STATE OF HAWAI'I
DEPARTMENT OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAI'I 96804

OFFICE OF THE SUPERINTENDENT

February 7, 2017

TO: The Honorable Lance A. Mizumoto
Chairperson, Audit Committee

FROM: Kathryn S. Matayoshi
Superintendent

SUBJECT: **Committee Action on the Department of Education's Student Assessment Administration Review – Phase II**

1. RECOMMENDATION

   Approval of the Student Assessment Administration Review – Phase II.

2. RECOMMENDED EFFECTIVE DATE

   February 7, 2017

3. RECOMMENDED COMPLIANCE DATE

   Same as effective date

4. DISCUSSION

   a. Conditions leading to the recommendation:

   Internal Audit (IA) has discussed our findings (observations) and recommendations with Management and they have submitted their management plans for inclusion in the report.

   b. Previous action of the Board on the same or similar matter – N/A

   c. Other policies affected – N/A

d. Arguments in support of the recommendation:

   If the review is approved, IA will follow up with management on the progress of completion for their action plans, and report accordingly through the audit committee quarterly updates.

e. Arguments against the recommendation – N/A

f. Findings and conclusion of the Board committee – N/A

g. Other agencies or departments of the State of Hawaii involved in the action – N/A

h. Possible reaction of the public, professional organizations, unions, DOE staff and/or others to the recommendations – N/A

i. Educational implication – N/A

j. Personnel implications – N/A

k. Facilities implications – N/A

l. Financial implications – N/A

KSM:DY:jy
Attachment

c: Internal Audit Office

Department of Education

Internal Audit

Student Assessment Administration Review – Phase II

Issue Date: January 2017

Report Number: FY2017-01

AUDIT OF:	**DATE:**	**AUDIT RATING:**
Student Assessment Administration Review – Phase II	Fieldwork performed October 2016 – December 2016	Acceptable **[X]** Marginal **[ ]** Unacceptable **[ ]**

INTRODUCTION:

In connection with the Department of Education's (DOE) Updated Risk Assessment and Internal Audit Plan approved on August 16, 2016, Internal Audit (IA) performed a *"Student Assessment Administration Review – Phase II."* The purpose of this project was to review the internal controls, related processes, and standard practices over the administration of student assessments, including the maintenance and distribution of student assessment material and the collection and reporting of student assessment results to the Assessment and Accountability Branch. This review also includes an assessment of the controls over the test security environment at selected schools.

BACKGROUND:

The Elementary and Secondary Education Act (ESEA) of 1965 as reauthorized by the Every Student Succeeds Act in 2015 requires each State to develop and implement challenging academic content and achievement standards, and apply the same academic standards to all public schools in the State. Section 1111(b)(2) of the Act requires states to annually administer assessments in mathematics, reading or language arts, and science in grades 3 through 8 and once in high school. The same assessments must be used to measure the achievement of all students in the State, including English Language Learners and students with disabilities, with the exception allowed for students with the most significant cognitive disabilities who may take an alternate assessment based on alternate academic achievement standards. Student participation must meet the requirements of the Individuals with Disabilities Education Improvement Act of 2001 (IDEA), and Section 504 of the Rehabilitation Act of 1973 (reauthorized in 2008).

The Hawaii DOE policies relating to academic content and achievement standards include:

Hawaii Board of Education Policy 102-3: To ensure high academic expectations, challenging curriculum, and appropriate assessment and instruction for all public school students statewide, including public charter schools in accordance with Chapter 302A-201 of the Hawaii Revised Statutes, the Board of Education shall adopt statewide content and performance standards that specify what students in all public schools, including charter schools, must know and be able to do. The Department of Education shall implement statewide content and performance standards approved by the Board of Education.

Hawaii Board of Education Policy 102-6 Statewide Assessment Program: The Department shall establish a statewide assessment program that provides annual data on student, school, and system performance, including public charter schools, at selected benchmark grade levels, showing student performance, relative to the applicable statewide performance standards and relative to nationally representative norms, as applicable. The results of the statewide assessment program shall be reported publicly, at least annually, while maintaining student privacy.

