

**U.S. Department of Education**  
**Washington, D.C. 20202-5335**

**APPLICATION FOR GRANTS**  
**UNDER THE**

**Competitive Grants for State Assessment Program**

**CFDA # 84.368A**

**PR/Award # S368A190007**

**Grants.gov Tracking#: GRANT12824056**

OMB No. 1894-0006, Expiration Date: 01/31/2021

Closing Date: Mar 29, 2019

PR/Award # S368A190007

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This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

There were problems converting one or more of the attachments. These are: 1241-6.6 CAAELP Project Proposal - State Letters of Intent.pdf

## Application for Federal Assistance SF-424

\* 1. Type of Submission:

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

\* 2. Type of Application:

- ☒ New  
☐ Continuation  
☐ Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

03/28/2019

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

### 8. APPLICANT INFORMATION:

\* a. Legal Name:

Iowa Department of Education

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

90-0743434

\* c. Organizational DUNS:

8083465550000

### d. Address:

\* Street1:

Grimes State Office Building

Street2:

400 E 14th Street

\* City:

Des Moines

County/Parish:

\* State:

IA: Iowa

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

50319-0146

### e. Organizational Unit:

Department Name:

Division Name:

### f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

Dr.

\* First Name:

Erika

Middle Name:

\* Last Name:

Cook

Suffix:

Title:

Bureau Chief

Organizational Affiliation:

Standards and Curriculum

\* Telephone Number:

(515) 240-3103

Fax Number:

\* Email:

erika.cook@iowa.gov

PR/Award # S368A190007

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## Application for Federal Assistance SF-424

### \* 9. Type of Applicant 1: Select Applicant Type:

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

\* Other (specify):

### \* 10. Name of Federal Agency:

Department of Education

### 11. Catalog of Federal Domestic Assistance Number:

84.368

CFDA Title:

Competitive Grants for State Assessments (formerly Grants for Enhanced Assessment Instruments)

### \* 12. Funding Opportunity Number:

ED-GRANTS-012819-001

\* Title:

Office of Elementary and Secondary Education (OESE): Competitive Grants for State Assessments  
Program CFDA Number 84.368A

### 13. Competition Identification Number:

84-368A2019-1

Title:

Competitive Grants for State Assessment Program

### 14. Areas Affected by Project (Cities, Counties, States, etc.):

Add Attachment

Delete Attachment

View Attachment

### \* 15. Descriptive Title of Applicant's Project:

Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**U.S. DEPARTMENT OF EDUCATION  
BUDGET INFORMATION  
NON-CONSTRUCTION PROGRAMS**

OMB Number: 1894-0008  
Expiration Date: 08/31/2020

Name of Institution/Organization

Iowa Department of Education

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY  
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel	4,685.00	4,685.00	8,433.00	11,244.00		29,047.00
4. Equipment						
5. Supplies						
6. Contractual	1,767,238.00	1,601,413.00	1,914,853.00	2,483,998.00		7,767,502.00
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)	1,771,923.00	1,606,098.00	1,923,286.00	2,495,242.00		7,796,549.00
10. Indirect Costs*	6,204.00	6,204.00	6,987.00	7,575.00		26,970.00
11. Training Stipends						
12. Total Costs (lines 9-11)	1,778,127.00	1,612,302.00	1,930,273.00	2,502,817.00		7,823,519.00

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☒ Yes ☐ No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2018 To: 06/30/2020 (mm/dd/yyyy)

Approving Federal agency: ☒ ED ☐ Other (please specify):

The Indirect Cost Rate is 20.90 %.

(3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? ☐ Yes ☐ No If yes, you must comply with the requirements of 2 CFR § 200.414(f).

(4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages?  
☐ Yes ☐ No If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.

(5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

☐ Is included in your approved Indirect Cost Rate Agreement? Or, ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is %.

PR/Award # S368A190007



## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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Prescribed by OMB Circular A-102

PR/Award # S368A190007

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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.
19. Will comply with the requirements of Section 106(g) of the Trafficking Victims Protection Act (TVPA) of 2000, as amended (22 U.S.C. 7104) which prohibits grant award recipients or a sub-recipient from (1) Engaging in severe forms of trafficking in persons during the period of time that the award is in effect (2) Procuring a commercial sex act during the period of time that the award is in effect or (3) Using forced labor in the performance of the award or subawards under the award.

<b>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</b>	<b>TITLE</b>
Cathryn Still	Administrator, School Finance and Support
<b>APPLICANT ORGANIZATION</b>	<b>DATE SUBMITTED</b>
Iowa Department of Education	03/28/2019

Standard Form 424B (Rev. 7-97) Back





## NOTICE TO ALL APPLICANTS

OMB Number: 1894-0005  
Expiration Date: 04/30/2020

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

### To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

### What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may

be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

### What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.
- (4) An applicant that proposes a project to increase school safety might describe the special efforts it will take to address concern of lesbian, gay, bisexual, and transgender students, and efforts to reach out to and involve the families of LGBT students.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

### Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain benefit (Public Law 103-382). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1894-0005.

**Optional - You may attach 1 file to this page.**

1243-CAAEIP Project Proposal - GEPA sectio

Add Attachment

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**Iowa Department of Education's Collaborative for Alternate Assessment of English  
Language Proficiency (The CAAELP Project)  
General Education Provisions Act (GEPA)**

This provision is Section 427 of the U. S. Department of Education's General Education Provisions Act (GEPA), enacted as part of improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

The Collaborative for Alternate Assessment of English Language Proficiency (CAAELP) will be a collaborative effort led by Iowa, as the lead state and fiscal agent, in coordination with the National Center for Research, Evaluation, Standards, and Student Testing (CRESST at UCLA), CAAELP member states, and nationally-recognized experts and organizations. The CAAELP consortium will develop a new set of English language assessments, based on CCSSO's alternate ELP standards, to better serve English Learners with significant cognitive disabilities (ELSCDs). The project, and its resulting summative ELP assessment, is designed to enhance inclusion, accessibility, test administration and accommodations practices in ELP assessment so that the full range of English Learners, including those with significant cognitive disabilities, can participate in assessment and demonstrate their knowledge and skills as they pertain to English language development and proficiency. The assessment developed by the project will rest on a foundation of alternate achievement standards written specifically for the ELSCD population (the CCSSO Alternate ELP Standards) and will produce valid and reliable assessment scores that can be used to measure growth in the subgroup of English Learners with significant cognitive disabilities. This will enhance the usage of assessment results to improve teaching of and performance of ELSCD

students in English language acquisition and, ultimately, in core content areas.

The CAAELP assessment will be designed to conform to industry standards and the professional Standards for Educational and Psychological Testing (AERA, APA, and NCME, 1999). These Standards provide technical guidance for ensuring fairness in testing. For example, the CAAELP will use practices to ensure assessments will be unbiased toward any subgroup (e.g., disability, gender, and native language) and designed to be administered so ELSCDs can access and are included in the assessment. The CAAELP proposal provides for thoughtful and appropriate accommodations for English Learners with significant cognitive disabilities, and will develop strategies to assess those English Learners with the most severe cognitive disabilities who are eligible to participate in alternate assessments that are based on alternate academic achievement standards. Iowa will require an assurance from the CRESST and any testing vendors, identified in the proposal or to be identified during the course of the grant, to meet the compliance requirements of GEPA.

Iowa assures equitable access and participation in all grant opportunities or activities, regardless of any barriers, including:

- Gender
- Race
- National origin
- Language
- Color

- Disability
- Age

Iowa Department of Education does not discriminate on the basis of sex, race/ethnicity, religion, national origin, age, or disability in its services and activities. It provides reasonable and appropriate accommodations for all activities affiliated with this project to meet the needs of a diverse group of participants.

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## CERTIFICATION REGARDING LOBBYING

### Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any 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 this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### \* APPLICANT'S ORGANIZATION

Iowa Department of Education

#### \* PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE

Prefix: Dr. \* First Name: Matthew Middle Name:   
\* Last Name: Coulter Suffix:   
\* Title: Administrator, School Finance and Support

\* SIGNATURE: Cathryn Still

\* DATE: 03/28/2019

U.S. DEPARTMENT OF EDUCATION  
SUPPLEMENTAL INFORMATION  
FOR THE SF-424

OMB Number: 1894-0007  
Expiration Date: 09/30/2020

**1. Project Director:**

Prefix:	First Name:	Middle Name:	Last Name:	Suffix:
Dr.	Erika		Cook	

Address:

Street1:	Grimes Office Building
Street2:	400 E 14th Street
City:	Des Moines
County:	
State:	IA: Iowa
Zip Code:	50319-0146
Country:	USA: UNITED STATES

Phone Number (give area code)	Fax Number (give area code)
(515) 240-3103	

Email Address:

erika.cook@iowa.gov
---------------------

**2. Novice Applicant:**

Are you a novice applicant as defined in the regulations in 34 CFR 75.225 (and included in the definitions page in the attached instructions)?

☐ Yes ☒ No ☐ Not applicable to this program

**3. Human Subjects Research:**

a. Are any research activities involving human subjects planned at any time during the proposed Project Period?

☒ Yes ☐ No

b. Are ALL the research activities proposed designated to be exempt from the regulations?

☒ Yes Provide Exemption(s) #: ☒ 1 ☒ 2 ☐ 3 ☐ 4 ☐ 5 ☐ 6

☐ No Provide Assurance #, if available:

--

c. If applicable, please attach your "Exempt Research" or "Nonexempt Research" narrative to this form as indicated in the definitions page in the attached instructions.

1244-CAAELP Project Proposal - Human Subjects Na

Add Attachment

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**The Iowa Department of Education Collaborative for the Alternate Assessment of English  
Language Proficiency (CAAELP) Project**

**U.S Department of Education Supplemental Information for the SF-424**

**Exempt Research Narrative**

There is much to be gained from the availability of a valid and reliable assessment of English language proficiency for English learners with significant cognitive disabilities. While English language proficiency tests have been used for years in determining appropriate placement and progress of English learners, they have not typically been accessible to all English learners, especially those with significant cognitive disabilities. The inclusion, by ESSA, of this subgroup of students into Title I Peer Review and accountability measures, as well as heightened focus on educational fairness and equity (e.g., Standards for Educational and Psychological Testing [AERA, APA, NCME, 2014]), make the availability of a valid alternate English language proficiency assessment imperative.

The results of such an assessment system will provide states, districts, schools, and other stakeholders (e.g., parents/caregivers) with critical information on the degree to which students are receiving English language-related instruction that is appropriate to the academic content they are learning, and assist in distinguishing delays in English language development. The next generation standards (e.g., Common Core State Standards, Next Generation Science Standards) place an unprecedented emphasis on the important role that language plays in accessing and achieving content standards. The new alternate English language proficiency assessment will be the yardstick to help us determine how well we are preparing English learners with significant



cognitive disabilities to meet the linguistic challenges associated with these next generation standards and be prepared for college, careers, and participation in their communities.

The project's planned activities occur in established and commonly accepted educational settings in support of the improvement of an assessment system for English language proficiency. The project falls under **Exemption 1**:

*Research conducted in established or commonly accepted educational settings that specifically involves normal educational practices that are not likely to adversely impact students' opportunity to learn required educational content or the assessment of educators who provide instruction. This includes most research on regular and special education instructional strategies and research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.*

Human subjects will participate in the activities of the project. Because the new assessments are for students in grades K-12 who are English learners (EL) with significant cognitive disabilities, it is essential that these instruments be piloted and field tested with this population. Students involved in this project will likely be between 5 and 19 years of age. They will be drawn from a population of students who speak a language other than English in their home. Some of these students will be immigrants to the U.S. Others will be American-born sons and daughters of immigrants to the U.S. A representative sample of students will participate in the data collection to help validate the assessment system. The exact number of students who will participate in pilot testing is unknown at this time.

There are no real or perceived risks associated with students' participation in this project. Their participation will entail taking one or more English language proficiency assessments or otherwise interacting with test items, such as in an item tryout environment. They will be made aware of the fact that the scores from these assessments will not be used in making any educational or programmatic decisions. Nor will anyone other than the designated UCLA staff, test developers, and SEA/LEA representatives have access to the results. The data will strictly be used to determine the reliability and validity of the assessments in terms of measuring English language proficiency. Therefore, no physical, psychological, social, or legal harm, nor adverse effects, will come to subjects as a result of their participation in this project.

The planned activities of the project also fall under **Exemption 2:**

*Research that only includes interactions involving educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior (including visual or auditory recordings) if at least one of the following criteria is met: i) the information obtained is recorded by the investigator in such a manner that the identity of the human subjects cannot readily be ascertained, directly or through identifiers linked to the subjects...*

The investigators on the study team will not participate in the activities being observed. The data resulting from the tests that are taken by the human subjects will be collected and those data will be recorded for purposes of validation of the assessment. The test data to be collected will be

collected solely for aggregate statistical purposes and will not be personally identifiable. Any signed consent forms will be stored separately from subjects' other data. Any direct identifiers will be removed once the data are matched. Student results will be aggregated such that no individual student can be identified.

For any one-to-one interaction with the human subjects, state representatives from the participating Departments of Education will reach out to districts with known EL populations and ask for their assistance in identifying a pool of students to take the assessments. Districts will then follow local policy in communicating with the families of all identified students. All students who meet the criteria (i.e., are in grades K-12, are identified as an English learner, and have a significant cognitive disability and/or have been identified as eligible to participate in states' alternate content assessments), will be eligible to be included in the project activities.

As mentioned above, there are no real or perceived risks associated with human subjects' participation in this project. Nevertheless, the following precautions will be taken:

- To prevent the disclosure of individual students' test scores to individuals who are not a part of the study team or approved contractors, all data (whether collected in paper or electronically) will be treated with the utmost sensitivity and security. If paper, it will be kept in a locked file cabinet in a secure location until such data can be entered into a spreadsheet, statistical software program, or online database. If electronic, the data will be stored on a secure server that is password protected with limited access. Such precautions are likely to be highly effective in preventing the misuse of the data.

- In terms of monitoring the data that are collected, test proctors will be trained to ensure that recorded responses are not shared with other students, nor with individuals who are not a part of the study team or approved contractors.

## Abstract

The abstract narrative must not exceed one page and should use language that will be understood by a range of audiences. For all projects, include the project title (if applicable), goals, expected outcomes and contributions for research, policy, practice, etc. Include population to be served, as appropriate. For research applications, also include the following:

- Theoretical and conceptual background of the study (i.e., prior research that this investigation builds upon and that provides a compelling rationale for this study)
- Research issues, hypotheses and questions being addressed
- Study design including a brief description of the sample including sample size, methods, principals dependent, independent, and control variables, and the approach to data analysis.

[Note: For a non-electronic submission, include the name and address of your organization and the name, phone number and e-mail address of the contact person for this project.]

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## **Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP)**

### **Abstract**

Iowa, the lead state for the Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) project, is applying for funding under Title VI, Part A, Subpart I, Section 6112: Enhanced Assessment Instruments. CAAELP includes the states of Arizona, Arkansas, Louisiana, Nebraska, New York, Ohio, Oregon, Washington, and West Virginia. The state partners, along with the National Center on Evaluation, Standards, and Student Testing at UCLA as project management partner, and experts from leading educational organizations and institutes of higher education propose to design a summative alternate English language proficiency assessment (ALT-ELPA) for those English Learners with Significant Cognitive Disabilities (herein referred to as ELSCDs), which is required by the Elementary and Secondary Education Act, as amended by the Every Student Succeeds Act (2015).

The CAAELP Project meets the following **Absolute Priorities**: Absolute Priority 1 — Developing or improving assessments for English learners, including assessments of English language proficiency; Absolute Priority 3 — Developing or improving assessments for children with disabilities, including alternate assessments aligned to alternate academic achievement standards for students with the most significant cognitive disabilities; Absolute Priority 4 — Allowing for collaboration with institutions of higher education, other research institutions, or other organizations to improve the quality, validity, and reliability of State academic assessments; and Absolute Priority 6 — Evaluating student academic achievement through the development of comprehensive academic assessment instruments ... that emphasize the mastery of standards and aligned competencies in a competency-based education model.

Many states lack an assessment of ELP for their ELSCDs and therefore are out of compliance with this federal requirement for such an annual assessment. Thus, to help states meet this requirement, CAAELP proposes to design and develop the ALT-ELPA, along with related professional development services intended to lead to improvements in practice among the recipients of those services, and plans for sustaining the assessment program. The ALT-ELPA will be accessible to ELSCDs so that they can fully demonstrate what they know and can do, this assessment will measure students' progress toward ELP, and its outcomes will inform appropriate program placement and targeted instruction for students.

The ALT-ELPA will be based on ELP standards (Council of Chief State School Officers, 2019) that include knowledge and skills derived from the four recognized domains of speaking, listening, reading, and writing and adjusted in terms of depth, breadth, and complexity to be grade-appropriate for ELSCDs (e.g., Quenemoen & Thurlow, 2015). It will include technology-enhanced items and will be delivered online. The digital delivery of ALT-ELPA affords a range of accessibility features and tools to meet students' individual needs. The assessment outcomes aim to inform targeted instruction of ELSCDs. Generally, state partners will gain insights on the meaning and application of information from ALT-ELPA scores to improve instruction of ELSCDs, ensure fidelity of implementation of standards and assessment, and contextualize information to state factors, policies, and practices. The CAAELP project builds local capacity at the state level to provide, improve and expand services for ELSCDs through a number of key ways outlined in this proposal. Through extensive dissemination efforts and our broad-based stakeholder engagement, the CAAELP Project will contribute to a comprehensive effort to improve teaching and learning for ELSCDs and support the implementation of alternate ELP standards that the ALT-ELPA will be aligned to.

## Project Narrative File(s)

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\* **Mandatory Project Narrative File Filename:**

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## **Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP)**

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## **Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP)**

The State of Iowa is applying for funding under Title VI, Part A, Subpart I, Section 6112: Enhanced Assessment Instruments “to enhance the quality of assessment instruments and systems used by States for measuring student achievement.” Iowa is the lead state for the Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project, which also includes the states of Arizona, Arkansas, \*<sup>1</sup>Louisiana, Nebraska, New York, Ohio, Oregon, Washington, and West Virginia. The CAAELP Project proposes to break new ground by creating the nation’s first standards-based alternate assessment of English language proficiency (ELP) for those English Learners with Significant Cognitive Disabilities (herein referred to as ELSCDs).

This project meets the following **Absolute Priorities**:

- **Absolute Priority 1**: Developing or improving assessments for English learners, including assessments of English language proficiency as required under section 1111(b)(2)(G) of the ESEA and academic assessments in languages other than English to meet the State’s obligations under section 1111(b)(2)(F) of the ESEA.
- **Absolute Priority 3**: Developing or improving assessments for children with disabilities, including alternate assessments aligned to alternate academic achievement standards for students with the most significant cognitive disabilities described in section 1111(b)(2)(D) of the ESEA, and using the principles of universal design for learning.
- **Absolute Priority 4**: Allowing for collaboration with institutions of higher education, other research institutions, or other organizations to improve the quality, validity, and

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<sup>1</sup> A Letter of Intent will not be secured in time for submission; however, Louisiana has 3 representatives on the ALT-ELPA Task Force and is committed to the Collaborative.

reliability of State academic assessments beyond the requirements for such assessments described in section 1111(b)(2) of the ESEA.

- **Absolute Priority 6:** Evaluating student academic achievement through the development of comprehensive academic assessment instruments (such as performance and technology-based academic assessments, computer adaptive assessments, projects, or extended performance task assessments) that emphasize the mastery of standards and aligned competencies in a competency-based education model.

Under the Government Performance and Results Act (GPRA), the following performance indicators have been established to evaluate the overall effectiveness of the Competitive Grants for State Assessments: **(1)** The percentage of grantees, for each grant cycle, that demonstrate significant progress towards improving, developing, or implementing a new model for measuring the achievement of students. **(2)** The percentage of grantees, for each grant cycle, that demonstrate collaboration with institutions of higher education, other research institutions, or other organizations to develop or improve state assessments. **(3)** The percentage of grantees that, at least three times during the period of their grants, make available to SEA staff in non-participating States and to assessment researchers' information on findings resulting from the Competitive Grants for State Assessments program through presentations at national conferences, publications in refereed journals, or other products disseminated to the assessment community. The CAAELP Project has been thoughtfully designed to meet all three GRPA measures and will report on each of the three measures through the annual progress report.

**(a) Need for project**

The Elementary and Secondary Education Act (ESEA), as amended by the Every Student Succeeds Act (ESSA) (2015), requires states to annually assess English proficiency of all students identified as English learners (ELs), including those with the most significant cognitive

disabilities (Section 3111(b)(2)(G)). States are now required to develop alternate assessments of ELP for ELSCDs (ESEA section 1111(b)(2)(G); 34 CFR § 200.6(h)(1), (5)), and these assessments must be based on ELP standards that include knowledge and skills derived from the four recognized domains of speaking, listening, reading, and writing (ESEA section 1111(b)(1)(F); 1111(b)(2)(G); 34 CFR §§ 200.2(b)(2), (b)(4), (b)(5), 200.6(h)(2)). For alternate assessments, the ELP standards that apply to all other ELs (i.e., those without significant cognitive disabilities) can be adjusted in terms of depth, breadth, and complexity yet still assess the "same" grade-appropriate content for ELSCDs (e.g., Quenemoen & Thurlow, 2015). Additionally, students administered this assessment can be held to alternate achievement standards (Rooney, 2017). Many states, however, are currently out of compliance with this requirement for an annual assessment of English proficiency of all students identified as ELs because they do not have access to an alternate ELP assessment, or are using an assessment that is not aligned to state-adopted standards (see relevant discussion below). More specifically, states do not have a valid and fair ELP assessment appropriate for their ELSCDs.

