Proceedings of the 1% Cap National Convening

Supporting States in Implementing ESSA’s 1% State-level Cap on Participation of Students in the AA-AAAS

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Proceedings of the 1% Cap National Convening: Supporting States in Implementing ESSA’s 1% State-level Cap on Participation of Students in the AA-AAAS

Background

More than 200 individuals gathered in Boston on October 18 and 19, 2018 to listen to each other, share ideas, and develop state-level action plans. The purpose of the Convening was to support states as they work with local education agencies to implement the Every Student Succeeds Act (ESSA) requirement of a 1% cap on the participation of students with the most significant cognitive disabilities in the alternate assessment aligned with alternate academic achievement standards (AA-AAAS).

According to ESSA, AA-AAAS can be administered to students with the most significant cognitive disabilities, as defined by the State, if the State has adopted alternate academic achievement standards as permitted under section 1111(b)(1)(E) of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act (ESSA). Section 1111(b)(2)(D)(i)(I) of the ESEA and 200.6(c)(2) of the Title I, Part A regulations provide that for each subject for which assessments are administered under §200.2(a)(1) in reading/language arts, mathematics, and science, the total number of students assessed using an AA-AAAS under §200.6(c)(1) may not exceed 1.0 percent of the total number of students in the State who are assessed in that subject. The AA-AAAS must be aligned with the State’s challenging academic content standards under section 1111(b)(1) of the ESEA for the grade in which the student is enrolled. 34 C.F.R. §200.6(c)(1)(i). If a State anticipates that it will exceed the 1.0 percent cap, for any subject for which assessments are administered under §200.2(a)(1) in any school year, the State may request that the Secretary waive the cap for the relevant subject, pursuant to section 8401 of the ESEA for one year.

The Convening was hosted by the National Center on Educational Outcomes (NCEO) in partnership with the U.S. Department of Education’s Office of Special Education and Rehabilitative Services’ (OSERS) Office of Special Education Programs (OSEP) and Office of Elementary and Secondary Education’s (OESE) Office of State Support (OSS). NCEO was supported by its partners and by several other technical assistance centers across the nation, including the Center for Standards and Assessment Implementation.

Teams from 48 states participated in the 1½ day meeting. Their discussions and action planning was supported by 36 facilitators from NCEO and other technical assistance centers. Nine representatives from the U.S. Department of Education attended the meeting as well, making themselves available to states throughout the meeting. Appendix A includes a list of attending states, facilitators, and U.S. Department of Education staff.

A number of state representatives and external experts provided presentations on critical implementation topics. The presentations of these individuals are highlighted in these Proceedings. Short biographical statements about all speakers are provided in Appendix B.
The agenda for the Convening covered several critical implementation elements of the 1% cap requirements. State participants gathered in one large room for sharing and presentation sessions, then dispersed to separate locations to discuss topics and engage in developing an action plan for their states. The general organization of the meeting alternated between sharing and action planning. The agenda for the Convening is included in Appendix C.

To support the states’ conversations, facilitators used a State Discussion Guide (see Appendix D). They also provided the state with a State Action Planning Template (see Appendix E).

This Proceedings document was developed to provide a summary of the 1% Convening. It includes appendices and links to resources that were shared by states and others at the Convening.

**Welcome from the U.S. Department of Education**

OSERS Assistant Secretary, Johnny Collett, greeted the 1% Convening, welcoming states, and expressing thanks to all the technical assistance centers that worked together to support the 1% Convening, and acknowledging the many individuals in attendance from the U.S. Department of Education and their contributions to the 1% Convening and to the implementation of IDEA and ESSA on a daily basis. He also noted that OESE Assistance Secretary, Frank Brogan, would join the Convening on the 19th. He recognized the work of states, including their sharing of information with each other during the NCEO Community of Practice that meets every other week. He confirmed the importance of dedicated time for states to work in teams that the 1% Convening provides. He encouraged states to ask questions of U.S. Department of Education representatives and to involve them in discussions when helpful.

Collett noted the challenges that states face in raising expectations for students with disabilities. Still, he confirmed that the hard work that it takes is worth it. He acknowledged that states, districts, schools, and parents know the needs of students with disabilities better than does the U.S. Department of Education, and thus those in the room and those close to the children they serve are in the best position to imagine and implement the changes necessary to raise expectations for students with disabilities, including those with the most significant cognitive disabilities.

Collett noted OSERS’ effort to rethink special education, highlighting a framework for rethinking priorities. It communicates the way in which OSERS will support states and rethink how to best support states in their work, including providing flexibilities within the constructs of the law, all toward the end of improving outcomes for infants, toddlers, children, youth and adults with disabilities.

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1 OSERS framework for rethinking special education and rehabilitative services is available at [https://sites.ed.gov/idea/rethinking-special-education-and-rehabilitative-services-raising-expectations](https://sites.ed.gov/idea/rethinking-special-education-and-rehabilitative-services-raising-expectations)
Resources

- Session Video: Welcome and Opening

State Sharing

A representative from each attending state team was given an opportunity to share a highlight or insight into their states’ initial steps to implementing the 1% cap. Many states spoke about where their state was in relation to the 1% cap as part of their comments, remarking that they were slightly below or slightly above. States also frequently provided information on their waiver status, and whether they were planning to apply for a waiver this year. Some states spoke to their initial approach to implementation, which included but were not limited to:

- focusing efforts on relatively larger districts with higher than average participation rates
- initiating stakeholder engagement on the policy
- reviewing IEP decision-making processes and guidelines
- increased communication about existing IEP decision-making processes and guidelines
- reviewing state- and district-level data
- increasing monitoring activities, including data validation monitoring and file reviews
- increasing levels of technical assistance and/or training to districts
- creating or reviewing the state definition
- updating district justification documents
- creating informational materials aimed at improving assessment participation (e.g., district best practices documents, benefits of assessment)

States also spoke about pre-existing conditions that impact their ability to address the 1% cap, including being a state with high opt-out rates for assessments or a state with a legislatively imposed opt-out option, having a large number of small school districts, a lack of state education agency capacity, and a lack of existing infrastructure to work with or communicate directly with districts. Finally, some states spoke about the importance of presenting all of this effort through a lens of instruction and learning (rather than assessment), with a focus on helping teachers improve student outcomes.