In June, 2009, Hawaii joined a consortium of states, led by the Council of Chief State School Officers and the National Governors Association Center for Best Practices, and participated in the development of the Common Core State Standards (CCSS) and the implementation of a standards-based education

system. The Hawaii Department of Education's (HIDOE) strategy was to ensure all students, including English language learners, students with disabilities, and low-achieving students, have access to high quality content, instruction and assessments aligned to the Hawaii Common Core Standards.

The Office of Strategy, Innovation and Performance (OSIP) Assessment Section is responsible for the development, implementation, and administration of the Hawaii Statewide Assessment Program. Tammi Oyadomari-Chun is the Assistant Superintendent of OSIP, Tom Saka is the Director in the Assessment and Accountability Branch, and Brian Reiter is the Administrator, Test Development Specialist in the Assessment Section.

The Hawaii Statewide Assessment Program includes all statewide summative assessments that are administered in all public schools, including public schools with variant grade level configurations (e.g., K-8 and K-12), public schools that serve special populations (e.g., Olomana School at the Hawaii Youth Correctional Facility and the Hawaii School for the Deaf and the Blind), public schools that do not have tested grade levels (e.g., Linapuni School, a K-2 elementary school), and charter schools. The assessments, content, and the grade levels tested are as follows:

Assessment	Content Areas	Grade(s)
Smarter Balanced Assessment	English Language Arts / Literacy Mathematics	3 - 8 and 11
End of Course Exams	Biology 1	9, 10, 11 or 12
ACT College and Career Readiness System Assessments	English Mathematics Reading Science Writing	11
KA`EO (Hawaiian Language and Hawaiian Immersion Students)	Language Arts Mathematics Science	3 and 4 4
Hawaii State Alternate Assessments (Students with significant cognitive disabilities)	English Language Arts / Literacy Writing Mathematics Science	3 - 8 and 11 4, 8 and 11
ACCESS for English Language Learners (Provided until students reach grade level language profiency)	Listening Reading Speaking Writing	Kindergarten through 12
National Assessment of Educational Progress (NAEP) (Every 2 years for selected schools)	Mathematics Reading	4 and 8

Policies, procedures, and guidelines relating to the standardized test are available online on the *alohahsap.org* website. The website is a resource to provide guidance and information for Test Coordinators, Test Administrators, Technical Coordinators, Teachers, and Parents. Examples of documents that are available on the website include:
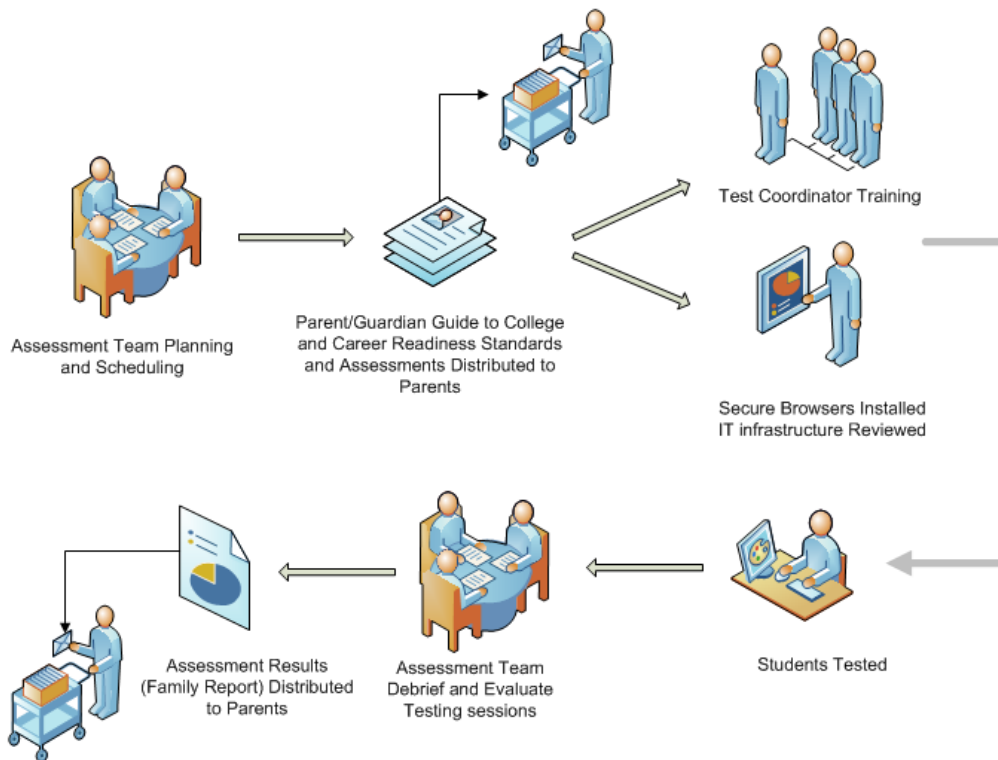
- Smarter Balanced Summative Test Administration Manual
- Usability, Accessibility, and Accommodations Guidelines
- Scoring Guides for ELA and Mathematics
- Interpretation and Use of Scores
- Writing in Grades 3-5: Common Questions
- Communicating with Parents
- Parent Guide to Smarter Balanced Assessments
- Sample Family Report
- HSAP Technical Specifications Manual
- Operating System Support Plan for Test Delivery System
- Online Reporting System User Guide