Various policies have been enacted to make sure that students with special needs, broadly speaking, receive appropriate educational services so that they can achieve in school and be prepared for college and careers (e.g., Individuals with Disabilities Education Act [IDEA], 2004). However, despite such legislation, research shows that an achievement gap persists between students with special needs and their general education peers (e.g., Hanover Research, 2014; Mueller, Singer, & Grace, 2004; Samuels, 2018). Furthermore, while documentation exists to help ensure valid and fair assessment of students with special needs (e.g., Standards for Educational and Psychological Testing, AERA, APA, & NCME, 2014) so that assessment outcomes can inform student placement into appropriate programs, and students can receive targeted instruction to meet their needs, many states do not have a valid and fair assessment of

the particular segment of the students with special needs who are ELSCDs vis-a-vis proficiency in English (see relevant discussion below).

Thus, to help states meet the requirement of including ELSCDs in an alternate ELP assessment, the CAAELP Project proposes to design and develop the ALT-ELPA, along with related professional development services intended to lead to improvements in practice among the recipients of those services and plans for sustaining the assessment program. The ALT-ELPA will be accessible to ELSCDs so they can fully demonstrate what they know and can do. It will measure students' progress toward attaining ELP, and its outcomes will inform appropriate program placement and targeted instruction for students.

### **Specific Gaps or Weaknesses in Services, Infrastructure, or Opportunities...**

**Defining the population and its accessibility and accommodations needs.** A challenge with meeting the requirement of an annual alternate ELP assessment is that there currently is no agreed-upon definition of the relatively small and diverse population of students who are ELSCDs (Christensen, Gholson, & Shyyan, 2018; Christensen, Mitchell, Shyyan, & Ryan, 2018; Council of Chief State School Officers [CCSSO], 2019; Thurlow, Christensen, & Shyyan, 2016). Many states have definitions for “students with significant cognitive disabilities” (Thurlow, Lazarus, Larson, Albus, Liu, & Kwong, 2017). However, these definitions do not address how also being an EL might change this definition. Without an explicit definition of this student population, there is variability in identification, and the full range of students' accessibility and accommodations needs may not be met; consequently, there are implications for the assessment's validity because students are misidentified, or because students may not be provided the accessibility and accommodations support(s) needed to fully demonstrate what they know and can do. Although the current 13 disability categories in IDEA (2004) provide insight into some of the characteristics of students with significant cognitive disabilities, they do not define what

ELs in the ELSCD population know and can do; nor do they reflect the nuance of culture and new language acquisition (Thurlow, Wu, Quenemoen, & Towels, 2016; CCSSO, 2019). Both disability- and language-related challenges exist in defining and identifying students who are ELSCDs, as well as meeting their accessibility and accommodations needs (Christensen, Gholson, & Shyyan, 2018; Christensen, Mitchell, Shyyan, & Ryan, 2018). Currently, none of the ten CAAELP state partners has a state-adopted definition of the student population "English learners with significant cognitive disabilities." However, each of these states has either begun the development of or has a procedure in place for identifying students in this population.

CAAELP will build on the existing framework of research and thought leadership to make explicit a population definition and to collaboratively determine the accessibility and accommodations needs of the students, as part of a foundation for a valid ALT-ELPA: 1) ELP Standards for English Learners with Significant Cognitive Disabilities (CCSSO, 2019); 2) Theory of Action: Alternate Assessment of English Language Proficiency for ELs with the Most Significant Cognitive Disabilities (ELPA21, 2018); 3) Alt-ELPA21 Participation Guidelines (ELPA21, 2018); 4) Accessibility and Accommodations Wish Lists (ELPA21, 2018); 5) Developing an Alternate ELPA21 for English Learners with the Most Significant Cognitive Disabilities: ELPA21 White Paper (Thurlow, Liu, Goldstone, Albus, & Rogers, 2018); and 6) recent research by the Alternate English Language Learning Assessment (ALTELLA) project (e.g., Christensen, Gholson et al., 2018).

**Comprehensive Alternate ELP Assessment.** Currently, there is no assessment aligned to alternate ELP standards allowing ELSCDs to signify proficiency in English; thus, current assessments do not yield information for exiting EL services or for reclassification. A significant number of states need an alternate ELP assessment that aligns with alternate ELP Standards and that will provide data for exiting and reclassification. CAAELP will offer states an assessment

for their ELSCDs that meets federal requirements. The ALT-ELPA, which will be aligned to the CCSSO ELP Standards for English Learners with Significant Cognitive Disabilities (2019), will include academic English language students need to access and achieve grade-appropriate content taught in English. Additionally, the ALT-ELPA will include technology-enhanced items and will be delivered online. The digital delivery of ALT-ELPA affords a range of accessibility features and tools to meet students' individual needs and will allow ELSCDs to demonstrate their full range of ELP knowledge and skills and achieve proficiency.

**Magnitude of need.** The numbers of ELSCDs reported in this table may be lower than actual numbers because of challenges related to, for example, an absence of a definition of the student population and/or there is no relevant assessment information available for students in the lower grades (i.e., Kindergarten, Grade 1, Grade 2). *Table 1* below shows the number of students currently identified reported as ELSCDs by each CAAELP state.

*Table 1.* Number of Currently Identified ELSCDs by CAAELP State

State	AR	IA	NY	WA	NE	LA	WV	OR	AZ	OH	Sum
# of ELSCDs	500	390	5343	1033	50	84	20	621	629	630	<b>9,300</b>

This student population is relatively small compared to the number of students taking the general ELP assessment, but the need for a valid, reliable assessment for this population is critical.

Even if accurately identified, ELSCDs inherently face multiple challenges related to learning content and developing proficiency in English, often made more complex by the integration of the student's augmentative and alternative communication system (AAC). AAC can take many forms, including gestures, facial expressions, print, or electronic devices, picture and word communication boards, and some students use a combination of AAC types (American

Speech-Language-Hearing Association, n.d.). Additionally, students' needs can change over time as they develop their proficiency in English, obtain greater facility with any assistive device(s) they may use, and increase their understanding of content (Shyyan & Christensen, 2018).

Incorporating a vast range of AACs into assessment, coupled with thoughtfully addressing ELSCDs other learning opportunities and challenges, makes assessment of ELSCDs extremely complex and can have profound implications for the validity of interpretations or assessment results. Assessment of this student population is not an insignificant task. Nonetheless, these students' needs to access and attain proficiency in English is critical (Huff & Christensen, 2018).

#### **(b) Significance**

For ELSCDs, proficiency in English enables access to needed academic knowledge and skills they will need as they move through school and toward post-school options (Sanford, Newman, Wagner, Cameto, Knokey, & Shaver, 2011). The CAAELP Project will build local capacity at the state level to provide, improve and expand services for ELSCDs through a number of key ways outlined in this proposal.

One essential aspect of the CAAELP Project is its State Communities of Practice (CoP). CAAELP will guide states in creating local CoPs to support provision of, improvement on, expansion of, and sustainability of services that address the needs of ELSCDs. Given the complexity and variability of the language- and disability-related needs of ELSCDs (Shyyan, Gholson, & Christensen, 2018), the state-level CoPs will convene teams with a range of relevant experience and expertise (e.g., second language acquisition, special education, service professionals, parent advocates). Through the CoPs, CAAELP will build local capacity to provide, improve, and expand services that address the needs of ELSCDs in conjunction with a number of key project outcomes, including: a definition of the student population; accessibility and accommodations guidelines; the assessment and its task types; and highly sustainable



professional learning. Knowledge gained from the CAAELP Project can be used to create professional development, for example, that helps advance understanding of the student population and is contextualized for each state in terms of its policies and practices. Educators can share promising practices across partner states on topics such as meeting the specific accessibility needs of students, instructional strategies, and methods for assessing students' progress toward ELP (e.g., accessible classroom assessment tasks). Doing so promotes effective transfer of research to practice.

State partners will gain a greater understanding of the ELSCD population, its range of characteristics, and needs. CAAELP's definition of the student population and specification of the accessibility and accommodations needed to help students demonstrate what they know and can do will help advance the knowledge and practices of the field, since research shows that students with significant cognitive disabilities, in general, may not be receiving the language services they need. For example, teachers from five states participating in focus groups on ELs with disabilities (Liu, Goldstone, Thurlow, Ward, Hatten, & Christensen, 2013) indicated that ELs with certain types of disabilities or for whom there did not exist an appropriate ELP assessment, such as an alternate assessment, simply did not participate in an ELP assessment. Furthermore, state policies provided ways for these and other ELs with disabilities not to participate in all or part of the ELP assessment (Rieke, Lazarus, Thurlow, & Dominguez, 2013). A clear population definition and means for providing ELSCDs access and accommodations will support more appropriate, inclusive practices for these students.

Additional factors confound assessment of this population, including instructional factors. As noted in the results of classroom observations and educator interviews conducted by ALTELLA researchers, many educators admitted they did not evaluate student use of English in the classroom, formally or informally. Among those who did evaluate student use of English in

the classroom, there was considerable variation in the level of formality of the evaluations, the intervals, and the conditions for the evaluations (Christensen & Mitchell, 2018). Thus, State partner knowledge and practice will also be informed and advanced by the project. The task types for the ALT-ELPA will undergo a process of development (e.g., expert reviews, statistical analyses) that will help ensure they are accessible to ELSCDs, and that they measure the English language knowledge and skills they are intended to measure. These task types can serve as models in terms of, for example, an accessible and instructionally aligned format to evaluate students' use of English and adjust instruction.

The ALT-ELPA aims to yield results that will inform targeted instruction of ELSCDs. CAAELP will build on a foundation of effective practice and knowledge, including the technology-based alternate assessments of the Dynamic Learning Maps (DLM) and Multi-State Alternate Assessment (MSAA) consortia, models of cognition for students with significant cognitive disabilities (Kleinert, Browder, Towels-Reeves, 2009), the instruction and assessment of ELSCDs, (e.g., Liu, Thurlow, & Quenemoen, 2015; Christensen & Mitchell, 2018), and language and communication of ELSCDs (e.g., Huff & Christensen, 2018; Christensen & Shyyan, 2018). Generally, state partners will gain insights on the meaning and application of ALT-ELPA scores to improve instruction of ELSCDs and ensure fidelity of implementation of standards and assessment.

Additionally, as mentioned previously, while the ELSCD population is relatively small, developing and implementing an accessible, fair, and valid assessment for these students is a complex undertaking and a significant investment of public funds and expert time. Therefore, CAAELP will develop a sustainability plan for the assessment system, based on existing templates and processes in use at CRESST and will lay groundwork for sustainability (e.g., Communities of Practice and ongoing assessment validation) so that Collaborative states have

tools and information to maintain, validate, and sustain the ALT-ELPA. Relevant lessons learned and best practices of the DLM, MSAA, and ELPA21 consortia will inform CAAELP's sustainability plan so that state partners will continue to benefit from sharing the responsibility of meeting accountability requirements related to assessing ELSCDs.

**(c) Quality of the project design**

*(1) The extent to which the goals, objectives, and outcomes to be achieved...*

The goals, objectives, outputs, and outcomes are included in the Project Design Map, *Table 2*, below. The three goals and their associated objectives, outputs, and outcomes support the achievement of the proposed project and are clearly specified and measurable in their aim to develop a summative alternate ELP assessment for ELSCDs. The alignment between the goals and the Absolute Priorities is also a key element of the project design. Goal 1 is aligned to Absolute Priorities 1, 3 and 6. Goal 2 is aligned to Absolute Priorities 1 and 4. Goal 3 is aligned to Absolute Priority 4.

*Table 2. Project Design Table*

<b>GOAL 1: To develop an alternate summative assessment of English language proficiency, based on alternate performance expectations for English language development, to be administered to English Learners with significant cognitive disabilities (ELSCDs).</b>
<b>Objective 1.1:</b> to fully understand the range of language proficiency knowledge and skills of ELSCDS through an alternate ELP assessment
<b>Activities:</b> (a) Design Assessment, (b) Create/Confirm Blueprint, (c) Draft Reporting PLDs (d) Specify Item Bank, (e) Facilitate TAC
<b>Outputs:</b> Assessment Design, Blueprint, Draft Reporting Performance Level Descriptors (PLDs), Definition of Proficiency, Item Bank Specification, Guidance from TAC

<b>Outcomes:</b> ALT-ELPA assessment that assesses the entire range of ELSCD performance.
<b>Objective 1.2:</b> to design assessment items that are fully accessible and allow students to demonstrate their language knowledge and skills across a spectrum of communication mechanisms
<b>Activities:</b> (a) Identify Item Templates, (b) Develop Sample Items, (c) Develop Field Test Items, (d) Perform Item Reviews, (e) Perform Field-Test Review, (f) Lock Operational Items
<b>Outputs:</b> Sample Item Batch, Field Test Pool, Operational Item Pool, Item Design Specifications <b>Outcomes:</b> An item bank of fully accessible items; assessment data that reflects the full range of ELSCDs proficiency across the four language domains.
<b>Objective 1.3:</b> to develop assessment administration protocols, an accommodations program, and test directions that fully support ELSCDs in accessing the assessment
<b>Activities:</b> (a) Create Accessibility Manual, (b) Design Test Directions for Administration.
<b>Outputs:</b> Accessibility Manual (Pilot, Field Test, and Operational Versions), Test Directions for Administration (Pilot, Field Test, and Operational Versions) <b>Outcomes:</b> ALT-ELPA accommodations program that provides students with accessible supports, accommodations, and a testing experience that mirrors instructional accommodations.
<b>Objective 1.4:</b> to establish and implement a consistent and fair definition of ELP for ELSCDs
<b>Activities:</b> (a) Conduct Standard Setting, (b) Set Performance Expectations, (c) Verify Correspondence with ALT-ELPA Standards, (d) Finalize PLDs, (e) Create Proficiency Definition for ELSCDs, (f) Create Individual Student Report (ISR) Template
<b>Outputs:</b> Performance Expectations, Performance Level Descriptors, Definition of Proficiency for ELSCDs, Score Scales, Cut Scores, Individual Student Report (ISR) Template

<b>Outcomes:</b> 100% of CAAELP states with a common definition for ELP for ELSCDs based on alternate ELP Standards.
<b>GOAL 2: To deliver resonant professional learning about the standards, instruction, and assessment of ELSCDs.</b>
<b>Objective 2.1:</b> to build foundational knowledge of the ELSCD population, the ALT-ELPA summative, and the meaning and application of information from ALT-ELPA scores to improve instruction of ELSCDs.
<b>Activities:</b> (a) Develop Professional Learning, (b) Create Outreach
<b>Outputs:</b> Professional Learning Delivery Framework, Professional Learning Content Modules <b>Outcomes:</b> Educators with ALT-ELPA assessment literacy who are able to advocate for full inclusion of ELSCDs in assessment; improved language and content instruction for ELSCDs.
<b>Objective 2.2:</b> to ensure fidelity of implementation of alt-ELP standards, administration of the assessment, and the application of assessment scores and data to student instruction.
<b>Activities:</b> (a) Create Test Administrator Training Materials, (b) Recruit Pilot and Field Test Participants, (c) Conduct Pilot Test, (e) Conduct Field Test
<b>Outputs:</b> Robust Pilot and Field Test (FT) Participation; State Implementation of Standards, Test Administrator (TA) Training Materials, TA Training and Certification Model for States <b>Outcomes:</b> High-quality training materials; Highly trained TAs in CAAELP states.
<b>Objective 2.3:</b> To develop and collaborate with state Communities of Practice to contextualize professional learning to state factors, policies, and practices.
<b>Activities:</b> (a) Establish State Communities of Practice (CoPs), (b) Set Annual Benchmarks, (c) CoPs Self-Evaluate
<b>Outputs:</b> State CoPs, Benchmarks, Self-Evaluation Framework for CoPs

<p><b>Outcomes:</b> Highly engaged Communities of Practice in CAAELP states; Professional Learning that reflects state factors, policies and practices.</p>
<p><b>GOAL 3: To develop and launch a sustainable program at CRESST to maintain the assessment and practices.</b></p>
<p><b>Objective 3.1:</b> Establish processes and procedures to maintain the validity, efficacy, feasibility, affordability, and efficiency of the assessment system.</p>
<p><b>Activities:</b> (a) Create Data Management Plan, (b) Create Assessment Validation and Maintenance Plan, (c) Create Item Bank Management Plan, (d) Conduct Strategic Planning, (e) Open ALT-ELPA Program</p>
<p><b>Outputs:</b> Data Management Plan (DMP), Assessment Validation and Maintenance Plan (AVMP), Item Bank Management Plan (IBMP), Sustainability Strategic Plan, Sustainable Operational Program</p> <p><b>Outcomes:</b> Sustainable ALT-ELPA system with sufficient infrastructure to support necessary maintenance of the assessment and other project assets.</p>
<p><b>Objective 3.2:</b> Support capacity-building in CAAELP states to operate the assessment and maintain its quality, post-grant funding.</p>
<p><b>Activities:</b> (a) Facilitate Vendor Council, (b) Create Vendor Interoperability Manual, (c) Establish Sustainable Governance, (d) Identify Procurement Model, (e) Conduct Project Closeout Meeting</p>
<p><b>Outputs:</b> Vendor Interoperability Manual (VIM), Sustainable Governance, Assessment Procurement Model, Project Closeout</p> <p><b>Outcomes:</b> CAAELP states with capacity to operate, with fidelity, the ALT-ELPA system.</p>

*(2) The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population.*

In response to Absolute Priority 4, the CAAELP Project has established extensive partnerships with other appropriate agencies as well as with stakeholders providing direct services to the ELSCDs who are the target population for this proposed project. Each of the partners have been identified based on their specific expertise and experience as aligned to their assigned scope of work. The depth and breadth of talent and expertise assembled for the CAAELP Project is strong testament to the compelling sense of urgency around developing an ALT-ELPA aligned to alternative ELP standards. Through the synergistic efforts of CRESST, NCEO, CAST, HumRRO, Measured Progress, WestEd, SightBox, Ed Metric and both the Iowa and Arizona Departments of Education, as well as CAAELP member states, an exemplary model of assessment and instructional support for ELSCDs will be developed and disseminated nationwide. The Team Leads and Vendors matched to each project objective demonstrate the extensive expertise convened through our established linkages with other appropriate agencies and organizations and documents the critical role each partner will play in the proposed project.

*(3) The extent to which the proposed project is part of a comprehensive effort to...*

Through extensive dissemination efforts and broad-based stakeholder engagement, the CAAELP Project will contribute to a comprehensive effort to improve teaching and learning for all ELSCDs and support the implementation of alternate ELP standards to which ALT-ELPA will be aligned. The dissemination plan for the CAAELP Project includes: 1) sharing results of investigations at national conferences, as well as the bi-annual conference at CRESST, and obtaining additional public feedback on the progress and outcomes; 2) providing updates at State Collaboratives on Assessment and Student Standards (SCASS); 3) Publication of project reports, including stakeholder reports, and journal articles; and 4) maintaining a website with CAAELP

resources. States will also disseminate materials through the CAAELP Communities of Practice.

**National Conferences.** Results of the CAAELP Project investigations will be shared at national conferences that have emphasize assessment, students with disabilities, and ELLs. Potential conferences include the Council of Chief State School Officers' (CCSSO) National Conference on Student Assessment, the Council for Exceptional Children's (CEC) annual conference, the annual meeting of the National Council on Measurement in Education (NCME), and the Teaching English to Speakers of Other Languages' (TESOL) annual conference. Feedback, via an optional survey, will be sought from session participants on the use and applicability of all materials. IDE, CRESST, and NCEO will take the lead in disseminating materials at national conferences. State agency personnel will be invited and encouraged to participate in conference presentations. **SCASS Meetings.** Regular updates on the project activities will be provided at SCASS meetings, including the Assessing Special Education Students (ASES) and English Language Learner (ELL) SCASS meetings. Project findings will be shared in order to gain valuable feedback from a broad range of states.