Critical Implementation Elements of a 1% Cap

The purpose of this session was to provide background information and a state perspective on three critical implementation elements that formed the structure of the 1% Convening.

Martha Thurlow, NCEO Director, started the session by highlighting previous work that has taken place on the 1% cap. In addition to presentations by NCEO staff, Thurlow identified several resources that are available on NCEO’s website (see Resources). She also noted the 1% Cap Community of Practice (CoP) for states that meets biweekly and that is open to all state staff. Thurlow also reminded state participants of memos from OSERS and OESE to state assessment directors, state Title I directors, and state special education directors that highlighted the requirements for the cap (see Resources for May 16, 2017 memo) and additional information
about the requirements to request a waiver from the 1% cap (see Resources for August 27, 2018 memo). Following this, Thurlow outlined the three critical implementation elements in work with districts:

1. Ensuring IEP teams identify students with the most significant cognitive disabilities
2. Examining data
3. District oversight and monitoring.

Tania Sharp, Kentucky Department of Education then spoke about what Kentucky has been doing in relation to the critical elements. She noted that much of the work that Kentucky has done was prompted by its need to submit a waiver very early because of its fall testing. Sharp shared a number of resources that the state had created to help its districts in making decisions (see Resources for Kentucky Alternate Assessment Participation Guidelines Documentation Form; Guidance for Admissions and Release Committees (ARCs) on Participation Decisions for the Kentucky Alternate Assessment; Participation Guidelines Record Review Document; Parent Guide to Alternate K-Prep (also available in Spanish)). She highlighted Kentucky’s online training modules with an administrator track and an educator track (see Resources for SPDG 1% Training) and an in-development annual review module. Sharp also commented on the extent of monitoring that occurs in Kentucky, both onsite and offsite, as well as the nature of LEA justification analysis, which is to identify root causes for higher participation in the alternate assessment. A Justification Form for LEAs to use is in progress. Sharp ended by highlighting Kentucky’s priorities moving forward and its challenges thus far.

Resources

- **Session Video:** Critical Implementation Elements of a 1% Cap
- **Strategies for Meeting the 1% State-level Cap on Participation in the Alternate Assessment** (NCEO Brief #12):
  www.nceo.info/docs/OnlinePubs/NCEOBrief12OnePercentCap.pdf
- **April 2017 Webinar recording on Strategies for Meeting the 1% State-level Cap:**
  https://www.youtube.com/watch?v=EM4Psylvlqo&feature=youtu.be
- **OSERS and OSEP Memo, Requirements for the Cap on the Percentage of Students who may be Assessed with an Alternate Assessment Aligned with Alternate Academic Achievement Standards (May 16, 2017):**
  https://www2.ed.gov/admins/lead/account/saa/onepercentcapmemo51617.pdf
- **OSERS and OSEP Memo, Additional Information Regarding the Requirements to Request a Waiver from the One Percent Cap on the Percentage of Students Who May Be Assessed with an Alternate Assessment Aligned with Alternate Academic Achievement Standards (AA-AAAS) (August 27, 2018):**
  https://www2.ed.gov/admins/lead/account/saa/ossstateassessmentltr.pdf
- **Kentucky Alternate Assessment Participation Guidelines Documentation Form:**
- **Guidance for Admissions and Release Committees (ARCs) on Participation Decisions for the Kentucky Alternate Assessment** (February 2018):
States spent 75 minutes discussing their priority areas and action plans related to the critical implementation elements. After introducing themselves to each other and identifying volunteers to be recorders, state teams addressed three questions and other topics that were relevant to their specific state contexts:

- What did you hear during the State sharing that might help inform work in your State?
- What did you hear during the presentation on Critical Implementation Elements that might help inform work in your State?
- What things should your State team not lose sight of as we work on our State’s action plan?

Ensuring IEP Teams Identify Students with the Most Significant Cognitive Disabilities

The purpose of this session was to provide an overview of the characteristics of students with the most significant cognitive disabilities, the AA-AAAS participation decision-making process, and the role of standard-based individualized education programs (IEPs) in improving the instruction and assessment for this population.

Martha Thurlow, NCEO Director, described the characteristics of students who participate in the AA-AAAS. She stated that there is no federal disability category called “most significant cognitive disability,” but that most students who take the AA-AAAS are in three disability categories: intellectual disability, autism, and multiple disabilities. These students are a very heterogeneous group in their characteristics and skill levels. Thurlow also presented the results of a policy analysis (see Resources) of states’ participation guidelines and definitions of “students with the most significant cognitive disabilities.”

Randy LaRusso, grant manager for ACCESS, a Florida Department of Education discretionary grant, presented information about how to make participation decisions. She emphasized how important it is for IEP teams to carefully consider how qualifying a student for alternate achievement standards and assessment can affect that student’s future opportunities. LaRusso provided several questions that can be used to guide the decision-making process to determine how a student with disabilities will be instructed and participate in the statewide standardized...
assessments. She also highlighted several Florida resources that other states might find useful (see Resources).