Training is required for all individuals responsible for administering the general and alternate assessments. The Assessment Section provides and coordinates the following training sessions:

Training Session	Description
Smarter Balanced Assessments Training for New and Current Test Coordinators	Training to cover test administration procedures, test security and ethics, accessibiltiy and accommodations, technology requirements, and the reporting system and family reports.
Hawaii State Alternate Assessments (HAS-Alt) Training for New Test Administrators	Training for administering the ELA Writing and Operational assessments.
WIDA ACCESS for English Language Learners	Training to cover test administration procedures, test security and ethics, accessibiltiy and accommodations, and the technology requirements.
Smarter Balanced Test Coordinator Training	Extension of New Test Coordinator Training to develop a deeper understanding of the requirements for coordination and administration of the Smarter Balanced Assessments.
Smarter Educator Assessment Literacy (SEAL) Training	Professional development for educators to build knowledge and better understand ways to use informatin obtained from the Interim Assessment results.

Additionally, webinars are scheduled to present topics of interest, and provides the Test Coordinators a forum to discuss questions, issues, or concerns. Weekly email newsletters are distributed to the Test Coordinators to provide informational updates. A Help Desk is available for system related questions or issues.

Assessment Team Planning and Scheduling

Parent/Guardian Guide to College and Career Readiness Standards and Assessments Distributed to Parents

Test Coordinator Training

Secure Browsers Installed IT infrastructure Reviewed

Students Tested

Assessment Team Debrief and Evaluate Testing sessions

Assessment Results (Family Report) Distributed to Parents

In June 2016, the HIDOE submitted evidentiary documentation to the United States Department of Education (USDOE) for peer review to demonstrate Hawaii's statewide assessment system meets the requirements of ESEA, as amended. The peer review is conducted by a panel of educators and assessment experts from outside the USDOE. They apply their professional judgment and experiences to evaluate the degree to which the evidence provided about the assessment system addresses a set of established critical elements. The peer review was not finalized as of the report date.

SCOPE and OBJECTIVES:
The scope of our review included an examination of the administration processes for the statewide assessments and end-of-course exams. We reviewed the design and operating effectiveness of the existing control processes in place. Through our risk assessment of the test administration process, the scope of our review specifically focused on the processes related to the following subcategories that IA deemed as high and medium risk:
   ➢ Test Administration
   ➢ Test Security
   ➢ Test Accommodations
   ➢ Protection of Data Integrity and Privacy

The Protection of Data Integrity and Privacy was excluded from our review as this area was reviewed in the Student Assessment Administration Review – Part I performed by IA during fiscal year 2015.

The scope period covered the School Year 2015-16 and 2016 up to fieldwork date.

The objectives of our review included the following:
1. To obtain a general understanding of the test administration processes.
2. To review and assess the effectiveness of the test administration processes to ensure the Department has adequate internal controls in place to maintain compliance with the DOE policies and procedures, and the Federal laws and regulations.
3. To review and assess the effectiveness of the test security process and procedures to ensure adequate controls are in place to minimize the likelihood of test security incidents.
4. To review and assess the effectiveness of the procedures for test accommodations to ensure the appropriateness of the test accommodations provided, and the test accommodations are provided to students with documented needs.
5. To provide recommendations to improve the effectiveness and efficiency of the test administration processes.

