

PERSONAL SERVICE AGREEMENT
CO-802A REV. 2/08 (Electronic Version)

STATE OF CONNECTICUT
OFFICE OF THE STATE COMPTROLLER
ACCOUNTS PAYABLE DIVISION

1. THE STATE AGENCY AND THE CONTRACTOR AS LISTED BELOW HEREBY ENTER INTO AN AGREEMENT SUBJECT TO THE TERMS AND CONDITIONS STATED HEREIN AND/OR ATTACHED HERETO AND SUBJECT TO THE PROVISIONS OF SECTION 4-98 OF THE CONNECTICUT GENERAL STATUTES AS APPLICABLE.
2. ACCEPTANCE OF THIS CONTRACT IMPLIES CONFORMANCE WITH TERMS AND CONDITIONS SET FORTH AT SHEET 2 OF THIS FILE, AS ATTACHED HERETO AND INCORPORATED BY REFERENCE.

15.SDE0018AA

(1) <input checked="" type="checkbox"/> ORIGINAL <input type="checkbox"/> AMENDMENT		(2) IDENTIFICATION NO. P.S. 15.SDE0018AA	
CONTRACTOR (3) CONTRACTOR NAME The American Institutes for Research (AIR) CONTRACTOR ADDRESS 1000 Thomas Jefferson Street, NW, Washington, DC 20007		(4) ARE YOU PRESENTLY A STATE EMPLOYEE? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
STATE AGENCY (5) AGENCY NAME AND ADDRESS State Board of Education, 165 Capitol Avenue, Hartford, CT 06106			
CONTRACT PERIOD (6) DATE (FROM) 12/1/2014 THROUGH (TO) 09/30/17		(7) INDICATE <input type="checkbox"/> MASTER AGREEMENT <input type="checkbox"/> CONTRACT AWARD NO. <input checked="" type="checkbox"/> NEITHER	
CANCELLATION CLAUSE (8) THIS AGREEMENT SHALL REMAIN IN FULL FORCE AND EFFECT FOR THE ENTIRE TERM OF THE CONTRACT PERIOD STATED ABOVE UNLESS CANCELLED BY THE STATE AGENCY, BY GIVING THE CONTRACTOR WRITTEN NOTICE OF SUCH INTENTION (REQUIRED DAYS NOTICE SPECIFIED AT RIGHT)		(8) REQUIRED NO. OF DAYS WRITTEN NOTICE: 30	
(9) CONTRACT AGREES TO: (Include special provisions-Attach additional blank sheets if necessary.) The CSBE is a member of the Smarter Balanced Assessment Consortium ("the Consortium"), a consortium of member states which is charged with creating and maintaining a balanced suite of formative, interim and summative assessment tools aligned to the Common Core State Standards (CCSS) in mathematics and English language arts/literacy; The American Institutes for Research (AIR) has the requisite expertise and experience to provide such system, scoring methodology, and related services. Contract details continue on Pages 2 through 30.			
COMPLETE DESCRIPTION OF SERVICE			
COST AND SCHEDULE OF PAYMENTS Maximum amount payable under the Agreement is \$13,555,173.00.			

(11) OBLIGATED AMOUNT										
(12) AMOUNT	(13) FUND	(14) DEPARTMENT	(15) SID	(16) PROGRAM	(17) ACCOUNT	(18) PROJECT/ GRANT	(19) CHARTFIELD 1	(20) CHARTFIELD 2	(21) BUD REF	

An individual entering into a Personal Service Agreement with the State of Connecticut is contracting under a "work-for-hire" arrangement. As such, the individual is an independent contractor, and does not satisfy the characteristics of an employee under the common law rules for determining the employer/employee relationship of Internal Revenue Code Section 3121 (d) (2). Individuals performing services as independent contractors are not employees of the State of Connecticut and are responsible themselves for payment of all State and local income taxes, federal income taxes and Federal Insurance Contribution Act (FICA) taxes.

ACCEPTANCES AND APPROVALS		(22) STATUTORY AUTHORITY: C.G.S 4-5, 4-8	
(23) CONTRACTOR (OWNER OR AUTHORIZED SIGNATURE) <i>Thomas Jesulaitis</i>	TITLE Thomas Jesulaitis Contract Officer	DATE 2/11/2015	
(24) AGENCY (AUTHORIZED OFFICIAL) <i>Kathy Demsey</i>	TITLE Kathy Demsey, Chief Financial Officer	DATE 2/20/2015	
(25) OFFICE OF POLICY & MGMT./DEPT. OF ADMIN. SERV. <i>Joseph Rubin</i>	TITLE ASSOC. ATTY. GENERAL	DATE 3/10/15	
(26) ATTORNEY GENERAL (APPROVED AS TO FORM) <i>Joseph Rubin</i>			

DISTRIBUTION: ORIGINAL-CONTRACTOR PHOTOCOPY-OPM/DAS PHOTOCOPY-ATTORNEY GENERAL PHOTOCOPY-AGENCY

TERMS/CONDITIONS

EXECUTIVE ORDERS

The Contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the Contract as if they had been fully set forth in it. At the Contractor's request, the Client Agency shall provide a copy of these orders to the Contractor. The Contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions.

GOVERNING LAW. This Agreement shall be construed in accordance with and governed by the laws of the State of Connecticut.

NON-DISCRIMINATION. References in this section to "Contract" shall mean this Personal Service Agreement.

- (a) For purposes of this Section, the following terms are defined as follows:
- "Commission" means the Commission on Human Rights and Opportunities;
 - "Contract" and "contract" include any extension or modification of the Contract or contract;
 - "Contractor" and "contractor" include any successors or assigns of the Contractor or contractor;
 - "Gender identity or expression" means a person's gender-related identity, appearance or behavior, whether or not that gender-related identity, appearance or behavior is different from that traditionally associated with the person's physiology or assigned sex at birth, which gender-related identity can be shown by providing evidence including, but not limited to, medical history, care or treatment of the gender-related identity, consistent and uniform assertion of the gender-related identity or any other evidence that the gender-related identity is sincerely held, part of a person's core identity or not being asserted for an improper purpose;
 - "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations;
 - "good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements;
 - "marital status" means being single, married as recognized by the State of Connecticut, widowed, separated or divorced;
 - "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders;
 - "minority business enterprise" means any small contractor or supplier of materials fifty-one percent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise, and (3) who are members of a minority, as such term is defined in subsection (a) of Connecticut General Statutes § 32-9n; and
 - "public works contract" means any agreement between any individual, firm or corporation and the State or any political subdivision of the State other than a municipality for construction, rehabilitation, conversion, extension, demolition or repair of a public building, highway or other changes or improvements in real property, or which is financed in whole or in part by the State, including, but not limited to, matching expenditures, grants, loans, insurance or guarantees.

For purposes of this Section, the terms "Contract" and "contract" do not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

(b) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such Contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut; and the Contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, gender identity or expression, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by the Contractor that such disability prevents performance of the work involved; (2) the Contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the Contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the Commission; (3) the Contractor agrees to provide each labor union or representative of workers with which the Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which the Contractor has a contract or understanding, a notice to be provided by the Commission, advising the labor union or workers' representative of the Contractor's commitments under this section and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the Contractor agrees to comply with each provision of this Section and Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes §§ 46a-56, 46a-68e and 46a-68f; and (5) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor as relate to the provisions of this Section and Connecticut General Statutes § 46a-56. If the contract is a public works contract, the Contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works projects.

(c) Determination of the Contractor's good faith efforts shall include, but shall not be limited to, the following factors: The Contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the Commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.

(d) The Contractor shall develop and maintain adequate documentation, in a manner prescribed by the Commission, of its good faith efforts.

(e) The Contractor shall include the provisions of subsection (b) of this Section in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

(f) The Contractor agrees to comply with the regulations referred to in this Section as they exist on the date of this Contract and as they may be adopted or amended from time to time during the term of this Contract and any amendments thereto.

(g) (1) The Contractor agrees and warrants that in the performance of the Contract such Contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or the State of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the Contractor agrees to provide each labor union or representative of workers with which such Contractor has a collective bargaining Agreement or other contract or understanding and each vendor with which such Contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the Contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the Contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said Commission pursuant to Connecticut General Statutes § 46a-56; and (4) the Contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the Commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the Contractor which relate to the provisions of this Section and Connecticut General Statutes § 46a-56.

(h) The Contractor shall include the provisions of the foregoing paragraph in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the State and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the Commission. The Contractor shall take such action with respect to any such subcontract or purchase order as the Commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with Connecticut General Statutes § 46a-56; provided, if such Contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the Commission, the Contractor may request the State of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the State and the State may so enter.

INSURANCE

The contractor agrees that while performing services specified in this agreement he shall carry sufficient insurance (liability and/or other) as applicable according to the nature of the service to be performed so as to "save harmless" the State of Connecticut from any insurable cause whatsoever. If requested, certificates of such insurance shall be filed with the contracting State agency prior to the performance of services.

STATE LIABILITY

The State of Connecticut shall assume no liability for payment for services under the terms of this agreement until the contractor is notified that this agreement has been accepted by the contracting agency and, if applicable, approved by the Office of Policy and Management (OPM) or the Department of Administrative Services (DAS) and by the Attorney General of the State of Connecticut.

CLAIMS AGAINST THE STATE

Contractor agrees that the sole and exclusive means for the presentation of any claim against the State of Connecticut arising from this contract shall be in accordance with Chapter 53 of the Connecticut General Statutes (Claims Against the State) and Contractor further agrees not to initiate any legal proceedings in any state or federal court in addition to, or in lieu of, said Chapter 53 proceedings.

STATE ELECTIONS ENFORCEMENT COMMISSION (SEEC)

For all State contracts, defined in Conn. Gen. Stat. § 9-612(g)(1) as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Contract expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations," attached hereto as Attachment 1.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

This AGREEMENT is made and entered into between the Connecticut State Board of Education (CSBE), on behalf of the State Department of Education (SDE) with offices at 165 Capitol Avenue, Hartford, CT, 06106 and The American Institutes for Research (AIR) with offices at 1000 Thomas Jefferson Street, NW, Washington, D.C., 20007 (Contractor).

(WITNESSETH)

WHEREAS, The State of Connecticut is required to comply with the assessment requirements outlined in sections 6311(b)(1)(B) and 6311(b)(3)(C)(i) of the Elementary and Secondary Education Act and Section 10-14n of the Connecticut General Statutes;

WHEREAS, the CSBE is a member of the Smarter Balanced Assessment Consortium (“the Consortium”), a consortium of member states which is charged with creating and maintaining a balanced suite of formative, interim and summative assessment tools aligned to the Common Core State Standards (CCSS) in mathematics and English language arts/literacy;

WHEREAS, the states of Connecticut, New Hampshire and Vermont joined together as the New England Assessment Consortium (NEAC) and seek to contract with an entity experienced in web-based student assessment test delivery, scoring methodology, and related services to provide a common web-based assessment system, which shall be compliant and certified for specifications of the Smarter Balanced assessments;

WHEREAS, American Institutes for Research (AIR) has the requisite expertise and experience to provide such system, scoring methodology, and related services;

WHEREAS, AIR wishes to provide the SDE and other NEAC states with a common scope of work to deliver such system, scoring methodology, and related services, and state specific work as outlined in Request for Proposal (RFP) # 14SED0018RFP;

WHEREAS, AIR will provide overall project management, including but not limited to the oversight of the scope of work for its employees, subcontractors, consultants, and outside vendors;

WHEREAS, The CSBE hereby designates AIR as its “authorized representative” for the purpose of conducting an audit and evaluation of state and federal education programs pursuant to C.F.R. Section 99.35; and

WHEREAS, AIR will serve as the fiscal agent for this contract.

NOW, THEREFORE, in consideration of the mutual covenants and promises herein, and other good and valuable consideration, the sufficiency of which is mutually acknowledged, the parties agree as follows:

I. TERMS and DEFINITIONS

The following general contracting terms and definitions apply except as specifically noted elsewhere in this document.

A. Artificial Intelligence (AI) Scoring	An automated approach to scoring student test responses that use a machine-scoring engine that applies artificial intelligence technologies in a manner that emulates human scoring.
B. Computer Adaptive Test (CAT) Engine	A software system with the ability to automatically adjust the difficulty level of test questions based on student responses. An adaptive test engine has the ability to automatically determine which questions should be delivered next based on the previous response.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

C. Embedded field testing (EFT)	A process for delivering field test items to students where said items are placed in embedded field test slots using an algorithm that controls the position and number of items delivered to each student.
D. Project Implementation Plan	Planning document that summarizes the overall project, including all deliverables, goals, milestones, grades, subjects tested and modes of testing.
E. Interim Assessment	Assessments that provide educators with actionable information about student progress at locally determined intervals throughout the school year. Like summative assessments, the interim assessments described in this contract will be both fixed form and computer adaptive and will include performance tasks.
F. LEA	Local Education Agency.
G. NEAC	The respective Departments of Education in Connecticut, New Hampshire and Vermont.
H. Project	The planned undertaking regarding the entire subject matter of an RFP and Contract and the activities of the parties related hereto.
I. Project Management Team	The group of Connecticut, New Hampshire and Vermont state employees and AIR's personnel responsible for managing the processes and mechanisms required such that the Services are procured in accordance with the Work Plan on time, on budget and to the required specifications and quality.
J. Project Management Plan	A document that describes the processes and methodology to be employed by AIR to ensure a successful Project.
K. Proposal	The proposal submitted by AIR in response to Connecticut RFP# 14SDE0018RFP.
L. Security Testing	A type of testing designed to see how well the system is protected against unauthorized access.
M. The Consortium	The Smarter Balanced Assessment Consortium, the partnership of 21 states and 1 U.S. territory that have worked together to design, develop, and deliver the Smarter Balanced assessment system.
N. SDE	Connecticut State Department of Education
O. Smarter Balanced Staff	The staff employed by the Smarter Balanced Assessment Consortium who provide leadership and management regarding the design and development of the assessment system.
P. Solution	The Solution consists of the total solution, which includes, without limitation, software and services, addressing the requirements and terms of the Specifications. The off-the-shelf software and configured software customized for the SDE provided by AIR in response to the RFP.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

Q. Specifications	The written Specifications that set forth the requirements which include, without limitation, the RFP, the Proposal, the Contract, any performance standards, documentation, applicable state and federal policies, laws and regulations, State technical standards, subsequent state-approved deliverables, and other Specifications and requirements described in the Contract documents. The Specifications are, by this reference, made a part of the Contract as though completely set forth herein.
R. Summative Assessment	A test used primarily to evaluate student competency at the end of comprehensive and integrated period or unit of learning, typically at the end of a school year. Summative assessments are commonly aligned with state standards and are typically used for purposes of determining school accountability.
S. System	The array of hardware/software-based services provided by AIR necessary to provide a web-based computer adaptive testing system in compliance with the SB hosting requirements for the test delivery system.
T. Testing Window	The dates during which the Test Delivery System is open for assessing students
U. User Acceptance Testing (UAT)	A process of verifying that a solution works for the user (e.g., the software or system works as required and without issues during normal use). During UAT, users test the software to make sure it can handle required tasks in real-world scenarios, according to specifications.
V. Work Plan	The overall plan of activities for the Project created in accordance with the Contract. The plan and delineation of tasks, activities and events to be performed and deliverables to be produced under the Project. The Work Plan shall include a detailed description of the schedule, tasks/activities, deliverables, critical events, task dependencies, and the resources that would lead and/or participate on each task. This document together with RFP 14SDE0018RFP and AIR's Proposal should be read together to understand the scope of work for this contract. This is additionally supported by the "Work Plan," attached here to as "Attachment 1."

II. DUTIES AND RESPONSIBILITIES OF AIR ("Contractor")

A. AIR Project Team Roles and Responsibilities

1. AIR Team Project Executives

The AIR Project Executives shall be responsible for advising on and monitoring the quality of the implementation throughout the project life cycle. The AIR Project Executives shall advise the AIR Team Project Managers and the SDE Project Managers on the best practices for implementing the AIR software Solution within the SDE.

2. AIR Team Project Manager

The AIR Team Project Manager shall have overall responsibility for the day-to-day management of the Project and shall plan, track, and manage the activities of the AIR

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

implementation team. Specifically, the AIR Team Project Manager's responsibilities shall include the following:

- a. Maintain communications with the SDE Project Managers;
- b. Assist the SDE in planning and conducting a kick-off meeting;
- c. Create and maintain the Work Plan;
- d. Assign AIR Team consultants to tasks in the Implementation Project according to the scheduled staffing requirements;
- e. Define roles and responsibilities of all AIR Team members;
- f. Provide weekly and monthly update progress reports to the SDE Project Managers;
- g. Notify the SDE Project Managers of requirements for SDE resources in order to provide sufficient lead time for resources to be made available;
- h. Review task progress for time, quality, and accuracy in order to achieve progress;
- i. Review requirements and scheduling changes and identify the impact on the Project in order to identify whether the changes may require a change of scope;
- j. Implement scope and schedule changes as authorized by the SDE Project Managers and with appropriate change control approvals as identified in the Implementation Plan;
- k. Inform the SDE Project Managers and staff of any urgent issues if and when they arise; and
- l. Provide the SDE completed Project Deliverables and obtain sign-off from one of the State Project Managers.

B. Project Management and Planning

1. AIR shall assign Key Project Staff who meet the requirements of the Contract. The SDE reserves the right to require removal or reassignment of AIR's Key Project Staff who are found unacceptable to the SDE.
2. AIR shall plan, participate in, and provide technical support for regular management meetings with the SDE and other NEAC states' Project Management Teams. AIR shall schedule, host, and cover all costs associated with NEAC Project Management Team Meetings, which shall include:
 - a. Two-day Kick Off Meeting;
 - b. Three to four full day face-to-face meetings each year; and
 - c. Weekly project management WebEx conference calls.
3. AIR shall provide the SDE and other NEAC states with management reports on the status of the project. AIR shall:
 - a. Provide mutually agreed-on meeting agendas;
 - b. Provide minutes from face-to-face and WebEx meetings;
 - c. Create and maintain the project plan and project schedule; and
 - d. Produce monthly status reports.
4. AIR shall maintain a secure document management tool to share and provide version control of documents shared between AIR, SDE and other NEAC states, (such as KnowledgeTree or other such tool as approved by the SDE and other NEAC states).
 - a. AIR shall provide a system of specification and project management planning documents that shall record decisions made by the parties about each system and process. AIR shall use these documents to facilitate communication among the numerous internal teams and between AIR's, SDE's, and the other NEAC states' Project Management Teams.
 - b. AIR project management planning documents shall include:
 - i. Project Implementation Plan;
 - ii. Administration Summary;
 - iii. Special Versions Summary;
 - iv. Ancillary Abstract;
 - v. Packaging Specifications;
 - vi. Receipt Specifications;
 - vii. Scoring Specifications;

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- viii. TIDE Specifications;
 - ix. Test Delivery System (TDS) Specifications;
 - x. Online Project Portal Specifications;
 - xi. Online Reporting Specifications;
 - xii. Committee Participant Payments.
5. AIR shall note preferential or other changes requested by the SDE and shall:
- a. Provide a draft of the scope (timeline and funding) implications; and
 - b. Implement any funded changes to the scope of the project upon amendment to this agreement.
6. The activities in this section are further detailed in the “Project Implementation and Planning,” attached hereto as “Attachment 2.”