Jim Shriner, Associate Professor in the Department of Special Education at the University of Illinois at Urbana-Champaign, then spoke about considerations for standards-based IEPs for students participating in the AA-AAAS. He stressed that the IEP is standards-based, but not standards-bound. In addition to addressing the general content standards, standards-based IEPs address access skills and transition skills. He highlighted how the IEP goals, accommodations, and services should be matched to Present Levels of Academic Achievement and Functional Performance (PLAAFP). PLAAFP is the baseline from which the IEP is developed. Progress and goal attainment cannot be meaningfully measured without this information. Shriner ended by emphasizing that a few standards-referenced goals that are central to the student’s educational progress are more helpful than a long list of less central goals.

Resources

- **Session Video:** Ensuring IEP Teams Identify Students with Most Significant Cognitive Disabilities

**State Debrief on Large-Group Presentation**

States spent 15 minutes after the session Identifying Students with the Most Significant Cognitive Disabilities to process and summarize the ideas that they had just heard. During this brief time between two large-group presentations, the states identified key “take-aways” from the session on identifying students with the most significant cognitive disabilities and developing standards-based IEPs for them.
Examining Data

The purpose of this session was to provide information on states’ approaches to examining assessment participation data and encouraging their Intermediate School Districts (ISDs) and local school districts to examine their own data in an effort to ensure students are being appropriately assessed. This session also included information on best practices for the examination of district alternate assessment participation rates.

John Jaquith, Michigan Department of Education: Bureau of Assessment and Accountability, began the session by providing the context and the purposes for conducting an extensive review of assessment participation rates. The primary message the state was trying to convey with its efforts was that the purpose of the process was not “about fitting into a mathematical formula” but rather to ensure students are being appropriately assessed. Jaquith then described the process by which the state provided data back to the Intermediate School Districts (ISDs), including the supporting guidance and assistance provided by the state to the ISDs and documentation provided by the ISDs back to the state. Information on what was learned from the process and how the state has used and will use that information to improve was highlighted by Jaquith, including the following top three comments provided by the state to the ISDs in reaction to their submitted justification forms:

- Do not base assessment participation on eligibility or placement alone.
- Student must have a significant cognitive impairment to take the alternate assessment.
- Any explanations should demonstrate that an analysis of the data was conducted.

Jaquith closed by going over a timeline of the numerous state-level actions taken by Michigan from 2017 to 2018.

Rebecca McIntyre, the Assistant Director of Special Education at Kent ISD, joined Jaquith to provide the perspective of the ISD during the process. McIntyre spoke to how her ISD used and implemented the guidance provided by the state and then disseminated that guidance down to the local districts, reinforcing the message that the process was focused on students being appropriately assessed. McIntyre spoke to the specific steps taken by the ISD, the challenges that were faced, and what actions the ISD is planning to take in the upcoming year. Challenges included:

- Focusing districts on ensuring students are appropriately assessed and not trying to meet a participation target.
- Adjusting local practices to include intentional, periodic communication and professional development.

Carla Evans from the Center for Assessment closed the session with a presentation of a recent publication from NCEO and the Center for Assessment, “Guidance for Examining District Alternate Assessment Participation Rates.” Evans walked through the ESSA requirements for the 1% cap, the potential consequences for a state due to incorrect analysis of data, and the issues states are likely to face due to small n-sizes of students with the most significant cognitive disabilities. After this introduction, Evans took a deeper dive into the publication, covering four guiding principles, two analytic approaches that may be used, and a four-step implementation process. Evans stressed that there is not a “one-size-fits-all” approach, yet any approach should incorporate the four guiding principles:
1. A comprehensive solution to identify districts in need of additional monitoring and support on participation rates cannot be purely empirical.
2. It is important to detect atypical or “exceptional” values.
3. There should be a method applied to deal with uncertainty.
4. The culminating decision and subsequent actions based on the evidence is: (a) a matter of degree, and (b) related to unique context and circumstances.

The session concluded with Evans reminding the audience that states should rely on an evaluation of a collection of evidence for each subject area in order to categorize districts into monitoring and support categories.

Resources

- **Session Video:** [Examining Data](#)
- **Guidance for Examining District Alternate Assessment Participation Rates:** [https://nceo.umn.edu/docs/OnlinePubs/NCEO1percentBrief.pdf](https://nceo.umn.edu/docs/OnlinePubs/NCEO1percentBrief.pdf)
- **MI-Access:** [www.Michigan.gov/mi-access](http://www.Michigan.gov/mi-access)
- **1% Cap Resources for Michigan:** [https://www.michigan.gov/mde/0,4615,7-140-22709_28463-459598--,00.html](https://www.michigan.gov/mde/0,4615,7-140-22709_28463-459598--,00.html)
- **Michigan Alternate Assessment Participation Guidance:** [https://www.michigan.gov/documents/mde/Should_My_Student_Take_the_Alternate_Assessment_556705_7.pdf](https://www.michigan.gov/documents/mde/Should_My_Student_Take_the_Alternate_Assessment_556705_7.pdf)
- **Michigan 1% Cap Guidance to ISDs:** [https://www.michigan.gov/documents/mde/1_Cap_Guidance_for_ISDs_595801_7.pdf](https://www.michigan.gov/documents/mde/1_Cap_Guidance_for_ISDs_595801_7.pdf)
- **Michigan Assessment Selection Guidance Online Training (with case studies):** [https://mdoe.state.mi.us/mdedocuments/AssessmentSelectionGuidelinesTraining/index.html](https://mdoe.state.mi.us/mdedocuments/AssessmentSelectionGuidelinesTraining/index.html)
- **Michigan IEP Team Interactive Decision-Making Tool:** [https://mdoe.state.mi.us/MDEDocuments/InteractiveDecision-MakingTool/index.html](https://mdoe.state.mi.us/MDEDocuments/InteractiveDecision-MakingTool/index.html)

**State Discussions: Identifying Students and Examining Data**

States spent 60 minutes discussing information presented during the Identifying Students and Examining Data large-group presentations. As they worked on their action plans, they addressed such questions as (see Appendix D for full list of questions to consider):

- How do State participation guidelines help or hinder LEA decision making?
- Do IEP teams have difficulty following the SEA guidance?
- What type of professional development is provided to IEP teams and other educators?

