

Race to the Top Assessment Annual Performance Report

CFDA Number: 84.395B

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

INSTRUCTIONS FOR GRANTEES: Below, please provide the name of the consortium for which this report is prepared and the date it was submitted to the U.S. Department of Education. Complete Sections One and Two according to the guidelines provided in each of those sections along with the definitions included at the end of this form. Questions about preparing the report should be sent to your program officer. The completed report should be submitted electronically as a PDF document to your program officer by no later than August 15 of each reporting year. The final report is due on October 31, 2014. The Annual Performance Reports from both consortia will be posted on the Department's website as public documents.

NAME OF REPORTING CONSORTIUM: SMARTER Balanced Assessment Consortium (SBAC)

DATE SUBMITTED: August 15, 2011

Purpose

The Race to the Top Assessment (RTTA) Annual Performance Report (APR) will document grantees' progress toward the development of an assessment system by a consortium of states that measures student knowledge and skills against a common set of college- and career-ready standards in mathematics and English language arts. The assessment system will cover the full range of those standards, elicit complex student demonstrations or applications of their knowledge and skills as appropriate, and provide an accurate measure of student achievement across the full performance continuum over a full academic year. The system will include one or more summative assessment components in mathematics and in English language arts that are administered at least once during the academic year in each of grades 3 through 8 and at least once in high school. The assessment system will include all students, including English language learners and students with disabilities. The system will produce student achievement data and student growth data that can be used to inform determinations of school effectiveness; individual principal and teacher effectiveness for purposes of evaluation; principal and teacher professional development and support needs; and teaching, learning, and program improvement.

The APR is one component of the U.S. Department of Education's (ED's) review of the RTTA program. In addition to providing basic financial information, the APR provides information on the grantees' progress in meeting key indicators for both the RTTA absolute priority (development of an assessment system as described above) and competitive preference priority (collaboration and alignment with higher education). Additional information about the grantees' progress is gathered through monthly calls and an annual review process. These activities also help to identify areas where technical assistance may be needed. Both the APR and the Department's final report from the annual review process will be made publicly available on ED's website in order to provide all stakeholders with progress updates on the development of the new assessment systems.

SECTION ONE. Key Indicators of Progress and Impact

Complete the summary tables below for the appropriate year of the grant. Use the notes field following each table as needed to explain the data provided, including explanations for any decreases from previously submitted data. For Table 3 on page 6, please add rows as needed, and include an explanation for how LEAs were assessed on meeting the minimum requirements. See Section Three for definitions of selected terms, as originally provided in the Notice Inviting Applications (75 FR 18171).

Table 1. State Participation

The program requires that each consortium include a minimum of 15 states, of which at least 5 states must be Governing States.

Performance Measure		Application Data	July 1, 2011	July 1, 2012	July 1, 2013	July 1, 2014	FINAL 9/30/14
1.1.1 Number of states in the consortium by participation level	Governing States	17	19				
	Participating States	14	10				

Notes: Advisory State = Participating State
 Additions: CA (Governing State or GS), WY (Advisory State or AS)
 Withdrawals: GA (AS), OK (AS), NJ (AS), NM (GS)
 Change Status: NH (AS → GS), IA (AS → GS)

Table 2. Progress Indicators

The performance measures below were included in the Notice Inviting Applications for the RTTA program and are used for compliance with the Government Performance and Results Act as well as illustrating grantee progress against program goals.