C. Policy Issues

- 1. AIR shall attend upon SDE’s request, an annual policy meeting with appropriate SDE staff.
- 2. AIR shall attend two SB Collaboration Conferences per year upon request from the SDE and other NEAC states.

D. Online Assessment and Technical Support

- 1. AIR shall receive and validate SB-provided item banks and test maps for summative and interim testing, including all SB-provided tagging, for the SDE and other NEAC states’ review during the UAT.
- 2. AIR shall provide the hosting site, test administration application, server, and application management services, for the SB on-line operational test construction, assessment delivery, and records retention for both the summative and interim assessments using AIR’s TDS.
 - a. AIR’s TDS shall meet the technical specifications of the SB open-source platform, consistent with the interoperability standards adopted by the Consortium, and provide comparable tests using the same functionalities, accessibility tools, and the same or greater test security protections as noted below:
 - i. AIR’s TDS shall support current browsers and all HTML standards-compliant browsers;
 - ii. AIR’s system shall require a minimum technology footprint, consisting of sufficient machines, sufficient bandwidth, and a secure browser;
 - iii. AIR shall review and add state-specific information to the SB-provided *Technical Specifications Manual* for SDE and other NEAC states’ review and approval;
 - iv. AIR shall clearly document and explain any SDE or other NEAC states’ requested changes to:
 - a) The requirements for the use of any software and supporting devices,
 - b) The minimum and preferred technology infrastructure needed to support online testing,
 - c) Information about suggested computer lab configurations, and assistive technology support, and
 - v. AIR shall update the technical specifications to create a *NEAC States’ Technical Specifications Manual* for the SDE and other NEAC states’ review and approval;
 - b. AIR’s platform shall support all of the computer assistive technologies supported by the SB open-source platform; and
 - c. AIR shall work in consultation with the SDE and other NEAC states to continue making the test accessible to all students.
- 3. AIR shall receive the SB-provided online Practice Tests and associated ancillary documents, including answer keys, scoring rubrics, sample responses, performance tasks, classroom activities, and guidelines.
 - a. AIR shall conduct Practice Test UAT for the SDE and other NEAC states’ review and approval.
 - b. AIR shall deploy the SB-provided Practice Tests, which shall be available throughout the entire year.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- c. AIR shall deliver practice tests in two modes:
 - i. Guest Mode – permits any user to log on to the system anonymously and take any test offered in the system and provides the user the ability to select from among the available accommodations and supports at the beginning of the test; and
 - ii. Secure Mode-allows for a complete rehearsal of operational test administrations.
4. AIR shall receive the SB-provided online Grade-band Training Tests (including the grade-band and content area combination).
 - a. AIR shall conduct Training Test UAT for the SDE and other NEAC states' review and approval.
 - b. AIR shall deploy the SB-provided Training Tests which will be available throughout the entire year.
5. AIR's TIDE shall provide an integrated system for:
 - a. Recording student enrollment and registration data;
 - b. Adding, editing and deleting users;
 - c. Providing users with different authorizations, as appropriate and necessary;
 - d. Providing users with role-based access, as appropriate, for adding and editing student accommodation data, test assignments, form assignments, and class roster;
 - e. Integrating with all the other online systems such as test delivery and reporting, so that edits made in TIDE are reflected across all systems;
 - f. Importing student demographics between AIR and SDE data systems; and
 - g. Establishing, in consultation with the SDE, the state's network of LEAs, schools, and users in the system.
6. AIR shall provide a *TIDE User Guide and Specifications* that will document procedures for uploading student demographic data in the online assessment system, including any necessary accessibility tools and supports, as well as instructions and procedures for the modification of enrollment data, as approved by the SDE and other NEAC states.
7. AIR shall document the procedures for maintaining the security of the online environment. The SDE and other NEAC states' Project Management Teams shall review and approve such procedures. The procedures shall include the following components:
 - a. System Security:
 - i. AIR's Systems shall maintain data and system integrity, including ensuring that all personal information is secured, that transferred data (whether sent or received) is not altered in any way that the data source is known.
 - ii. AIR's Systems shall be configured to limit access to data to only appropriately authorized personnel, and that any service can only be performed by a specific, designated user.
 - iii. AIR's Systems shall secure the test content in all systems including, the Item Tracking System (ITS) and the TDS.
 - b. Physical Security:
 - i. AIR shall store the SDE and other NEAC states' data on servers at Rackspace, AIR's hosting provider.
 - ii. AIR shall oversee and evaluate Rackspace's protection of data from accidental loss through redundant storage, backup procedures, and secure off-site storage.
 - c. Network Security:
 - i. AIR shall employ hardware firewalls to protect their networks from intrusion.
8. AIR shall create a state-specific portal for Connecticut (CT Portal) that will provide access to the secure browsers, Practice Tests, Training Tests, manuals, and other resources.
 - a. The SDE shall review and approve all resources on the CT Portal prior to deployment.
 - b. AIR will provide access to all users (as approved by the SDE), which shall include Test Administrators, Test Coordinators, System Administrators and Students and Families.
9. AIR shall provide a NEAC-specific *Smarter Balanced Test Administration Manual* (TAM) and a NEAC-specific *Smarter Balanced Test Coordinator Manual* (TCM). AIR shall produce

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- such TCM with SDE-specific covers, table of contents, and placeholders for state-specific information for SDE.
10. AIR shall provide a NEAC-specific *Smarter Balanced Test Administration Guide* and *Smarter Balanced Test Coordination Guide*. AIR shall produce such guides with SDE-specific covers, table of contents, and placeholders for state-specific information for the SDE.
 - a. The *Test Administration Guide* shall provide test administrators with a “quick-start guide” to administering tests and conducting administrative tasks, such as registering students.
 - b. The *Test Coordinator Guide* shall provide test coordinators with key dates and relevant state policies and practices.
 11. AIR shall create NEAC-specific training protocols for use at the local level on the test administration procedures for the SDE.
 12. AIR shall produce a NEAC-specific version of a Test Administration (TA) Training/Certification course.
 13. AIR shall provide up to four (4) half-day District Test Coordinator trainings for a maximum of 100 District Test Coordinators per training.
 - a. AIR shall provide training on system use and test administration procedures, supplemented by an online webinar and other online training materials.
 - b. Each seminar will be staffed by at least two (2) AIR staff members.
 - c. AIR shall schedule the trainings in consultation with the SDE at locations approved by the SDE.
 - d. AIR shall make all logistical arrangements and shall cover costs for each of the meetings.
 14. AIR shall provide shared informational brochures, for SDE review and approval, produced with SDE-specific artwork and titles within specified locations, including:
 - a. Frequently Asked Questions (FAQ) for District/Building Administrators;
 - b. FAQ for Technology Coordinators;
 - c. FAQ for Test Administrators;
 - d. FAQ for TDS;
 - e. FAQ for TIDE; and
 - f. FAQ for Online Reporting System (ORS).
 15. AIR shall deliver live NEAC-specific training webinars produced with SDE-specific information.
 - a. AIR shall submit the content and format of the webinar to the SDE and other NEAC states for review and approval.
 - b. AIR shall deliver each live webinar one (1) time in Connecticut and shall record each webinar for future use by the SDE.
 - c. Such webinars shall include information on the TDS, TIDE and ORS.
 - d. AIR shall deliver the following webinars:
 - i. Webinar for District and Building Administrators;
 - ii. Webinar for Technology Coordinators; and
 - iii. Webinar for Test Administrators.
 16. AIR shall receive the SB-provided Training Modules and will edit and modify the modules, as needed to align with the functionality of the AIR TDS.
 - a. AIR shall post the training modules on the CT Portal after review and approval by SDE.
 - b. Such training modules shall include:
 - i. What is a CAT?
 - ii. Performance Tasks;
 - iii. Accessibility and Accommodations;
 - iv. Universal Tools;
 - v. Technical Requirements;
 - vi. Test Administration Training;
 - vii. Test Administrator (TA) Interface;
 - viii. TIDE; and

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THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- ix. Student Interface.
17. AIR shall provide customer service and technical support to the SDE and LEAs, to ensure a successful testing experience for students and educators.
- a. AIR shall provide a toll-free customer support line, including a chat feature that allows users to enter questions that will be answered via the chat feature, and e-mail for state users, educators, and administrators, which shall be in service Monday through Friday from 7:00 a.m. to 4:00 p.m. EST outside of the testing windows, and between 7:00 a.m. and 7:00 p.m. EST during the Testing Window.
 - b. AIR shall provide a minimum of two (2) points of contact from AIR's project team, including the SDE Project Managers, who will be available to answer and respond to assessment related questions from the SDE Project Management Team.
 - c. AIR's Help Desk shall be available one (1) month prior to the practice test opening and shall remain open until the termination of this Agreement.
 - d. Help Desk operations shall be flexible to ensure adequate support during peak call times throughout the year.
 - e. AIR shall staff the Help Desk and shall train such Help Desk staff to ensure accuracy and consistency in responses to customers.
 - f. AIR shall assign an appropriate number of full-time managers to supervise and monitor the Help Desk.
 - g. AIR shall implement a Help Desk Quality Assurance Plan, as approved by the SDE and the other NEAC states.
 - h. AIR shall receive, solve, escalate, and log all inquiries during testing and will update the FAQs detailed in Section D.14 as appropriate.
 - i. AIR shall submit inquiries that require the SDE's response to the SDE Project Management Team in a timely manner, no later than 24 hours after being received.
 - ii. AIR's customer service staff shall document all communications in a log and furnish it daily to the SDE during each test administration or on request as needed.
 - i. AIR shall implement a tiered approach for the Help Desk to escalate and resolve questions from callers as provided below:
 - i. Tier 1: Providing scripted answers approved by the SDE and the resolution of routine queries by Help Desk agents.
 - ii. Tier 2: Escalating a case to a member of a technical support team for further investigation.
 - iii. Tier 3: Contacting a subject-matter expert, such as a network engineer or a senior software engineer.
18. AIR shall identify and document metrics to monitor and report system performance, including but not limited to, daily usage, peak loads, database latencies on key procedures, average client latency, and average download latencies, for SDE review.
19. AIR shall provide documentation regarding the capacity of the System to support the current and potential future range of SB item types.'
20. AIR shall provide evidence that the system accepts test packages from SB, delivers tests and items to students with authenticity, collects responses, scores responses, and delivers scores. AIR shall deliver scores in a mutually-agreeable file format.

E. Embedded Field Testing

- 1. AIR shall receive and validate the SB-provided items for embedded field testing (EFT).
- 2. AIR shall provide the SDE and other NEAC states with the summary of number and types of items for review.
- 3. AIR shall implement the operational EFT in accordance with a plan approved by the Consortium.
- 4. AIR shall configure the AIR TDS to deliver EFT items to SB-provided specifications.
- 5. AIR shall return all Connecticut student data to the SDE. AIR's delivery to the SDE will include student responses to EFT items necessary for rubric validation, range finding,

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

scoring, data review, equating, etc. AIR will work with SDE and SB to ensure data can be delivered according to SB specifications.

F. Manufacture, Delivery, Scanning, and Scoring of Paper-based Tests

AIR shall provide paper-based tests in case of a “catastrophe” defined as a situation where a school is unable to administer the assessment because of an unexpected lack of technology (such as if a school closes and students are moved to a building that lacks technology).

1. AIR shall document methods and quality assurance guidelines for scanning paper-based test forms.
2. AIR shall document methods and quality assurance guidelines for scoring paper-based tests.
3. AIR shall develop a process to help ensure production of necessary quantities of manufactured paper-based test materials based upon enrollment data and overage requirements provided by the SDE.
4. AIR shall configure TIDE to accept paper-based test ordering and approval.
5. AIR shall receive the SB-provided scannable, blueline-ready, single fixed form for each content area of Grades 3-8 and high school.
 - a. Blueline documents will be PDF documents and ready for printing upon the SDE and other NEAC states’ review.
 - b. AIR shall establish a process to ensure that all paper-based test materials meet specifications provided by SB and the SDE prior to final production, including checks during printing.
6. AIR shall create custom cover pages with SDE-specific cover art and scanning marks for SDE review and approval.
7. AIR shall document the process to help ensure accurate collating of paper-based test materials for the SDE and other NEAC states’ review and approval.
8. AIR shall document the process to identify and protect the security of paper-based test materials for the SDE and other NEAC states’ review and approval.
9. AIR shall document the process, where required, to pre-code answer documents with Statewide Student Identifier (SSID), demographic information, LEA and school/testing site information for the SDE and other NEAC states’ review and approval.
10. AIR shall document the process to ensure students who take the paper-based assessment do not take a computer-based assessment in the same content area (unless an exception is approved by the SDE). AIR shall provide for the SDE and other NEAC states’ review and approval prior to application of such process.
11. AIR shall print paper-based tests in modified RFP quantities and to RFP specifications, including scannable and human-readable codes to support document tracking.
12. AIR shall shrink wrap and package materials in boxes and with labels, packing lists, and return boxes to RFP specifications.
13. AIR shall ship to schools and LEAs via traceable carrier.
14. AIR shall receive and support helpdesk inquiries.
15. AIR shall pickup all materials via traceable carrier.
16. AIR shall log in all returned boxes of test booklets, prioritizing materials to be scored.
17. AIR shall scan, process and score all student responses.
18. AIR shall generate missing Material Reports and follow-up with schools and LEAs that did not return all of their secure materials for SDE review.
19. AIR shall receive the SB-provided Braille forms and provide them to the SDE and other NEAC states for review.
20. AIR shall produce the SB-provided paper-based Braille forms, with SDE-specific cover art.
21. AIR shall receive the SB-provided paper-based large print forms and provide them to the SDE and other NEAC states for review.
22. AIR shall produce the SB-provided paper-based large print forms with state-specific cover art for SDE.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

G. Test Security

1. AIR shall develop an overall security plan to ensure the security of test items, materials, and student data.
2. AIR's Project Manager shall be responsible for ensuring that AIR employees, subcontractors, consultants, and outside vendors adhere to the established procedures, as well as any additional security measures recommended by the SDE and other NEAC states.
3. AIR shall follow the security plan presented in the Proposal, and will update as necessary, in consultation with the SDE and other NEAC states, to include:
 - a. Fostering security awareness among employees, subcontractors, consultants, and outside vendors;
 - b. Limiting access to secure materials to only those individuals who have a valid need and documenting access in order to establish an audit trail of users;
 - c. Requiring those who have access to secure materials to sign a confidentiality/nondisclosure agreement;
 - d. Using a tracking system developed in-house to trace test materials through various processing stages while in AIR's possession;
 - e. Forbidding the removal of secure materials from approved work areas;
 - f. Forbidding the use of recording/photographic equipment in secure areas (scoring rooms) without express consent of the client;
 - g. Limiting the photocopying of secure materials (or printing of their digital images) to legitimate purposes (such as for training, client decision making, documentation, or other purposes authorized by SDE);
 - h. Assuring the anonymity of students by using barcodes or other numbers to identify documents rather than using names of students, schools, or LEAs;
 - i. Providing for the physical security of materials when not in use (which may include but is not limited to, employing security systems and using lockboxes);
 - j. Hosting and maintaining secure, password-protected websites; employing secure, encrypted methods of file transmission; and employing multilayered technological defenses;
 - k. Using secure (traceable) shipping and communication methods;
 - l. Providing explicit instructions for safeguarding secure materials to personnel who will have possession of materials at remote locations, such as test sites or committee meeting facilities; and
 - m. Shredding confidential/secure materials in house, using AIR staff and equipment, before recycling.
4. AIR shall develop all project-specific security policies in consultation with the SDE and other NEAC states and will implement said policies pending the SDE and other NEAC states review and approval.
5. AIR shall monitor the security of test content and student data and report any breaches in accordance with the contract requirements identified in the Proposal.
6. AIR shall work in consultation with the SDE and other NEAC states to design specific procedures for monitoring, detecting, and evaluating assessments for fidelity to test administration, and thus identify and report possible security breaches and testing irregularities.
 - a. For paper-based tests, AIR shall require all project personnel to report any known or suspected violation of security procedures or attempts by an individual to solicit confidential or restricted information to the Project Manager.
 - i. AIR will consult with the SDE and other NEAC states to develop administrative guidelines for conducting an investigation to determine if a violation has occurred, assessing the impact to the program, and reporting findings and recommendations to AIR executive personnel and the SDE and other NEAC states' Program Managers.
 - ii. Following an investigation, AIR will determine, in consultation with the SDE, whether a breach form needs to be administered.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- b. For on-line assessments, AIR shall configure a NEAC-common Appeals module of TIDE, housed in each state's Portal, for resetting, reopening, restoring and invalidating tests.
 - i. AIR shall provide for authorized LEA users to submit appeals in TIDE for SDE review and processing.
- 7. AIR shall provide a SDE-branded secure browser for desktops and AIR-branded secure browsers for mobile devices and Chromebooks, consistent with the Proposal.
 - a. AIR shall conduct UAT on the secure browsers to ensure that the browser meets SB-provided specifications.
- 8. AIR shall develop a *Chart of NEAC States User Roles/Access*. This document will define to which specific systems' functions each user role may access, using state-provided user roles, consistent with the SB-provided recommendations.
 - a. AIR shall finalize and configure user roles applicable to TIDE, TDS, and ORS.
- 9. AIR shall ensure the security, integrity, and accuracy of materials shipped, transported, and received while maintaining chain of custody, and shall report inconsistencies to SDE Project Management Team.

H. Data Forensics

- 1. AIR shall configure systems to collect data and provide analysis of data including item responses, latencies between item responses and changes, number of revisits to an item or items, test start and end times, scores in each opportunity in the current year, scores in the previous year, and other selected information in the system (such as testing accommodations).
- 2. AIR's TDS shall allow AIR psychometricians and SDE assessment staff to monitor testing anomalies throughout the test administration window.
 - a. Evidence evaluated includes changes in test scores across administrations, item response time, and item response patterns using the person-fit index.
 - b. The flagging criteria used for these analyses shall be configurable and must permit the user to amend such criteria.
 - c. The analyses used to detect the testing anomalies must be available to run at any time within the testing window.
 - d. AIR shall work with the SDE and other NEAC states to identify and implement flagging rules for online response changes and implement those into the QA reporting system for future test administrations.
- 3. AIR shall produce forensics reports via AIR's QA reporting system for SDE review.
 - a. The QA report shall be generated as determined by the SDE for each subject or for all subjects combined.
 - b. The analysis report shall be generated at different aggregate units as determined by the SDE.
- 4. AIR shall provide cost estimates (if any) for additional forensic data or analyses beyond the scope of work in the Proposal as requested by the SDE.

