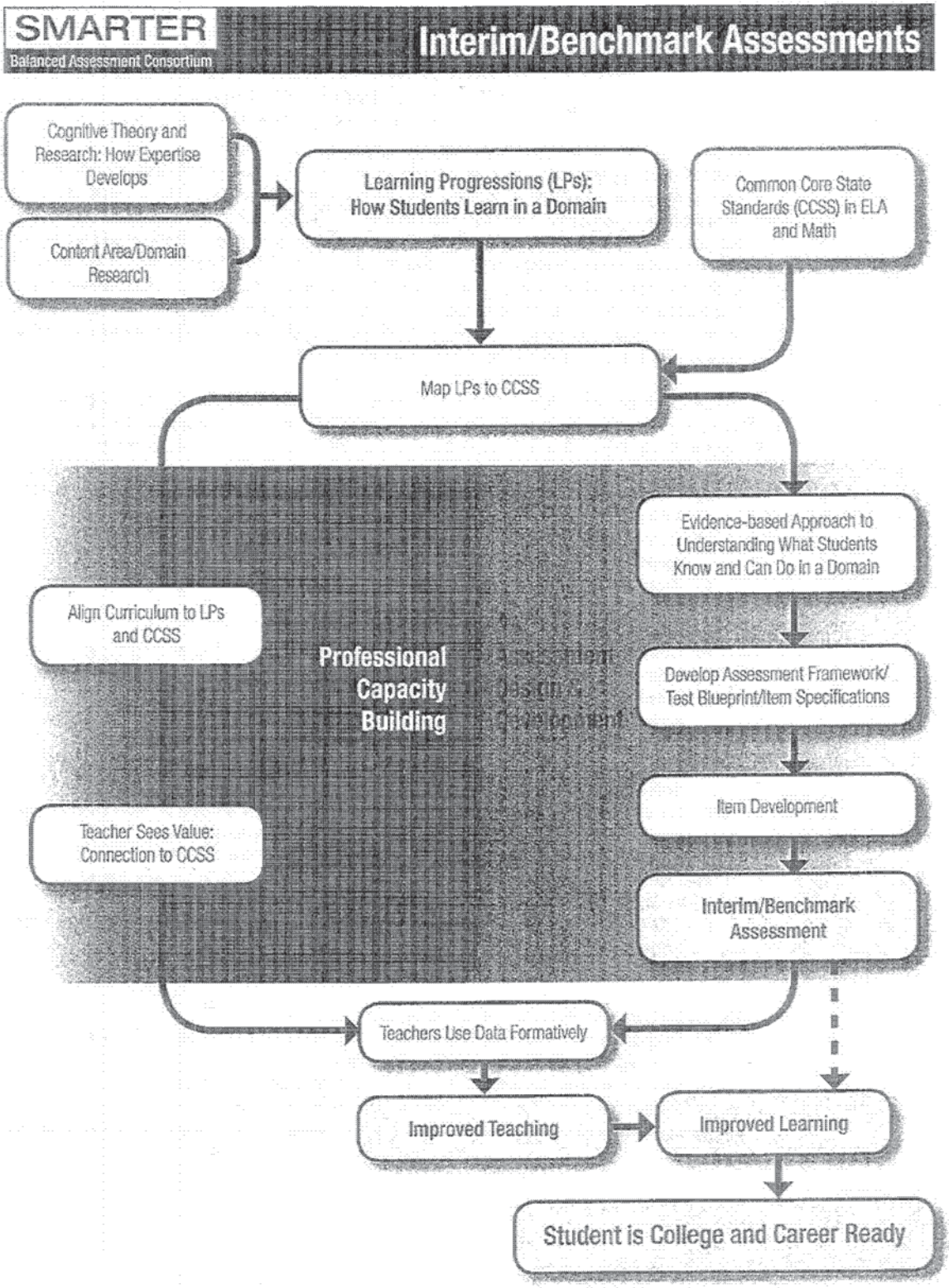
Snapshot Reports

State Snapshot Reports:
Mathematics: Grade 4 (139K PDF)
Mathematics: Grade 8 (140K PDF)
Reading: Grade 4 (118K PDF)
Reading: Grade 8 (115K PDF)
Science: Grade 4 (217K PDF)
Science: Grade 8 (220K PDF)
Writing: Grade 4 (128K PDF)
Writing: Grade 8 (134K PDF)

Appendix A6-1: Overview of Professional Capacity Building



Appendix A6-2: Overview of Development Process for Interim/Benchmark Assessments



Appendix A8-1: RFP for Grant Project Manager

Scope of Work for a Common Assessment Project Manager
(SMARTER Balanced consortium)
Released April 2, 2010

PURPOSE: Vendor will work with a design team comprised of consortium members and technical advisors to facilitate the creation of a grant proposal for a multi-state common assessment to be submitted to the U.S. Department of Education based on requirements established by the U.S. Department of Education. Vendor will facilitate and manage the planning activities and grant writing of the consortium. It is the intent of the consortium that vendors are eligible to subsequently bid for additional work as requested by the consortium. Neither the application for this work nor the receipt of this work is intended to preclude a vendor from additional work on behalf of this consortium during or after the submission of a proposal.

SCOPE OF WORK: Vendor will be responsible for facilitating and organizing the planning, discussion and grant writing activities of the executive and coordinating committee in their efforts to submit a grant proposal to the U.S. Department of Education. Efforts will include:

a) Participate in all consortium meetings, whether in person or via conference call or web ex format.
b) Complete preparations for meetings and keep and disseminate consortium meeting notes and decisions.
c) Work closely with the coordinating group to prepare for larger group conversations and meetings.
d) Create a detailed project schedule.
e) Coordinate communication and facilitate decision making among consortium members.
f) Translate discussions and vision into documented decisions and create a plan of action for decision items.
g) Frame discussions around critical design issues.
h) Document and make coordinating committee aware of technical/practical defensibility constraints.
i) Serve as liaison between consortium members and groups or individuals, such as: CCSSO, consortium grant writer, technical advisors, etc.
j) Schedule meetings and ensure support materials are provided
k) Coordinate with another entity for logistics (e.g. CCSSO) for any travel arrangements for consortium members.
l) The consortium may negotiate an extension of this work for additional duration and/or additional services as it deems necessary.

DELIVERABLES: Provide the following product or services:

(a) Prepare a working project timeline with detailed project deliverables and tracking of assigned tasks to consortium members.
(b) Document and disseminate all meeting notes and decisions.
(c) Attend full consortium and design committee meetings.

(d) Provide weekly summaries of the project status to provide enough information for the coordinating committee to initiate appropriate responses. Summaries should include a recap of recent activities, impending deadlines and milestones, and risk and mitigation strategies

Project Schedule:

RFP from US DOE expected	Week of March 29th
Issue Work Request for prospective proposal writers	April 2, 2010
Proposals from prospective proposal writers due	April 9, 2010
Evaluate proposals	April 10-12, 2010
Goal for hiring staff	April 14, 2010
Announce "Apparent Successful Contractor" and send notification via fax or e-mail to unsuccessful proposers	April 15, 2010
Draft/Execute proposal contract	April 16-19, 2010
Begin contract work	April 20, 2010
Convene assessment design team in Washington DC	April 23, 2010
Grant Outline due	May 3, 2010
Meeting of State Members in Washington DC	May 6, 2010
1st Draft of Proposal Due	May 21, 2010
2nd Draft of Proposal Due	May 28th, 2010
Final Draft & Presentation with completed budget	June 11th, 2010
Grant Application Submittal Ready	June 18th, 2010
Ongoing teleconference meetings of assessment designers & contractor or optional in-person meetings if appropriate and funds are available	April - June
Meeting of State Members in Washington DC	End of May / early June
Proposal likely due date	End of June
Questions from US DOE anticipated	End of July / early August
Response to Questions	August
Award	September

NOTE: All dates, including contract commencement date, are tentative based on release of grant proposal and submittal guidelines by the U.S. Department of Education. Actual schedule to be finalized upon release.

Minimum Qualifications:

1) Ability to work in a fast-paced environment with multiple deadlines.
2) Ability to keep consortium members on task and to meet deadlines through the use of strong facilitation, mediation and consensus building skills.
3) Demonstrated knowledge and experience with education and the field of large scale assessment/test measurement.

4) Demonstrated experience working with large groups from different agencies/divisions.
5) Demonstrated project planning and project management skills on a large scale project that incorporates resources spread out over large distances
6) Ability to remain neutral and work with 30+ state stakeholders to best meet individual needs and concerns.
7) Preferred experience facilitating substantial grant submissions.

Proposal must include:

(1) A description as to how each of the minimum qualification is met including samples of work as appropriate.
(2) A resume for each key staff who collectively meet the minimum requirements of this request and who will be accountable for the completion of this project.
(3) A description as to which work (if any) will be sub-contracted and the resumes of those subcontractors.
(4) A description of the amount of time that each proposed key staff will be available to allocate to this project and the date key staff will be available to begin work.
(5) 3-4 references/former clients for whom vendor completed similar work as described in this request that the consortium may contact.
(6) A detailed narrative regarding how the vendor would incorporate the expectations included in the statement of work to complete each of the required deliverables.
(7) Vendor's contact information for this Work Request. Include name, title, email, phone & fax numbers.
(8) A "not to exceed" budget bid with either:
    1. A proposed hourly rate for completing the work, or
    2. A fixed price for project.

    The budget should incorporate anticipated travel that includes of three, 2-day meetings in the D.C. area. Contractor is required to pay only the time and effort of the contractor in establishing arrangements to attend these meetings. Costs for all travel (outside of direct meeting engagements), expenses, and office space are the responsibility of the Contractor and should be included in the bid.
(9) A disclosure of the vendor's conflict of interest or potential conflict of interest
(10) Proposals must be emailed to: **Tammy.Morrill@maine.gov** by 5:00 p.m. EST on April 9th to be considered. Proposals submitted after 5:00 p.m. EST on April 9th will not be considered.

Scoring of Proposals

Capacity to complete the Work (Questions 1 - 5 above):	25 points
Cost Proposal (Question 8 above):	25 points
Quality of Proposal (Questions 6 above)	25 points
Total possible points:	75 points

If necessary, the consortium may elect to conduct phone interviews with the top candidates. If this is required, the tentative date for interviews is April 13th. However, this date may need to be adjusted based on the availability of consortium members.

Term of Work:
This contract is specifically to coordinate the Race to the Top Assessment grant application. The contact will begin April 2010 and continue through the final submission of the grant in July 2010. There is a potential for this contract to continue with the project should the grant be awarded.

Appendix A8-2: Washington RFP for Project Management Partner

STATE OF WASHINGTON
OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
Acting on Behalf of the SMARTER Balanced Consortium

REQUEST FOR PROPOSALS (RFP) No. 2010-07
Common Assessment Project Management Partner

This RFP is available at the Office of Superintendent of Public Instruction website located at http://www.k12.wa.us/RFP/ and at the Office of General Administration, Washington Electronic Business Solution (WEBS) Procurement Website at http://www.ga.wa.gov/webs/. All RFP amendments or bidder questions/OSPI answers will be posted to these sites. All interested Consultants must be registered with WEBS in under the following commodity codes in order to receive notifications: 9815 Educational Consulting Services, 9811 Management Services, and 9852 Educational Testing Services

PROPOSAL DUE DATE: 4:30 PDT, July 30, 2010

EXPECTED TIME PERIOD FOR CONTRACT:
October 1, 2010 through September 30, 2011 with option to renew through 2014

CONSULTANT ELIGIBILITY: This procurement is open to those Consultants that satisfy the minimum qualifications stated herein and that are available for work in the United States.

CONTENTS OF THE REQUEST FOR PROPOSALS:

1. Introduction
2. General Information for Consultants
3. Proposal Contents
4. Evaluation and Award
5. Exhibits
   - A. Race To The Top Notice Inviting Applications
   - B. Common Core Standards
   - C. Staffing & Responsibilities Table
   - D. Budget Submission Form
   - E. Personal Service Contract Format including General Terms and Conditions
   - F. Certifications and Assurances
   - G. Evaluation Criteria
   - H. Service Level Expectations and Remedies

Message to Consultants: Effective November 1, 2008, the State of Washington is required to publish all bidding opportunities on the Office of General Administration's Washington Electronic Business Solution (WEBS) website. Please register at http://www.ga.wa.gov/webs/, under the commodity codes listed above and any other commodity code for which you would like to receive notification of future bidding opportunities.

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   - B. Common Core Standards
   - C. Staffing & Responsibilities Table
   - D. Budget Submission Form
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   - F. Certifications and Assurances
   - G. Evaluation Criteria
   - H. Service Level Expectations and Remedies

1 INTRODUCTION

1.1 PURPOSE

The Office of Superintendent of Public Instruction (OSPI), acting on behalf of the SMARTER Balanced Consortium, is initiating this Request for Proposal (RFP) to solicit proposals from CONSULTANTS interested in serving as the SMARTER Balanced Consortium's Project Management Partner pending award of Comprehensive Assessment System grant from the U.S. Department of Education's Race to the Top Assessment Program (Exhibit A). SMARTER, which stands for Summative Multi-State Assessment Resources for Teachers and Educational Researchers, is a collaborative of states mutually aligned to generating the assessment tools and instructional resources for associated school and district constituencies to access as part of the federal government's, and each member state's education, reform efforts. In accordance with grant eligibility requirements, the SMARTER Balanced Consortium, hereafter referred to as "CONSORTIUM," seeks a Project Management Partner to coordinate the assessment development objectives of the CONSORTIUM.

1.2 BACKGROUND

Authorized under the American Recovery and Reinvestment Act of 2009 (ARRA), the Race to the Top Assessment Program provides funding to consortia of States to support the development and implementation of new common high-quality assessments that are: 1) aligned with the consortium's common set of college- and career-ready, K-12 standards (basis of which will be the Common Core standards released by the Department of Education, refer to Exhibit B), 2) valid and instructionally useful, 3) provide accurate information about what students know and can do, and 4) measure student achievement against standards or expectations designed to ensure that all students gain the knowledge and skills needed to succeed in college and the workplace. Over the past decade, State assessment results have brought much-needed visibility to disparities in achievement among groups of students and helped meet increasing demand for data that can be used to improve teaching and learning. These new assessments are intended to play a critical role in educational systems providing administrators, educators, parents, and students the data and information needed to continuously improve teaching and learning.

To fully meet the twin needs of accountability and instructional improvement, however, States need assessment systems that are based on standards designed to prepare students for college and the workplace, and that more validly measure what students know and can do. Further, States need assessment systems that better reflect good instructional practice and support a culture of continuous improvement in education by providing information that can be used meaningfully and in a timely way to determine school and educator effectiveness, identify professional development and support needs, improve programs, and guide instruction.

As delineated in the U.S. Department of Education's release of notice inviting applications (NIA) for the fiscal year 2010 Race to the Top Assessment Program competition, there are two categories of available grants: 1) High School Course Assessment and 2) Comprehensive Assessment System. The Comprehensive Assessment System, designed to support the Common Core mathematics and English language arts standards, is the focus of the CONSORTIUM. Additional information regarding the Comprehensive Assessment System is as outlined below:

Assessment systems developed with Comprehensive Assessment Systems Grant funds must:

- Include one or more summative assessment components in mathematics and English language arts that are administered at least once during grades 3-8 and at least once in high school;
- Produce student achievement and growth data that can be used to determine if students are on track to graduating college and career ready; and
- Identify best practices to support a culture of continuous learning and improvement in education by providing timely and meaningfully data to improve programs and instruction.

Eligibility Requirements. Grant eligibility requires each state in the consortium to submit a Memorandum of Understanding (MOU) agreeing to the consortiums conditions of membership, outlines the potential state barriers and how the state will address them, and commits to implementing the assessment system no later than the 2014-15 school year. The MOU must be signed by the state's Governor, Superintendent, State Board and Procurement Officer.

- Eligible consortia must include at least 15 states, of which at least five states are governing states.
- An eligible application must identify a project management partner and provide an assurance that the project manager partner is not partnering with any other applicants under the Comprehensive Assessment category.
- An eligible application must be able to ensure that the summative assessments will be fully implemented in each participating state no later than the 2014-2015 school year.
- An eligible application must address all absolute priorities (as listed below).

Absolute Priority: Comprehensive Assessment Systems Measuring Student Achievement Against Common College and Career-Ready Standards

- Measures student knowledge and skills against a common set of college-and career-ready standards.
- Consists of assessment components in mathematics and in English language arts that include one or more summative assessment components.
- Produces student achievement data and student growth data.
- Assesses all students, including English Language Learners and students with disabilities.

- Produces data that can be used to determine school, principal, and teacher effectiveness, determine principal and teacher professional development needs, and teaching, learning, and program improvement.

Competitive Priority: Collaboration and Alignment with Higher Education

- Commitment that the Institute of Higher Education (IHE) system will participate in the design and development of high school summative assessments for mathematics and English language arts in order to ensure that assessments measure college readiness.
- Commitment that the IHE system will implement policies that exempt students from remedial courses if they have met necessary achievement standards for each assessment.
- Applications must be signed by Higher Education executive officer and the president or head of each participating IHE.
- Applications must provide the total number of direct matriculating students in the 2008-09 year and total number of matriculating students in the consortia's member states.

1.3 OBJECTIVE

Consultant will work with the CONSORTIUM's Governing Committee and serve as the CONSORTIUM's required "Project Management Partner" to provide project management services necessary to fully implement a common assessment grant pending award by the U.S. Department of Education.

1.4 SCOPE OF WORK

A. OVERVIEW

- As a project management partner, Consultant would be responsible for facilitating and organizing the planning, discussing, decision-making, task assigning and completing of activities of the executive and coordinating committees.
- The CONSORTIUM recognizes the importance of having a strong management plan in place in order to conduct the duties required for development of the Common Assessment System. As the development of the Common Assessment Program has many tasks, activities, and other aspects that require coordinating the CONSORTIUM seeks a partner with demonstrated program management skills.

B. PROJECT PLANNING

- Provide a detailed, comprehensive management strategy and project timeline that displays for CONSORTIUM's members how Consultant will ensure successful completion of each product deliverable on time, within budget, and in a manner that is financially sustainable over time. The management strategy and timeline shall detail project deliverables and the means of tracking assigned tasks. The work plan and timeline shall include, for each key deliverable (e.g., assessment component, scoring and moderation system, professional development activities), the major

milestones, deadlines, and entities responsible for execution, plus the approach to identify, manage, and mitigate risks associated with the project.

- Create and maintain detailed project plans that describe the full scope of work in which the CONSORTIUM is engaged. Project planning should include multi-state and within-state activities. Plans should be amended over time to include any unique within-state activities necessary to implement CONSORTIUM deliverables.
- Based on notification of intent to renew contract term, apparent successful Contractor shall establish project plans in advance of each contract year. Year 1 final plans shall be provided by October 15, 2010.
- Create and maintain a list of all Contractors and subcontractors including at a minimum, description of the work for which they are contracted to complete, the source of funding used to pay for their work and the method by which they were hired.
- Maintain and update project plans from Contractors with a frequency appropriate to the duration and urgency of the work in which the Contractor is engaged.
- Create and maintain a list of all human resources that will be working on the project at the multi-state and within-state levels. Collaborate with CONSORTIUM to create a charter for any workgroup created that includes the description of the purpose for the group, members roles and responsibilities, key deliverables, milestones, anticipated budget and a high level timeline.
- Establish a systems life-cycle and development approach that can be used as basis for the planning application development.

C. PROJECT DOCUMENTATION

- Establish a document inventory and catalog of existing documentation. Purpose shall be to determine which documents are accounted for and available as well as which documents are missing.
- Perform a quarterly evaluation of the comprehensiveness of documentation and follow-up with leaders to ensure that gaps are filled.
- Design and implement a comprehensive strategy to maintain an official record of CONSORTIUM documentation, materials and information (e.g. design documents, minutes from meetings, legal documents, technical specifications etc.). Documentation shall be accessible by all CONSORTIUM members through secure web-based and file transfer protocol (SFTP) formats, with access permissions based on roles and responsibilities associated with maintenance of the repository and associated contents. All web-based and SFTP materials should easily transferable to another organization either during or at the conclusion of the contract period.
- Provide weekly, monthly and quarterly evaluations of progress. Progress reports should clearly identify any tasks or deliverables that appear to be at risk, including a clear identification of any resource (human, time or money) that as allocated may pose a risk to the project.

- Facilitate the development of CONSORTIUM document format and style guidelines. Review CONSORTIUM documents to ensure they are formatted according to CONSORTIUM style guidelines.

D. GOVERNANCE SUPPORT

- Communicate via a defined and systematic plan to the Governing Committee any tasks or deliverables that appear to be at risk.
- Participate in all CONSORTIUM meetings, whether in person, by conference call, or via Webex format.
- Create and maintain organizational charts that describe the governance structure and member roles and responsibilities.
- Create, as directed by the Governing Committee, requests for proposals and statements of work necessary to procure required services and/or resources.
- Facilitate the review of issues for the Governing Committee and work closely with the coordinating group to prepare for larger group conversations and meetings.
- Provide suggestions for improvement and solutions in regard to internal processes.
- Comply with and help enforce governance by-laws.
- Provide support and materials to states regarding entering, exiting, and/or changing their level of CONSORTIUM membership.
- Track the membership of each state in the CONSORTIUM. At a minimum, key contacts, dates of membership, and any legal documents associated with each state's membership shall be recorded.

E. IMPLEMENTATION MANAGEMENT

- Consultant shall maintain and distribute a schedule/timeline to OSPI and the other project stakeholders on a periodic basis, typically weekly. If awarded a contract, Consultant shall attend a planning meeting with OSPI and other party staff members to establish the initial schedule.
- Schedule weekly meetings (at a minimum) for the governance committees and workgroups and ensure support materials are provided in advance. Weekly summaries of project status should provide enough information for coordinating committees to initiate appropriate responses. Summaries should include a recap of recent activities, impending deadlines and milestones, and risk and mitigation strategies.
- Translate discussions and vision into documented decisions and create a plan of action for decision items. Frame discussions around critical design issues.
- Collaborate with committee co-chairs to provide agendas for CONSORTIUM meeting.

- Record detailed minutes of all CONSORTIUM meetings and ensure minutes are available for review to ensure committees are sufficiently supported in their decision making processes and that decisions are documented.
- Conduct "Lessons Learned" sessions, on a regular basis, to identify follow-up actions to improve system processes.
- Arrange any meetings required by workgroups or CONSORTIUM. Provide logistics support for members' travel and accommodations as necessary to complete the work of the CONSORTIUM.
- Serve as liaison between CONSORTIUM members and groups or individuals, such as: Council of Chief State School Officers, CONSORTIUM grant writers, technical advisors, etc.
- Coordinate technical advisory meetings and external reviews as necessary to ensure the CONSORTIUM receive sufficient evaluation of designs and deliverables prior to evaluation by the U.S. Department of Education.

F. BUDGET MONITORING

- Track and report CONSORTIUM staff hours on a monthly basis.
- Annually forecast CONSORTIUM revenue and expenditures.
- Provide specific information to states in regard to the financial support required for operational testing. This is necessary to ensure that after the grant period ends, states include Comprehensive Assessment System grant obligations in their budgets and plan accordingly.
- Ensure timely and accurate disposition of CONSORTIUM invoices. Ensure payments are disbursed within thirty (30) business days of approval. Ensure deliverables are received prior to payment delivery. Follow up with CONSORTIUM sub-contractors when necessary and ensure that they are meeting the deadlines as indicated in the projected calendar.
- Provide, on a quarterly basis, a detailed cost breakdown to the CONSORTIUM regarding actual and anticipated expenditures for each contracted year.
- Inform the CONSORTIUM of costs due to proposed program modifications or adjustments, and obtain approval of the Governing Committee prior to initiation of actual work.

G. COMPLIANCE MONITORING AND COMMUNICATION

- Provide all materials and documentation required and/or requested by the U.S. Department of Education or private foundations in relation to the grant's progress. This includes responding to any ad-hoc questions and/or other established periodic reviews.
- Coordinate CONSORTIUM's active participation in applicable technical assistance activities provided by the U.S. Department of Education, as specified in the NIA.

- Coordinate, manage and track questions from the public to ensure each question is addressed within three (3) business days in a manner consistent with the process established in collaboration with the Governing Committee.
- Ensure each Contractor on the project has sufficient and timely information such that they can complete their required deliverables. Mediate conflicts among Contractors and/or states as necessary.
- Coordinate and track communication and facilitate decision making among CONSORTIUM members.
- Coordinate the development and submission of any CONSORTIUM materials for U.S. Department of Education's "peer review".
- Document and make Governing Committee aware of technical/practical defensibility constraints.
- Create and maintain a web site that provides public and secure access, respectively, to project resources. Rights to secure access will be defined and approved by CONSORTIUM.

H. COMPLIANCE WITH NIA "OPEN SOURCE" REQUIREMENTS

- As required by the U.S. Department of Education, serve as the point of contact regarding any "open source" requests. Address requests within ten (10) business days in manner consistent with policies established by the CONSORTIUM.
- Track, in detail, the dispensation of open source requests and ensure any legal, intellectual property, waiver, security arrangements, etc. are archived with appropriate and sufficient signatures.
- Provide monthly reports regarding the dispensation of open source requests.
- Serve as the logistics liaison with other consortia and/or professional organizations.

1.5 STATE'S ROLE

As fiscal agent for the CONSORTIUM, OSPI will assume lead responsibility for the management of all contracting activities with the apparent successful Contractor. All work direction and expenditure decisions will come from the CONSORTIUM's Governing Committee or delegated work group, but all matters relating to contract and payment processing will be coordinated through OSPI.

1.6 CONSULTANT QUALIFICATIONS

Minimum:

- Licensed to do business in the United States.
- Ability to work in a fast-paced environment with multiple deadlines.
- Ability to keep CONSORTIUM members on task and to meet deadlines through the use of strong facilitation, mediation and consensus building.

- Five (5) years of demonstrated knowledge and experience with education and the field of large scale assessment/test measurement.
- Demonstrated experience working with large stakeholder groups from various different agencies/divisions.
- Demonstrated project planning and project management skills on a large scale project that incorporates resources spread out over large distances.
- Ability to remain neutral and work with thirty (30) plus state stakeholders to best meet individual states needs and concerns.

Preferred:

- Experience facilitating substantial grant submissions.

1.7 FUNDING

Maximum available funding for the services outlined herein is estimated at an annual not to exceed amount of two million dollars ($2,000,000).

The initiation of a contract is subject to a successful award received by the U.S. Department of Education. Any contract awarded as a result of this procurement is contingent upon the availability of funding.

The Consultant shall provide their most favorable and competitive cost estimate to perform the work.

1.8 PERIOD OF PERFORMANCE

The period of performance of any contract resulting from this RFP is tentatively scheduled to begin on or about October 1, 2010 and end on or about September 30, 2011. The option to extend any contract resulting from this procurement shall be at the sole discretion of the CONSORTIUM, and will be implemented via contract amendment by OSPI, acting on behalf of the CONSORTIUM. As such, OSPI reserves the right to amend to extend the contract for three additional contract years through September 30, 2014. Decision to renew via amendment shall be based on sustained satisfactory performance as decided by the CONSORTIUM's Governing Committee, successful completion of yearly project objectives, and availability of funding.

1.9 DEFINITIONS /ACRONYMS

ARRA: American Recovery and Reinvestment Act of 2009

Consultant: Individual or company submitting a proposal in order to attain a contract with OSPI.

Contractor: Individual or company whose proposal has been accepted by OSPI and is awarded a fully executed, written contract.

IHE: Institutions of Higher Education

MOU: Memorandum of Understanding

NIA: Notice Inviting Applications

OSPI: Office of Superintendent of Public Instruction is the agency of the State of Washington that is issuing this RFP.

Proposal: A formal offer submitted in response to this solicitation.

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

SMARTER Balanced Assessment Consortium: The member-state arrangement collaborating on development of a comprehensive assessment program aligned to the Common Core standards sponsored by the U.S. Department of Education.

1.10 ADA

OSPI complies with the Americans with Disabilities Act (ADA). Consultants may contact the RFP Coordinator to receive this Request for Proposals in Braille or on tape.

2 GENERAL INFORMATION FOR CONSULTANTS

2.1 RFP COORDINATOR

The RFP Coordinator is the sole point of contact in OSPI for this procurement. All communication between the Consultant and OSPI upon receipt of this RFP shall be with the RFP Coordinator, as follows:

Name	Michael Middleton
Physical Address	600 Washington Street South
Mailing Address	PO Box 47200
City, State, Zip Code	Olympia WA 98504-7200
Phone Number	360.725.6434
Fax Number	360.725.0424
E-Mail Address	Michael.Middleton@k12.wa.us

Communication with parties other than the RFP Coordinator, regarding the services outlined herein, will be considered unofficial and non-binding on OSPI and the CONSORTIUM. Consultants are to rely on written statements issued by the RFP Coordinator. Communication directed to parties other than the RFP Coordinator may result in disqualification of the Consultant.

2.2 ESTIMATED SCHEDULE OF PROCUREMENT ACTIVITIES

Issue Request for Proposal	June 4, 2010
Letter of Intent to Propose Due	June 18, 2010
Question and Answer Period	June 7 – July 2, 2010
Pre-proposal Video Conference	June 29, 2010

Last Date for Questions Regarding RFP	July 2, 2010
Release Q&A plus RFP Addendum (as needed)	July 9, 2010
Proposals Due	July 30, 2010
Evaluate written proposals	August 2 – August 13, 2010
Announce "Apparent Successful Contractor"	August 16, 2010
Hold Debriefings (if requested)	August 17– August 19, 2010
Negotiate Contract	August 30 – September 10, 2010
File Contract with OFM	September 16, 2010
Begin Contract Work	October 1, 2010

*OSPI reserves the right to revise the above schedule

2.3 LETTER OF INTENT

Consultants intending on submitting a proposal must notify the RFP Coordinator via Letter of Intent to Bid by no later than 4:30 p.m. PDT June 18, 2010. This letter may be provided via fax, email attachment, or postal or express courier service. Timely submission of this letter will assure the Consultant that they will receive, via e-mail, notification of any addendum or amendments to the RFP amendments, a copy of all RFP-related questions and answers, and any other correspondence pertinent to this procurement.

2.4 PRE-PROPOSAL CONFERENCE

A pre-proposal conference is scheduled to be held on June 29, 2010 from 9:00 a.m. to 12:00 p.m., PDT. OSPI will conduct the video/teleconference from its offices at 600 Washington Street SE, Olympia, WA 98501. All prospective Consultants should participate; however, participation is not mandatory. Instructions on how to participate in the video conference will be forwarded to the points of contact of each Consultant that submits a Letter of Intent.

2.5 CONSULTANT QUESTIONS

Written questions may be submitted in advance via email to the RFP Coordinator. OSPI shall be bound only to written answers to questions. Any oral responses given at the pre-proposal conference shall be considered unofficial. Questions arising at the pre-proposal conference or in subsequent communication with the RFP Coordinator will be documented and answered in written form. On July 9, 2010 OSPI will post a copy of all questions and answers, from the pre-proposal conference and written submissions, on the OSPI website. The questions and answers will also be released on WEBS to Consultants registered under the applicable commodity code.

2.6 REVISIONS TO THE RFP

In the event it becomes necessary to revise any part of this RFP, addenda will be provided via e-mail to all who submitted a Letter of Intent. In addition, the addenda shall

be published on the OSPI web site, at http://www.k12.wa.us/RFP/, and posted on WEBS for all Consultants who are registered.

2.7 COSTS TO PROPOSE

OSPI will not be liable for any costs incurred by the Consultant in preparation of a proposal submitted in response to this RFP, in conduct of a presentation, or any other activities related to responding to this RFP.

2.8 NO OBLIGATION TO CONTRACT

This RFP does not obligate the State of Washington or OSPI, acting on behalf of the CONSORTIUM, to contract for services specified herein.

Additionally, although any contract would be held by Washington (OSPI), when appropriate, the CONSORTIUM reserves the right to transfer fiscal authority to a new, independent non-profit organization to be created pending grant award.

2.9 REJECTION OF PROPOSALS

OSPI, acting on behalf of the CONSORTIUM, reserves the right at its sole discretion to reject any and all proposals received without penalty and not to issue a contract as a result of this RFP.

2.10 MOST FAVORABLE TERMS

OSPI reserves the right to make an award without further discussion of the proposal submitted. Therefore, the proposal should be submitted initially on the most favorable terms which the Consultant can propose. There will be no best and final offer procedure. OSPI does reserve the right to contact a Consultant for clarification of its proposal.

The Consultant should be prepared to accept this RFP, including Exhibits to the RFP, for incorporation into a contract resulting from this RFP. Contract negotiations may incorporate some, or all, of the Consultant's proposal. It is understood that the proposal will become a part of the official procurement file on this matter without obligation to OSPI.

2.11 RESPONSIVENESS

All proposals will be reviewed by the RFP Coordinator to determine compliance with administrative requirements and instructions specified in this RFP. The Consultant is specifically notified that failure to comply with any part of the RFP may result in rejection of the proposal as non-responsive.

OSPI also reserves the right, however, at its sole discretion to waive minor administrative irregularities.

2.12 ACCEPTANCE PERIOD

The associated terms submitted with the proposal must provide ninety (90) days for acceptance by OSPI from the due date for receipt of the proposals.

2.13 PROPRIETARY INFORMATION/PUBLIC DISCLOSURE

All proposals received shall remain confidential until the contract, if any, resulting from this RFP is signed by the OSPI Contracts Administrator and the apparent successful Contractor; thereafter, the proposals shall be deemed public records as defined in RCW 42.56.

Any information in the proposal that the Consultant desires to claim as proprietary and exempt from disclosure under the provisions of RCW 42.56 must be clearly designated. The page must be identified and the particular exception from disclosure upon which the Consultant is making the claim. Each page claimed to be exempt from disclosure must be clearly identified by the word "Confidential" printed on the lower right hand corner of the page.

OSPI will consider a Consultant's request for exemption from disclosure; however, OSPI will make a decision predicated upon RCW 42.56. Marking the entire proposal exempt from disclosure will not be honored. The Consultant must be reasonable in designating information as confidential. If any information is marked as proprietary in the proposal, such information will not be made available until the affected proposer has been given an opportunity to seek a court injunction against the requested disclosure.

A charge will be made for copying and shipping, as outlined in RCW 42.56. No fee shall be charged for inspection of contract files, but twenty-four (24) hours' notice to the RFP Coordinator is required. All requests for information should be directed to the RFP Coordinator.

2.14 MINORITY & WOMEN-OWNED BUSINESS PARTICIPATION

In accordance with the legislative findings and policies set forth in chapter 39.19 RCW, the state of Washington encourages participation in all of its contracts by firms certified by the Office of Minority and Women's Business Enterprises (OMWBE). Participation may be either on a direct basis in response to this solicitation or on a subcontractor basis. However, no preference will be included in the evaluation of proposals, no minimum level of MWBE participation shall be required as a condition for receiving an award, and proposals will not be rejected or considered non-responsive on that basis. Any affirmative action requirements set forth in federal regulations or statutes included or referenced in the contract documents will apply.