Performance Measure	Application Data	July 1, 2011	July 1, 2012	July 1, 2013	July 1, 2014	FINAL 9/30/14
1.2.1 Number of states in the consortium that have formally adopted a common set of college- and career-ready standards in math and English language arts (ELA)	11 <i>{See Notes}</i>	27 <i>{See Notes}</i>				
1.2.2 Number of states that have fully implemented the summative assessment components of the assessment systems developed by the consortium	NA	NA <i>{See Notes}</i>				
1.2.3 Number of institutions of higher education (IHE) that are working with the grantee to design and develop the final high school summative assessments in math and ELA	162 IHEs/IHE systems committed to participate with the Consortium in the design and development of the final high school summative assessments in ELA and mathematics	163 IHEs/IHE systems committed to participate with the Consortium in the design and development of the final high school summative assessments in ELA and mathematics <i>{See Notes}</i>				

<p>1.2.4 Number of IHEs that have implemented policies that exempt from remedial courses and place into credit-bearing college courses students who meet the achievement standard for the final high school summative assessments in math and ELA and any other placement requirements</p>	<p>162 IHEs/IHE systems committed to implement policies that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard for each assessment and any other placement requirement established by the IHE or IHE system</p>	<p>163 IHEs/IHE systems committed to implement policies that exempt from remedial courses and place into credit-bearing college courses any student who meets the Consortium-adopted achievement standard for each assessment and any other placement requirement established by the IHE or IHE system <i>{See Notes}</i></p>				
<p>1.2.5 Percentage of direct matriculation students in public IHEs that are enrolled in IHEs that are working with grantees to design and develop the final high school summative assessments in math and ELA and/or have implemented policies that exempt from remedial courses and place into credit-bearing college courses students who meet the achievement standard for the final high school summative assessments in math and ELA</p>	<p>74%</p>	<p>58%</p>				

Notes:

1.2.1 – At the time of application, NJ, which has since withdrawn from the SMARTER Balanced Assessment Consortium (SBAC), had adopted the common standards; as of the July 1, 2011 report date, MT and WA were the remaining states within SBAC that had not formally adopted the Common Core State Standards. (WA has since adopted – July 20, 2011)

1.2.2 – At present the SMARTER Balanced Assessment Consortium (SBAC) summative assessment is still under development.

1.2.3 & 1.2.4 – Since the grant submission:

- 10 IHE/IHE systems have been added (submitted signed commitment letters)
- 9 IHE/IHE systems have been removed (due to state exit)
(2 states--VT and CA--have not submitted any IHE letters)

Table 3. Number of local education agencies (LEAs) that meet the consortium-defined minimum requirements to administer the summative assessment via computer, by state

Note: For your reference, the National Center for Education Statistics publishes the number of LEAs by state in its annual publication Numbers and Types of Public Elementary and Secondary Local Education Agencies. This data is included in Table 2 on page 7 of the most recent report, available as of 5/20/11 at http://nces.ed.gov/pubs2011/pesagencies09/tables/table_02.asp.

		<i>July 1, 2011</i>	<i>July 1, 2012</i>	<i>July 1, 2013</i>	<i>July 1, 2014</i>	<i>FINAL Sept. 30, 2014</i>
State	Total LEAs in SY 2009-10	Num. of LEAs ready to implement computer- administration of the summative assessment	Num. of LEAs ready to implement computer- administration of the summative assessment.	Num. of LEAs ready to implement computer- administration of the summative assessment	Num. of LEAs ready to implement computer- administration of the summative assessment.	Num. of LEAs ready to implement computer- administration of the summative assessment.
California	984	NA - {See Notes}				
Connecticut	187					
Hawaii	1					
Idaho	138					
Iowa	361					
Kansas	316					
Maine	246					
Michigan	791					
Missouri	556					
Montana	417					
Nevada	17					
New Hampshire	191					
North Carolina	211					
Oregon	197					

Utah	111					
Vermont	291					
Washington	295					
West Virginia	55					
Wisconsin	442					
Alabama	133					
Colorado	179					
Delaware	37					
Kentucky	174					
North Dakota	185					
Ohio	938					
Pennsylvania	634					
South Carolina	86					
South Dakota	156					
Wyoming	48					

Notes:

Report has listed each state currently a member of the SMARTER Balanced Assessment Consortium (SBAC) and the corresponding number of LEAs (Regular School Districts and Charter Agencies). Since SBAC has not defined its minimum requirements for participation in the online assessment there is no data to share for the July 1, 2011 period regarding LEAs meeting requirements to administer. SBAC is currently soliciting for vendor support to devise a readiness tool that will collect this information; expectation is for information to be available within the 2012 calendar year.