I. Test Administration

- 1. AIR shall develop an annual test administration calendar in consultation with the SDE and other NEAC states and in accordance with Consortium testing window policy. At a minimum, the testing calendar shall include key dates, which shall be finalized at a later date by mutual agreement of the parties:
 - a. Release of the secure browsers (June or July);
 - b. Availability of the online test administrator training course (August or September);
 - c. Schedule of WebEx and face-to-face meetings (approximately 6–8 weeks before testing);
 - d. Opening of TIDE;
 - e. Opening of the testing window;
 - f. Closing of the testing window;
 - g. End of the data cleanup period; and

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- h. Release of final score results.
- 2. AIR shall provide guidelines and instructions for test administration in accordance with SB-provided guidelines. The current SB-provided documents fall into two categories:
 - a. Manuals (which should be consistent across SB states).
 - b. User guides (which will vary according to the vendor and system being used).
 - i. AIR shall annually update the user guides and related resources, noted in the Online Assessment and Technical Support section.
- 3. AIR shall develop TDS specifications for the operational summative TDS and the interim TDS.
- 4. AIR shall conduct TDS UAT for the operational summative TDS and the interim TDS.
- 5. AIR shall deploy the operational summative and interim TDS following completion of UAT for each TDS.
- 6. AIR shall provide a Training Information Dissemination Schedule, including, developing and publishing guidelines on how, when and what materials, including student-level directions for administration, shall be made available prior to the opening of the test administration window for the SDE and other NEAC states review.
- 7. AIR shall provide a Technical Specifications Manual, which shall include the protocol for preparing the testing environment.
- 8. AIR shall conduct TIDE UAT.
- 9. AIR shall deploy TIDE following completion of the TIDE UAT.
- 10. AIR shall develop and maintain a secure database of District Test Coordinator contact information in TIDE.

J. Scoring:

- 1. Hand-Scoring
 - a. AIR shall provide all hand-scoring for the summative assessments.
 - b. AIR will score the hand-scored items upon test completion and shall reintegrate such scores with the test when scores are available, with results provided within 30 days from the close of the testing window.
 - c. AIR shall provide hand-scoring specifications that meet SB-provided requirements for ensuring accuracy, reliability and confidentiality of all hand-scored responses.
 - i. The specifications will cover training, agreement rates, condition codes, process for handling alerts, Q & A, scoring process reporting, and security.
 - d. AIR's infrastructure for hand-scoring shall combine site-based and distributed scoring.
 - e. AIR's scoring management team shall recruit and select qualified, experienced scorers who have scored the SB pilot and field tests or have scored other SB-based assessments, and therefore, will have experience scoring item types that make up the NEAC Smarter Balanced assessments. AIR may augment the pool of qualified scorers by including other experienced scorers who have successfully scored other large-scale assessments.
 - f. AIR shall qualify all scorers using the SB-provided training materials.
 - g. AIR shall provide an interactive scoring methodology that will provide for instantaneous feedback on scoring performance and a constant loop of information between the scorers, scoring leadership, and the SDE and other NEAC states.
 - h. AIR shall receive all scoring materials from SB, including training, qualifying, and validity papers.
 - i. AIR's scoring trainers will use the SB-provided training materials for each grade level and item type.
 - a) With the SDE and other NEAC states approval, AIR will augment the scoring materials.
 - b) AIR shall present all scoring guides and other training materials to the SDE and other NEAC states for review and approval at least one month prior to the start of scoring.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- i. AIR's scoring leadership shall consist of the scoring managers, scoring directors and team leaders.
- j. AIR's scoring managers shall:
 - i. Direct and coordinate project activities for performance assessment scoring efforts;
 - ii. Maintain communication with the SDE assessment staff;
 - iii. Monitor scoring contract obligations and costs; and
 - iv. Supervise and select scoring staff and evaluate scoring staff performance.
- k. AIR's scoring directors shall:
 - i. Manage grade- and content-level scoring efforts;
 - ii. Provide support for and supervision of the team leaders;
 - iii. Direct scorers to recalibration training as needed;
 - iv. Consult with the SDE on scoring decisions if notable unusual responses arise;
 - v. Gather project documentation materials for final reports; and
 - vi. Along with the scoring managers, make final decisions about unusual responses, alerts, and other situations requiring scoring management involvement.
- l. AIR's team leaders shall:
 - i. Assist in the monitoring of all scorers assigned to the project and develop exhaustive knowledge of test items as a whole in order to provide the most effective evaluation of scorer performance;
 - ii. Complete a similar training and qualifying process as scorers, which shall be more comprehensive, specifically addressing scoring documentation requirements, identification of non-scorable responses, unusual prompt treatment, potential alert responses (such as a child-in danger), as specified by the Consortium, and other duties performed by scoring leadership; and
 - iii. Conduct the ongoing monitoring of scorers through the processes as outlined in the scoring quality control processes.
- m. AIR shall train its scorers to evaluate types of items within a specific grade and content area, developing a strong foundation to score a variety of items within the type for which they qualify.
 - i. AIR shall employ an online training interface for the scorer training in its scoring sites and with distributive scoring activities.
 - ii. Each member of AIR's scoring staff shall be required to qualify for the scoring of student responses based on standards established by the Consortium following the training process.
 - iii. AIR shall continually monitor performance in order to guarantee scoring accuracy.
 - iv. During training, scorers shall be required to complete all calibration sets and meet Consortium and the SDE and other NEAC states qualification criteria. AIR shall release any scorer who is unable to meet these standards.
 - v. AIR shall use validity responses as an additional qualification threshold when switching between items within a type of response.
 - vi. AIR shall submit all documentation of all training processes and results to SDE at the conclusion of scoring.
 - vii. AIR shall conduct hand-scoring efforts using AIR's image-based system, the Virtual Scoring Center (VSC), a complete electronic data capture and image-based scoring solution. Through the VSC system AIR shall permit project leaders to spot-check scorers, monitor reliability, and offer feedback. AIR, through the VSC system, will generate individual scorer and item statistics (such as score distribution, inter-scorer reliability, and non-adjacent scores).
- n. AIR shall conduct all scoring activities anonymously; at no time will scorers have access to the demographic information of the students.
- o. AIR shall define the requirements for double-scoring in the VSC system at setup time. For all items except full writes, AIR will set this at 15 percent. AIR shall score full writes as follows:

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- i. During Year 1, AIR shall hand-score 100 percent of the responses and do human second double-blind scorings 15 percent of the time. AIR shall use Artificial Intelligence (AI) to conduct a second score of the remaining 85 percent of the responses.
 - ii. In Year 2, AIR shall use AI to score 100 percent of the responses and shall hand-score 50 percent on a second scoring.
 - iii. For Year 3 and beyond, AIR shall use AI to score 100 percent of the responses shall hand-score 25 percent on a second scoring.
- p. AIR's scoring approach shall ensure the following agreement rates are maintained for each scoring event:
 - i. Four-point items: non-adjacent agreement rate of less than 5 percent and perfect agreement rate of 80 percent;
 - ii. Three-point items: non-adjacent agreement rate of less than 5 percent and perfect agreement rate of 85 percent;
 - iii. Two-point items: perfect agreement rate of 95 percent;
 - iv. One-point items: perfect agreement rate of 100 percent; and
 - v. Should the Consortium specify more stringent agreement rates for hand-scoring, AIR will adhere to those requirements.
- q. The scoring director and team leaders shall read behind each scorer's performance every day to ensure he or she is on target, and conduct one-on-one retraining sessions when necessary.
 - i. AIR's scorers will maintain the minimum inter-scorer agreement rates outlined above.
 - ii. If a scorer's rate falls below the expected standard, the scorer will be re-trained.
 - iii. Should the scorer still be unable to score reliably, AIR shall remove such scorer from this project.
- r. AIR shall periodically administer validity sets to each scorer working on the scoring effort as ongoing checks for quality.
- s. AIR shall provide hand-scoring process reports (both daily and cumulative score reports) including but not limited to:
 - i. Daily, cumulative, and summary data on the number of responses scored by each scorer;
 - ii. The percentage of responses scored that day in exact agreement or adjacent agreement with a second scorer;
 - iii. Inter-rater reliability;
 - iv. The total number of responses scored at each score point;
 - v. The number of correct validity responses generated by each scorer; and
 - vi. The number of required third scorings, if applicable.
- t. At the SDE's request, AIR shall rescore certain responses when scorers are released because they are unable to demonstrate the ability to score responses according to the criteria and standards established by AIR and the SDE and other NEAC states.
- u. AIR shall provide SDE virtual access to all training activities through AIR's online training interface. AIR shall grant the SDE access to view and run specific reports during the scoring process through the Client Command Center (CCC). AIR shall permit the SDE to attend on-site training for those items to be scored on-site.
- v. AIR shall configure an Alert Tool to scan text responses for each student record for the presence of the SDE and other NEAC states approved target words and phrases, and route those responses to human scorers.
 - i. If an alert paper is identified, the scoring manager will send the information to appropriate SDE staff for review and action.
 - ii. AIR shall create a secure FTP Alert Site to post student test papers with alerts and contact appropriate SDE staff. AIR shall provide weekly updates on posted Alert responses.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- w. For situations where assessments are delayed, AIR shall provide late batch scoring using the same processes and procedures for hand-scoring outlined above.
 - x. AIR shall provide re-scoring services for hand-scored items. All re-scoring requests will be submitted directly to SDE, who will then determine whether the request will be forwarded to AIR.
 - y. Should a LEA request a rescore based on the following or other criteria, AIR shall rescore an assessment to confirm accuracy when test scores are inconsistent with performance in school; and shall validate scoring due to rater inaccuracy.
 - i. Districts will assume any costs associated with a rescore request if that request does not result in a score change. However, in the event of a score change, AIR shall assume such costs.
 - ii. AIR shall not accept LEA rescoring requests unless such requests have met the criteria above. Further, any rescore requests for reasons other than those included in the criteria above will be reviewed by SDE, who will then determine whether the request will be forwarded to AIR.
 - iii. Should AIR identify a rater inaccuracy, AIR shall rescore student responses promptly.
 - iv. AIR will submit a monthly rescore report to SDE indicating the original and revised student scores.
 - z. AIR shall maintain confidentiality of the SB-provided testing and training materials and the student responses.
 - i. AIR shall train all personnel on AIR's security and confidentiality policies. AIR shall require its employees to indicate in writing an agreement with the policy and also sign confidentiality/non-disclosure forms. AIR shall take appropriate disciplinary action for violation of the aforementioned agreements.
 - ii. During training, AIR shall secure all paper and online training materials at the end of each work period.
 - iii. Scorers shall not access the scoring system if their direct supervisor is not actively logged into the system.
 - iv. During active scoring, AIR shall present all items to its scorers with no student demographic information included.
2. Automated Scoring
- a. AIR shall provide the automated scoring for the items on the summative and interim assessments that do not require hand scoring.
 - i. AIR will provide all "machine-scored" scoring and quality assurance for computer based test items with explicit rubrics, which does not include short answer (SA), proposition or extended response (ER/WER), essay, or other new constructed response item types.
 - ii. AIR will provide a Teacher Hand Scoring System to allow educators to hand-score the SA, proposition or ER/WER, essay, or other new constructed response item types on the interim assessments.
 - b. AIR shall prepare for the use of technology for the scoring of full-writes in Year 2 of the contract. Such preparation shall include:
 - i. Employing the PEG[®] AI scoring system using the machine score as a second read for the summative assessment during Year 1;
 - ii. Demonstrating machine-scoring for full-writes items by producing a report containing multiple measures of human/AI agreement, including: percent perfect agreement, percent adjacent, percent perfect + adjacent, and quadratic weighted kappa;
 - iii. Configuring the systems for Year 2 scoring using machine and human scoring; and
 - iv. Expanding the use of AI scoring during Year 3 and beyond.
 - c. To verify that PEG[®] is making accurate score predictions, AIR shall sample the AI-scored papers at regularly scheduled intervals as part of their quality control procedures.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- If an analysis of the human/AI agreement indicates that the scoring engine needs to be adjusted, AIR will recalibrate the scoring model for that item.
- d. AIR shall use the human scored responses from the SB field test for the initial AI engine calibration and evaluation. If additional training data are needed, AIR will supplement the SB-provided training set with double-read papers from Year 1.
 - e. To facilitate the quality control process, AIR shall program PEG[®] to randomly select responses and route them to their professional reading staff for hand-scoring according to the read-behind parameters requested by the SDE and other NEAC states.
 - f. At the beginning of the project, AIR shall arrange a meeting with the SDE and other NEAC states Project Management Team and AIR's psychometricians to specify the evaluation metric, the expected level of accuracy for AI scoring, and the validation and documentation schedule. If any model scoring fails to meet the expected level of accuracy based on the evaluation metric(s), AIR will provide documentation on the methods used in attempts to improve the model.
 - g. AIR shall use a process known as cross-validation to develop an estimate for how well any given model will perform on unseen data, which shall include:
 - i. The use of data sets for model calibration and evaluation provided by the Consortium;
 - ii. Training data that will be representative of the entire student population, including a range of score points, types, and styles of writing;
 - iii. If the models generated from the provided training papers produce results that fail to meet the SB reliability criteria, AIR will use additional training papers with which to recalibrate the AI engine.
 - h. AIR shall regularly sample the performance of the AI scoring engine, using pre-defined metrics to compare the AI engine predictions to the scores provided by human readers and shall provide:
 - i. A report documenting the results, including any data anomalies to the SDE and other NEAC states.
 - ii. An analysis of data anomalies to determine the root cause and a discussion of the findings and potential resolutions.

K. Operational Psychometrics

- 1. AIR shall provide analysis specifications (SB-provided), quality control specifications, scoring engine specifications and test specifications (SB-provided).
 - a. AIR shall confirm correct Import SB bank item parameters, both within grade and vertically linked parameter estimates, along with all other attributes of the SB items.
 - b. AIR shall use simulated test administrations to test and verify the performance of all scoring and reporting systems.
 - c. AIR shall monitor the performance of testing through a series of quality assurance (QA) reports on item statistics, blueprint match rates, and item exposure rates.
 - d. AIR shall apply SB-provided rules to obtain SB scores.
 - e. AIR shall use software approved by the SDE to calibrate test items for SB.
 - f. AIR shall review outcomes or QA reports with the SDE.
- 2. AIR shall provide a NEAC-common Technical Report and analyses, as indicated in the proposal, that provide evidence of the reliability of the SB assessments within each state's assessment context, such as aspects of reliability, including inter-rater agreement for hand-scored item responses, specific to each implementation of the SB assessments.
 - a. AIR shall incorporate SB-provided technical documents and reports in the Technical Report.
 - b. AIR shall produce reports and analysis, as indicated in the proposal, to provide evidence of validity of content validity/alignment, comparability across accommodations, and predictive validity for interim assessments.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- c. AIR shall incorporate SB-provided sections of the Technical Report, with state-specific results, if necessary.
- d. AIR shall revise the Technical Report, if necessary.
- e. AIR shall produce an electronic version (PDF) of the Technical Report.

L. Web-Based Designated Supports and Accommodations

- 1. AIR shall configure the Student Registration and Test Delivery Systems to Consortium specifications to receive uploads for all SB-embedded and non-embedded universal tools, designated supports, and accommodations, with SDE-selected options.
 - a. The TIDE system shall support batch uploads and manual entries of students' designated supports and accommodations.
 - b. The TIDE system shall provide search features to search for students based on different attributes, including test settings (supports and accommodations) and test eligibilities. The search feature also has business rules to limit the search function to certain user roles and to limit the search results within the user's jurisdiction (school or LEA).
 - c. The TIDE system shall provide for search results that can be readily exported to Comma-separated Values (CSV) or Excel, and users shall have the option to export the entire set or just a selected set of student records.
 - d. The TIDE system shall provide a validation process to check for possible errors in data submissions.
 - e. The TIDE system shall be integrated with all other systems, allowing for the transfer of any update to a data element of a user or a student.
 - f. The TIDE system shall be configurable to allow for future modifications, if required.
 - g. The TIDE system shall be configurable to allow for use with different supports and accommodations for other state assessments.
- 2. AIR shall enable universal tools, designated supports and accommodations to Consortium specifications.

M. State-Led Item Development

- 1. Should the SDE and other NEAC states opt to participate in state-led item development, AIR shall draft scope (time and money) implications for this work.

N. Web-Base Analysis and Reporting System

- 1. AIR shall provide summary and student-level reports in AIR's Online Reporting System (ORS). The ORS will generate secure, dynamic, interactive reports, including individual student reports that allow educators at all levels to explore the data and their implications for instruction.
- 2. AIR's ORS shall:
 - a. Provide rapid, flexible online reporting, including both standard and customized reports, available immediately (upon completion of scoring for hand-scored responses);
 - b. Support HTML-compatible browsers and allow access to the system on mobile devices, including smartphones;
 - c. Provide results for summative and interim assessments in one system;
 - d. Allow users to download on-demand, standard, and custom PDFs, spreadsheets, and data files; and
 - e. Provide security measures that allow the system to serve as a public portal, and also an access point for confidential student-level data and reports.
- 3. AIR shall, in consultation with SDE, gather requirements and configure the ORS to include:
 - a. A state-specific skin for the reporting system;
 - b. Downloadable student level data files in csv format;
 - c. Aggregated reports for a LEA, school, teacher and class;
 - d. Interactive results analysis; and
 - e. Longitudinal data reporting.
- 4. AIR shall conduct quality assurance (QA) checks on scores using AIR's Quality Monitoring (QM) system prior to being reported in ORS.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

5. AIR shall document the description of the security measures embedded in the reporting system.
 - a. AIR's ORS shall comply with the SDE privacy policies, Connecticut state requirements and all relevant federal and state law concerning the protection of personal information. Student data shall be protected by the same physical, network, and software security as AIR's TDS.
 - b. AIR shall work in consultation with SDE to determine the level and types of information that will be made available through the public interface.
6. AIR's ORS shall provide administrative tools, including:
 - a. Administrative monitoring of the system;
 - b. District and school monitoring of test completion;
 - c. Addition of users and assignment of roles; and
 - d. Creation of custom rosters.
7. AIR shall provide the SDE with a complete set of student level results. AIR shall establish a the SDE and other NEAC states-approved customized delivery format and shall implement such format for the SDE, including:
 - a. A set of data validation rules for the files; and
 - b. A mutually agreeable transfer protocol.
8. AIR shall deploy its Secure Item Review Viewing environment (SIRVE) for processing requests to view a student's test.

O. Smarter Balanced Digital Library

1. AIR shall arrange with the Consortium to allow user access to the SB-hosted Digital Library using a single sign-on.
2. AIR shall update Help Desk training and internal FAQ to support user requests for login and password access to the Digital Library.

P. State Specific Requirements

1. AIR shall provide options for delivering preliminary test results by June 1, 2016, and June 1, 2017, for the purposes of teacher evaluation for SDE review and approval.

III. STAFFING

- A. AIR Project Director - Jennifer Chou, Senior Project Director, AIR
- B. In the event that AIR needs to substitute any management, supervisory, or other key personnel, AIR will identify the substitute personnel, the work to be performed, and the reason for the substitution. AIR will submit resumes of the replacement personnel for SDE approval. Substitute personnel will not begin work until AIR has received written approval from the SDE.
- C. Project staffing is further supported by the "AIR Project Organization Chart" attached here to as "Attachment 3."