**Publications.** Publications will include CAAELP Project reports and journal publications. Reports written for grant activities will be placed on the ALT-ELPA website. They also will be disseminated widely to all participating state agency personnel with additional copies of materials going to other states as needed. Additionally, CRESST will disseminate publications to all state-level assessment, special education, and Title III directors nationwide, as well as non-SEA stakeholders who attend SCASS meetings. Additional reports will be disseminated to other stakeholders through SCASS meetings. Journal articles will be developed based on CAAELP activities. These will target peer-reviewed journals that reach a variety of relevant audiences, such as Assessment for Effective Intervention, Educational Policy, Journal of Special Education Leadership, Teaching Exceptional Children, and TESOL Quarterly. CRESST



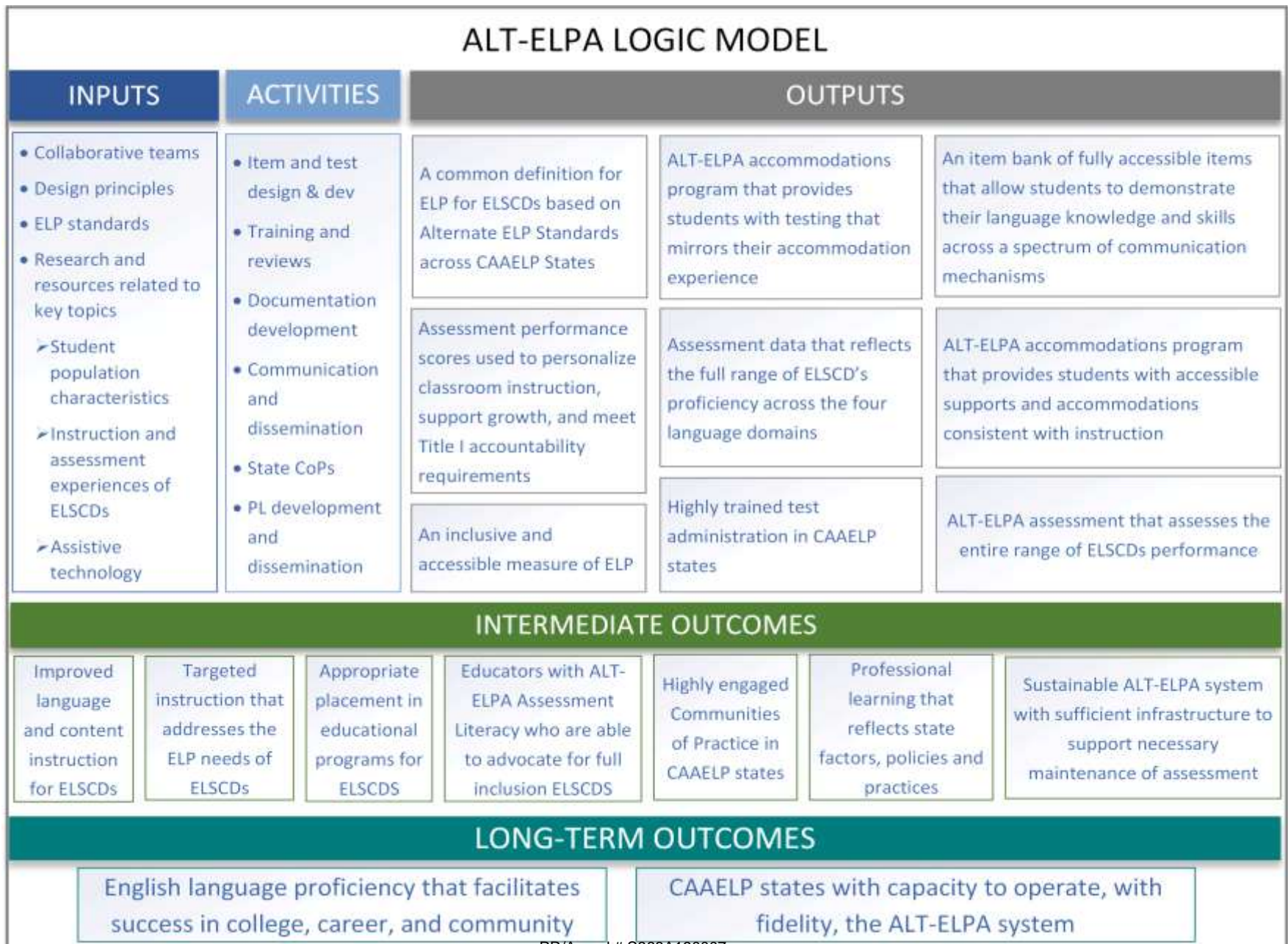
and participating states will write these articles, with CRESST and other work team partners taking the lead.

**Website.** SightBox will develop a website for the CAAELP Collaborative, ALT-ELPA.org, in both a development version, to launch in year 1, and an operational version, to launch in year 4. **State Dissemination.** Information from the project will be widely distributed within participating states, including via state newsletters (print and electronic), through regularly scheduled training forums, and other state mechanisms for information sharing such as the Communities of Practice (discussed at length in a different section of the proposal).

*(4) The extent to which the proposed project demonstrates a rationale (as defined in this notice).*

The CAAELP Project Logic Model, below, encompasses the project's three goals and nine objectives; *Figure 1*, below, highlights the inputs, activities, outputs, short- and long-term outcomes in the CAAELP Project's logic model. It should be noted that the outcomes that will be met as a result of this proposed project are largely not currently being addressed for ELSCDs anywhere in the country (e.g., Ahumada & Williams, 2013; Christensen & Mitchell, 2018; Shyyan, Gholson, & Christensen, 2018). While the number of students in this special population is small, it is a civil rights obligation to address their English language development needs and provide standards-based instruction to maximize ELSCDs success in college, career, and community. The proposed project provides CAAELP states with capacity for improved language and content instruction for ELSCDs who are appropriately placed in educational programs with educators who are trained in alternate ELP standards, possess the ALT-ELPA assessment data literacy to effectively utilize individual student results to inform instructional decisions, and can advocate for full inclusion of ELSCDS as a result of the support of their state Community of Practice. The model clearly defines the expectations related to the success of the project and the substantial benefits for ELSCDs should this proposed project be selected for funding.

Figure 1. ALT-ELPA Logic Model



**(d) Quality of project services**

The CAAELP Project is designed to develop an alternate assessment of English language proficiency based on alternate performance standards using evidence-based strategies and drawing on research from the fields of alternate assessment and English language proficiency assessment. ELPA21, ALTELLA, DLM, and MSAA are highly successful, federally funded projects the CAAELP Project will build upon; they ensure the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services.

The CAAELP Project activities entail various strategies as outlined in the project design and logic model, as well as tailored approaches (e.g., online, face-to-face, synchronous, asynchronous) to bolster the ongoing learning of both project participants and others in the field for whom the project deliverables are intended. Sustainability and capacity building are inherent characteristics of the project's deliverables, as the final product will be an alternate assessment of English language proficiency for students with significant cognitive disabilities. The CAAELP Project findings will be summarized in project reports and widely disseminated.

The CAAELP Project will create meaningful opportunities for persons from traditionally underrepresented groups in the employment of project staff and experts, in the composition of our state members' widely varying demographic and cultural profiles, and involvement of teachers, students, and other stakeholders from the design of the project to its implementation. We will provide the accommodations needed for full participation including interpreters for staff, partners, and stakeholders who have disability or English proficiency needs. We will ensure the project website will include relevant information and documents in a format that meets or exceeds WCAG2.2, the industry-recognized standard for accessibility.

*(1) The extent to which the services to be provided by the proposed project are appropriate...*

Although ESSA included many new provisions, such as the inclusion of English language proficiency as a Title I accountability indicator, it did not directly address English learners with disabilities, other than to require that states publicly disaggregate data on the English language proficiency of English learners with disabilities for Title I reporting, as well as report on the numbers and percentages of English learners with disabilities for Title III reporting. Of all the mentions of students with significant cognitive disabilities and alternate assessments in ESSA, there was no mention of English learners with significant cognitive disabilities or alternate ELP assessments. In 2017, the U.S. Department of Education provided a letter to chief state school officers (Rooney, 2017) that confirmed that an alternate assessment (AA) was to be developed for ELs with significant cognitive disabilities and that these students could be held to alternate achievement standards (AAS). The U.S. Department of Education (2005) defined “alternate achievement standard” in terms of content assessments as follows:

An alternate achievement standard sets an expectation of performance that differs in complexity from a grade-level achievement standard. The December 9, 2003 regulations clarify that a State is permitted to use alternate achievement standards to evaluate the performance of students with the most significant cognitive disabilities.

In general, alternate achievement standards must be aligned with a State’s academic content standards, promote access to the general curriculum, and reflect professional judgment of the highest achievement standards possible. (See 34 C.F.R. §200.1(d).)

The characteristics of an alternate achievement standard are the same as those described in the Title I assessment regulations for a grade-level achievement standard. That is, they are aligned with the State’s academic content standards (although they may reflect prerequisite skills rather than grade-level skills); describe at least three levels of attainment; include

descriptions of the competencies associated with each achievement level; and include assessment scores (cut scores) that differentiate among the achievement levels and a description of the rationale and procedures use to determine each achievement level. These standards will be considered during the Department’s peer review of each State’s standards and assessment system under NCLB. (p. 20)

This definition applies to ELP standards in the same way. In other words, alternate achievement standards for alternate assessments of English language proficiency should be like those of the achievement standards for the “regular” ELP assessment. They should be aligned to the ELP standards, although they may reflect prerequisite skills rather than grade-level skills.

As noted by Pellegrino, Chudowsky, and Glaser (2001), it is essential that test developers understand the characteristics of the students for whom an assessment is being developed. They describe the Cognition vertex of the assessment triangle as including a description of the students. Understanding the characteristics of the students to be tested is particularly important for the group of ELs who have significant cognitive disabilities.

Little published data are available on these students. It is possible to obtain data on students with disabilities by category of disability, but there is currently no category called “significant cognitive disability.” Although the primary disability categories represented in alternate content assessments developed for students with significant cognitive disabilities are intellectual disabilities, autism, and multiple disabilities (Kearns, Towles-Reeves, Kleinert, Kleinert, & Thomas, 2011; Towles-Reeves, Kearns, Flowers, Hart, Kerbel, Kleinert, Quenemoen, & Thurlow, 2012; Towles-Reeves, Kearns, Kleinert, & Kleinert, 2009), not all of the students in these three categories have *significant* cognitive disabilities. Thus, it is not accurate to use the number of ELs in the three IDEA disability categories as an estimate of the number of ELSCDs. The large gap that exists between the identification of ELSCDs and the

population's true size validates the urgency to establish a measure to address this traditionally underserved population.

The ALTELLA project understood the importance of gathering information on ELSCDs. The ALTELLA project reviewed existing approaches to collecting this type of information. Specifically, it examined the *Learner Characteristics Inventory – LCI* (Kearns et al., 2006), the *First Contact Survey* used by the Dynamic Learning Maps consortium (DLM, 2014), and the *Individual Characteristics Questionnaire – ICQ* developed at the University of Minnesota for the ALTELLA project (NCEO, 2016). ELPA21 continued this work by drafting a *Student Profile* form for collecting information on ELs with significant cognitive disabilities who would participate in the ALT-ELPA (NCEO, 2018).

The ALT-ELPA will thus build upon the work of the ALTELLA project and be informed by the extensive expertise of state contributors, partners like NCEO and CAST, and Technical Advisory Council (TAC) members to ensure the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services, in this case ELSCDs, through the consideration of participation guidelines, accessibility and accommodations, and the assessment approach.

**Participation Guidelines.** IEP teams use participation guidelines to determine the assessment in which an individual student should participate. It is important that these guidelines be concise and clear enough to be applied by teams weighing whether an ELP assessment based on grade-level achievement standards or an alternate ELP assessment based on alternate achievement standards is most appropriate for an individual EL. It also is important to develop an explicit statement defining “English learners with significant cognitive disabilities” to include in developed guidelines.

Participation guidelines for alternate content assessments of English language arts – ELA,

mathematics, and science—have several commonalities. The report by Thurlow et al. (2017) indicated that the three most frequent criteria included in content assessments’ AA-AAS participation guidelines for the school year 2017-18 were: (a) student has significant cognitive disabilities or low intellectual and adaptive functioning; (b) student needs extensive, intensive, individualized instruction and support; and (c) instruction involves the use of an alternate or modified curriculum. As might be surmised, these relatively simple guidelines are very complex in implementation. Determining whether difficulties in speaking, reading, writing, or understanding the English language are due to limited English proficiency rather than significant disabilities in intellectual functioning or adaptive behavior is a challenge, especially for those students for whom a viable communication system has not yet been identified.

States will need to decide whether participation in the ALT-ELPA is open only to those ELs who are participating in the ELA, math, or science alternate assessment, or is also open to ELs who participate in general assessments of ELA, math, or science in tested grades. In non-tested grades (often including grades K, 1, and 2) states will have an additional layer of complexity when making participation decisions (Still & Christensen, 2018). With the assumption that an accurate identification has been made of EL status and status as a student with a significant cognitive disability, the criteria reflected in the guidelines for the two AA-AAS consortia can be applied by the CAAELP Project for its ALT-ELPA. The CAAELP states will reach consensus on the criteria that they will use so that similar students across states are participating in the ALT-ELPA assessment.

A core belief of the CAAELP Project is that ELSCDs have the same potential as their non-English learner peers to learn and use language in academic and social settings. ELSCDs are not separate from other ELs in their need for English language proficiency. Expectations for that progress toward proficiency, however, are necessarily different. This understanding is central to

the notion of alternate achievement standards and expectations for ELSCDs and an alternate English language proficiency assessment (Still & Christensen, 2018). Continued monitoring of the decision-making process and appropriate placement of students should take place in all CAAELP states and will be an integral component of the State Communities of Practice professional learning, with CAAELP states taking responsibility for implementation, during, and post-grant.

**Accessibility and Accommodations Approaches.** Accessibility and accommodations approaches will be integral for conceptualizing and designing the ALT-ELPA assessment. The use of Universal Design (UDL) for Learning, which guides the development of flexible learning environments, will provide the underpinning for the design of ALT-ELPA; partnership with CAST (the creators of UDL) Measured Progress (item developer for MSAA), and NCEO (a national thought leader on accessibility and its implications for student outcomes) provides the extensive expertise needed for this phase of assessment development. During design, the consideration of accessibility and accommodation needs is an integral part of the Evidence Centered Design (ECD) process. Just as CRESST's ELPA21 assessment carefully considered its assessment approach in light of ELs' accessibility and accommodations needs, so must consideration of these occur for the ALT-ELP assessment. A solid foundation exists within the CAAELP Project team to accomplish this goal.

**Accessibility and Accommodations Policies.** In developing policies for accessibility and accommodations for ALT-ELPA, there will be a careful review of the standards identified for each domain at each grade band, the range of ways ELSCDs communicate in each domain, inclusive of their communication systems and assistive technology, as well as consideration of the policies for ALT-ELPA test administration conditions, test administrator training, and scoring. Based on this information, appropriate accessibility features and accommodations for



ELSCDs will be identified by domain. As part of this work, careful consideration will be given to the use of assistive technology and its compatibility with the assessment platform, as well as the individual characteristics and needs of ELSCDs warranting adjustments to the format. For example, speaking for this population functions differently and may include non-verbal communication; to fairly assess and monitor growth toward ELP, a broader definition of speaking performance may be needed. The ALT-ELPA anticipates offering multiple levels of accessibility and accommodations. NCEO will bring to bear its relevant expertise as it facilitates this work, and this work also will build on existing knowledge from DLM, MSAA, and ALTELLA, for example.

**Assessment Approach.** In accordance with Absolute Priorities 1 and 6, ALT-ELPA proposes to use innovative technology-enhanced items throughout its assessment. Although alternate content assessments have used a variety of approaches (e.g., portfolios, item-based tests, rating scales; see Rogers, Thurlow, & Lazarus, 2015), CAAELP states have indicated that they prefer to use an item-based approach for the ALT-ELPA. The CAAELP Project will consider the nature of those items carefully, and whether they need to be supplemented with some type of observation protocol or the development of performance tasks that allow students to use their assistive devices to demonstrate their full range of ELP.

A necessary consideration is, for example, how ELSCDs are instructed and supported in the classroom. Testing accommodations should mirror the accommodations that ELSCDs receive in regard to classroom instruction. Unfortunately, there is limited information on current classroom practices used with ELSCDs to improve their ELP and on current assessment practices with these students. Christensen, Mitchell et al. (2018) reported pilot findings from the Individual Characteristics Questionnaire that involved educators from 29 states, indicating a wide range of communication preferences, services received, and accessibility supports and

accommodations used by students during instruction and testing.

Liu et al. (2013) examined literature on the training, background, and skills possessed by educators who worked with ELs with moderate to severe disabilities. The four studies that addressed these topics confirmed a general lack of administrative knowledge and support, as well as a pervasive lack of needed training. Most teachers simply used English for instruction, similar to the instruction for non-ELSCDs. Considering these challenges, as the ALT-ELPA assessment approach is considered, CAAELP states will need to think about whether the assessment format needs to vary depending on student characteristics. Also, to be considered is whether there will be a need for one or more accommodated forms that meet specific needs to include all ELs with significant cognitive disabilities. These considerations, of course, are closely tied to ECD.

Each of these important decisions will ensure that the services to be provided by the proposed project are appropriate to the needs of the intended recipients or beneficiaries of those services and meet a need in CAAELP states to not only comply with federal law, but to also meet the moral and ethical imperative of delivering a valid and reliable assessment of English language proficiency for one of the most vulnerable at-risk student populations in our nation's schools.

*(2) The extent to which the training or professional development services to be provided...*

The CAAELP Project's second goal is to produce a suite of high-quality, easily accessible professional learning (PL) resources that are customizable and targeted by audience for the ALT-ELPA. The PL will be two-pronged: 1) assessment administration and scoring, and 2) instructional impact. The first set of PL resources will be developed for the purpose of ensuring that the test is administered with fidelity and that the test administrators are well-trained to deliver, score, and validly interpret the results of ALT-ELPA. The second set of resources will be developed for the purpose of tailoring and targeting instruction for ELSCDs based on the

results of the ALT-ELPA. ELPA21's collaborative, educator-led, design-thinking approach to developing PL, as well as the Community of Practice (CoP) model currently being implemented in MSSA states will provide a strong foundation for the training needed for the ALT-ELPA and also address the dissemination and sustainability efforts related to the PL resources. The CAAELP Project has identified seventeen planned professional learning topics, each aligned to a single project objective, as identified in *Table 3* in the Project Design section.

To develop the content for these professional learning topics, which will be packaged as portable PL content modules to be delivered through state CoPs, the CAAELP Project will build upon the current structure of the ELPA21 PL system, which engages partnerships with subject matter experts (SME), as well as practitioners in the field of EL and special education. ELPA21 has developed a scalable process to package content into PL modules for delivery in a variety of contexts to a wide range of audiences. The ALT-ELPA PL resources will be created from materials assembled and created by teams and vendors in a phased development cycle that results in a new set of PL materials aligned to the life cycle of the assessment process.

State CoPs will be best positioned to deliver the various professional learning resources and can best provide and share opportunities for their local educators to participate in test administrator training, item reviews, pilot and field testing, standard setting panels, and other validation activities. The CoPs will be a robust foundation for dissemination and sustainability of the PL resources and other assessment system information developed by CAAELP. The CoP model developed and implemented in states in MSAA states will serve as a template for CAAELP states.

Communities of Practice will begin with CAAELP states identifying a CoP lead who will be the main point of contact with CAAELP and will ideally be the same delegate assigned to the PL team. That CoP lead will collaborate with CAAELP leadership, the PL team, and the CoP

Peer Mentor, described further in the proposal, to identify and recruit participants to the state CoPs from various stakeholder groups including educators, paraprofessionals, families, community advocacy groups, and LEA/SEA leadership. The CoP leads will receive assistance from CAAELP leadership and mentoring support in establishing and managing their state CoP frameworks, including guidelines for participation, outreach schedule, goal setting, annual benchmarking, and self-evaluation of effectiveness. Goal setting, benchmarking, and self-evaluation are intended to 1) to build state capacity to self-reflect and improve, 2) ensure effectiveness of CoPs while the project is underway, and 3) build a strong web of peer-to-peer support leading up to operational implementation of assessment and instructional data. Self-evaluation criteria will be set locally for each state's CoP, and may include measuring improvements in participant knowledge, breadth of CoP network, growth in educator confidence in data interpretation, and periodic checks for understanding of key points.

CoPs in CAAELP states will meet periodically to review the CAAELP PL content packages and determine how best to implement the provided information and resources. PL packages may include, for example, a detailed walk-through of the ALT-ELPA Assessment Design, showing how educators can impact outcomes for ELSCDs. The CoPs will also play a critical role in supporting the pilot and field tests, recruiting local educators and students to participate. Robust participation in pilot and field testing not only contributes to Project Goal 1 by helping to validate the assessment, but also supports building foundational knowledge about how the assessment operates (Goal 2) and building sustainable, high quality test administration practices in states (Goal 3).

**(e) Adequacy of resources**

As a collaboration between IDE and CRESST, the project will draw upon the extensive expertise, experience, and organizational leadership of both organizations, as well as that of

partner organizations, external evaluators, and the states in the CAAELP Project. Their combined expertise and leadership, as well as the project design, and proposed budget, are adequate to meet the three goals of the project.

Iowa Department of Education is the Lead organization and prime recipient for the proposal. IDE is a state agency headquartered in Des Moines, Iowa. IDE oversees Iowa's public school systems and accredited non-public schools and is responsible for the education of 485,000 students in more than 1,300 schools, in a range of urban, suburban, and rural contexts, in districts statewide. IDE is responsible for enforcing education law and regulations and for continuing to improve state public education programs, applying thoughtful change and clear leadership to yield measurably improved outcomes. For example, Iowa's high school graduation rate in 2018 rose to an all-time high of 91.4% as a result of focused efforts and long-term progress. Iowa has created one of the most robust teacher leadership programs in the nation, having invested significant energy and resources into the Teacher Leadership and Compensation (TLC) system that supports the state's over 36,000 teachers. This focus on capacity-building and collaboration are hallmarks of Iowa leadership that will support the CAAELP Project. In the Bureau of Leading, Teaching, Learning Services, Iowa Principal Investigator Erika Cook supervises a team of more than 20 staff direct reports and oversees the state's large-scale assessment systems, including the Iowa Statewide Assessment of Student Progress (ISAAP), ELPA21, and DLM.