The established annual procurement participation goals for MBE is 8 percent and, for WBE, 4 percent, for this type of project. These goals are voluntary. Consultant s may contact OMWBE at 360/753-9693 to obtain information on certified firms.

2.15 CONTRACT AND GENERAL TERMS & CONDITIONS

The apparent successful Contractor will be expected to enter into a contract which is substantially the same as the sample contract and its general terms and conditions attached as Exhibit E. In no event is a Consultant to submit their own standard contract terms and conditions in response to this solicitation. However, the Consultant may submit exceptions as allowed in the Certifications and Assurances section, Exhibit F to this solicitation. OSPI will review requested exceptions and accept or reject the same at its sole discretion.

Additionally, the budget, scope of work and/or timeline may need to be amended based on negotiations with the U.S. Department of Education upon finalization of the grant award. That being the case, the CONSORTIUM cannot anticipate such amended elements impacting the scope of work delineated by this RFP, thus with submission of bid, Consultant is committing to complete the scope of work as detailed. Any action on the part of Consultant to modify the scope of work and associated budget due to grant award amendment will be construed as a breach of contract.

2.16 COMMITMENT OF FUNDS

The Contracts Administrator is the only individual who may legally commit OSPI to the expenditures of funds for a contract resulting from this RFP. No cost chargeable to the proposed contract may be incurred before receipt of a fully executed contract.

2.17 STATEWIDE VENDOR PAYMENT REGISTRATION

Consultants awarded contracts as a result of this RFP will be required to register as a Statewide Vendor (SWV). The SWV file is a central Vendor file maintained by the Office of Financial Management for use by Washington State agencies in processing Consultant payments. This allows you, as a Consultant, to receive payments from all participating state agencies by direct deposit, the State's preferred method of payment. While registration in the SWV is mandatory, the Consultant is NOT required to participate in the direct deposit program and therefore is not required to submit banking information. Please go to http://www.ofm.wa.gov/accounting/Vendor.asp for online registration.

2.18 INSURANCE COVERAGE

The Contractor is to furnish OSPI with a certificate(s) of insurance executed by a duly authorized representative of each insurer, showing compliance with the insurance requirements as set forth in the General Terms and Conditions of Exhibit E.

The Contractor shall, at its own expense, obtain and keep in force insurance coverage which shall be maintained in full force and effect during the term of the contract. The Contractor shall furnish evidence in the form of a Certificate of Insurance that insurance shall be provided, and a copy shall be forwarded to OSPI within fifteen (15) days of the

contract effective date. For administrative filing purposes, all policies sent to OSPI as proof of insurance must reference the State's contract number.

3 PROPOSAL CONTENTS

3.1 PROPOSAL SUBMITTAL

Consultants are required to submit fifteen hard (15) copies of their proposal. One (1) copy must have original signatures, while the remaining fourteen (14) copies may have photocopied signatures. Additionally, the Consultant must provide one copy of the proposal electronically via a compact disc (CD).

Whether mailed or hand delivered, the proposal package as requested above must be received by OSPI no later than 4:30 p.m. PDT in Olympia, Washington, on July 30, 2010. Proposals should be mailed to the address indicated herein and clearly marked to the attention of the RFP Coordinator, Michael Middleton.

Consultants mailing proposals should allow normal mail delivery time to ensure timely receipt of their proposals by the RFP Coordinator. Consultants who hand delivering proposals should allow time for traffic congestion. Consultants assume the risk for the method of delivery chosen. OSPI assumes no responsibility for delays caused by any delivery service.

Late proposals will not be accepted and will be automatically disqualified from further consideration. The proposals must respond to the procurement requirements. Do not respond by referring to material presented elsewhere. The proposal must be complete and must stand on its own merits.

Failure to respond to any portion of the procurement document may result in rejection of the proposal as non-responsive. Once submitted, all proposals and any accompanying documentation become the property of OSPI and will not be returned.

3.2 PROPOSAL FORMAT

Proposals must be submitted on eight and one-half by eleven (8 1/2 x 11) inch paper with tabs separating the major sections of the proposal. The four major sections of the proposal are to be submitted in the order noted below:

- Letter of Submittal, including signed Certifications and Assurances Form (Exhibit F)
- Technical Requirements
- Management Proposal
- Cost Proposal

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

Items in this section marked "mandatory" must be included as part of the proposal for the proposal to be considered responsive; however, these items are not scored. Items marked "scored" are those that are awarded points as part of the evaluation conducted by the evaluation team.

3.3 LETTER OF SUBMITTAL (MANDATORY)

The Letter of Submittal and the attached Certifications and Assurances Form (Exhibit F) must be signed and dated by a person authorized to legally bind the Consultant to a contractual relationship, e.g., the President or Executive Director if a corporation, the managing partner if a partnership, or the proprietor if a sole proprietorship. Along with introductory remarks, the Letter of Submittal is to include by attachment the following information about the Consultant and any proposed subcontractors:

- Name, address, principal place of business, telephone number, fax number and e-mail address of legal entity or individual with whom contract would be written.
- Name, address, and telephone number of each principal officer (President, Vice President, Treasurer, Chairperson of the Board of Directors, etc.).
- Legal status of the Consultant (sole proprietorship, partnership, corporation, etc.) and the year the entity was organized to do business as the entity now substantially exists.
- Federal Employer Tax Identification number or Social Security number and the Washington Uniform Business Identification (UBI) number issued by the State of Washington Department of Revenue.
- Address of the facility from which the Consultant would operate.
- Whether any current Washington State employees or former Washington State employees employed or on the firm's governing board as of the date of the proposal. Include their position and responsibilities within the Consultant's organization. If following a review of this information, it is determined by OSPI that a conflict of interest exists, the Consultant may be disqualified from further contract award consideration.

3.4 TECHNICAL REQUIREMENTS (SCORED)

The Technical Proposal must contain a comprehensive description of services, incorporating the duties outlined in the Scope of Work indicated above in Section 1.4. Please Note: Mere repetition of the Scope of Work identified in Section1.4 will not be considered responsive.

A. PROJECT APPROACH/METHODOLOGY

- Include a complete description of the Consultant 's proposed approach and methodology for the project. This section should convey Consultant's understanding of the proposed project, a description of how each minimum qualification is met (samples of work added as appendices are appropriate), and a detailed narrative regarding how the Consultant would incorporate the expectations into completion of each of the required deliverables.

B. WORK PLAN

- Include all project requirements and the proposed tasks, services, activities, etc. necessary to accomplish the scope of the project defined in this RFP. This section of the technical proposal must contain sufficient detail to convey to members of the evaluation team the Consultant's knowledge of the subjects and skills necessary to successfully complete the project. Include any required involvement of OSPI and/or CONSORTIUM. The Consultant may also present any creative approaches that might be appropriate and may provide any pertinent supporting documentation.

C. PROJECT SCHEDULE

- Include a project schedule indicating when the elements of the work will be completed and when deliverables, if any, will be provided.

D. DELIVERABLES

- Fully describe deliverables to be submitted under the proposed contract.

E. OUTCOMES AND PERFORMANCE MEASUREMENT

- Describe the impacts/outcomes the Consultant s propose to achieve as a result of the delivery of these services including how these outcomes would be monitored, measured and reported to the OSPI, acting as fiscal agent, and to the CONSORTIUM.

F. RISKS

- Define risks you identify as being significant to the success of the project. Include how you would propose to effectively monitor and manage these risks, including reporting of risks to the OSPI, acting as fiscal agent, and to the CONSORTIUM.

3.5 MANAGEMENT PROPOSAL (SCORED)

Consultant shall provide detailed information on the management design, roles and responsibilities of proposed staff, staff qualifications and additional mandatory information as indicated below.

A. MANAGEMENT DESIGN

- To understand the day-to-day functionaries engaged in the firm beyond the proposed project staff, Consultant shall detail the overall structure associated with executing and fulfilling projects. Consultant shall provide an organizational chart (or charts) of the: reporting structure by role, reporting structure by task (which department takes direction from who on the associated task), and reporting and decision-making structure associated with problem resolution.

B. PROJECT TEAM STRUCTURE

- Provide a description of the proposed project team structure and internal controls to be used during the course of the project. Include information as to the use subcontractors and address the possibility of staff substitutions. Provide a chart indicating lines of authority for personnel involved in performance of this potential

contract and relationships of this staff to other programs or functions of the firm. This chart must also show lines of authority to the next senior level of management. Include who within the firm will have prime responsibility and final authority for the project work.

C. ROLES AND RESPONSIBILITIES

- Consultant shall detail the specific roles required to fulfill the project objectives and the responsibilities associated with the various project tasks. Details shall encompass not only direct work responsibilities but also the interfaces with other defined roles and parties in moving the project through a given task or from one task to the next. Additionally, client interfaces shall be identified where the Consultant expects OSPI or other parties to be involved or assume responsibility in a given task. Intent is to understand the "chain of custody" for a task and identify where communication is critical to ensure smooth transitions across work groups, contractors, and OSPI.

D. TIME COMMITMENTS BY TASK AND INDIVIDUAL

- To be documented in terms of actual hours required and associated dates that delineate the project work. The intent is for OSPI and other project team members to understand the expectation of each individual's time commitment to the project and the Consultant 's interpretation of the personnel resource commitment anticipated to support the scope of work for the project. Exhibit C is provided as the format for submittal of this information.

E. STAFF QUALIFICATIONS/EXPERIENCE

- Provide resumes and additional information as requested below for all individuals identified in Exhibit C. Additionally, Consultant's proposal will make available all similar information for proposed alternate staff and anticipated subcontractors intended to participate in the project efforts. Resumes can either be embedded or attached as an appendix to the proposal.
- Proposed staff members, alternates, and/or sub-contractors must have demonstrable skills and experience appropriate for the project. As such, please provide the following information for each individual:
  - A resume to include applicable skills, qualification, and previous work experience on projects similar in nature to the work requested in this RFP.
  - Level of expertise in various aspects of performance-based assessment relevant to the work area assigned.
  - Level of understanding of standards-based assessments.
  - Skills in translating and/or implementing current national or industry standards for classroom consumption.

F. STAFFING SUBSTITUTIONS

- The Consultant must commit that staff identified in the proposal will actually perform the assigned work. Consultant should be prepared to offer alternative candidates for key positions for purposes of identifying potential back-ups for primary staff and possible replacement should the CONSORTIUM or other project team members object to specific personnel participation. For any alternate, proposed, a resume must also be provided. Any

staff substitution must have the prior approval of OSP, acting on behalf of the CONSORTIUM. Should a primary candidate not exist for a specific role, Consultant is expected to acknowledge the situation and provide a plan to meet the objectives of the project. The plan should detail both the criteria for recruitment of qualified candidates and requisite training needed to adequately meet the CONSORTIUM's needs. The plan should be detailed in both the chart provided as Exhibit C and in the resume portion of associated with this section.

- At the time of contract execution, if the CONSORTIUM's Governing Committee is not satisfied with proposed personnel assignments of the Consultant , the CONSORTIUM, through OSPI as fiscal agent, shall be allowed to retain the services of qualified service providers at the Consultant's expense. At any time during the contracted period, if it becomes necessary for the Contractor to add or replace professional staff, the consortium shall have the right to participate in the interview process, and the CONSORTIUM's Governing Committee shall have approval authority regarding the selection or appointment of a candidate for the vacancy. If the CONSORTIUM believes a Contractor's proposed staff member needs to be removed from the project, as fiscal agent, OSPI shall provide a thirty (30) day written notice of the request to allow the Contractor the opportunity to propose a suitable alternative. Corrective action shall be implemented within thirty (30) days of agreement on a plan.

G. STAFFING REQUIREMENTS

- Consultant must specify the person (or persons) who will be named the Program Manager/Project Director and primary contact for the project. OSPI, acting on behalf of the CONSORTIUM, shall have final approval of the Program Manager/Project Director. A Program Manager/Project Director shall have authority and responsibility for overall quality control of the Consultant's project including follow-through on all tasks, whether assigned to other managers, sub-contractors, and consultants. A Program Manager/Project Director will assume responsibilities for all oral or written correspondence to task managers, subcontractors, and consultants as well as timely completion of all activities for which Contractor is responsible. The Program Manager/Project Director must be readily available to respond to questions or issues as they arise, whether by phone, pager or email.
- Stability in the Program Manager/Project Director's role is essential, but OSPI, acting on behalf of the CONSORTIUM, reserves the right to request a change in Program Manager/Project Director in the event of substantial unsatisfactory performance. Any subsequent changes in Program Manager/Project Director contemplated by Contractor must be reviewed and approved in consultation with the OSPI.
- At least four (4) senior staff FTE's with project management certification must be proposed for work on the project.
- The Consultant must propose to utilize at least one senior network engineer staff member with at least three (3) years experience in routing and with Tier 1 and Tier 2 internet service providers; and at least one application developer staff member with at least seven (7) years application development experience with internet based applications.

H. EXPERIENCE OF THE CONSULTANT

- Evidence would include, but not be limited to Consultant's mission, date of founding, size, experience (including past success in implementing similar projects). Consultant shall further provide statistical information detailing elements of the organization's history of staff turnover, average employee tenure, average project tenure, average years of experience; and level of experience employees have in the education field.
- Include a list of contracts the Consultant has had during the last five years that relate to the Consultant's ability to perform the services needed under this RFP. List contract reference numbers, contract period of performance, contact persons, telephone numbers, and fax numbers/e-mail addresses.

I. REFERENCES

- List names, addresses, telephone numbers, and fax numbers/e-mail addresses of four business references for which work has been accomplished and briefly describe the type of service provided. The Consultant must grant permission to OSPI to contact the references. Do not include current OSPI staff as references. References will be contacted for the top-scoring proposal(s) only.

J. RELATED INFORMATION (MANDATORY)

- Consultant must identify any potential conflicts of interest it may have in conducting this work including, but not limited to, existing contracts, possible bids it may submit for work with other consortia, government agencies or other organizations.
- Consultant must identify whether it anticipates using the source of funding other than those identified in this request to pay for the services described in this request.
- Consultant must indicate whether or not it has submitted (or anticipates submitting) a proposal to be a project management partner for a different consortium funded under the same U.S. Department of Education grant program.
- If the Consultant or any subcontractor contracted with the State of Washington during the past twenty-four (24) months, indicate the name of the agency, the contract number and project description and/or other information available to identify the contract.
- If the Consultant's staff or subcontractor's staff was an employee of the State of Washington during the past twenty-four (24) months, or is currently a Washington state employee, identify the individual by name, the agency previously or currently employed by, job title or position held and separation date.
- If the Consultant has had a contract terminated for default in the last five years, describe such incident. Termination for default is defined as notice to stop performance due to the Consultant's non-performance or poor performance and the issue of performance was either: (a) not litigated due to inaction on the part of the Proposer, or (b) litigated and such litigation determined that the Proposer was in default.

- Submit full details of the terms for default including the other party's name, address, and phone number. Present the Consultant 's position on the matter. OSPI will evaluate the facts and may, at its sole discretion, reject the proposal on the grounds of the past experience. If no such termination for default has been experienced by the Consultant in the past five (5) years, so indicate.

3.6 COST PROPOSAL

A. COST PROPOSAL SPECIFICATIONS

- In order to better compare proposals, we are requesting that budgets be presented in accordance with the table presented in Exhibit D. Evaluation of proposals and the award of any contract will be based upon the reasonableness of costs to be incurred and charged to OSPI. OSPI will only make payments upon satisfactory performance and/or provided deliverables. In addition, penalties for non-performance, as indicated in Exhibit H, may affect Contractor payment. In the event of termination of any contract, the amount due and payable to the Consultant for any partial performance must be ascertainable.
- OSPI is particularly interested in proposals that, in responding to the specifications set forth in this RFP, make optimum use of available resources in a cost-effective manner. Although cost is a consideration, OSPI is not bound to select a Consultant solely on the basis of low bid. To assist OSPI in selecting the proposal that will best accomplish the objectives of the program within the resources available, Consultant shall identify and estimate all costs for performing the tasks necessary to accomplish the deliverables of the RFP and subsequent contract. The costs associated with each major component or significant work product must be clearly and separately identified. The cost proposal must detail all expenses that will be billed to OSPI in the event of a contract award. Consultant should include a suggested payment schedule based on monthly invoicing.
- Contractor shall be responsible for payment of all applicable taxes due for services rendered under any contract resulting from this RFP and should be accounted for in the cost proposal.

B. IDENTIFICATION OF COSTS (SCORED)

- Identify all costs including expenses to be charged for performing the services necessary to accomplish the objectives of the contract. In accordance with Exhibit D, Consultant is to submit a fully detailed budget including staff costs, administrative costs, travel costs, and any other expenses necessary to accomplish the tasks and to produce the deliverables under the contract. Consultants are required to collect and pay Washington State sales tax, if applicable.
- Costs for subcontractors are to be broken out separately. Please note if any subcontractors are certified by the Office of Minority and Women's Business Enterprises.

C. COMPUTATION

- The score for the cost proposal will be computed by dividing the lowest cost bid received by the Consultant 's total cost. Then the resultant number will be multiplied by the maximum possible points for the cost section.

4 EVALUATION AND CONTRACT AWARD

4.1 EVALUATION PROCEDURE

Responsive proposals will be evaluated strictly in accordance with the requirements stated in this solicitation and any addenda issued. The evaluation of proposals shall be accomplished by an evaluation team, to be designated by OSPI, acting on behalf of the CONSORTIUM. The evaluation team shall be responsible for the ranking of the proposals.

OSPI, acting on behalf of the CONSORTIUM, may elect to select the top-scoring firms as finalists for an oral presentation.

4.2 EVALUATION WEIGHTING AND SCORING

The following points will be assigned to the proposals for evaluation purposes (refer to Exhibit G for additional details):

Technical Proposal – 50%		**180 points**
Project Approach/Methodology	10 points (max.)	
Quality of Work Plan	130 points (max.)	
Project Schedule	10 points (max.)	
Project Deliverables	10 points (max.)	
Outcomes/Impacts	10 points (max.)	
Risks	10 points (max.)	
Management Proposal – 25%		**90 points**
Project Team Structure/Internal Controls	50 points (max.)	
Staff Qualifications/Experience	20 points (max.)	
Experience of the Consultant	10 points (max.)	
Addenda to Management Proposal	10 points (max.)	
Cost Proposal – 25%		**90 points**
TOTAL FOR PROPOSAL		**360 points**
References (Top 3 Candidates only)	10 points (max.)	**10 points**
GRAND TOTAL		**370 points**

4.3 NOTIFICATION TO CONSULTANTS

Consultants whose proposals have not been selected for further consideration, negotiation or award will be notified via e-mail.

4.4 DEBRIEFING OF UNSUCCESSFUL CONSULTANTS

Upon request, an individual debriefing conference will be scheduled with an unsuccessful Consultant. The request for a debriefing conference must be received by the RFP Coordinator within three (3) business days after the Notification of Unsuccessful Consultant letter is e-mailed to the Consultant. The debriefing will be held within the prescribed dates listed in the Schedule of Procurement Activities, unless a modification for the convenience of OSPI, or a request by the Consultant in question is approved by OSPI.

Debriefing will be limited to a critique of the requesting Consultant's proposal. Comparisons between proposals or evaluations of the other proposals will not be allowed. Debriefing conferences may be conducted in person or on the telephone and will be scheduled for a maximum of one hour.

4.5 PROTEST PROCEDURE

This procedure is available to Consultants who submitted a response to this solicitation document and who have participated in a debriefing conference. Upon completing the debriefing conference, the Consultant is allowed three (3) business days to file a protest of the acquisition with the RFP Coordinator. Protests may be submitted by e-mail, but must be followed by the original document.

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

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

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

- A matter of bias, discrimination or conflict of interest on the part of the evaluator.
- Errors in computing the score.
- Non-compliance with procedures described in the procurement document or OSPI policy.

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

Upon receipt of a protest, a protest review will be held by OSPI. The OSPI Contracts Administrator or an employee delegated by the Contracts Administrator who was not involved in the procurement will consider the record and all available facts and issue a decision within five business days of receipt of the protest. If additional time is required, the protesting party will be notified of the delay.

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

The final determination of the protest shall:

- Find the protest lacking in merit and uphold OSPI's action; or
- Find only technical or harmless errors in OSPI's acquisition process and determine OSPI to be in substantial compliance and reject the protest; or
- Find merit in the protest and provide OSPI options which may include:
    - Correct the errors and re-evaluate all proposals, and/or
    - Reissue the solicitation document and begin a new process, or
    - Make other findings and determine other courses of action as appropriate.

If OSPI determines that the protest is without merit, OSPI will enter into a contract with the apparently successful Contractor. If the protest is determined to have merit, one of the alternatives noted in the preceding paragraph will be taken.

5 RFP EXHIBITS

Exhibit A Race To The Top NIA – Comprehensive Assessment Program
Exhibit B Common Core Standards
Exhibit C Staffing & Responsibilities Table
Exhibit D Budget Submission Form
Exhibit E Personal Service Contract Format including General Terms and Conditions
Exhibit F Certifications and Assurances
Exhibit G Evaluation Criteria
Exhibit H Service Level Expectations and Remedies

Appendix A8-3: WestEd State Assessment Experience: Overview

WestEd State Assessment Experience: Overview

	Standards Review and Development	Test Development	Alignment Studies	Special Populations	Technical Advice	Policy Consultation
Alaska					ongoing	ongoing
Arizona	2002–04, 2009		2002	2009		ongoing
Arkansas			2005–06			ongoing
California	2002–03	2002–03, 2004–05, 2007–08	2002, 2004–05	ongoing	ongoing	
Colorado	2008, ongoing				ongoing	ongoing
Georgia		2004	2004			2004
Idaho	2006–07			2006–07, 2009	2009	
Iowa			ongoing	ongoing		
Kansas	2009	ongoing		ongoing	ongoing	ongoing
Kentucky		ongoing	ongoing	ongoing		ongoing
Louisiana	ongoing	2004–2009	2003–04	ongoing	ongoing	ongoing
Maine			2006–07, 2009	2006–07, 2009		
Massachusetts		ongoing		ongoing		
Montana					ongoing	ongoing
Nevada	2002–03	ongoing	2002–03	2002–03	ongoing	ongoing
New Hampshire	2003–04			2003–04	2003–04	
New Jersey			2002			2002
New Mexico	2002–03		2002–03, 2008–09	2002–03		
New York					ongoing	
Oklahoma			2009	2006–07		
Oregon	2005, 2006–07, 2008		2006–09	2006–07	ongoing	ongoing
Pennsylvania		ongoing			ongoing	ongoing
Rhode Island			2003–04		2003–04	
South Carolina						2006
Utah	2000, 2002–03, 2005, 2007, 2008		2002, 2005, 2007, 2008		ongoing	ongoing
Vermont	2003–04		2003–04		2003–04	
West Virginia		2007–08				

updated April 2010

Appendix A8-4: Summary of Corporate Capacity of Interim Project Management Partner

WestEd's mission—to work with educational and other communities to promote excellence, achieve equity, and improve learning for children, youth, and adults—is addressed through a full range of projects. To carry out this mission, WestEd project staff are organized into a dozen formal program areas, some addressing educational content or level and some in areas of high risk and high need that cut across content. Areas of work include Assessment and Accountability; Mathematics and Science; Curriculum and Instruction; Literacy; Culture, Diversity, a Secondary and Postsecondary Education; Evaluation; Special Education; Leadership and Teacher Professional Development; Healthy Kids, Schools, and Communities; Early Childhood; Web, Database, and Interactive Services; and Policy. Across programs, WestEd boasts expertise in student assessment, data-driven planning, curriculum development, training, school coaching, community partnership building, research and evaluation methods, and policy analysis. Collaboration among staff is institutionally promoted through regular meetings of management, program, and administrative councils.

WestEd integrates the use of communications, information technology, and multimedia resources into its programs and projects to improve and extend staff's ability to communicate with and educate students, teachers, and other clients. The integration of media technology includes the use of on-demand and high-volume printing, the World Wide Web, email, video-based documentaries, and online professional development.

- *Communications*. WestEd's Communications program works with program staff to ensure that the latest research and best practices are accessible to clients as well as to educators, parents, state and local education agencies, policymakers, and the media. The Communications team includes accomplished writers, editors, video producers, and web developers.

- *Information Management and Activity Tracking*. WestEd has developed a web-based activity tracking application that interfaces with an SQL database. This system enables staff to gather, store, share, and disseminate project-based information. WestEd staff use the activity-tracking component of the intranet to enter and share data about program and project activities, staff, and publications. This system facilitates project management, report writing, collaboration, and coordination within and across projects. In addition, the system allows management to review data about projects linked to performance and other indicators.

- *Multimedia Equipment, Facilities, and Resources*. Many agency projects and programs provide services directly to practitioners. The use of multimedia presentations facilitates information dissemination to clients in different locations and increases the accessibility of services that can be provided economically and efficiently. The agency has invested in multimedia equipment both for delivering services and for developing products. Currently, to foster connections between staff and clients, WestEd has videoconferencing facilities in its San Francisco, Los Alamitos, Oakland, Phoenix, Redwood City, and Sacramento offices. WestEd staff also rely on extensive telecommunications facilities,

including an integrated voice messaging system and data links that connect the ten WestEd offices nationwide. WestEd maintains an avid video production suite and a second digital video production suite using a variety of equipment. A primary WestEd objective is to selectively apply effective technologies in ways that will significantly extend the work of staff and clients to meet the increasing needs of students in America's knowledge-based economy.

WestEd currently houses a number of centers that conduct R&D and provide technical assistance and support to regions, State Educational Agencies (SEAs), and Local Educational Agencies (LEAs). These are described below.

- Since 1966, WestEd has served as the leader for the *Regional Educational Laboratory West* (REL–West), one of ten RELs funded by the U.S. Department of Education's Institute of Education Sciences (IES). REL–West serves the states of Arizona, California, Nevada, and Utah. Under the current contract, REL–West is carrying out a number of ongoing projects that include conducting regional needs analyses with education stakeholders and policymakers; initiating and completing Fast Response R&D projects in response to emerging needs; ensuring stakeholders at the regional level have access to the best research-based evidence available; and assisting states in the REL– West in designing and conducting local evaluations. WestEd is the lead agency for the *California Comprehensive Center* (CC) and the *Southwest Region CC,* the lead for the *Assessment and Accountability CC,* and a subcontractor for the New *England Region CC, New York CC,* and the *High School Content Center*. These centers are part of a network of 21 centers funded nationwide by the U.S. Department of Education's (ED) Office of Elementary and Secondary Education (OESE). Each is charged with supporting states in successful implementation of No Child Left Behind (NCLB) expectations. In collaboration with state departments of education and other regional and professional organizations, the CCs provide technical assistance and access to resources to help states establish standards- based assessment and accountability systems that include and support special needs students (students with disabilities and English learners).

- The *Northeast Regional Resource Center (NERRC),* funded by USED's Office of Special Education Programs (OSEP), is one of six Regional Resource Centers for special education in the United States. NERRC serves the eight Northeastern states, helping state education agencies improve their systems of early intervention, special education, and transition services through the development and implementation of policies, programs, and practices that enhance educational results for children and youth with disabilities.

Appendix A8-5: Resumes for Interim Project Management Partner Key Staff

WestEd

Headquarters: 730 Harrison Street, San Francisco, CA 94107-1242
Tel: 415-565-3000 Fax: 415-565-3012

STANLEY N. RABINOWITZ

SUMMARY OF RELATED EXPERIENCE

Dr. Stanley Rabinowitz is Director of WestEd's Assessment and Standards Development Services (ASDS) program and is Director of the national Assessment and Accountability Comprehensive Center (AACC). In these roles, Dr. Rabinowitz has consulted extensively on academic standards, assessment, and accountability issues with policymakers and assessment staff at national, regional, and state levels. Through his involvement in state system Technical Advisory Committees and the role he serves in the AACC, Dr. Rabinowitz regularly advises states preparing for and undergoing peer review; he is thus intimately familiar with the standards and assessment system challenges and constraints faced by states. He also works regularly with states as they consider transitions from norm-referenced to criterion-referenced assessments and supports states as they design new assessment systems. In addition, Dr. Rabinowitz is currently serving as reviewer for the Common Core Standards, a role that uniquely positions him as an asset to states both as they think through the implications of adopting the Common Core Standards and as they design models for standards implementation.

Prior to joining WestEd, Dr. Rabinowitz served as state assessment director for the New Jersey Department of Education. His areas of expertise include No Child Left Behind Development and Implementation, High Stakes Student Assessment; School Accountability; Assessment of Students with Disabilities and English-Language Learners; Applied Statistics and Psychometrics; and Program Evaluation. Dr. Rabinowitz holds an M.S. and Ph.D. in educational psychology and statistics.

EDUCATION

1990 Ph.D., Educational Psychology and Statistics, State University of New York at Albany, Albany, NY

1977 M.S., Educational Psychology and Statistics, State University of New York at Albany, Albany, NY

1975 B.A., Magna Cum Laude; Major: Psychology; Minor: English, Brooklyn College, Brooklyn, NY

PROFESSIONAL EXPERIENCE

1991–Present *Senior Program Director*, Assessment and Standards Development Services (ASDS) WestEd, San Francisco, CA

Project Director, Assessment and Accountability Comprehensive Center (AACC) Assessment and Accountability Specialty Laboratory

1988–1990 *Director of Statewide Assessment*, Bureau of Cognitive Skills
New Jersey Department of Education, Trenton, NJ

1983–1988 *Evaluation and Testing Specialist*
New Jersey Department of Education, Trenton, NJ

1982–1983 *Evaluator*, Remedial English and Mathematics Programs
New York City Technical College, Brooklyn, NY

SELECTED PUBLICATIONS AND PRESENTATIONS

Rabinowitz, S. N. (2007). *Assessment of English language learners under Title I and Title III: How one testing program can inform the other.* Paper Developed for the U. S. Department of Education LEP Partnership.

Rabinowitz, S. N., with Roeber, E., Schroeder, C., & Sheinker, J. (2006). *Creating aligned standards and assessment systems.* Paper developed for the CCSSO SCASS Comprehensive Assessment Systems for ESEA Title I (CAS). CCSSO, Washington, DC.

Rabinowitz, S. N. (2006, August). *Technical expectations of ELL student assessments and accommodations*. Presentation at the U.S. Department of Education LEP Partnership Meeting, Washington, DC.

Rabinowitz, S. N., with Sato, E. (2006). *The technical adequacy of assessment for alternate student populations: Guidelines for consumers and developers.* WestEd, San Francisco, CA.

Rabinowitz, S. N., with Sato, E. (2005). *A technical review of high-stakes assessments for English-language learners.* WestEd, San Francisco, CA.

Rabinowitz, S. N. (2005). *Leading edge U.S. computer-based assessment developments and issues.* Presentation at the TASA Institute: Innovation in Testing Technology for Canadian Schools. Victoria, BC.

Rabinowitz, S. N. (2005, December). *Ideal statewide assessment system: Within and beyond NCLB*. Presentation to the New Jersey Department of Education Assessment Advisory Group.

Rabinowitz, S. N. (2005). *Challenges of value-added accountability models from multiple perspectives.* Paper presented at the CCSSO annual conference on Large-Scale Assessment, San Antonio, TX.

Rabinowitz, S. N. (2004). The integration of secondary and postsecondary assessment systems: cautionary concerns. In Camara, W. (Ed.): *Choosing students: Higher education admission tools for the 21st century*, Mahwah, NJ: Lawrence Erlbaum Associates, Inc.

Rabinowitz, S. N., with Ananda, S. & Bell, A. (2005). Strategies to assess the core academic knowledge of English language learners. *Journal of Applied Testing Technology, 7*(1), 1–12.

Rabinowitz, S. N. (2004). Supplemental state and local accountability systems: Within and beyond NCLB, *NCME Newsletter, 12*(1).

Rabinowitz, S. N. (2003). *AYP for special populations: NCLB assessment and accountability provisions.* ECS State Leader Forum on Educational Accountability, Denver, CO.

Rabinowitz, S. N. (2003, October). *Understanding standards: CTE standards past, present, and future.* Presentation at the CTE Technical Education Standards and Framework Advisory Group, Sacramento, CA.

Rabinowitz, S. N. (2003, October). *Design considerations for building out NCLB state assessment systems*. Presentation at the 2003 Edward F. Reidy, Jr., Interactive Lecture Series, Nashua, NH.

Rabinowitz, S. N. (2003). *Pseudo-vertical scales: Can we have a little cake (and eat it too)?* Paper presented at the CCSSO annual conference on Large-Scale Assessment, San Antonio, TX.

Rabinowitz, S. N., with Marion, S., White, C., Carlson, D., Erpenbach, W. J., & Sheinker, J. (2002). *Making valid and reliable decisions in determining adequate yearly progress*. Council of Chief State School Officers, Washington, DC.

Rabinowitz, S. N., with Ananda, S. (2002). *Assessment and accountability provisions for the No Child Left Behind Act: Key decision points for states*. Paper developed for the National Assessment and Accountability Work Group.

Rabinowitz, S. N., with Wong, J. and Filby, N. (2002). *The Role of Effective Assessment in Supporting Young Readers.* WestEd, San Francisco, CA.

Rabinowitz, S. N. (2001). Meeting the needs for all students: The case for local assessment programs. *The School Administrator*.

Rabinowitz, S. N., with Zimmerman, J. & Sherman, K. (2001). *Does high-stakes assessment affect student dropout rates?: Myth vs. reality*. WestEd, San Francisco, CA.

Rabinowitz, S. N., with Brandt, T. (2001). *Computer-based assessment: Can it make good on its promise?* WestEd, San Francisco, CA.

Rabinowitz, S. N., with Ananda, S. (2001). *Innovation as a casualty of reform: The negative correlation between high-stakes assessment and innovation*. Paper presented at the CCSSO annual conference on Large-Scale Assessment, Houston, TX.

Rabinowitz, S. N., with Ananda, S. (2001). *Building a workable accountability system: Key decision points for policymakers and educators*. WestEd, San Francisco, CA.

Rabinowitz, S. N., with Koehler, P. & Miyasaka, J. (2001). *AIMS as a high school graduation requirement: A report for the Arizona State Board of Education.* WestEd, San Francisco, CA.

Rabinowitz, S. N., with Ananda, S. (2000). *Balancing local assessment with statewide testing: Building a program that meets student needs*. WestEd, San Francisco, CA.

Rabinowitz, S. N., with Ananda, S. (2000). *A model statewide student assessment system to support school accountability*. Paper presented at the CCSSO annual conference on Large Scale Assessment, Snowbird Village, UT.

Rabinowitz, S. N., with Ananda, S. (1999). *The high stakes of high-stakes testing*. WestEd, San Francisco, CA.

Rabinowitz, S. N., with Rule, D., & Pruzek, R. M. (1998). Some new regression methods for predictive and construct validation. *Social Indicators Research 45*(1/3), 201–231.