IV. DUTIES AND RESPONSIBILITIES OF THE SDE

A. SDE Project Team Roles and Responsibilities

1. SDE Project Managers shall manage SDE resources, facilitate completion of all tasks assigned to SDE staff, and communicate project status on a regular basis. The SDE Project Managers represent the SDE in all decisions on the implementation of the project, provide all necessary support in the conduct of the implementation of the project, and provide necessary SDE resources, as defined by the Work Plan and as otherwise identified throughout the course of the Project. In addition, the SDE Project Managers' responsibilities shall include the following:
 - a. Assist the AIR Project Manager in planning and conducting a kick-off meeting;
 - b. Assist the AIR Project Manager in the development of a detailed Work Plan;
 - c. Identify and secure the SDE Project Team members in accordance with the Work Plan;
 - d. Define roles and responsibilities of all SDE Project Team members assigned to the project;

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- e. Identify and secure access to additional SDE end-user staff as needed to support specific areas of knowledge if and when required to perform certain implementation tasks;
- f. Communicate issues to SDE management as necessary to secure resolution of any matter that cannot be addressed at the project level;
- g. Inform the AIR Project Manager of any urgent issues if and when they arise; and
- h. Assist the AIR team staff to obtain requested information if and when required to perform certain tasks.
- i. The SDE shall provide AIR access to data and other information as reasonably requested by AIR.

B. Project Management and Planning

- 1. The SDE shall provide continuing review and feedback to AIR in the planning of management meetings.
- 2. The SDE shall participate in all management meetings, including the Kick-Off meeting.
- 3. The SDE shall provide continuing review and feedback to AIR, during the development of all AIR Project Management and Planning documents.
- 4. The SDE, in consultation with the other NEAC states, shall approve all AIR Project Management documents.

C. Online Assessment and Technical Support

- 1. The SDE and the other NEAC states shall review AIR's validation of the SB-provided items banks and test maps for summative and interim testing, including all SB-provided tagging during UAT.
- 2. The SDE shall review and approve the CT Portal prior to deployment.
- 3. The SDE and the other NEAC states shall review and approve the Practice Test UAT.
- 4. The SDE and the other NEAC states shall review and identify additional material needed for the SB-provided *Technical Specifications Manual*.
- 5. The SDE and the other NEAC states shall approve the NEAC-specific *Technical Specifications Manual*.
- 6. The SDE and the other NEAC states shall review and approve the *TIDE User Guide and Specifications*.
- 7. The SDE and the other NEAC states shall review and approve AIR's documented security procedures for maintaining the security of the online environment.
- 8. The SDE shall provide AIR with SDE specifications for the TAM and TCM and shall review and approve said documents before posting on the CT Portal.
- 9. The SDE shall make state specific updates to the TAM and TCM, review and approve said documents before posting on the CT Portal.
- 10. The SDE shall provide AIR with SDE specifications for the *Smarter Balanced Test Administration Guide* and *Smarter Balanced Test Coordination Guide* and shall review and approve said documents prior to posting.
- 11. The SDE and the other NEAC states shall review and approve training protocols on test administration procedures for use by LEAs.
- 12. The SDE and the other NEAC states shall review and approve the NEAC-common versions of a Test Administration (TA) Training/Certification course.
- 13. The SDE shall review and approve the live training webinars for district and building administrators, technology coordinators, and test administrators.
- 14. The SDE and the other NEAC states shall review and approve all SB-provided and AIR created training modules prior to posting on each state portal.
- 15. The SDE and the other NEAC states shall review and approve AIR's Help Desk Quality Assurance Plan.
- 16. The SDE and the other NEAC states shall review the metrics for monitoring and documenting Systems performance and reporting.
- 17. The SDE and the other NEAC states shall review the summary of numbers and types of items received by AIR from the Consortium for embedded field testing.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

18. The SDE shall participate in TDS UAT prior to the deployment of the operational interim assessments.
19. The SDE shall participate in TDS UAT prior to the deployment of the operational summative assessments.
20. The SDE shall review and post the AIR-developed guidelines on how, when, and what materials, including student-level directions for test administration, should be made available prior to the test administration window.
21. The SDE shall review and post the AIR-published protocol for preparing the testing environment, to be included as part of the procedure manuals and training.
22. The SDE and the other NEAC states shall review the AIR-prepared hand scoring specifications that meet the Consortium hand scoring requirements.
23. The SDE shall review and approve target words and phrases for configuring the Alert Tool.
24. The SDE shall review and, if necessary, take action on Alert responses received from AIR's scoring manager.
25. The SDE shall review reports of multiple measures of human and AI scoring agreement.
26. The SDE shall review AIR's process of applying Consortium rules to obtain SB scores.
27. The SDE shall, in consultation with the Consortium, specify software to be used to calibrate test items for SB.
28. The SDE shall review issues related to outcomes or QA reports.
29. The SDE shall review SB-provided sections of the Technical Report, with state-specific results, if necessary, including the review and approval of any revisions to the Technical Report.
30. The SDE shall review the configuration of TIDE and TDS to Consortium specifications to receive the upload for all SB embedded and non-embedded universal tools, designated supports, and accommodations with SDE-selected options.
31. The SDE shall review the configuration of the ORS.
32. The SDE shall review the documentation of the security measures embedded in the ORS.
33. The SDE shall identify proposed users for the Digital Library and identify the source of user information, if different from current sources used to populate TIDE.

D. Paper-based Testing

1. The SDE shall review the documentation of methods and quality assurance guidelines for scoring paper based test forms.
2. The SDE shall review the documentation of methods and quality assurance guidelines for scanning paper based test forms.
3. The SDE shall review the process to help ensure production of necessary quantities of manufactured paper-based test materials based on enrollment data and overage requirements provided by SDE.
4. The SDE shall review and approve custom cover pages with SDE-specific cover art and scanning marks.
5. The SDE shall review and approve the process to help ensure accurate collating of paper-based test materials.
6. The SDE shall review and approve the process to identify and protect the security of paper-based test materials.
7. The SDE shall review and approve the process, where required, to pre-code answer documents with student SSID numbers, demographic information, LEA, school and testing site information.
8. The SDE shall review and approve the process to ensure students who take the paper-based assessment do not take a computer-based assessment in the same content area (unless an exception is approved by the SDE).
9. The SDE shall review and approve the SB-provided Braille forms.
10. The SDE shall review and approve the SB-provided large print forms.
11. The SDE shall monitor hand scoring via AIR's Client Command Center (CCC).

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

E. Test Security and Data Forensics

1. The SDE shall review and approve all project-specific security policies.
2. The SDE shall review and process appeals submitted in TIDE.
3. The SDE shall provide state-specific user roles, consistent with Consortium recommendations for the *Chart of NEAC States User Roles/Access* to specific systems functions.
4. The SDE shall review and, if necessary, take action on forensics reports.
5. The SDE shall request, if necessary, additional forensic data or analyses.

F. Test Administration

1. The SDE shall establish an annual test administration calendar in accordance with the Consortium testing window policy.
2. The SDE and the other NEAC states shall review the Training Information Dissemination Schedule.

G. Scoring

1. The SDE and the other NEAC states shall approve any augmentation to the scoring materials requested by AIR.
2. The SDE shall monitor scoring using the CCC and attend on-site training as needed.
3. The SDE shall receive and approve all requests from LEAs for rescoring and forward to AIR for processing.

H. Web-based Designated Supports and Accommodations

1. The SDE shall provide AIR with SDE-selected options for configuring the Student Registration and Test Delivery Systems for the upload for all SB-provided embedded and non-embedded universal tools, designated supports, and accommodations.

I. Web-Based Analysis and Reporting

1. The SDE shall provide state-specific requirements for the configuration of the ORS.
2. The SDE shall review and approve the level and types of information that will be made available through the public interface.
3. The SDE and the other NEAC states shall review and approve the customized delivery format for the ORS.

J. State Specific Requirement: The SDE shall review and approve the AIR-provided options for delivering preliminary test results by June 1, 2016, and June 1, 2017, for the purposes of teacher evaluation.

L. Payments

1. The CSBE shall provide payments as detailed in Section VI of this Agreement.

V. CONTACT INFORMATION

A. State Program Manager

The SDE shall assign at least one Program Manager who shall function as the SDE's representative with regard to Contract administration. The State Program Managers are:

Gail Pagano
Connecticut State Department of Education
165 Capitol Avenue, Room 215
Hartford, CT 06106
Phone: 860-713-6821
Fax: 860-713-7018

Abe Krisst
Connecticut State Department of Education
165 Capitol Avenue, Room 215
Hartford, CT 06106
Phone: 860-713-6894
Fax: 860-713-7018

VI. PAYMENT SCHEDULE

- A.** Payments pursuant to this Agreement shall not exceed \$13,555,175.00.
- B.** Optional payment for paper-based tests in case of a "catastrophic event:" Additional costs, in excess of the initial contract total, would be incurred in the amount of \$20,000 for the initial

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

location, plus \$7,000 per additional location, in any tested year, for the provision of paper-based testing in the event of a catastrophic event at said location. A catastrophic event is defined as a school having to move out of their building into a new location where there is no access to the technology required for online testing. The tasks include print, distribute, receive, scan, and process answer documents.

C. The payment schedule below can be adjusted upon written request and CSBE approval, but such payments cannot exceed physical availability of funds.

D. AIR shall send all invoices to:

Gary Pescosolido, Fiscal Administrative Manager II
Connecticut State Department of Education
Bureau of Fiscal Services
165 Capitol Avenue, Room 313
Hartford, CT 06106
Phone: 860-713-6667
FAX: 860-713-7024
E-mail: gary.pescosolido@ct.gov

E. The CSBE reserves the right to reduce payments and withhold funding for any deliverable which the Contractors have:

1. Failed to submit required reports or audits;
2. Submitted reports that have not received the CSBE's approval;
3. Failed to provide accurate scoring and reporting of student testing results; or
4. Failed to provide any other services under this Agreement to the satisfaction of the SDE.

F. Schedule of Deliverables

Deliverable/Milestone	Expected Completion Date	2014	2015	2016	2017
Launch Student Registration	January 31		818,342.00	784,137.00	779,523.00
Approval to Open Test Window (Interim)	January 31		-	-	-
Launch Online Reporting System	January 31		362,812.00	345,710.00	343,403.00
Regional Training (four per year)	January 31		60,333.00	60,333.00	60,333.00
Approval to Open Test Window (Summative)	March 31		511,463.00	490,085.00	487,201.00
Program Management	March 31		3,111.00	2,333.00	2,333.00
Close Test Window	June 30		511,463.00	490,085.00	487,201.00
Deliver Data Files*	June 30		1,022,926.00	980,170.00	974,402.00
Deliver Individual Student Scoring and Reports	June 30		325,157.00	325,157.00	325,157.00
Program Management	June 30		3,111.00	2,333.00	2,333.00
Delivery of Technical Report	July 31		100,000.00	100,000.00	100,000.00
Hardware In Place	September 30		784,136.00	779,523.00	
Program Management	September 30		2,333.00	2,333.00	
Hardware In Place	December 31	818,341.00			
Approval to Print TAMS, Braille	December 31	122,846.00	124,437.00	52,500.00	
Program Management	December 31	3,111.00	2,333.00	2,333.00	
Total Yearly Payments		944,298.00	4,631,957.00	4,417,032.00	3,596,086.00

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

G. Payment Schedule

Payment Schedule All payments shall be made on or after the dates below upon receipt of approved deliverables	
Upon Contract Execution:	944,298.00
January 31, 2015	1,241,487.00
March 31, 2015	514,574.00
June 30, 2015	1,862,657.00
July 31, 2015	100,000.00
September 30, 2015	786,469.00
December 31, 2015	126,770.00
January 31, 2016	1,190,180.00
March 31, 2016	492,418.00
June 30, 2016	1,797,745.00
July 31, 2016	100,000.00
September 30, 2016	781,856.00
December 31, 2016	54,833.00
January 31, 2017	1,183,259.00
March 31, 2017	489,534.00
June 30, 2017	1,789,093.00
July 31, 2017	100,000.00
Total Payment:	13,555,173.00

- VII. STATUTORY AUTHORITY:** The statutory authority for the CSBE to enter into this Agreement is as follows: Sections 4-5 and 4-8 of the Connecticut General Statutes.
- VIII. EFFECTIVE DATE AND TERM OF THE AGREEMENT:** This Agreement shall become effective December 1, 2014 and shall continue until September 30, 2017, unless sooner terminated in accordance with the terms of this Agreement.
- IX. CANCELLATION:** This Agreement shall remain in full force and effect for the entire term of the agreement period stated above, unless canceled by either AIR or the CSBE with thirty (30) days written notice to the other party. Notwithstanding any provisions in this Agreement, the Agency, through a duly authorized employee, may terminate the contract whenever the CSBE makes a written determination that such termination is in the best interests of the State. The CSBE shall notify the Contractors in writing of termination pursuant to this section, and such notice shall specify the effective date of termination and the extent to which the Contractors must complete their performance under the contract prior to such date.
- X. INDEMNIFICATION:**
- A.** AIR shall indemnify, defend and hold harmless the State of Connecticut ("State") and its officers, representatives, agents, servants, employees, successors and assigns from and against any and all (1) claims arising, directly or indirectly, in connection with this Agreement, including the acts of commission or omission (collectively, the "Acts") of the Contractor or contractor parties; and (2) liabilities, damages, losses, costs and expenses, including but not limited to, attorneys' and other professionals' fees, arising, directly or indirectly, in connection with claims, Acts or the Agreement. AIR shall use counsel reasonably acceptable to the State in carrying out its

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

obligations under this section. AIR's obligations under this section to indemnify, defend and hold harmless against claims includes claims concerning confidentiality of any part of or all of the AIR records, any intellectual property rights, other proprietary rights of any person or entity, copyrighted or uncopyrighted compositions, secret processes, patented or unpatented inventions, articles or appliances furnished or used in the performance.

- B. AIR shall not be responsible for indemnifying or holding the State harmless from any liability arising due to the negligence of the State or any third party acting under the direct control or supervision of the State.
- C. AIR shall reimburse the State for any and all damages to the real or personal property of the State caused by the acts of AIR. The State shall give AIR reasonable notice of any such claims.
- D. AIR's duties under this section shall remain fully in effect and binding in accordance with the terms and conditions of the Agreement, without being lessened or compromised in any way, even where the AIR is alleged or is found to have merely contributed in part to the Acts giving rise to the claims and/or where the State is alleged or is found to have contributed to the Acts giving rise to the claims.
- E. AIR shall carry and maintain at all times during the term of the Agreement, and during the time that any provisions survive the term of the Agreement, sufficient general liability insurance to satisfy its obligations under this Agreement. AIR shall name the State as an additional insured on the policy and shall provide a copy of the policy to the CSBE prior to the effective date of the Agreement. AIR shall not begin performance until the delivery of the policy to the CSBE. The CSBE shall be entitled to recover under the insurance policy even if a body of competent jurisdiction determines that the CSBE or the State is contributorily negligent.
- F. This section shall survive the termination of the Agreement and shall not be limited by reason of any insurance coverage.

XI. CONTRACT ASSIGNMENT: No right or duty, in whole or in part, of AIR under this Agreement may be assigned or delegated without the prior written consent of the CSBE.

XII. APPLICABLE LAW: This Agreement shall be governed by the laws of the State of Connecticut without regard to its principles of conflicts of laws. AIR shall at all times comply and observe all federal and state laws, local laws, ordinances and regulations which are in effect during the period of this Agreement and which in any manner affect the work or its conduct.

XIII. CAMPAIGN CONTRIBUTION RESTRICTIONS: For all State contracts, defined in Conn. Gen. Stat. § 9-612(g)(1) as having a value in a calendar year of \$50,000 or more, or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Contract expressly acknowledges receipt of the State Elections Enforcement Commission's notice advising state contractors of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of the notice, as set forth in "Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations," attached hereto as "Attachment 4."

XIV. AUDIT AND INSPECTION OF PLANTS, PLACES OF BUSINESS AND RECORDS:

- A. The State and its agents, including, but not limited to, the Connecticut Auditors of Public Accounts, Attorney General and State's Attorney and their respective agents, may, at reasonable hours, inspect and examine all of the parts of AIR's and Contractor Parties plants and places of business which, in any way, are related to, or involved in, the performance of this Agreement.
- B. AIR shall maintain, and shall require each of the Contractor Parties to maintain, accurate and complete records. AIR shall make all of its and the Contractor Parties' records available at all reasonable hours for audit and inspection by the State and its agents.
- C. The State shall make all requests for any audit or inspection in writing and shall provide AIR with at least twenty-four (24) hours' notice prior to the requested audit and inspection date. If the

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

State suspects fraud or other abuse, or in the event of an emergency, the State is not obligated to provide any prior notice.

- D. All audits and inspections shall be at the State's expense.
- E. AIR shall keep and preserve or cause to be kept and preserved all of its and Contractor Parties' records until three (3) years after the latter of (i) final payment under this Agreement, or (ii) the expiration or earlier termination of this Agreement, as the same may be modified for any reason. The State may request an audit or inspection at any time during this period. If any claim or audit is started before the expiration of this period, AIR shall retain or cause to be retained all Records until all claims or audit findings have been resolved.
- F. AIR shall cooperate fully with the State and its agents in connection with an audit or inspection. Following any audit or inspection, the State may conduct and AIR shall cooperate with an exit conference.
- G. AIR shall incorporate this entire Section verbatim into any contract or other agreement that it enters into with any Contractor Party.

XV. PROTECTION OF CONFIDENTIAL INFORMATION:

- A. Contractors and Contractor Parties, at their own expense, have a duty to and shall protect from a Confidential Information Breach any and all Confidential Information which they come to possess or control, wherever and however stored or maintained, in a commercially reasonable manner in accordance with current industry standards.
- B. Each Contractor or Contractor Party shall develop, implement and maintain a comprehensive data-security program for the protection of Confidential Information. The safeguards contained in such program shall be consistent with and comply with the safeguards for protection of Confidential Information, and information of a similar character, as set forth in all applicable federal and state law and written policy of the Department or State concerning the confidentiality of Confidential Information. Such data-security program shall include, but not be limited to, the following:
 - 1. A security policy for employees related to the storage, access and transportation of data containing Confidential Information;
 - 2. Reasonable restrictions on access to records containing Confidential Information, including access to any locked storage where such records are kept;
 - 3. A process for reviewing policies and security measures at least annually;
 - 4. Creating secure access controls to Confidential Information, including but not limited to passwords; and
 - 5. Encrypting of Confidential Information that is stored on laptops, portable devices or being transmitted electronically.
- C. The Contractors and Contractor Parties shall notify the Department and the Connecticut Office of the Attorney General as soon as practical, but no later than twenty-four (24) hours, after they become aware of or suspect that any Confidential Information which Contractors or Contractor Parties have come to possess or control has been subject to a Confidential Information Breach. If a Confidential Information Breach has occurred, the Contractors shall, within three (3) business days after the notification, present a credit monitoring and protection plan to the Commissioner of Administrative Services, the Department and the Connecticut Office of the Attorney General, for review and approval. Such credit monitoring or protection plan shall be made available by the Contractors at their own cost and expense to all individuals affected by the Confidential Information Breach. Such credit monitoring or protection plan shall include, but is not limited to reimbursement for the cost of placing and lifting one (1) security freeze per credit file pursuant to Connecticut General Statutes § 36a-701a. Such credit monitoring or protection plans shall be approved by the State in accordance with this Section and shall cover a length of time commensurate with the circumstances of the Confidential Information Breach. The Contractors' costs and expenses for the credit monitoring and protection plan shall not be recoverable from the Department, any State of Connecticut entity or any affected individuals.