During the same session, states also considered their data analyses procedures in light of the methods described in the large-group presentation, including (see Appendix D for full list of questions to consider related to these):

- Current or former year analyses
- Multi-year analyses (both longitudinal trends and cross-sectional or cohort trends)
- Performance trends
- Methods for examining uncertainty
District Oversight and Monitoring

The purpose of this session was to provide information on two states’ approaches to conducting oversight and monitoring activities for their districts. The session presenters provided context on their states, how they approach participation data from their districts, and the state activities undertaken to help build the capacity of their educators to appropriately designate assessments to their students.

Andrew Hinkle, Ohio Department of Education - Office for Exceptional Children, started the session by providing context and background on Ohio’s Alternate Assessment for Students with Significant Cognitive Disabilities (AASCD), including participation data going back to 2006-2007. Hinkle also provided participation data by subgroup, which highlighted how black, non-hispanic students (2.58%) and economically disadvantaged students (2.34%) had the highest participation rates for the AASCD. Hinkle explained that in 2017-2018, 640 Ohio districts and community schools (charter schools) exceeded the 1% cap, including 37 traditional districts that were over 3%.

Virginia Ressa from the Ohio Department of Education went on to illustrate Ohio’s approach to addressing what the data was telling them:

- Making adjustments to the justification form submitted by districts to require that more intentional thinking was done about who was taking the AASCD;
- Implementing a three-tiered system for providing support to districts;
- Developing business rules for the state to use when assigning a support tier; and
- Adding participation data to district special education profiles.

Ressa went on to explain the differences between the three tiers of support. Tier 1 support is provided to all districts and includes web-based resources, special education profiles, and ongoing technical support. Tier 2 support (which includes all Tier 1 support) is provided to districts that are identified as needing moderate to significant support and includes professional learning communities, training, and online learning modules. Tier 3 (includes Tier 1 & 2 supports) is provided to districts that are identified as needing significant support. These districts will create goals to be included in Strategic Improvement Plans, undergo a records review and monitoring, and receive assistance with data analysis.

Monica Verra-Tirado, Bureau Chief for the Florida Department of Education, presented on Florida’s approach to identifying which students should participate in the alternate assessment. This method is centered around the differentiation and articulation of (1) academic standards (Florida standards vs. Access Points) (2) courses (general education courses vs. Access courses) and (3) assessments (Florida Standards Assessment vs. Florida Standards Alternate Assessment).

Verra-Tirado went over Florida’s process for determining participation, and state efforts to promote proper participation, including the Access Project Resources (professional development on effective planning and delivery of instruction), state communications, and supporting district reviews of course enrollment and assessment participation.
**Angela Nathaniel** from the Florida Department of Education presented 2017-2018 data on students participating in the Florida Standards Alternate Assessment. These data included breakouts by primary exceptionality for 2017-2018, a detail of primary exceptionality within the “other” category, and participation data by primary exceptionality over four years. Nathaniel explained that by looking at the data in these various ways, the state is able to not only identify potential areas for further exploration of participation data but also identify trends where students with a particular type of exceptionality are taking the Florida Standards Alternate Assessment at higher or lower rates than in years past.

**Resources**

- *Session Video: District Oversight and Monitoring*
- Ohio Department of Education Website [http://education.ohio.gov](http://education.ohio.gov)
- Florida’s Access Project: [https://accesstofls.weebly.com/](https://accesstofls.weebly.com/)

**State Discussions: District Oversight and Monitoring**

States spent 60 minutes discussing the presentation *District Oversight and Monitoring* and continuing to develop their action plans. During this question, they considered these questions:

- How does the SEA provide oversight of LEAs?
- What approaches have been used? What new approaches might be tried?

**Aligning 1% Work with Existing Initiatives**

In this session several states shared how they are aligning their 1% work with other state initiatives.

**Jamie Wong**, Special Education Director in the Louisiana Department of Education, described how that State is building meaningful educational opportunities for students with the most significant cognitive disabilities though the development of new Louisiana Connectors standards, a new alternate assessment, and an established graduation pathway. She provided an overview of the Louisiana Connectors that are designed to provide developmentally-appropriate content benchmarks toward the State content standards. Wong highlighted how the state’s alternate assessment participation criteria, its provision of oversight and technical assistance to school systems, and the strengthening of the statewide accountability systems all are important components of an aligned system. She closed by describing how the state is convening a group of experts to review current policy and national best practice to see whether any adjustments to current policies might be needed.

**Kristan Sievers-Coffer**, Senior Special Education Specialist in the Indiana Department of Education, highlighted how Indiana is aligning its work on the 1% cap with existing initiatives. Indiana has the Indiana Resource Network (see resources for details) that is comprised of projects and centers that can help support the state Department of Education. She explained how
the shift to results driven accountability (RDA) has shifted the focus to support improved learning and outcomes. Sievers-Coffers also highlighted the importance of including the 1% in state systemic change initiatives. She closed by again emphasizing the important role that projects and centers in the Indiana Resource Network play in the state.