Rabinowitz, S. N. (1997). *A Comprehensive Performance-Based System to Address Work Readiness*. H. O'Neil (Ed.), *Workforce Readiness: Competencies and Assessment* (pp. 327–352). Mahwah, NJ: Lawrence Erlbaum Associates.

Rabinowitz, S. N. (1996). *Workplace readiness written communication assessment manual.* Council of Chief State School Officers Workplace Readiness Assessment Consortium, Washington, DC.

Rabinowitz, S. N. (1995). Beyond testing: A vision for an ideal school-to-work assessment system. *Vocational Education Journal, 70*(3), 27–29.

Rabinowitz, S. N., with Ananda, S. M. (1995). *Developing a comprehensive industry skills certification system*. Paper commissioned by the United States Department of Labor.

Rabinowitz, S. N., with Ananda, S. M., & Carlos, L. (1995). *National skill standards: An essential component of workforce preparation and educational reform* (Far West Laboratory Policy Brief No. 22). San Francisco, CA: Far West Laboratory.

Rabinowitz, S. N. (1994). Building schoolwide capacity to use alternative assessment. *Assessment Matters, 3*(4), 3–4.

Rabinowitz, S. N., with Ananda, S. M. (1994). *Student assessment and youth apprenticeship: A series on school-to-work implementation*. Council of Chief State School Officers, Washington, DC.

Rabinowitz, S. (1991). *Security issues in large-scale assessment programs.* Paper presented at the AERA annual meeting, Chicago, IL.

Rabinowitz, S. (1990). *On the current challenge of authentic testing.* Paper presented at the Eric F. Gardner Conference annual meeting, Canandaigua, NY.

Rabinowitz, S. (1988). *Preparing to enter the twenty-first century: Revising New Jersey's statewide testing program.* New Jersey State Department of Education.

Rabinowitz, S. (1986). Some thoughts on critical thinking. *Teaching Thinking and Problem Solving,* 8, 5–10.

Rabinowitz, S., with Pruzek, R. M. (1981). A class of simple methods for exploratory structural analysis. *American Educational Research Journal,* 18, 173–189.

PROFESSIONAL AFFILIATIONS

- American Educational Research Association
- National Council on Measurement in Education

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JOANNE L. JENSEN

SUMMARY OF RELATED EXPERIENCE

Joanne Jensen has extensive experience in the development of performance-based student assessment tasks and systems and criterion-referenced assessments involving both selected- and constructed-response items. As the director of Assessment Client Relations, she is responsible for coordinating project management for WestEd's assessment development contracts. Previously she served as Director of Test Development for WestEd's Assessment and Standards Development Services Program. She directs the development of assessments for Nevada's Proficiency Examination Program, which includes a high school exit examination in reading, mathematics, and science; criterion-referenced assessments at grades 3 through 8 for reading and mathematics; and science assessments at grades 5 and 8. As the Project Director at WestEd for Kentucky's Commonwealth Accountability Testing System (CATS), she supervises the development of constructed-response and selected-response items for the areas of reading, mathematics, science, social studies, arts and humanities, and practical living and vocational studies. She also directs the development of the End-of-Semester Assessment Program for the Cincinnati Public Schools for Grades 9, 10, 11 and 12 in the content areas of English, mathematics, science, and social studies. She supervised the test development for science and history/social sciences for the Massachusetts Comprehensive Assessment System. Dr. Jensen also directed the development of high school assessments for West Virginia's WESTEST Statewide Assessment Program for English/language arts, mathematics, science, and social studies. She also has contributed to the development of a performance-based assessment model for California's secondary vocational students. This model included portfolios, student projects, and written scenarios (on-demand problem-solving writing prompts). As part of this work, Dr. Jensen has worked extensively with teachers in the development of a range of assessment tasks using a standards-based approach. She is experienced in training teachers in the use of holistic scoring techniques. Her other areas of expertise include research design, survey research, and program evaluation.

EDUCATION

1994 Ph.D., Educational Psychology, University of California, Berkeley. Areas: Research Methods, Educational Measurement, Learning Theory

1984 M.A., Education, University of California, Berkeley

1980 B.A. (Summa Cum Laude), Psychology, California State University, Fresno

PROFESSIONAL EXPERIENCE

2007–Present *Director of Assessment Client Relations,* Assessment and Standards Development Services (ASDS), WestEd, San Francisco, CA

Provides program management support to assessment development contracts across ASDS.

2000–2007 *Director of Test Development*, ASDS
WestEd, San Francisco, CA

Coordinated item development and forms construction across the balance of ASDS contracts.

2006–Present *Project Director*, Kentucky Instructional Results and Information Systems (KIRIS)/Commonwealth Accountability Testing System (CATS), WestEd, San Francisco, CA

Supervises the development of standards-based assessments for six curriculum areas at the elementary, middle school, and high school levels.

2004–Present *Director of Test Development*, Massachusetts Comprehensive Assessment System
WestEd, San Francisco, CA

Supervises the development of standards-based assessments for elementary and middle school science and elementary, middle school, and high school history and social sciences.

2002–2003 *Director of Test Development,* West Virginia High School End-of-Course Examination Program, WestEd, San Francisco, CA

Supervised the development and production of standards-based assessments for End-of-Course Examinations in English/Language Arts, Mathematics, Science, and Social Studies.

1998–Present *Director of Test Development,* Nevada Proficiency Examination Program
WestEd, San Francisco, CA

Supervises the development and production of standards-based assessments for three subject areas for Nevada's Proficiency Examination Program, which includes high school proficiency examinations and criterion-referenced assessments at grades 3 through 8 for Reading, Math, and Science.

1994–2005 *Associate Project Director*, (KIRIS)/(CATS)
WestEd, San Francisco, CA

Supervised the development of criterion-referenced and performance-based assessments for six curriculum areas. Managed the data collection for non-cognitive indicators of school success.

1991–Present *Research Associate*, Far West Laboratory for Educational Research and Development
WestEd, San Francisco, CA

Develops model curriculum standards and performance-based assessments for statewide assessment programs in California and Kentucky. Instruments include: portfolios, projects, performance events, scenarios, and open-response items.

1990–1994 *Supervisor/Trainer,* "Learning from Text" Staff; School of Education
University of California, Berkeley, CA

1990–1994 *Instructor,* "Academic Enhancement Series"; Student Learning Center
University of California, Berkeley, CA

1988–1990 *Test Development Consultant*, Mathematics, Language Arts, and Business Departments, Liberty Union High School District, Brentwood, CA

Consulted in the development of summative criterion-referenced tests in Mathematics, Language Arts, and Business Departments of the Liberty Union High School District.

Performed psychometric and statistical analyses on the achievement data.

1986–1988 *Instructor*, "Learning from Text"; School of Education
University of California, Berkeley, CA

1984–1986 *Field Coordinator*, Autonomous Learning Project
Far West Laboratory, San Francisco, CA

Negotiated, coordinated, and developed testing and observation procedures for large-scale data collection involving twelve schools at three grade levels.

1984–1984 *Teaching Assistant*, "Data Analysis for Educational Research and Program Evaluation"; Graduate School of Education, University of California, Berkeley, CA

1983–1984 *Research Assistant,* Office of Student Research
University of California, Berkeley, CA

Data analyst and statistician for office serving the research and analysis requests based on student application and admissions databases.

1982–1983 *Research Assistant*, Language Learning Project
University of California, Berkeley, CA

Data analyst and research liaison with research department of Oakland Public Schools.

1981–1981 *Teaching Assistant,* "Introductory Statistics"; Department of Psychology
California State University, Fresno, CA

1980–1981 Teaching Assistant, "Introductory Psychology"; Department of Psychology
California State University, Fresno, CA

SELECTED PUBLICATIONS AND PRESENTATIONS

Jensen, J.L. (2009). *Alignment: Methods and Implications*. Paper presented at the Council of Chief State School Officers National Conference on Student Assessment, Los Angeles, CA.

Jensen, J.L. (2008). *Assessment at the High School Level: Oh the Choices We Have!* Paper presented at the Council of Chief State School Officers National Conference on Student Assessment, Orlando, FL.

Jensen, J.L. (2008). *The Webbs We Weave.* Paper presented at the Council of Chief State School Officers National Conference on Student Assessment, Orlando, FL.

Jensen, J.L. (2006). *NAEP as a Validity Indicator*. Paper presented at the Council of Chief State School Officers Large-Scale Assessment Conference, San Francisco, CA.

Jensen, J.L. (2006). *UDA versus DOK: From the perspective of a test developer*. Paper presented at the Council of Chief State School Officers Large-Scale Assessment Conference, San Francisco, CA.

Jensen, J.L. (2005). *Assessment, Accountability, and Testing.* Invited Address for Visiting Scholars, WestEd, San Francisco, CA.

Jensen, J.L. (2004). *How can data be used on the road to school improvement?* Keynote Address for the Office of Assessment, Program Accountability, and Curriculum Dissemination Conference, Reno, NV.

Jensen, J.L. (2004). *The Item Development Cycle for the Nevada Proficiency Examination Program.* Invited address at the Office of Assessment, Program Accountability, and Curriculum Dissemination Conference, Reno, NV.

Jensen, J.L. (2004). *The Item Development Cycle for the Nevada Proficiency Examination Program.* Paper presented at the Office of Assessment, Program Accountability, and Curriculum Dissemination Conference, Reno, NV.

Jensen, J.L. (2003). *Implications of No Child Left Behind (NCLB) for Test Development.* Paper presented at the Council of Chief State School Officers Large-Scale Assessment Conference, San Antonio, TX.

Jensen, J.L. (2002). *The Effects of Varied Stakes on State Science Assessment Content and Performance Standards*. Paper presented at the Council of Chief State School Officers Large-Scale Assessment Conference, Palm Desert, CA.

Jensen, J.L. & Rabinowitz, S.N. (2001). *The Clash of Norm-Referenced and Criterion-Referenced Assessment.* Paper presented at the Council of Chief State School Officers Large-Scale Assessment Conference, Houston, TX.

Jensen, J.L. (2001). *Resetting Student Performance Standards for Kentucky's Accountability Assessment: Comparing Information from Multiple Methods—Implications for Test Development.* Paper presented at the Annual Conference of the American Educational Research Association, Seattle, WA.

Jensen, J.L., Niesen, L. & Marchy, L. (1999). *Effective Student Assessment.* Invited address to The National Association, Supervisors of Agricultural Education, Louisville, KY.

Jensen, J.L. & Rims, R.L. (1998). *The Development of the Commonwealth Accountability Testing System.* Invited address to the Kentucky Association of Assessment Coordinators, Louisville, KY.

Jensen, J.L. (1997). *Reflecting on Assessment.* Invited address to the Faculty of the School of Education, University of the Pacific, Stockton, CA.

Jensen, J.L. (1995). *Development of the National Health Care Skills Standards.* Paper presented at the Tech-Prep Conference, San Jose, CA.

Jensen, J.L. (1995). *Educational Reform: A National Perspective.* Invited address for the Women's Studies Conference, Bowling Green, KY.

Jensen, J.L., & Constantine, N. (1995). Review of The Murphy-Meisgeier Type Indicator for Children. In Conoley, J.C., & Impara, J.C., (Eds.), *The Mental Measurements Yearbook.* Lincoln, NE: The University of Nebraska Press.

Nafziger, D.H, & Jensen, J.L. (1995). Review of Australian Council for Educational Research Tests of Basic Skills. In Conoley, J.C., & Impara, J.C., (Eds.), *The Mental Measurements Yearbook.* Lincoln, NE: The University of Nebraska Press.

Nafziger, D.H., & Jensen, J.L. (1995). Review of School Assessment Survey. In Conoley, J.C., & Impara, J.C., (Eds.), *The Mental Measurements Yearbook.* Lincoln, NE: The University of Nebraska Press.

Jensen, J.L. (1994). *The Effect of Survey Format on Response Rate and Pattern of Responding.* Results based on a survey of women graduates from a school of education. Doctoral dissertation, University of California, Berkeley, CA.

Jensen, J.L. (1993). *A Differentiation of Common Uses of Standards to Support Educational Reform.* Paper presented at the Annual Conference of the California Educational Research Association, Long Beach, CA.

Jensen, J.L. (1992). *A Further Examination of the Effects of Item Order on Response Patterns and an Investigation of the Implications of Item Revision.* Paper presented at the Annual Conference of the American Educational Research Association, San Francisco, CA.

Jensen, J.L. (1992). *A New Assessment System to Support High School Restructuring: The Career-Technical Assessment Project.* Paper presented at the Annual Conference of the California Association of Vocational Administrators, San Diego, CA.

Jensen, J.L. (1991). *Eenie, Meenie, Minee, Moe—Does It Matter Where They Go?: An Examination of the Effects of Item Order Based on a Survey of Women Graduates From a School of Education.* Paper presented at the Annual Conference of the American Educational Research Association, Chicago, IL.

Busk, P.L. & Jensen, J.L. (1991). *Women's Graduate School Experiences, Professional Career Expectations, and Their Relationship.* Paper presented at the Annual Conference of the American Educational Research Association, Chicago, IL.

Jensen, J.L. (1990). *The Integration of Qualitative and Quantitative Information: Results for a Survey of a Graduate School of Education.* Paper presented at the Annual Conference of the American Educational Research Association, Boston, MA.

Jensen, J.L. (1987). *Course-Specific Variations in Study Time Allocation.* Paper presented at the Annual Conference of the American Educational Research Association, Washington, D.C.

Jensen, J.L.; Delucchi, J.; Rohwer, W.D., Jr.; & Thomas, J.W. (1987). Study time allocations as a function of grade level and course characteristics. *Contemporary Educational Psychology, 12,* 365-380.

Jensen, J.L. (1986). *An Examination of the Study Activity Survey: A New Instrument to Assess Study Strategies.* Paper presented at the Annual Conference of the American Educational Research Association, San Francisco, CA.

Thomas, J.W. & Jensen, J.L. (1986). *Study Methods, Personality Factors, and Academic Achievement.* Paper presented at the Annual Conference of the American Educational Research Association, San Francisco, CA.

Jensen, J.L. (1985). *Autonomous Learning: Study Practices Across Adolescence.* Paper presented at the Annual Conference of the American Educational Research Association, Chicago, IL.

Jensen, J.L. (1983). *Measures of Functional Proficiency in Relation to Standardized Test Scores.* Presented at the Symposium on Bilingual Education, Annual Conference of the American Educational Research Association, Montreal, Canada.

SELECTED PROFESSIONAL ACTIVITIES

- Referee for Educational Researcher
- Referee for Curriculum and Instruction
- Referee for American Educational Research Association Division H: School Evaluation and Program Development

PROFESSIONAL AFFILIATIONS

- American Educational Research Association
- Association for Supervision and Curriculum Development
- National Council on Measurement in Education

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CAROLE GALLAGHER

SUMMARY OF RELATED EXPERIENCE

Carole Gallagher is Senior Research Associate in WestEd's Assessment and Standards Development Services (ASDS) program. In that role she supports institutional growth via proposal development and outreach to states. She has directed key projects related to standards development, revision, integration, and evaluation; alternate assessment development; and formative assessment implementation. She serves as the external evaluator for a federally funded assessment grant and supports technical assistance services provided to regions and states through the Assessment and Accountability Comprehensive Center (AACC) at WestEd. Dr. Gallagher conducts research on postsecondary readiness for education, the workplace, and citizenship and on emerging issues in assessment and accountability (e.g., technical adequacy considerations, balanced assessment systems, and assessing special student populations). She studies state and federal accountability models and recently completed case study reports on the growth models in two states. Her ongoing work includes promoting effective data use in schools, studying research-based best practices in formative assessment, facilitating state efforts to integrate academic and career/technical education standards, and guiding states in the collection and documentation of appropriate evidence of alignment among standards, curriculum, instruction, and assessment. She also conducts hierarchical analyses of longitudinal data to examine performance gaps and monitor changes in student test performance over time.

Dr. Gallagher is a career educator with teaching, counseling, and administrative experience at the secondary and college levels. Prior to joining WestEd, Dr. Gallagher served as the NAEP Coordinator for the state of Indiana, overseeing sampling, administration, and reporting activities associated with the National Assessment of Educational Progress. During her time at the Indiana Department of Education, she also worked on development, scoring, and reporting activities associated with the state's K–12 English/Language Arts assessments.

EDUCATION

2004	Ph.D., Educational Psychology, Indiana University, Bloomington, IN
2004	Certification, Large-Scale Assessment, University of Maryland, College Park, MD
1977	M.A., Guidance and Counseling, University of Michigan, Ann Arbor, MI
1974	B.A., English, Secondary Education, University of Michigan, Ann Arbor, MI

PROFESSIONAL EXPERIENCE

2005–Present *Senior Research Associate*, Assessment Standards and Development Services (ASDS)
WestEd, San Francisco, CA

Responsibilities include directing standards and assessment development projects; overseeing research studies related to assessment; supporting technical assistance outreach efforts to states, regional centers, and districts regarding NCLB compliance issues; conducting research on existing and emerging assessment and accountability issues; and collaborating on special projects associated with the AACC. She currently directs a multi-phase state content standards revision project that includes the development of crosswalks between the new state standards and the K–12 Common Core State Standards, serves as the external evaluator for a federally-funded assessment grant, is an author on an in-review REL-West research report on assessment accommodations for English language learners, and is developing training materials for a state's examination of the alignment between state standards and district curricula.

2002–2005 *State NAEP Coordinator*
Indiana Department of Education, Indianapolis, IN

Responsibilities included overseeing administration of national and international assessments in schools; coordinating recruitment, test administration, and reporting activities; serving as state liaison with NCES; supporting state test development work in English/Language Arts; and conducting independent research using hierarchical modeling of student performance data.

2000–2002 *Associate Instructor*
Indiana University, Bloomington, IN

Responsibilities included teaching courses in educational psychology and measurement to undergraduates and in critical reading to at-risk minority and first generation college freshmen; also supervised students' pre-student teaching field experience and collaborated in the development of a virtual field experience for pre-service teachers.

1994–2000 *Dean of Students*
Columbus East High School, Columbus, IN

Responsibilities included monitoring student behavior in a comprehensive high school; monitored attendance, administered discipline (suspension and expulsions); counseled and managed interventions for general and special education students.

1991–1994 *Guidance Counselor*
Central Middle School, Columbus, IN

Responsibilities included providing academic, career, and personal counseling for students in grades 7 and 8.

1988–1990 *Evaluator*, LOGOS Program for Gifted and Talented
Richmond, IN

Responsibilities included administering and scoring entrance examination for district's Gifted and Talented program, grades K–10.

1977–1978 *A.B.E./G.E.D. Reading Teacher*
Huron Valley Women's Facility, Ypsilanti, MI

Responsibilities included teaching reading courses to incarcerated felons to facilitate high school completion efforts.

1977–1974 *High School English Teacher*
LaGrange Township High School, LaGrange, IL

Responsibilities included teaching required English classes at the freshman and sophomore levels and developing and teaching electives in literature and creative writing.

SELECTED PUBLICATIONS AND PRESENTATIONS

Gallagher, C., Sato, E., & Rabinowitz, S. (2010, May). *A framework for examining evidence related to the consequential validity of standards-based assessments*. Paper to be presented at the annual meeting of the National Council on Measurement in Education, Denver, CO.

Sato, E., Rabinowitz, S., Gallagher, C., & Huang, K. (under review). *Assessment accommodations for English language learners*. Washington, DC: Institute of Education Sciences.

Gallagher, C. (2010, January). *Case studies on data use: Colorado Growth Model.* Part II of a series of reports on State growth models developed by the CCSSO Accountability Systems and Reporting (ASR) collaborative. Washington, DC: CCSSO.

Gallagher, C. (2009, September). *Case studies on data use: Tennessee Value-Added Assessment System.* Part I of a series of reports on State growth models developed by the CCSSO Accountability Systems and Reporting (ASR) collaborative. Washington, DC: CCSSO.

Gallagher, C. (2009, June). *The role of student assessment data in dropout prevention: Two states' efforts to identify risk factors*. Presentation at the annual CCSSO National Conference on Student Assessment, Los Angeles, CA.

Gallagher, C. (2009, June). *Strategies for balancing state and federal components within a coherent, comprehensive accountability system.* Presentation at the annual CCSSO National Conference on Student Assessment, Los Angeles, CA.

Gallagher, C., Sato, E., & Rabinowitz, S. (2009, April). *Methodological considerations in test accommodations research.* Paper presented at the annual meeting of the National Council on Measurement in Education, San Diego, CA.

Gallagher, C. (2008, June). *Academic content standards revision: How, when, and why?* Presentation at the annual CCSSO National Conference on Student Assessment, Orlando, FL.

Gallagher, C. (2008, June). *Looking beyond the number: What does a high school graduation rate really mean?* Presentation at the CCSSO National Conference on Student Assessment, Orlando, FL.

Gallagher, C., & Worth, P. (2008, April). *Formative assessment policies, programs, and practices in the Southwest region* (Issues & Answers Report, REL 2008–No. 041). Washington, DC: U.S. Department of Education, Institute of Education Sciences, National Center for Education Evaluation and Regional Assistance, Regional Educational Laboratory Southwest.

Sato, E., Rabinowitz, S., Worth, P., Gallagher, C., Lagunoff, R., & Crane, E. (2007, September). *Evaluation of the technical evidence of assessments for special student populations*. Assessment and Accountability Comprehensive Center Report. San Francisco: WestEd.

Sato, E., Rabinowitz, S., Worth, P., Gallagher, C., Lagunoff, R., & McKeag, H. (2007, September). *Guidelines for ensuring the technical quality of assessments affecting English language learners and students with disabilities: Development and implementation of regulations*. Assessment and Accountability Comprehensive Center Report. San Francisco: WestEd.

Gallagher, C. (2007, June). *Formative assessment: Moving beyond best practice to research-based practice*. Paper presented at the annual CCSSO Conference on Large-Scale Assessment, Nashville, TN.

Gallagher, C. (2007, April). *The need for alternate approaches to growth modeling*. Paper presented at the annual meeting of the American Educational Research Association, Chicago, IL.

Gallagher, C., & Bruce, W. (2006, June). *Who's on track: Using state data to construct alternate student progress models*. Paper presented at the annual CCSSO Conference on Large Scale Assessment, San Francisco, CA.

Gallagher, C. J. (2006, April). *Hierarchical modeling of state test scores: Using longitudinal data to construct growth models for accountability purposes*. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, CA.

Gallagher, C. J., & Ingersoll, G. M. (2005, April). *Analyzing urban students' test scores: Measuring academic progress with hierarchical linear modeling*. Paper presented at the Annual Meeting of the American Educational Research Association, Montreal, Canada.

Gallagher, C. J. (2003). Reconciling a tradition of testing with a new learning paradigm. *Educational Psychology Review, 15*(1), 83–99.

Gallagher, C. J., & Stright, A. (2003, Spring). *A longitudinal study of adolescent decision-making*. Paper presented at the annual meeting of Society for Research in Child Development, Tampa, FL.

Gallagher, C. J. (2002). Stories from the strays: What dropouts can teach us about school. *American Secondary Education*, *30*(3), 36–60.

PROFESSIONAL AFFILIATIONS

- American Educational Research Association
- National Council on Measurement in Education

WestEd

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CAROL WHANG

SUMMARY OF RELATED EXPERIENCE

Carol Whang manages state- and district-level projects for the Assessment and Standards Development Services (ASDS) program at WestEd. As a project manager, she has provided oversight of both assessment and research projects within ASDS. Her assessment management experience includes coordinating the development of test forms for the Kentucky Core Content Test—a high-stakes statewide assessment that included eight grades and six content areas. In this role, she produced detailed documentation and procedure manuals for various processes related to test form development, collaborated with and provided oversight of internal and external project staff, and communicated with internal and external staff at all levels. In addition to having successfully coordinated several simultaneous processes involving multiple grades and content areas, she also provided oversight of quality control of test forms, resulting in consecutive years of error-free test forms. In addition to management of large complex projects, her test development experience includes writing technical reports; effectively and efficiently communicating with key stakeholders at the school, district, and state levels; drafting and revising assessment items and scoring guides; training support staff; and facilitating item-review meetings.

She also has extensive experience managing a diverse range of research projects. At the state level, she has managed WestEd's contract to support the California Department of Education in the state's Alternative Schools Accountability Model. For this project, she has successfully managed the contract and budget, coordinated meetings of the technical design group, drafted minutes for the Public School Accountability Act Subcommittee meetings, provided oversight over schedules and all deliverables. At the district level, she has managed WestEd's development of quarterly learning targets for Chicago Public Schools. For this project, she developed and documented protocols for content staff; facilitated the work of all content staff, from creating schedules to providing materials and conducting training; tracked budgets; adapted plans and processes quickly in response to changing priorities; and kept internal and external staff informed of progress and issues requiring resolution.

Additionally, she has managed the data collection for a Regional Educational Laboratory West project. This involved developing data collection processes; providing oversight of database creation, data collection, and reconciliation; and maintaining detailed records and thorough documentation of schools, classes, and participants in the study with proper attention to maintaining data security.

EDUCATION

2004 Ph.D., Musicology, University of Pennsylvania, Area: Music History

1995 B.M., Highest Honors, Music, University of California, Santa Barbara

PROFESSIONAL EXPERIENCE

2009–Present *Program Associate*
WestEd, San Francisco, CA

2006–Present *Coordinator*
WestEd, San Francisco, CA

2005–Present *Proofreader*
WestEd, San Francisco, CA

2004 *Marketing Assistant*
San Francisco Opera, San Francisco, CA

Responsible for the general flow of marketing collateral for single tickets, including ad trafficking for both print and electronic deliverables.

2003 *Instructor*, History of Opera
Department of Music, University of Pennsylvania, Philadelphia, PA

2002 *Instructor*, Introduction to Music Theory and Musicianship A
Department of Music, University of Pennsylvania, Philadelphia, PA

1998–2001 *Research Assistant*, Eugene K. Wolf,
University of Pennsylvania, Philadelphia, PA

Assisted with research on the origins and development of the classical symphony, including the preparation of musical transcriptions and archival research.

2000 *Instructor*, Introduction of a History of Music II (Classical, Romantic, Modern)
Department of Music, University of Pennsylvania, Philadelphia, PA

1999 *Instructor*, Introduction to a History of Music I (Medieval, Renaissance, Baroque)
Department of Music, University of Pennsylvania, Philadelphia, PA

1999 *Assistant to the Executive Director*
American Musicological Society, Philadelphia, PA

1998 *Teaching Fellow*, Introduction of a History of Music II (Classical, Romantic, Modern),
Department of Music, University of Pennsylvania, Philadelphia, PA

1997 *Teaching Fellow*, Introduction to a History of Music I (Medieval, Renaissance, Baroque), Department of Music, University of Pennsylvania, Philadelphia, PA

1997 *Teaching Fellow*, Introduction to a History of Music II (Classical, Romantic, Modern)
Department of Music, University of Pennsylvania, Philadelphia, PA

1996 *Teaching Fellow*, Introduction to a History of Music I (Medieval, Renaissance, Baroque), Department of Music, University of Pennsylvania, Philadelphia, PA

PUBLICATIONS AND PRESENTATIONS

Whang, C. (2004). *Re-defining relationships: Modeling in four imitation masses by Palestrina.* Doctoral dissertation, University of Pennsylvania, Philadelphia, PA.

Whang, C., & Freudenberg, K. (2002). *Models and intertext across the disciplines*. Paper presented at the American Academy in Rome, Italy.

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CHRISTYAN P. MITCHELL

SUMMARY OF RELATED EXPERIENCE

Dr. Christyan P. Mitchell, Senior Research Associate at WestEd, serves as project lead overseeing the development of high-stakes state assessments for general and special student populations (i.e., English language learners, students with disabilities). In this capacity, Dr. Mitchell oversees the development of test designs, item specifications, item writer, and editor training, ancillary test materials, and provides item review training and facilitation. As project lead he ensures adherence to the principles of Universal Design and best practices for online assessment item development (when appropriate). Having experience in large-scale assessment as a senior program manager at Harcourt Assessment and former Chief Data Analyst at the Massachusetts Department of Education, Dr. Mitchell provides consultation to state departments of education on a variety of technical, policy, and implementation issues.

EDUCATION

2000 Ph.D., Educational Psychology, University of Minnesota, Twin Cities
Minneapolis, MN

1996 M.Ed., Educational Research, Northeastern University, Boston, MA

1993 B.S., Psychology, State University of New York at Binghamton, Binghamton, NY

PROFESSIONAL EXPERIENCE

2006–Present *Senior Research Associate*, Assessments and Standards Development Services (ASDS), WestEd, San Francisco, CA

Managing the item development for high-stakes state assessments for general and special populations. Providing technical assistance and guidance to state departments of education regarding a wide range of assessment issues.

2005–2006 *Senior Program Manager*, Wyoming Department of Education Project
Harcourt Assessment, Inc., San Antonio, TX

Managed Harcourt Assessment's contract with the Wyoming Department of Education, budgeted annually at six million dollars. Wyoming's state educational assessment system is a visionary and highly complex program consisting of five distinct assessments: high-stakes online assessment, alternate assessment, augmented catalog English proficiency assessment, formative assessment, and online writing assessment.

Coordinated efforts across functional groups to deliver Wyoming's first-ever high-stakes online assessment. Oversaw the augmentation, standard setting, administration, and reporting of the Wyoming English proficiency assessment. Managed the development of a fully customized alternative assessment for Wyoming students with

severe cognitive disabilities. Managed the statewide implementation of Wyoming's first-ever online formative assessment. Managed the statewide implementation of the Wyoming's first-ever online writing assessment (subcontracted through Bookette Software). Coordinated test development team with Technical Advisory Committee lead Dr. James Popham to deliver instructionally supportive tests and score reports.

2002–2004 *Chief Data Analyst*, Massachusetts Comprehensive Assessment System (MCAS)
Massachusetts Department of Education, Malden, MA

Oversaw all data analysis and reporting of Massachusetts Comprehensive Assessment System (MCAS). Supervised four data analysts, provided technical direction on statistical analyses and software usage (e.g., SPSS, Excel, Access), delegated and supervised data analysis projects, built team approach, promoted and systematized data quality assurance procedures. Managed production of U.S. Department of Education compliant reports of adequate yearly progress. Managed production of and contributed to the MCAS technical reports (2002 and 2003). Co-authored and oversaw scoring and reporting specifications. Directly provided data analyses to the Commissioner of Education and Governor of Massachusetts. Oversaw the quality control analysis for all MCAS results. Oversaw web-based enrollment collection and data reporting. Designed student survey and analyzed and reported results.

2001–2002 *Senior Data Analyst*, MCAS
Massachusetts Department of Education, Malden, MA

Generated 2002 reports of MCAS results. Conducted analyses and prepared presentation material for public release of data, presented by the Commissioner of Education and Governor of Massachusetts. Conducted validity and reliability analysis of national reading assessment. Served as the lead analyst for the quality control analysis of all student results. Managed and maintained the database of student results (more than 500,000 records).

2000–2001 Magnasource, Inc., Wakefield, MA

Designed usability testing methodology. Conducted user testing. Analyzed results (quantitative and qualitative). Designed and oversaw quality assurance testing. Authored user manuals. Wrote usability reports (internal and external).

1998–2000 *Research Assistant*, Character Education Grant
University of Minnesota, Minneapolis, MN

Developed outcome measures for program evaluation. Supervised junior research team members. Conducted analysis, exploration, and documentation of current research pertaining to moral education strategies. Directed school principals, district superintendents, and teachers in the implementation of research-based didactic techniques. Co-developed a research-based, 700-plus-page, teacher guidebook for integrating character education into standards based curriculum.

1999 *Instructor*, Personality and Social Development
University of Minnesota, Minneapolis, MN

Managed and executed all aspects of the course. Designed outcome measures and learning objective strategies. Assessed student performance. Developed curriculum and course materials. Conducted writing seminars. Counseled students on techniques and methods for improving their academic performance.

1996–1999 *Research Assistant*, Center for the Study of Ethical Development
University of Minnesota, Minneapolis, MN

Provided statistical and measurement support to researchers. Conducted workshops on statistical software usage, data analysis procedures, and research methodology techniques. Conducted research to establish construct validity for a new measure of moral cognition. Co-authored technical manual for research methodology and statistical analysis in moral cognition.

1997 *Instructor*, Building a Learning Community
University of Minnesota, Minneapolis, MN

Taught course material. Designed outcome measures and assessed performance.

SELECTED PUBLICATIONS AND PRESENTATIONS

Narvaez, D., Gleason, T., & Mitchell, C. (in press). Moral virtue and practical wisdom: Theme comprehension in children, youth and adults. *Journal of Genetic Psychology*.

Mitchell, C. (1999). Ethical Identity. In D. Narvaez with C. Mitchell, L. Endicott, & T. Bock (Eds.), *Nurturing character in the middle school classroom: A guidebook for teachers*. Department of Children, Families, and Learning, State of Minnesota.

Narvaez, D., Gleason, T., Mitchell, C., & Bentley, J. (1999). Moral Theme Comprehension in Children. *Journal of Educational Psychology, 91*(3), 477–487.

Narvaez, D., & Mitchell, C. (1999). Parenting good children: Book reviews. *Journal of Moral Education, 28*(3), 387–394.

Narvaez, D., & Mitchell, C. (2000). Schemas, culture, and moral texts. *In Education, Culture and Values*. London, UK: Falmer Press.

Narvaez, D., with Mitchell, C., Endicott, L., & Bock, T. (1999). *Nurturing Character in the Middle School Classroom: A Guidebook for Teachers*. Department of Children, Families, and Learning, State of Minnesota.

Narvaez, D., Mitchell, C., & Linzie, B. (2001). Cultural influence on moral theme comprehension. Manuscript submitted for publication.

Rest, J. R., Mitchell, C., Narvaez, D., Thoma, S. (2000). How test length affects the reliability and validity of the Defining Issues Test. Manuscript submitted for publication.

Rest, J. R., Narvaez, D., Mitchell, C., & Thoma, S. (1998). *Exploring Moral Judgment: A technical manual for the Defining Issues Test*. Minneapolis, MN: Center for the Study of Ethical Development.

Narvaez, D., Gleason, T., & Mitchell, C. (1997). *A new method for measuring moral cognition in children* (Tech. Report). Minneapolis, MN: University of Minnesota, Center for Applied Research and Educational Improvement.

Mitchell, C. (1999, November). *Assessing moral judgment with the new indices of the Defining Issues Test*. Workshop at the annual meeting of the Association for Moral Education, Minneapolis, MN.

Mitchell, C. (1999, November). *Generalizability of types using two versions of the DIT*. Presented at the annual meeting of the Association for Moral Education, Minneapolis, MN.

Narvaez, D., Bock, T., Mitchell, C., & Endicott, L. (1999, November). *A model for moral education in public schools*. Annual meeting of the Association for Moral Education, Minneapolis, MN.