IDE had previously allocated staff time and state resources into the development of an alternate assessment of ELP and are thus making an in-kind contribution to the project's budget via committed FTE. Principal Investigator and Project Director (PD) Erika Cook will spend approximately .5 days per week (.1 FTE) on high-level executive decisions about project vision, design and leadership, and in oversight of CRESST as Project Management Partner. IDE will contribute additional expertise in the form of state delegates to the CAAELP work teams, where

SEA staffers' assigned duties include contributing to the development of the assessment and professional learning systems. The proposed project budget reflects the indirect costs IDE will incur on the project, which will be applied to offset the staff time in CFO Matthew Coulter's team where the project budget and PMP contract will be managed. The IDE budget allocates funding for PD Cook, and other IDE contributors, to travel in support of the project to events and dissemination opportunities. IDE thus has resources in place to support their leadership role in the project and share Iowa's expertise through engagement in the various work teams. And PD Cook's experience with a large-scale assessment systems helps to ensure the project's success.

CRESST, as the project management partner and system designer, will provide both the structure of support and the framework of innovation and validity on which the ALT-ELPA system will be built. CRESST has been an international leader in the fields of educational research, assessment, evaluation, and psychometrics/statistical methodology for over 40 years, and brings extensive expertise, experience, and intellectual and practical resources needed for project success. CRESST has led numerous large-scale R&D projects in K-12 and post-secondary assessment, including direct work with states, districts and consortia in the design, development, and implementation of their assessment systems and numerous federally-funded research endeavors, including multiple Department of Education-sponsored Enhanced Assessment Grants. CRESST was a key contributor to the development and ongoing validation of the Smarter Balanced and ELPA21 assessment systems.

In 2016, CRESST added program sustainability to its long list of expertise as ELPA21 and its assessment system moved to its permanent home at CRESST. In the three years ELPA21 has been established at CRESST, the program has developed and brought to scale countless best practices for program management, stakeholder support and communication, collaborative decision-making, and project design thinking. CRESST's ELPA21 team will contribute

extensively to the project, as described in “Quality of the Management Plan” in the next section.

**The extent to which costs are reasonable...In relation to the number of persons served**

Developing a valid, reliable, and fair assessment and professional learning system that can be maintained and sustained requires a long-term, strategic investment. Serving students in special populations adds complexity to the work and cost to the budget, as the effort to understand design needs and constraints is greater. And though the population of ELSCDs in the CAAELP states (and nationwide) is relatively small, their need is profound: these students are mis-identified, under-served, and do not have access to the academic English all students need to succeed. Indeed, proper identification and inclusion of this population in assessment may reveal there are more ELSCDs in our schools than those identified through current practices.

Since ESSA amended ESEA Title I to require the assessment of ELSCDs be included in state accountability measures and for alternate ELP assessments to undergo peer review, states have been faced with new sense of urgency regarding how to serve these vulnerable students and meet federal requirements. The funding offered by the Competitive Grants for State Assessments program offers states the opportunity to synergize talents and resources to create a valid, nationwide assessment aligned to alternative ELP standards that provide equitable opportunities for ELSCDs. Developing the assessment system and professional learning as a collaborative effort costs far less in taxpayer expense than each state developing its own. By joining the CAAELP Project and applying for a thoughtfully-derived, appropriate, and sufficient funding amount, CAAELP states are leveraging the funding request to maximally benefit the ELSCDs in their states, as well as their ESL/bilingual and content-area educators, SpEd professionals, and LEA officials concerned about accountability and growth for all students.

The budget requested for this project is appropriate for the development of the ALT-ELPA, which will require precise and rigorous validation activities including item tryouts, pilot

testing, field testing, and multiple revisions of project assets to support the evolution of the design thinking and development of the assessment from pilot through field test to operational delivery. The budget requested to develop the ALT-ELPA is similar to the budget requested (and granted) by the ELPA21 project in the 2012 EAG competition.

The budget of the proposal (included on separate, detailed forms) reflects a thoughtful and strategic allocation of time, resources, expertise, and best practices and a clear, precisely scoped and costed project design to maximize the outputs of the project and the outcomes of the funder's investment. Each partner for the project has agreed to their scope of work and milestones and has agreed to perform that work for the committed budget amount. CRESST has collected assurances from each partner confirming agreement; this will dramatically reduce the time, effort, and resources (i.e. cost) of the numerous procurements in the project.

The project plan leverages established best practices at CRESST to keep project management costs low and while holding quality expectations high. In order to focus project budget on accessibility, item quality, and assessment validation deliverables and activities in Goal 1, the efforts related to Goals 2 are budgeted lean, where smart project design, such as the Outreach, Professional Learning, and CoP Content Management System, described in *Quality of the Management Plan*, below, will maximize effort by leveraging content into multiple channels through a central decision-making rubric and routine processes, thus reducing cost. Likewise, the efforts toward Goal 3 will rely on states to build capacity through CoPs while CRESST builds sustainability through applying processes and best practices developed by ELPA21. This leveraging of state capacity building, existing best practices, and smart project design will allow the requested budget to support not one but three project goals, numerous objectives, and a range of short- and long-term measurable outcomes.



## **In relation to the anticipated results and benefits**

The CAAELP Project proposes to break new ground by creating the nation's first standards-based alternate assessment of ELP. The anticipated results of the strategic investment of federal funds amplified by national expertise plus states' efforts will result in a valid, reliable, and sustainable assessment system that is the nation's first technically valid alternate-ELP assessment aligned to alternate ELP standards, and corresponding to content-area standards in ELA, math, and science.

The project's focus on outreach, professional learning, and sustainable CoPs plants sustainable seeds in communities and schools that will continue to grow after the funded project concludes, all based on a targeted, strategic investment of federal funds. The sustainable operational assessment and professional learning system will benefit:

- 1) ELSCDs by allowing them to fully access the assessment and have the opportunity to demonstrate their ELP and potentially be exited from EL services;
- 2) Educators by building their standards and assessment literacy and skill sets around applying data to instruction;
- 3) Schools by developing an assessment and PL system that is easy to operate;
- 4) Districts by including all students in accountability measures; and
- 5) States by helping them meet federal requirements for accountability and Peer Review.

The proposed budget is adequate and reasonable in comparison to the amount of effort committed and the range of outcomes aligned to the project's three goals. Funding the CAAELP Project will be a meaningful investment that will ensure the assessment system becomes operational on solid footing, with all the strategic, financial and quality control system planning needed to establish and maintain and grow an assessment and professional learning program.

**(f) Quality of the management plan**

*(1) The adequacy of the management plan to achieve the objectives of the proposed project on time and within budget, including clearly defined responsibilities, timelines, and milestones...*

The management plan for the CAAELP Project is not only adequate to achieve the objectives of the proposed project, it has contemplated various risk scenarios and provided for them, so that critical progress and process are not derailed by unforeseen risks or shifts in the landscape. For example, it is a risk to plan a project of this magnitude without confirming that appropriate expertise exists and can be brought to bear. The CAAELP Project has not only pre-identified the vendors, consultants, and states collaborators who will contribute to the project, but has secured firm commitments from them: detailed and signed SOWs listing milestones and major deliverables from the vendors, TAC members and the consultants who will lead the work-teams, and Letters of Intent from states to join the CAAELP Project. Thus, the expertise needed to bring the project to fruition is not only identified but also committed to the work and eagerly anticipating the opportunity. It is also risky to budget a project of this scale without detailed cost information, so the CAAELP Project developed a detailed timeline, person loads, and firm-fixed price agreements (already negotiated) with the project's identified vendors. The timeline is sufficient for the thoughtful development that serving this population requires, allowing more time at the onset of activities, for example, so the assessment design and item design can include stakeholder feedback not only from SEA staff on project work teams but also from school-based personnel, community advocacy groups, and students' families via state CoPs.

While CRESST is a professional project management organization with extensive experience in large-scale assessment development and research on special populations, even the best-planned project needs constant oversight and adjustment. CRESST employs a Total Quality Management (TQM) approach to project management, a facet of which is ongoing and constant

risk assessment. TQM is a management philosophy based on actively managing quality through staffing, training, and goal setting; CRESST uses the TQM approach endorsed by Project Management International, one of the world's leading standards and certification organizations for project and program management. Cathryn Still, the project's Sustainability Director, is a PMI-certified project manager who specializes in TQM-based risk management. Still applies a TQM-based risk management methodology called PDSA (plan-do-study-adjust) to managing ongoing projects and constantly scan the project landscape for risk factors. PDSA is used worldwide by organizations such as the US Navy and Toyota. The TQM measures in the context of the CAAELP Project, will allow CRESST and IDE to constantly assess risks: **Plan:** the plan for the project's three goals and nine objectives are already detailed, tasked out, scheduled, and buffered to ensure the timeline is not only sufficient for the planned development, but also have "buffer" time for more intricate or multi-party aspects of the project, such as critical data handoffs from vendors to CRESST. **Do:** teams and collaborators will have clearly scoped responsibilities and milestones to meet for every aspect of the project. **Study:** CRESST project management will assess progress weekly in an internal project management meeting, where they will check that the project is meeting milestones for time, quality and budget. **Act:** The project manager will make immediate adjustments to the schedule if there are deviations from the plan. For example, if a particular stage of development is running behind in year 2, the CRESST team will study the schedule for buffer time and act to adjust for downstream effects in dependencies that may be a risk to later phases of the schedule.

The CAAELP Project is organized such that each objective has distinct dedicated resources, critical expertise, and sufficient time for completion of the key activities with high quality and contingency plans in place. Each of the project's nine objectives will be served by a dedicated work team, carefully planned and thoughtfully resourced to clearly define

responsibilities, timelines, and milestones and minimize identified risks. Additionally, each team's constitution and work plan are constructed to address four essential elements for collaborative success: expertise, stakeholder feedback, best practices, and risk assessment.

In order to illustrate the full scope of the project and to respect the space constraints of the proposal narrative, the following Management Plan (*Table 3*, below) will serve as the centerpiece for the full proposal and will be referred to throughout the proposal narrative. Each of the nine project objectives is shown as a separate work plan. The CAAELP Project's planned period of performance is October 1, 2019 to September 30, 2023, to best align the project's timeline with states' needs for an operational assessment. The one-letter abbreviations in the timeline are the months in which the planned activities will occur.

Table 3: Management Plan

Goal 1: To develop an alternate summative assessment of English language proficiency, based on alternate performance expectations for English language development, to be administered to English Learners with significant cognitive disabilities.																																								
Objective 1.1: to fully understand the range of language proficiency knowledge and skills of ELSCDS through an alternate ELP assessment.																																								
Team and Lead for Objective		Assessment Design / Edynn Sato (CRESST)																																						
Activities		Year 1 (2019-2020)								Year 2 (2020-2021)								Year 3 (2021-2022)								Year 4 (2022-2023)														
		O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S			
1.1.1 Design Assessment																																								
1.1.2 Create/Confirm Blueprint																																								
1.1.3 Draft Reporting PLDs																																								
1.1.4 Specify Item Bank																																								
1.1.5 Facilitate TAC																																								
Professional Learning Content		PL-5: Theory of Action																																						
Outputs		Assessment Design, Blueprint, Draft Reporting Performance Level Descriptors (PLDs), Definition of Proficiency, Item Bank Specification, Guidance from Technical Advisory Council (TAC).																																						
Outcome(s)		An ALT-ELPA assessment that assesses the entire range of ELSCD performance.																																						

<b>Objective 1.2:</b> to design assessment items that are fully accessible and allow students to demonstrate their language knowledge and skills across a spectrum of communication mechanisms.																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																
<b>Team and Lead for Objective</b>												Item Design and Development Team / Bob Dolan (CAST) / Measured Progress (Item Vendor)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																				
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1.2.5 Perform Field-Test Review																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																

<b>Objective 1.3:</b> to develop assessment administration protocols, an accommodations program, and test directions that fully support ELSCDs in accessing the assessment.																																					
<b>Team and Lead for Objective</b>	Accessibility, Accommodations, and Administration Team / Martha Thurlow (NCEO)																																				
<b>Activities</b>	<b>Year 1 (2019-2020)</b>								<b>Year 2 (2020-2021)</b>								<b>Year 3 (2021-2022)</b>								<b>Year 4 (2022-2023)</b>												
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	
1.3.1 Create Accessibility Manual																																					
1.3.2 Design Test DFAs																																					
<b>Professional Learning Content</b>	PL-9: ALT-ELPA Accommodations; PL -12: Assessment Accessibility and UDL																																				
<b>Outputs</b>	Accessibility Manual, Test Directions for Administration (DFAs)																																				
<b>Outcome(s)</b>	ALT-ELPA accommodations program that provides students with accessible supports, accommodations, and a testing experience that mirrors instructional accommodations.																																				

Objective 1.4: to establish and implement a consistent and fair definition of ELP for ELSCDs																																					
Team and Lead for Objective	Data, Standard Setting, and Reporting Team / Nami Shin (CRESST)																																				
Activities	Year 1 (2019-2020)								Year 2 (2020-2021)								Year 3 (2021-2022)								Year 4 (2022-2023)												
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	
1.4.1 Conduct Standard Setting																																					
1.4.2 Set Performance Expect.																																					
1.4.3 Verify Correspondence																																					
1.4.4 Finalize PLDs																																					
1.4.5 Create Proficiency Def.																																					
1.4.6 Create ISR Template																																					
Professional Learning Content	PL-4: Identification of ELSCDs																																				
Outputs	Performance Expectations, Performance Level Descriptors, Definition of Proficiency for ELSCDs, Score Scales, Cut Scores, Individual Student Report (ISR) Template																																				
Outcome(s)	100% of CAAELP states use a common definition of ELP for ELSCDs, based on alternate-ELP standards.																																				



Goal 2: To deliver resonant professional learning about the standards, instruction, and assessment of ELSCDs.																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																															
Objective 2.1: to build foundational knowledge of the ELSCD population, the ALT-ELPA summative, and the meaning and application of information from ALT-ELPA scores to improve instruction of ELSCDs.																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																															
Team and Lead for Objective				Professional Learning Team / Sharon Saez (WestEd)																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																											
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<b>Objective 2.2:</b> to ensure fidelity of implementation of the ALT-ELP standards, administration of the assessment, and the application of assessment scores and data to student instruction.																																																
Team and Lead for Objective	Test Delivery Readiness Team / Lead tbd																																															
Activities	Year 1 (2019-2020)								Year 2 (2020-2021)								Year 3 (2021-2022)								Year 4 (2022-2023)																							
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S
2.2.1 Create TA Training																																																
2.2.2 Recruit for Pilot and FT																																																
2.2.3 Conduct Pilot																																																
2.2.4 Conduct Field Test																																																
Professional Learning Content	PL-10: Pilot Testing; PL-13: Field Testing																																															
Outputs	Robust Pilot and Field Test (FT) Participation; State Implementation of Standards, Test Administrator (TA) Training Materials, TA Training and Certification Model for States																																															
Outcome(s)	High-quality training materials; highly trained test administrators in CAAELP states.																																															

Objective. 2.3: to develop and collaborate with state Communities of Practice to contextualize professional learning to state factors, policies, and practices.																																																
Team and Lead for Objective	State Communities of Practice / Audra Ahumada (Arizona Department of Education)																																															
Activities	Year 1 (2019-2020)								Year 2 (2020-2021)								Year 3 (2021-2022)								Year 4 (2022-2023)																							
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S
2.3.1 Establish State CoPs																																																
2.3.2 Set Annual Benchmarks																																																
2.3.3 CoPs Self Evaluate																																																
Professional Learning Content	PL-1: Establishing State Communities of Practice																																															
Outputs	State Communities of Practice (CoPs), Benchmarks and Self-Evaluation Framework for CoPs																																															
Outcome(s)	Highly engaged CoPs in CAAELP states; Professional Learning that reflects state factors, policies, and practices.																																															



Objective 3.2: to support capacity-building in CAAELP states to operate the assessment and maintain its quality, post-grant funding.																																																
Team and Lead for Objective		Vendor Interoperability Council and Collaborative Council / Cathryn Still (CRESST)																																														
Activities	Year 1 (2019-2020)								Year 2 (2020-2021)								Year 3 (2021-2022)								Year 4 (2022-2023)																							
	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S
3.2.1 Facilitate Vendor Council																																																
3.2.2 Create VIM																																																
3.2.3 Establish Governance																																																
3.2.4 Identify Procurement Model																																																
3.2.5 Conduct Project Closeout																																																
Professional Learning Content	PL-17: Sustaining Communities of Practice																																															
Outputs	Vendor Interoperability Manual (VIM), Sustainable Governance, Assessment Procurement Model, Project Closeout																																															
Outcome(s)	CAAELP States with capacity to operate, with fidelity, the ALT-ELPA system.																																															

Space is insufficient for a detailed walk-through of each of the project’s nine objectives; Objective 1.1 is detailed below as an example of the rigor of thought and planning that permeate the project and exemplify CRESST’s best practices for project management.

*Objective 1.1: to fully understand the range of language proficiency knowledge and skills of ELSCDs through an alternate ELP assessment.*

Objective 1.1 is the foundation on which the project rests—the design of the assessment and the definition of proficiency. To ensure the project meets Objective 1.1, the project needs sufficient expertise, opportunities for stakeholder input, and a deep grounding in best practices for assessment development that contemplate the complexities of the ELSCD population. Objective 1.1 is assigned to the Assessment Design (AD) Team led by Edynn Sato, a nationally recognized expert in special populations, standards, and assessment, who will serve as CRESST co-PI and AD Lead. The Team Leads for item design, accessibility, interoperability, and standard setting, and outreach will participate in the Assessment Design Team as resources for their areas of expertise. Stakeholder feedback for this objective will come from SEA representatives who are well grounded in the project’s goals, the population’s needs, and the constraints faced by states. This allows stakeholder needs to inform the development of the assessment’s overall design and helps to ensure smooth implementation by including stakeholder voices from the beginning. Best practices for assessment development will be employed not just in the assessment design phase but throughout the project; the CAAELP Project will follow best practices for assessment design and development consistent with the *Standards for Educational and Psychological Testing* (AERA, APA & NCME, 2014), and it will draw upon additional best practices for assessment design thinking developed by related collaborative efforts such as DLM, MSAA, and ALTELLA.

Risk management is critical to every aspect of the plan and has been thoughtfully applied to the assessment design phase by: **1) Pre-selecting state thought-leaders:** the members of the AD Team have already been identified, grounded in the work, and contributed to the development of the funding proposal. The ten CAAELP states have sent delegates to a standing task force that developed the ALT-ELPA Theory of Action and other foundational documents in 2017-18 and is now contributing to designing the assessment by contributing their states' expertise and feedback through ongoing discussions in cloud-based workspaces, weekly calls, and collaborative decision-making. This minimizes the risks of a slow start by building knowledge and establishing channels for stakeholder input prior to kickoff. The risk of failing to fully gather requirements is also thus addressed by a timeline that allows time for several rounds of thoughtful feedback. **2) Early Kick-off:** the AD Team will be among the first to kick off. Kickoffs are staggered across the first year of the project so that the effort is not a big lift for participating states that requires a sudden increase in participation of a large number of staff. Rather, the CAAELP Project will commence with the AD Team, so that their critical work can continue while states and CRESST are consumed with kicking off the other work-teams and Collaborative governance. This description of how Objective 1.1 will be met by the proposed project's management plan is mirrored in the remaining eight objectives, each of which incorporates an expert lead, stakeholder feedback mechanisms, best practices and risk assessment. Each of the project's nine objectives is similarly planned, resourced, and scheduled.