OBSERVATIONS:

Based upon our review, we found the DOE's controls related to student assessment administration are functioning at an "acceptable" level. An acceptable rating indicates that no significant deficiencies exist, while improvement continues to be appropriate; controls are considered adequate and findings are not significant to the overall unit/department.

Please refer to the Risk Ratings section of this report (page 7) for a complete definition of the ratings used by IA and the Observations and Recommendations section for a detailed description of our findings.

We discussed our preliminary findings and recommendations with Management and they were receptive to our findings and agreed to consider our recommendations for implementation.

The observations presented in this report are followed by recommendations that will help to ensure that control gaps are addressed and, if enforced and monitored, will mitigate the control weaknesses. In summary, our observations are as follows:

1. Test accommodations are not consistently administered to students with documented needs.
2. Insufficient number of computers/devices for testing, and technical issues experienced during testing.
3. Potential areas for process improvements.

PLANNED FOLLOW UP BY MANAGEMENT AND INTERNAL AUDIT:

IA will follow up with Management on their progress of completion for their action plans and report accordingly through the audit committee quarterly updates.

OVERALL RATING SCALE	
Acceptable	No significant deficiencies exist, while improvement continues to be appropriate; controls are considered adequate and findings are not significant to the overall unit/department.
Marginal	Potential for loss to the auditable unit/department and ultimately to the DOE. Indicates a number of observations, more serious in nature related to the control environment. Some improvement is needed to bring the unit to an acceptable status, but if weaknesses continue without attention, it could lead to further deterioration of the rating to an unacceptable status.
Unacceptable	Significant deficiencies exist which could lead to material financial loss to the auditable unit/department and potentially to the DOE. Corrective action should be a high priority of Management and may require significant amounts of time and resources to implement.

OBSERVATION RATING SCALE	
High (1)	1 - The impact of the finding is <u>*material*</u>[1] and the likelihood of loss is probable in one of the following ways: • A material misstatement of the DOE's financial statements could occur; • The DOE's business objectives, processes, financial results or image could be materially impaired; • The DOE may fail to comply with applicable laws, regulations or contractual agreements, which could result in fines, sanctions and/or liabilities that are material to the DOE's financial performance, operations or image. *Immediate action is recommended to mitigate the DOE's exposure*
Moderate (2)	2 - The impact of the finding is <u>*significant*</u>[1] and the likelihood of loss is possible in one of the following ways: ➢ A significant misstatement of the DOE's financial statements could occur; ➢ The DOE's business objectives, processes, financial performance or image could be notably impaired; ➢ The DOE may fail to comply with applicable laws, regulations or contractual agreements, which could result in fines, sanctions and/or liabilities that are significant to the DOE's financial performance, operations or image. *Corrective action by Management should be prioritized and completed in a timely manner to mitigate any risk exposure.*
Low (3)	3 – The impact of the finding is moderate and the probability of an event resulting in loss is possible. *Action is recommended to limit further deterioration of controls.*

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[1] The application of these terms are consistent with the guidelines provided by the Institute of Internal Auditors

The detailed observations noted herein were based on work performed by IA through the last date of fieldwork and are generally focused on internal controls and enhancing the effectiveness of processes for future organizational benefit.

Obs. No.	Description	Page #
1	Test accommodations are not consistently administered to students with documented needs.	9
2	Insufficient number of computers/devices for testing, and technical issues experienced during testing.	14
3	Potential areas for process improvements.	17

Observation Number: 1	
Observation: Test accommodations are not consistently administered to students with documented needs.	**Rating: Moderate**

There are access features and accommodations that are available to ensure the assessments are accessible to students with disabilities and English Language Learners. The *Usability, Accessibility, and Accommodations Guidelines* provide definitions of the various tools and how the tools should be administered:

The table on the following page provides a list of the available Universal Tools, Designated Supports and Accommodations.

- Universal Tools are available to all students based on the student's preference and selection. These access features are provided either as digital components of the test administration system (embedded) or separate from it (non-embedded).