Narvaez, D., Endicott, L., Bock, T., Mitchell, C., & Kang, Y. (1999, November). *Children and Parents rate the moral content in stories*. Presented at the annual meeting of the Association for Moral Education, Minneapolis, MN.

Mitchell, C., Narvaez, D., & Linzie, B. (1999, August). *Culture-based preconscious moral judgments as measured by lexical decisions*. Presented at the American Psychological Association, Boston, Massachusetts.

Narvaez, D., Mitchell, C., & Linzie, B. (1998, November). *Comprehending moral stories and the influence of individualism/collectivism*. Presented at the annual meeting of the Association for Moral Education, Hanover, NH.

Narvaez, D., Thoma, S., Mitchell, C., Linzie, B., Rest, J., Getz, I., (1998, November). *Symposium: Moral Judgment, religion and culture*. Presented at the annual meeting of the Association for Moral Education, Hanover, NH.

Narvaez, D., Mitchell, C., & Linzie, B. (1998, July). *Cultural influences on on-line text elaborations*. Presented at the annual meeting of the Society for Text and Discourse, Madison, WI.

Narvaez, D., Gleason, T., Mitchell, C., & Bentley, J. (1998, April). *A new method for measuring moral cognition in children*. Presented at the annual meeting of the American Educational Research Association, San Diego, CA.

PROFESSIONAL AFFILIATIONS

- American Educational Research Association
- American Psychological Association
- Association for Moral Education
- Eastern Educational Research Association
- Phi Kappa Phi Academic Honorary

Appendix A8-6: Budget (PART I.J.)

SMARTER Balanced Assessment Consortium Budget Tables and Budget Narrative for Level 1 Summary and Detailed Budget Modules and Level 2 Detailed Budget Module

Part A: Summary Table

Budget Part A: Summary Budget Table[7]					
Budget Module	**Project Year 1**	**Project Year 2**	**Project Year 3**	**Project Year 4**	**Total**
Level 1 Budget Modules					
1. Governance	$2,706,677	$2,595,483	$2,566,294	$2,567,468	$10,435,922
2. Assessment Design	$470,610	$7,963,761	$29,854,255	$59,662,257	$97,950,884
3. System Design	$357,450	$41,400	$14,716	$15,128	$428,693
4. Research and Evaluation	$0	$1,002,850	$2,002,850	$2,002,850	$5,008,550
5. Professional Capacity and Outreach	$0	$1,513,550	$3,018,550	$3,018,550	$7,550,650
6. Technology	$129,447	$10,744,471	$10,748,197	$5,452,028	$27,074,143
7. Higher Ed Engagement	$368,957	$379,288	$389,908	$400,825	$1,538,977
8. **Total Funds Requested – Level 1 Budget Modules** (lines 1-7)	$4,033,141	$24,240,803	$48,594,770	$73,119,105	$149,987,819
Level 2 Budget Modules					
9. Translations Priority 1	$0	$639,947	$2,969,972	$6,384,805	$9,994,724
10. **Total Funds Requested – Level 2 Budget Modules** (line 9)	$0	$639,947	$2,969,972	$6,384,805	$9,994,724
11. **Total Funds Requested for Comprehensive Assessment System** (lines 8 plus 10)	$4,033,141	$24,880,750	$51,564,742	$79,503,910	$159,982,543

Note: All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

[7] Full case detail available upon request.

Part B: Level 1 Budget Modules – Summary

Budget Part B: Level 1 Budget Modules – Summary Table					
Budget Categories	**Project Year 1 (a)**	**Project Year 2 (b)**	**Project Year 3 (c)**	**Project Year 4 (d)**	**Total (e)**
1. Personnel	$246,300	$253,196	$260,286	$267,574	$1,027,356
2. Fringe Benefits	$73,890	$75,959	$78,086	$80,272	$308,207
3. Travel	$256,300	$263,476	$317,669	$258,448	$1,095,894
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$28,800	$31,151	$30,435	$33,895	$124,282
6. Contractual	$3,258,300	$23,395,532	$47,674,845	$72,262,535	$146,591,211
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$3,863,590	$24,019,315	$48,361,321	$72,902,724	$149,146,950
10. Indirect Costs	$169,551	$221,488	$233,449	$216,381	$840,869
11. Total Costs (add lines 9-10)	$4,033,141	$24,240,803	$48,594,770	$73,119,105	$149,987,819
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$4,033,141	$24,240,803	$48,594,770	$73,119,105	$149,987,819

Note: All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Table: Governance

Budget Part B: Level 1 Budget Module – Detailed Table Name: Governance					
Budget Categories	**Project Year 1** (a)	**Project Year 2** (b)	**Project Year 3** (c)	**Project Year 4** (d)	**Total** (e)
1. Personnel	$246,300	$253,196	$260,286	$267,574	$1,027,356
2. Fringe Benefits	$73,890	$75,959	$78,086	$80,272	$308,207
3. Travel	$75,900	$78,025	$60,765	$62,467	$277,157
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$28,800	$31,151	$30,435	$33,895	$124,282
6. Contractual	$2,224,800	$2,092,931	$2,080,316	$2,066,921	$8,464,967
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$2,649,690	$2,531,263	$2,509,888	$2,511,128	$10,201,969
10. Indirect Costs	$56,987	$64,220	$56,406	$56,340	$233,953
11. Total Costs (add lines 9-10)	$2,706,677	$2,595,483	$2,566,294	$2,567,468	$10,435,922
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$2,706,677	$2,595,483	$2,566,294	$2,567,468	$10,435,922

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: Governance

Associated Work Plan:

- Adopt Common Core State Standards
- Select vendor(s) for item development services (including training)
- Select vendor(s) for assessment platform (development, delivery, scoring, and reporting)
- Select vendor(s) for formative materials development
- Develop assessment system requirements and specifications

Rationale: A fully enacted and robust governance structure is essential to successfully achieve each of the goals described in the competitive and absolute priorities. As described in section (A)(8), the Consortium will utilize the Lead Procurement State, Executive Committee, and Project Management Partner as part of a system of checks and balances to ensure that Consortium efforts are coordinated efficiently and effectively to realize the design, development, and implementation of the assessment system, consistent with the Consortium's vision, goals, and Theory of Action. The governance committees will have access to sufficient legal advice to ensure that the risk of legal issues can be mitigated through prevention and good planning. The Consortium will meet regularly through teleconferences and periodically in person, as necessary, to effectively coordinate all of the member States and meet the established time lines. Although travel is budgeted for each set of meetings, the Consortium will attempt to save funds by strategically using online meetings instead. The volume and complexity of the topics will, in part, determine the viability of virtual meetings.

Expenses by Budget Category:

1) **Personnel**

2) **Fringe Benefits**

Personnel: The following requested personnel will all be hired as employees of the project	Title of Position	Base Salary	Fringe Rate	Percent of Time on Project	Total Salary	Total Fringe
Washington Project Director performs a compliance role to ensure that the deliverables are provided in a manner consistent with the agreement with USED.	FA Project Director	$110,000	30%	15%	$68,824	$20,647
Washington Fiscal Analyst assists the FA Project Director in reviewing expenditures to ensure that all are consistent with USED agreed-upon budget.	FA Fiscal Analyst	$70,000	30%	50%	$145,991	$43,797
Washington Project Manager writes, releases, and implements RFPs and contracts on behalf of the Consortium, and monitors the time lines and	FA Project Manager	$90,000	30%	50%	$187,702	$56,311

project plans to ensure that the project will be completed within USED agreed-upon time line.						
Washington Administrative Support performs administration support as required by the FA.	FA Administrative Support	$24,000	30%	20%	$20,022	$6,006
Washington Contract Analyst assists the FA Project Director in reviewing and monitoring contracts to ensure that deliverables are consistent with contracted work and that contracts and amendments can be expedited through the system rather than using existing personnel exclusively.	FA Contract Analyst	$70,000	30%	50%	$145,991	$43,797
Consortium Executive Director performs a director role to manage the production of deliverables consistent with the agreement with USED and the direction of the Executive Committee.	Executive Director	$110,000	30%	100%	$458,827	$137,648

Notes:
1. FA = Fiscal Agent
2. Fringe rate is that of the State of Washington, the Fiscal Agent for the Consortium.
3. Inflation has been applied to Salary and Fringe at a rate of 2.8% annually, beginning in year 2.

3) Travel

Meeting Type and Purpose of Meeting	Number of Persons per Trip	Number of Days of Trip	Number of Trips	Average Cost per Trip/ Person	Total Cost
The Executive Committee consists of eight members and will meet quarterly for the first two years and twice a year for the second two years of the grant period. These meetings will be used to resolve complex issues, achieve consensus on high-level topics and to review complex deliverables. The meetings will also ensure that the Steering Committee is presented with concisely organized topics for their review.	8	2	12	$1,188	$114,065
The Steering Committee consists of 17 members and will meet every other quarter throughout the grant period. These meetings will be used to ensure that each member State is fully informed of the activities of the Consortium and has ample opportunities to raise and resolve any concerns. The meetings	17	2	8	$1,199	$163,092

will be used to review complex deliverables and achieve consensus on issues allocated to the Committee by the Executive Committee.					

Notes:
1. Travel costs include airfare, hotel, and per diem.
2. Inflation has been applied to travel costs at a rate of 2.8% annually, beginning in year 2.

5) **Supplies** – Supplies are purchased in association with the Executive and Steering Committee meetings. The assumptions are as follows:

Supplies Category	Enter Description of Supplies/Justification	Monthly Cost per Person	Total Cost
General office supplies	Supplies needed to support monthly/quarterly meetings	$240	$69,120
Paper	Paper needed to support monthly/quarterly meetings	$160	$46,080
Other	Office desk	$824 one-time cost	$824
Other	Printer	$721 one-time cost	$721
Other	Standard desktop computer with monitor – 2 needed – Washington Fiscal Agent	$2,607 one-time cost	$2,607

6) **Contractual** – The Consortium Project Management Partner will be provided under contract in the Governance Level 1 budget. Additionally, legal advice from the State of Washington Department of Justice and other outside counsel will be obtained.

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Project Management Partner	The Project Management Partner will assist the Consortium in directing the activities necessary to ensure that Consortium efforts are coordinated efficiently and effectively to realize the design, development, and implementation of the assessment system consistent with the Consortium's vision, goals, and Theory of Action. The Project Management Partner will be procured by the State of Washington through an open procurement process as described in section (A)(8).	$2,000,000 per year	$8,000,000
Washington Department of Justice	The Washington Department of Justice legal personnel will provide legal advice in the areas of Washington law, procurement and contract review, procurement and contract disputes, compliance reviews by USED, and transfer of authority to a 501(c)3 if appropriate.	$150/hr 480 hours	$73,624
External legal consultation	External legal personnel will provide legal services in the areas of civil rights, inter-state and federal law regarding procurement, assessment and accountability, governance and personnel rules and associated State and Federal law, and establishment of an independent 501(c)3, if appropriate.	$350/hr 1,099 hours	$391,343

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40–74.48 and Part 80.36 and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA) and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Level 1 Budget Module – Detailed Table: Assessment Design

Budget Part B: Level 1 Budget Module – Detailed Table Name: Assessment Design					
Budget Categories	**Project Year 1 (a)**	**Project Year 2 (b)**	**Project Year 3 (c)**	**Project Year 4 (d)**	**Total (e)**
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$57,000	$58,596	$126,497	$61,923	$304,016
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$372,000	$7,825,979	$29,628,922	$59,520,049	$97,346,949
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$429,000	$7,884,575	$29,755,419	$59,581,972	$97,650,966
10. Indirect Costs	$41,610	$79,187	$98,837	$80,285	$299,918
11. Total Costs (add lines 9-10)	$470,610	$7,963,761	$29,854,255	$59,662,257	$97,950,884
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$470,610	$7,963,761	$29,854,255	$59,662,257	$97,950,884

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: Assessment Design

Associated Work Plan:

- Produce test specifications, item-writing specifications, protocols, and training materials
- Field test items using existing online applications and/or stand-alone implementation of new online system as operational pilot
- Field test item performance review (Data Review)
- Summarize definitions of ELs, State policies, practices, and research on accommodations to inform educators, researchers, and other stakeholders across the States in the SMARTER Balanced Assessment Consortium
- Produce a definition, inclusion policies, practices, and a set of accommodations appropriate for SWDs and 504 students that are commonly accepted by educators, researchers, and other stakeholders across the Consortium States
- Identify the characteristics of the accommodation needs of ELs, SWDs, and 504 students in a technology-based assessment environment that are commonly accepted by educators, researchers, and other stakeholders across the States in the SMARTER Balanced Assessment Consortium
- Develop accommodations manual to monitor fidelity in application of inclusion and accommodations guidelines and/or policies by States to ensure consistent and streamlined inclusion and accommodation policies across the Consortium
- Systematically review accommodations for the SMARTER Balanced Assessment Consortium
- Develop performance level descriptors
- Deliver Consortium summative assessment
- Deliver Consortium interim assessment

Rationale: The Consortium intends to create an online adaptive summative assessment that will be administered in grades 3–8 and at least once in high school. The design of the summative assessment is described in Section (A)(3). In addition, the Consortium will provide an online adaptive interim/benchmark assessment for grades 3–8 and high school that will provide for more in-depth assessment of what students know and can do based on smaller clusters of content and to describe incrementally the degree to which students are on track to be college- and career-ready. The design of the interim/benchmark assessment is also described in full in section (A)(3). Finally, as part of the Level 1 budget request, the Consortium will provide formative assessment tools and resources and professional development support for teachers in elementary, middle, and high school as part of the integrated system of teaching and learning described in the Theory of Action (section (A)(2) and in the assessment design section (A)(3)). These assessments will be administered based on a common understanding of the definitions of ELs and SWDs.

Expenses by Budget Category:

1) Personnel

Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 1 budget request.

3) Travel

Meeting Type and Purpose of Meeting	Number of Persons per Trip	Number of Days of Trip	Number of Trips	Average Cost per Trip/ Person	Total Cost
The Technical Advisory Committee provides detailed technical review of progress regarding the assessment design, application development requirements, approach to psychometrics, design, and results of the research agenda. The advisors will be procured through Washington's procurement process.	12	3	8	$1,486	$142,654
Policy and Technical Consultants provide support as needed for technical and policy issues that will arise as identified by the technical advisors, policy advisors, Executive Committee, and Steering Committee. The consultants will be procured through Washington's procurement process.	8	3	8	$1,486	$95,102
Performance Level Descriptors Consultant (mathematics) assists the Consortium in deriving common mathematics achievement level descriptors that will be the basis for the common achievement standards that will be used by the Consortium.	1	3	4	$1,506	$6,024
Performance Level Descriptors Consultant (ELA) assists the Consortium in deriving common ELA achievement level descriptors that will be the basis for the common achievement standards that will be used by the Consortium.	1	3	4	$1,506	$6,024
Performance Level Descriptors Committee includes 18 people across elementary, middle, high school, and higher education in each content area to convene for a three-day meeting. Stakeholders will make recommendations regarding the most appropriate achievement level descriptors that best describe a vertically articulated progression of student achievement leading up to college- and career-readiness.	36	3	1	$1,506	$54,213

Notes:

1. Travel costs include airfare, hotel, and per diem.
2. Inflation has been applied to travel costs at a rate of 2.8% annually, beginning in year 2.

Travel requirement for the above advisors and consultants are as follows:
Technical Advisory Committee members and Policy and Technical Consultants will travel and be available for all Executive Committee meetings as required.

The performance level descriptor activities will commence with a three-day meeting of the various committees and consultants. Work will then be done offsite by the consultants with periodic meetings to share the results of work.

6) **Contractual** – Five major services will be provided under contract in the Level 1 Assessment Design budget. These services are site training, item alignment validation, external systems evaluation and quality control, an accommodations study, and the delivery of the summative and interim assessments. Additionally, an advisory committee, consultants, and outside labor to produce the assessment item performance level descriptors will be procured under contract within the Assessment Design Working Group budget.

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
State training/item alignment validation	Contract assumes 12,000 items validated (mix of summative and interim – $10/item, plus $280,000 for training States to conduct item writing and item review sessions).	Contract assumes 12,000 items validated (mix of summative and interim – $10/item, plus $280,000 for training States to conduct item writing and item review sessions)	$400,000
External evaluation and quality control	User acceptance and application testing necessary to ensure that the system meets the needs of the Consortium and provides high-quality assessments and reports to its stakeholders. The contractor(s) will be procured through Washington's procurement process.	$800,000	$800,000
Accommodation study	Build consensus and understanding among members regarding accommodations for ELs and SWDs through research of current approaches, best practices, and clear documentation of the new common system. The contractor(s) will be procured through Washington's procurement process if the associated Enhanced Assessment Grant is not awarded.	$1,500,000 Detailed budget developed	$1,500,000
Technical Advisory Committee	Provide detailed technical advice regarding assessment design, development, administration, and reporting. Advisory Committee will include national experts who will contribute their knowledge and expertise regarding universal design and item writing, psychometrics, accommodations for ELs and SWDs, standard setting, etc.	12 people at $1,500 per day – 24 days	$450,485

Policy and Technical Consultants	Advise Executive Committee and Steering Committee as required. These consultants will assist with small-scale research studies and targeted advice regarding policy questions, technical assessment issues, and information systems as required by the Consortium.	8 people at $1,500 per day – 106 days	$1,329,509
Performance Level Descriptors Consultant – Mathematics	Assist the Consortium in deriving common mathematics achievement level descriptors that will be the basis for the common achievement standards. The consultant will be procured through Washington's procurement process.	$200/hr – 320 hours	$67,634
Performance Level Descriptors Consultant – ELA	Assist the Consortium in deriving common ELA achievement level descriptors that will be the basis for the common achievement standards. The consultant will be procured through Washington's procurement process.	$200/hr – 320 hours	$67,634
Performance Level Descriptors Committee Members	Recommend the most appropriate achievement level descriptors that best describe a vertically articulated progression of student achievement leading up to college- and career-readiness. Members of these panels will include representative educators from the Governing States to be selected by the Executive Committee based on nominations.	18 people across elementary, middle, high school, and higher education in each content area – total of 36 people – $150/day – 9 days	$51,360
Summative assessment	Cost is for delivery of the summative assessment and all components. Total cost encompasses item development, accommodations development, scoring, and psychometrics work, as well as costs that are needed to support all of these functions.	Costs were built up using the test design as the driver. ASG used its proprietary costing model to derive costs using per unit rates, labor and travel assumptions, etc.	$66,726,387
Interim/Benchmark assessment	Cost is for delivery of the Interim/Benchmark Assessment and all components. Total cost encompasses item development, accommodations development, scoring, and psychometrics work, as well as costs that are needed to support all of these functions.	Costs were built up using the test design as the driver. ASG used its proprietary costing model to derive costs using per unit rates, labor, and travel assumptions, etc.	$25,953,940

State training/item alignment validation – An outside vendor will be hired to train educators on how to write items in accordance with the CCSS and the design of the SBAC assessment system. Once items have been written, the vendor will review the items to ensure that they do align to the standards developed as detailed in the CCSS, as well as the assessment system design.

External Evaluation and Quality Control – The external evaluation and quality control vendor will perform user acceptance testing of the assessment system. Numerous "use cases" will be created, and the vendor will test the application and GUI against these cases to ensure that the

system operates as intended. The vendor will run numerous tests to ensure that the system is user friendly and meets the specifications of the Consortium.

Accommodations Study – The study will produce a definition, inclusion policies, practices, and a set of accommodations appropriate for ELs, SWDs, and 504 students that are commonly accepted by educators, researchers, and other stakeholders across the Consortium States.

The Technical Advisory Committee will advise the Steering Committee, Project Management Partner, and Assessment Design Working Group on high-level technical and policy aspects of the assessment. Meetings of these individuals are designed to coincide with Steering Committee meetings.

The Consortium will employ the services of eight additional consultants to advise on a number of issues. These individuals will work more intensely with the Assessment Design Working Group and other working groups and will have deliverables related to the design and development of the actual assessment system. They will be available to attend the Steering committee and other meetings as required.

Once items have been field tested and the assessment system has been well defined, performance level descriptors for the items will be developed. The Consortium anticipates contracting with representatives from the elementary, middle, and high school and higher education and specific experts in mathematics and ELA to develop the descriptors.

Summative and Interim/Benchmark Assessment Contracts – Vendors will be hired to deliver both the summative and interim/benchmark assessments. A write-up of the assessments and cost assumptions follows:

A contractor or contractors will be hired to facilitate the design and development of the summative and interim/benchmark assessments for the Consortium. The estimated costs for development of the summative assessment are budgeted at $67 million, and the interim/benchmark assessment development costs are projected to be $26 million.

After the grant is completed, the per-student operational cost of the summative and interim/benchmark assessments are projected to be $19.81 and $7.50, respectively. These low operational costs reflect the innovative design of the assessment and the power of the Consortium to share the fixed and variable costs of assessment design and the fixed costs of implementation. A computerized adaptive test (CAT), while having high initial item development costs, affords low per-student costs in the operational years. The SMARTER Balanced Assessment Consortium assessment system will be very cost effective for its member States while at the same time delivering a much higher-quality assessment than is currently being delivered to students by the large majority of member States. Due to the strategic use of technology and systems that will increase efficiency for all States (such as use of a Web-based item development system, development of an online delivery platform for administering the assessments, and development and implementation of a centralized system for use in storing all test items and data, conducting psychometric analyses, and reporting assessment results), the Consortium's per-student costs are projected to be lower under this high-quality assessment

system than the costs most member States incur today for their current assessment systems. Once the computer adaptive testing system is in place, costs for printing, shipping, scanning of test books, warehousing, and distribution are eliminated, and ongoing costs are sharply reduced versus those of paper-and-pencil tests.

These projected costs are based on a very specific set of unit-based costs and have been adjusted for inflation in anticipation of the true costs required for 2014–15, assuming an annual inflation rate of 2.8%.

Assessment Development

The Consortium contracted with the Assessment Solutions Group (ASG) to assist in the estimation of the price of its proposed new assessment system. ASG has developed a proprietary assessment cost model, based on real assessment data and the extensive testing-industry experience of the members of the group. The model was used to estimate both the development costs and the ongoing operational costs of the summative and interim/benchmark assessments developed by the Consortium. As required by the Consortium, ASG conducted specific independent research into the potential costs of new testing technologies and development of innovative item types. The Consortium supplied detailed information to ASG regarding the Consortium's approach to governance, the proposed assessment design and administration, and methods of scoring to be used for each item type. All of the key variables required to provide the necessary inputs for the ASG cost model used in generating expected assessment development and operational costs were jointly developed by the Consortium and ASG. An extensive cost analysis was then conducted by ASG in order to maximize the educational benefits of the assessment while minimizing the overall costs of the entire program. This process of data modeling, analysis, cost projection, and review created the most effective design within the available budget. The calculated costs and key assumptions by major functional area are as follows:

Content Development ($56M of assessment development costs)

Item development costs and total items to be developed during the four-year project period are shown in the following table.

		Summative Assessment		Interim/Benchmark Assessment	
	Item Development Costs	Total Item Development	Operational Items Developed	Total Items Developed	Operational Items Developed
Selected Response	$450	11,795	7,7077	6,230	3,738
Constructed Response	$600	2,296	1,378	1,211	727
Technology Enabled	$750	13,146	7,888	6,804	4,082
Performance Events	$2,500	1,309	655	–	–

Note: Performance events from the summative assessment are released and used on the interim/benchmark assessment.

Development Period – Because sufficiently sized item pools are needed for use of a CAT, a formula for the number of operational items required by grade and content area was derived based on the number of content strands in the content area/grade, the minimum number of score

points required per strand, the number of performance levels reported, a factor to take item randomness into account, and the number of opportunities for a student to take the assessment. The total number of items the Consortium anticipates including in the operational pool is sufficient to meet the test blueprint and to accurately measure the full range of student achievement, and is consistent with item pool requirements found in the literature on the design and use of CATs.[8]

The difference in number between the total items developed and operational items developed is based on an assumption regarding the volume of items that are anticipated to "fall out" at various points of review (e.g., content, bias/sensitivity, universal design) and field testing during the life cycle of the items. The total number of items required for development is therefore based on the minimum operational item bank requirements as prescribed by the formula described above, plus additional items necessary to compensate for the anticipated fall-out rate. The assumptions used in the model include a 40% fall-out rate for selected-response, technology-enabled, and constructed-response items, and a 50% fall-out rate for performance events. The fall-out rate for the performance events is based on the experience of several advisors who have expertise in this area.

While the major expense item in this category is the cost of developing the items themselves ($40 million), there are additional expenditures that must be estimated to arrive at total content development costs. Additional content development costs calculated included ancillary development, art procurement, items received from existing State item banks, and the costs for permissions and preparation of a paper-based form. ASG's proprietary cost model contains factors to arrive at these costs.

- Ancillary development includes development of ancillary materials and manipulatives that are required to assist the student in completion of the assessment. These items may include enhancements and tools to the online system including calculators, rulers, protractors, conversion tables, etc. These ancillaries are intended to be online, thus printing and shipping costs are not included. The costs for these items are estimated at $6 million and are based on vendor quoted information, as well as current industry standards. These costs may be incorporated directly into the test delivery application development.

- Typically a certain percentage of mathematics and English language arts items will contain graphic information/art that is procured from various available sources. Typical costs for this art are projected to be $3 million and are included in the content development calculations.

- The cost for States to prepare existing items in their item banks for electronic transfer to the Consortium and the permissions cost for those items are included in the calculations. An assumption was made that 25% of the selected-response items and 15% of the

[8] Kingsbury, G. C. and Hauser, C. (2004). *Computerized adaptive testing and No Child Left Behind*, Northwest Evaluation Association. Paper presented at the annual meeting of the American Educational Research Association. San Diego, CA. See also Oregon Department of Education. (2009). *2008–2009 Technical Report: Oregon's Statewide Assessment System*. Annual Report.

constructed-response items required would be supplied from existing State item banks. All performance events and technology-enhanced items will be developed during the grant period and will not be supplemented by State item banks. The costs for this work are estimated at $3 million.

- Permissions costs for new items developed by the Consortium, in both the development period and the operational period, have been estimated at $4 million and have also been included.

- Finally, as a risk mitigation strategy and as part of the research design to ensure that all students are able to access the system, money is allocated for forms construction costs necessary to prepare a paper backup form for use in the rare circumstances of an online system failure where students would not have access to the CAT or for a small percentage of students that cannot otherwise access the CAT system. New items for this form are also part of the content development expense and are estimated at less than $1 million.

Content Development in the Operational Period – Although not included in the grant budget, estimated costs of the operational system are included in this proposal as evidence of ongoing sustainability. The elements comprising the cost estimate for item development during the operational period are the same as those included for the development period as described above. However, the operational cost estimate must include as additional factors, item release rates (the number of items taken out of the testing system and shared with the general public) and the number of items the Consortium would like to develop (in addition to those required for the operational test) for future use and have stored in an item bank. Consistent with other adaptive assessment systems, the Consortium will release 1% of its operational selected-response, technology-enhanced, and traditional constructed-response items. Beginning in 2014–15, released items from the summative assessment will be incorporated into the interim/benchmark assessment materials for use as resources to teachers for professional development. To replace those items that are released, roughly 10% more items than are required for the operational assessment will be developed in order to build the item bank. Unless research proves otherwise, it is assumed that the performance events will be more memorable and will be released at a rate of 100% each year. The Consortium will maintain a bank of secure operational performance events equal to approximately 30 events per content area per grade.

Item Development Cost Containment Measures – The model assumes standard per item development rates. However, the Consortium will implement strategies that have a strong potential to reduce costs. A proportion of the new items that are developed will be written by teachers from the participating States. These teachers will be trained by the Consortium and will use the item authoring system that will be created for this use. In addition, 25% of the selected-response items and 15% of the constructed-response items will be supplied from existing State item banks. Another important approach that will be used is separating contracts for key services, for example, item development for each of the content areas or for the technology-enabled items and performance events, which has the potential to reduce costs as multiple parties will be able to bid for a specialized large volume of work. Additionally, more than one vendor will be selected to develop items in order to enhance competition once the development contract(s) have been awarded.

Labor-Related Functions ($5M of assessment development costs)

Functions that are largely labor-related and relatively fixed in their nature have been included in the estimate of assessment costs for both the summative and interim/benchmark assessments. ASG maintains labor payroll information based on the U.S. Labor Department database, that includes labor rates for numerous job classifications and categories. Up-to-date labor rates by percentile and region of the country are maintained, allowing ASG to model costs based on anticipated labor rates and region of the country where the work will be performed. Labor costs have been modeled in both the assessment development and operational periods, and the calculation methods and models are virtually identical in both.

- Information Technology – The costs for fully integrating different scoring systems and developing consolidated reports and reporting formats are included in this category. It is anticipated that different scoring systems will be used for selected-response and technology-enhanced items as compared to the scoring systems required for traditional constructed-response items and performance events. To keep the costs affordable to States, artificial intelligence (AI) will be the primary method of scoring the constructed-response items and performance events. Consistent with the Theory of Action, teachers will play an important role in validating the AI scoring by participating in a "read-behind" role during the scoring process. In addition, the Consortium will leverage the read-behinds as a critical professional development opportunity for teachers. For performance events, the Consortium assumes that most of the traits upon which the students will be assessed will be scored via AI; however, the Consortium is budgeting for 1/3 of the performance events points to be rated by teachers in addition to the read-behinds described above to ensure reliable scoring of student work that may not be as effectively evaluated via AI technology. The cost for this labor is estimated at $1.5 million.

- Program Management – Program management labor is provided by the assessment vendor to help ensure that the program is delivered on schedule and with the quality required. Large programs of this nature will have many staff members assigned to the contract to manage the various aspects of the program. (The program management personnel assigned to the contract are exclusive of those in the governance, professional development, system design, etc., functions.) Costs for the program management function are included for the development and operational periods of both the summative and interim/benchmark assessments. The number of personnel required is calculated based on the number of students, States, and domains assessed. The cost of the labor is based on the labor rate tables described previously. The costs for the program management labor are estimated at $1 million.

- Psychometrics – The labor to evaluate the developed items and test results to ensure that the assessments are valid, reliable, and technically sound is included in the psychometrics function. Major activities to be performed by psychometricians assigned to the program include item analysis, Differential Item Functioning (DIF) analysis, computation of reliability indices, equating, scaling (both horizontal and vertical), standard setting, and dimensionality analysis, in addition to validity studies. Psychometricians will attend

critical meetings regarding item content, bias/sensitivity reviews, data reviews, and standard setting, as well as TAC meetings and management and planning sessions. The costs for the psychometric labor are estimated at $2 million and are exclusive of the research agenda and technical consultants.

- Quality Assurance – The labor to review item rendering, online adaptive selection algorithms, scoring systems, and other programs is provided by the vendor's quality assurance/quality control function. The size of the QA team assigned to the contract is based on the number of procedural areas that the vendor and customer elect to closely monitor and the complexity of the data and/or processes to be checked. Typically, the equating/scaling and scoring functions receive the bulk of the quality control attention. The costs for the QA function are estimated at less than $1 million for the development period and are exclusive of the independent quality control that will be conducted by the Consortium.

Online Delivery ($1.5M of assessment development costs)

The costs for an online adaptive test delivery system including scoring of selected-response and computer-enabled items, hosting, maintenance, and other associated system costs have been estimated at $2–$3 per student per year depending on the number of assessments taken by a student. One-time per-test charges to prepare the system, generate the scoring programs, and render the items in the online environment are also included in the one-time online delivery system cost estimates. The data for these assumptions were gathered by ASG staff based on interviews with several online test vendors. A survey was also developed and sent to technology vendors to help estimate future costs for the various technology functions and inputs assumed in the cost projections. Based on the information that was collected, the vendor information was cross-validated, summarized, and presented to the Consortium in order to specify appropriate costs for setting up the online delivery system. This approach is helpful in determining a budget for a testing platform that will be cost effective for the States.

The same assumptions regarding online systems costs are used in both the development and operational assessment periods. Although the costs for the summative and interim/benchmark applications are estimated separately, there is a strong likelihood that the Consortium will be able to reduce costs by selecting a vendor, or otherwise developing a system on its own, that is able to supply a single system that will be scalable, flexible, and robust to meet the summative and interim/benchmark requirements as described in this proposal.

Production, Manufacturing and Distribution ($4M of assessment development costs)

Application support for item-based accommodations (e.g., audio and visual enhancements, refreshable Braille) is included in this part of the assessment cost model. ASG also modeled accommodations costs for the items that will be rendered by the online delivery system. Costs for all of these accommodations can be significant; typical rates quoted from vendors were used in the cost analysis. Over $4 million is budgeted for accommodations. This is in addition to the $1.5 million budgeted in the Assessment Design Working Group budget for an accommodations study to survey the various different accommodations provided to special populations and to develop an inclusive, effective, sustainable and efficient common accommodations policy for the Consortium.

The above assumptions are consistent for both the assessment development and operational periods.

Scoring ($22M of assessment development costs)

Scoring costs are a key component of total assessment costs and much care has been taken to estimate the projected scoring costs as accurately as possible. Several different types of scoring methods will be utilized by the Consortium. Selected-response and technology-enhanced items will be scored by the online test delivery system, constructed-response items and performance events will be scored by both AI and human (teacher) scoring systems. Ten percent of the constructed-response items and one-third of the points associated with performance events in the summative assessment will be doubled-scored by teachers to ensure accuracy of scores and provide teachers with valuable professional development.

The online system will be used to score the selected-response and technology-enhanced items, and those scoring costs are included in the per-student usage fee described above. The following table provides a summary of the scoring methodology for constructed-response items and performance events in the summative assessment.

SBAC Extended Response Scoring Methodology

Summative Assessment				
First Read				
	AI	100%	100%	100%
	Human (Teacher)			
Read behind				
	AI			
	Human (Teacher)	10%	10%	10%
Interim/Benchmark				
First Read				
	AI	67%	67%	67%
	Human (Teacher)	33%	33%	33%
Read behind				
	AI			
	Human (Teacher)	10%	10%	10%

The next table provides a summary of the scoring methodology for constructed-response items and performance events in the interim/benchmark assessment.

SBAC Extended Response Scoring Methodology					
Interim/Benchmark Assessment					
First Read					
	AI		100%	100%	100%
	Human	**(Teacher)**			
Read-behind					
	AI				
	Human	**(Teacher)**	10%	10%	10%
First Read					
	AI		100%	100%	100%
	Human	**(Teacher)**	0%	0%	0%
Read-behind					
	AI				
	Human	**(Teacher)**	5%	5%	5%

Artificial intelligence scoring system costs were estimated based on discussions with vendors. Scoring costs were calculated assuming both fixed-and variable-cost components. The fixed cost/system per-item training fee was estimated at $4,000. This figure represents the cost of gathering papers to cover responses at every score point in the rubric and training the system. Typically about 400 papers per item are required to be created and then input to the AI system. The AI system then scores the actual student responses based on the rubric developed and training papers fed into the system. Per score costs were estimated at $0.20 an item for English language arts and $0.50 for mathematics. The per score costs cover the vendor costs for servers, hosting, and bandwidth. Both of the estimates for the system training and per item fees are lower than current prices for AI systems and represent expectations, after discussions with vendors and results of the technology survey, of future prices and the impact that significant volumes of business will have on price. The estimated cost for AI scoring is $19 million. Calculation methods are the same for both the assessment development and operational periods.