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

- D. The Contractors shall incorporate the requirements of this Section in all subcontracts requiring each Contractor Party to safeguard Confidential Information in the same manner as provided for in this Section.
- E. Nothing in this Section shall supersede in any manner Contractors' or Contractor Party's obligations pursuant to HIPAA or the provisions of this Contract concerning the obligations of the Contractors as Business Associates of the Department.
- F. The above section uses the terms "Confidential Information" and "Confidential Information Breach" as defined below.
 - 1. "Confidential Information" shall mean any name, number or other information that may be used, alone or in conjunction with any other information, to identify a specific individual including, but not limited to, such individual's name, date of birth, mother's maiden name, motor vehicle operator's license number, Social Security number, employee identification number, employer or taxpayer identification number, alien registration number, government passport number, health insurance identification number, demand deposit account number, savings account number, credit card number, debit card number or unique biometric data such as fingerprint, voice print, retina or iris image, or other unique physical representation. Without limiting the foregoing, Confidential Information shall also include any information that the Department classifies as "confidential" or "restricted." Confidential Information shall not include information that may be lawfully obtained from publicly available sources or from federal, state, or local government records which are lawfully made available to the general public.
 - 2. "Confidential Information Breach" shall mean, generally, an instance where an unauthorized person or entity accesses Confidential Information in any manner, including but not limited to the following occurrences: (1) any Confidential Information that is not encrypted or protected is misplaced, lost, stolen or in any way compromised; (2) one or more third parties have had access to or taken control or possession of any Confidential Information that is not encrypted or protected without prior written authorization from the State; (3) the unauthorized acquisition of encrypted or protected Confidential Information together with the confidential process or key that is capable of compromising the integrity of the Confidential Information; or (4) if there is a substantial risk of identity theft or fraud to the client, the Contractor, the Department or State.

XVI. FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT: In all respects, AIR shall comply with the provisions of the Family Educational Rights and Privacy Act, 20 U.S.C. 1232g (FERPA). For purposes of this Agreement, FERPA includes any amendments or other relevant provisions of federal law, as well as all requirements of Chapter 99 of Title 34 of the Code of Federal Regulations, as amended from time to time. Nothing in this Agreement may be construed to allow AIR to maintain, use, disclose or share student information in a manner not allowed by federal law or regulation or by this agreement. AIR agrees that it shall not provide any student information obtained under this Agreement to any party ineligible to receive data protected by FERPA.

XVII. SUBCONTRACTORS: AIR may enter into subcontracts for the purpose of completing the testing project, as provided herein, with the approved subcontracting entities listed in Attachment 5, hereto attached.

- A. The CSBE hereby designates such subcontractors as its "authorized representatives" pursuant to FERPA and C.F.R. Section 99.35 for the permitted access and use of confidential student information as set forth within this Agreement.
- B. For employees of CSBE-approved subcontractors who will have access to confidential student information in the custody of AIR, AIR shall:
 - 1. Specify what categories of confidential student information shall be disclosed and the purpose of such disclosure;
 - 2. Restrict access to confidential student information to only those subcontractor employees with a legitimate reason for such access; and

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

3. Require all such subcontractor employees to sign a confidentiality/nondisclosure agreement.
- C. In its agreements with the CSBE-approved subcontractors that will have custody of confidential student information, AIR shall:
 1. Specify what categories of confidential student information shall be disclosed and the purpose of such disclosure;
 2. Restrict access to confidential student information to only those subcontractor employees with a legitimate reason for such access;
 3. Require all subcontractor employees who have access to confidential student information to sign a confidentiality/nondisclosure agreement;
 4. Require maintenance of data in a secure manner by applying appropriate technical, physical and administrative safeguards to protect such data;
 5. Require the subcontractors to return or destroy confidential student information upon completion of their contractual obligations;
 6. Provide appropriate methods for return or destruction of data and provide a time period for such return or destruction;
 7. Include an acknowledgement that the CSBE retains ownership rights of all Connecticut data provided pursuant to the agreement;
 8. Require subcontractors to attest that they have established FERPA compliant policies and procedures that will be used to protect confidential student information from further disclosure and unauthorized use;
 9. Maintain the right to audit policies, standards and use of confidential student information to ensure compliance;
 10. Require subcontractors to develop a plan for handling a data breach;
 11. Specify points of contact and data custodians, if applicable; and
 12. Inform the subcontractors of the fact that penalties may apply for unauthorized disclosures, including but not limited to a five (5) year ban from engaging in any contracts with the State of Connecticut.
- D. AIR shall provide prior written notification to the CSBE of any change to the list of approved subcontractors, including but not limited to, a designation of a new subcontractor. Prior to providing any confidential student information to a new subcontractor, AIR shall obtain the CSBE's prior written approval of such subcontractor.
- E. AIR shall provide, upon CSBE's request, copies of any of its agreements with subcontractors within ten (10) business days of such request.

XVIII. DISCLOSURE OF RECORDS: This Contract may be subject to the provisions of section 1-218 of the Connecticut General Statutes. In accordance with this statute, each contract in excess of two million five hundred thousand dollars between a public agency and a person for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to the Connecticut Freedom of Information Act (FOIA) and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the Connecticut General Statutes.

XIX. WHISTLEBLOWER: This contract may be subject to the provisions of Section 4-61dd of the Connecticut General Statutes. In accordance with this statute, if an officer, employee or appointing authority of the Contractor takes or threatens to take any personnel action against any employee of the Contractor in retaliation for such employee's disclosure of information to any employee of the contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of such statute, the Contractor shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the

AGREEMENT BETWEEN
THE CONNECTICUT STATE BOARD OF EDUCATION AND THE AMERICAN INSTITUTES
FOR RESEARCH

value of this contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. . The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) of such statute, each large state contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the contractor.

- XX. SUMMARY OF STATE ETHICS LAWS:** Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of this Agreement as if the summary had been fully set forth in this Agreement.
- XXI. LEGAL FORCE AND EFFECT:** This Agreement shall have no legal force and effect until it is approved as to form and signed by Office of the Attorney General of the State of Connecticut. The CSBE shall assume no liability for performance of services under the terms of this Agreement until AIR is notified by CSBE that this Agreement has been approved.
- XXII. SEVERABILITY:** If any provision of this Agreement shall be held invalid by any court of competent jurisdiction, such holding shall not invalidate any other provision hereof.
- XXIII. SOVERIGN IMMUNITY:** The parties acknowledge and agree that nothing in this Agreement shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of this Agreement. To the extent that this section conflicts with any other section, this section shall govern.
- XXIV. AMENDMENTS:** Revisions to this Agreement's objectives, services, or plan must be approved in writing by the CSBE. A formal amendment, in writing, shall not be effective until executed by both parties to the Agreement and approved by the Office of the Attorney General, and shall be required for extensions to the final date of the Agreement period, revisions to the maximum payment, and any other revision determined material by either party.
- XXV. ENTIRE AGREEMENT:** This written Agreement shall constitute the entire Agreement between the parties and no other terms and conditions in any document, acceptance or acknowledgment shall be effective or binding unless expressly agreed to in writing by CSBE. This Agreement may not be changed other than by a formal written contract amendment signed by the parties hereto and approved by the Office of the Attorney General.

Attachment 1 - Work Plan

School Year 2014-2015

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
1	Project Management					
2		Management Meetings -3-4 full day face-to-face meeting each year -weekly project management conference calls	Support regular management meetings with the states' project management team.	NEAC States collaborate and participate	8.1.2	Ongoing
3		Management Reports -minutes from face-to-face and WebEx meetings -creating and maintaining project plan and project schedule -produce monthly status reports	Provide management reports on the status of the project	NEAC States collaborate and participate	8.1.2	Ongoing
4		AIR Project Management/Planning Documents: -Project Implementation Plan -Administration Summary -Special Versions Summary -Ancillary Abstract -Packaging Specifications -Receipt Specifications -Scoring Specifications -TDS Specifications -Online Project Portal Specifications -Online Reporting Specifications -Committee Participant Payments	Maintain a secure document management tool to share and provide version control of documents between AIR and SDE (e.g., KnowledgeTree)	NEAC States collaborate and approve	8.1.2	Ongoing
5		Future Scope Changes (if needed)	Note preferential or other changes in SDE request and draft scope (time and money) implications	SDE executes contract modification for desired changes	8.1.2	Ongoing
6			Implement funded scope changes	SDE reviews and approves	8.1.2	Ongoing
7		Kick Off Meeting	2 day meeting; 4 AIR Staff	NEAC States collaborate and participate	8.1.2	TBD
8		Education Leadership meeting	Attend a meeting with individual state education leadership (e.g., commissioner, board of education) upon request, but not to exceed one time per state per year.	SDE requests	8.2	No more than once a year for each state

Attachment 1 - Work Plan

School Year 2014- 2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
9		Smarter Balanced Collaboration Conference	Attend two Smarter Balanced collaboration conferences a year	NEAC States request	8.2	Twice per year
10	Online Assessment and Technical Support				8.3	
11			Receive and validate Smarter-provided item banks and test maps for summative and interim testing, including all Smarter-provided tagging.	NEAC States review during UAT (see tasks below)	8.3	Fall 2014
12		Technical Specifications Manual	Receive and discuss Smarter-provided Technical Specifications Manual	NEAC States review and identify additional materials needed	8.3.1	Fall 2014
13			Document any NEAC States' desired changes to --the requirements for the use of any software (and supporting devices) should be clearly documented and explained. --the minimum and preferred technology infrastructure needed to support online testing --information about suggested computer lab configurations --assistive technology support		8.3.1-4	Fall 2014
14			Update to create a NEAC States Technical Specifications Manual	NEAC States review and approve	8.3.1	Fall 2014
15		14 Smarter Balanced practice tests	Receive Smarter-provided practice tests and associated ancillary documents, including answer keys, scoring rubrics, sample responses, performance tasks, classroom activities, and guidelines (grade/level and content area combination).		8.3.5	Fall 2014
16			Practice Test UAT	NEAC States review and approve	8.3.5	prior to deployment date
17			Deploy selected practice tests. Practice tests will be available throughout the entire school year.		8.3.5	Fall 2014
18		6 Smarter Balanced training tests	Receive Smarter-provided Grade band training tests (grade band and content area combination)		8.3.5	Fall 2014
19			Training Test UAT	NEAC States review and approve	8.3.5	prior to deployment date
20			Deploy selected training tests		8.3.5	Fall 2014

Attachment 1 - Work Plan

School Year 2014- 2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
21		TIDE user guide and specifications	Document procedures for uploading student demographic data in the online assessment system, including any necessary accessibility tools and supports, should be provided, as well as instructions and procedures for modification of enrollment data, where permitted by the client.	NEAC States collaborate, review and approve procedures	8.3.6	Fall 2014
22		Test Administration Manual	Document procedures for maintaining the security of the online testing environment should be documented.	NEAC States collaborate, review and approve procedures	8.3.7	Fall 2014
23			Create training protocols to be provided at the local level on the test administration procedures.	NEAC States collaborate, review and approve procedures	8.3.8	Fall 2014
24		Regional Trainings	Deliver up to 4 one-half day regional trainings per state on system use and test administration procedures (to be supplemented by an online webinar and other online training materials (e.g., slide deck from webinar, FAQ document)).	NEAC States develop calendar	8.3.9	Winter 2014
25		TA Training/Certification course	Produce NEAC States-common versions for approval. By state, course can be configured to require completion before being allowed to administer assessments or to include acceptance of state-required Confidentiality agreement.	NEAC States review and approve	8.3.9	December 2014
26		Smarter Balanced TAM Smarter Balanced TCM	For TAM and TCM, produce with state-specific covers, TOCs, and placeholders for state-specific modules Each state makes State Specific updates to TAM and TCM.	SDE reviews and approves	8.3.9	December 2014
27		Individual State portal	Insert skin	SDE reviews and approves	8.3.9	December 2014

Attachment 1 - Work Plan

School Year 2014-2015

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
28		<ul style="list-style-type: none"> Shared informational brochures >FAQ for District/Complex Administrators >FAQ for Technology Coordinators >FAQ for Test Administrators >FAQ on Online Reporting System >FAQ for Online Testing System (ORS) >FAQ for TIDE >FAQ for Online Reporting System 	For brochures, produce with state-specific artwork/titles within specified locations (See below for any task to create/modify brochures for state-specific tests)	SDE reviews and approves	8.3.9	Dec2014
29		Webinars: <ul style="list-style-type: none"> >Webinar for District/Building Administrators >Webinar for Technology Coordinators >Webinar for Test Administrators >Webinar on Online Reporting System (ORS) Webinars include information on the following: <ul style="list-style-type: none"> > Online Testing System > TIDE > Online Reporting System (ORS) 	Deliver Webinar live once in each state and record for future use in that State. When Webinars occur is determined by individual state.	SDE reviews and approves	8.3.9	December 2014
30		Smarter Training Modules: <ul style="list-style-type: none"> >What is a CAT >Performance Task >Accessibility and Accommodations >Universal Tools >Tech Readiness >TA Interface >TIDE >Test Administration Training 	Smarter Training Modules will be posted on each State Portal. Each state incorporates State Specific information into the Training Modules (if required)	NEAC States review and approve	8.3.9	December 2014
31		Tier 1 and 2 Helpdesk	Technical support should be available via telephone and/or electronically with tools such as help desk and/or e-mail.		8.3.10	Fall 2014

Attachment 1- Work Plan

School Year 2014-2015

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
32		Help Desk will be available 1 month prior to the practice test opening and remain open until the close of the contract. The helpdesk will be opened from Monday through Friday from 7:00 am to 4:00 pm EST, outside of the testing windows, and between 7:00 am and 7:00 pm EST during the testing window.	AIR provides and trains Help Desk staff		8.3.10	Help Desk staff training provided prior to the opening of the helpdesk as well as the test administration window.
33			Provide a minimum of two points of contact from State specific project team, including State -identified project manager, who will be available to answer and respond to assessment related questions.	SDE provides project team contact	8.3.10	As soon as contract is signed
34			Receive, solve, escalate, and log all inquiries, and update FAQs	Address inquiries requiring SDE response	8.3.10	Ongoing.
35			Identify metrics for monitoring and documenting systems performance and report	SDE reviews	8.3.11	
36			Provide documentation regarding the capacity of the system to support the current and potential future range of Smarter Balanced item types		8.3.12	
37	Embedded Field Testing				8.4	
38		AIR Project Management/Planning Documents: -field Test Process Summary (Smarter Balanced provided)	Receive and validate Smarter-provided items for embedded field testing. Implement operational field-testing in accordance with a plan approved by the Smarter Balanced Governing states	NEAC States review summary of number and types of items	8.4.1	December 2014
39			Configure test delivery system to deliver IEF items to Smarter-provided specifications.	SDE participates in UAT (see tasks below)	8.4.2	February 2015

Attachment 1- Work Plan

School Year 2014-2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
40			(All data will be returned to states. AIR's delivery to States will include student responses to EFT items necessary for rubric validation, range finding, scoring, data review, equating, etc. covered elsewhere. AIR will work with NEAC States and Smarter Balanced to ensure data can be delivered according to Smarter Balanced specifications.)		8.4.2	June 2015
41	Paper/Pencil				8.5	
42	AIR will provide paper/pencil tests in the event of a catastrophic event, defined as a school experiencing an event that requires moving out of the building into a building that does not allow for access to the online testing system.		Document methods and quality assurance guidelines for scanning paper-pencil test forms	NEAC States review	8.5.8	Fall 2014
43			Document methods and quality assurance guidelines for scoring paper-pencil tests	NEAC States review	8.5.9	Fall 2014
44			Develop a process to help ensure production of necessary quantities of manufactured paper-pencil test materials based upon enrollment data and coverage requirements provided by the states.	NEAC States collaborate	8.5.1	Fall 2014
45			Configure TIDE to accept P/P ordering and approval		8.5.1	Fall 2014
46		Paper/Pencil BlueLines	Receive Scannable blueprint-ready, single fixed form for each content area of grades 3-8 and high school from Smarter Balanced Blueprint documents will be PDF documents and ready for printing. Set up a process to help ensure that all test paper-pencil test materials meet specifications provided by the states prior to final production, including checks during printing.	NEAC States provide paper exams and reviews blueines	8.5.2	January 2015
47		Cover for Paper/Pencil BlueLines	Use Smarter –provided cover art and scanning marks	NEAC States review cover page	8.5.2	December 2014

Attachment 1 - Work Plan

School Year 2014-2015

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
48			Document the process to help ensure accurate collating of paper-pencil test materials.	NEAC States review and approve	8.5.3	Fall 2014
49			Document the process to identify and protect the security of paper-pencil test materials.	NEAC States review and approve	8.5.4	Fall 2014
50			Document the process, where required, to pre-code answer documents with student SSID numbers, demographic information, LEA and school/testing site information.	NEAC States review and approve	8.5.5	Fall 2014
51			Document the process to ensure students who take the paper assessment do not take a computer-based assessment in the same content area unless an exception is approved by the state.	NEAC States review and approve	8.5.6	Fall 2014
52			Print paper/pencil tests in RFP or modified quantities and to RFP specifications, including scannable and human-readable codes to support document tracking		8.5.7	January 2015
53			Shrink wrap and package materials in boxes and with labels, packing lists, and return boxes to RFP specifications		8.5.7	January 2015
54			Ship to schools/districts via traceable carrier		8.5.7	February 2015
55			Receive and support helpdesk inquiries		8.5.7	Ongoing
56			Pickup all materials via traceable carrier		8.5.7	Ongoing during test window
57			Log in all returned boxes of test booklets, prioritizing materials to be scored		8.5.7	Ongoing during test window
58			Scan		8.5.7	Ongoing during test window
59			Generate Missing Material Reports and follow-up with schools/districts that did not return all of their secure materials.	SIDE reviews	8.5.7	May 2015 - June 2015
60		14 P/P Braille Forms	Receive the Smarter-provided Braille forms	SIDE reviews	8.5.7	January 2015
61			Print P/P Braille forms	SIDE approves	8.5.7	January 2015

Attachment 1- Work Plan

School Year 2014- 2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RF/P/Proposal Section	Timeframe
62		14 P/P Large Print Forms	Create P/P Large Print Form	SDE reviews	8.5.7	January 2015
63			Review and finalize base P/P Large Print forms	SDE reviews and approves	8.5.7	January 2015
64	System Security				8.6	
65		Secure Browser	Provide state-branded secure browser for desktops and AIR branded secure browsers for mobile devices and Chromebooks, consistent with Proposal. Provide evidence browser meets Smarter specifications.	NEAC States review	8.6.1	Fall 2014
66		Chart of NEAC States States' User Roles/access to specific systems functions		NEAC States provide user roles specific to the state, consistent with Smarter Balanced recommendations	8.6.1	Fall 2014
67			Finalize and configure user roles applicable to TIDE, TDS & ORS		8.6.1	Fall 2014
68			Follow security plan presented in proposal; update as necessary in consultation with the NEAC States	NEAC States review and comment	8.6.1	Ongoing
69			Monitor security of test content and student data; report any breaches in accordance with the contract requirements identified in the proposal		8.6.1	Ongoing
70			Ensure the security, integrity, and accuracy of materials shipped, transported, and received while maintaining chain of custody. Report inconsistencies	SDE addresses issues	8.6.2	Ongoing
71		Data Forensics	Configure systems to collect data and provide analysis as described in proposal.		8.6.3	December 2014
72			Produce forensics reports.	SDE reviews and takes action	8.6.3	These reports will be ongoing during the scoring window.
73			Provide cost estimate (if any) and provide data/analyses	SDE requests additional forensic data or analyses	8.6.3	