- Designated supports are only available for use by students for whom the need has been identified by an educator or team of educators. The school's assessment team inputs the designated supports into the testing system. Documentation is not required from the educator(s) who recommended the support(s).

- Accommodations are changes in procedures or materials that increase equitable access during the assessments for students with disabilities. The need for the accommodation(s) is required to be documented in the student's Individualized Educational Program (IEP) or 504 Plan. The school's assessment team inputs the embedded accommodations (except for the Text to Speech) into the testing system. Additionally, the schools are required to submit a request form to the Assessment Section for the Text to Speech and all of the non-embedded accommodations. The Assessment Section reviews the IEPs for appropriateness and inputs the accommodations into the testing system.

METHOD PROVIDED	UNIVERSAL TOOLS	DESIGNATED SUPPORTS	ACCOMMODATIONS
Embedded	Breaks Calculator Digital Notepad English Dictionary English Glossary Expandable Passages Global Notes Highlighter Keyboard Navigation Mark for Review Math Tools Spell Check Strikethrough Writing Tools Zoom	Color Contrast Masking Text-to-Speech Translated Test Directions Translations (Glossary) Translations (Stacked) Turn Off Any Universal Tools	American Sign Language Braille Closed Captioning Streamline Text-to-Speech
Non-embedded	Breaks English Dictionary Scratch Paper Thesaurus	Bilingual Dictionary Color Contrast Color Overlay Magnification Read Aloud Noise Buffers Scribe Separate Setting Simplified Test Directions Translated Test Directions Translations (Glossary)	100s Number Table Abacus Alternate Response Options Calculator Multiplication Table Print on Demand Read Aloud Scribe Speech-to-Text

IA conducted interviews of 50 Test Coordinators from 45 schools across different complex areas throughout the state. The following was noted during the interviews and discussions with the Assessment Section:

- There is no formal training provided for Special Education (SPED) Coordinators and the Student Services Coordinators (SSC) for how the accommodations are administered for the Smarter Balanced Assessments.
  - o An overview of the features and accommodations, and instructions on how to input them into the testing system are presented during the Smarter Balanced Test Coordinator and the Hawaii State Alternate Assessments (HSA-Alt) training sessions; however, the participants are primarily the Test Coordinators and the Test Administrators of the HSA-Alt.
  - o The school's SSC are tasked with familiarizing themselves with the *Usability, Accessibility, and Accommodations Guidelines* and the *HSAP TIDE User Guide*. They share this information with the Test Coordinator, SPED Department Chairperson, 504 Coordinator(s) and English Language Learner teacher(s); however, it's unclear whether the guidance is consistently provided from school to school.

- There are accommodations that may be beneficial to the students in the classroom setting, but may not be appropriate during testing for the constructs being measured by the assessment.
- Revisions to the terminology for the accommodations are carried forward in eCSSS due to the history of IEPs that are filed in the system. Both the original and revised terminologies are displayed in the IEPs and caused confusion for some Test Coordinators.

IA discussed with the Assessment Section their process for the administering the accommodations. Reports from the eCSSS system of the students with disabilities, and the accommodations that were documented in the testing system were reviewed. We judgmentally selected a sample of 10 IEPs, and requested the assistance of the Assessment Section to review the sample for the appropriateness of the accommodations that were requested and provided to students. The following was noted:

- The accommodations that were submitted on the Accommodation Verification Form were provided as intended; however, there were accommodations documented on the IEPs for six (6) students, where request forms were not submitted, that did not appear to have been provided to the students.
- The Assessment Section verifies the appropriateness of the accommodation requests submitted on a request form; however, there is no process in place to monitor the accommodation needs for students when a request form was not submitted.
- The designated supports are administered by the schools. An educator or team of educators is required to identify the student's need for the designated support(s); however, there is no documentation on file by the educator(s) who made the determination.

Impact

Test accommodations not consistently administered to students with documented needs may possibly lead to:
- ➢ Violations of IDEA and/or Section 504 of the Rehabilitation Act.
- ➢ Students with documented needs not provided with the appropriate accommodation.
- ➢ Students provided with accommodations not appropriate for the testing environment which may result in their tests being invalidated.
- ➢ Lack of accountability for recommendation of supports.
- ➢ Misinterpretation of how the accommodations should be applied.