The assumption is that teachers will be paid a stipend of $150 per day to score items. Reader rates (the time it takes to read and score an item) for the constructed-response items were based on ASG proprietary data for these types of items. For the performance events, a conservative estimate was that it will take a teacher six minutes to score each one, on average. This estimate is based on the Consortium's research of these types of items and will help ensure that the budget can support the richness of the performance tasks that are envisioned. These items will be scored on multiple rubrics, and teacher reader rates reflect the extra time necessary to score the performance event items according to the number of rubrics and scoring points associated with them. Training time for teachers has been included as have other related scoring costs. Finally,

an estimate of the ongoing costs for the use of a scoring moderation system to track teacher scores, monitor teacher-scored papers against pre-scored papers and otherwise ensure that the system and scoring quality are operating as planned has been added to the calculated teacher scoring costs. It is assumed that 25% of the teacher scoring cost is for the use of the scoring application. It is estimated that teacher scoring costs will be $3 million in the development period.

The SBAC assessment design allows all students to take the summative and interim/benchmark assessments twice. Scoring calculations have been modeled based on an assumption that 25% of students will take each assessment twice. However, the number of times that each student can access the system is likely limited more by the item bank than by contracts established with vendors. As the item bank grows, it is possible that student access to the assessment system will grow as well. This may be particularly important for the interim/benchmark assessment.

Interim/Benchmark Assessment Cost Containment Measures – A few cost containment measures were taken when designing the interim/benchmark assessment. The performance events used on the interim/benchmark assessment are to be taken from performance items that have been on previous summative assessments and have been released, thus saving AI system training costs. Also, only performance events that can be scored by AI systems will be used on the interim/benchmark assessment in the development period. The cost for teacher scoring of items is calculated the same way in both the assessment development and ongoing operational periods.

Travel ($4.5M of assessment development costs)

Travel costs for development, program management, and scoring are included in the costs of the assessment system. Development travel includes meetings for content, bias/sensitivity, accessibility, and data reviews as well as standard-setting meetings. ASG maintains an up-to-date database based on the GSA travel rate tables to calculate airfares, hotel rates, and per diem allowances. Program management travel has been included to account for trips that the managers of the assessment function require to ensure that the program is carried out as planned. Scoring travel represents the costs to travel for range finding, anchor pulling, and other meetings related to scoring constructed-response items and performance events.

Meeting costs are estimated by the number of people attending each type of meeting and the expected length of the meeting (number of days) for both the assessment development and operational periods.

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40–74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA) and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Level 1 Budget Module – Detailed Table: System Design

Budget Part B: Level 1 Budget Module – Detailed Table Name: System Design					
Budget Categories	**Project Year 1 (a)**	**Project Year 2 (b)**	**Project Year 3 (c)**	**Project Year 4 (d)**	**Total (e)**
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$0	$0	$0	$0	$0
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$337,500	$38,550	$13,210	$13,580	$402,839
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$337,500	$38,550	$13,210	$13,580	$402,839
10. Indirect Costs	$19,950	$2,850	$1,506	$1,548	$25,854
11. Total Costs (add lines 9-10)	$357,450	$41,400	$14,716	$15,128	$428,693
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$357,450	$41,400	$14,716	$15,128	$428,693

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: System Design

Associated Work Plan:

Development of the following scopes of services:

- Test delivery application
- Professional development and curriculum support application
- Item alignment and item writing training
- External evaluation/QC/user acceptance testing
- Web-based item authoring and item banking application
- Reporting and data storage central "Hub" application

Rationale: SBAC is committed to the development of a coherent system in which summative assessments, interim/benchmark assessments, formative tools, and curriculum resources work together to improve teaching and learning. Combining these system elements with the technology required to deliver them comprises the SBAC assessment system. Resources are provided in this area to ensure that any request for services or description of work is clear and comprehensive.

Expenses by Budget Category:

1) Personnel

Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 1 budget request.

6) Contractual

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Test delivery application	Contractor will write a detailed statement of work that addresses the full breadth of test delivery requirements as described in this application and based on consultation with the Executive and Steering Committees. The statement of work will be written consistent with the laws of the State of Washington.	$50,000 contract	$50,000
PD curriculum support development	Contractor will write a detailed statement of work that addresses the full breadth of curriculum support and professional development as described in this application including resources to assist teachers in understanding the aspects of the assessment system. The statement of work will be written consistent with the laws of the State of Washington.	$50,000 contract	$50,000

Item alignment	Contractor will write a detailed statement of work that ensures that there are sufficient resources to support the necessary item writing training, item writing, and item alignment work necessary to deliver the assessment. The statement of work will be written consistent with the laws of the State of Washington.	$50,000 contract	$50,000
External evaluation/audit/QC	Contractor will write a detailed statement of work that ensures that there are sufficient resources devoted to performing quality control and supporting user acceptance testing for the test delivery, "hub," and item banking applications that will be developed and the associated documentation that will be produced in support of the application. The statement of work will be written consistent with the laws of the State of Washington.	$50,000 contract	$50,000
Item banking application	Contractor will write a detailed statement of work that ensures that the item banking application supports the distributed item writing and item review required by the Consortium. The statement of work will be written consistent with the laws of the State of Washington.	$50,000 contract	$50,000
Reporting application and central archive database application, professional development delivery application	Contractor will write a detailed statement of work that ensures that the "hub" is robust and is able to store all of the data that will be necessary to support the analysis and calibration of items and delivery of high-quality reports of student achievement and growth in student achievement. The "hub" will also deliver professional development information to educators. The statement of work will be written consistent with the laws of the State of Washington.	$50,000 contract	$50,000
Cost support	As necessary, consultant advice regarding the cost estimates included as the basis for the statement of work as well as reviews of the bids of contractors to ensure they are within the bounds of industry standards. May be included as part of the Project Management Partner duties.	$2,500/day 40 days	$102,839

Other Advisers – Support for various assessment design and delivery functions
Washington State has followed the procedures for procurement under 34 CFR Parts 74.40 – 74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Level 1 Budget Module – Detailed Table: Research and Evaluation

Budget Part B: Level 1 Budget Module – Detailed Table Name: Research and Evaluation					
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$0	$0	$0	$0	$0
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$0	$1,000,000	$2,000,000	$2,000,000	$5,000,000
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$0	$1,000,000	$2,000,000	$2,000,000	$5,000,000
10. Indirect Costs	$0	$2,850	$2,850	$2,850	$8,550
11. Total Costs (add lines 9-10)	$0	$1,002,850	$2,002,850	$2,002,850	$5,008,550
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$0	$1,002,850	$2,002,850	$2,002,850	$5,008,550

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: Research and Evaluation

Associated Work Plan:

- Collection of evidence of validity
- Research planning activities
- Assessment design and development research
- Pilot of operational assessment
- Operational psychometrics
  - Psychometric evaluation
  - Evaluation activities
  - Data collection strategies
  - Evaluation questions

See also Tables A5-2 and A5-3 for further information.

Rationale: The Consortium has a robust research plan that will be headed by the Research and Evaluation Working Group to ensure that the assessment system has integrity and is characterized by high technical quality, that the measurement components are trustworthy and fair, and that results are useful for the purposes intended.

Expenses by Budget Category:

1) Personnel
Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 1 budget request.

6) Contractual

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Research and Evaluation	The Consortium will procure contractors to engage in the Consortium's extensive research agenda. This includes deriving recommendations on the best approach to measuring growth and investigations of the opportunities for flexibility as described in the proposal including the options for through-course assessments and greater flexibility in test administration conditions.	An independent psychometrician reviewed the Consortium research agenda to estimate the price of providing the research and studies described in Section (A)(5).	$5,000,000

A contract will be issued to a vendor(s) to perform the numerous research studies outlined in section (A)(5) of the document.

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40–74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Level 1 Budget Module – Detailed Table: Professional Capacity and Outreach

Budget Part B: Level 1 Budget Module – Detailed Table Name: Professional Capacity and Outreach					
Budget Categories	**Project Year 1** **(a)**	**Project Year 2** **(b)**	**Project Year 3** **(c)**	**Project Year 4** **(d)**	**Total** **(e)**
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$0	$0	$0	$0	$0
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$0	$1,505,000	$3,010,000	$3,010,000	$7,525,000
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$0	$1,505,000	$3,010,000	$3,010,000	$7,525,000
10. Indirect Costs	$0	$8,550	$8,550	$8,550	$25,650
11. Total Costs (add lines 9-10)	$0	$1,513,550	$3,018,550	$3,018,550	$7,550,650
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$0	$1,513,550	$3,018,550	$3,018,550	$7,550,650

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: Professional Capacity and Outreach

Associated Work Plan Items:

- Hire outside public relations firm
- Build teacher resources in development and scoring of summative, interim/benchmark, and formative assessments
- Build teacher resources in instructional/curriculum support
- Build outreach and communications plans for States
- Develop communications materials for States
- Develop SBAC website

Rationale: Building the professional capacity of teachers and administrators is central to our Theory of Action; therefore, SBAC has a comprehensive plan to involve them at all phases of development and implementation of our balanced assessment system and to provide them with the types of tools and supports that research has shown to be essential to change behaviors of teachers and students in the classroom. We also know that reform will not be successful without strong support outside of schools, so we are committed to implementing a comprehensive program for communicating with a broad set of stakeholders. Professional capacity building and outreach efforts will extend from Consortium member States to districts, schools, and classrooms to promote explicit and meaningful connections between the CCSS, instruction, assessment, and effective data use.

Expenses by Budget Category:

1) Personnel

Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 1 budget request.

6) Contractual

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Professional development, curriculum, and instructional support vendor	Design the teacher professional development, curriculum, and instructional support materials.	Discussions with industry experts	$5,125,000
CCSSO contract	Support States through SCASS and train-the-trainer model. The Consortium will work through CCSSO via its SCASS model to support States in their training efforts around the new assessment system, uses of the system, and reasons for its	Current CCSSO SCASS model. The Consortium	$900,000

	implementation.	will fund two SCASS groups at $15K each for 15 States for two years.	
Communications and public relations firm	Assist the Consortium in providing critical information to stakeholders regarding the new standards, new assessment system, and role of participants in the system, and communicating the value of the new assessment system to all constituents (students, parents, teachers, principals, etc.) within the member States. The communications contract will be solicited through an open procurement consistent with the rules of the state of Washington as described in section (A)(1).	$1,500,000 total budget, with work commencing in year 2 of the grant period	$1,500,000

Professional Development, Curriculum, and Instructional Support Vendor – A contract is estimated at $5.125 million to hire an outside vendor to design the teacher professional development, curriculum, and instructional support materials.

CCSSO Contract – The Consortium will work through CCSSO via its SCASS model to support States in their training efforts around the new assessment system, uses of the system, and reason for its implementation. The Consortium will fund two SCASS groups at $15,000 each for 15 States for two years.

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40–74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Level 1 Budget Module – Detailed Table: Technology

Budget Part B: Level 1 Budget Module – Detailed Table Name: Technology					
Budget Categories	**Project Year 1 (a)**	**Project Year 2 (b)**	**Project Year 3 (c)**	**Project Year 4 (d)**	**Total (e)**
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$32,200	$33,102	$34,028	$34,981	$134,311
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$84,000	$10,686,352	$10,688,770	$5,391,255	$26,850,377
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$116,200	$10,719,454	$10,722,798	$5,426,237	$26,984,689
10. Indirect Costs	$13,247	$25,018	$25,399	$25,791	$89,454
11. Total Costs (add lines 9-10)	$129,447	$10,744,471	$10,748,197	$5,452,028	$27,074,143
12. Other Funds Allocated Toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$129,447	$10,744,471	$10,748,197	$5,452,028	$27,074,143

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: Technology

Associated Work Plan:

- Hire systems integrator to manage and tie together technology applications
- Develop database/hub, data archiving, reporting, and professional development delivery system
- Development of computerized assessment delivery platform
- Development of web-based item authoring, item metadata storage, and item banking application

Rationale: Innovative and efficient use of technology is the hallmark of the SBAC model and serves as the backbone of the proposed assessment system. SBAC asserts that the expanded use of technology will increase student access to and engagement in assessment, lead to more valid and timely assessment results, and lead to efficiencies and enhancements for professional development and resource tools. Specifically, SBAC will

1. Use technology to efficiently deliver training programs, resources, score reports, data, and interactive Web-based social networks designed for teacher use in the development and dissemination of effective curriculum and instructional practices, etc;
2. Create innovative and real-world item types that rely on technology platforms; and
3. Use adaptive item selection engines, drawing on a broad item pool, to ensure that accurate measures of student achievement are possible across a wide performance continuum without undue burden.

Expenses by Budget Category:

1) Personnel

Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 1 budget request.

3) Travel

Meeting Type and Purpose of Meeting	Number of Persons per Trip	Number of Days of Trip	Number of Trips	Average Cost per Trip/Person	Total Cost
State Implementation and IT Technical Committee meetings will be the basis for sharing best practices among States regarding large-scale implementation of assessment applications and to ensure successful project rollout through in-depth planning and problem solving.	7	3	16	$1,199	$134,311

Notes:
1. Travel costs include airfare, hotel and per diem.
2. Inflation has been applied to travel costs at a rate of 2.8% annually, beginning in year 2.

6) **Contractual** – Four major service agreements will be managed under contract in the Level 1 Technology budget. These contracts cover development of the three major systems listed in the following chart and a systems integrator to ensure that the systems work seamlessly together. Additionally, a State Implementation and IT Technical Committee will be formed and composed of outside individuals who will assist the States in systems implementation and provide advice and counsel to the Technology Working Group.

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Database hub/CPU; reporting application and central archive database application, professional development delivery application	Database hub/CPU; reporting application and central archive database application, professional development delivery application	Consultations with industry-knowledgeable technology consultants	$7,500,000
Field test delivery and test delivery application development vendor	Includes leases for servers as required during grant phase; central helpdesk and trouble-shooting	Consultations with industry-knowledgeable technology consultants	$15,000,000
Item writing/banking application	Item writing/banking application	Estimated cost to upgrade existing Michigan system	$2,000,000
IT systems architecture and integration contractor	Ensure that the application development, organization, and scalability meet best practices and will work within the systems as they exist. Will also ensure that there is a coherent vision for future development and enhancements	Consultations with industry-knowledgeable technology consultants	$2,000,000
State implementation and IT Technical Committee	Composed of seven State information systems personnel who can provide advice regarding mitigation of technical barriers that States might encounter while attempting to implement the system.	7 people – $1,500/day 32 days	$350,377

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40--74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Level 1 Budget Module – Detailed Table: Higher Education Engagement

Budget Part B: Level 1 Budget Module – Detailed Table Name: Higher Education Engagement					
Budget Categories	**Project Year 1 (a)**	**Project Year 2 (b)**	**Project Year 3 (c)**	**Project Year 4 (d)**	**Total (e)**
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$91,200	$93,754	$96,379	$99,077	$380,410
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$240,000	$246,720	$253,628	$260,730	$1,001,078
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$331,200	$340,474	$350,007	$359,807	$1,381,488
10. Indirect Costs	$37,757	$38,814	$39,901	$41,018	$157,490
11. Total Costs (add lines 9-10)	$368,957	$379,288	$389,908	$400,825	$1,538,977
12. Other Funds Allocated toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$368,957	$379,288	$389,908	$400,825	$1,538,977

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 1 Budget Module – Detailed Narrative:

Name: Higher Education Engagement

Associated Work Plan:

- Establish Higher Education Advisory Panel
- Establish Higher Education Consultant Group

Rationale: The SMARTER Balanced Assessment Consortium recognizes the importance of working collaboratively with higher education in order to achieve the goal of better preparing students for college. Achieving this goal will benefit higher education over time because students will enter IHE systems having met clear college-ready standards that are common across the Consortium States. The Consortium intends to collaborate with higher education in the creation of student achievement standards that will define "college-ready." This collaboration will ensure that high school graduates will be able to track their readiness for college and careers throughout high school and will reduce the need for remediation within higher education. The Consortium expects that this collaboration will ultimately result in students being college- and career-ready or on track to being college- and career-ready.

Expenses by Budget Category:

1) Personnel

Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 1 budget request.

3) Travel

Meeting Type and Purpose of Meeting	Number of Persons per Trip	Number of Days of Trip	Number of Trips	Average Cost per Trip/ Person	Total Cost
Higher Education Advisory Panel – Quarterly Meeting Travel – Travel will provide opportunities for higher education representatives to meet with K–12 partners and participate in the design and development of the system.	8	3	16	$1,486	$190,205
Higher Education Consultants – Quarterly Meeting Travel – These meetings will be used to resolve complex issues, achieve consensus on high-level topics, and present options for the governing committees to consider as they build the system.	8	3	16	$1,486	$190,205

Notes:

1. Travel costs include airfare, hotel, and per diem.
2. Inflation has been applied to travel costs at a rate of 2.8% annually, beginning in year 2.

The Higher Education Advisory Panel and consultants will travel to meet with relevant constituents and the members of the Steering Committee on a quarterly basis.

6) Contractual

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Higher Education Advisory Panel	Higher education community will be blended with K–12 partners as participants in each of the working groups to ensure that the Consortium creates a seamless approach to college- and career-readiness.	$20,000 per day for the panel of 8	$500,539
Higher Education Consultants	Provide expertise regarding the use of the assessment as part of higher education's placement process. Consultants will review available data and provide suggestions for assessment design, implementation, standard setting, and areas for additional research.	$20,000 per day for the consultants (8)	$500,539

The Higher Education Advisory Panel will focus mainly on defining Consortium policies around the high school assessment and other issues affecting preparing students for college and careers.

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40–74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Finally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Part C: Level 2 Budget Module – Detailed Table

Budget Part C: Level 2 Budget Module – Detailed Table Name: Assessment Design – Translations Priority: 1					
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Total (e)
1. Personnel	$0	$0	$0	$0	$0
2. Fringe Benefits	$0	$0	$0	$0	$0
3. Travel	$0	$0	$0	$0	$0
4. Equipment	$0	$0	$0	$0	$0
5. Supplies	$0	$0	$0	$0	$0
6. Contractual	$0	$625,697	$2,955,722	$6,370,555	$9,951,974
7. Training Stipends	$0	$0	$0	$0	$0
8. Other	$0	$0	$0	$0	$0
9. Total Direct Costs (add lines 1-8)	$0	$625,697	$2,955,722	$6,370,555	$9,951,974
10. Indirect Costs	$0	$14,250	$14,250	$14,250	$42,750
11. Total Costs (add lines 9-10)	$0	$639,947	$2,969,972	$6,384,805	$9,994,724
12. Other Funds Allocated Toward this Work	$0	$0	$0	$0	$0
13. Total Funds Requested (subtract line 12 from line 11)	$0	$639,947	$2,969,972	$6,384,805	$9,994,724

Notes:

1. Based on its Indirect Cost Rate (ICR) agreement with USED, Washington can claim indirect costs against all expenditures per a set rate with the exception of contracts and sub-grants awarded within the grant. For contracts, Washington can claim indirect costs at the set rate against the first $25,000 of the contract value on a yearly basis. For sub-grants that might be awarded, Washington cannot claim any indirect costs. For purposes of the budget submission, indirect costs were calculated using Washington's ICR agreement (Agreement No. 2010-040) rate of 11.4%.
2. All calculations are done in fractional dollars and rounded to the nearest whole dollar for presentation in tables. As a result, small rounding differences may occur.

Level 2 Budget Module – Detailed Narrative:

Name: Translations

Associated Work Plan:
Develop five language translations, including sign language, of the Consortium's mathematics summative and interim/benchmark assessments.

Priority: Several research-based accommodation strategies exist for States to increase access for EL students. These include modified language, use of dictionaries/glossaries, and for a growing number of states, translation into the student's native language. The effectiveness of each of these strategies interacts with student background characteristics. For example, Sato et al., (2010) found that language modification works effectively for students at the upper end of the ELP continuum. Those at the lower end do not have sufficient English language skills to find value from even simplified text and will more likely benefit from being tested in their native language.

SBAC members are focusing on mathematics as the content area for translation. This is based on the belief that an "English" language arts test should be assessed in English. (Several of our States require that in statute or regulation.) Translating the mathematics assessments seems more appropriate to the extent that the test focuses on the "mathematics" knowledge and skills inherent in the CCSS. The Research and Evaluation Working Group will include as part of its work plan the development and implementation of comparability studies to ensure that student level and other accountability decisions made across the various language assessments are equally valid.

SBAC proposes to offer to member States the option to administer the summative and interim/benchmark assessments to a large majority of their non-English speaking students in their native languages. Additionally, some students with hearing or other disabilities will require the test to be administered via sign language. This Level 2 budget module provides the funds to translate the mathematics assessments into five different languages, including sign language. A survey of States indicates that selecting Spanish and up to four other languages will result in approximately 92% of ELs having the native language assessment opportunity. While 100% would be more desirable, the budget implications for translation beyond this first level greatly exceed the Level 2 budget limit.

In addition to Spanish, the next three languages and specific sign language will be determined by an examination of the required Home Language Survey for ELs across the member States. In addition to the summative and interim/benchmark assessment items and performance events, this request also includes all reports and ancillary materials.

Expenses by Budget Category:

1) **Personnel** – Consortium labor associated with this working group budget will be composed of existing personnel. Therefore, the Consortium has not added any incremental labor costs to its Level 2 budget request.

6) **Contractual** – It is anticipated that five different vendors may be required to perform this function—one for each of the language translations, as well as sign language.

Contract Services Required	Detailed Description of Services	Basis for Cost Estimates	Total Cost
Mathematics translation	Translation of mathematics summative and interim/ benchmark assessments into four languages plus sign language.	Costs are based on per-word rates as well as re-composition costs for items as quoted by vendors. Costs also include a reporting capability ($125,000) and ancillary development.	$9,951,974

Washington State has followed the procedures for procurement under 34 CFR Parts 74.40–74.48 and Part 80.36, and is consistent with Part II.F of this application. In addition, the Consortium's plan for managing funds received under this grant category will be governed by the laws and rules of the State of Washington, as the Lead Procurement State, and in accordance with 34 CFR 80.36. Additionally, Washington is prepared to follow the guidelines for grant management associated with the American Recovery and Reinvestment Act (ARRA), and will be legally responsible for the use of grant funds and for ensuring that the project is carried out by the Consortium in accordance with Federal requirements. Washington has already established an ARRA Quarterly reporting system (also referred to as 1512 Reporting).

Appendix A8-7: Survey of Operational Costs for SBAC States

	Estimated Annual Contracted Expenditures for Mathematics and ELA Assessment		2009-10 October 1st Enrollment of Students		Are these funds used for formative and/or interim benchmark assessments?	Total $	Total Student Count	Per student Cost
	General Funds	Federal Funds	Grades 3-8	Grade 11				
1 Alabama	$6,600,000	$4,200,000	350,152	50,199	No	$10,800,000	400,351	27
2 Colorado	$13,404,750	$1,095,250	366,895	57,834	No	$14,500,000	424,729	34
3 Connecticut	$7,250,000	$6,350,500	240,000	43,000	No	$13,600,500	283,000	48
4 Delaware	$2,500,000	$1,700,000	57,461	8,727	No	$4,200,000	66,188	63
5 Georgia	$5,549,609	$9,000,000	768,545	122,022	No	$14,549,609	890,567	16
6 Hawaii	$8,699,540	$2,259,441	79,997	14,246	No	$10,958,981	94,243	116
7 Idaho	$1,216,000	$3,648,000	127,799	20,105	No	$4,864,000	147,904	33
8 Iowa	$2,496,270	$3,100,000	210,322	36,805	No	$5,596,270	247,127	23
9 Kansas	$587,388	$2,537,514	268,569	44,762	Yes	$3,124,902	313,331	10
10 Kentucky	$5,032,800	$3,355,200	302,400	46,900	No	$8,388,000	349,300	24
11 Maine	$3,116,856	$3,621,015	84,113	14,052	No	$6,737,871	98,165	69
12 Michigan	$16,246,817	$3,146,789	794,485	137,365	Yes	$19,393,606	931,850	21
13 Missouri	$0	$5,575,000	407,934	67,612	No	$5,575,000	475,546	12
14 Montana	$0	$2,639,235	64,160	10,741	No	$2,639,235	74,901	35
15 Nevada	$2,706,926	$3,738,135	201,552	28,043	No	$6,445,061	229,595	28
16 New Hampshire	$1,350,000	$1,750,000	90,012	15,794	No	$3,100,000	105,806	29
17 New Jersey	$20,725,000	$9,760,000	623,149	98,605	Yes	$30,485,000	721,754	42
18 New Mexico	$9,181,525	$3,345,000	149,521	22,448	No	$12,526,525	171,969	73
19 North Carolina	$3,400,000	$3,500,000	679,358	98,359	No	$6,900,000	777,717	9
20 North Dakota	$621,250	$3,020,500	45,439	8,015	No	$3,641,750	53,454	68
21 Ohio	$37,300,000	$8,400,000	801,338	139,010	No	$45,700,000	940,348	49
22 Oklahoma	$6,526,259	$5,745,774	283,189	42,578	No	$12,272,033	325,767	38
23 Oregon	$2,216,250	$2,216,250	258,425	43,422		$4,432,500	301,847	15
24 Pennsylvania	$18,355,505	$9,177,752	798,088	140,893	No	$27,533,257	938,981	29
25 South Carolina	$9,593,658	$5,400,000	324,049	55,452	No	$14,993,658	379,501	40
26 South Dakota	$1,900,000	$3,600,000	60,000	10, 000	yes	$5,500,000	60,000	92
27 Utah	$383,000	$1,597,000	263,399	38,404	No	$1,980,000	301,803	7
28 Vermont	$0	$1,653,258	40,869	7,966	No	$1,653,258	48,835	34
29 Washington	$18,062,000	$4,555,000	450,000	75,000	No	$22,617,000	525,000	43
30 West Virginia	$4,000,000	$4,000,000	123,167	19,118	Yes	$8,000,000	142,285	56
31 Wisconsin	$2,700,000	$5,300,000	265,000	68,000	No	$8,000,000	333,000	24
Total	**$211,721,403**	**$128,986,613**	**9,579,387**	**1,575,477**		**$340,708,016**	**11,154,864**	**$31**

Appendix CPP-1: IHE Letters of Intent

Following this page are IHE letters of intent for the following SBAC States:

SBAC States (Governing States are identified with an asterisk.)	
1. Washington *	2. Missouri *
3. Connecticut *	4. Nevada *
5. Utah *	6. Idaho *
7. Maine *	8. Wisconsin *
9. North Carolina *	10. Oregon *
11. New Mexico *	12. Hawaii *
13. –	14. Kansas *
15. Michigan *	16. Montana *
17. West Virginia *	18. Ohio
19. Iowa	20. South Carolina
21. South Dakota	22. Colorado
23. North Dakota	24. Delaware
25. Alabama	26. Kentucky
27. New Hampshire	28. Pennsylvania
29. Oklahoma	30. New Jersey
31. Georgia	

Note: Direct matriculation numbers provided in the letters of intent were used in the Summary Table for the Competitive Preference Priority only when they were confirmed to reflect reasonably accurate data, as confirmed by either the NCES IPEDS and/or IHE websites. The main data source for matriculation numbers in the Summary Table is IPEDS, as described in the narrative for the Competitive Preference Priority.

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
WASHINGTON	Central Washington University	1,555	
	Eastern Washington University	1,488	
	The Evergreen State College	659	
	University of Washington - Seattle	5,510	
	Washington State University	3,679	
	Western Washington University	2,667	16,735

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name:
WASHINGTON

State's higher education executive officer, if State has one (Printed Name):
Don Bennett
Interim Executive Director, Higher Education Coordinating Board

Telephone:
(360) 753-7800

Signature State's higher education executive officer, if State has one:

Date:
6-18-2010

President or head of each participating IHE or IHE system, (Printed Name): Rodolfo Arévalo
Chair, Council of Presidents

Telephone:
(509) 359-2371

Signature of president or head of each participating IHE or IHE system:

Date:
6-17-2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): **Steven J. Kurtz, President, Mineral Area College**	Telephone: **573-518-2146**
Signature of president or head of each participating IHE or IHE system: Steven Kurtz	Date: 6/3/2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: **Missouri**	
State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Raymond V. Cummiskey President Jefferson College	Telephone: 636-797-3000 x100
Signature of president or head of each participating IHE or IHE system: Raymond V. Cummiskey	Date: 6-3-10

MO-2

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Missouri**	
State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): **Aaron Podolefsky, Ph.D., President, University of Central Missouri**	Telephone: **660-543-4112**
Signature of president or head of each participating IHE or IHE system: Aaron Podolefsky	Date: **June 7, 2010**

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Missouri**	
State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): Marsha K. Drennon, State Fair Community College	Telephone: (660) 596-7223
Signature of president or head of each participating IHE or IHE system: Marsha K Drennon	Date: 6/2/2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Missouri**	
State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): Donald Claycomb Linn State Technical College	Telephone: (573) 897-5141
Signature of president or head of each participating IHE or IHE system: Donald Claycomb	Date: 6-4-10

(c) Partner IHE or IHE System Signature Blocks

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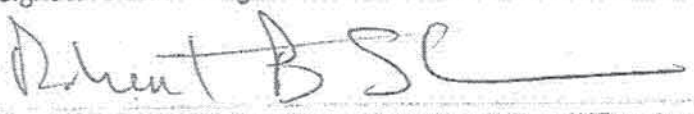
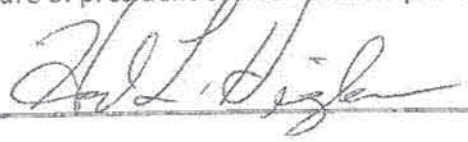
State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: 	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): Ozarks Technical Community College DR. HAL L. HIGDON, PRESIDENT	Telephone: 417-447-2601
Signature of president or head of each participating IHE or IHE system: 	Date: 6/2/10

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education** Telephone: **573-751-1876**

Signature, State's higher education executive officer, if State has one: Date:

Michael T. Nietzel 417 836 5051

President or head of each participating IHE or IHE system, (Printed Name): Missouri State University Telephone: 6/4/10

Signature of president or head of each participating IHE or IHE system: Date:

(c) Partner IHE or IHE System Signature Blocks

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**

Telephone: **573-751-1876**

Signature State's higher education executive officer, if State has one:

Date: 6/9/10

President or head of each participating IHE or IHE system, (Printed Name): ZELEMA HARRIS

St. Louis Community College System

Telephone: (314-539-5140

Signature of president or head of each participating IHE or IHE system:

Date: 6/2/10

(c) Partner IHE or IHE System Signature Blocks

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State Name: **Missouri**	
State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/14/10
President or head of each participating IHE or IHE system, (Printed Name): University of Missouri - Columbia & Kansas City Gary Forsee	Telephone: (573) 882-2011
Signature of president or head of each participating IHE or IHE system: Gary D. Forsee	Date: 6/5/10

(c) Partner IHE or IHE System Signature Blocks

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**

Telephone: **573-751-1876**

Signature State's higher education executive officer, if State has one:

Robert B Stein

Date: 6/14/10

President or head of each participating IHE or IHE system, (Printed Name): Chancellor Thomas F. George
University of Missouri-St. Louis

Telephone: 314-516-5252

Signature of president or head of each participating IHE or IHE system:

Thomas F George

Date: June 4, 2010

(c) Partner IHE or IHE System Signature Blocks

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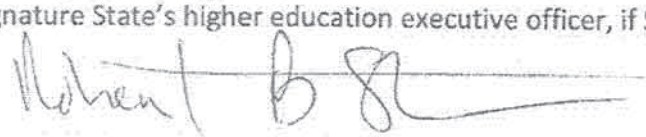
State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**

Telephone: **573-751-1876**

Signature State's higher education executive officer, if State has one:



Date: 6/14/10

President or head of each participating IHE or IHE system, (Printed Name): **Robert A. Vartabedian, President**
Missouri Western State University

Telephone: **816-271-4237**

Signature of president or head of each participating IHE or IHE system:

Date: **June 7, 2010**

(c) Partner IHE or IHE System Signature Blocks

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**

Telephone: **573-751-1876**

Signature State's higher education executive officer, if State has one: Robert B Stein

Date: 6/14/10

President or head of each participating IHE or IHE system, (Printed Name): Missouri Southern State University

Bruce W. Speck

Telephone: 417. 625. 9501

Signature of president or head of each participating IHE or IHE system: Bruce W. Speck

Date: 6/7/2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: **Missouri**	
State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/14/10
President or head of each participating IHE or IHE system, (Printed Name): Kenneth W. Dobbins, President Southeast MO State Univ	Telephone: 573-651-2222
Signature of president or head of each participating IHE or IHE system:	Date: June 7, 2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B. Stein	Date: 6/14/10
President or head of each participating IHE or IHE system, (Printed Name): Jackie Snyder, Metropolitan Community College	Telephone: (816) 604-1011
Signature of president or head of each participating IHE or IHE system: Jackie Snyder	Date: 6/10/10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): Marianne E. Inman, President, Central Methodist University	Telephone: 660/248-6221
Signature of president or head of each participating IHE or IHE system: Marianne E. Inman	Date: 6/7/2010

(c) Partner IHE or IHE System Signature Blocks

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one: Robert B Stein	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): George B. Forsythe, President, Westminster College	Telephone: (573) 592-5315
Signature of president or head of each participating IHE or IHE system: George B Forsythe	Date: June 1, 2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Missouri**

State's higher education executive officer, if State has one (Printed Name): **Robert B. Stein, Commissioner of Higher Education**	Telephone: **573-751-1876**
Signature State's higher education executive officer, if State has one:	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): Ronald A. Sleptich, Avila University	Telephone: 816-501-3750
Signature of president or head of each participating IHE or IHE system:	Date: 6-2-2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Connecticut Community Colleges	7,780	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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State Name:

Connecticut

State's higher education executive officer, if State has one (Printed Name):

Michael P. Meotti

Telephone:

860/947-1801

Signature State's higher education executive officer, if State has one:

Michael P. Meotti

Date:

6/7/10

President or head of each participating IHE or IHE system, (Printed Name): Marc Herzog, Chancellor, CT. Community Colleges
(Paul Susen, Chief Academic Officer, CT. Community Colleges)

Telephone:
860-244-7601
860-244-7612

Signature of president or head of each participating IHE or IHE system:

Paul A Susen for Marc Herzog

Date:

6-7-10

Connecticut State University System
39 Woodland Street • Hartford, CT 06105-2337 • (860) 493-0013 • www.ctstateu.edu

Office of the Chancellor

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

The **Connecticut State University System** commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

Connecticut State University System
39 Woodland Street ▪ Hartford, CT 06105-2337 ▪ (860) 493-0013 ▪ www.ctstateu.edu

Office of the Chancellor

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Connecticut	Central Connecticut State University	1874	
	Eastern Connecticut State University	1120	
	Southern Connecticut State University	2083	
	Western Connecticut State University	1085	
	TOTAL SYSTEM WIDE	6162	

Connecticut State University System
39 Woodland Street • Hartford, CT 06105-2337 • (860) 493-0013 • www.ctstateu.edu

Office of the Chancellor

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Connecticut**	
State's higher education executive officer, if State has one (Printed Name): **Michael Meotti, Commissioner** **Connecticut Department of Higher Education**	Telephone: **(860) 947-1801**
Signature State's higher education executive officer, if State has one: Michael Meotti	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): **David G. Carter, Ph.D.** **Chancellor, Connecticut State University System**	Telephone: **(860)493-0011**
Signature of president or head of each participating IHE or IHE system: David G. Carter	Date: **June 4, 2010**

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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Each IHE or IHE system commits to the following agreements:

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
CT	University of Connecticut	4,858- 4,362	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Connecticut	
State's higher education executive officer, if State has one (Printed Name): Michael P. Meotti	Telephone: 860/947-1801
Signature State's higher education executive officer, if State has one: Michael P. Meotti	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Peter J. Nicholls, Provost, University of Connecticut	Telephone: 860.486.4037
Signature of president or head of each participating IHE or IHE system: Peter Nicholls	Date: 6/4/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Nevada	Nevada System of Higher Education	10,814	10,814

(c) Partner IHE or IHE System Signature Blocks

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State Name: Nevada — Nevada System Of Higher Education	
State's higher education executive officer, if State has one (Printed Name): Daniel Klaich, Chancellor	Telephone: 775-784-4901 x3224
Signature State's higher education executive officer, if State has one:	Date: 06-02-10
President or head of each participating IHE or IHE system, (Printed Name):	Telephone:
Signature of president or head of each participating IHE or IHE system:	Date:

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
UTAH	All institutions in the Utah System of Higher Education: University of Utah, Utah State University, Weber State University, Southern Utah University, Snow College Dixie State College, College of Eastern Utah, Utah Valley University, Salt Lake Community College	19,252	19,953
	Utah College of Applied Technology (UCAT): Bridgerland Applied Technology College, Davis Applied Technology College, Dixie Applied Technology College, Mountainland Applied Technology College, Southwest Applied Technology College, and Uintah Basin Applied Technology College		4,278
Total	100% reporting		**24,231**

(c) Partner IHE or IHE System Signature Blocks

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State Name: Utah - William A. Sederburg	
State's higher education executive officer, if State has one (Printed Name): Utah System of Higher Education	Telephone: 801-321-7102
Signature State's higher education executive officer, if State has one:	Date: June 2ND, 2010
President or head of each participating IHE or IHE system, (Printed Name): N/A	Telephone:
Signature of president or head of each participating IHE or IHE system:	Date:

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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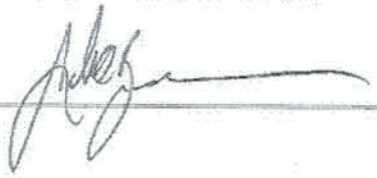
State Name: Utah

President or head of each participating IHE or IHE system, (Printed Name): Robert O. Brems, President
Utah College of Applied Technology

Telephone: (801) 955-2170

Signature of president or head of each participating IHE or IHE system:



Date: June 3, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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(a) Detail the responsibilities of the IHE or IHE system

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Idaho	Boise State University	2,576	8,902
	College of Southern Idaho	1,295	
	Eastern Idaho Technical College	76	
	Idaho State University	1,551	
	Lewis-Clark State College	648	
	North Idaho College	1,047	
	University of Idaho	1,709	
	College of Western Idaho	*Opened in 2009	

Note: Data was compiled from the National Center for Education Statistics database and represents all students who matriculated in 2008-2009.