Resources

- Session Video: Aligning 1% Work

U. S Department of Education Q&A

During the Convening, State participants had the opportunity at the end of Day 1 to prepare questions that they wanted to ask the U.S. Department of Education (ED). The questions and a summary of responses by OESE Assistant Secretary Frank Brogan and OSERS Assistant Secretary Johnny Collett are presented here.

1. In calculating the 1.0 percent cap on the number of students with the most significant cognitive disabilities who take an AA-AAAS, is the denominator the number of eligible students or the number of tested students? How many decimal points can be reported?
   a. The 1.0 percent cap is calculated based on a ratio of the total number of students assessed in a subject using an AA-AAAS (numerator) as compared with the total number of students assessed in that subject in the State (denominator).
   b. The cap is 1.0 percent, and it must be reported with only one decimal point.

2. What potential actions could ED take if a State exceeds the 1.0 percent cap on the number of students with the most significant cognitive disabilities who take an AA-AAAS in a given subject and the State does not request or receive a waiver under section 8401 of ESEA?
   a. A State’s failure to meet the 1.0 percent cap on the total number of students with the most significant cognitive disabilities who can take an AA-AAAS is treated in the same way that any other noncompliance with a Federal requirement is treated.
   b. There is a range of enforcement options that the Department may take, including requiring corrective action to address any noncompliance resulting in the failure to meet the 1.0 percent cap, imposing a specific condition on a grant, or designating the State a high-risk grantee and, if the noncompliance persists, the possibility of withholding funds, in whole or in part, subject to notice and an opportunity for a hearing.
   c. As a first step, a State that exceeds the 1.0 percent cap in a given subject would need to examine its guidelines required under section 612(a)(16)(C) of the Individuals with Disabilities Education Act (IDEA) and 34 C.F.R. §300.160(c)of the IDEA Part B regulations (Part B) for participation of students with the most significant cognitive disabilities in an AA-AAAS and how those guidelines are being implemented across the State.
   d. But, of course, the Department hopes none of these actions is necessary, and that each State is able to satisfy the conditions for a waiver under section 8401 of ESEA or address any potential noncompliance to make a waiver request unnecessary. We encourage you to reach out to us for technical assistance.
3. Is a State required to publicly post its 1.0 percent cap waiver request or extension request?
   — Yes. All waiver and extension requests under section 8401 of ESEA require that a State accept public comment on the request. Requirements for a waiver request of the 1.0 percent cap under section 8401 of ESEA are described in detail in the regulations in 34 C.F.R. §200.6(c). Note that, in preparing a waiver renewal request, a State must continue to meet each requirement associated with a first-year waiver. Additionally, a State requesting an extension of the waiver for one additional year must demonstrate substantial progress toward achieving each component of the prior year’s plan and timeline. Additional detail is provided in two memos OSEP and OESE jointly issued: Memo to States with Additional Information Regarding the Cap on the Percentage of Students Who May Be Assessed with an Alternate Assessment (August 27, 2018), and Memo to States Regarding the Cap on the Percentage of Students who may be Assessed with an Alternate Assessment (May 16, 2017).

4. Is a State required to post a list of LEAs exceeding the 1.0 percent cap?
   — A State is required to make publicly available the information that an LEA submits to the SEA justifying the LEA’s need to assess with an AA-AAAS more than 1.0 percent of the total number of students assessed in any subject in the State, provided that the information does not reveal personally identifiable information about an individual student.

5. If a State exceeds the 1.0 percent cap in one subject area and requests a waiver, does it need to address the percentages in other subject areas in its waiver request?
   — A State is only required to address in its waiver request the subjects where the total number of students assessed exceeds the 1.0 percent cap for which it is seeking a waiver.

6. How do you recommend that a State ensures that LEAs are using the State’s participation guidelines?
   a. This is not an optional requirement. Under 20 U.S.C. §1412(a)(16)(C) and 34 C.F.R. §300.160(c) of the Part B regulations, a State must develop guidelines for the participation of students with the most significant cognitive disabilities in alternate assessments who cannot take regular assessments with accommodations as indicated in their respective IEPs. Under 20 U.S.C. 6311(b)(2)(D)(ii) and 34 C.F.R. §200.6(d), the State must establish, consistent with IDEA, and monitor implementation of clear and appropriate guidelines for IEP Teams to use in determining on a case-by-case basis which students with the most significant cognitive disabilities should take an AA-AAAS. Such guidelines must include a State definition of “students with the most significant cognitive disabilities.” The factors that must be addressed in that definition are described in detail in 34 C.F.R. §200.6(d)(1).
   b. There were a lot of great examples provided during the Convening of the ways States are supporting local needs. Presentations by Michigan and Kentucky provided some examples of ways that States are supporting local needs.
   c. States were engaged in discussions about oversight in conversations during the Convening.
   d. You know what works best for your State.
7. For States with early testing that are required to submit a waiver request very early, is it possible to be flexible with the 90-day requirement?
   a. Section 200.6(c)(4) provides that, if a State anticipates that it will exceed the 1.0 percent cap for any subject in any school year, the State may request that the Secretary waive the cap for the relevant subject, pursuant to section 8401 of ESEA. Based on historical data and IEP team decisions, a State should have a fairly accurate estimate of whether it might exceed the 1.0 percent cap and should apply for a waiver if in doubt.
   b. If a State has specific concerns, the Department encourages the State to work with its OSS Program Officer or OSEP State lead.