Recommendation and Management Plan

Recommendations and management plans to address the test accommodations not consistently administered to students with documented needs include:

1A. **Recommendation:** The Assessment Section should collaborate with the Office of Curriculum, Instruction, and Student Support (OCISS) to develop and provide training for the SPED Coordinators, Test Coordinators, and SSC to ensure there is a clear understanding of how the designated supports and accommodations are applied, and to ensure the supports and accommodations are administered consistently.

Management Plan: In January 2017, the Assessment Section communicated with OCISS SPED Director, Debra Farmer, on the need to provide training for SPED Department Heads, SSCs, care coordinators and other IEP team members on Accessibility and Accommodations for the Statewide Assessments. Communications were sent to all District Education Specialists (DES)

informing them of the Assessment Section's offer to conduct trainings in their districts. Many DESs responded and the Leeward District training occurred on January 18, 2017. Other districts are coordinating efforts and additional trainings are being planned in the months of February and March.

On January 19, 2017, the Assessment Section presented at the state DES meeting that was coordinated by OCISS. The DESs were provided with information and resources related to the proper identification and administration of accessibility options and accommodations for the statewide assessments. DESs will work with districts Resource Teachers to relay this information.

The Assessment Section is in the process of conducting Test Coordinator trainings throughout the state. Assessment Section staff members provide an accessibility and accommodations presentation that includes information about the proper identification, documentation, and administration of accommodations and accessibility options for the statewide assessments. Test Coordinators should be communicating this information with other school level staff including IEP team members.

The Assessment Section will collect feedback on the spring 2017 Accessibility and Accommodations Training and use this information to further develop and refine the training. A Fall 2017 Accessibility and Accommodations Training will be provided in conjunction with other fall 2017 trainings.

Anticipated Completion Date: September 30, 2017

1B. **Recommendation:** The Assessment Section should require the schools to have documentation of the designated supports identified for the students on file (e.g. IEP or Individual Student Assessment Accessibility Profile). Additionally, the Assessment Section should implement a process to monitor the designated supports to ensure they are appropriately provided.

Management Plan: The Assessment Section will collaborate with OCISS SPED to develop a plan for the requirement of documentation of designated supports for students with an IEP/504 Plan. While documentation for assessment purposes is the intent, management must consider the legal and practical implications tied to SPED procedures related to IEP/504 plans. The Assessment Section will follow the lead of the OCISS SPED section on this issue. Initial discussions have indicated that the earliest this requirement could be put in place would be SY 2017-18. It is currently anticipated that the new requirement will be posted in an official DOE memo before the end of SY 2016-17.

The Assessment Section has hired several individuals to fill key roles that were vacated last school year due to retirement, resignation, or change of position. The newest member will begin work as a Test Development Specialist on February 1, 2017 and will be assigned Accommodations Monitoring. This responsibility will include the monitoring of accessibility options (including designated supports) for all statewide assessments. Monitoring will be conducted both remotely and on-site to ensure proper identification and delivery of accessibility options. The results will be analyzed to determine additional training needs and shared with school level personnel.

Anticipated Completion Date: September 30, 2017

1C. **Recommendation:** All accommodations that are provided to students should be documented in the testing system. The Assessment Section should develop a process to analyze the population of students with disabilities with the accommodations that are documented in the testing system to identify anomalies and possible inconsistencies with the accommodations that are provided for the students during testing. Additionally, the data should be reviewed to identify students who may not have been provided with the accommodations appropriate for their disabilities.

Management Plan: Beginning SY 2016-17 the Assessment Section implemented a new procedure to verify accommodations that are manually entered into the TIDE system. The Assessment Section is now responsible for data input of all non-embedded accommodations and the most contentious embedded accommodation, text-to-speech. This new procedure is expected to reduce possibility of inaccurate information being entered into the TIDE system.

The new Test Development Specialist will be assigned the responsibility of accommodations monitoring. SY 2015-16 accommodations data will be analyzed to identify potential anomalies and possible inconsistencies and identified schools will be consulted and prioritized for both remote and onsite monitoring.