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: IDAHO, Boise State University	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 8526803
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Robert W. Kustra	Telephone: 6-1-10
Signature of president or head of each participating IHE or IHE system: Robert Kustra	Date: (208) 426-1491

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: IDAHO, College of Southern Idaho	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0803
Signature State's higher education executive officer, if State has one:	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Gerald L Beck	Telephone: (208) 732-6601
Signature of president or head of each participating IHE or IHE system:	Date: 6-2-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: IDAHO, Eastern Idaho Technical College	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0803
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Burton Waite	Telephone: (208) 524-3000
Signature of president or head of each participating IHE or IHE system: Burton Waite	Date: 1 June 2010

(c) Partner IHE or IHE System Signature Blocks

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State Name: IDAHO, Idaho State University	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0803
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Arthur C. Vailas, President	Telephone: 208-282-2566
Signature of president or head of each participating IHE or IHE system: Arthur Vailas	Date: 6/4/2010

(c) Partner IHE or IHE System Signature Blocks

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State Name: IDAHO , Lewis-Clark State College	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0805
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Dene Thomas, LCSC	Telephone: 208-792-2216
Signature of president or head of each participating IHE or IHE system: Dene Thomas	Date: 6-1-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: IDAHO, North Idaho College	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0803
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Priscilla J. Bell, President	Telephone: (208) 769-3303
Signature of president or head of each participating IHE or IHE system: Priscilla J. Bell	Date: 6-1-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: IDAHO, University of Idaho	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0803
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): M. Duane Nellis	Telephone: 208-885-6365
Signature of president or head of each participating IHE or IHE system: M Duane Nellis	Date: 6-3-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: IDAHO, College of Western Idaho	
State's higher education executive officer, if State has one (Printed Name): Richard Westerberg	Telephone: (208) 852-0803
Signature State's higher education executive officer, if State has one: Richard Westerberg	Date: 6-2-10
President or head of each participating IHE or IHE system, (Printed Name): Berton L. Glandon	Telephone: 208 562-3200
Signature of president or head of each participating IHE or IHE system: Berton L. Glandon	Date: 6-1-10

MAINE MARITIME ACADEMY
CASTINE, MAINE 04420
207 / 326-2220

OFFICE OF THE PRESIDENT

June 7, 2010

Carol Whang
WestEd
730 Harrison Street
San Francisco, CA 94107-1242

RE: Letter of Intent for Institutes of Higher Education
SMARTER Balanced Assessment Consortium
Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application
CFDA Number: 84.395B

Dear Ms. Whang:

It is the intent of Maine Maritime Academy to participate in the following:

a. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and
b. Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the Institution of Higher Education of Institution of Higher Education System.

Thank you for the opportunity to participate in this initiative.

Sincerely,

John Barlow
V.P. For Academic Affairs

Enc.

ME-1

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
MAINE	MAINE MARITIME ACADEMY	866	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: MAINE

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): John Barlow, Maine Maritime Academy	Telephone: (207) 326-2371
Signature of president or head of each participating IHE or IHE system:	Date: 6/8/10

Maine's Public Universities

UNIVERSITY OF MAINE SYSTEM

Office of the Chancellor
16 Central Street
Bangor, ME 04401-5106

Tel: 207-973-3205
Fax: 207-973-3221
TDD/TDY: 207-973-3262
www.maine.edu

May 17, 2010

The Honorable Arne Duncan
Secretary of Education
US Department of Education
400 Maryland Avenue, S.W.
Washington, D.C. 20202

Dear Secretary Duncan:

The University of Maine

University of Maine at Augusta

University of Maine at Farmington

University of Maine at Fort Kent

University of Maine at Machias

University of Maine at Presque Isle

University of Southern Maine

As Chancellor of the University of Maine System, I am writing to express support for the educational goals that Maine's Governor John Baldacci and our Department of Education have put forward for the schools of our state. These goals are the foundation of Maine's Race To The Top application, and they will transform teaching and learning in Maine for years to come.

Several elements of Maine's Race To The Top application will strengthen our ability to create learning environments in which all of Maine's students have the opportunity to realize their full potential. Maine's plan will:

- Strengthen and expand quality standards and assessments for teaching and learning by implementing a balanced assessment system *of* learning and *for* learning that informs instructional practice, while providing support structures for all students to achieve the standards;
- Implement and use longitudinal data systems to support teaching and learning by measuring student growth and informing instruction;
- Support mentoring for teachers and leaders to create the personal journey required for the success of next generation learners; and
- Improve student achievement through whole school improvement of all schools, especially those recognized as previously low-performing.

The Race To The Top grant program presents a great opportunity for the State of Maine and its students. An educational reform effort of this magnitude needs strong partnerships among educators, parents, students, administrators, local school boards, community leaders, and State policy makers. The Maine Department of Education is committed to this essential work and the University of Maine System looks forward to our continued partnership with the Department as we prepare our students for successful careers and citizenship.

Sincerely,

Richard L. Pattenaude
Chancellor, University of Maine System

cc: Governor John Baldacci
Senator Susan Collins
Senator Olympia Snowe

ME-4

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name:
Maine

State's higher education executive officer, if State has one (Printed Name): **Richard L. Pattenaude, Chancellor**
University of Maine System
16 Central Street, Bangor, ME 04401

Telephone: **207-973-3205**

Signature State's higher education executive officer, if State has one:

Date: **June 8, 2010**

President or head of each participating IHE or IHE system, (Printed Name):

Telephone:

Signature of president or head of each participating IHE or IHE system:

Date:

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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(c) Partner IHE or IHE System Signature Blocks

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State Name: Maine	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): JOHN FITZSIMMONS, SYSTEM PRESIDENT MAINE COMMUNITY COLLEGE SYSTEM	Telephone: 207-629-4000
Signature of president or head of each participating IHE or IHE system: John A Fitzsimmons	Date: 6/9/10

UNIVERSITY OF WISCONSIN SYSTEM

Office of the President

1720 Van Hise Hall
1220 Linden Drive
Madison, Wisconsin 53706-1559
(608) 262-2321
(608) 262-3985 Fax

email: kreilly@uwsa.edu
website: http://www.wisconsin.edu

June 1, 2010

To: Tony Evers, State Superintendent of Public Instruction
SMARTER Balanced Assessment Consortium

From: Kevin P. Reilly, President

Subject: Race to the Top Comprehensive Assessment Systems Grant Application

I am pleased to inform you that the University of Wisconsin System will participate in the SMARTER Balanced Assessment Consortium. Attached is the signed Letter of Intent for Institutes of Higher Education. The University of Wisconsin System looks forward to working with K-12 and higher education partners from the participating states in developing assessments that measure student achievement against standards designed to ensure that all students gain the knowledge and skills needed to succeed in college and the workplace. This is certainly a goal that will benefit institutes of higher education and secondary education, but even more importantly, our students.

Our overall goal is to prepare high school students for college level coursework, and reduce the need for remediation. It is our hope that the summative assessments will encourage curriculum development that will better prepare students to be successful in college and the workplace. It is important to note that while the University of Wisconsin System is committed to the development of a new high school summative assessment tool, it is critical that this assessment tool be used along with placement tests and other measures to place students in courses where they can be successful. The University of Wisconsin System looks forward to being at the table in the development of assessments that allow us to achieve these goals.

I want to compliment both the Wisconsin Department of Public Instruction and the SMARTER Balanced Assessment Consortium for your leadership in this Grant Application. The University of Wisconsin System looks forward to being an active partner in this important endeavor.

WI-1

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Wisconsin	University of Wisconsin System	24,000	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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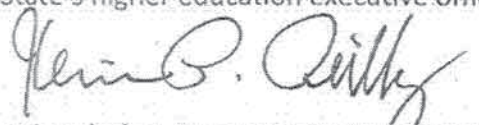
State Name:
Wisconsin

State's higher education executive officer, if State has one (Printed Name): Kevin P. Reilly

Telephone: (608) 262-2321

Signature State's higher education executive officer, if State has one:



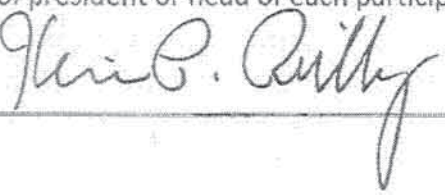
Date: 6/1/10

President or head of each participating IHE or IHE system, (Printed Name): Kevin P. Reilly

University of Wisconsin System

Telephone: (608) 262-2321

Signature of president or head of each participating IHE or IHE system:



Date: 6/1/10

WISCONSIN
TECHNICAL COLLEGE
SYSTEM

June 3, 2010

Tony Evers
State Superintendent
Department of Public Instruction
PO Box 7841
Madison, WI 53707-7841

Dear Superintendent Evers:

The Wisconsin Technical College System welcomes the opportunity to collaborate with other educational partners across the state and the nation as part of the SMARTER Balanced Assessment Consortium. Attached is the signed Letter of Intent representing WTCS support.

A common goal at both the secondary and postsecondary level in Wisconsin is to prepare students for the 21st century. Ensuring that students are able to enter college without remediation will maximize student success not only in their pursuit of a postsecondary credential but also in the workplace. In a time of tight resources and a rapidly changing global economy, Wisconsin needs a workforce that is highly-skilled and adaptable and strong educational partnerships are critical to putting our economy back on track.

To that end, the WTCS looks forward to participating in the design and development of high school summative assessments in mathematics and English language arts which support college and career-ready preparedness across the K-12 and postsecondary institutions. We are hopeful that this tool, when used in concert with placement tests and other assessment strategies, will complement and further the work of the 16 technical colleges as they seek to meet the needs of the citizens of Wisconsin.

Thank you again for this opportunity to work and learn with other states as we develop assessments that support student attainment of the knowledge and skills necessary for Wisconsin students to compete in the global economy.

Sincerely,

Dan Clancy

Dan Clancy
President

Attachment

Daniel Clancy, President
4622 University Avenue PO Box 7874 Madison, Wisconsin 53707-7874 608.266.1207
TTY: 608.267.2483 Fax: 608.266.1690
www.wtcsystem.edu www.witechcolleges.org

WI-5

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Wisconsin	Wisconsin Technical College System	32,000	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: Wisconsin	
State's higher education executive officer, if State has one (Printed Name): Daniel Clancy	Telephone: 608-266-7983
Signature State's higher education executive officer, if State has one: Daniel Clancy	Date: 6/3/10
President or head of each participating IHE or IHE system, (Printed Name): Wisconsin Technical College System Daniel Clancy	Telephone: 608-266-7983
Signature of president or head of each participating IHE or IHE system: Daniel Clancy	Date: 6/3/10

ALVERNO COLLEGE
BELOIT COLLEGE
CARDINAL STRITCH UNIVERSITY
CARROLL UNIVERSITY
CARTHAGE COLLEGE
CONCORDIA UNIVERSITY
EDGEWOOD COLLEGE
LAKELAND COLLEGE
LAWRENCE UNIVERSITY
MARIAN UNIVERSITY

WAICU
WISCONSIN ASSOCIATION OF INDEPENDENT COLLEGES AND UNIVERSITIES

MARQUETTE UNIVERSITY
MILWAUKEE INSTITUTE OF ART & DESIGN
MILWAUKEE SCHOOL OF ENGINEERING
MOUNT MARY COLLEGE
NORTHLAND COLLEGE
RIPON COLLEGE
ST. NORBERT COLLEGE
SILVER LAKE COLLEGE
VITERBO UNIVERSITY
WISCONSIN LUTHERAN COLLEGE

May 27, 2010

Dr. Tony Evers, State Superintendent
Department of Public Instruction
125 S. Webster Street
P O Box 7841
Madison, WI 53707-7841

Dear Dr. Evers,

The Wisconsin Association of Independent Colleges and Universities (WAICU) has always been committed to the highest possible educational standards and assessment systems in support of elementary and secondary student achievement and college readiness. WAICU will be "at the table" as an active voluntary participant in future collaborative efforts with our partners at the Department of Public Instruction, the University of Wisconsin System, and the Wisconsin Technical College System.

We strongly support the development of new assessment systems and the continuous improvement of existing systems that measure student knowledge and skills against college- and career-ready standards in mathematics and English language arts. Faculty from WAICU-member colleges and universities and staff from the WAICU office have served on myriad task forces, boards, and committees and devoted countless hours to establishing meaningful comprehensive educational standards. For example, WAICU was a full partner in developing the "PI-34" regulations for teacher education. To cite another example, math professors from WAICU-member institutions currently serve on a tri-sector task force (representing the University of Wisconsin, the Wisconsin Technical College System, and WAICU) convened by the Department of Public Instruction that seeks to establish a common standard for the knowledge and skills required to be ready for credit-bearing math courses at the postsecondary level.

WAICU commits to work closely with the Wisconsin Department of Public Instruction, our higher education counterparts in the state, and the SMARTER Balanced Assessment Consortium in the design and development of high school summative assessments in mathematics and English Language arts for the purpose of measuring college readiness.

As the president of WAICU, I co-chair the Wisconsin PK-16 Leadership Council with the State Superintendent of Public Instruction, the president of the University of Wisconsin System, and the president of the Wisconsin Technical College System. The watchword of the Council has been "seamlessness," and a major emphasis has been improving transitions between secondary and postsecondary education. WAICU's history of collaboration and collegiality speaks to our willingness to work together on new opportunities and challenges.

Please call on me if I can help in any way.

Sincerely,

Rolf Wegenke, Ph.D.
President

122 W. Washington Avenue, Suite 700
Madison, WI 53703-2723
www.waicu.org

ROLF WEGENKE, Ph.D.
President

Telephone 608.256.7761
FAX 608.256.7065
mail@waicu.org

WI-9

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
North Carolina			*
	University of North Carolina (system)	127,125	

*Note: Since all public four-year direct matriculated students are in the UNC system the percent is 100% for four-year public colleges; all public two-year enrollments are in the NC Community College System so between the two systems in NC, one hundred percent of public direct matriculated students are in the two systems. The number in the last column for public higher education would be the combination of UNC and NCCCS direct matriculated students.

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: North Carolina	
State's higher education executive officer, if State has one (Printed Name): Erskine Bowles	Telephone: 919 962-4622
Signature State's higher education executive officer, if State has one:	Date: 6/4/2010
President or head of each participating IHE or IHE system, (Printed Name): Erskine Bowles, President, University of North Carolina*	Telephone: 919 962-4622
Signature of president or head of each participating IHE or IHE system:	Date: 6/4/2010

*UNC System includes the 16 public four-year universities in North Carolina with an overall fall 2009 enrollment of 222,322 and an undergraduate enrollment of 176,133.

Note: The numbers above reflect total enrollment, not direct matriculation.

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State Name:
NORTH CAROLINA

State's higher education executive officer, if State has one (Printed Name):

Telephone:

Signature State's higher education executive officer, if State has one:

Date:

President or head of each participating IHE or IHE system, (Printed Name):
DR. R. SCOTT RALLS
North Carolina Community College System

Telephone:
919.807.6950

Signature of president or head of each participating IHE or IHE system:

Date:
JUNE 3, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Oregon	Eastern Oregon University	342	12,403
	Oregon Institute of Technology	333	
	Western Oregon University	999	
	Oregon State University	3,401	
	Oregon State University - Cascades	5	
	Southern Oregon University	758	
	University of Oregon	4,512	
	Portland State University	2,053	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Oregon	
State's higher education executive officer, if State has one (Printed Name): George Pernsteiner Oregon University System	Telephone: 541-346-5703
Signature State's higher education executive officer, if State has one:	Date: June 4, 2010
President or head of each participating IHE or IHE system, (Printed Name): Not Applicable	Telephone: Not Applicable
Signature of president or head of each participating IHE or IHE system: Not Applicable	Date: Not Applicable

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Oregon	Blue Mountain Community College	539	18755
	Central Oregon Community College	1128	
	Chemeketa Community College	2285	
	Clackamas Community College	1693	
	Clatsop Community College	191	
	Columbia Gorge Community College	182	
	Klamath Community College	151	
	Lane Community College	2097	
	Linn-Benton Community College	1807	
	Mount Hood Community College	1992	
	Oregon Coast Community College	62	
	Portland Community College	3923	
	Rogue Community College	906	
	Southwestern Oregon Community College	522	
	Tillamook Bay Community College	61	
	Treasure Valley Community College	677	
	Umpqua Community College	539	

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State Name: Oregon	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Camille Preus, Commissioner, Oregon Department of Community Colleges and Workforce Development	Telephone: 503-947-2433 or 503-947-2453
Signature of president or head of each participating IHE or IHE system: Camille Preus	Date: June 8, 21010

Letter of Intent for Institutions of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Received

JUN – 1 2010

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
New Mexico	New Mexico Junior College	4,887	176,484

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: New Mexico	
State's higher education executive officer, if State has one (Printed Name): Dr. Viola Florez	Telephone: 505-476-8404
Signature State's higher education executive officer, if State has one: By Julie for V. Florez	Date: 6-9-10
President or head of each participating IHE or IHE system, (Printed Name): STEVE MCCLEERY New Mexico Junior College	Telephone: (575) 392-5004
Signature of president or head of each participating IHE or IHE system: Steve McCleery	Date: 5-27-10

UNIVERSITY of HAWAI'I SYSTEM

M.R.C. Greenwood, Ph.D.
President

Letter of Intent for Institutes of Higher Education

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HI-1

2444 Dole Street, Bachman Hall
Honolulu, Hawai'i 96822
Telephone: (808) 956-8207
Fax: (808) 956-5286
An Equal Opportunity/Affirmative Action Institution

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Hawai'i	University of Hawai'i System	4,590	4,590

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State Name: Hawai'i

State's higher education executive officer, and President of the University of Hawai'i System: MRC Greenwood	Telephone: (808) 956-8207
Signature of State's higher education executive officer, and President of the University of Hawai'i System: MRC Greenwood	Date: 6/8/10

KANSAS BOARD OF REGENTS

1000 SW JACKSON • SUITE 520 • TOPEKA, KS 66612-1368

TELEPHONE – 785-296-3421
FAX – 785-296-0983
www.kansasregents.org

June 4, 2010

RECEIVED

JUN 07 2010

COMMISSIONER'S OFFICE
KSDE

Dr. Diane DeBacker, Interim Commissioner
Kansas State Department of Education
120 S.E. 10th Street
Topeka, KS 66612

Dear Commissioner DeBacker,

I enjoyed the meeting with you this week regarding the SMARTER Balanced Assessment Consortium. I think that this project certainly aligns with the mission of the Kansas P-20 Council and the strategic direction of the Kansas Board of Regents to improve alignment of the state's PK-12 system with its postsecondary education system.

I have attached the signed form indicating the Kansas Board of Regents' willingness to be involved as you pursue this consortium. As indicated in the "responsibilities of the IHE or IHE system", I believe that the meaningful involvement of our staff and the postsecondary institutions in the design and development of the assessments, as noted in the first responsibility, is critical to gaining their confidence in agreeing to the second responsibility.

We look forward to working with you on this and give you our best wishes as you pursue this grant opportunity.

Sincerely,

Andy Tompkins
President and CEO

cc: Christine Downey-Schmidt, Kansas Board of Regents

Attachment

KS-1

Letter of Intent for Institutes of Higher Education

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K5-2

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
KANSAS	Kansas Board of Regents		25,802
	8 4-year Institutions	13,230	
	26 2-year Institutions	12,572	
	TOTAL	25,802	

State	IHE Name	IHE Type	Fall 2008 Enrollment (based on 1st Time Degree/certificate-seeking status)	2-year	4-year	
Kansas	Allen County Community College	Public- 2-year	663	663	0	
Kansas	Barton County Community College	Public- 2-year	395	395	0	
Kansas	Butler Community College	Public- 2-year	1,386	1,386	0	
Kansas	Cloud County Community College	Public- 2-year	245	245	0	
Kansas	Coffeyville Community College	Public- 2-year	663	663	0	
Kansas	Colby Community College	Public- 2-year	205	205	0	
Kansas	Cowley County Community College	Public- 2-year	663	663	0	
Kansas	Dodge City Community College	Public- 2-year	293	293	0	
Kansas	Emporia State University	Public- 4-year or above	681	0	681	
Kansas	Flint Hills Technical College	Public- 2-year	111	111	0	
Kansas	Fort Hays State University	Public- 4-year or above	800	0	800	
Kansas	Fort Scott Community College	Public- 2-year	420	420	0	
Kansas	Garden City Community College	Public- 2-year	416	416	0	
Kansas	Haskell Indian Nations University	Public- 4-year or above	224	0	224	
Kansas	Highland Community College	Public- 2-year	683	683	0	
Kansas	Hutchinson Community College	Public- 2-year	1,065	1,065	0	
Kansas	Independence Community College	Public- 2-year	262	262	0	
Kansas	Johnson County Community College	Public- 2-year	2,022	2,022	0	
Kansas	Kansas City Kansas Community College	Public- 2-year	870	870	0	
Kansas	University of Kansas	Public- 4-year or above	4,483	0	4,483	
Kansas	Kansas State University	Public- 4-year or above	3,761	0	3,761	
Kansas	Labette Community College	Public- 2-year	232	232	0	
Kansas	Manhattan Area Technical College	Public- 2-year	100	100	0	
Kansas	Neosho County Community College	Public- 2-year	260	260	0	
Kansas	North Central Kansas Technical College	Public- 2-year	214	214	0	
Kansas	Northeast Kansas Technical Center	Public- 2-year	74	74	0	
Kansas	Northwest Kansas Technical College	Public- 2-year	125	125	0	
Kansas	Pittsburg State University	Public- 4-year or above	1,031	0	1,031	
Kansas	Pratt Community College	Public- 2-year	277	277	0	
Kansas	Salina Area Technical College	Public- 2-year	120	120	0	
Kansas	Seward County Community College and Area Tec	Public- 2-year	338	338	0	
Kansas	Washburn University	Public- 4-year or above	830	0	830	
Kansas	Wichita Area Technical College	Public- 2-year	470	470	0	
Kansas	Wichita State University	Public- 4-year or above	1,420	0	1,420	
			25,802	12,572	13,230	25,802

(c) Partner IHE or IHE System Signature Blocks

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State Name: Kansas	
State's higher education executive officer, if State has one (Printed Name): Andy Tompkins Kansas Board of Regents	Telephone: 785-296-3421
Signature State's higher education executive officer, if State has one:	Date: 6-4-10
President or head of each participating IHE or IHE system, (Printed Name):	Telephone:
Signature of president or head of each participating IHE or IHE system:	Date:

Letter of Intent for Institutes of Higher Education

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State Name:

Michigan

State's higher education executive officer, if State has one (Printed Name): Telephone:

Signature State's higher education executive officer, if State has one: Date:

President or head of each participating IHE or IHE system, (Printed Name): Telephone:

Alpena Community College

Dr. Olin H. Joynton 989-358-7246

Signature of president or head of each participating IHE or IHE system: Date:

June 7, 2010

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
MICHIGAN	Alpena Community College	1,386	

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Central Michigan University	3,899	

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State Name: Michigan

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): George E. Ross, Ph.D., President Central Michigan University	Telephone: 989-774-3131
Signature of president or head of each participating IHE or IHE system:	Date: 6-8-2010

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	Eastern Michigan University	2185	

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State Name:
Michigan

State's higher education executive officer, if State has one (Printed Name):

Telephone:

Signature State's higher education executive officer, if State has one:

Date:

President or head of each participating IHE or IHE system, (Printed Name):
Susan W. Martin Eastern Michigan University

Telephone:
734.487.2211

Signature of president or head of each participating IHE or IHE system:
Susan W. Martin

Date:
June 9, 2010

FERRIS STATE UNIVERSITY
OFFICE OF THE PRESIDENT

June 9, 2010

SUBJECT: FEDERAL RACE TO THE TOP COMPETITION

Dear Sir,

Ferris State University is pleased to provide its support to the State of Michigan's proposal for participation in the Race to the Top. We pledge to collaborate in the design and development of our SMARTER Balanced Assessment Consortium's high school assessments in mathematics and English language arts. We will recognize the achievement of high school students who meet these standards, permit them to enroll in credit-bearing courses, and will exempt them from remedial courses.

In Michigan we have many partnerships with local school districts and community colleges and look forward to building upon them through this concerted effort stimulated by the federal Race to the Top competition. This effort will ensure that each high school student has the opportunity to graduate from high school prepared for college and to continue their work toward a degree.

From our perspective the federal Race to the Top competition is an extraordinary opportunity to create strong working partnerships across the K-16 educational environment in Michigan. In this effort we strongly support the leadership of Michigan Governor Jennifer Granholm and Superintendent of Public Instruction Mike Flanagan. I am personally committed to helping this effort succeed and look forward to participating in this process.

Sincerely,

David L. Eisler
President

1201 S. State Street, CSS 301
Big Rapids, MI 49307-2747

Phone: (231) 591-2500
Web: www.ferris.edu

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	FERRIS STATE UNIVERSITY	2,690	

MI-12

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State Name: MICHIGAN	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): DAVID L. EISLER, FERRIS STATE UNIVERSITY	Telephone: 231-591-2500
Signature of president or head of each participating IHE or IHE system:	Date: 6/9/10

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(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

6/2/10

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Gogebic Community College	318	

6/9/10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name): _____	Telephone:
Signature State's higher education executive officer, if State has one: _____	Date:
President or head of each participating IHE or IHE system, (Printed Name): Gogebic Community College James A. Lorenson	Telephone: (906)932-4834
Signature of president or head of each participating IHE or IHE system: James A Lorenson	Date: 6/9/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Kalamazoo Valley Community College	4,218	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Kalamazoo Valley Community College Dr. Marilyn J. Schlack, President (Designated Signatory: Michael Collins, Vice President for College and Student Relations)	Telephone: 269.488.4200
Signature of president or head of each participating IHE or IHE system:	Date: June 9, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
MICHIGAN	LANSING COMMUNITY COLLEGE	3,688	462,585

(c) Partner IHE or IHE System Signature Blocks

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State Name: MICHIGAN	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): DR. BRENT KNIGHT Lansing Community College	Telephone: (517) 483 - 1851
Signature of president or head of each participating IHE or IHE system:	Date: JUNE 8, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
State of Michigan	Macomb Community College	9,442	

(c) Partner IHE or IHE System Signature Blocks

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State Name: State of Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): James Jacobs Macomb Community College	Telephone: 586.445.7241
Signature of president or head of each participating IHE or IHE system:	Date: June 8, 2010

MI-25

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Michigan State University	7,337	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Lou Anna K. Simon, Ph.D. President, Michigan State University	Telephone: 517-355-6560
Signature of president or head of each participating IHE or IHE system:	Date: 6-2-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Michigan Technological University	1,378	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Glenn D. Mroz, President Michigan Technological University	Telephone: 906-487-2200
Signature of president or head of each participating IHE or IHE system:	Date: June 1, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Montcalm Community College	646	

(c) Partner IHE or IHE System Signature Blocks

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State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Montcalm Community College ROBERT FERRENTINO	Telephone: 989 328.1221
Signature of president or head of each participating IHE or IHE system:	Date: 6/3/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	North Central Michigan College	* 289	

* from all service area - not just Emmet County.

(c) Partner IHE or IHE System Signature Blocks

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State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Cameron Brunet-Koch Ph.D.	Telephone: 231-348-6601
Signature of president or head of each participating IHE or IHE system: Cameron Brunet-Koch North Central Michigan College	Date: 6-5-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Northern Michigan University	2,030	

(c) Partner IHE or IHE System Signature Blocks

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State Name:

Michigan

State's higher education executive officer, if State has one (Printed Name):

Telephone:

Signature State's higher education executive officer, if State has one:

Date:

President or head of each participating IHE or IHE system, (Printed Name):

Northern Michigan University

Leslie E. Wong

Telephone:

906-227-2242

Signature of president or head of each participating IHE or IHE system:

Leslie E Wong

Date:

6-9-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Oakland University	2,386	

(c) Partner IHE or IHE System Signature Blocks

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State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Gary D. Russi Oakland University	Telephone: 248.370.3500
Signature of president or head of each participating IHE or IHE system: Gary D. Russi	Date: 06/02/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Schoolcraft College	10,937	

Data source: Michigan Community Colleges Demographic Enrollment Databook 2008-2009 (Table 10) pg 20.

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

Michigan

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Dr. Conway A. Jeffress	Telephone: 734 462-4460
Signature of president or head of each participating IHE or IHE system: Conway A. Jeffress Schoolcraft College	Date: 6/3/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Saginaw Valley State University	3,995	

(c) Partner IHE or IHE System Signature Blocks

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(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:

Michigan

State's higher education executive officer, if State has one (Printed Name):

Telephone:

Signature State's higher education executive officer, if State has one:

Date:

President or head of each participating IHE or IHE system, (Printed Name): Eric R. Gilbertson, Saginaw Valley State University

Telephone: (989)964-4041

Signature of president or head of each participating IHE or IHE system:

Date: 6-4-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 20082009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
MI	SC4	2244	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: **Michigan**	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Kevin A. Pollock, President, St. Clair County Community College**	Telephone: **810.989.5545**
Signature of president or head of each participating IHE or IHE system:	Date: **06/07/2010**

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	University of Michigan	5,768	5,768

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Mary Sue Coleman, President, University of Michigan	Telephone: 734 764 6270
Signature of president or head of each participating IHE or IHE system: Mary Sue Coleman	Date: 6/8/2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Michigan	Wayne State University	2,919	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

Michigan

State's higher education executive officer, if State has one (Printed Name):

Telephone:

Signature State's higher education executive officer, if State has one:

Date:

President or head of each participating IHE or IHE system, (Printed Name): Jay Noren Wayne State University

Telephone: (313) 577-2230

Signature of president or head of each participating IHE or IHE system:

Jay Noren

Date: June 4, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Western Michigan Univ	3,760	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Michigan	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): John M. Dunn, President Western Michigan University	Telephone: 269 387-2351
Signature of president or head of each participating IHE or IHE system: John M. Dunn	Date: June 10, 2010

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Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Montana	MSU-Bozeman	1078	3591
	MSU-Billings	475	
	MSU-Havre	161	
	MSU-Great Falls COT	118	
	UM-Missoula	1183	
	UM-MT-Tech	302	
	UM-Western	146	
	UM-Helena-COT	128	

*note: data reflect students graduating from public high schools in Montana in 2008-2009 academic year and enrolling in a unit of the Montana University System in Fall 2009 or Spring 2010.