The overarching goal of the management plan is to leverage the combined expertise of the core project staff, partners, and advisors, coupled with existing processes, best practices, work-smart strategies, ongoing risk assessment, to meet or exceed the goals of the project, within the time and budget constraints, and at the highest possible quality. Another example of

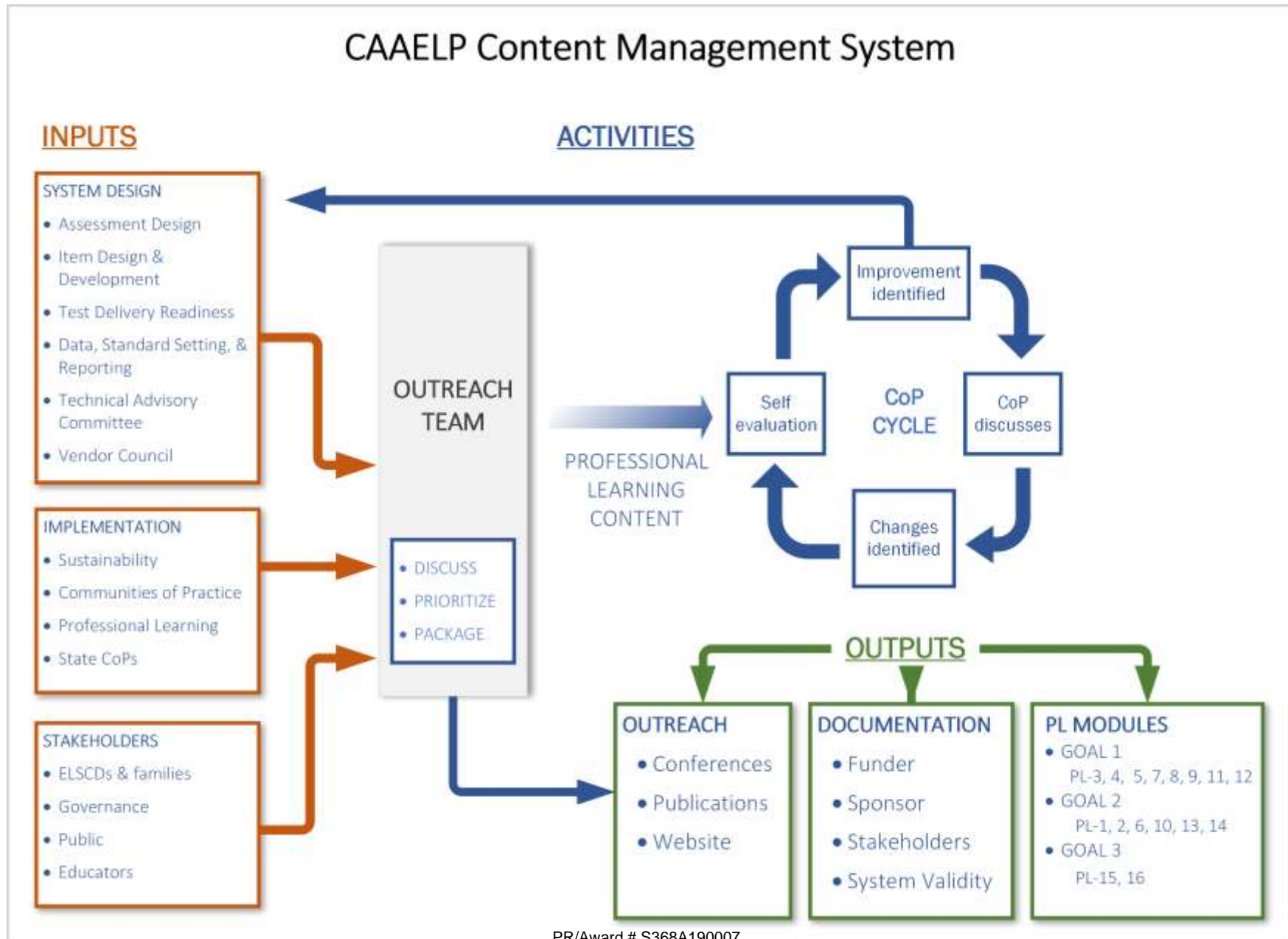
CRESST's strength as a PMP is reflected in the design for the CAAELP Content Management System, which will manage all the content for the CAAELP Project.

At the core of the CAAELP Project's content management strategy sits the Outreach team. This team, consisting of Edynn Sato (Assessment Design Lead), Cathryn Still (Sustainability), CRESST Outreach Director Kara Schlosser, Team Leads Saez (PL) and Ahumada (State CoPs) and project management staff. The Outreach team will form a core of communication, knowledge sharing and management, and documentation that permeates the entire project.

As shown in *Figure 2* below, as the CAAELP Content Management System receives inputs, information will flow into the Outreach Team from the PMP (CRESST), the funder, stakeholders, State CoPs, and work teams and media. That information will be digested in biweekly meetings of the Core Outreach Team and routed to the various outputs channels: a) project documentation, such as annual Federal project reports; b) outreach, such as website content, newsletter content, stakeholder reporting and dissemination to conferences and publications, and c) content for professional learning, which will be packaged by the Professional Learning Team and delivered by states CoPs.



Figure 2. CAAELP Content Management System



As the detailed plans shared for Objective 1.1 and the CAAELP Content Management System demonstrate, IDE and CRESST have developed an integrated development, implementation and dissemination plan where expertise is drawn at specific times to meet specific project goals, best practices are leveraged to amplify project resources, and feedback and quality control are ongoing considerations. The high quality-control approach to all the project activities will be ensured through the external evaluation mechanism as well as steadfast collaboration of all the project partners. All external evaluation activities and measures will be used to inform the project development process in a timely and efficient manner. All project partners (member states, project consultants and experts) will be involved in the process of monitoring project quality through regular updates, project reports, and ongoing collaboration efforts under the leadership of the external evaluation team of HumRRO, described later in this proposal.

Day-to-day project management, as well as ongoing risk management as described above will be the responsibility of the PMP team at CRESST. The team will be responsible for finalizing and implementing design and analysis plans, work plans, and products; overseeing outreach and dissemination; and coordinating with the larger CAAELP Project. The PMP management team will also have responsibility for ongoing communication with the U.S. Department of Education, IDE, and stakeholders, and for fiscal management. The CRESST PMP team will include two Co-PIs (Li Cai and Edynn Sato), Project Manager (TBN), Sustainability Director (Cathryn Still), Data and Standard Setting Manager (Nami Shin), Outreach Director (Kara Schlosser), Marketing Coordinator, Project Coordinator, and 2 Student Clerks (All TBN). The management team will have weekly teleconferences, with decisions, plans, and outcomes distributed to other project staff with opportunities for feedback. One phone conference per

quarter will be dedicated exclusively to external evaluator findings and feedback. Erika Cook, Project Director, will represent Iowa in the project management team, contributing vision, leadership, and executive oversight to the overall development and management of the project.

Drawing on collective experiences in managing large-scale projects that involve partners and sites distributed across the country, CRESST will use a number of technological resources to facilitate regular communication both among the project team and with outside groups and constituents. We will maintain secure cloud-based collaborative workspaces for purposes such as weekly updates and sharing of draft materials, and resources, including opportunities for virtual collaboration on documents. Web-based conferencing will also be used for communication and collaboration among and between groups. Although we plan to rely on virtual communication as much as possible, we have also budgeted for a small number of trips per year for the CRESST and IDE teams to meet face-to-face.

The PMP team at CRESST will oversee the work done in the project's work teams. Nine teams, each led by an expert consultant or CRESST staffer, will manage and oversee different key aspects of the project under the direction of the PD and PIs. Each of these work teams will have a distinct primary objective, specific deliverables and accountability for those deliverables, and their own set of benchmarks to meet as the project progresses. Teams will meet bi-weekly and a member of the CRESST PMP team will attend each meeting to take notes, bring emergent issues back to the PMP team, and ensure knowledge is being consistently shared across work teams. Each of the nine CAAELP workgroups has a clear mission and distinct deliverables so that responsibilities and accountability are clearly delineated and risk of timeline slippage is minimized; the project is planned and staged so that minor adjustments to one team's timeline will not adversely impact off another team's timeline.

The leads selected for the teams are experts in the work they will lead: **Edynn Sato**, an international expert on standards and assessments, who led the development of the CCSSO alternate ELP standards on which the ALT-ELPA will be based, will lead the Assessment Design Team. **Bob Dolan** designs, implements and evaluates technology-based learning and assessment solutions with emphases on cognition, accessibility and usability at CAST. Dolan will lead the Item Design and Development Team. **Martha Thurlow**, Director of the National Center on Educational Outcomes, will lead the Accessibility, Accommodations, and Administration Team. Thurlow led the 2018 development of CRESST's Theory of Action: Alternate Assessment of English Language Proficiency for English Learners with the Most Significant Cognitive Disabilities and is an international expert on accessibility. **Nami Shin** is a CRESST Research Scientist and former ESL educator who studies the effects of classification on English Learners and the effects of student participation in classroom instruction; Shin will lead the team for Data, Standard Setting, and Reporting. **Sharon Saez** is part of the leadership team for the Strategic Literacy Initiative at WestEd where she supports the scale-up of professional learning through district partnerships and meaningful change. Saez will lead the Professional Learning Team. **Cathryn Still** is Executive Director of the ELPA21 program at CRESST and brings expertise in program development, strategic planning, and deepening operational efficiencies. Still will lead project aspects related to interoperability and sustainability: the Vendor Interoperability Council – vendor representatives who will contribute to interoperability planning – and the Sustainability Team. **Audra Ahumada** will act as Peer Mentor to the State Communities of Practice, implementing a model she has successfully deployed to support MSAA's assessment development and delivery. Ahumada serves as Deputy Associate Superintendent of Assessment at Arizona Department of Education. The Test Delivery Readiness Team (lead tbd) will work

with each CAAELP state to ensure their selected test delivery platform can deliver the pilot and field test as intended and will support CoPs in recruiting pilot and field test participants. Each of the work teams' assigned deliverables, activities, and objectives are identified in *Table 4*.

The CAAELP Project's work teams will benefit from expert guidance and critical feedback from the **ALT-ELPA Technical Advisory Council (TAC)**, which serves as an advisory board to the ALT-ELPA project. TAC members will convene at the beginning of the project as part of the project kickoff meeting. The TAC makes recommendations on technical aspects of large-scale assessments, including accessibility, item development, test construction, administration procedures, scoring methodologies, standard setting workshops, and assessment system sustainability. Edynn Sato will facilitate the TAC, whose members have each committed 4 days per year to the project. The TAC was selected with input from state stakeholders and represents an array of expertise in psychometrics, accessibility, APIP, alternate content assessments, bilingualism and significant cognitive disabilities. TAC members and their expertise pertinent to the CAAELP Project are listed below.

*Table 4. ALT-ELPA TAC*

Name/Affiliation/Technical Area of Expertise
Stephanie Cawthon/ U. of Texas, Austin, Dept of Educational Psychology / <u>Accessibility</u>
Meagan Karvonen/ U. of Kansas / <u>Dynamic Learning Maps</u>
William Lorie/ Language Learning Partners / <u>English Language Dev. Assessment, Psychometrics</u>
Mike Russell/ Boston College / <u>Multi-State Alternate Assessment, APIP</u>
Julia Scherba de Valenzuela/ U. of New Mexico/ <u>Intellectual/ Severe Disabilities &amp; Bilingualism</u>
Gerald Tindal/ U. of Oregon, College of Education / <u>Professional Learning</u>

**Tasks and Timeline.** In *Table 3*, on pages 38-46 of the proposal, we provide a management plan indicating activities by year/month. The CAAELP Project has planned its activities so that they can be completed within a four-year timeframe, which is reasonable for the development of a summative assessment for a special population in which builds upon the foundation of the ELPA21 and ALTELLA project. ELPA21 and member states have been working since 2016 in preparation for designing the ALT-ELPA, complementing the work of the ALTELLA project in an effort to form an assessment framework that the CAAELP Project will build upon. Absent the ALTELLA and ELPA21 groundwork, research findings, and Theory of Action, the timeframe would likely be extended to six full years.

A project of this level of detail relies on constant communication. The collaborative nature of the project provides for continuous feedback from states and experts, both from the participating states and TAC members, but also through dissemination efforts through varied outreach strategies. State members will receive frequent updates on project developments and will have the opportunity to offer suggestions for furthering project goals via work-team participation, stakeholder survey, post-meeting feedback, and general public comment on CoP efforts. In addition, work products will be shared with the TAC in order to gather additional feedback for improvement. The proposed allocation of effort by project personnel (in terms of days) is projected across the four-year grant period (see *Table 4*, below). Careful consideration has been given to the amount of effort needed to achieve project objectives, and it has been determined that the time commitments of the principal investigators and key project personnel are adequate to meet the objectives. States have also committed time to ensure the success of the project (see Part 6: Other Attachments for Letters of Commitment and Support from states).

In order to ensure project succeeds in meeting the goals, objectives, and outcomes of the project, the time commitment of each key staff member has been thoughtfully and explicitly aligned to the ebb and flow of the project lifecycle. *Table 5* displays the person loading chart, which documents the effort of each key staff member and additional partner team members towards the collective success of the Project. The size and scope of the project is illustrated by the number of hours devoted by 34 key members of the project team. The chart displays the number of days each staff member commits per year of the project. Personnel who will be hired or assigned upon funding are marked with an asterisk.

Table 5. Person Loading Chart

Partner	Key Personnel	Role	Project Support	Days of Effort in				Total Effort
				Y1	Y2	Y3	Y4	
IDE	Erika Cook	Principal Investigator & Proj.Dir.	Lead State Project Oversight	26	26	26	26	<b>104</b>
IDE	Jennifer Denne	Special Education Specialist	Lead State Project Oversight	52	52	52	52	<b>208</b>
IDE	Terri Schuster	English Learner Specialist	Lead State Project Oversight	52	52	52	52	<b>208</b>
IDE	Colleen Anderson	Assessment Consultant	Lead State Project Oversight	52	52	52	52	<b>208</b>
CRESST	Li Cai	Subrecipient Principal Investigator	CRESST Project Oversight	13	13	13	13	<b>52</b>
CRESST	Edynn Sato	Assessment Design Director	Assessment Design, TAC	39	39	39	65	<b>182</b>
CRESST	Cat Still	Sustainability Director	Sustainability, Vendor Council	65	39	39	65	<b>208</b>
CRESST	Nami Shin	Data & Standard Setting Manager	Manage Data, Standard Setting & Reporting	52	65	65	104	<b>286</b>
CRESST	Proj. Mgr*	Project Management Lead	Support Team Leads and States	130	130	130	130	<b>520</b>
CRESST	Kara Schlosser	Outreach Director	Lead Outreach; Oversee Documentation	52	26	26	52	<b>156</b>
CRESST	Marketing Coord.*	Project Management Support	Manage Outreach & Documentation	195	130	130	195	<b>650</b>
CRESST	Proj. Coord.*	Project Management Support	Support CRESST team	78	52	52	78	<b>260</b>
CRESST	Student Clerk	Project Management Support	Produce Outreach and Documentation	65	65	65	65	<b>260</b>



Partner	Key Personnel	Role	Project Support	Days of Effort in				Total Effort
				Y1	Y2	Y3	Y4	
CRESST	Student Clerk	Project Management Support	Produce Outreach & Documentation	65	65	65	65	<b>260</b>
MP	Steve Ferrara	Lead Researcher for Item Dev.	Lead Item Development	52	52	52	52	<b>208</b>
MP	Kelly Ickes	Director of Content Dev.	Develop Accessible Items & Templates	26	26	26	26	<b>104</b>
MP	Mariann Bell	Special Education Specialist	Develop Accessible Items & Templates	52	52	52	52	<b>208</b>
MP	Cynthia Miller	Content Specialist	Develop Accessible Items & Templates	104	104	104	104	<b>416</b>
MP	Kimberly Prather	Content Specialist	Develop Accessible Items & Templates	104	104	104	104	<b>416</b>
CAST	Joe Dolan	Item Design & Dev. Team Lead	Oversee Item Development; Lead Team	52	26	26	55	<b>159</b>
WestEd	Sharon Saez	Professional Learning Designer	Professional Learning	20	20	20	20	<b>80</b>
ADE	Audra Ahumada	Peer Mentor	State Communities of Practice	10	10	10	10	<b>40</b>
TBD	TBD*	Test Delivery Readiness Team Lead	Oversee Pilot and Field Testing in States	13	26	39	39	<b>117</b>
NCEO	Kristin Liu	Subrecipient Principal Investigator	Oversee NCEO Activities & Deliverables	39	39	39	39	<b>156</b>
NCEO	Martha Thurlow	Subrecipient Co-Principal Invest.	Oversee NCEO Activities & Deliverables	21	21	21	21	<b>83</b>
NCEO	Sheryl Lazarus	Subrecipient Co-Principal Invest.	Oversee NCEO Activities & Deliverables	26	26	26	26	<b>104</b>
NCEO	Deb Albus	Researcher	Develop Accessibility Manual & DFAs	26	26	26	26	<b>104</b>

Partner	Key Personnel	Role	Project Support	Days of Effort in				Total Effort
				Y1	Y2	Y3	Y4	
NCEO	Christopher Rogers	Researcher	Develop Accessibility Manual & DFAs	39	39	39	39	<b>156</b>
NCEO	Linda Goldstone	Researcher	Develop Accessibility Manual & DFAs	26	26	26	26	<b>104</b>
EdMetric	Karla Egan	Standard Setting External Eval.	Evaluate Standard Setting Workshop	0	0	0	10	<b>10</b>
HumRRO	Wade Buckland	External Evaluator	HumRRO Project Director	26	39	26	39	<b>130</b>
HumRRO	Art Thacker	External Evaluator	Evaluate Goal 1	0	26	26	39	<b>91</b>
HumRRO	Monica Gribben	External Evaluator	Evaluate Goal 2	13	26	26	39	<b>104</b>
HumRRO	Hillary Michaels	External Evaluator	Evaluate Goal 3	13	26	26	39	<b>104</b>
			<b>Total Effort Per Year</b>	<b>1546</b>	<b>1403</b>	<b>1416</b>	<b>1652</b>	<b>6017</b>

Note: A total of 6,017 person-days will be devoted to the success of the CAAELP Project and the effort to ensure sustainability of the project can be noted in the substantial increase of time during year four when preparing to transition to CAAELP states leadership.

Commitment of various staff members will ebb and flow across the four year grant period, but for purpose of .FTE we used the first year calculation in the narrative for clarity and readability.

*(2) The extent to which the time commitments of the project director and principal investigator and other key project personnel are appropriate and adequate to meet the objectives...*

The proposed project represents a collaboration between the Iowa Department of Education, in partnership with states, with CRESST serving as project management partner, bringing together leaders in state educational administration with those in educational research and assessment. This provides a strong foundation to assure a successful project, with an abundance of talent, expertise, and ongoing quality control to ensure that the goals, objectives, and outcomes of the project are met on time, with high quality, and within budget. As noted in the Person Loading Chart, the quality and quantity of personnel is a strong indicator of the ability of the team to meet the objectives of the CAAELP Project. The project management planning process included thorough considerations of project timelines, budgeting, staff roles, responsibilities and project milestones. This section highlights project staff responsibilities, timelines, and deliverables resulting from project activities.

**Iowa Department of Education (IDE).** The Project Director for CAAELP, Erika Cook (.1 FTE), will contribute high-level executive oversight and guide the overall direction of the project and budget. She will be a representative for Iowa at project meetings and will be responsible for carrying out the state's responsibilities. She will also advise the CRESST team as needed to make decisions critical to the continuous improvement process related to grant implementation and evaluation. **Jennifer Denne** (.2 FTE) will serve as a member of the CAAELP Assessment Design Team and provide leadership and coordination between the entire assessment team at the IDE and the CAAELP Project team. **Terri Schuster** (.2 FTE) will also serve on the Assessment Design Team and will help to ensure continuity of guidance and instructional practice across the project. **Colleen Anderson** (.2 FTE) serves as an assessment consultant for the IDE and will provide guidance and expertise for the internal IDE project team

and serve as a liaison between HumRRO and the IDE.

**Collaborating States.** Each of the states participating in the CAAELP Project has already identified up to three people who will carry out its state's responsibilities as part of the ALT-ELPA Task Force. As the project kicks off, states will identify additional contributors to join the project's work teams where they will contribute to design and development decisions about the assessment, items, accessibility, accommodations, administration, professional learning, communities of practice, and sustainability. States will also nominate representatives to CAAELP governance, where a Collaborative Council will meet monthly to vote on critical system decisions, based on recommendations from work teams. Some states will also serve as Board members, meeting quarterly to provide additional oversight to IDE, reviewing external evaluator reports, receiving annual project budget reports, and contributing to sustainability planning. States will also recruit participants for the State Communities of Practice, item review events, and standard setting panels. In addition, states will provide documentation required for external quality reviews and evaluation activities. States' proposed responsibilities as members are spelled out in the Memorandum of Understanding (attached, part 6).

**CRESST PMP Subcontract.** Iowa will establish a subcontract with CRESST to carry out the activities of each of the stated objectives. CRESST's Co-Principal Investigators (Li Cai, and Edynn Sato) will ensure that each activity is carried out in a way that is consistent with the project objectives and state agreed-upon activities in this proposal and will ensure that the IDE is continually aware of the progress on all activities. Progress updates will occur formally through bimonthly calls and staff meetings, and informally through frequent email, phone and web communications between the CRESST Co-PIs as well as other CRESST project staff members.

Specific CRESST responsibilities include: (1) Ensuring the quality, timeliness, and cost of all project activities and deliverables on behalf of Iowa Department of Education; (2)

Executing procurements with all project vendors and consultants; (3) hiring and managing all project management and administrative staff for the CAAELP Project; (4) designing many of the key deliverables and managing key activities for the project; (5) producing annual reports for the US Department of Education and Iowa Department of Education, quarterly reports to the CAAELP Board, monthly updates to stakeholders, and ongoing social media updates and dissemination efforts; (6) managing all project documentation and compliance; (7) Conducting post-field test reviews, calibrating the item bank, and establishing scoring scales.