Anticipated Completion Date: June 30, 2017

Approved By: Tammi Oyadomari-Chun, Assistant Superintendent, Office of Strategy, Innovation and Performance

Contact Person: Tom Saka, Director, Office of Strategy, Innovation and Performance

Responsible Offices
Office of Strategy, Innovation and Performance

Observation Number: 2	
Observation: Insufficient number of computers/devices for testing, and technical issues experienced during testing.	**Rating: Low**

IA noted during the interviews with the Test Coordinators, comments relating to technology varied widely by school from having a sufficient number of devices for testing and few technical issues to not having enough devices, having aging devices, and experiencing a significant amount of technical issues. IA subsequently issued a survey to the Test Coordinators who participated in the interviews to obtain more specific data about the computers/devices they use for testing and their IT environment. The Test Coordinators expressed the following issues:

- Some schools have a limited number of the devices used for testing. Twenty six percent (26%) of the Test Coordinators indicated their school had an insufficient number of devices for testing.

- Schools experienced "freeze ups" during testing that required the devices to be rebooted. The "freeze ups" occurred indiscriminately and did not appear to be related to a certain type of computer or device. Some Test Coordinators expressed they experienced more problems with the aging computers. Forty eight percent (48%) of the Test Coordinators indicated they experienced "moderate" (40%) or "frequent" (8%) amount of technical issues. "Moderate" was defined as "Happens enough times to be a distraction during testing," and "Frequent" was defined as "It's a problem that needs to be addressed."

IA discussed the "freeze up" issue with the Office of Information Technology Services (OITS). OITS has an ongoing initiative to continually improve the IT infrastructure. Bandwidth priority is set for the entire testing window, and measures are taken to block certain gaming sites and streaming of video/audio sites. The bandwidth is actively monitored throughout the testing window, and there were no reported issues of the data lines being overloaded. Aging computers/devices, incorrect configuration or set up of the computers/devices may be possible sources of the problem.

Impact

Insufficient number of computers/devices for testing and technical issues experienced during testing may possibly lead to:
- Limited number of students that can be tested at one time, and can consequently extend the duration of the school's testing window.
- Disruption in teaching. Teachers who use devices for classroom lessons may be required to modify lesson plans when their devices are being used for testing.
- Disruption in learning. The computer lab and/or the library, if used for testing, are unavailable for classroom lessons during the testing window. Schools with a sufficient number of devices are transitioning to testing in the classrooms, thus freeing up the computer lab(s) and library.
- Discouragement for students. The "freeze ups" during testing are a source of distraction and frustration for students and faculty.
- Inability to revise answers. The answers to test questions inputted prior to the "freeze ups" are usually saved, but in some cases students are unable to revise answers to questions that were inputted prior to the "freeze up."

Recommendations and Management Plan

Recommendations to address the insufficient number of computers/devices for testing and the technical issues include:

2A. **Recommendation:** The complex areas and schools control the procurement of computers/devices and the types of computers/devices that are purchased. Management should encourage the Complex Area Superintendents to evaluate the computers/devices used for testing, and assess whether their schools have a sufficient number of computers/devices for testing and ensure the computers/devices are upgraded timely.

Management Plan: The issue of computers/devices for testing will be among the issues addressed at the February 2017 CAS meeting. Best practice resources for CASs and principals will be reviewed including the Hawaii Statewide Assessment Program System Requirements for Online Testing, 2016-17, the Technical Specifications Manual for Online Testing, 2016-17, and other technology-related resources located at alohahsap.org will be referenced. CASs will be encouraged to evaluate the computers/devices used for testing in their complex areas.

Anticipated Completion Date: February 28, 2017

2B. **Recommendation:** The Assessment Section should ensure the schools are properly preparing, testing and troubleshooting the computers/devices prior to the testing window. OITS is available for assistance if issues with the computers/devices persist.

Management Plan: The Assessment Section will work with OITS to develop a plan to provide assistance to school Technology Coordinators when there is sufficient evidence of school-level technology systems not performing to minimal expectations for statewide testing. The Assessment Section will identify schools in most need of support by analyzing Help Desk and web-based systems information and survey data. The Assessment Section will work with the identified schools to conduct stress tests of systems required for online test delivery and share results with those involved in school-level decision making with regards to technology needs.