SECTION TWO. Financial Expenditures

Report the actual expenditure totals for each of the budget categories listed in Section 2A. Include federal supplemental grant funds in the totals provided for each budget category, as applicable. For Section 2B, report the total amount of non-federal and non-SEA funds (e.g., foundation funds) used to support the work of the consortium.

**Section 2A – Budget Summary
U.S. Department of Education Funds**

Budget Categories	July 1, 2011	July 1, 2012	July 1, 2013	July 1, 2014	TOTAL FOR THE GRANT (9/30/14)
1. Personnel	\$69,084				\$69,084
2. Fringe Benefits	\$15,391				\$15,391
3. Travel	\$5,932				\$5,932
4. Equipment	-				-
5. Supplies	\$3,425				\$3,425
6. Contractual	\$2,257,788				\$2,257,788
7. Construction	-				-
8. Other	-				-
9. Total Direct Costs (Lines 1-8)	\$2,351,620				\$2,351,620
10. Indirect Costs	\$17,381				\$17,381
11. Training Stipends	-				-
12. Total Costs (Lines 9- 11)	\$2,369,001				\$2,369,001

**Section 2B – Budget Summary
Non-Federal Funds**

	July 1, 2011	July 1, 2012	July 1, 2013	July 1, 2014	TOTAL FOR THE GRANT (9/30/14)
Total amount of non-federal funds used to support the work of the consortium	\$2,704				\$2,704

Notes:

Dollar values presented represent only those funds available through the federal grant and subsequent foundation awards provided directly in support of the SMARTER Balanced Assessment Consortium (SBAC). The expenditures represent only the payout WA has completed as of the reporting period end date (July 1, 2011).

Definitions

Achievement standard means the level of student achievement on summative assessments that indicates that (a) for the final high school summative assessments in mathematics or English language arts, a student is college- and career-ready (as defined below); or (b) for summative assessments in mathematics or English language arts at a grade level other than the final high school summative assessments, a student is on track to being college- and career ready. An achievement standard must be determined using empirical evidence over time.

College- and career-ready (or readiness) means, with respect to a student, that the student is prepared for success, without remediation, in credit-bearing entry-level courses in an Institution of Higher Education (as defined in section 101(a) of the Higher Education Act), as demonstrated by an assessment score that meets or exceeds the achievement standard (as defined in this notice) for the final high school summative assessment in mathematics or English language arts.

Common set of college- and career-ready standards means a set of academic content standards for grades K-12 that (a) define what a student must know and be able to do at each grade level; (b) if mastered, would ensure that the student is college- and career-ready (as defined above) by the time of high school graduation; and (c) are substantially identical across all States in a consortium. A State may supplement the common set of college- and career-ready standards with additional content standards, provided that the additional standards do not comprise more than 15 percent of the State's total standards for that content area.

Direct matriculation student means a student who entered college as a freshman within two years of graduating from high school.

Governing state means a state that (a) is a member of only one RTTA consortium, and (b) has an active role in policy decision-making for the consortium, and (c) is committed to using the assessment system or program developed by the consortium.

Participating state means a state that is a member of the consortium, but may also be a member of another consortium and does not play the full role of a Governing State as defined above.

Student achievement data means data regarding an individual student's mastery of test content standards. Student achievement data come from summative assessment components and must be reported in a way that can be reliably aggregated across multiple students at the subgroup, classroom, school, LEA, and State levels.

Student growth data means data regarding the change in student achievement data (as defined above) between two or more points in time. Student growth data from summative assessment components must be reported in a way that can be reliably aggregated across multiple students at the subgroup, classroom, school, LEA, and State levels and over a full academic year or course.