**Li Cai (.05 FTE)** will serve as Principal Investigator for the project. He will oversee all aspects of the project, including attending to contracts budgets and timelines and provide strategic leadership on the project. **Edynn Sato (.25 FTE)** will serve as the Co-PI and the Assessment Design Lead and will work closely with Dr. Cai to supervise the data collection efforts for the project and contribute to writing reports for the project. She will work closely with the external evaluator, HumRRO, and the PD from IDE to ensure that all evaluation activities are completed in a timely and efficient manner and that all evaluation results are used for project improvement. **Cathryn Still (.2 FTE)** will be responsible for the hiring and supervision of project management staff, as well as managing project procurements and budget. She will work closely with Dr. Cai to manage contracts, budgets, and timelines for this work. Still will lead project sustainability and interoperability efforts. **Nami Shin (.3 FTE)** will design project data flows, manage data handoffs, and set up the ALT-ELPA data warehouse at CRESST. She will oversee item calibration, to be performed at CRESST, design the standard setting workshop, and will serve as Team Lead for Data, Standard Setting, and Reporting. A TBH **Project Manager (.5 FTE)** will carry out day-to-day project leadership, including overseeing the work flows, deadlines and quality of the work teams, managing the project schedules and requirements, ensuring smooth handoffs between teams, vendors, and states, and acting as primary point of

contact for CAAELP state representatives. She/he will be assisted by a **Project Coordinator (.3 FTE)** who will support educator event recruitment, stakeholder meetings, and the CRESST project management team. **Kara Schlosser (.2 FTE)** will oversee all content generated by the project's work teams, TAC, VIC, and project management. Her internal Outreach team will be responsible for documenting meeting discussions and decisions, developing stakeholder reporting, outreach, and funder documentation, and identifying project content suitable for dissemination into State CoPs. She will oversee the ALT-ELPA.org website and she will supervise a **Marketing Coordinator (TBH, .75 FTE)** and **2 Student Clerks (.5 FTE each)** who will carry out the responsibilities of the Outreach team.

In addition to our core project staff, we will draw on an **expert advisory group**, comprised of the **TAC** (described above), **CAAELP work teams**, and the **Vendor Council**, from a wide range of fields to provide objective, independent feedback on our progress, activities, and products. This group will provide input and guidance to our project work plans and will serve as a quality control checkpoint. We have included experts in the area of alternate assessment design, statistics/psychometrics, English learners, special education, professional learning design, and educational policy, and operational assessment delivery.

**Partner Collaboration and Expectations.** Within the CAAELP Project, Iowa will serve as the fiscal agent and the remaining nine states will be members of the CAAELP Project teams, governance, and implementation efforts. Project decisions will be made by consensus, using a process outlined in the CAAELP MOU (attached in Part 6). As described in the MOU, states may decide to join or leave the project at any time. Should a state decide to leave the project, it must inform the project management partner six weeks prior to leaving; if a state requests to join the project, it may do so by submitting a written request to the project management partner. Additions to the project will be determined through a majority vote of all partner states. States

joining the project after the official start will work with the project management partner to determine which project activities the state can be involved in, and to what extent. States participating in the project will sign the MOU, demonstrating their agreement to participate in project activities and to use materials produced by the project.

**(g) Quality of the project evaluation**

The Human Resources Research Organization (HumRRO) will serve as the external evaluator for the ALT-ELPA assessment system. HumRRO will provide ongoing formative evaluation feedback regarding the value and application of the project to inform mid-course corrections in project design and a summative evaluation on the achievement of project objectives. The evaluation will include document review, additional data collection, data analysis, and independent review of analytic results.

HumRRO staff will work with IDE and CRESST to review collected data and relevant project materials, conduct systematic program reviews; schedule site visits, focus groups, and surveys; and prepare evaluation reports. HumRRO will prepare an annual technical report, along with brief interim reports based on specific project milestones and data collection efforts. Throughout the process, HumRRO will share formative evaluation findings to facilitate prompt program improvement. This allows for course corrections, as necessary, to support success throughout the project.

HumRRO approaches evaluation design by first considering the Goals, Objectives, and interim milestones of the project and its intended outcomes. HumRRO will: 1) examine the approach the team takes to accomplish a goal, 2) advise the team on potential weaknesses in the approach we find and provide feedback on how those weaknesses might be addressed, 3) monitor the implementation of the tasks associated with that goal and evaluate the fidelity of implementation and the outputs of the tasks as they support the goal, 4) advise the team of any

concerns or issues with data (e.g. quality, reliability, utility) or assumptions based on task outcomes that could potentially undermine the goal, 5) evaluate the body of evidence (from multiple tasks) supporting the goal, 6) draw and share conclusions regarding whether the goal has been met and if there are any caveats or conditions that might create challenges for meeting subsequent goals, and 7) compile the conclusions and caveats regarding interim project objectives and milestones and summarize any significant challenges for achieving the overall project goals. This approach allows the evaluation team to begin with early goals that will ultimately support every aspect of the project. Thus, HumRRO is an active partner in the project rather than simply an outside observer.

Evaluation tools will be designed to collect data from project participants (e.g., content experts, item writers, assessment administrators). These may take the form of surveys, interview protocols, observation protocols, or other tools. The evaluation team will also develop success indicators based on data. These may include item review documentation, item parameters and statistics, student performance data, standard-setting procedures and results, and many other sources. In this way, it can be determined if project participants perceive that the project is meeting its goals. This triangulation is vital to ensuring that the assessment system that is developed generates valid and reliable assessment information that has utility for educators, which is key to establishing sustainability.

**Evaluation Plan.** A mixed-methods design will be used to triangulate quantitative and qualitative data sources that link directly to ALT-ELPA goals and objectives. Quantitative data will consist of specific outcome measurements and allow for statistical comparisons. Qualitative data will ensure essential stakeholder context and input are incorporated to strengthen the interpretation of results. Both quantitative and qualitative data will be used to recommend programmatic changes as needed. In addition to collecting data throughout the project to address



the evaluation of the project and research questions, we will approach the evaluation of the CAAELP Project using an argument-based approach, similar to the validity argument approach described by Kane (2013) for validating inferences.

This evaluation design will help ensure effective implementation of program activities, greater learning opportunities, and better documentation of outcomes, and will help to guide the ongoing evaluation. Formative corrections will be used to produce better program design. The argument approach provides a system to strategically monitor and report on outcomes as the program is implemented and has the advantage of recognizing that the intended outcomes of the project rely on accomplishing interim objectives. The proposed evaluation methods, described in *Table 6*, below, will be submitted before the design phase begins. The IDE and CRESST project teams will review the framework and provide suggestions to best align external evaluation with overall project and stakeholder goals.

*Table 6. Evaluation Methods for Goals and Objectives*

<b>Goal 1:</b> Develop an alternate summative assessment of ELP, based on alternate performance expectations for English language development, to be administered to ELSCDs		
Objective		Methods
1.1	To fully understand the needs of ELSCDs with regards to assessment.	Document reviews; Interviews with key staff; Surveys of participants developing blueprints, items, and forms
1.2	To design assessment items that are fully accessible and allow students to demonstrate their language knowledge and skills across a spectrum of communication mechanisms.	Document review; Meeting notes; Surveys of participants; Field test site visits; Review of usability studies
1.3	To develop assessment administration	Document review; Site visits with

	protocols, an accommodations program, and test directions that fully support ELSCDs in accessing the assessment.	interviews with test administrators; Think aloud protocol for teachers using the manuals early in the design process; Pilot and operational assessment reviews
1.4	To establish and implement a consistent and fair definition of ELP for ELSCDs.	Document review; Quality assurance checks; Cross check of DIF; Surveys
<b>Goal 2:</b> Deliver resonant PL about the standards, instruction, and assessment of ELSCDs.		
Objective		Methods
2.1	To build foundational knowledge of the ELSCD population, the ALT-ELPA summative, and the meaning and application of information from ALT-ELPA scores to improve instruction of ELSCDs.	Document reviews; PL training observations; Checks of asynchronous twith live training content; Surveys of use; Data from website; Recruitment statistics via website; CoPs (use/traffic)
2.2	To ensure fidelity of implementation of standards, administration of the assessment, and the application of assessment scores and data to personalize student instruction.	Document review; Surveys; Checks of data layouts; Surveys of data procedures, trainings and usage
2.3	To develop and collaborate with state CoPs to contextualize professional learning to state factors, policies, and practices.	Document reviews; CoP site and usage reviews; CoP site comparisons
<b>Goal 3:</b> Develop and launch a sustainable program at CRESST to maintain the assessment and practices and provide ongoing support to states.		

Objective		Methods
3.1	To build ground knowledge of the ELSCD population, the ALT-ELPA summative, and the meaning and application of information from ALT-ELPA scores to improve instruction of ELSCDs	Document reviews; PL training observations; Checks of asynchronous training with live training content; Surveys of use; Data from website; Recruitment statistics via website; CoP (use/traffic)
3.2	To ensure fidelity of implementation of standards, administration of the assessment, and the application of assessment scores and data to personalize student instruction.	Document review; CoP information providing evidence of sustainability; Interviews with partner and non-partner states about sustainability

**Design Phase.** Data collection utilizes a variety of techniques, including surveys on protocol training and understanding; electronic stakeholder surveys; and analysis of workshop and stakeholder data and comments, interviews, and institutional data. The evaluation team expects to capture test administrator experiences with the materials using a cognitive interview approach to investigate the effectiveness of the materials (Leighton, 2017; Peterson, Peterson, & Powell, 2017; Willis, 2005; Ericsson & Simon, 1993). Together these elements combine to document the project's progress and impact. In the design phase, the evaluation team's work will mirror that of the project teams. Tasks will be evaluated for their alignment to stated content and the validity of information gathered from the assessment system elements. Feedback will be provided to improve the reliability and validity of the processes and outcomes. In addition, the evaluation team will provide feedback on the implementation, feasibility, and utility of each element. Their representativeness has implications for the generalizability of the claims.

**Analysis.** Data gathered from open-ended survey questions and other qualitative data will be captured and analyzed via content analysis. HumRRO generally follows the approach outlined by Neuendorf (2005) which involves checking information and verifying the appropriateness of identified themes, refining coding through another review phase to uncover additional subtler themes and analyses will be based in the grounded theory approach (Strauss & Corbin, 1994). De-identified participant quotes will be used to enhance description of themes. Quantitative data will be analyzed using SAS or R; results will be described using frequencies, standard deviations, means, and ANOVAs, or other statistical tests of significance, as appropriate. Results will be reported in aggregate to maintain respondent confidentiality. Formative feedback will be provided on a frequent basis to inform key decisions and allow for midcourse corrections during project meetings as appropriate.

**Reporting and Dissemination.** Annual reports will be completed to provide an independent perspective on how the program is being implemented. Reports will also be prepared at the end of each study that provides information on the “state of the program.” HumRRO will provide a separate, final evaluation report detailing all evaluation activities and results, as well as summary statements regarding support for each listed claim. If all the claims are supported, the veracity of conclusions regarding the three research questions can be trusted. The evaluation report will be written as a stand-alone document with a non-technical executive summary. It can be appended to the overall technical report or referenced, as preferred by the PIs. HumRRO will also serve as a reviewer of the CAAELP’s Project’s technical report(s). The focus of the review will be to ensure that findings, conclusions, and especially recommendations are supported by the collected data.

Where appropriate, the evaluation team will use a rubric to rate documents against best practices as we have successfully done in several assessment reviews. Findings will also be

linked to the logic model and theory of action. Survey data will be analyzed with descriptive statistics and where appropriate inferential statistics. Where there is enough statistical power, results will be disaggregated by categories of interest, such as state, geographic region, home language, communication device. HumRRO will strive to report results in a usable manner within four weeks of data collection. All reports will be sent as draft to IDE and CRESST for review before final edits are made to the documents. Working with the IDE and CRESST teams, we will prioritize these based on the theory of action and most significant project needs.

HumRRO will comply with the Family Educational Rights and Privacy Act ([FERPA] 20 U.S.C. § 1232g; 34 CFR Part 99) and United States laws that governs the collection and use of student data. FERPA prohibits improper disclosure of student personal identifiable information (PII).

All PII data will be retrieved from the CRESST's secure SFTP site. Once the data files have been received, they will be placed on a secure server designated solely for data containing student PII (e.g., first name, last name). As PII is not needed to conduct the evaluation analyses, CRESST will produce and provide data files without PII for item analysis and scaling and equating. These files will follow HumRRO's policies on working with PII data that are available upon request.

As noted, our team has the capacity to collect and analyze reliable formative and summative data, that will help ensure our evaluation activities are impartial and appropriate and contribute to continuous project refinement and improvement. The four-year evaluation plan also demonstrates that we have specified clear methods and metrics that are linked logically and feasibly to project activities and expected outcomes. As a result of our collective capacity and long-term continuous improvement focus, the CAAELP Project is poised to serve as a model for the assessment of English proficiency for English learners with significant cognitive disabilities.

## Other Attachment File(s)

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\* **Mandatory Other Attachment Filename:**

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Competitive Grants for State Assessment

Iowa Department of Education Proposal

The Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project

## Part 6

Additional Attachments for Proposal:

Individual Resumes for Project Director and Key Personnel

- Iowa Department of Education (Cook, Denne, Schuster, Anderson)
- CRESST (Cai, Sato, Still, Shin, Schlosser)
- Measured Progress (Ferrara)
- NCEO (Liu, Thurlow, Lazarus)
- Team Leads (Dolan, Saez, Ahumada)
- Project Evaluation (Michaels et al, Egan, Davidson)



# STATE OF IOWA

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## DEPARTMENT OF MANAGEMENT

David Roederer, Director

TO:  
US Department of Education

FROM:  
Debra Scrowther  
Grants Enterprise Management Office  
Iowa Department of Management

RE:  
Grant Title - The Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project

GRANT CONTACT INFO:  
Cathryn Still  
DE  
323-375-4195  
Still@cesst.org

You are receiving this letter as evidence that the Iowa Grants Enterprise Management (GEMS) requirements to meet executive order 12372 have been completed for the The Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project grant application.

If you have questions please contact Cathryn Still, as listed above.



**INDIRECT COST RATE AGREEMENT  
STATE EDUCATION AGENCY**

**Organization:**

Iowa Department of Education  
Grimes State Office Building  
400 E 14th Street  
Des Moines, IA 50319-0146

**Date:** March 21, 2019

**Agreement No:** 2019-033

**Filing Reference:** This replaces previous  
Agreement No. 2018-091

**Dated:** 7/20/2018

The approved indirect cost rates herein are for use on grants, contracts, and other agreements with the Federal Government. The rates are subject to the conditions included in Section II of this Agreement and regulations issued by the Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards under 2 CFR 200. •

**Section I - Rates and Bases**

<u>Type</u>	<u>From</u>	<u>To</u>	<u>Rate</u>	<u>Base</u>	<u>Applicable To</u>
Fixed	7/1/2018	6/30/2019	20.1%	MTDC	Unrestricted
Fixed	7/1/2018	6/30/2019	13.1%	MTDC	Restricted
Fixed	7/1/2018	6/30/2019	26.4%	MTDC	Library Programs
Fixed	7/1/2019	6/30/2020	20.9%	MTDC	Unrestricted
Fixed	7/1/2019	6/30/2020	11.4%	MTDC	Restricted

**Distribution Base:**

MTDC      Modified Total Direct Cost - Total direct costs excluding equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$25,000 (each award; each year).

**Applicable To:**

Unrestricted      Unrestricted rates apply to programs that do not require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.

Restricted      Restricted rates apply to programs that require a restricted rate per 34 CFR 75.563 and 34 CFR 76.563.

**Library Programs**

**Treatment of Fringe Benefits:**

Fringe benefits applicable to direct salaries and wages are treated as direct costs. Pursuant to 2 CFR 200.431, (b), (3), Paragraph (i), unused leave costs for all employees are allowable in the year of payment. The treatment of unused leave costs should be allocated as an indirect cost except for those employee salaries designated as a direct cost for the restricted rate calculation.

**Capitalization Policy:** Items of equipment are capitalized and depreciated if the initial acquisition cost is equal to or greater than \$5,000.

## **Section II – Particulars**

**Limitations:** Application of the rates contained in this Agreement is subject to all statutory or administrative limitations on the use of funds, and payments of costs hereunder are subject to the availability of appropriations applicable to a given grant or contract. Acceptance of the rates agreed to herein is predicated on the following conditions: (A) that no costs other than those incurred by the Organization were included in the indirect cost pools as finally accepted, and that such costs are legal obligations of the Organization and allowable under the governing cost principles; (B) the same costs that have been treated as indirect costs are not claimed as direct costs; (C) that similar types of information which are provided by the Organization, and which were used as a basis for acceptance of rates agreed to herein, are not subsequently found to be materially incomplete or inaccurate; and (D) that similar types of costs have been accorded consistent accounting treatment.

**Accounting Changes:** The rates contained in this agreement are based on the organizational structure and the accounting systems in effect at the time the proposal was submitted. Changes in organizational structure or changes in the method of accounting for costs which affect the amount of reimbursement resulting from use of the rates in this agreement, require the prior approval of the responsible negotiation agency. Failure to obtain such approval may result in subsequent audit disallowance.

**Provisional/Final/Predetermined Rates:** A proposal to establish a final rate must be submitted. The awarding office should be notified if the final rate is different from the provisional rate so that appropriate adjustments to billings and charges may be made. Predetermined rates are not subject to adjustment.

**Fixed Rate:** The negotiated fixed rate is based on an estimate of the costs that will be incurred during the period to which the rate applies. When the actual costs for such period have been determined, an adjustment will be made to a subsequent rate calculation to compensate for the difference between the costs used to establish the fixed rate and the actual costs.

**Notification to Other Federal Agencies:** Copies of this document may be provided to other Federal agencies as a means of notifying them of the agreement contained herein.

**Audit:** All costs (direct and indirect, federal and non-federal) are subject to audit. Adjustments to amounts resulting from audit of the cost allocation plan or indirect cost rate proposal upon which the negotiation of this agreement was based may be compensated for in a subsequent negotiation.

**Reimbursement Ceilings/Limitations on Rates:** Awards that include ceiling provisions and statutory/regulatory requirements on indirect cost rates or reimbursement amounts are subject to the stipulations in the grant or contract agreements. If a ceiling is higher than the negotiated rate in Section I of this agreement, the negotiated rate will be used to determine the maximum allowable indirect cost.

## **Section III - Special Remarks**

**Alternative Reimbursement Methods:** If any federal programs are reimbursing indirect costs by a methodology other than the approved rates in this agreement, such costs should be credited to the

Competitive Grants for State Assessment

Iowa Department of Education Proposal

The Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project

Part 6

Additional Attachments for Proposal:

Collaborative Memorandum of Understanding for Participation in Collaborative Effort

- The following MOU has been approved for use by the Iowa Department of Education,
- CAAELP states are currently reviewing MOU, and
- States will be ready to execute MOU upon award.

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## Competitive Grants for State Assessment

### Iowa Department of Education Proposal

#### The Collaborative for the Alternate Assessment of English Language Proficiency (CAAELP) Project

## Part 6

### Additional Attachments for Proposal:

#### Letters of Support from CAAELP Partners

#### Contractors:

- CRESST
- AdvancedEd/Measured Progress
- CAST
- National Center on Educational Outcomes (NCEO)
- Arizona Department of Education
- WestEd
- HumRRO
- EdMetric
- SightBox

#### Technical Advisory Committee:

- Stephanie Cawthon, University of Texas
- Meagan Karvonen, University of Kansas
- Will Lorie, Capital Metrics
- Michael Russell, Boston College
- Julia Scherba de Valenzuela, University of New Mexico
- Gerald Tindall, University of Oregon

March 18, 2019

Professor Li Cai  
Co-Director  
CSE/CRESST  
300 Charles E. Young Drive North, UCLA  
Los Angeles, CA 90095

Dear Dr. Cai:

The Human Resources Research Organization (HumRRO) is extremely pleased to participate in the proposal, *Development of an Alternate Assessment of English Language Proficiency for English Learners with Significant Cognitive Disabilities* (ALT-ELPA), to be submitted in partnership with The Iowa Department of Education, in response to CFDA 84.368A.

Your planned work will span a critical gap in the services and supports to English Learners with significant cognitive disabilities, who are among the most fragile, overlooked and under-served students. Accessing and fully engaging with academic English is an opportunity often unavailable to this population. Developing an assessment to fully include these vulnerable students, and allowing them to demonstrate their English language skills, knowledge, and proficiency, will provide a much-needed support for students, who will be able to demonstrate that they have grown or no longer need ELD services; and to educators, who will be able to apply assessment data to personalize and improve instruction.

If the project is funded, HumRRO will be honored to serve as the external evaluator. In this role, we will contribute our expertise in large-scale assessment and students with disabilities to advise the Iowa Department of Education, the Center for Research on Evaluation, Standards, and Students (CRESST), and all collaborative states in the best interest of the ALT-ELPA project.

Thank you for the opportunity to participate in this important work. We wish you the best of luck with this endeavor and look forward to working with you should this project be funded.

Sincerely,

Suzanne Tsacoumis, PhD  
President & CEO



Department of Special Education  
Hokona Hall - Zuni, Room 101  
MSC 05 3045  
1 University of New Mexico  
Albuquerque, NM 87131-0001  
Telephone (505) 277-1499  
Fax (505) 277-6929

Professor Li Cai  
Co-Director, CSE/CRESST  
300 Charles E. Young Drive North, UCLA  
Los Angeles, CA 90095

Dear Dr. Cai,

Thank you for the opportunity to participate in your research proposal, I am extremely excited to participate in the proposal, Development of an Alternate Assessment of English Language Proficiency for English Learners with Significant Cognitive Disabilities, to be submitted in partnership with The Iowa Department of Education, in response to CFDA 84.368A.

Your planned work will span a critical gap in the services and supports to English Learners with significant cognitive disabilities, who are among the most overlooked and under-served students. Accessing and fully engaging with academic English is an opportunity often unavailable to this population. Developing an assessment to fully include these vulnerable students, and allow them to demonstrate their English language skills, knowledge, and proficiency, will provide a much-needed support for students, who will be able to demonstrate that they have grown or no longer need ELD services; and to educators, who will be able to apply assessment data to personalize and improve instruction.