The Assessment Section will also analyze systems and survey data for the purpose of making improvements to its Test Coordinator trainings, technology webinars, technology training modules and other technology related resources. A systems-approach to ensure that schools have properly tested computers/devices (based upon the WIDA/DRC model) will be explored and, at minimum, a manual approach implemented.

NOTE: Assessment Section staff members do not have the technical expertise to troubleshoot or repair computer hardware and/or software and rely on the complex area technology resources provided by OITS

Anticipated Completion Date: January 31, 2018

Approved By: Tammi Oyadomari-Chun, Assistant Superintendent, Office of Strategy, Innovation and Performance
Contact Person: Tom Saka, Director, Office of Strategy, Innovation and Performance
Responsible Offices
Office of Strategy, Innovation and Performance

Observation Number: 3	
Observation: Potential areas for process improvements.	**Rating: Low**

The Test Coordinators expressed a number of issues and concerns their schools encounter during the preparation and execution of the assessments. IA recorded the following items during the interviews:

- Students are subjected to too much testing, and the Test Coordinators feel there is a drop off in performance due to "burn out." It should be noted that in addition to the required statewide assessments, schools may elect to administer diagnostic, formative, and end-of unit assessments to evaluate student's abilities and progress.
- The test administration manual is extensive and thorough; however, a Quick Reference Guide would be helpful for the Test Administrators to use during testing.
- Scripts that are required to be read at the beginning of every test session are too long. A revision to reduce to the length of the scripts was made, but some Test Coordinators feel they are still too long.
- The family reports (with the student's results) are distributed after the school year of testing is completed. The reports are distributed to the schools where the students were tested. The schools are required to forward the family reports and labels to the student's new school if they graduated from elementary to intermediate/middle or intermediate/middle to high school. It would be more efficient if the reports could be distributed directly to the schools where they will be attending.
- Updates to the manuals are not made timely. The Smarter Balanced Summative Test Administration Manual 2016-2017 is not yet available as of December 2016, and some schools are beginning their preparations for the assessments.

Impact

Not reviewing potential areas for process improvements may possibly lead to:
- Process inefficiencies
- Frustration for faculty and students

Recommendations and Management Plan

Recommendations to address the potential areas for process improvement include:

3A. **Recommendation:** The Assessment Section should review and evaluate the issues expressed by the Test Coordinators, and where possible, consider improvements to their processes that would help the schools in their planning and execution of the assessments.

Management Plan: The Assessment Section Test Developers will review and evaluate the issues expressed by the Test Coordinators who were involved in this audit process. In addition, Help Desk information, training surveys, end-of-year surveys, and webinar Q&A and chat information will continue to be reviewed to identify issues raised by Test Coordinators that require follow-through.

The Assessment Section implements systems development life-cycle concepts that foster continuous improvement efforts to improve overall operations. The Assessment Section will continue to advocate for Test Coordinators when given the opportunity to affect decision-making.

Anticipated Completion Date: June 30, 2017

Approved By: Tammi Oyadomari-Chun, Assistant Superintendent, Office of Strategy, Innovation and Performance

Contact Person: Tom Saka, Director, Office of Strategy, Innovation and Performance

Responsible Offices
Office of Strategy, Innovation and Performance

IA wants to acknowledge the Assessment Section for the testing security processes and controls that are in place. No significant issues or weaknesses were noted during our review. The Assessment Section has a Test Security Plan in place, the policies and procedures are well documented and communicated to all levels of management and staff. Training for test security is provided to the Test Coordinators and Test Administrators, and a security incident report is available to report security incidents timely. The Assessment Section reviews, logs, and responds to the security incidents reported, and they identify schools to visit for their monitoring reviews. They are in the process of procuring the services of a consulting services company to perform data forensics, web monitoring, and school visits during the testing window that will increase the effectiveness of the security processes.

The Test Coordinators were very complimentary of the Student Assessment Section team for their professionalism, responsiveness, and willingness to assist whenever possible.

We wish to express our appreciation for the cooperation and assistance afforded to the review team by Management and staff during the course of this review.