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

Montana

State's higher education executive officer, if State has one (Printed Name): Sheila Stearns
Commissioner of Higher Education

Telephone: (406) 444-6570

Signature State's higher education executive officer, if State has one: Sheila M Stearns

Date: 5-28-2010

President or head of each participating IHE or IHE system, (Printed Name): Waded Cruzado
President, Montana State University

Telephone: (406) 994-2341

Signature of president or head of each participating IHE or IHE system:

Date: May 28, 2010

George Dennison
President, The University of Montana

(406) 243-2311

Signature: George M. Dennison

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
West Virginia	**West Virginia Higher Education**		
	Policy Commission		
	Number of students enrolled in 2007-2008	8,614	
	Number of students enrolled in 2008-2009	8,993	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

West Virginia

State's higher education executive officer, if State has one (Printed Name): Telephone:

Dr. Brian Noland, Chancellor B. Noland 304.558.2101

Signature State's higher education executive officer, if State has one: Date:

6/10/10

President or head of each participating IHE or IHE system, (Printed Name): West Virginia Higher Education Policy Commission Telephone:

David Hendrickson, Chairman 304.558.2101

Signature of president or head of each participating IHE or IHE system: Date:

6/10/10

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Ohio	University System of Ohio	60,521	60,521

The members of the University system of Ohio are as follows:

- University of Akron
- Bowling Green State University
- Central State University
- University of Cincinnati
- Cleveland State University
- Kent State University
- Miami University
- Northeastern Ohio Universities Colleges of Medicine and Pharmacy
- Ohio State University
- Ohio University
- Shawnee State University
- University of Toledo
- Wright State University
- Youngstown State University
- Belmont Technical College
- Central Ohio Technical College
- Cincinnati State Technical and Community College
- Clark State Community College
- Columbus State Community College
- Cuyahoga Community College
- Edison Community College
- Hocking College
- James A. Rhodes State College
- Eastern Gateway Community College
- Lakeland Community College
- Lorain Community College
- Marion Technical College
- North Central Technical College
- Northwest State Community College
- Owens Community College
- Rio Grande Community College
- Sinclair Community College
- Southern State Community College
- Stark State Community College
- Terra Community College
- Washington State Community College
- Zane State Community College

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

Ohio

State's higher education executive officer, if State has one (Printed Name): **Eric Fingerhut, Chancellor, University System of Ohio**	Telephone: 614-466-0887
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): **Eric Fingerhut, Chancellor, University System of Ohio**	Telephone: 614-466-0887
Signature of president or head of each participating IHE or IHE system:	Date: 6/7/10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Western Iowa Tech Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

Iowa

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Kevin Fangman	**515.281.3436**
Signature State's higher education executive officer, if State has one:	Date: 6-9-10
WITCC	712-274-6400
President or head of each participating IHE or IHE system, (**Printed Name**): Western Iowa Tech Community College	Telephone:
ROBERT E. DUNKER	6-9-10
Signature of President or head of each participating IHE or IHE system:	Date:

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Northwest Iowa Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

Iowa

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Kevin Fangman	**515.281.3436**
Signature State's higher education executive officer, if State has one:	Date:
Kevin Fangman	6.9.10
President or head of each participating IHE or IHE system, (**Printed Name**): Northwest Iowa Community College	Telephone:
William G. Giddings	712-324-5061
Signature of President or head of each participating IHE or IHE system:	Date:
William G. Giddings	June 9, 2010

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Iowa Valley Community College District		

(c) Partner IHE or IHE System Signature Blocks

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State Name: Iowa

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Kevin Fangman	**515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6.8.10
President or head of each participating IHE or IHE system, (**Printed Name**): Dr. Christopher A. Duree, Acting Chancellor, Iowa Valley Community College District	Telephone: 641-844-5720
Signature of President or head of each participating IHE or IHE system: Christopher A. Duree	Date: 6/8/10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Kirkwood Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: Iowa	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6.9.10
President or head of each participating IHE or IHE system, (**Printed Name**): Kirkwood Community College Mick Starcevich	Telephone: 319 3985500
Signature of President or head of each participating IHE or IHE system: Mick Starcevich	Date: 6-9-10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Hawkeye Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Iowa

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Kevin Fangman	**515.281.3436**
Signature State's higher education executive officer, if State has one:	Date:
Kevin Fangman	6.9.10
President or head of each participating IHE or IHE system, (**Printed Name**):	Telephone:
Linda Allen, Ph.D., Vice President of Academic Affairs	**319-296-4232**
Signature of President or head of each participating IHE or IHE system:	Date:
Linda Allen Hawkeye Community College	06/09/2010

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	North Iowa Area Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Iowa	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6-8-10
President or head of each participating IHE or IHE system, (**Printed Name**): North Iowa Area Community College **Dr. Debra Derr, President**	Telephone: **641.422.4000**
Signature of President or head of each participating IHE or IHE system: Debra A. Derr	Date: **June 8, 2010**

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Eastern Iowa Community College District		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: Iowa	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6·8·10
President or head of each participating IHE or IHE system, (**Printed Name**): Eastern Iowa Community College District **Patricia A. Keir, Chancellor**	Telephone: **563 336 3304**
Signature of President or head of each participating IHE or IHE system: Patricia A Keir	Date: **June 8, 2010**

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	*Iowa Lakes Community College*	*1,381*	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name:
Iowa

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Kevin Fangman	**515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6·8·10
President or head of each participating IHE or IHE system, (**Printed Name**): Iowa Lakes Community College *Valerie K. Newhouse*	Telephone: *(712) 362-0435*
Signature of President or head of each participating IHE or IHE system: Valerie K. Newhouse	Date: *06-08-10*

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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Each IHE or IHE system commits to the following agreements:

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IA-25

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Iles Morrison Area Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Kevin Fangman Iowa	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman** Kevin Fangman	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Rob Denson	Date: 9-64-6038
President or head of each participating IHE or IHE system, (**Printed Name**): Des Moines Area Community College Bob Denson	Telephone: 6-9-10
Signature of President or head of each participating IHE or IHE system:	Date:

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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IA-28

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Northeast Iowa Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: Iowa	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6·8·10
President or head of each participating IHE or IHE system, (**Printed Name**): Penelope H. Wills, Ph.D. Northeast Iowa Community College	Telephone:
Signature of President or head of each participating IHE or IHE system: Penelope H. Wills	Date: 6-8-10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov 515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Southeastern Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Iowa

State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6.9.10
President or head of each participating IHE or IHE system, (**Printed Name**): Beverly S. Simone President Southeastern Community College	Telephone: 319-208-5051
Signature of President or head of each participating IHE or IHE system: Beverly A. Simone	Date: 6/9/10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Southwestern Comm. College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Iowa	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6.9.10
President or head of each participating IHE or IHE system, (**Printed Name**): Barbara J. Crittenden, Southwestern Community College	Telephone: 641.782.1427
Signature of President or head of each participating IHE or IHE system: Barbara J. Crittenden	Date: 6-9-10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Indian Hills Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Iowa.	
State's higher education executive officer, if State has one (Printed Name): **Kevin Fangman**	Telephone: **515.281.3436**
Signature State's higher education executive officer, if State has one: Kevin Fangman	Date: 6.14.10
President or head of each participating IHE or IHE system, (**Printed Name**): Indian Hills Community College JIM LINDENMAYER	Telephone: 641-683-5785
Signature of President or head of each participating IHE or IHE system: Jim Lindenmayer	Date: 6-14-10

DUE to DE by 6.9.10 end of day
Kathy.Petosa@iowa.gov/515.281.4122-F

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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State	Name of Participating IHEs *(Enter name of CC)*	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Iowa	Iowa Western Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

IOWA

State's higher education executive officer, if State has one (Printed Name):

Kevin Fangman

Telephone:

515.281.3436

Signature State's higher education executive officer, if State has one:

Kevin Fangman

Date:

6.9.10

President or head of each participating IHE or IHE system, (**Printed Name**):

Dr. Dan Kinney
Iowa Western Community College

Telephone:

712-325-3201

Signature of President or head of each participating IHE or IHE system:

Dan Kinney

Date:

6-9-10

COLLEGE of CHARLESTON

Dear Secretary Duncan:

As the President of the College of Charleston in South Carolina, I would like to express strong support for the SMARTER Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measure(s) as part of our course placement system once the Partnership has set the college readiness standards for the assessment(s).

In the 2008-09 school year, the College of Charleston included 4126 direct matriculation students. We are committed to working with the SMARTER Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Assessment Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER Balanced Assessment Consortium on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.
- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

66 GEORGE ST. | CHARLESTON, SC 29424-0001

We strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of:	
South Carolina	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: June 3, 2010
Title: Executive Director, South Carolina Commission on Higher Education	
Authorized State Signature:	
Name: P. George Benson	Date: June 3, 2010
Title: President, College of Charleston	(843) 953-5500

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Winthrop University	2,026	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: **SOUTH CAROLINA**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Garrison Walters** **Executive Director, SC Commission on Higher Education**	Telephone: **803.323.2275**
Signature State's higher education executive officer, if State has one:	Date: **June 7, 2010**
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Anthony J. DiGiorgio**	Telephone: **803.323.2225**
Signature of president or head of each participating IHE or IHE system:	Date: **June 2, 2010**

founded in 1872
LANDER UNIVERSITY
Office of Academic Affairs

Dear Secretary Duncan:

As the President of Lander University in Greenwood, South Carolina, I would like to express strong support for the SMARTER Balanced Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measure(s) as part of our course placement system once the Partnership has set the college readiness standards for the assessment(s).

In the 2008-09 school year, Lander University included 1011 direct matriculation students. We are committed to working with the SMARTER Balanced Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER Balanced Consortium on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.
- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator

SC-6

320 Stanley Avenue • Greenwood, South Carolina 29649-2099 • (864) 388-8320 • Fax (864) 388-8998 • www.lander.edu

of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of South Carolina:	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: 6/7/10
Title: Executive Director, South Carolina Commission on Higher Education	
Authorized State Signature:	
Name: Dr. Daniel W. Ball	Date: 3 June 2010
Title: President, Lander University	(864) 388-8300

FRANCIS MARION UNIVERSITY

Office of the President

June 1, 2010

The Honorable Arne Duncan
Secretary of Education
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary Duncan:

As the President of Francis Marion University in South Carolina, I would like to express strong support for the SMARTER Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measures as part of our course placement system once the Partnership has set the college readiness standards for the assessments.

In the 2008-09 school year, Francis Marion University included 1,362 direct matriculation students. Of these direct matriculation students, 0% required at least one postsecondary remedial course. We are committed to working with the SMARTER Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Assessment Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the PARCC on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.

Box 100547, Florence, South Carolina 29502-0547 • (843) 661-1210 • FAX (843) 661-1366
email - lcarter@fmarion.edu
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- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of: South Carolina	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: 6/7/10
Title: Executive Director, South Carolina Commission on Higher Education	
Authorized State Signature:	(843) 611-1210
Name: Dr. Luther F. Carter	Date: 6/1/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Clemson University	5,880	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:
South Carolina

State's higher education executive officer, if State has one (Printed Name):

Telephone:

6/7/10

Signature State's higher education executive officer, if State has one:

Date:

Dr. Garrison Walters

6/7/10

President or head of each participating IHE or IHE system, (Printed Name):
James F. Barker, President, Clemson University

Telephone:
864/656-3413

Signature of president or head of each participating IHE or IHE system:

Date:

5/30/10

HARRIS PASTIDES
PRESIDENT

June 1, 2010

Arne Duncan, Secretary
United States Department of Education
400 Maryland Avenue, SW
Washington, DC 20202

Dear Secretary Duncan:

As the President of University of South Carolina System and on behalf of faculty in the USC System, I am communicating our strong support for the SMARTER Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Consortium with the goal of using the new measure(s) as part of our course placement system once the Consortium has set the college readiness standards for the assessment(s).

Based on data provided to me by the South Carolina Commission on Higher Education, in the 2008-09 school year, USC-Columbia included 7,561 direct matriculation students and USC's other campuses (Aiken, Beaufort, Lancaster, Salkehatchie, Sumter, Union, and Upstate) included 4,260. As a system, we are committed to working with Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

I commit my institution in partnership with our South Carolina colleagues and members of the SMARTER Balanced Assessment Consortium to:

UNIVERSITY OF SOUTH CAROLINA • COLUMBIA, SOUTH CAROLINA 29208 • 803/777-2001 • FAX 803/777-3264

SC-13

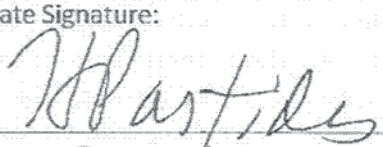
AN EQUAL OPPORTUNITY INSTITUTION

1. Participate with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implement of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

We sat USC strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of:	
Authorized State Signature:	
Name:	Date: 6/7/10
Title: [State's higher education executive officer]	
Authorized State Signature: 	
Name: HARRIS PASTIDES	Date: JUNE 2 2010
Title: [President or Head of Participating IHE or IHE system]	(803) 777-2001

SC-14

UNIVERSITY OF SOUTH CAROLINA UPSTATE

Office of the Chancellor

Dear Secretary Duncan:

As the Chancellor of the University of South Carolina Upstate in South Carolina, I would like to express strong support for the SMARTER Balanced Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measure(s) as part of our course placement system once the Partnership has set the college readiness standards for the assessment(s).

In the 2008-09 school year, the University of South Carolina Upstate included 1,368 directly matriculating high school students. We are committed to working with PARCC toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the [Partnership] on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.

800 University Way • Spartanburg, South Carolina 29303 • 864/503-5200 • Fax 864/503-5201 • EMail: jstockwell@uscupstate.edu
An Affirmative Action / Equal Opportunity Institution

SC-15

- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of:	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: June 4, 2010
Title: Executive Director, South Carolina Commission on Higher Education	
Authorized State Signature:	
Name: Dr. John C. Stockwell	Date: June 4, 2010
Title: Chancellor, University of South Carolina Upstate	(864) 503-5200

UNIVERSITY OF SOUTH CAROLINA BEAUFORT

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	USC Beaufort	500	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters	Telephone:
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Jane T. Upshaw. Chancellor University of South Carolina Beaufort**	Telephone: **843 208-8242**
Signature of president or head of each participating IHE or IHE system: Jane S. Upshaw	Date: **31 May 2010**

UNIVERSITY OF
SOUTH CAROLINA
AIKEN

June 1, 2010

THOMAS L. HALLMAN
CHANCELLOR

The Honorable Arne Duncan
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202

Dear Secretary Duncan,

As the Chancellor of the University of South Carolina Aiken, I would like to express strong support for the SMARTER Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measure(s) as part of our course placement system once the Partnership has set the college readiness standards for the assessment(s).

In the 2008-09 school year, the University of South Carolina Aiken included 1,053 direct matriculation students. We are committed to working with the SMARTER Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Assessment Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER Balanced Assessment Consortium on test design and development.

471 UNIVERSITY PARKWAY • AIKEN, SOUTH CAROLINA 29801 • 803/641-3403 • FAX 803/641-3362
EMAIL TOMH@USCA.EDU • WWW.USCA.EDU

SC-20

- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.
- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of: South Carolina	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: 6/7/10
Title: Executive Director, South Carolina Commission on Higher Education	
Authorized State Signature:	
Name: Dr. Thomas L. Hallman	Date: June 1, 2010
Title: Chancellor, University of South Carolina Aiken	(803) 641-3434

SPARTANBURG COMMUNITY COLLEGE

PARA M. JONES, PH.D.
PRESIDENT

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment

Systems Grant Application
CFDA Number: 84.395B

The purpose of this Letter of Intent is to:

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

POST OFFICE BOX 4386 SPARTANBURG, SOUTH CAROLINA 29305 PHONE (864)592-4611 FAX (864)592-4608 1-800-922-3679

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Spartanburg Community College	1784	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:
South Carolina

State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education

Telephone:
803.737.2275

Signature State's higher education executive officer, if State has one:

Date:
6/7/10

President or head of each participating IHE or IHE system, (Printed Name): Para M. Jones, Ph.D., President, Spartanburg Community College

Telephone:
864-592-4655

Signature of President of Spartanburg Community College:
Para M. Jones

Date:
6/3/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Florence-Darlington Technical College	1,515	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:
South Carolina

State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education

Telephone:
803.737.2275

Signature State's higher education executive officer, if State has one:

Date:
6/7/10

President or head of each participating IHE or IHE system, (Printed Name): Dr. Charles W. Gould

Telephone:
843.661.8000

Signature of president or head of each participating IHE or IHE system:
Charles W. Gould SF

Date:
06/03/2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Orangeburg-Calhoun Technical College	855	850

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:
South Carolina

State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education

Telephone:
803.737.2275

Signature State's higher education executive officer, if State has one:

Date:
4/7/10

President or head of each participating IHE or IHE system, (Printed Name): Dr. Anne Crook

Telephone:
803.535.1200

Signature of president or head of each participating IHE or IHE system:

Date:
May 27, 2010

OFFICE OF THE PRESIDENT

Dear Secretary Duncan:

As the President of the Technical College of the Lowcountry (TCL) in South Carolina, I would like to express support for the SMARTER and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measure(s) as part of our course placement system once the Partnership has set the college readiness standards for the assessment(s).

In the 2008-09 school year, the Technical College of the Lowcountry included 420 direct matriculation students. We are committed to working with SMARTER toward ensuring that students who score college-ready on its end of high school assessments or successfully meet TCL's college placement requirements can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.
- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

921 Ribaut Road • P.O. Box 1288 • Beaufort, SC 29901-1288
p: 843.525.8242 | 843.525.8366 • www.tcl.edu

SC-31

TECHNICAL COLLEGE
OF THE LOWCOUNTRY

We support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of: South Carolina	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: 6/7/10
Title: Executive Director, SC Commission on Higher Education	
Authorized State Signature:	
Name: Thomas C. Leitzel	Date: 6/2/10
Title: President	(843) 525-8247

York Technical College

One College. Many Opportunities.

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

SC-33

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
SC	York Technical College	1,469	

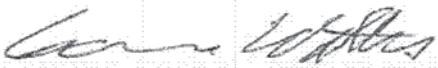
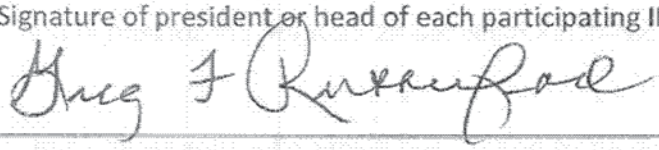
(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one: 	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Greg F. Rutherford, President, York Technical College	Telephone: 803.327.8050
Signature of president or head of each participating IHE or IHE system: 	Date: 6/2/10

Northeastern Technical College

Office of the President

Dear Secretary Duncan:

As the President of Northeastern Technical College in Cheraw, SC, I would like to express strong support for the SMARTER Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are prepared to participate in the design, development, and standard setting process of the Partnership with the goal of using the new measure(s) as part of our course placement system once the Partnership has set the college readiness standards for the assessment(s).

In the 2008-09 school year, Northeastern Technical College included 324 direct matriculation students. We are committed to working with SMARTER Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Assessment Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER Balanced Assessment Consortium on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.

1201 Chesterfield Hwy. • Cheraw, SC 29520
Phone (843) 921-6900 FAX (843) 537-6148
www.netc.edu

SC-36

- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of South Carolina's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of:	
Authorized State Signature:	
Name: Dr. Garrison Walters	Date: 6/7/10
Title: Executive Director, SC Commission on Higher Education	
Authorized State Signature:	
Name: Dr. Ron Bartley	Date: June 2, 2010
Title: President, Northeastern Technical College	(843) 921-6901

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

RECEIVED
JUN 03 2010
South Carolina Commission on Higher Education
Academic Affairs Division

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Northeastern Technical College	324	

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(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one: Garrison Walters	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Ron Bartley, President, Northeastern Technical College	Telephone: 843.921.6901
Signature of president or head of each participating IHE or IHE system: Ron Bartley	Date: June 2, 2010

WILLIAMSBURG TECHNICAL COLLEGE

601 Martin Luther King Jr. Avenue, Kingstree, South Carolina 29556-4197
phone-843.355.4110 toll-free-800.768.2021 fax-843.355.4296

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

South Carolina	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Williamsburg Technical College	153	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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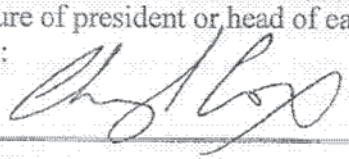
State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters Executive Director, SC Commission on Higher Education	Telephone: 803-737-2275
Signature State's higher education executive officer, if State has one: 	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Cheryl Cox President, Williamsburg Technical College	Telephone: 803-896-5361
Signature of president or head of each participating IHE or IHE system: 	Date: June 1, 2010

Aiken Technical College
Start Here
Succeed Anywhere

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Aiken Technical College	910	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Susan A. Winsor	Telephone: (803) 593-5611
Signature of president or head of each participating IHE or IHE system:	Date: 6-1-10

TRIDENT TECHNICAL COLLEGE

Office of the President

Berkeley Campus | Main Campus | Palmer Campus

Letter of Intent for Institutes of Higher Education
SMARTER Balanced Assessment Consortium
Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application
CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Trident Technical College	3,593	

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(c) **Partner IHE or IHE System Signature Blocks**

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.
State Name: **South Carolina**

State's higher education executive officer, if State has one (Printed Name): **Dr. Garrison Walters, Executive Director, SC Commission on Higher Education**	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one: *Garrison Walters*	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Mary Thornley, President, Trident Technical College**	Telephone: 843.574.6241
Signature of president or head of each participating IHE or IHE system: *Mary Thornley*	Date: 6/2/10

DENMARK
TECHNICAL COLLEGE

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

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Each IHE or IHE system commits to the following agreements:

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Denmark Technical College	429	57,741

SC-49

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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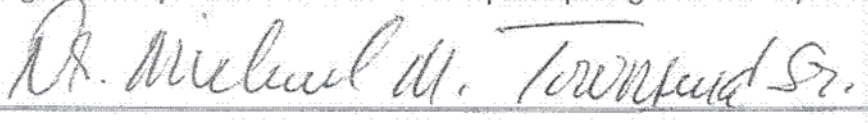
State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Michael M. Townsend, Sr., President, Denmark Technical College	Telephone: 803.793.5100
Signature of president or head of each participating IHE or IHE system: 	Date: June 1, 2010

SC-50

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2007-2008 school year, and
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(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2007-2008	Total Direct Matriculation Students in State in 2007-2008
South Carolina	Piedmont Technical College	1357	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803-737-2275
Signature State's higher education executive officer, if State has one: (see above) Garrison Walters, Ph.D.	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. L. Ray Brooks, President Piedmont Technical College	Telephone: 864-941-8301
Signature of president or head of each participating IHE or IHE system: Ray Brooks	Date: 6/2/2010

Midlands Technical College

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

Post Office Box 2408 • Columbia • South Carolina • 29202 • (803) 738-1400
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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Midlands Technical College	3,578	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Marshall (Sonny) White, Jr., President, Midlands Technical College	Telephone: 803.738.7600
Signature of president or head of each participating IHE or IHE system:	Date: June 1, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2007-2008	Total Direct Matriculation Students in State in 2007-2008
South Carolina	Horry-Georgetown Technical College	1,724	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): H. Neyle Wilson, President Horry-Georgetown Technical College	Telephone: 843.349.5201
Signature of president or head of each participating IHE or IHE system:	Date: 6/2/2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Greenville Technical College	4,420	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: South Carolina

State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one: Dr. Garrison Walters	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Keith Miller, Ph.D., President, Greenville Technical College	Telephone: 864.250.8175
Signature of president or head of each participating IHE or IHE system: Keith Miller	Date: 6/1/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Carolina	Central Carolina Technical College	816	57,741

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: South Carolina	
State's higher education executive officer, if State has one (Printed Name): Dr. Garrison Walters, Executive Director, SC Commission on Higher Education	Telephone: 803.737.2275
Signature State's higher education executive officer, if State has one:	Date: 6/7/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Tim Hardee, President Tim Hardee	Telephone: (803) 778-6640
Signature of president or head of each participating IHE or IHE system:	Date: June 1, 2010

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
South Dakota	SD Regental System	5,125	5,125

SD-1

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: South Dakota	
State's higher education executive officer, if State has one (Printed Name): Jack R. Warner South Dakota Board of Regents	Telephone: (605) 773-3455
Signature State's higher education executive officer, if State has one:	Date: June 7, 2010
President or head of each participating IHE or IHE system, (Printed Name):	Telephone:
Signature of president or head of each participating IHE or IHE system:	Date:

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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CO-1

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

*Data already provided

CO-2

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: Colorado	
State's higher education executive officer, if State has one (Printed Name): D. Rico Munn	Telephone: 303-866-2723
Signature State's higher education executive officer, if State has one: 	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name):	Telephone:
Signature of president or head of each participating IHE or IHE system:	Date:

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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ND-1

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
North Dakota	Bismarck State College	308	5,889
	Dickinson State University	203	
	Lake Region State College	62	
	Mayville State University	86	
	Minot State University	319	
	Dakota College at Bottineau	59	
	North Dakota State College of Science	141	
	North Dakota State University	2525	
	University of North Dakota	1858	
	Valley City State University	123	
	Williston State College	119	
	Non-Tribal Colleges, Total	5803	
	Cankdeska Cikana Community	8	
	Fort Berthold Community College	64	
	Sitting Bull College	14	
	Tribal Colleges, Total	86	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: North Dakota	
State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor North Dakota University System	Telephone: 701-328-2960
Signature State's higher education executive officer, if State has one: William S. Goetz	Date: 4/9/10
President or head of each participating IHE or IHE system, (Printed Name): Bismarck State College Larry C. Skogen, President	Telephone: 701.224.5430
Signature of president or head of each participating IHE or IHE system: Larry Skogen	Date: 2 Jun 2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor
North Dakota University System

Telephone: 701-328-2960

Signature State's higher education executive officer, if State has one: William S. Goetz

Date: 6/9/10

President or head of each participating IHE or IHE system, (Printed Name): Richard J. McCallum

Telephone: 701 483-2326

Signature of president or head of each participating IHE or IHE system: Richard J. McCallum

Date: 6-01-2010

Dickinson State University

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor
North Dakota University System

Telephone: 701-328-2960

Signature State's higher education executive officer, if State has one: William S. Goetz

Date: 6/9/10

President or head of each participating IHE or IHE system, (Printed Name): Mike Bower, Ph.D.,

Telephone: 701-662-1544

Signature of president or head of each participating IHE or IHE system: Mike Bower, Ph.D.

Date: 6-27-10

Lake Region State College, Devils Lake

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor
North Dakota University System

Telephone: 701-328-2960

Signature State's higher education executive officer, if State has one: William S. Goetz

Date: 6/9/10

President or head of each participating IHE or IHE system, (Printed Name): Gary Hagen

Telephone: 701-788-4753

Signature of president or head of each participating IHE or IHE system: Gary Hagen

Date: 6-2-10

Mayville State University

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor
North Dakota University System

Telephone: 701-328-2960

Signature State's higher education executive officer, if State has one: William S. Goetz

Date: 6/9/10

President or head of each participating IHE or IHE system, (Printed Name): David G. Fuller

Telephone: 701-858-3300

Signature of president or head of each participating IHE or IHE system: David G. Fuller

Minot State University

Date: May 27, 2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: North Dakota	
State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor North Dakota University System	Telephone: 701-328-2960
Signature State's higher education executive officer, if State has one: William L. Goetz	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): KEN COZOSZ CAMPUS DEAN	Telephone: 7012285480
Signature of president or head of each participating IHE or IHE system: Dakota College at Bottineau Ken Cozosz	Date: 6-2-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor North Dakota University System	Telephone: 701-328-2960
Signature State's higher education executive officer, if State has one: William R. Goetz	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): John Richman	Telephone: 701 671 2221
Signature of president or head of each participating IHE or IHE system: ND State College of Science, Wahpeton	Date: 6-2-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor North Dakota University System	Telephone: 701-328-2960
Signature State's higher education executive officer, if State has one: William R. Goetz	Date: 6/1/10
ENTERIM President or head of each participating IHE or IHE system, (Printed Name): North Dakota State University Richard Hanson	Telephone: 701-231-7211
Signature of president or head of each participating IHE or IHE system:	Date: 6/1/2010

ND-10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor
North Dakota University System

Telephone: 701-328-2960

Signature State's higher education executive officer, if State has one: William S. Goetz

Date: 6/9/10

President or head of each participating IHE or IHE system, (Printed Name):

Telephone:

Signature of president or head of each participating IHE or IHE system: Robert O'Kelly

Date: 5/28/10

University of North Dakota, Grand Forks

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: NORTH DAKOTA	
State's higher education executive officer, if State has one (Printed Name): WILLIAM GOETZ	Telephone: 701-328-2960
Signature State's higher education executive officer, if State has one: William D. Goetz	Date: 6/9/10
President or head of each participating IHE or IHE system, (Printed Name): STEVEN W. SHIRLEY	Telephone: 701-845-7102
Signature of president or head of each participating IHE or IHE system: Valley City State University Ste W. Shirley	Date: 6-2-10

ND-12

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name:

North Dakota

State's higher education executive officer, if State has one (Printed Name): William Goetz, Chancellor North Dakota University System	Telephone: 701-328-2960
Signature State's higher education executive officer, if State has one: William S. Goetz	Date: 6/9/10
(President) or head of each participating IHE or IHE system, (Printed Name):	Telephone:
Signature of president or head of each participating IHE or IHE system: Williston State College Boyd A. Jay	Date: 6/1/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Delaware	Delaware Technical & Community College -- All Campuses	3297	7889

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State Name: Delaware	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Dr. Orlando J. George, Jr., President, Delaware Technical & Community College	Telephone: (302) 739-4053
Signature of president or head of each participating IHE or IHE system:	Date: 6/8/10

UNIVERSITY OF DELAWARE

OFFICE OF THE PRESIDENT

Patrick T. Harker
President
University of Delaware
104 Hullihen Hall
Newark, DE 19716-0101
Ph: 302/831-2111
Fax: 302/831-1297
E-mail: harker@udel.edu

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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AN EQUAL OPPORTUNITY UNIVERSITY

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Delaware	University of Delaware	3,862	7889

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State Name: Delaware	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Dr. Patrick T. Harker, President, University of Delaware	Telephone: (302) 831-2111
Signature of president or head of each participating IHE or IHE system: Patrick T Harker	Date: 6/8/10

DELAWARE STATE UNIVERSITY
Dover, Delaware 19901

OFFICE OF THE PRESIDENT

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

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CFDA Number: 84.395B

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1200 NORTH DUPONT HIGHWAY
DOVER, DE 19901
(302) 857-6001
(302) 857-6003 (FAX)
WWW.DESU.EDU

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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Delaware	Delaware State University	730	7889

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State Name: Delaware	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Dr. Harry L. Williams, President, Delaware State University	Telephone: (302) 857-6001
Signature of president or head of each participating IHE or IHE system:	Date: 6/10/10

STATE OF ALABAMA
DEPARTMENT OF EDUCATION

Joseph B. Morton
State Superintendent
of Education

Alabama
State Board
of Education

Governor Bob Riley
President

Randy McKinney
District I
Vice President

Betty Peters
District II

Stephanie W. Bell
District III

Dr. Ethel H. Hall
District IV
Vice President
Emerita

Ella B. Bell
District V

David F. Byers, Jr.
District VI

Gary Warren
District VII

Dr. Mary Jane Caylor
District VIII
President Pro Tem

Joseph B. Morton
Secretary and
Executive Officer

June 10, 2010

The Honorable Arne Duncan
U. S. Secretary of Education
U. S. Department of Education
400 Maryland Ave, SW
Washington, DC 20202

Dear Secretary Duncan:

Alabama is pleased to participate in the Race to the Top Comprehensive Assessment Systems grant competition (CFDA Number 84.395B) with the SMARTER Balanced Assessment Consortium. As you know, the application includes a 20-point competitive preference priority for collaboration and alignment with higher education. To that end, I am enclosing letters from our public institutions of higher education indicating their commitment to participate in the consortium's development of high school assessments in mathematics and English language arts with the goal of using the new measures as part of course placement once the college readiness standards have been established. I am pleased that we have 35 of our 39 public institutions of higher education that receive freshmen that have supplied letters of such commitment. In addition, I am attaching letters of intent from four of our private institutions of higher education.

To facilitate this effort, the Alabama Commission on Higher Education provided the number of direct matriculation students for each of the Alabama public institutions that indicated an interest in participating in the consortium. I am attaching that document as a supplement to the letters of intent from the institutions of higher education.

Sincerely,

Joseph B. Morton
State Superintendent of Education

JBM:BAD
Attachment
cc: Dr. Gloria Turner, Director

AL-1

Alabama Commission on Higher Education
Number of Fall 2008 First-Time
Degree Seeking Undergraduate Students
Less than 20 years old as of September 1, 2008

Alabama Southern Community College	362
Bevill State Community College	682
Bishop State Community College	392
Calhoun Community College	1,232
Central Alabama Community College	396
Chattahoochee Valley Community College	247
Drake State Technical College	87
Enterprise-Ozark Community College	389
Gadsden State Community College	1,081
Jefferson Davis Community College	187
Jefferson State Community College	1,138
Lawson State Community College	607
L. B. Wallace Community College	252
Marion Military Institute	261
Northeast Alabama Community College	495
Northwest-Shoals Community College	633
Reid State Technical College	79
Shelton State Community College	1,060
Snead State Community College	492
Trenholm State Technical College	172
G. C. Wallace – Dothan Community College	667
G. C. Wallace – Hanceville Community College	960
G. C. Wallace – Selma Community College	332
Alabama A & M University	1,018
Alabama State University	1,262
Auburn University	3,965
Auburn University at Montgomery	577
Jacksonville State University	1,159
Troy University	1,482
University of Alabama	5,069
University of Alabama at Birmingham	1,266
University of Alabama in Huntsville	767
University of North Alabama	1,008
University of South Alabama	1,470
University of West Alabama	278
Total of Participating Alabama Public Institutions	**31,524**
Grand Total All Alabama Public Institutions	**33,625**

Source: Alabama Statewide Student Database
Note: Does not include 22 students with unknown date of birth.

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Alabama Southern Community College Dr. William O. Blow, Interim President	Telephone: (251) 575-8223
Signature of president or head of each participating IHE or IHE system: William O. Blow	Date: 06-03-2010

Letter of Intent for Institutes of Higher Education

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **Anne S. McNutt, Ph.D.** Bevill State Community College	Telephone: **205.387.0511,x5402**
Signature of president or head of each participating IHE or IHE system: Anne S. McNutt	Date: 6/6/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

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Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **James Lowe, Jr., Ph.D.** Bishop State Community College	Telephone: (251) 405-7130
Signature of president or head of each participating IHE or IHE system:	Date: 6/8/10

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State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Marilyn C. Beck, Calhoun Community College	Telephone: 256-306-2555
Signature of president or head of each participating IHE or IHE system: Marilyn C Beck	Date: 6-3-10

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State Name: **Alabama**

State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill** Freida Hill	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Stephen B. Franks, President Central Alabama Community College**	Telephone: **256.215.4300**
Signature of president or head of each participating IHE or IHE system: Stephen B. Franks	Date: June 4, 2010

Letter of Intent for Institutes of Higher Education

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Laurel M. Blackwell** Chattahoochee Valley Community College	Telephone: **334-291-4981**
Signature of president or head of each participating IHE or IHE system: Laurel M Blackwell	Date: **June 7, 2010**

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

AL-21

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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State Name: **Alabama**

State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Helen T. McAlpine, Ed.D. President J. F. Drake State Technical College	Telephone: 256-551-3117
Signature of president or head of each participating IHE or IHE system: Helen T. McAlpine	Date: 6/4/10

ENTERPRISE STATE COMMUNITY COLLEGE
ALABAMA AVIATION CENTER
ENTERPRISE • FORT RUCKER • WORLD WIDE WEB • OZARK • MOBILE • ALBERTVILLE • ANDALUSIA

June 4, 2010

Dr. Joseph B. Morton
State Department of Education
Department of Education
P.O. Box 302101
Montgomery, AL 36130-2101

Dear Dr. Morton:

As the President of Enterprise State Community College in Alabama, I would like to express strong support for the Smarter Balanced Assessment Consortium (Smarter Balanced). I am committing my College to participate in the consortium's development of high school assessments in mathematics and English language arts.