Attachment 1 - Work Plan

School Year 2014-2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
74	Administration				8.7	
75		Administration Windows	Determining administration windows	SDE determines ELA and Math test windows following Smarter Balanced test window specifications	8.7.1	March 17, 2015 - June 12, 2015
76		TDS Specifications	Determine the specifications for the interim test delivery system		8.7.1	Fall 2014
77		TDS UAT Deployment of Interim Tests	Develop and deploy interim test delivery system	Conduct UAT	8.7.1	Winter 2014, after release by Smarter Balanced Fall 2014
78		TDS Specifications	Determine the specifications for the operational test delivery system		8.7.1	Fall 2014
79		TDS UAT Deployment of Operational Tests	Develop and deploy test delivery system	Conduct UAT	8.7.1	Early 2015
80		ORS UAT Deployment of ORS	Develop and deploy online reporting system		8.7.1	Early 2015
81		Training Information Dissemination Schedule	Develop and publish guidelines on how and when and what materials, including student-level directions for administration, should be made available prior to the administration window.	SDE reviews and posts	8.7.2	Fall 2014 - Winter 2015
82		Technical Specifications Manual	Develop and publish a protocol for preparing the testing environment, to be included as a part of the procedure manuals and training.	SDE reviews and posts	8.7.3	Fall 2014 - Winter 2015
83		TIDE UAT Deployment of TIDE	Develop and maintain a secure database of District Test Coordinator contact information.		8.7.4	January 2015
84	Scoring				8.8	
85		Hand-scoring specifications	Prepare hand-scoring specifications that meets Smarter requirements, covering training, agreement rates, condition codes, process for handling alerts, QA (including information on how to handle 15% double reads, 5% validity), scoring process reporting, and security	NEAC States review	8.8.1	Fall 2014

Attachment 1 - Work Plan

School Year 2014-2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
86			Receive all scoring materials from Smarter Balanced, including training, qualifying, and validity papers		8.8.1	Nov2014 - Jan2015
87			Measurement Inc. (MI) will recruit, qualify, and assign scorers		8.8.1	March 2015 - June 2015
88			Scorers assign primary and 15% secondary scores, with 5% validity papers	NEAC States may participate and provide feedback during the scoring window	8.8.1	March 2015 - June 2015
89		SFTP Alert Site	Create a secure FTP site to post student test papers with alerts.	NEAC States confirm access	8.8.1	February 2015
90		Alert Tool - Common Across MAAC	Configure Alert Tool to scan text responses for each student record for the presence of NEAC States approved target words and phrases and route to hand-scoring	NEAC States provide target words and phrases	8.8.1	March 2015
91			Identify alerts as they occur during hand-scoring	SDE reviews and takes action	8.8.1	Ongoing during test window
92			Monitor inter-rater reliability and provide reports	NEAC States review statistics	8.8.1	March 2015 - June 2015
93			Resolve non-adjacent primary and secondary scores		8.8.1	March 2015 - June 2015
94		Score of machine-scored items	Configure for machine-scoring of items with explicit rubrics		8.8.2	Dec2014 - Feb2015
95		Prepare for use of technology scoring of full-writes items in Year 2 per proposal	Demonstrate machine-scoring for full-writes items by producing a report containing multiple measures of human/AI agreement. These will include: percent perfect agreement, percent adjacent, percent perfect-adjacent, and quadratic weighted kappa.	NEAC States review	8.8.2	Summer 2015
96			Configure systems for year 2 scoring using machine and human scoring		8.8.2	Summer 2015

Attachment 1- Work Plan

School Year 2014- 2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
97	Operational Psychometrics	AIR Project Management/Planning Documents: -Analysis Specifications (Smarter-provided) -QC Specifications -Scoring Engine Specifications -Test Specifications (Smarter-Provided)	Confirm correct Import Smarter Balanced bank item parameters, both within grade and vertically linked parameter estimates, along with all other attributes of the Smarter Balanced items.		8.8	December 2014
98			Use simulated test administrations to test and verify the performance of all scoring and reporting systems		8.8	February 2015
99			Monitor the performance of testing through a series of quality assurance (QA) reports on item statistics, blueprint match rates, and item exposure rates		8.8	Ongoing throughout testing window
100			Apply Smarter rules to obtain Smarter scores	SDE reviews	8.8	Ongoing throughout testing window
101			Use software requested by state to calibrate test items for Smarter Balanced	SDE specifies software in consultation with Smarter	8.8	TBD
102			Review outcomes or QA reports with State	Review issues	8.8	Ongoing throughout testing window
103		Technical Reports TOC and Smarter Sections	Incorporate technical document and reports from Smarter Balanced		8.8	September 2015 and November 2015
104			Provide reports and analyses in the proposal that provide evidence of the reliability of the Smarter Balanced assessments within each state's assessment context, such as aspects of reliability, including interrater agreement for hand-scored item responses, are specific to each implementation of the Smarter Balanced assessments		8.8	September 2015 - November 2015
105			Produce reports and analysis in the proposal to provide evidence of validity of content validity/alignment, comparability across accommodations, and predictive validity for interim assessments.		8.8	September 2015 - November 2015

Attachment 1- Work Plan

School Year 2014-2015						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
106			Incorporate Smarter-provided Sections of Technical Report, with state-specific results if necessary	SDE reviews	8.8	September 2015 - November 2015
107			Revise if necessary	SDE reviews and approves	8.8	September 2015 - November 2015
108			Produce an electronic version (PDF)		8.8	December 1st 2015
109	Accommodations				8.9	
110			Configure Student Registration and Test Delivery Systems to Smarter Specifications to receive upload for all Smarter Balanced embedded and non-embedded universal tools, designated supports, and accommodations, with State-selected options	SDE reviews	8.9.1	Fall 2014
111			Enable accommodations		8.9.1	Fall 2014
112	Item Development				8.10	
113		No scope in base contract; specific assignments and costs to be identified	Draft scope (time and money) implications	Identify requirements	8.10	As needed
114	Reporting				8.11	
115		Student results in ORS	Configure ORS to include: -Downloadable student level data files in csv format -Downloadable student level data files in csv format -Interactive results analysis -Longitudinal data reporting	SDE reviews	8.11.1	Fall 2014
116		User roles	Document the description of the security measures embedded in the reporting system	NEAC States collaborate and review systems	8.11.3	Fall 2014
117			Deliver student results after testing, including Interim Assessments		8.11.3	Spring 2015
118		Student Scoring and Reporting	Produce a data file and reporting with a complete set of student level results for each State		8.11.6	June 2015
119		Appeals	Deploy Secure Item Review Viewing Environment (SIRVE)		N/A	February 2015

Attachment 1 - Work Plan

School Year 2014-2015

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
120			Configure NEAC States-common appeals module of TIDE	SDE provides input	N/A	Fall 2014 - Winter 2015
121			Authorized users submit appeals in TIDE and the SDE reviews the appeal request for further action	SDE reviews	N/A	March - 2015
122			Provides the results of approved appeal requests through the TIDE system		N/A	Ongoing during and after testing window
123	Smarter Balanced Digital Library (K-12)				Not identified	
124		Smarter Balanced Digital Library		SDE identifies proposed users for the Digital Library and identifies source of user information, if different from current sources to populate TIDE	Not identified	Fall 2014
125			Arrange with Smarter Balanced to allow users to access to Smarter-hosted Digital Library using a single sign-on. Depending on Smarter decisions, this may require state users to login separately to the Digital Library or may allow for single sign-on with AIR systems and the Digital Library.		Not identified	Fall 2014
126			Update Help Desk training and internal FAQ to support user requests for login/password access to the Digital Library. Training on functionality for the Digital Library is not specifically included, although AIR will make best efforts to provide support beyond access.		Not identified	Fall 2014

Attachment 1- Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
1	Project Management				8.1	
2		Management Meetings -3-4 full day face-to-face meeting each year -weekly project management conference calls	Support regular management meetings with the states' project management team.	NEAC States collaborate and participate	8.1.2	Ongoing
3		Management Reports -minutes from face-to-face and webex meetings -creating and maintaining project plan and project schedule -produce monthly status reports	Provide management reports on the status of the project	NEAC States collaborate and participate	8.1.2	Ongoing
4		AIIR Project Management/Planning Documents: -Project Implementation Plan -Administration Summary -Special Versions Summary -Ancillary Abstract -Packaging Specifications -Receipt Specifications -Scoring Specifications -TIDE Specifications -TDS Specifications -Online Project Portal Specifications -Online Reporting Specifications -Committee Participant Payments	Maintain a secure document management tool to share and provide version control of documents between AIIR and SDE (e.g., KnowledgeTree)	NEAC States collaborate and approve	8.1.2	Ongoing
5		Future Scope Changes (if needed)	Note preferential or other changes in SDE request and draft scope (time and money) implications	SDE executes contract modification for desired changes	8.1.2	Ongoing
6			Implement funded scope changes	SDE reviews and approves	8.1.2	Ongoing
7	Technical and Policy Issues				8.2	

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
8		Education Leadership meeting	Attend a meeting with individual state education leadership (e.g., commissioner, board of education) upon request, but not to exceed one time per state per year.	SDE requests	8.2	No more than once a year for each state
9		Smarter Balanced Collaboration Conference	Attend two Smarter Balanced collaboration conferences a year	NEAC States request	8.2	Twice a year
10	Online Assessment and Technical Support				8.3	
11			Receive and validate Smarter-provided item banks and test maps for summative and interim testing, including all Smarter-provided tagging.	NEAC States review during UAT (see tasks below)	8.3	Summer/Fall 2015
12		Technical Specifications Manual	Receive and discuss Smarter-provided Technical Specifications Manual	NEAC States review and identify additional materials needed	8.3.1	Summer 2015 (Note: Smarter may not provide the test specification manual but will provide updates that will be updated in 's technical specs manual)
13			Document any NEAC States' desired changes to: --the requirements for the use of any software (and supporting devices) should be clearly documented and explained. --the minimum and preferred technology infrastructure needed to support online testing --information about suggested computer lab configurations --assistive technology support		8.3.1-4	Fall 2015
14			Update to create NEAC States' Technical Specifications Manual	NEAC States review and approve	8.3.1	Fall 2015

Attachment 1- Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SIDE Interaction/Approvals	RFP/Proposal Section	Timeframe
15		14 Smarter Balanced practice tests	Receive updated Smarter-provided practice tests and associated ancillary documents, if applicable, including answer keys, scoring rubrics, sample responses, performance tasks, classroom activities, and guidelines (grade/level and content area combination)		8.3.5	TBD
16			Practice Test UAT, if applicable	NEAC States review and approve	8.3.5	prior to deployment date
17			Deploy updated practice tests, if applicable. Practice tests will be available throughout the entire school year.		8.3.5	TBD
18		6 Smarter Balanced training tests	Receive updated Smarter-provided Grade band training tests (grade band and content area combination), if applicable		8.3.5	TBD
19			Training Test UAT, if applicable	NEAC States review and approve	8.3.5	prior to deployment date
20			Deploy updated training tests, if applicable		8.3.5	TBD
21		TIDE user guide and specifications	Document procedures for uploading student demographic data in the online assessment system, including any necessary accessibility tools and supports, should be provided, as well as instructions and procedures for modification of enrollment data, where permitted by the client.	NEAC States collaborate, review, and approve procedures	8.3.6	Fall 2015
22		Test Administration Manual	Document procedures for maintaining the security of the online testing environment should be documented.	NEAC States collaborate, review, and approve procedures	8.3.7	November 2015
23			Create training protocols to be provided at the local level on the test administration procedures.	NEAC States collaborate, review, and approve procedures	8.3.8	November 2015
24		Regional Trainings	Deliver up to 4 one-half day regional trainings per state on system use and test administration procedures (to be supplemented by an online webinar and other online training materials (e.g., slide deck from webinar, FAQ document)).	NEAC States develop calendar	8.3.9	January 2016

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
25		TA Training/Certification course	Produce NEAC States-common versions for approval. By state, course can be configured to require completion before being allowed to administer assessments or to include acceptance of state-required Confidentiality agreement.	NEAC States review and approve	8.3.9	January 2016
26		Smarter Balanced TAM Smarter Balanced TCM	For TAM and TCM, produce with state-specific covers, TOCs, and placeholders for state-specific modules Each state makes State Specific updates to TAM and TCM.	SDE reviews and approves	8.3.9	November 2015
27		Individual State portal	Insert Cover Art and Cover	SDE reviews and approves	8.3.9	ongoing
28		Shared informational brochures >FAQ for District/Complex Administrators >FAQ for Technology Coordinators >FAQ for Test Administrators >FAQ on Online Reporting System >FAQ for Online Testing System (ORS) >FAQ for TIDE >FAQ for Online Reporting System	For brochures, produce with state-specific artwork/titles within specified locations (See below for any task to create/modify brochures for state-specific tests)	SDE reviews and approves	8.3.9	Fall 2015
29		Webinars: >Webinar for District/Complex Administrators >Webinar for Technology Coordinators >Webinar for Test Administrators >Webinar on Online Reporting System (ORS) Webinars include information on the following: > Online Testing System > TIDE > Online Reporting System (ORS)	Deliver Webinar live once in each state, and record for future use in that State. When Webinars occur is determined by individual state.	SDE reviews and approves	8.3.9	December 2015

Attachment 1- Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
30		Smarter Training Modules: >What is a CAT >Performance Task >Accessibility and Accommodations >Universal Tools >Tech Readiness >TA Interface >TIDE >Test Administration Training	Smarter Training Modules will be posted on each State Portal. Each state incorporates State Specific information into the Training Modules (if required)	NEAC States review and approve	8.3.9	Fall 2015
31		Tier 1 and 2 Helpdesk	Technical support should be available via telephone and/or electronically with tools such as help desk and/or e-mail.		8.3.10	ongoing
32		Help Desk will be available 1 month prior to the practice test opening and remain open until the close of the contract. The helpdesk will be opened from Monday through Friday from 7:00 am to 4:00 pm EST, outside of the testing windows, and between 7:00 am and 7:00 pm EST during the testing window.	AIR provides and trains Help Desk staff		8.3.10	Help Desk staff training provided prior to the opening of the helpdesk as well as the test administration window.
33			Provide a minimum of two points of contact from State specific project team, including State -identified project manager, who will be available to answer and respond to assessment related questions.	SDE provides project team contact	8.3.10	ongoing
34			Receive, solve, escalate, and log all inquiries, and update FAQs	Address inquiries requiring SDE response	8.3.10	Ongoing.
35			Identify metrics for monitoring and documenting systems performance and report	SDE reviews	8.3.11	
36			Provide documentation regarding the capacity of the system to support the current and potential future range of Smarter Balanced item types		8.3.12	
37	Embedded Field Testing				8.4	

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
38		AIR Project Management/Planning Documents: -Field Test Process Summary (Smarter Balanced provided)	Receive and validate Smarter-provided items for embedded field testing. Implement operational field-testing in accordance with a plan approved by the Smarter Balanced Governing states	NEAC States review summary of number and types of items	8.4.1	November 2015 (contingent on receiving design from Smarter)
39			Configure test delivery system to deliver EFT items to Smarter-provided specifications.	SDE participates in UAT (see tasks below)	8.4.2	December 2015
40			(All data will be returned to states. AIR's delivery to States will include student responses to EFT items necessary for rubric validation, range finding, scoring, data review, equating, etc. covered elsewhere. AIR will work with NEAC States and Smarter Balanced to ensure data can be delivered according to Smarter Balanced specifications.)		8.4.2	June 2016
41	Paper/Pencil				8.5	
42		AIR will provide paper/pencil tests in the event of a catastrophic event, defined as a school experiencing an event that requires moving out of the building into a building that does not allow for access to the online testing system.	Document methods and quality assurance guidelines for scanning paper-pencil test forms	NEAC States review	8.5.8	Fall 2015
43			Document methods and quality assurance guidelines for scoring paper-pencil tests	NEAC States review	8.5.9	Fall 2015
44			Develop a process to help ensure production of necessary quantities of manufactured paper-pencil test materials based upon enrollment data and coverage requirements provided by the states.	NEAC States collaborate	8.5.1	Fall 2015
45			Configure TIDE to accept P/P ordering and approval		8.5.1	Fall 2015

Attachment 1- Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
46		Paper/Pencil BlueLines	Receive Scannable blueLine-ready, single fixed form for each content area of grades 3-8 and high school from Smarter Balanced. BlueLine documents will be PDF documents and ready for printing. Set up a process to help ensure that all test paper-pencil test materials meet specifications provided by the states prior to final production, including checks during printing.	NEAC States provide paper exams and reviews blueLines	8.5.2	need to see if Smarter is providing paper/pencil forms for Year 2
47		Cover for Paper/Pencil BlueLines	Use Smarter –provided cover art and scanning marks	NEAC States review cover page	8.5.2	Sep12014 - Dec2014
48			Document the process to help ensure accurate collating of paper-pencil test materials.	NEAC States review and approve.	8.5.3	Fall 2015
49			Document the process to identify and protect the security of paper-pencil test materials.	NEAC States review and approve.	8.5.4	Fall 2015
50			Document the process, where required, to pre-code answer documents with student SSID numbers, demographic information, LEA and school/testing site information.	NEAC States review and approve	8.5.5	Fall 2015
51			Document the process to ensure students who take the paper assessment do not take a computer-based assessment in the same content area unless an exception is approved by the state.	NEAC States review and approve	8.5.6	Fall 2015
52			Print paper/pencil tests in RFP or modified quantities and to RFP specifications, including scannable and human-readable codes to support document tracking		8.5.7	January 2016
53			Shrink wrap and package materials in boxes and with labels, packing lists, and return boxes to RFP specifications		8.5.7	January 2016
54			Ship to schools/districts via traceable carrier		8.5.7	March 2016
55			Receive and support helpdesk inquiries		8.5.7	Ongoing
56			Pickup all materials via traceable carrier		8.5.7	Ongoing during test window
57			Log in all returned boxes of test booklets, prioritizing materials to be scored		8.5.7	Ongoing during test window

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
58			Scan		8.5.7	Ongoing during test window
59			Generate Missing Material Reports and follow-up with schools/districts that did not return all of their secure materials.	SDE reviews	8.5.7	May 2016 - June 2016
60		14 P/P Braille Forms	Receive the Smarter-provided Braille forms	SDE reviews	8.5.7	January 2016
61			Print Paper P/P Braille forms	SDE approves	8.5.7	January 2016
62		14 P/P Large Print Forms	Create P/P Large Print Form	SDE reviews	8.5.7	Fall 2015
63			Review and finalize base P/P Large Print forms	SDE reviews and approves	8.5.7	Fall 2015
64	System Security				8.6	
65		Secure Browser	Provide state-branded secure browser for desktops and AIR branded secure browsers for mobile devices and Chromebooks, consistent with Proposal. Provide evidence browser meets Smarter specifications.	NEAC States review	8.6.1	Fall 2015
66		Chart of NEAC States User Roles/access to specific systems functions		NEAC States provide user roles specific to the state, consistent with Smarter Balanced recommendations	8.6.1	Fall 2015
67			Finalize and configure user roles applicable to TIDE, TDS & ORS		8.6.1	Fall 2015
68			Follow security plan presented in proposal; update as necessary in consultation with NEAC States	NEAC States review and comment	8.6.1	Ongoing
69			Monitor security of test content and student data; report any breaches in accordance with the contract requirements identified in the proposal		8.6.1	Ongoing
70			Ensure the security, integrity, and accuracy of materials shipped, transported, and received while maintaining chain of custody. Report inconsistencies	SDE addresses issues	8.6.2	Ongoing
71		Data Forensics	Configure systems to collect data and provide analysis as described in proposal.		8.6.3	Fall 2015