If the project is funded, I will be honored to serve as a member of the ALT-ELPA Technical Advisory Council. In this role, I will contribute my expertise in large-scale assessment and students with disabilities to advise The IDE, CRESST, and the Collaborative States in the best interest of the ALT-ELPA project.

I wish you the best of luck with this endeavor, and look forward to working with you should this project be funded.

Cordially,

Julia Scherba de Valenzuela, Ph.D.  
Associate Professor  
Special Education Program

## Budget Narrative File(s)

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\* **Mandatory Budget Narrative Filename:**

Add Mandatory Budget Narrative

Delete Mandatory Budget Narrative

View Mandatory Budget Narrative

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To add more Budget Narrative attachments, please use the attachment buttons below.

Add Optional Budget Narrative

Delete Optional Budget Narrative

View Optional Budget Narrative

## BUDGET NARRATIVE

PI: Erika Cook

Proposal to U.S. Department of Education in response to CGSA CFDA 84.368A  
Title: Collaborative for the Alternate Assessment of English Language Proficiency  
(CAAELP)

### Section A – U.S. Department of Education Funds

#### Travel

Purpose of Travel	Basis for Cost Estimate	# People Traveling	# Nights	Total
IDE - Kickoff –PMP project and procurement planning.  1 trip in Year 1, 1 traveler per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	1	1	Y1 - \$937
IDE – CRESST Planning meeting – yearly meeting for status and progress reporting.  1 trip per year in Years 1-3, 1 traveler per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	1	1	Y1 – \$937  Y2 – \$937  Y3 - \$937
CAAELP Council Meeting – Annual Board Meeting.	Average airfare of \$500 per person	1	1	Y1 – \$937

1 trip per year, 1 traveler per trip	Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person			Y2 – \$937  Y3 - \$937  Y4 - \$937
TAC Meeting – project technical advisory board.  2 trips per year, 1 traveler per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	1	1	Y1 – \$1,874  Y2 – \$1,874  Y3 - \$1,874  Y4 - \$1,874
Vendor Interoperability Council – Sustainability Planning Meeting  1 trip in Years 2 & 3, 2 trips in Year 4, 1 traveler per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	1	1	Y2 – \$937  Y3 - \$937  Y4 - \$1,874



<p>Item Content panels – validation activity</p> <p>1 trip in Year 3, 2 travelers per trip</p>	<p>Average airfare of \$500 per person</p> <p>Lodging of up to \$300/night per person</p> <p>Subsistence allowance of \$62/day per person</p> <p>Ground Transportation &amp; travel related expenses - \$75/day per person</p>	2	2	Y3 - \$1,874
<p>Item Bias and Sensitivity Reviews – validation activity</p> <p>1 trip in Year 3, 2 travelers per trip</p>	<p>Average airfare of \$500 per person</p> <p>Lodging of up to \$300/night per person</p> <p>Subsistence allowance of \$62/day per person</p> <p>Ground Transportation &amp; travel related expenses - \$75/day per person</p>	2	2	Y3 - \$1,874
<p>Range Finding Panels – validation activity</p> <p>1 trip in Year 4, 2 travelers per trip</p>	<p>Average airfare of \$500 per person</p> <p>Lodging of up to \$300/night per person</p> <p>Subsistence allowance of \$62/day per person</p> <p>Ground Transportation &amp; travel related</p>	2	2	Y4 - \$1,874

	expenses - \$75/day per person			
Rubric Validation – validation activity 1 trip in Year 4, 2 travelers per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	2	2	Y4 - \$1,874
Standard Setting Workshop – validation activity 1 trip in Year 4, 2 travelers per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	2	2	Y4 - \$1,874
Project Close Out Meeting 1 trip in Year 4, 1 traveler per trip	Average airfare of \$500 per person  Lodging of up to \$300/night per person  Subsistence allowance of \$62/day per person	1	1	Y4 - \$937

	Ground Transportation & travel related expenses - \$75/day per person			
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Estimates are for travel costs of Iowa Department of Education personnel while on project travel status include airfare, subsistence, reasonable lodging, and vehicle rental or taxi fare. Airfare estimates are based on an average of current coach rates relative to the point of origin/destination when identifiable. Airfare costs of \$500 per flight, ground transportation costs and related costs are based on historical data and fare quotes obtained at the time of estimate. Subsistence is based on allowance following rates set by the State of California and accepted by federal granting agencies currently set at up to \$62/day. All estimates are based on amounts provided by carriers/vendors and/or historical data.

Travel costs per year: Y1 - \$4,685; Y2 - \$4,685; Y3 - \$8,433; Y4 - \$11,244. TOTAL: \$29,047

## **Contractual**

### *UCLA-CRESST*

- Purpose and relation to project success: Project Management Partner
- Products or services and Justification of the contractor: Iowa Department of Education proposes to name CRESST as the Project Management Partner for the project, which is scheduled to commence October 1, 2019 and conclude September 30, 2023. If funded, the project will entail CRESST undertaking the following activities on behalf of Iowa Department of Education:
  - Ongoing project management, including budget oversight, and ongoing risk assessment,
  - Project schedule management, including sub-schedules for each of the project's work teams,
  - Issuing contracts to Iowa's identified partners, as described in the proposal,
  - Monitoring the work of partners (sub-contractors), including reviewing and paying invoices,
  - Hiring and managing project management and outreach staff dedicated to the project,
  - Ensuring the quality, timeliness, and cost of all project activities,
  - Certification of deliverables created by the project's work teams,
  - Coordination of project events, such as annual Board meetings, and educator events,
  - Facilitating the work and governance of contributors from participating states, who will make all decisions regarding the requirements, quality, and specifications of the assessment, and its related deliverables,
  - Manage data sharing between vendors working on the project,
  - Conducting stakeholder outreach, dissemination, and project documentation on behalf of Iowa,
  - Supervising a website for the project on which progress updates will be shared, and

- Setting up a self-sustained program at CRESST to serve as the future home for the grant-based activities after the grant concludes.
- Procurement mode, name of contracted partner: Iowa DoE will issue a subaward to UCLA
- Cost: \$7,767,502
- Time: October 2019 – September 2023
- Basis for cost: signed commitment letter from UCLA and cost proposal attached

Contractual costs per year: Y1 - \$1,767,238, Y2 - \$1,601,413; Y3 - \$1,914,853; Y4 - \$2,483,998.  
TOTAL: \$7,767,502

### **Total Direct Costs**

Total Direct Costs per year: Y1- \$1,771,923; Y2- \$1,608,098; Y3 - \$1,923,286; Y4 - \$2,495,242.  
TOTAL: \$7,796,549

### **Indirect Costs**

Rates are based on Iowa Department of Education's current facilities and administrative cost rate agreement negotiated with the Federal government. IA DoE will assess a fixed Indirect Cost rate of 20.9% of Modified Total Direct Cost (MTDC). MTDC excludes equipment, capital expenditures, participant support costs, pass-through funds and the portion of each subaward (subcontract or subgrant) above \$25,000 (each award; each year).

Total Indirect Costs per year: Y1- \$6,204; Y2- \$6,204; Y3 - \$6,987; Y4 - \$7,575. TOTAL: \$26,970

### **Total Costs (U.S. Department of Education Funds)**

Total Costs per year: Y1- \$1,778,127; Y2- \$1,612,302; Y3 - \$1,930,273; Y4 - \$2,502,817.  
TOTAL: \$7,823,519



# U.S. DEPARTMENT OF EDUCATION

## BUDGET INFORMATION NON-CONSTRUCTION PROGRAMS

OMB Control Number: 1894-0008  
Expiration Date: 08/31/2020

Name of Institution/Organization  
Regents of the University of California

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

### SECTION A - BUDGET SUMMARY U.S. DEPARTMENT OF EDUCATION FUNDS

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel	\$327,382	\$257,005	\$265,252	\$395,381		\$1,245,020
2. Fringe Benefits	\$157,150	\$123,185	\$129,753	\$202,298		\$612,386
3. Travel	\$73,521	\$62,729	\$183,095	\$307,159		\$626,504
4. Equipment	\$10,000	\$0	\$0	\$0		\$10,000
5. Supplies	\$11,458	\$8,995	\$9,284	\$13,839		\$43,576
6. Contractual	\$701,707	\$701,904	\$749,764	\$781,025		\$2,934,400
7. Construction	\$0	\$0	\$0	\$0		\$0
8. Other	\$2,143	\$6,626	\$50,426	\$100,297		\$159,492
9. Total Direct Costs (lines 1-8)	\$1,283,361	\$1,160,444	\$1,387,574	\$1,799,999		\$5,631,378
10. Indirect Costs 38% *Enter Rate Applied _____	\$483,877	\$440,969	\$527,279	\$683,999		\$2,136,124
11. Training Stipends	\$0	\$0	\$0	\$0		\$0
12. Total Costs (lines 9-11)	\$1,767,238	\$1,601,413	\$1,914,853	\$2,483,998		\$7,767,502

**\*Indirect Cost Information (To Be Completed by Your Business Office):**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

- (1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? ☒ Yes ☐ No.
- (2) If yes, please provide the following information:  
Period Covered by the Indirect Cost Rate Agreement: From: 07/01/2016 To: 06/30/2019 (mm/dd/yyyy)  
Approving Federal agency: ED ☒ Other (please specify): Department of Health and Human Services The Indirect Cost Rate is 38%
- (3) If this is your first Federal grant, and you do not have an approved indirect cost rate agreement, are not a State, Local government or Indian Tribe, and are not funded under a training rate program or a restricted rate program, do you want to use the de minimis rate of 10% of MTDC? ☐ Yes ☐ No. If yes, you must comply with the requirements of 2 CFR § 200.414(f).
- (4) If you do not have an approved indirect cost rate agreement, do you want to use the temporary rate of 10% of budgeted salaries and wages? ☐ Yes ☐ No. If yes, you must submit a proposed indirect cost rate agreement within 90 days after the date your grant is awarded, as required by 34 CFR § 75.560.
- (5) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that: ☐ Is included in your approved Indirect Cost Rate Agreement? Or ☐ Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is \_\_\_\_\_%
- (6) For Training Rate Programs (check one) -- Are you using a rate that: ☐ Is based on the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4))? Or ☐ Is included in your approved Indirect Cost Rate Agreement, because it is lower than the training rate of 8 percent of MTDC (See EDGAR § 75.562(c)(4)).

PR/Award # S368A190007

Name of Institution/Organization Regents of the University of California			Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.			
<b>SECTION B - BUDGET SUMMARY NON-FEDERAL FUNDS</b>						
Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (Lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (Lines 9-11)						\$0
<b>SECTION C – BUDGET NARRATIVE</b> (see instructions)						

## **UCLA BUDGET NARRATIVE**

**PI: Li Cai**

**Sub-Proposal to Iowa Department of Education in response to CGSA CFDA 84.368A**

**Title: *The CAAELP Project***

### **Personnel**

Salary rates are based on current salaries of named staff members augmented by estimated increases. Estimates are based on scheduled merit and cost of living increases for named staff/faculty in accordance with policy for the same provided system wide for the University of California. Separate salary escalation projections are applied based on the employee's category of staff personnel; 5% escalation for faculty, 3% for staff, and 2% for students at the beginning of the fiscal year, July 1, 2019. Personnel charges to the project are strictly monitored, routinely documented and approved, and reflect only project-specific services. These salaries are not duplicated in the facilities and administrative costs or in any other charge presented to the agency.

Personnel: The following proposed personnel will all be hired as employees of the project.	% Time	Annual Base Salary	Total
<b>Cai, Li</b> - UCLA-CRESST P.I. - Dr. Cai will serve as the CRESST team lead, providing intellectual leadership and oversight for all technical aspects of the project as well as provide technical quality control for all project publications and documents. His qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1-Y4 5%	FY1920: \$202,860	Y1 – \$10,270 Y2 - \$10,783 Y3 - \$11,322 Y4 - \$11,899 TOTAL: \$44,264
<b>Sato, Edynn</b> – Assessment Design Lead - Dr. Sato will work closely with Dr. Cai to supervise the data collection efforts for the project and contribute to writing reports for the project. She will work closely with the external evaluator, HumRRO, and the PD from IDE to ensure that all evaluation activities are completed in a timely and efficient manner and that all evaluation results are used for project improvement. Her qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 25% Y2 – 15% Y3 – 15% Y4- 25%	FY1920: \$147,000	Y1 - \$37,209 Y2 - \$23,442 Y3 - \$24,614 Y4 - \$43,075 TOTAL: \$128,340
<b>Still, Cathryn</b> – Sustainability Director - She will be responsible for the hiring and supervision of project management staff, as well as managing project procurements and budget. She will work closely with Dr. Cai to manage contracts, budgets, and timelines for this work. Still will lead project sustainability and interoperability efforts and oversee states' vendors' implementation of the pilot and field test. Her qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 15% Y2 – 15% Y3 – 15% Y4 – 25%	FY1920: \$162,740	Y1 – \$24,594 Y2 - \$25,332 Y3 - \$26,092 Y4 - \$44,791 TOTAL: \$120,809
<b>Shin, Nami</b> – Data & Standard Setting Manager – She will lead the statistical and analytic aspects of the project, as well as coordinate data access and data reporting. Her qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 20% Y2 – 25% Y3 – 25% Y4 – 40%	FY1920: \$77,661	Y1 – \$15,649 Y2 – \$20,148 Y3 - \$20,752 Y4 - \$34,199 TOTAL: \$90,748



<b>Project Manager</b> , TBN – S/he will carry out day-to-day project leadership, including overseeing the work flows, deadlines and quality of the Work Teams, managing the project schedules and requirements, ensuring smooth handoffs between teams, vendors, and states, and acting as primary point of contact for CAAELP state representatives. Her/his qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 50% Y2 – 50% Y3 – 50% Y4 – 50%	FY1920: \$92,700	Y1 – \$46,698 Y2 – \$48,099 Y3 - \$49,542 Y4 - \$51,028 TOTAL: \$195,365
<b>Schlosser, Kara</b> – Outreach Director – She will oversee all the content generated by the project. She will oversee project documentation, stakeholder reporting, outreach, and funder reporting; and identifying project content suitable for dissemination. She will oversee the ALT-ELPA.org website. Her qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 20% Y2 – 10% Y3 – 10% Y4 – 20%	FY1920: \$103,000	Y1 – \$20,755 Y2 - \$10,689 Y3 - \$11,009 Y4 - \$22,679 TOTAL: \$65,131
<b>Marketing Coordinator</b> , TBN – S/he will document meetings discussions and decisions, write content for project reports, and manage project documentation. Her qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 75% Y2 – 50% Y3 – 50% Y4 – 75%	FY1920: \$61,800	Y1 - \$46,698 Y2 - \$32,066 Y3 - \$33,028 Y4 - \$51,028 TOTAL: \$162,819
<b>Project Coordinator</b> – TBN will support educator event recruitment, stakeholder meetings, and the CRESST project management team. His/her qualifications are described in the Quality of the Management Plan section of the application narrative.	Y1 - 30% Y2 – 20% Y3 – 20% Y4 – 30%	FY1920: \$66,761	Y1 - \$20,178 Y2 - \$13,856 Y3 - \$14,271 Y4 - \$22,049 TOTAL: \$70,355
<b>Student Clerk 1</b> , TBD - will support the project management team by creating various project supports such as templates, file storage spaces, writing and editing copy, creating charts and tables to track and report project progress.	Y1-Y4 25%	FY1920: \$28,752	Y1 - \$7,224 Y2 - \$7,368 Y3 - \$7,516 Y4 - \$7,666 TOTAL: \$29,774

<b>Student Clerk 2, TBD</b> – will support project Outreach by drafting social media updates, updating website content, and creating content for stakeholder reports	Y1-Y4 25%	FY1920: \$28,752	Y1 - \$7,224 Y2 - \$7,368 Y3 - \$7,516 Y4 - \$7,666 TOTAL: \$29,774
<b>IT Manager</b> – will assist with the programming needs across all aspects of the project, including database set up, feature analytics, development of digital resources and programming of new assessment items.	Y1 - 25% Y2 – 25% Y3 – 25% Y4 – 25%	FY1920: \$85,182	Y1 - \$21,455 Y2 - \$22,099 Y3 - \$22,762 Y4 - \$23,445 TOTAL: \$89,761
<b>Administrative Support</b> - will provide administrative support across the project, including contractor procurements, procurement of supplies, travel booking and expense reimbursements, and will be logistical point of contact for advisory group meetings. facilitate coordination between P.I. and senior personnel, including communication and meetings with IDE and other constituents, provide verification of monthly internal financial reporting from the university ledger system to the P.I. The support costs included in the detailed budget are for time dedicated to this project only.	Y1 - 100% Y2 – 50% Y3 – 50% Y4 – 100%	FY1920: \$68,912	Y1 - \$69,429 Y2 - \$35,756 Y3 - \$36,829 Y4 - \$75,867 TOTAL: \$217,880

Salary Costs: Y1 - \$327,382; Y2 - \$257,005; Y3 - \$265,252; Y4 - \$395,381. TOTAL:  
\$1,245,020

### **Fringe Benefits**

In fiscal year 2018-19, a new Composite Benefit Rate (CBR) assessment was implemented at UCLA. Based on employee groupings, employer paid benefits are pooled and charged using a composite benefit rate methodology. CBRs are charged in a consistent method as a percent to all components of pay except for certain bonuses, incentives and Z payments. CBR for 2019-20 are 32.2% for faculty academic year, 50.4% for staff-exempt, 59.8% for staff non-exempt, 4.9% for students with a 1% escalation in the out years.

Employee grouping rates for budgeted staff are listed below for 2019-20:	Fringe Benefit%	Base	Total
<b>Senior Staff</b>			
Cai, Li	FY1920: 32.2%	Y1 – \$10,270 Y2 - \$10,783 Y3 - \$11,322 Y4 - \$11,899	Y1 - \$3,333 Y2 - \$3,608 Y3 - \$3,902 Y4 - \$4,216 TOTAL: \$15,059
Sato, Edynn	FY1920: 32.2%	Y1 - \$37,209 Y2 - \$23,442 Y3 - \$24,614 Y4 - \$43,075	Y1 - \$12,078 Y2 - \$7,843 Y3 - \$8,482 Y4 - \$15,274 TOTAL: \$43,677
Still, Cathryn	FY1920: 50.4%	Y1 – \$24,594 Y2 - \$25,332 Y3 - \$26,092 Y4 - \$44,791	Y1 – \$12,458 Y2 - \$13,085 Y3 - \$13,739 Y4 - \$24,033 TOTAL: \$63,315
Shin, Nami	FY1920: 50.4%	Y1 – \$15,649 Y2 – \$20,148 Y3 - \$20,752 Y4 - \$34,199	Y1 – \$7,927 Y2 – \$10,407 Y3 - \$10,927 Y4 - \$18,350 TOTAL: \$47,611
Project Manager, TBD	FY1920: 50.4%	Y1 – \$46,698 Y2 – \$48,099 Y3 - \$49,542 Y4 - \$51,028	Y1 – \$23,655 Y2 – \$24,846 Y3 - \$26,086 Y4 - \$27,379 TOTAL: \$101,966
Schlosser, Kara	FY1920: 50.4%	Y1 – \$20,755 Y2 - \$10,689 Y3 - \$11,009 Y4 - \$22,679	Y1 – \$10,513 Y2 - \$5,521 Y3 - \$5,797 Y4 - \$12,169 TOTAL: \$34,000
Outreach Coordinator, TBD	FY1920: 50.4%	Y1 - \$46,698 Y2 - \$32,066 Y3 - \$33,028 Y4 - \$51,028	Y1 - \$23,655 Y2 - \$16,564 Y3 - \$17,391 Y4 - \$27,379 TOTAL: \$84,989

Project Coordinator, TBD	FY1920: 50.4%	Y1 - \$20,178 Y2 - \$13,856 Y3 - \$14,271 Y4 - \$22,049	Y1 - \$10,221 Y2 - \$7,157 Y3 - \$7,515 Y4 - \$11,831 TOTAL: \$36,724
<b>Supporting Staff</b>			
Masur, Frank	FY1920: 50.4%	Y1 - \$21,455 Y2 - \$22,099 Y3 - \$22,762 Y4 - \$23,445	Y1 - \$10,868 Y2 - \$11,415 Y3 - \$11,985 Y4 - \$12,579 TOTAL: \$46,848
Kuo, Katie	FY1920: 59.8%	Y1 - \$69,429 Y2 - \$35,756 Y3 - \$36,829 Y4 - \$75,867	Y1 - \$41,696 Y2 - \$21,831 Y3 - \$22,854 Y4 - \$47,838 TOTAL: \$134,220
Student Clerk 1, TBD	FY1920: 4.9%	Y1 - \$7,224 Y2 - \$7,368 Y3 - \$7,516 Y4 - \$7,666	Y1 - \$372 Y2 - \$453 Y3 - \$538 Y4 - \$625 TOTAL: \$1,988
Student Clerk 2, TBD	FY1920: 4.9%	Y1 - \$7,224 Y2 - \$7,368 Y3 - \$7,516 Y4 - \$7,666	Y1 - \$372 Y2 - \$453 Y3 - \$538 Y4 - \$625 TOTAL: \$1,988