The College agrees to consider policies that place students who meet the consortium-adopted achievement standard for each assessment into credit-bearing college courses. I am pleased to sign the letter of intent for this worthwhile project.

The Smarter Balanced Consortium presents a unique opportunity to help shape high school assessment that will measure college and career readiness that is mutually beneficial to both the higher education system and the secondary education system. In addition, involving other states certainly makes this assessment effort even stronger and more useful.

I am attaching the signed copy of form (c) IHE System Signature Blocks. Please contact me if I can provide additional support.

Sincerely,

Nancy W. Chandler

Nancy W. Chandler
President

NWC/JM/md

Attachment

ENTERPRISE STATE COMMUNITY COLLEGE – ENTERPRISE CAMPUS
P.O. BOX 1300 • 600 PLAZA DRIVE • ENTERPRISE • ALABAMA • 36331
TELEPHONE: (334) 347-2623 • FAX: (334) 393-6223
WWW.ESCC.EDU

AL-24

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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AL-25

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Enterprise State Community College Nancy W. Chandler	Telephone: 334-347-1157
Signature of president or head of each participating IHE or IHE system: Nancy W. Chandler	Date: 6-4-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Gadsden State Community College W. Darryl Harrison	Telephone: 256-549-8221
Signature of president or head of each participating IHE or IHE system: W. Dyl Harrison	Date: 6/7/10

RECEIVED
JUN 02 2010
STATE SUPERINTENDENT'S OFFICE
ALABAMA DEPARTMENT OF EDUCATION

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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AL-31

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

AL-32

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Susan A. McBride, President, Jefferson Davis Community College	Telephone: 251-809-1551
Signature of president or head of each participating IHE or IHE system: Susan A. McBride	Date: June 1, 2010

Jefferson State
COMMUNITY COLLEGE
jeffstateonline.com
2601 Carson Road – Birmingham, Alabama 35215
Phone (205) 856-7885 Fax (205) 856-6058
E-mail jmorris@jeffstateonline.com

Vice-President

June 3, 2010

Dr. Joseph B. Morton
State Superintendent of Education
State of Alabama – Department of Education
Gordon Persons Building
P O Box 302101
Montgomery, AL 36130-2101

Dear Dr. Morton:

Enclosed is the signed Letter of Intent for Institutes of Higher Education – SMARTER Balanced Assessment Consortium for Jefferson State Community College. Please let us know if additional information is needed.

Sincerely,

Joe Morris

Joe Morris

AL-34

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Jefferson State Community College Judy M. MERRITT	Telephone: 983-5919 (205)
Signature of president or head of each participating IHE or IHE system: Judy M. Merritt	Date: 6/3/10

LAWSON STATE COMMUNITY COLLEGE
3060 Wilson Road • Birmingham, Alabama 35221
Phone (205) 929-6300 • Fax (205) 923-1649

Office Of The President

RECEIVED
JUN 03 2010
STATE SUPERINTENDENT'S OFFICE
ALABAMA DEPARTMENT OF EDUCATION

June 2, 2010

Dr. Joseph B. Morton
State Superintendent of Education
Department of Education
P. O. Box 302101
Montgomery, Alabama 36130-2101

Dear Dr. Morton:

Please find enclosed letters of support for the Partnership for Assessment of Readiness for College and Career (Partnership) and the SMARTER Balanced Assessment Consortium for Lawson State Community College.

If additional information is needed, please feel free to contact me at (205) 929-6300.

Sincerely,

Perry W. Ward
President

PWW/rh

Enclosures

AL-38

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**

State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**

Telephone: **334-293-4500**

Freida Hill

Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education):

Date: 6-10-10

Lawson State Community College

Dr. Perry W. Ward, President

President or head of each participating IHE or IHE system, (Printed Name):

Telephone: 205 -929-6300

Perry W. Ward

Signature of president or head of each participating IHE or IHE system:

Date: June 2, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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JUN 04 2010
DEPUTY STATE SUPERINTENDENT
Tommy Rice

AL-40

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Herbert H. J. Riedel Lurleen B. Wallace Community College	Telephone: 334 881-2212
Signature of president or head of each participating IHE or IHE system:	Date: 6/1/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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AL-44

(c) Partner IHE or IHE System Signature Blocks

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): COL David J. Mollahan, USMC (ret) President, Marion Military Institute	Telephone: (334) 683-2301
Signature of president or head of each participating IHE or IHE system: David J. Mollahan	Date: 7 Jun 10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. David Campbell, President, Northeast Alabama Community College**	Telephone: 256-228-6001, ext. 243
Signature of president or head of each participating IHE or IHE system:	Date: June 4, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6/10/10
President or head of each participating IHE or IHE system, (Printed Name): Northwest-Shoals Community College Humphrey Lee	Telephone: 6/3/10
Signature of president/or head of each participating IHE or IHE system: Humphrey Lee	Date: 6/3/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

RECEIVED
JUN 04 2010
STATE SUPERINTENDENT'S OFFICE
ALABAMA DEPARTMENT OF EDUCATION

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

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2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

AL-52

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Douglas M. Littles Reid State Technical College	Telephone: 251 578 1324
Signature of president or head of each participating IHE or IHE system: Douglas M Littles	Date: 6/1/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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AL-55

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6/10/2010
President or head of each participating IHE or IHE system, (Printed Name): Dr. Mark A. Heinrich Shelton State Community College	Telephone: 205-391-5880
Signature of president or head of each participating IHE or IHE system:	Date: 6/8/2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Robert Exley** Snead State Community College	Telephone: **256-840-4100**
Signature of president or head of each participating IHE or IHE system: Robert Exley	Date: 6-3-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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AL-61

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

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IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**

State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**

Telephone: **334-293-4500**

Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education):

Freida Hill

Date: 6-10-10

President or head of each participating IHE or IHE system, (Printed Name): **Sam Munnerlyn, President**
H. Councill Trenholm State Technical College, Montgomery, AL

Telephone: **(334) 420-4216**

Signature of president or head of each participating IHE or IHE system:

Sam Munn

Date: 6/9/10

WALLACE
COMMUNITY
COLLEGE

Office of the President

Dr. Linda C. Young
1141 Wallace Drive
Dothan, AL 36303
334.556.2234
Fax: 334.983.4255

June 7, 2010

Dr. Joseph B. Morton
State Superintendent of Education
Department of Education
P. O. Box 302101
Montgomery, AL 36130-2101

Dear Dr. Morton:

As the President of Wallace Community College-Dothan, I would like to express support for the proposed project, *SMARTER Balanced Assessment Consortium*. Through the project, the College pledges to work collaboratively with K-12 and higher education colleagues for a better aligned P-20 system that prepares students for college and careers. In addition, we support providing high school students, parents, and teachers with clear and consistent information about postsecondary requirements.

Wallace Community College supports efforts to transition students successfully into our postsecondary system, and we look forward to working with our education partners on this important collaboration.

Sincerely,

Linda C. Young

Linda C. Young
President

pm

c Chancellor Freida Hill

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Linda C. Young, President, WCC-Dothan	Telephone: 334-556-2234
Signature of president or head of each participating IHE or IHE system: Linda C Young	Date: 6/8/10

RECEIVED
JUN 01 2010
BY:

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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AL-66

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): Vicki P. Hawsey Wallace State Community College - Hanceville	Telephone: 256.352.8130
Signature of president or head of each participating IHE or IHE system: Vicki P. Hawsey	Date: 6/3/10

RECEIVED
JUN 04 2010
STATE SUPERINTENDENT'S OFFICE
ALABAMA DEPARTMENT OF EDUCATION

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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AL-69

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Freida Hill**	Telephone: **334-293-4500**
Signature State's higher education executive officer, if State has one (signature of the Chancellor of Postsecondary will be obtained by the State Department of Education): Freida Hill	Date: 6-10-10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. James M. Mitchell** Wallace Community College Selma	Telephone: **334-876-9230**
Signature of president or head of each participating IHE or IHE system: J. M. Mitchell	Date: **6-03-2010**

Alabama A&M UNIVERSITY

Office of the President
P.O. Box 1357
Normal, Alabama 35762
(Office) 256-372-5230
(Fax) 256-372-5244

Letter of Intent for Institutes of Higher Education
SMARTER Balanced Assessment Consortium
Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application
CFDA Number: 84.395B

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. Andrew Hugine, Jr.** Alabama A&M University	Telephone: **256-372-5230**
Signature of president or head of each participating IHE or IHE system: Andrew Hugine Jr.	Date: **June 8, 2010**

ALABAMA STATE UNIVERSITY

MONTGOMERY, ALABAMA 36101 • 334 / 229-4200

OFFICE OF THE PRESIDENT

June 4, 2010

Dr. Joseph B. Morton
State Superintendent of Education
State of Alabama
Department of Education
P.O. Box 302101
Montgomery, Alabama 36130-2101

Dear Dr. Morton:

Thank you for your letter of May 24, 2010, regarding appropriated funds for the Race to the Top Program. As requested, I enclose the signed letter of intent. If additional information is needed, please do not hesitate to let me know.

Sincere best wishes,

William H. Harris

WHH:edh

AL-75

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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AL-76

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): Alabama State University William H. HARRIS	Telephone: (334) 229-6944
Signature of president or head of each participating IHE or IHE system: Wm H. Harris	Date: 3 June 10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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AL-79

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education):	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): Jay Gogue Auburn University	Telephone: (334) 844-4650
Signature of president or head of each participating IHE or IHE system:	Date: 6-7-10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment

Systems Grant Application

CFDA Number: 84.395B

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AL-82

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: **Alabama**

State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature ~~State~~'s higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Auburn University at Montgomery	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): John G. Veres III	Telephone: 334-244-3602
Signature of president or head of each participating IHE or IHE system:	Date: 4/3/10

JACKSONVILLE STATE UNIVERSITY
700 Pelham Road North
Jacksonville, Alabama 36265-1602

Office of the President

(256) 782-5881 phone
(256) 782-5888 fax

June 2, 2010

Dr. Joseph B. Morton
State Superintendent of Education
Department of Education
P. O. Box 302101
Montgomery, AL 36130-2101

RECEIVED
JUN 03 2010
STATE SUPERINTENDENT'S OFFICE
ALABAMA DEPARTMENT OF EDUCATION

Dear Dr. Morton:

Thank you for the opportunity for Jacksonville State University to participate in the Race to the Top Program. Please find enclosed Jacksonville State University's letter of intent to commit. In addition we have completed the forms necessary for the institution of higher education to participate in the SMARTER Balanced Assessment Consortium.

Please know that Jacksonville State University appreciates the opportunity to participate in both these programs. If we may assist you in either of these opportunities or additional opportunities please do not hesitate to contact us.

Sincerely,

William A. Meehan
President

cc: Dr. Rebecca Turner
Dr. John Hammett
Dr. Gregory Fitch, Executive Director of
Alabama Commission of Higher Education

WAM/st

Enclosure

An Equal Opportunity / Affirmative Action Employer

AL-85

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

Jacksonville State University

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

AL-86

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): **Dr. William A. Meehan** **Jacksonville State University**	Telephone: **256–782–5881**
Signature of president or head of each participating IHE or IHE system: William A. Meehan	Date: **June 2, 2010**

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008--2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

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2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10/Jun 10
President or head of each participating IHE or IHE system, (Printed Name): Jack Hawkins, Jr Troy University	Telephone: (334) 670-3200
Signature of president or head of each participating IHE or IHE system: Jack Hawkins Jr	Date: 2 June 10

Office of the President

June 2, 2010

RECEIVED
JUN 03 2010
STATE SUPERINTENDENT'S OFFICE
ALABAMA DEPARTMENT OF EDUCATION

THE UNIVERSITY OF
ALABAMA
FOUNDED 1831

Dr. Joseph B. Morton
State Superintendent of Education
Department of Education
P. O. Box 302101
Montgomery, AL 36130-2101

Dear Dr. Morton:

On behalf of The University of Alabama, I would like to express our strong support for the SMARTER Balanced Assessment Consortium (SMARTER Balanced Partnership) and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outline for developing a common college-ready assessment.

We further recognize that the diverse missions of higher education systems and institutions in the SMARTER Balanced Partnership will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the SMARTER Balanced Partnership with the goal of using the new measure(s) as part of our course placement system once the SMARTER Balanced Partnership has set the college readiness standards for assessment(s). We are committed to working with the SMARTER Balanced Partnership to ensure that students who score college-ready on their high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Partnership in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER Balanced Partnership on test design and development.
- A coordinated effort across the consortium to design and participate in validation studies and comparisons with current placement instruments to ensure that the assessments developed are accurate measures of college readiness.

203 Rose Administration Building
Box 870100
Tuscaloosa, Alabama 35487-0100
(205) 348-5100
FAX (205) 348-8377
witt@pres.ua.edu
http://www.ua.edu

AL-92

We strongly support further work to establish a better aligned P-20 education system that will help all of Alabama's students graduate from high school ready for college and careers by providing students, their parents, and their teachers with clear consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our higher education system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Sincerely,

Robert E. Witt
President

Enclosure

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): ROBERT E. WITT University of Alabama	Telephone: 205-348-5103
Signature of president or head of each participating IHE or IHE system: Robert E Witt	Date: June 2, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10/ene/10
President or head of each participating IHE or IHE system, (Printed Name): Dr. Carol Z. Garrison President, University of Alabama at Birmingham	Telephone: 205-934-4636
Signature of president or head of each participating IHE or IHE system: Carol Z Garrison	Date: 5-4-2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education):	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): David B. Williams University of Alabama in Huntsville	Telephone: (256) 824-6340
Signature of president or head of each participating IHE or IHE system:	Date: June 3, 2010

AL-102

June 7, 2010

University of NORTH ALABAMA 1830

Dr. Joseph B. Morton
State Superintendent of Education
Department of Education
P. O. Box 302101
Montgomery, AL 36130-2101

Dear Dr. Morton:

As the President of the University of North Alabama, I would like to express our strong support for the SMARTER Balanced Assessment Consortium (SMARTER Balanced Partnership). We pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the Partnership states to develop high school assessments that serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outline for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the SMARTER Balanced Partnership will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the SMARTER Balanced Partnership with the goal of using the new measure(s) as part of our course placement system once the SMARTER Balanced Partnership has set the college readiness standards for assessment(s). We are committed to working with the SMARTER Balanced Partnership to ensure that students who score college-ready on their high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Partnership in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the SMARTER Balanced Partnership on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are accurate measures of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry-level, credit-bearing coursework.
- Use of the assessment as an indicator of students' readiness for placement in non-remedial, credit-bearing, college-level coursework.

OFFICE *of the* PRESIDENT
UNA Box 5004, Florence, AL 35632-0001
P: 256.765.4211 | F: 256.765.4644 | www.una.edu
Equal Opportunity / Equal Access Institution
AL-103

We strongly support further work to establish a better aligned P-20 education system that will help all of Alabama's students graduate from high school ready for college and careers by providing students, their parents, and their teachers with clear consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our higher education system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Sincerely,

William G. Cale, Jr.

William G. Cale, Jr.
President

WGC,JR/rbs

pc: Dr. Donna Jacobs
Dean, UNA College of Education

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): William G. Cale, Jr. President, University of North Alabama	Telephone: 256.765.4211
Signature of president or head of each participating IHE or IHE system: William G. Cale, Jr.	Date: June 8, 2010

UNIVERSITY OF SOUTH ALABAMA

OFFICE OF THE PRESIDENT

TELEPHONE: (251) 460-6111
MOBILE, ALABAMA 36688-0002

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: **This section will be completed by the Alabama State Department of Education.** NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school.

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009

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State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education):	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): **V. Gordon Moulton, President** University of South Alabama	Telephone: **251-460-6111**
Signature of president or head of each participating IHE or IHE system:	Date: 6/04/10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system. *	
State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Gregory S. Fitch	Date: 10 June 10
President or head of each participating IHE or IHE system, (Printed Name): Richard D. Holland University of West Alabama	Telephone: (205) 652-3527
Signature of president or head of each participating IHE or IHE system: Richard D. Holland	Date: June 4, 2010

* The University of West Alabama commits to implementation of the policies after it has agreed to the college readiness standards and approved the assessment instrument and process of implementation, as stated in President Richard Holland's June 4, 2010, letter of support to Dr. Joseph Morton.

STILLMAN
Office of the President

June 4, 2010

Dr. Joseph B. Morton
State Superintendent of Education
P.O. Box 302101
Montgomery, AL 36130-2101

Dear Dr. Morton:

As President of Stillman College in Alabama, I am pleased to provide support for the *SMARTER Balanced Assessment Consortium* in the Race to the Top Assessment Competition. We are prepared to participate with this Partnership in the following areas:

1. Participation with the Consortium in designing and developing the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of the policies, once the final high school summative assessments are developed, and place any student into credit-bearing college courses who meets the consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by Stillman or IHE system.

Again, we strongly support this effort that will better align the P-20 education system in Alabama and provide opportunities for students to graduate from high school ready for college and careers. We further commit ourselves to work collaboratively with our counterparts to help shape a high school assessment plan that will measure college and career readiness that will be mutually beneficial to both systems, higher education and the secondary education.

Sincerely,

Ernest McNealey

Ernest McNealey
President

Post Office Box 1430 • Tuscaloosa, Alabama 35403
Telephone 205-366-8808 • Fax 205-247-8015

AL-112

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education): Dr. Billy C. Hawkins, President Talladega College	Date: (256) 761-6211
President or head of each participating IHE or IHE system, (Printed Name): Billy C. Hawkins	Telephone:
Signature of president or head of each participating IHE or IHE system: Billy C. Hawkins	Date: 6/3/10

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: Alabama	
State's higher education executive officer, if State has one (Printed Name): Dr. Gregory Fitch	Telephone: 334-242-1998
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education):	Date:
President or head of each participating IHE or IHE system, (Printed Name): Rev. Dr. Tilahun Mendedo, President Concordia College - Selma	Telephone: (334) 874-5700 Ext. 19753
Signature of president or head of each participating IHE or IHE system:	Date: June 8, 2010

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: **Alabama**	
State's higher education executive officer, if State has one (Printed Name): **Dr. Gregory Fitch**	Telephone: **334-242-1998**
Signature State's higher education executive officer, if State has one (signature of the executive officer will be obtained by the State Department of Education):	Date:
President or head of each participating IHE or IHE system, (Printed Name): Stamford University Andrew Westmoreland	Telephone: 205-726-2727
Signature of president or head of each participating IHE or IHE system:	Date: 6/7/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Kentucky	Kentucky Public and Non-Public Colleges and Universities	22,744	22,744

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name: **KENTUCKY**	
State's higher education executive officer, if State has one (Printed Name): Kentucky Council on Postsecondary Education **Robert King, President**	Telephone: 502-573-1555
Signature State's higher education executive officer, if State has one:	Date: 6/3/10
President or head of each participating IHE or IHE system, (Printed Name): Not Applicable for Kentucky	Telephone:
Signature of president or head of each participating IHE or IHE system:	Date:

University System of New Hampshire
CHANCELLOR'S OFFICE

Dunlap Center
25 Concord Road
Durham, NH 03824-3546
Phone: (603) 862-0918
Fax: (603) 862-0908
www.usnh.edu

June 10, 2010

Dear Secretary Duncan:

As the Chancellor of University System in New Hampshire, I would like to express strong support for the Smarter Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the Smarter Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Consortium with the goal of using the new measure(s) as part of our course placement system once the Consortium has set the college readiness standards for the assessment(s).

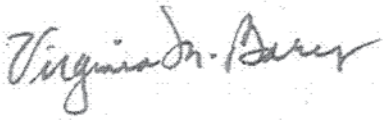
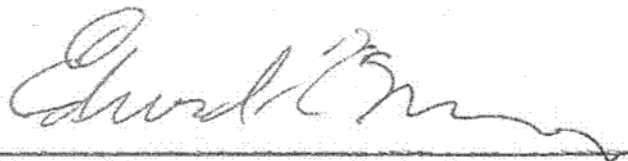
In the 2008-09 school year, the University System of New Hampshire included 23,553 matriculate undergraduate students. The University System does not offer remedial courses. We are committed to working with Smarter Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the Smarter Balanced Assessment Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the Smarter Balanced Assessment Consortium on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.
- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of New Hampshire's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Signature(s) for the State of: NEW HAMPSHIRE	
Authorized State Signature: 	
Name: Virginia M. Barry, Ph.D.	Date: June 9, 2010
Title: Commissioner, NH Department of Education	
Authorized State Signature: 	
Name: Dr. Edward MacKay	Date: June 9, 2010
Title: Chancellor, The University System of new Hampshire	

NH-2

COMMUNITY COLLEGE
system of New Hampshire

June 10, 2010

Dear Secretary Duncan:

As the Chancellor of Community College System in New Hampshire, I would like to express strong support for the Smarter Balanced Assessment Consortium and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop high school assessments that can serve as an indicator of readiness for non-remedial, credit-bearing, college-level coursework in mathematics and English. We value the promise of the new Common Core State Standards to improve college readiness rates of direct matriculation high school students and the vision outlined for developing a common college-ready assessment.

We further recognize that the diverse missions of postsecondary systems and institutions in the Smarter Balanced Assessment Consortium will determine the specific ways in which this new assessment will be used. We are, however, prepared to participate in the design, development, and standard setting process of the Consortium with the goal of using the new measure(s) as part of our course placement system once the Consortium has set the college readiness standards for the assessment(s).

In the 2008-09 school year, the Community College System of New Hampshire included 2600 direct matriculation students. We are committed to working with Smarter Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the Smarter Balanced Assessment Consortium in the following next steps:

- A collaborative and comprehensive effort by K-12 and higher education faculty and leaders across the Smarter Balanced Assessment Consortium on test design and development.
- A coordinated effort across the consortium to design and participate in validity studies and comparisons with current placement instruments to ensure that the assessments developed are an accurate measure of college readiness.
- A thorough, research-based process to establish common achievement standards on the new assessments that signal students' preparation for entry level, credit-bearing coursework.
- Use of the assessment in all partnership states' postsecondary institutions, along with any other placement requirement established by the IHE or IHE system, as an indicator

26 College Drive, Concord, NH 03301-7407
Phone (603) 271-2722 |(800) 247-3420 |TDD Access: relay NH (800) 735-2964 |Fax (603) 271-2725
www.ccsnh.edu

of students' readiness for placement in non-remedial, credit-bearing college-level coursework.

We strongly support further work to establish a better aligned P-20 education system that will help all of New Hampshire's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Sincerely,

Dr. Richard A. Gustafson
Chancellor

New Hampshire

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
New Hampshire	University System of NH		
	Keene State College		
	Plymouth State University		
	University of NH @ Durham	23,553	
	Granite State College		
	Community College System of NH	2,600	26,153

NH-6

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Pennsylvania	State System of Higher Education	21,625	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Pennsylvania	
State's higher education executive officer, if State has one (Printed Name): Sandra Edmunds Deputy Secretary, Office of Postsecondary and Higher Education	Telephone: 717-783-9259
Signature State's higher education executive officer, if State has one: Sandra D. Edmunds	Date: 6-10-2010
President or head of each participating IHE or IHE system, (Printed Name): Pennsylvania State System of Higher Education John C. Cavanaugh, Ph.D., Chancellor	Telephone: 717-720-4010
Signature of president or head of each participating IHE or IHE system: John C Cavanaugh	Date: June 9, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

(a) Detail the responsibilities of the IHE or IHE system

Each IHE or IHE system commits to the following agreements:

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Pennsylvania	Community College of Allegheny County	40,755	
	Community College of Beaver County		
	Bucks County Community College		
	Butler County Community College		
	Delaware County Community College		
	Harrisburg Area Community College		
	Lehigh Carbon Community College		
	Luzerne County Community College		
	Montgomery County Community College		
	Northampton Community College		
	Pennsylvania Highlands Community College		
	Community College of Philadelphia		
	Reading Area Community College		
	Westmoreland County Community College		

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: Pennsylvania	
State's higher education executive officer, if State has one: Sandra Edmunds Deputy Secretary, Office of Postsecondary and Higher Education	Telephone: 717-783-9259
Signature State's higher education executive officer, if State has one: Sandra D. Edmunds	Date: 6-10-2010
President or head of each participating IHE or IHE system, (Printed Name): Diane Bosak Pennsylvania Commission for Community Colleges	Telephone: 717-232-7584
Signature of president or head of each participating IHE or IHE system: Diane Bosak	Date: June 10, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The Oklahoma System of Higher Education, consisting of the state's 25 public universities and community colleges, is committed to the goals of the SMARTER Balanced Assessment Consortium. The purpose of this Letter of Intent is to:

(a) Detail the responsibilities of the IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer and IHE system through signature.

(a) Detail the responsibilities of the IHE or IHE system

The Oklahoma System of Higher Education commits to the following agreements:

1. Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

2. Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
Oklahoma	ALL PUBLIC UNIV AND COLLEGES		24,249
	University of Oklahoma	3,733	
	Oklahoma State University	2,959	
	University of Central Oklahoma	1,414	
	East Central University	527	
	Northeastern State University	942	
	Northwestern OK State University	313	
	Southeastern OK State University	583	
	Southwestern OK State University	836	
	Cameron University	749	
	Langston University	575	
	University of Sciences & Arts of OK	222	
	Oklahoma Panhandle State University	294	
	Connors State College	544	
	Eastern Oklahoma State College	352	
	Murray State College	528	
	Northeastern Oklahoma A&M College	636	
	Northern Oklahoma College	957	
	Rogers State University	761	
	Tulsa Community College	1,986	
	Oklahoma State – OKC	1,053	
	Oklahoma State – Inst of Technology	736	
	Western Oklahoma State College	416	
	Redlands Community College	319	
	Carl Albert State College	589	
	Southwestern OK State Univ – Sayre	96	
	Seminole State College	540	
	Rose State College	1,142	
	Oklahoma City Community College	447	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

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State Name: Oklahoma	
State's higher education executive officer (Printed Name): Chancellor Glen D. Johnson	Telephone: 405-225-9120
Signature State's higher education executive officer:	Date: June 8, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
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(a) Detail the responsibilities of the IHE or IHE system

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NJ-1

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Ocean County College	3,915	

(c) Partner IHE or IHE System Signature Blocks

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State Name: New Jersey	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Jon H. Larson, Ocean County College	Telephone: (732) 255-0330
Signature of president or head of each participating IHE or IHE system: Jon H. Larson	Date: 6.10.10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
New Jersey	Montclair State University	2,293	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: New Jersey	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Dr. Susan A. Cole, President Montclair State University	Telephone: 973-655-4212
Signature of president or head of each participating IHE or IHE system: Susan A. Cole	Date: June 10, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
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Direct Matriculation Student Data for the State of _____

Please return this form to Lesley Muldoon at lmuldoon@achieve.org by **6:00 pm EDT on Wednesday, June 9th.**

	Name of Public IHE or IHE System (2- and 4-year)	Number of Direct Matriculation Students* in IHE in 2008-2009
	Camden County College	2594
STATEWIDE TOTAL		
Data source:		

* Fall 08 1st Time Full + Part Time Matriculated Students from NJ

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

Each IHE or IHE system commits to the following agreements:

(a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and

(b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.

State Name:

New Jersey

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): CAMDEN COUNTY COLLEGE	Telephone: 856-374-4937
Signature of president or head of each participating IHE or IHE system:	Date:

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

(a) Detail the responsibilities of the IHE or IHE system,
(b) Identify the total number of direct matriculation students in the partner IHE or IHE system in the 2008–2009 school year, and
(c) Commit the State's higher education executive officer (if the State has one) and the president or head of each participating IHE or IHE system through signature blocks.

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(c) Partner IHE or IHE System Signature Blocks

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State Name: New Jersey	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Rider University MORDECHAI ROZANSKI	Telephone: (609) 896-5001
Signature of president or head of each participating IHE or IHE system:	Date: 6/10/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
NJ	Monmouth University	954	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application. Each IHE or IHE system commits to the following agreements: (a) Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and (b) Implementation of policies, once the final high school summative assessments are implemented, that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA) for each assessment and any other placement requirement established by the IHE or IHE system.	
State Name: New Jersey	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Paul G. Gaffney II	Telephone: 732-571-3402
Signature of president or head of each participating IHE or IHE system: Paul Gaffney II TP	Date: 6/10/10

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
	Georgian Court University	248	

(c) Partner IHE or IHE System Signature Blocks

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State Name: New Jersey	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Rosemary Jeffries, RSM, President	Telephone: 732-987-2251
Designee: Jacqueline Kress, Dean, School of Education	732-987-2729
Signature of president or head of each participating IHE or IHE system: Jacqueline Kress	Date: 6/9/10

Georgian Court

Bloomfield College

Richard A. Levao
President

June 10, 2010

The Honorable Arne Duncan
c/o Sandra Alberti
Department of Education
Office of Math and Science Education
100 Riverview Executive Plaza
Trenton, NJ 08625

Dear Secretary Duncan:

As the President of Bloomfield College in New Jersey, I would like to express strong support for the SMARTER Balanced Assessment Consortium and the Race to the Top Fund Assessment Program and pledge to work collaboratively with our K-12 state counterparts and our higher education colleagues across the partnership states to develop the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness. In addition, we pledge to support the implementation of policies that exempt from remedial courses and place into credit-bearing college courses and student who meets the Consortium-adopted achievement standard for each assessment and any other placement requirement established by Bloomfield College.

In the 2008-09 school year, Bloomfield College included 430 direct matriculation students. Of these direct matriculation students, 75% required at least one postsecondary remedial course. We are committed to working with the SMARTER Balanced Assessment Consortium toward ensuring that students who score college-ready on its end of high school assessments can enter credit-bearing coursework without remediation at this institution.

We are prepared to participate with the SMARTER Balanced Assessment Consortium in the following next steps:

- Participation with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English language arts in order to ensure that the assessments measure college readiness; and
- Implementation of policies, once the final high school summative assessments are implemented that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard (as defined in the NIA0 for each assessments and any other placement requirement established by the IHE or IHE system.

Office of the President
467 Franklin Street
nfield, NJ 07003
748-9000 ext. 289
973 429-3507 Fax
rlevao@bloomfield.edu
www.bloomfield.edu

NJ-18

We strongly support further work to establish a better aligned P-12 education system that will help all of New Jersey's students graduate from high school ready for college and careers, by providing students, their parents and their teachers with clear and consistent information about what it means and what it takes to be ready for college. We further commit ourselves to work collaboratively with our K-12 counterparts to improve associated student outreach, intervention, and academic preparation programs to ensure all students have the opportunity to successfully transition into our postsecondary system.

Thank you for providing the students in our state with the opportunity to benefit from such an important collaboration.

Respectfully yours,

Richard A. Levao
President

RAL:kc

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
New Jersey	Bloomfield College	430	

(c) Partner IHE or IHE System Signature Blocks

IHE or IHE system SIGNATURE BLOCK for Race to the Top Fund Assessment Program Comprehensive Assessment Systems Grant Application.

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State Name: New Jersey	
State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): Richard A. Levao	Telephone: (973) 748-9000 x290
Signature of president or head of each participating IHE or IHE system: Richard G. Levao	Date: June 10, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

CFDA Number: 84.395B

The purpose of this Letter of Intent is to

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Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Number of Direct Matriculation Students in IHE in 2008-2009	Total Direct Matriculation Students in State in 2008-2009
NJ	Caldwell College	278	

(c) Partner IHE or IHE System Signature Blocks

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State Name:
New Jersey

State's higher education executive officer, if State has one (Printed Name):	Telephone:
Signature State's higher education executive officer, if State has one:	Date:
President or head of each participating IHE or IHE system, (Printed Name): **Nancy H. Blattner, Ph.D., President, Caldwell College**	Telephone: **973-618-3217**
Signature of president or head of each participating IHE or IHE system: Nancy H. Blattner	Date: **June 10, 2010**

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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State	Name of Participating IHEs	Total Direct Matriculation Students in State in 2008-2009
Georgia	University System of Georgia	51,353

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State Name: Georgia	
Chancellor, University System of Georgia: Erroll B. Davis, Jr.	Telephone: 404.656.2202
Signature of Chancellor, University System of Georgia:	Date:

BOARD OF REGENTS OF
THE UNIVERSITY SYSTEM OF GEORGIA

CHANCELLOR ERROLL B. DAVIS, JR.
270 WASHINGTON STREET, S.W.
ATLANTA, GEORGIA 30334

PHONE: (404) 656-2202
FAX: (404) 657-6979
EMAIL: CHANCELLOR@USG.EDU

June 10, 2010

To Whom It May Concern:

The University System of Georgia is supportive of Georgia's participation in the SMARTER Balanced Assessment Consortium. We will participate with the Consortium in the design and development of the Consortium's final high school summative assessments in mathematics and English Language Arts to ensure that the assessments measure college readiness. Further, we concur with the ultimate goal of implementation of policies to exempt students from remedial courses and placement into credit bearing college courses based on jointly agreed upon achievement standards.

The University System of Georgia has a total direct matriculation of 51,353 students in 2008-09.

Warmest regards,

Erroll B. Davis, Jr.
Chancellor

TECHNICAL COLLEGE
TCSG
SYSTEM OF GEORGIA

Sonny Perdue
Governor

Ronald W. Jackson
Commissioner

June 7, 2010

Letter of Intent for Institutes of Higher Education

SMARTER Balanced Assessment Consortium

Race to the Top Fund Assessment Program: Comprehensive Assessment Systems Grant Application

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1800 Century Place Suite 400 Atlanta, Georgia 30345 404.679.1600

GA-4

(b) Total Number of Direct Matriculation Students (as defined in the NIA) in the Partner IHE or IHE system in the 2008–2009 School Year

Note: NIA defines direct matriculation student as a student who entered college as a freshman within two years of graduating from high school

State	Name of Participating IHEs	Total Direct Matriculation Students in State in 2008-2009
Georgia	Technical College System of Georgia	12,921

(c) Partner IHE or IHE System Signature Blocks

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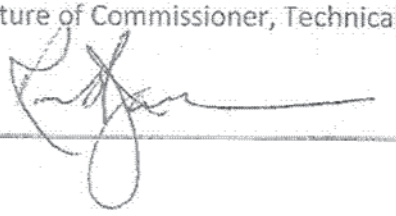
State Name:

Georgia

Commissioner, Technical College System of Georgia: Telephone:

Ronald W. Jackson 404.679.1600

Signature of Commissioner, Technical College System of Georgia: Date:



6/8/10