8. We have heard that there is proposed rulemaking about disproportionality. If this is happening, will it affect the requirement to address disproportionality in waiver requests?
   a. The Fall 2018 Unified Agenda of Regulatory and Deregulatory Actions was released on October 18, 2018, and indicates that the Secretary plans to issue a notice of proposed rulemaking to amend regulations that address the significant disproportionality requirement in Part B of IDEA.
   b. This will not affect the requirement to address disproportionality in waiver requests. The proposed rulemaking will address the IDEA requirement that States collect and examine data to determine if significant disproportionality based on race and ethnicity is occurring in the State and the local educational agencies of the State with respect to the identification, placement, and discipline of children with disabilities. This is different from the disproportionality requirements for the waiver, which address disproportionality in the percentage of students in any subgroup taking an AA-AAAS.

9. What suggestions do you have for addressing the new requirement that the alternate academic achievement standards ensure that students who meet those standards are on track to pursue post-secondary education or competitive integrated employment?
   a. Section 1111(b)(1)(E)(i)(V) of the ESEA and §200.2(b)(3)(ii)(B)(2) of the Title I regulations require that an AA-AAAS measure student performance based on alternate academic achievement standards that reflect professional judgment as to the highest possible standards achievable by students with the most significant cognitive disabilities to ensure that a student who meets those standards is on track to pursue postsecondary education or competitive integrated employment consistent with the purposes of the Workforce Innovation and Opportunity Act. A number of resources were developed as a result of the assessment peer review convening on this subject, which NCEO has posted at: https://nceo.info/Resources/presentations.
   b. The Department has given States through December 2020 to address this requirement.

10. Does the U.S. Department of Education plan to produce any additional guidance?
    a. We will continue to work with our OSEP- and OESE-funded TA Centers to continue the great work they are doing based on the needs that you identify coming out of this convening.
    b. Please fill out your evaluations at the end of the convening with suggestions about what is most helpful for you.
c. Please also continue to utilize the resources from the community of practice and those posted to the convening website.

**State Homework: Aligning 1% Work with Existing Initiatives**

States left the 1% Convening with a “homework” assignment for continuing the work they had started by extending their action plans to consider ways to align this work with other initiatives (or other offices). Two questions were provided to guide their continued action planning:

- How is your State aligning work with other initiatives?
- How is your State working across offices on 1% cap efforts?

**Outcomes**

An external evaluation of the 1% Convening was conducted by Evergreen Evaluation & Consulting, Inc. (EEC). It provided both paper and electronic surveys for states to complete at the conclusion of the Convening. In addition, a general analysis was conducted of the action plans of states that submitted them to NCEO.

**State participant evaluations** were completed by 119 state representatives (84% response rate). Nearly 50% of state respondents were from either the special education (48%) or assessment (40%) unit in their states. Approximately 13% of state respondents were from the state accountability office and 7% were from the state Title I office.

The state participant evaluation requested feedback on the components of the meeting as well as perspectives on next steps. Satisfaction ratings with each meeting session, as well as overall meeting content, structure, and quality were very high: over 90% of respondents were satisfied with each of these components. Ninety-two percent of respondents said they were very likely to apply the information shared and lessons learned from the meeting. States appreciated the opportunity to submit questions and receive answers from OSERS and OESE, spend dedicated time planning with their own team, the opportunity to learn about the 1% cap and strategies to address it, and hearing about best practices from other states. Some states indicated they would have preferred more time to process the immense amount of information presented and to collaborate in small groups with like states. Other recommended areas for improvement included providing breakfast and offering break-out meeting rooms closer to the main conference venue.

**Action plans** were collected from states comfortable with sharing them with NCEO. They were provided by 32 states (68% of participating states). After each presentation session, states identified the primary action steps that they thought they would take. The top action steps identified across available state action plans, by topic, were as follows:

- **Identifying Students and Developing Standards-based IEPs**
  - Provide professional development or technical assistance
  - Develop new guidance: Definitions, checklists, case studies, or eligibility criteria
  - Involve families
  - Obtain feedback from educators
Examining Data
- Analyze data for trends
- Disaggregate data or examine disproportionality
- Communicate with or provide data to LEAs
- Provide data literacy support or technical assistance
- Develop workflows, timelines, or plans

District Oversight
- Update resources
- Develop a protocol for monitoring LEAs
- Identify or monitor LEAs that exceed cap
- Review existing data for trends
- Provide training or technical assistance

Based on evaluation results and state action plans, along with other input from facilitators from the 1% Convening, NCEO developed a plan and timeline for follow-up technical assistance that will be made available to all states.
Appendices

A. Attending States, Facilitators, and U.S. Department of Education Staff
B. Speaker Biographical Statements
C. Agenda
D. State Discussion Guide
E. State Action Plan Template
## Appendix A

### Attending States, Facilitators, and U.S. Department of Education Staff

#### Participating States

<table>
<thead>
<tr>
<th>Attending States</th>
<th>Facilitators</th>
<th>U.S. Department of Education Staff</th>
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<tr>
<td>Alaska</td>
<td>Lauren Agnew</td>
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#### Facilitators

- Lauren Agnew
- Robin Ahigian
- Everett Barnes
- Sue Bechard
- Johanna Barmore
- Katherine Bradley-Black
- Anthea Brady
- Aaron Butler
- Robin Bzura
- Joel Carino
- Stephanie Cawthon
- Anne Chartrand
- Lourdes Coronado
- Cesar D’Agord
- Rorie Fitzpatrick
- Linda Goldstone
- Sharon Hall
- Susan Hayes
- Bill Hueneckens
- Bryan Hembreg
- Carol Keirstead
- Andy Latham
- Beheny Lyke
- Markie McNeilly
- Dona Meinders
- Dan Mello
- Cerelle Morrow
- Kate Nagle
- Andrea Reade
- Chris Rogers
- Michele Rovins
- Tony Ruggerio
- Jack Schwarz
- Amanda Trainor
- Sandra Warren
- Mary Watson