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
72			Produce forensics reports.	SDE reviews and takes action	8.6.3	These reports will be ongoing during the scoring window.
73			Provide cost estimate (if any) and provide data/analyses	SDE requests additional forensic data or analyses	8.6.3	
74	Administration				8.7	
75		Administration Windows	Determining administration windows	SDE determines ELA and Math test windows following Smarter Balanced test window specifications	8.7.1	March 2016 - June 2016
76		TDS Specifications	Determine the specifications for the interim test delivery system		8.7.1	Fall 2015
77		TDS UAT Deployment of Interim Tests	Develop and deploy interim test delivery system	Conduct UAT	8.7.1	Fall 2015
78		TDS Specifications	Determine the specifications for the operational test delivery system		8.7.1	Fall 2015
79		TDS UAT Deployment of Operational Tests	Develop and deploy test delivery system	Conduct UAT	8.7.1	Fall 2015
80		ORS UAT Deployment of ORS	Develop and deploy online reporting system		8.7.1	Fall 2015
81		Training Information Dissemination Schedule	Develop and publish guidelines on how and when and what materials, including student-level directions for administration, should be made available prior to the administration window.	SDE reviews and posts	8.7.2	Fall 2015
82		Technical Specifications Manual	Develop and publish a protocol for preparing the testing environment, to be included as a part of the procedure manuals and training.	SDE reviews and posts	8.7.3	Fall 2015
83		TIDE UAT Deployment of TIDE	Develop and maintain a secure database of District Test Coordinator contact information.		8.7.4	Fall 2015
84	Scoring				8.8	

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
85		Handscoring specifications	Prepare handscoring specifications that meets Smarter requirements, covering training, agreement rates, condition codes, process for handling alerts, QA (including information on how to handle 15% double reads, 5% validity), scoring process reporting, and security	NEAC States review	8.8.1	Fall 2015
86			Receive all scoring materials from Smarter, including training, qualifying, and validity papers		8.8.1	Fall 2015
87			Measurement Inc. (MI) will recruit, qualify, and assign scorers		8.8.1	Fall 2015
88			Scorers assign primary and 15% secondary scores, with 5% validity papers	NEAC States may participate and provide feedback during the scoring window	8.8.1	March 2016 - June 2016
89		SFTP Alert Site	Create a secure FTP site to post student test papers with alerts.	NEAC States confirm access	8.8.1	already created
90		Alert Tool - Common Across MAAC	Configure Alert Tool to scan text responses for each student record for the presence of NEAC States approved target words and phrases and route to hand-scoring	NEAC States provide target words and phrases	8.8.1	March 2016
91			Identify alerts as they occur during hand-scoring	SDE reviews and takes action	8.8.1	Ongoing during test window
92			Monitor inter-rater reliability and provide reports	NEAC States review statistics	8.8.1	Ongoing during test window
93			Resolve non-adjacent primary and secondary scores		8.8.1	Ongoing during test window
94		Score of machine-scored items	Configure for machine-scoring of items with explicit rubrics		8.8.2	December 2015 - February 2016
95		Prepare for use of technology scoring of full-writes items in Year 3 per proposal	Demonstrate machine-scoring for full-writes items by producing a report containing multiple measures of human/AI agreement. These will include: percent perfect agreement, percent adjacent, percent perfect+adjacent, and quadratic weighted kappa.	NEAC States review	8.8.2	Summer 2016

Attachment 1 - Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	TimeFrame
96			Configure systems for year 3 scoring using machine and human scoring		8.8.2	Summer 2016
97	Operational Psychometrics	AIIR Project Management/Planning Documents: -Analysis Specifications (Smarter-provided) -QC Specifications -Scoring Engine Specifications -Test Specifications (Smarter-Provided)	Confirm correct Import Smarter Balanced bank item parameters, both within grade and vertically linked parameter estimates, along with all other attributes of the Smarter Balanced items.		8.8	Fall 2015
98			Use simulated test administrations to test and verify the performance of all scoring and reporting systems		8.8	January 2016
99			Monitor the performance of testing through a series of quality assurance (QA) reports on item statistics, blueprint match rates, and item exposure rates		8.8	Ongoing throughout testing window
100			Apply Smarter rules to obtain Smarter scores	SDE reviews	8.8	Ongoing throughout testing window
101			Use software requested by state to calibrate test items for Smarter Balanced	SDE specifies software in consultation with Smarter	8.8	TBD
102			Review outcomes or QA reports with State	Review issues	8.8	Ongoing throughout testing window
103		Technical Reports TOC and Smarter Sections	Incorporate technical document and reports from Smarter Balanced		8.8	Fall 2016
104			Provide reports and analyses in the proposal that provide evidence of the reliability of the Smarter Balanced assessments within each state's assessment context, such as aspects of reliability, including inter-rater agreement for hand-scored item responses, are specific to each implementation of the Smarter Balanced assessments		8.8	Fall 2016

Attachment 1- Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
105			Produce reports and analysis in the proposal to provide evidence of validity of content validity/alignment, comparability across accommodations, and predictive validity for interim assessments.		8.8	Fall 2016
106			Incorporate Smarter-provided Sections of Technical Report, with state-specific results if necessary	SDE reviews	8.8	Fall 2016
107			Revise if necessary	SDE reviews and approves	8.8	Fall 2016
108			Produce an electronic version (PDF)		8.8	December 2016
109	Accommodations				8.9	
110			Configure Student Registration and Test Delivery Systems to Smarter Specifications to receive upload for all Smarter Balanced embedded and non-embedded universal tools, designated supports, and accommodations, with State-selected options	SDE reviews	8.9.1	Fall 2015
111			Enable accommodations		8.9.1	Fall 2015
112	Item Development				8.10	
113		No scope in base contract; specific assignments and costs to be identified	Draft scope (time and money) implications	Identify requirements	8.10	As needed
114	Reporting				8.11	
115		Student results in ORS	Configure ORS to include: -Downloadable student level data files in csv format -Downloadable student level data files in csv format -Interactive results analysis -Longitudinal data reporting	SDE reviews	8.11.1	Fall 2015
116		User roles	Document the description of the security measures embedded in the reporting system	NEAC States collaborate and review systems	8.11.3	Fall 2015
117			Deliver student results after testing, including Interim Assessments		8.11.3	Spring 2016

Attachment 1- Work Plan

School Year 2015-2016						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
118		Student Scoring and Reporting	Produce a data file and reporting with a complete set of student level results for each State		8.11.6	June 2016
119		Appeals	Deploy Secure Item Review Viewing Environment (SIRVE)		N/A	February 2016
120			Configure NEAC States-common appeals module of TIDE	SDE provides input	N/A	Fall 2015
121			Authorized users submit appeals in TIDE and the SDE reviews the appeal request for further action	SDE reviews	N/A	During Testing Window
122			Provides the results of approved appeal requests through the TIDE system		N/A	Ongoing during and after testing window
123	Smarter Balanced Digital Library (K-12)				Not identified	
124		Smarter Balanced Digital Library		SDE identifies proposed users for the Digital Library and identifies source of user information, if different from current sources to populate TIDE	Not identified	Fall 2015
125			Arrange with Smarter Balanced to allow users to access to Smarter-hosted Digital Library using a single sign-on. Depending on Smarter decisions, this may require state users to login separately to the Digital Library or may allow for single sign-on with AIR systems and the Digital Library.		Not identified	Fall 2015
126			Update Help Desk training and internal FAQ to support user requests for login/password access to the Digital Library. Training on functionality for the Digital Library is not specifically included, although AIR will make best efforts to provide support beyond access.		Not identified	Fall 2015

Attachment 1 - Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
1	Project Management				8.1	
2		Management Meetings -3-4 full day face-to-face meeting each year -weekly project management conference calls	Support regular management meetings with the states' project management team.	NEAC States collaborate and participate	8.1.2	Ongoing
3		Management Reports -minutes from face-to-face and WebEx meetings -creating and maintaining project plan and project schedule -produce monthly status reports	Provide management reports on the status of the project	NEAC States collaborate and participate	8.1.2	Ongoing
4		AIR Project Management/Planning Documents: -Project Implementation Plan -Administration Summary -Special Versions Summary -Ancillary Abstract -Packaging Specifications -Receipt Specifications -Scoring Specifications -TIDE Specifications -TDS Specifications -Online Project Portal Specifications -Online Reporting Specifications -Committee Participant Payments	Maintain a secure document management tool to share and provide version control of documents between AIR and SDE (e.g., KnowledgeTree)	NEAC States collaborate and approve	8.1.2	Ongoing
5		Future Scope Changes (if needed)	Note preferential or other changes in SDE request and draft scope (time and money) implications	SDE executes contract modification for desired changes	8.1.2	Ongoing
6			Implement funded scope changes	SDE reviews and approves	8.1.2	Ongoing
7	Technical and Policy Issues				8.2	
8		Education Leadership meeting	Attend a meeting with individual state education leadership (e.g., commissioner, board of education) upon request, but not to exceed one time per state per year.	SDE requests	8.2	No more than once a year for each state

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School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
9		Smarter Balanced Collaboration Conference	Attend two Smarter Balanced collaboration conferences a year	NEAC States requests	8.2	Twice a year
10	Online Assessment and Technical Support				8.3	
11			Receive and validate Smarter-provided item banks and test maps for summative and interim testing, including all Smarter-provided tagging.	NEAC States review during UAT (see tasks below)	8.3	Summer/Fall 2016
12		Technical Specifications Manual	Receive and discuss Smarter-provided Technical Specifications Manual	NEAC States review and identify additional materials needed	8.3.1	Summer 2016 (Note: Smarter may not provide the test specification manual but will provide updates that will be updated in NEAC States technical specs manual)
13			Document any NEAC States desired changes to --the requirements for the use of any software (and supporting devices) should be clearly documented and explained. --the minimum and preferred technology infrastructure needed to support online testing --information about suggested computer lab configurations --assistive technology support		8.3.1-4	Fall 2016
14			Update to create NEAC States Technical Specifications Manual	NEAC States review and approve	8.3.1	Fall 2016
15		14 Smarter Balanced practice tests	Receive Smarter-provided updated practice tests and associated ancillary documents, if applicable, including answer keys, scoring rubrics, sample responses, performance tasks, classroom activities, and guidelines (grade/level and content area combination)		8.3.5	TBD
16			Practice Test UAT, if applicable	NEAC States review and approve	8.3.5	prior to deployment date

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School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
17			Deploy updated practice tests, if applicable. Practice tests will be available throughout the entire school year.		8.3.5	TBD
18		6 Smarter Balanced training tests	Receive Smarter-provided updated Grade band training tests (grade band and content area combination), if applicable		8.3.5	TBD
19			Training Test UAT, if applicable	NEAC States review and approve	8.3.5	prior to deployment date
20			Deploy updated training tests, if applicable		8.3.5	TBD
21		TIDE user guide and specifications	Document procedures for uploading student demographic data in the online assessment system, including any necessary accessibility tools and supports, should be provided, as well as instructions and procedures for modification of enrollment data, where permitted by the client.	NEAC States collaborate, review, and approve procedures	8.3.6	Fall 2016
22		Test Administration Manual	Document procedures for maintaining the security of the online testing environment should be documented.	NEAC States collaborate, review, and approve procedures	8.3.7	November 2016
23			Create training protocols to be provided at the local level on the test administration procedures.	NEAC States collaborate, review, and approve procedures	8.3.8	November 2016
24		Regional Trainings	Deliver up to 4 one-half day regional trainings per state on system use and test administration procedures (to be supplemented by an online webinar and other online training materials (e.g., slide deck from webinar, FAQ document)).	NEAC States develop calendar	8.3.9	January 2017
25		TA Training/Certification course	Produce NEAC States-common versions for approval. By state, course can be configured to require completion before being allowed to administer assessments or to include acceptance of state-required Confidentiality agreement.	NEAC States review and approve	8.3.9	January 2017
26		Smarter Balanced TAM Smarter Balanced TCM	For TAM and TCM, produce with state-specific covers, TOCs, and placeholders for state-specific modules Each state makes State Specific updates to TAM and TCM.	SDE reviews and approves	8.3.9	November 2016

Attachment 1- Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
27		Individual State portal	Insert Cover Art and Cover	SDE reviews and approves	8.3.9	ongoing
28		Shared informational brochures >FAQ for District/Complex Administrators >FAQ for Technology Coordinators >FAQ for Test Administrators >FAQ on Online Reporting System >FAQ for Online Testing System (ORS) >FAQ for TTIDE >FAQ for Online Reporting System	For brochures, produce with state-specific artwork/titles within specified locations (See below for any task to create/modify brochures for state-specific tests)	SDE reviews and approves	8.3.9	Fall 2016
29		Webinars: >Webinar for District/Complex Administrators >Webinar for Technology Coordinators >Webinar for Test Administrators >Webinar on Online Reporting System (ORS) Webinars include information on the following: > Online Testing System > TTIDE > Online Reporting System (ORS)	Deliver Webinar live once in each state, and record for future use in that State. When Webinars occur is determined by individual state.	SDE reviews and approves	8.3.9	December 2016
30		Smarter Training Modules: >What is a CAT >Performance Task >Accessibility and Accommodations >Universal Tools >Tech Readiness >TA Interface >TTIDE >Test Administration Training	Smarter Training Modules will be posted on each State Portal. Each state incorporates State Specific information into the Training Modules (if required)	NEAC States review and approve	8.3.9	Fall 2016

Attachment 1 - Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
31		Tier 1 and 2 Helpdesk	Technical support should be available via telephone and/or electronically with tools such as help desk and/or e-mail.		8.3.10	ongoing
32		Help Desk will be available 1 month prior to the practice test opening and remain open until the close of the contract. The helpdesk will be opened from Monday through Friday from 7:00 am to 4:00 pm EST, outside of the testing windows, and between 7:00 am and 7:00 pm EST during the testing window.	AI/R provides and trains Help Desk staff		8.3.10	Help Desk staff training provided prior to the opening of the helpdesk as well as the test administration window.
33			Provide a minimum of two points of contact from State specific project team, including State -identified project manager, who will be available to answer and respond to assessment related questions.	SDE provides project team contact	8.3.10	ongoing
34			Receive, solve, escalate, and log all inquiries, and update FAQs	Address inquiries requiring SDE response	8.3.10	Ongoing.
35			Identify metrics for monitoring and documenting systems performance and report	SDE reviews	8.3.11	
36			Provide documentation regarding the capacity of the system to support the current and potential future range of Smarter Balanced item types		8.3.12	
37	Embedded Field Testing				8.4	
38		AI/R Project Management/Planning Documents: -Field Test Process Summary (Smarter Balanced provided)	Receive and validate Smarter-provided items for embedded field testing. Implement operational field-testing in accordance with a plan approved by the Smarter Balanced Governing states	NEAC States review summary of number and types of items	8.4.1	November 2015 (contingent on receiving design from Smarter)
39			Configure test delivery system to deliver EFT items to Smarter-provided specifications.	SDE participates in UAT (see tasks below)	8.4.2	December 2016

Attachment 1- Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RF/P/Proposal Section	Timeframe
40			(All data will be returned to states. AIR's delivery to States will include student responses to EFT items necessary for rubric validation, range finding, scoring, data review, equating, etc. covered elsewhere. AIR will work with NEAC States and Smarter Balanced to ensure data can be delivered according to Smarter Balanced specifications.)		8.4.2	June 2017
41	Paper/Pencil				8.5	
42		AIR will provide paper/pencil tests in the event of a catastrophic event, defined as a school experiencing an event that requires moving out of the building into a building that does not allow for access to the online testing system.	Document methods and quality assurance guidelines for scanning paper-pencil test forms	NEAC States review	8.5.8	Fall 2016
43			Document methods and quality assurance guidelines for scoring paper-pencil tests	NEAC States review	8.5.9	Fall 2016
44			Develop a process to help ensure production of necessary quantities of manufactured paper-pencil test materials based upon enrollment data and overage requirements provided by the states.	NEAC States collaborate	8.5.1	Fall 2016
45			Configure TIDE to accept P/P ordering and approval		8.5.1	Fall 2016
46		Paper/Pencil Bluelines	Receive Scannable blue-line-ready, single fixed form for each content area of grades 3-8 and high school from Smarter Balanced Blueline documents will be PDF documents and ready for printing. Set up a process to help ensure that all test paper-pencil test materials meet specifications provided by the states prior to final production, including checks during printing.	NEAC States provide paper exams and review blueines	8.5.2	need to see if Smarter is providing paper/pencil forms for Year 3
47		Cover for Paper/Pencil Bluelines	Use Smarter –provided cover art and scanning marks	NEAC States review cover page	8.5.2	Sept2014 - Dec2014
48			Document the process to help ensure accurate collating of paper-pencil test materials.	NEAC States review and approve.	8.5.3	Fall 2016
49			Document the process to identify and protect the security of paper-pencil test materials.	NEAC States review and approve.	8.5.4	Fall 2016

Attachment 1 - Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
50			Document the process, where required, to pre-code answer documents with student SSID numbers, demographic information, LEA and school/testing site information.	NEAC States review and approve	8.5.5	Fall 2016
51			Document the process to ensure students who take the paper assessment do not take a computer-based assessment in the same content area unless an exception is approved by the state.	NEAC States review and approve	8.5.6	Fall 2016
52			Print paper/pencil tests in RFP or modified quantities and to RFP specifications, including scannable and human-readable codes to support document tracking		8.5.7	January 2017
53			Shrink wrap and package materials in boxes and with labels, packing lists, and return boxes to RFP specifications		8.5.7	January 2017
54			Ship to schools/districts via traceable carrier		8.5.7	March 2017
55			Receive and support helpdesk inquiries		8.5.7	Ongoing
56			Pickup all materials via traceable carrier		8.5.7	Ongoing during test window
57			Log in all returned boxes of test booklets, prioritizing materials to be scored		8.5.7	Ongoing during test window
58			Scan		8.5.7	Ongoing during test window
59			Generate Missing Material Reports and follow-up with schools/districts that did not return all of their secure materials.	SDE reviews	8.5.7	May 2017 - June 2017
60		14 P/P Braille Forms	Receive the Smarter-provided Braille forms	SDE reviews	8.5.7	January 2017
61			Print Paper P/P Braille forms	SDE approves	8.5.7	January 2017
62		14 P/P Large Print Forms	Create P/P Large Print Form	SDE reviews	8.5.7	Fall 2016
63			Review and finalize base P/P Large Print forms	SDE reviews and approves	8.5.7	Fall 2016
64	System Security				8.6	
65		Secure Browser	Provide state-branded secure browser for desktops and AIR branded secure browsers for mobile devices and Chromebooks, consistent with Proposal. Provide evidence browser meets Smarter specifications.	NEAC States review	8.6.1	Fall 2016