Fringe Benefit costs per year: Y1 - \$157,150; Y2 - \$123,185; Y3 - \$129,753; Y4 - \$202,298.  
TOTAL: \$612,386

## Travel

Purpose of Travel	Basis for Cost Estimate	# People Traveling	# Nights	Total
IDE - CRESST Kickoff – Sponsor-PMP project and procurement planning.  1 trip in Year 1, 3 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person	3	1	Y1 - \$3,036

	Ground Transportation & travel related expenses - \$75/day per person			
IDE – CRESST Planning meeting – yearly meeting for status and progress reporting.  1 trip per year in Years 1-3, 3 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	3	1	Y1 – \$3,036  Y2 – \$3,036  Y3 - \$3,036
CAAELP Council Meeting – Annual Board Meeting.  1 trip per year, 15 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	15	2	Y1 – \$20,235  Y2 – \$20,235  Y3 - \$20,235  Y4 - \$20,235
TAC Meeting – project technical advisory board.  2 trips per year, 11 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person	11	2	Y1 – \$29,678  Y2 – \$29,678  Y3 - \$29,678  Y4 - \$29,678

	Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person			
Attendance to the National Council on Measurement in Education conference (NCME) and the National Conference on Student Assessment (NCSA) – Required project dissemination  1 trip per year to each conference, 8 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	2	3	Y1 – \$6,744  Y2 – \$6,744  Y3 - \$6,744  Y4 - \$6,744
Item Development Vendor Kick-off – Planning meeting with project contractor  1 trip in Year 1, 8 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	8	2	Y1 – \$10,792
Vendor Interoperability Council – Sustainability Planning Meeting	Average airfare of \$600 per person	3	1	Y2 - \$3,036  Y3 - \$3,036  Y4 - \$6,072

1 trip in Years 2 & 3, 2 trips in Year 4, 3 travelers per trip	Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person			
Item Content panels – validation activity  1 trip in Year 3, 36 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	36	5	Y3 - \$84,960
Item Bias and Sensitivity Reviews – validation activity  1 trip in Year 3, 21 travelers per trip	Average airfare of \$600 per person  Lodging of up to \$275/night per person  Subsistence allowance of \$62/day per person  Ground Transportation & travel related expenses - \$75/day per person	21	3	Y3 - \$35,406

<p>Range Finding Panels – validation activity</p> <p>1 trip in Year 4, 36 travelers per trip</p>	<p>Average airfare of \$600 per person</p> <p>Lodging of up to \$275/night per person</p> <p>Subsistence allowance of \$62/day per person</p> <p>Ground Transportation &amp; travel related expenses - \$75/day per person</p>	36	6	Y4 - \$97,092
<p>Rubric Validation – validation activity</p> <p>1 trip in Year 4, 17 travelers per trip</p>	<p>Average airfare of \$600 per person</p> <p>Lodging of up to \$275/night per person</p> <p>Subsistence allowance of \$62/day per person</p> <p>Ground Transportation &amp; travel related expenses - \$75/day per person</p>	17	3	Y4 - \$28,662
<p>Standard Setting Workshop – validation activity</p> <p>1 trip in Year 4, 49 travelers per trip</p>	<p>Average airfare of \$600 per person</p> <p>Lodging of up to \$275/night per person</p> <p>Subsistence allowance of \$62/day per person</p> <p>Ground Transportation &amp; travel related</p>	49	5	Y4 - \$115,640



	expenses - \$75/day per person			
IDE - CRESST Project Close Out Meeting	Average airfare of \$600 per person	3	1	Y4 - \$3,036
1 trip in Year 4, 3 travelers per trip	Lodging of up to \$275/night per person			
	Subsistence allowance of \$62/day per person			
	Ground Transportation & travel related expenses - \$75/day per person			

Estimates are for travel costs of UCLA personnel while on project travel status include airfare, subsistence, reasonable lodging, and vehicle rental or taxi fare. Airfare estimates are based on an average of current coach rates relative to the point of origin/destination when identifiable. Airfare costs of \$600 per flight, ground transportation costs and related costs are based on historical data and fare quotes obtained at the time of estimate. Subsistence is based on the University's subsistence allowance following rates set by the State of California and accepted by federal granting agencies currently set at up to \$62/day. All estimates are based on amounts provided by carriers/vendors and/or historical data. The current mileage reimbursement rate is 58.0 cents per mile for 2019.

Travel costs per year: Y1 - \$73,521; Y2 - \$62,729; Y3 - \$183,095; Y4 - \$307,159. TOTAL: \$626,504

## Equipment

Dedicated data server will be purchased to facilitate transfer of massive data to be used for analyses from the Iowa Department of Education and other participating states.

Equipment Costs per year: Y1 - \$10,000. TOTAL \$10,000

## Supplies

### *Core project supplies*

Core project supplies estimates are based on historical data and university vendor costs for project core office supplies, books, and publications. Expenses in this category pertain only to what is needed to accomplish the research goals of this project. There will be partial telecommunications charges, photocopy, ink cartridge, data storage and project related supplies

as applicable. No new phone lines will be installed, but actual usage and equipment rental will be charged to facilitate communication between CRESST and collaborators. Other supplies that may be needed for the project include pens, folders, paper, and other routine project supplies used for various analysis activities and report preparation. Other costs also will be incurred such as software/hardware upgrades for the CRESST team, tablets/laptops, and other technology-based supplies that may be required to replace/repair current equipment to accommodate the need of massive data storage, analyses, and reporting. Procurement methods are in accordance with University procedures using approved vendors and negotiated rates. FedEx is normally used at a university negotiated discounted price to secure and track mailing of data and/or reports. Office supplies are budgeted for technical use on the project and will be consumed within the life of the project.

Core project supplies cost per year: Y1- \$11,458; Y2- \$8,995; Y3 - \$9,284; Y4 - \$13,839.  
TOTAL: \$43,576

### **Contractual**

#### *Measured Progress (team)*

- Purpose and relation to project success: Item development partner
- Products or services: Major Deliverable: Item bank of ~2,000 items
- Justification of the contractor: Measured Progress develops items for the Multi-State Alternate Assessment, a project working with a similar student subgroup population and similarly demanding requirements. Able to provide significant discount on professional services because project aligns with contractor's social mission.
- Procurement mode, name of contracted partner: Measured Progress will enter into a binding fixed-cost contract with the UC for the development of approximately 2000 items over the four years of the project. Measured Progress commits the following staffers to the project: Steve Ferrara, Kelly Ickes, Mariann Bell, Cynthia Bell, and Kimberly Prather.
- Cost: \$1,400,000 (\$350,000 to be invoiced in each of Years 1, 2, 3, and 4)
- Time: estimated December 2019 – September 2023
- Basis for cost: signed commitment letter from Measured Progress for a firm fixed price offer of \$1,400,000 for the work.

#### *National Center on Educational Outcomes (team)*

- Purpose and relation to project success: Accessibility Lead
- Products or services: Major Deliverable: Test Administration Accessibility Program
- Justification of the contractor: NCEO is the nation's leading technical assistance center focusing on English Learners and students with disabilities, the student subgroups considered in the project.
- Procurement mode, name of contracted partner: NCEO will enter into a firm-fixed cost contract to develop the major deliverable and provide related technical assistance throughout the project. NCEO has named three co-Principal Investigators for the project: Kristin Liu, Martha Thurlow, and Sheryl Lazarus. NCEO has also assigned three research scientists: Deb Albus, Linda Goldstone, Christopher Rogers.
- Cost: \$437,521
- Time: effort of contractor will span the four years of the project

- Basis for cost: cost proposal received from NCEO.

*Bob Dolan, CAST*

- Purpose and relation to project success: CAST designs, implements and evaluates technology-based learning and assessment solutions with emphases on cognition, accessibility and usability at CAST. Dolan will lead the Item Design and Development Team.
- Products or services: Time commitment to lead project work team
- Justification of the contractor: Expertise in the field of accessible items and assessments
- Procurement mode, name of contracted partner: firm fixed price, CAST
- Cost: \$160,000
- Time: approximately 40 days per year
- Basis for cost: Day rate of \$1000/day

*Audra Ahumada, Arizona Department of Education*

- Purpose and relation to project success: Audra Ahumada will act as Peer Mentor to the State Communities of Practice, following a model she has successfully deployed to support the MSAA consortium's assessment development and delivery. Ahumada serves as Deputy Associate Superintendent of Assessment at Arizona Department of Education.
- Products or services: Time commitment to lead work team
- Justification of the contractor: ADE is the home of the MSAA consortium, which works with significantly disabled students similar to those who will benefit from the proposal project. ADE's community of practice model exemplifies best practices.
- Procurement mode, name of contracted partner: firm fixed price, Arizona Department of Education
- Cost: \$54,000 (\$13,500 per year for four years)
- Time: .1 FTE plus benefits and indirect
- Basis for cost: ADE calculation

*Sharon Saez, WestEd*

- Purpose and relation to project success: Saez will lead the Professional Learning Team.
- Products or services: Time commitment to lead work team
- Justification of the contractor **Sharon Saez** is part of the leadership team for the Strategic Literacy Initiative at WestEd where she supports the scale-up of professional learning through district partnerships and meaningful change.
- Procurement mode, name of contracted partner: Sharon Saez, WestEd
- Cost: \$80,000 (\$20,000 per year for four years)
- Time: Approximately 20 days per year
- Basis for cost: Day rate of \$1,000/day

*Sightbox (team)*

- Purpose and relation to project success: Website developer specializing in accessible websites and WCAG compliance
- Products or services: Website

- Justification of the contractor: Sightbox is familiar with the special needs of the populations CRESST serves, staffs technical writers familiar with student assessment, and ensures its websites are universally accessible to individuals with disabilities.
- Procurement mode, name of contracted partner: Sightbox will sign a deliverable-based contract based on a bid submitted to CRESST.
- Cost: \$48,000
- Time: work to be performed over the 4 year project
- Basis for cost: firm fixed price bid

*Hillary Michaels, HumRRO*

- Purpose and relation to project success: to provide oversight for Lead State
- Products or services: Ongoing external evaluation, interim project reports, final project report, risk management guidance.
- Justification of the contractor: HumRRO is a full-service psychometrics organization that conducts studies to ensure that various components of an educational assessment system are soundly built and solidly linked.
- Procurement mode, name of contracted partner: firm fixed price, HumRRO
- Cost: \$506,679 (Year 1: \$122,629; Year 2: \$104,819; Year 3: \$134,581; Year 4: \$144,650)
- Time: effort of contractor will span the four years of the project
- Basis for cost: staff time and travel costs

*Karla Egan, EdMetric*

- Purpose and relation to project success: EdMetric director Karla Egan will attend the Standard Setting workshop as an external evaluator. Contractor will provide third-party oversight on a critical validation event and write a report.
- Products or services: Evaluation report.
- Justification of the contractor: Egan is a nationally recognized expert in state-level assessment and standard setting.
- Procurement mode, name of contracted partner: firm fixed price, EdMetric
- Cost: \$18,000
- Time: 10 days
- Basis for cost 10 days of effort at \$1,800 per day

*To Be Named TDR (Test Delivery Readiness) Lead*

- Will support states in preparing for pilot, field, and operational testing.
- The TDR lead will be a person with experience with an assortment of test delivery vendor platforms and state-side operating conditions.
- Cost: \$115,000

*The Technical Advisory Council (Stephanie Cawthon, Meagan Karvonen, Will Lorie, Mike Russell, Julia Scherba de Valenzuela, and Gerald Tindall)* provide feedback to our project work plans and findings and serve as a quality control checkpoint, as well as support communication with various professional communities. They are experts in the area of alternate assessment design, statistics/psychometrics, English learners, special education, professional learning

design, and educational policy, and come from academia, educational administration, and practitioners. (above-listed members are presented in the “Quality of the Management Plan” section of this proposal). We plan for the group to have semi-annual meetings with the advisory group, face-to-face, twice per year. 6 advisors for 4 days each at \$1,200 a day. Cost: \$28,800 per year, \$115,200 total.

Contractual costs per year: Y1 - \$701,707, Y2 - \$701,904; Y3 - \$749,764; Y4 - \$781,025.  
TOTAL: \$2,934,400

### **Other Direct Costs**

#### *Technology Infrastructure Fee (TIF)*

The Technology Infrastructure Fee (TIF) is budgeted for services provided for all campus activities and is based on usage by personnel directly charged to the project, regardless of fund source. The billing model for the TIF is currently assessed at \$43.02 per Full-Time Equivalent (FTE) employee per month. Sponsored awards are charged monthly based on the actual FTE derived from payroll for employees directly working on the project. These costs are not duplicated in the facilities and administrative costs or in any other charge presented to the sponsor. The FTE-based model was reviewed by the University of California Office of the President’s Office of Costing Policy and Analysis for compliance.

TIF costs per year: Y1 - \$2,143; Y2 - \$1,626; Y3 - \$1,626; Y4 - \$2,297. TOTAL: \$7,692

#### *Participant Incentives*

To incentivize participation in review events and panels, we are providing an incentive of \$200/day for educators and \$50/person gift card incentives for school-based educators observing in their classrooms.

Participant Incentive Costs per year: Y2 - \$5,000; Y3 - \$48,800; Y4 - \$98,000. TOTAL: \$151,800

### **Total Direct Costs**

Total Direct Costs per year: Y1- \$1,283,361; Y2- \$1,160,444; Y3 - \$1,387,574; Y4 - \$1,799,999.  
TOTAL: \$5,631,378

### **Indirect Costs**

Rates are based on UCLA’s current facilities and administrative cost rate agreement negotiated with the Federal government. UCLA will assess an on-campus Indirect Cost rate of 38% of Modified Total Direct Cost (MTDC) for Other Service. MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, GSR fee remission, scholarships and fellowships, participant support costs, and the portion of each subaward in excess of \$25,000.

Total Indirect Costs per year: Y1- \$483,877; Y2- \$440,969; Y3 - \$527,279; Y4 - \$683,999.  
TOTAL: \$2,136,124

### **Total Costs**

Total Costs per year: Y1- \$1,767,238; Y2- \$1,601,413; Y3 - \$1,914,853; Y4 - \$2,483,998.  
TOTAL: \$7,767,502

## COLLEGES AND UNIVERSITIES RATE AGREEMENT

EIN: 95-6006143

DATE:10/12/2018

ORGANIZATION:

FILING REF.: The preceding  
agreement was dated  
05/03/2017

University of California (UCLA)  
Los Angeles Campus  
10920 Wilshire Blvd., Ste. 600  
Los Angeles, CA 90024

The rates approved in this agreement are for use on grants, contracts and other agreements with the Federal Government, subject to the conditions in Section III.

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### SECTION I: INDIRECT COST RATES

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RATE TYPES:      FIXED                      FINAL                      PROV. (PROVISIONAL)      PRED. (PREDETERMINED)

EFFECTIVE PERIOD

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PRED.	07/01/2016	06/30/2017	54.00	On-Campus	Organized Research
PRED.	07/01/2017	06/30/2018	55.00	On-Campus	Organized Research
PRED.	07/01/2018	06/30/2019	56.00	On-Campus	Organized Research
PRED.	07/01/2016	06/30/2019	26.00	Off-Campus	Organized Research
PRED.	07/01/2016	06/30/2017	37.00	On-Campus	Instruction
PRED.	07/01/2017	06/30/2019	40.00	On-Campus	Instruction
PRED.	07/01/2016	06/30/2019	26.00	Off-Campus	Instruction
PRED.	07/01/2016	06/30/2017	35.00	On-Campus	Other Sponsored Activities
PRED.	07/01/2017	06/30/2019	38.00	On-Campus	Other Sponsored Activities
PRED.	07/01/2016	06/30/2019	26.00	Off-Campus	Other Sponsored Activities
PRED.	07/01/2016	06/30/2019	8.00	Off-Campus	IPA (1)

ORGANIZATION: University of California (UCLA) Los Angeles Campus

AGREEMENT DATE: 10/12/2018

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<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
PROV.	07/01/2019	Until Amended			Use same rates and conditions as those cited for fiscal year ending June 30, 2019

\*BASE

Modified total direct costs, consisting of all salaries and wages, fringe benefits, materials, supplies, services, travel and subgrants and subcontracts up to the first \$25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, student tuition remission, rental costs of off-site facilities, scholarships, and fellowships as well as the portion of each subgrant and subcontract in excess of \$25,000.

NOTE: See Special Remarks regarding Genomic Arrays.

(1) Intergovernmental/Personnel Act Agreement



**SECTION I: FRINGE BENEFIT RATES\*\***

<u>TYPE</u>	<u>FROM</u>	<u>TO</u>	<u>RATE(%)</u>	<u>LOCATION</u>	<u>APPLICABLE TO</u>
FIXED	10/1/2018	6/30/2019	4.80	All	Limited Benefits Eligibility
FIXED	10/1/2018	6/30/2019	31.70	All	Faculty
FIXED	10/1/2018	6/30/2019	27.50	All	Post-Doc. Scholars
FIXED	10/1/2018	6/30/2019	24.80	All	Health Sciences Senior Faculty
FIXED	10/1/2018	6/30/2019	42.50	All	Academic & Exempt Staff
FIXED	10/1/2018	6/30/2019	51.60	All	Non-Exempt Staff
FIXED	7/1/2019	6/30/2020	4.90	All	Limited Benefits Eligibility
FIXED	7/1/2019	6/30/2020	32.30	All	Faculty
FIXED	7/1/2019	6/30/2020	28.40	All	Post-Doc. Scholars
FIXED	7/1/2019	6/30/2020	25.20	All	Health Sciences Senior Faculty
FIXED	7/1/2019	6/30/2020	43.40	All	Academic & Exempt Staff
FIXED	7/1/2019	6/30/2020	52.80	All	Non-Exempt Staff
PROV.	7/1/2020	6/30/2021			Use same rates and conditions as those cited for fiscal year ending June 30, 2020.

\*\* DESCRIPTION OF FRINGE BENEFITS RATE BASE:

Salaries and wages excluding vacation and catastrophic leave.

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**SECTION II: SPECIAL REMARKS**

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TREATMENT OF FRINGE BENEFITS:

Effective 10/01/2018, the fringe benefits (other than Student Tuition Remission) is charged using the rate(s) listed in the Fringe Benefits section of this Agreement. The fringe benefit(s) included in the rate(s) are listed below.

Effective 10/01/2018, the following fringe benefits are included in the fringe benefit rate(s): BENEFITS ADMINISTRATION; MEDICAL, DENTAL, DISABILITY, LIFE, UNEMPLOYMENT, VISION, AND WORKERS' COMPENSATION INSURANCE; EMPLOYEE SUPPORT PROGRAMS; FICA AND MEDICARE TAXES; INCENTIVE AWARD PROGRAMS; RETIREE HEALTH BENEFITS; AND RETIREMENT BENEFITS.

This organization charges the actual costs of Student Tuition Remission per employee direct to Federal projects for all Student employees whose salary and wages is charged direct to Federal projects.

Prior to 10/01/2018, the fringe benefits are specifically identified to each employee and are charged individually as direct costs. The directly claimed fringe benefits are listed below.

The following fringe benefits are treated as direct costs: FICA, WORKERS COMPENSATION, HEALTH PLAN CONTRIBUTION, INCENTIVE AWARD PROGRAM, DISABILITY/LIFE/UNEMPLOYMENT/DENTAL INSURANCE, EMPLOYEE SUPPORT PROGRAM, AND RETIREMENT SYSTEM CONTRIBUTION.

TREATMENT OF PAID ABSENCES

Vacation, holiday, sick leave pay and other paid absences are included in salaries and wages and are claimed on grants, contracts and other agreements as part of the normal cost for salaries and wages. Separate claims are not made for the cost of these paid absences.

ORGANIZATION: University of California (UCLA) Los Angeles Campus

AGREEMENT DATE: 10/12/2018

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#### DEFINITION OF EQUIPMENT

Equipment is defined as tangible nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

#### DEFINITION OF OFF-CAMPUS RATE

The off-campus rate is applicable to those projects conducted at facilities not owned or leased by the University. However, if the project is conducted in leased space and lease costs are directly charged to the project, then the off-campus rate must be used.

#### PROJECTS CONDUCTED ENTIRELY ON-CAMPUS OR ENTIRELY OFF-CAMPUS:

Projects conducted entirely on-campus or entirely off-campus will be applied the on-campus or off-campus rate respectively.

#### PROJECTS CONDUCTED PARTIALLY OFF-CAMPUS AND PARTIALLY ON-CAMPUS:

If the project involves work at both on-campus and off-campus sites, either the on-campus or off-campus rate generally should be applied, consistent with where the majority of the work is to be performed. Salary cost is generally accepted as a measure of work performed in terms of the total project.

#### USE OF BOTH ON-CAMPUS AND OFF-CAMPUS RATES

The use of both on-campus and off-campus rates for a given project may be justified if both of the respective rates can clearly be identified with a significant portion of salaries and wages of the project. For purposes of this provision, significant is defined as approximately 25% or more of the total costs and a project's total salary and wage costs exceed \$250,000.

SPECIAL REMARKS: The NIH Policy on indirect costs pertaining to Genomic Arrays (NOT-OD-10-097) is effective as of 05/13/10.

#### NEXT PROPOSAL DUE DATE

An F&A proposal based on actual costs for fiscal year ending 06/30/18, will be due no later than 12/31/18. A fringe benefits proposal based on actual costs for fiscal year ending 06/30/19, will be due no later than 12/31/19.