#### U.S. Department of Education Staff

- Frank Brogan
- Leslie Clithero
- Johnny Collett
- David Egnor
- Roberta Miceli
- Donald Peasley
- Ruth Ryder
- Deborah Spitz
- Susan Weigert
Appendix B

Speaker Biographical Statements

Carla M. Evans, Ph.D., is a Postdoctoral Fellow at the National Center for the Improvement of Educational Assessment. Carla is actively engaged in multiple states to support the development, implementation, and evaluation of assessment and accountability systems. Carla’s research focuses on the impacts and implementation of assessment and accountability policies on teaching and learning.

Andrew Hinkle has worked in state assessment for 13 years at the Ohio Department of Education. A member of both the Office for Exceptional Children and the Office for Curriculum and Assessment, he oversees everything found in the Venn diagram between special education and state testing including alternate assessments and accessibility on standardized tests for students with disabilities. For good measure, he also oversees everything found in the Venn diagram between English learners and state testing; including English language proficiency testing, accessibility on state tests for ELs, and alternate assessment for ELs.

John Jaquith currently serves as the Assessment Consultant for Students with Disabilities at the Michigan Department of Education. He has a bachelor’s and master’s degree in special education and an education specialist degree in educational leadership. He has over twenty-five years of experience serving individuals and families with disabilities as a teacher, private consultant, building level administrator, as well as administrator of special education programs at the local, regional, and national levels.

Randy LaRusso, M.Ed., serves the Florida Department of Education, Bureau of Exceptional Education and Student Services (BEESS) as the grant manager for ACCESS, a discretionary grant designed to support the teaching and learning of alternate achievement standards. Randy served as Florida’s liaison to the National Center and State Collaborative (NCSC) and is a member of the expert panel for the TIES Center. She worked as an adjunct instructor for the University of Central Florida (UCF) and has been published on the topic of alternate assessment in the second edition of “Research-Based Practices in Developmental Disabilities”.

Sheryl Lazarus, Ph.D., is Associate Director of the National Center on Educational Outcomes and Senior Research Associate at the University of Minnesota. She conducts research and provides technical assistance on the inclusion of all students, including students with disabilities and English Learners, in assessments used for accountability purposes. She manages multiple technical assistance efforts at NCEO and contributed to numerous knowledge development activities, including the development of products and tools in the areas of accommodations, alternate assessments, using data for decision-making, educational reform, test security, teacher evaluation, and technology-based assessments. She is the director of multiple projects, including the TIES project directed at the inclusion of students with the most significant cognitive disabilities.
Rebecca McIntyre is the Assistant Director of Special Education for Kent Intermediate School District in Kent County, MI. Rebecca has been the Assistant Director for 7 years and has the oversight of monitoring, compliance and data for the member districts in Kent County. Prior to joining the team at Kent ISD, she was an elementary and secondary resource teacher in a member district.

Angela Nathaniel is a Program Specialist in the K-12 Student Assessment Department at the Florida Department of Education where she provides oversight of the Florida Standards Alternate Assessment (FSAA).

Virginia Ressa is a program specialist for the Ohio Department of Education in the Office for Exceptional Children. Her work focuses on evidence-based practices and professional learning to improve the achievement of diverse learners. Dr. Ressa collaborates with teams across the agency to provide policy guidance on equity issues, including significant disproportionality and alternate assessment.

Tania Sharp, M.Ed., is an Exceptional Children Consultant at the Kentucky Department of Education. Prior to her current role, she taught middle school students with moderate to severe disabilities and served as the peer tutoring program coordinator. Currently, she provides consultative services and support in the form of technical assistance to parents, schools and districts across the state on state and federal regulations, the Individuals with Disabilities Education Act (IDEA), the Every Student Succeeds Act (ESSA) and on individual student needs.

Jim Shriner, Ph. D., is an Associate Professor in the Department of Special Education at the University of Illinois at Urbana-Champaign. His work includes research on the effects of federal and state education policies and priorities on students with disabilities’ educational services. With support from Institute of Education Sciences grants entitled, The IEP Quality Project: Research and Development of Web-based Supports for IEP Team Decisions (R324J06002; R324A120081) and from the Illinois State Board of Education (ISBE), he has developed the IEP Quality Tutorial. The Tutorial intervention includes decision-making supports for IEP teams to prioritize and plan instructional goals for students’ academic and behavioral needs. Shriner currently serves as a member of the stakeholder advisory group for the National Center on Educational Outcomes and as a member of the ISBE State Assessment Review Committee. He is co-editor (with Mitch Yell) of the Journal of Disability Policy Studies.

Kristan Sievers-Coffer is a Senior Special Education Specialist at the Indiana Department of Education in the Office of Special Education. Her duties include: collaborating with the Office of Student Assessment on the general assessment, alternate assessment, and accommodation guidance for students with disabilities; monitoring LEAs with disproportionality issues; coordinating the Indiana Resource Network resource centers’ services to districts in specific areas of need; co-leading a Communication Community of Practice to assist educators that work with students with No Mode of Communication; and collaborating with the Office of School Improvement on school mental health initiatives.
Martha Thurlow, Ph.D., is Director of the National Center on Educational Outcomes and Senior Research Associate at the University of Minnesota. During her career, Dr. Thurlow’s work has emphasized the need to ensure accessible curricula and assessments for students with disabilities, English learners, and English learners with disabilities, with the ultimate goal being to enable these students to leave school ready for success in college and career. She has worked toward this end by addressing implications of U.S. education policy for these students, striving to improve inclusion and access to appropriate assessments for all students, and collaborating with others on standards-based educational systems and inclusion for these students.