Attachment 1 - Work Plan

School Year 2016-2017

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
66		Chart of NEAC States User Roles/access to specific systems functions		NEAC States provide user roles specific to the state, consistent with Smarter Balanced recommendations	8.6.1	Fall 2016
67			Finalize and configure user roles applicable to TIDE, TDS & ORS		8.6.1	Fall 2016
68			Follow security plan presented in proposal; update as necessary in consultation with NEAC States	NEAC States review and comment	8.6.1	Ongoing
69			Monitor security of test content and student data; report any breaches in accordance with the contract requirements identified in the proposal		8.6.1	Ongoing
70			Ensure the security, integrity, and accuracy of materials shipped, transported, and received while maintaining chain of custody. Report inconsistencies	SDE addresses issues	8.6.2	Ongoing
71		Data Forensics	Configure systems to collect data and provide analysis as described in proposal.		8.6.3	Fall 2016
72			Produce forensics reports.	SDE reviews and takes action	8.6.3	These reports will be ongoing during the scoring window.
73			Provide cost estimate (if any) and provide data/analyses	SDE requests additional forensic data or analyses	8.6.3	
74	Administration				8.7	
75		Administration Windows	Determining administration windows	SDE determines ELA and Math test windows following Smarter Balanced test window specifications	8.7.1	March 2017 - June 2017
76		TDS Specifications	Determine the specifications for the interim test delivery system		8.7.1	Fall 2016
77		TDS UAT Deployment of Interim Tests	Develop and deploy interim test delivery system	Conduct UAT	8.7.1	Fall 2016
78		TDS Specifications	Determine the specifications for the operational test delivery system		8.7.1	Fall 2016
79		TDS UAT Deployment of Operational Tests	Develop and deploy test delivery system	Conduct UAT	8.7.1	Fall 2016

Attachment 1 - Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
80		ORS UAT Deployment of ORS	Develop and deploy online reporting system		8.7.1	Fall 2016
81		Training Information Dissemination Schedule	Develop and publish guidelines on how and when and what materials, including student-level directions for administration, should be made available prior to the administration window.	SDE reviews and posts	8.7.2	Fall 2016
82		Technical Specifications Manual	Develop and publish a protocol for preparing the testing environment, to be included as a part of the procedure manuals and training.	SDE reviews and posts	8.7.3	Fall 2016
83		TIDE UAT Deployment of TIDE	Develop and maintain a secure database of District Test Coordinator contact information.		8.7.4	Fall 2016
84	Scoring				8.8	
85		Hand-scoring specifications	Prepare hand-scoring specifications that meets Smarter requirements, covering training, agreement rates, condition codes, process for handling alerts, QA (including information on how to handle 15% double reads, 5% validity), scoring process reporting, and security	NEAC States review	8.8.1	Fall 2016
86			Receive all scoring materials from Smarter, including training, qualifying, and validity papers		8.8.1	Fall 2016
87			Measurement Inc. (MI) will recruit, qualify, and assign scorers		8.8.1	Fall 2016
88			Scorers assign primary and 15% secondary scores, with 5% validity papers	NEAC States may participate and provide feedback during the scoring window	8.8.1	March 2017 - June 2017
89		SFTP Alert Site	Create a secure FTP site to post student test papers with alerts.	NEAC States confirm access	8.8.1	already created
90		Alert Tool - Common Across MAAC	Configure Alert Tool to scan text responses for each student record for the presence of NEAC States approved target words and phrases and route to hand-scoring	NEAC States provide target words and phrases	8.8.1	March 2017
91			Identify alerts as they occur during hand-scoring	SDE reviews and takes action	8.8.1	Ongoing during test window
92			Monitor inter-rater reliability and provide reports	NEAC States review statistics	8.8.1	Ongoing during test window

Attachment 1 - Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
93			Resolve non-adjacent primary and secondary scores		8.8.1	Ongoing during test window
94		Score of machine-scored items	Configure for machine-scoring of items with explicit rubrics		8.8.2	December 2016 - February 2017
95		Prepare for use of technology scoring of full-writes items in Year 3 per proposal	Demonstrate machine-scoring for full-writes items by producing a report containing multiple measures of human/AI agreement. These will include: percent perfect agreement, percent adjacent, percent perfect+adjacent, and quadratic weighted kappa.	NEAC States review	8.8.2	Summer 2016
96			Configure systems for year 3 scoring using machine and human scoring		8.8.2	Summer 2016
97	Operational Psychometrics	AIR Project Management/Planning Documents: -Analysis Specifications (Smarter-provided) -QC Specifications -Scoring Engine Specifications -Test Specifications (Smarter-Provided)	Confirm correct Import Smarter Balanced bank item parameters, both within grade and vertically linked parameter estimates, along with all other attributes of the Smarter Balanced items.		8.8	Fall 2016
98			Use simulated test administrations to test and verify the performance of all scoring and reporting systems		8.8	January 2017
99			Monitor the performance of testing through a series of quality assurance (QA) reports on item statistics, blueprint match rates, and item exposure rates		8.8	Ongoing throughout testing window
100			Apply Smarter rules to obtain Smarter scores	SDE reviews	8.8	Ongoing throughout testing window
101			Use software requested by state to calibrate test items for Smarter Balanced	SDE specifies software in consultation with Smarter	8.8	TBD
102			Review outcomes or QA reports with State	Review issues	8.8	Ongoing throughout testing window
103		Technical Reports TOC and Smarter Sections	Incorporate technical document and reports from Smarter Balanced		8.8	Fall 2017

Attachment 1- Work Plan

School Year 2016-2017

Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
104			Provide reports and analyses in the proposal that provide evidence of the reliability of the Smarter Balanced assessments within each state's assessment context, such as aspects of reliability, including inter-rater agreement for hand-scored item responses, are specific to each implementation of the Smarter Balanced assessments		8.8	Fall 2017
105			Produce reports and analysis in the proposal to provide evidence of validity of content validity/alignment, comparability across accommodations, and predictive validity for interim assessments.		8.8	Fall 2017
106			Incorporate Smarter-provided Sections of Technical Report, with state-specific results if necessary	SDE reviews	8.8	Fall 2017
107			Revise if necessary	SDE reviews and approves	8.8	Fall 2017
108			Produce an electronic version (PDF)		8.8	December 2017
109	Accommodations				8.9	
110			Configure Student Registration and Test Delivery Systems to Smarter Specifications to receive upload for all Smarter Balanced embedded and non-embedded universal tools, designated supports, and accommodations, with State-selected options	SDE reviews	8.9.1	Fall 2016
111			Enable accommodations		8.9.1	Fall 2016
112	Item Development				8.10	
113		No scope in base contract; specific assignments and costs to be identified	Draft scope (time and money) implications	Identify requirements	8.10	As needed
114	Reporting				8.11	
115		Student results in ORS	Configure ORS to include: -Downloadable student level data files in csv format -Downloadable student level data files in csv format -Interactive results analysis -Longitudinal data reporting	SDE reviews	8.11.1	Fall 2016

Attachment 1 - Work Plan

School Year 2016-2017						
Line	Tasks	CONTRACTOR Products	Scope and Assumptions	SDE Interaction/Approvals	RFP/Proposal Section	Timeframe
116		User roles	Document the description of the security measures embedded in the reporting system	NEAC States collaborate and review systems	8.11.3	Fall 2016
117			Deliver student results after testing, including Interim Assessments		8.11.3	Spring 2017
118		Student Data File	Produce a data file and reporting with a complete set of student level results for each State		8.11.6	June 2017
119		Appeals	Deploy Secure Item Review Viewing Environment (SIRVE)		N/A	February 2017
120			Configure NEAC States-common appeals module of TIDE	SDE provides input	N/A	Fall 2016
121			Authorized users submit appeals in TIDE and the SDE reviews the appeal request for further action	SDE reviews	N/A	During Testing Window
122			Provides the results of approved appeal requests through the TIDE system		N/A	Ongoing during and after testing window
123	Smarter Balanced Digital Library (K-12)				Not identified	
124		Smarter Balanced Digital Library		SDE identifies proposed users for the Digital Library and identifies source of user information, if different from current sources to populate TIDE	Not identified	Fall 2016
125			Arrange with Smarter Balanced to allow users to access to Smarter-hosted Digital Library using a single sign-on. Depending on Smarter decisions, this may require state users to login separately to the Digital Library or may allow for single sign-on with AIR systems and the Digital Library.		Not identified	Fall 2016
126			Update Help Desk training and internal FAQ to support user requests for login/password access to the Digital Library. Training on functionality for the Digital Library is not specifically included, although AIR will make best efforts to provide support beyond access.		Not identified	Fall 2016

ATTACHMENT 2 - PROJECT IMPLEMENTATION & PLANNING



Planning Documents

Team	Document	Description	Owner
Management	Project implementation plan	Summarizes the overall project, including all deliverables, goals, milestones, grades, subjects tested, and modes of testing	Project Director
Management	Administration summary	Lists characteristics of the administration, such as grades and subjects available for testing, the number of opportunities offered for each, the number of field-test items to be included, and the start and end of the administration period	Project Director
Psychometrics and Statistics	Field-test plan. These are common across Smarter Balanced states	Describes the sampling methods used to field test items, the statistics used to analyze them, the ways in which risks of item exposure will be mitigated, and other aspects of the field-test plan	Lead Psychometrician
Psychometrics and Statistics	Analysis plan. These are common across Smarter Balanced states	Objectives of the analysis and the specific analysis methods for calibration and linking for operational psychometrics; special analyses such as generalizability analyses, comparability studies, etc., are described in each study's individual analysis plan	Lead Psychometrician or Study Lead
Operations	Special version summary	Summarizes the special versions to be offered, including translations, alternate language audio, Braille; details the requirements for each test	Project Director
Operations	Ancillary abstract	Summarizes ancillary documents to be developed, including administration guides, user manuals and other materials; includes special instructions or requirements	Project Director
CSSC	Testing design	Design document describing the testing strategies to be employed for a new system or the modifications to an existing system; lays the groundwork for the test plan	Software Project Manager
CSSC	Test plans	Detailed plans for load testing, individual test cases, and regression tests to be implemented	Software Project Manager



Planning Documents (Continued)

Team	Document	Description	Owner
CSSC	Software release plans	Step-by-step activities for the software development team and network engineering teams to deploy software systems for scheduled releases	Software Project Manager
CSSC	Production control forms	Steps required by AIR's Production Control Board for evaluating and approving the test plans for a configuration change in the middle of the year in production systems	Software Project Manager
Reporting	Reporting goals	Objectives of the elements to be included in the report; describes the goals and the types of actions that the report might motivate, and suggests data elements that might support those actions	Reporting Lead

Tracking Documents

Team	Document	Description	Owner
Management	Issues Log	Updated weekly; tracks issues and near-term deliverables; notes progress, problems, risks, assignments, and agreed-upon changes to scope or progress	Project Director
Management	Priority List	Lists the testing and administration documents currently being exchanged between AIR and NEAC; assigns a priority value to each document; identifies the document's review level and due dates	Project Director
Management	Risk Register	Identifies and classifies project risks, organized by function and area; summarizes proposed mitigation strategies	Project Director

tains (and shares with our clients) a priority list of deliverables that are currently in play (e.g., blackline 1 of the Test Administration Manual). The priority list identifies the document name, the responsible party, the date the document is due to be returned, and the date the document is due to be finalized. This document also assigns a priority level to help clients manage and prioritize work during busier times in the schedule. Exhibit 8.1-2 summarizes relevant tracking documents.

Specification Documents

Our team leads work with our clients to develop detailed specification documents. These documents function as the detailed requirements documents for each phase of the program. For example, our reporting team will work with the NEAC-assigned staff to develop a detailed reporting specifications document that includes lists of reports to be produced, descriptions of report recipients, packaging specifications for paper reports, calculation rules for each data element, and other details of the reporting system. This document is usu-

ATTACHMENT 2 - PROJECT IMPLEMENTATION & PLANNING

NEW ENGLAND ASSESSMENT CONSORTIUM



Specification Documents

Team	Document	Description	Owner
Psychometrics and Statistics	Quality control specifications. These are common across Smarter Balanced states	Identifies quality control-specific analyses and comparisons to be undertaken	Lead Psychometrician
Psychometrics and Statistics	Scoring specifications. These are common across Smarter Balanced states	Summarizes scores to be reported at various levels, attemptedness rules, and scoring computations that are performed by the test-scoring engine for all tests	Lead Psychometrician
Psychometrics and Statistics and Test Development	Test specifications. These are common across Smarter Balanced states	Includes test blueprints, item specifications, and style guides	Lead Psychometrician, Item Development Manager
Test Development	Field-test summary. These are common across Smarter Balanced states	Shows numbers and types of items to be field-tested each year and form construction details	Item Development Manager
Operations	Packaging specifications	Describes materials to be shipped, shipping carrier, expected packing list format, materials to be packed, and details of packaging	Packaging and Shipping Manager
Operations	Receipt specifications	Details secure and nonsecure documents to be received, expected quantity, receipt start and end dates, and special instructions	Packaging and Shipping Manager
Operations	Scoring specifications. These are common across Smarter Balanced states	Identifies human-scored constructed-response items, the dimensions and points on which items are scored, condition codes for unscored responses, backread and second-read rates, frequency of validity papers, and target reliability and validity statistics	Scoring Director
CSSC	Requirements documents	Defines the detailed requirements for the software or software modification to be implemented	Software Project Manager
CSSC	Test Information Distribution Engine (TIDE) specifications	Defines detailed requirements for materials ordering, student management, and user management, including user roles within the suite of online testing applications	Software Project Manager
CSSC	Data file generator specifications	Defines detailed requirements for student and item-score files delivered after testing	Software Project Manager



Specification Documents (Continued)

Team	Document	Description	Owner
CSSC	Online Project Portal specifications	Defines the layout, skin/theme, user cards, and content sections	Software Project Manager
CSSC	Online Reporting System specifications	Lists the reporting settings for student and aggregate reports	Software Project Manager
Reporting	Reporting specifications	Details the reports, data elements to be included, calculation rules for each data element, special rules for merging and cleaning data, and so forth	Reporting Lead
Reporting	Report mockups	Presents annotated graphic mockup of reports, providing the look and feel and identifying the critical elements of the visual appearance of the reports	Reporting Lead

ally created in collaboration with the lead psychometrician and the technical, content, and leadership staff at the NEAC project management level, or with designated representatives.

Each document has an owner and a list of stakeholders. The owner is the person responsible for keeping the document up to date and ensuring that all stakeholders sign off on any changes to the document. Stakeholders include project team members whose work depends directly or indirectly on the work described in the document. In almost every case, client staff members are stakeholders in these documents as well. Exhibit 8.1-3 summarizes relevant specification documents.

Managing the Management Documents

Given the complex nature of assessment projects, the multitude of documents alone, not including the review and approval process of iterations of these documents, can be a challenge to maintain using traditional share-drive options found in most organizations. We use a document management tool called KnowledgeTree to manage the collection of documents, and to help manage the workflow around those documents.

KnowledgeTree is an online document management system on a secure cloud computing platform. KnowledgeTree manages document workflow and file sharing, alerts document followers to changes, and maintains version control, including authors and document history. Documents are checked in and checked out for editing. Access to documents can be controlled through a user roles and permissions system.

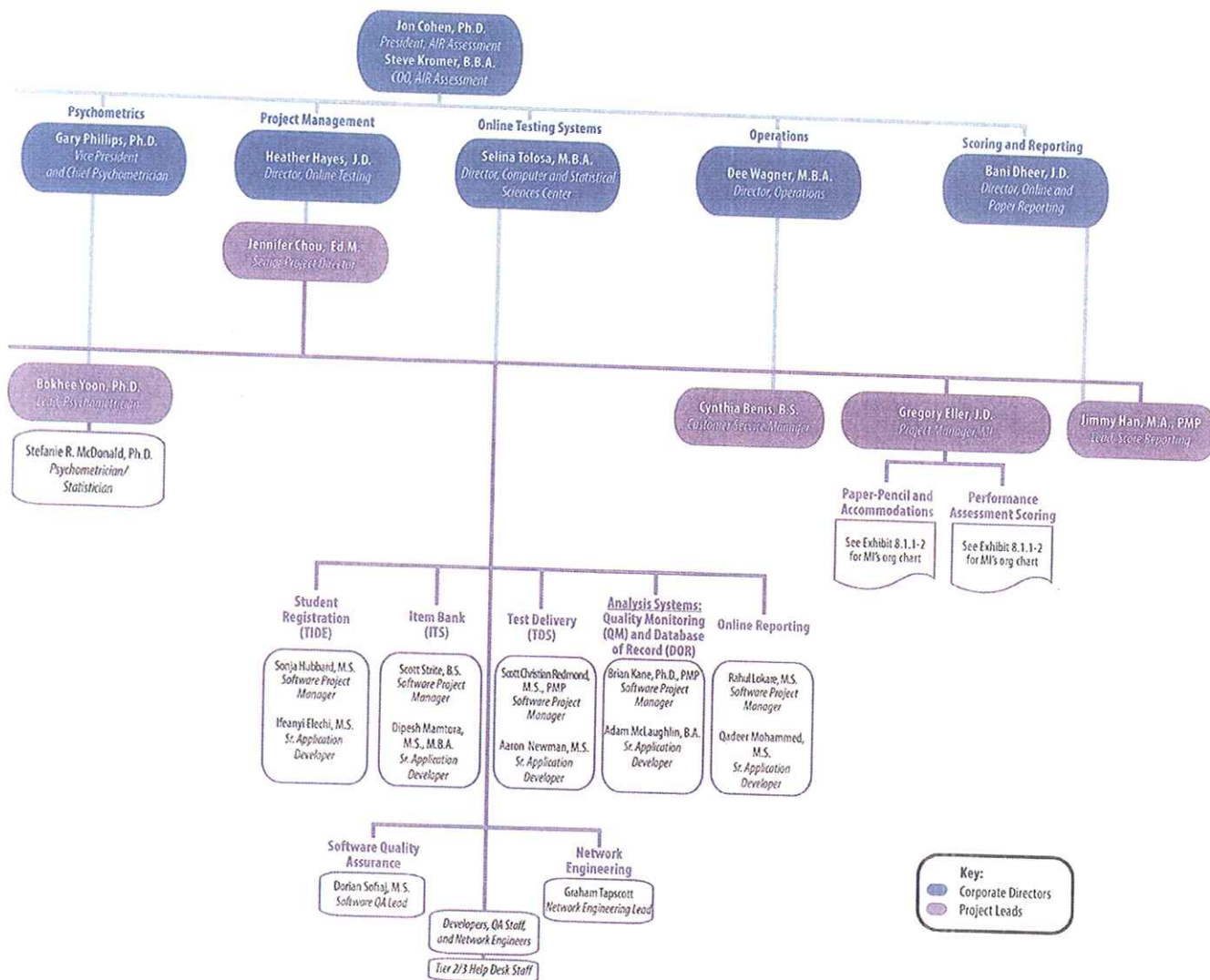
KnowledgeTree can manage the workflow needed for orderly change management. Proposed changes to specifications are routed to the technical stakeholders in the specifications. This process helps experts identify the potential unforeseen consequences or downstream impacts of proposed changes.

This project will start with a clean slate of project documents. Managing documents through KnowledgeTree from the kickoff will increase productivity, increase efficiency, reduce error and miscommunication, provide a single reference point for all documents that house key project decisions, and lead to a higher degree of collaboration across internal teams and across our organizations.

ATTACHMENT 3 - AIR ORGANIZATION CHART

AIR's Project Organization Chart

Page 1



MI's Project Organization Chart