Monica Verra-Tirado, Ed.D., was appointed as Chief of the Bureau of Exceptional Education and Student Services within the Florida Department of Education in 2012. She is responsible for Florida’s implementation and general supervision of the Individuals with Disabilities Education Act (IDEA 2004), coordinating Florida’s State Performance Plan and Annual Performance Report, and managing the distribution of IDEA Part B and Part B Preschool grants. Dr. Verra-Tirado provides leadership in numerous PreK–12 statewide initiatives and oversees an array of discretionary projects. Since joining the bureau, Dr. Verra-Tirado has worked towards promoting inclusion, shifting from compliance to results accountability, increasing visibility in districts as well as improving the graduation and dropout rates among students with exceptionalities.

Jamie Wong is the Special Education Director at the Louisiana Department of Education since 2014. Prior to joining the Department, Jamie worked in DC Public Schools as both a special education teacher and a director of an Early Childhood Special Education evaluation team. Jamie currently serves as the President of the National Association of State Directors of Special Education. Jamie holds a bachelors in Political Science and masters in education leadership and is certified in special education and education leadership.
## Appendix C

### Agenda

**Working Together to Successfully Implement Requirements for the 1% Cap on Participation of Students in the AA-AAS**

*Boston Park Plaza Hotel*

50 Park Plaza at Arlington Street, Boston, Massachusetts 02116

**Thursday, October 18**

<table>
<thead>
<tr>
<th>Time</th>
<th>Session Description</th>
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| 8:00-8:30 | Welcome and Opening Remarks  
Martha Thurlow (Director, NCEO)  
Johnny Collett (Assistant Secretary - OSERS) | Studio 1&2 |
| 8:30-8:45 | Overview of the Meeting  
Sheryl Lazarus (NCEO) | Studio 1&2 |
| 8:45-9:45 | State Sharing  
Facilitated by Martha Thurlow (NCEO) | Studio 1&2 |
| 9:45-10:15 | Critical Implementation Elements of a 1% Cap  
Martha Thurlow (NCEO)  
CoP Representative - Tania Sharp (Kentucky) | Studio 1&2 |
| 10:15-10:30 | BREAK | |
| 10:30-10:45 | Overview of Table Discussions and Developing Your Action Plan  
Sheryl Lazarus (NCEO) | Studio 1&2 |
| 10:45-12:00 | Table Discussion: Priority Areas and Action Plan  
Team and Facilitator | Breakout Rooms |
| 12:00-12:45 | Lunch | Studio 1&2 |
| 12:45-1:30 | Ensuring IEP Teams Identify Students with the Most Significant Cognitive Disabilities  
Introductions by Martha Thurlow  
Randy LaRusso (Florida)  
Jim Shriner (University of Illinois) | Studio 1&2 |
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<tr>
<td>1:30-1:45</td>
<td>Process and Summarize Ideas</td>
<td>Studios 1&amp;2</td>
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<tr>
<td>1:45-2:45</td>
<td><strong>Examining Data</strong></td>
<td>Studios 1&amp;2</td>
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<td>Introductions by Sheryl Lazarus</td>
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<td>John Jaquith &amp; Rebecca McIntyre (Michigan)</td>
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<td>Carla Evans (Center for Assessment)</td>
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<td>2:45-3:00</td>
<td><strong>BREAK</strong></td>
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<td>3:00-4:00</td>
<td><strong>Table Discussion: Identifying Students and Examining Data</strong></td>
<td>Breakout Rooms</td>
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<td>Team and Facilitator</td>
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<td>4:00-5:00</td>
<td><strong>Summary of Day</strong></td>
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<td>5:00-5:30</td>
<td>Facilitators Meeting</td>
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[Dinner on Own]
Working Together to Successfully Implement Requirements for the 1% Cap on Participation of Students in the AA-AAS

Boston Park Plaza Hotel  
50 Park Plaza at Arlington Street, Boston, Massachusetts 02116

**Friday, October 19**

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<td>Introductions, Reflections, and Q and A</td>
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<td>Johnny Collett (Assistant Secretary - OSERS)</td>
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<td>Q&amp;A Facilitated by Martha Thurlow (NCEO)</td>
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<td>8:30-9:15</td>
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<td>Virginia Ressa &amp; Andrew Hinkle (Ohio)</td>
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<td>9:15-10:15</td>
<td>Table Discussion: District Oversight and Monitoring</td>
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<td>10:15-10:30</td>
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<td>10:30-11:00</td>
<td>Aligning 1% Work with Existing Initiatives</td>
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<td>Kristan Sievers-Coffe (Indiana)</td>
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<td>11:00-11:50</td>
<td>State Sharing: Action Plans and Next Steps</td>
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<td>State representatives facilitated by Sheryl Lazarus (NCEO)</td>
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<td>Next Steps: Martha Thurlow (NCEO)</td>
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<td>11:50-12:00</td>
<td>Evaluation</td>
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Appendix D

State Discussion Guide

The 1% Convening
Supporting States in Implementing ESSA’s 1% State-level Cap on Participation of Students in the AA-AAAS

October 18-19, 2018 – Boston, MA

Discussion Guide
Introduction

The National Center on Educational Outcomes (NCEO) is pleased to host the 1% Convening. We are excited that more than 40 States and entities have formed cross-agency teams, and that the U.S. Department of Education and other technical assistance centers are supporting this collaborative effort. We look forward to working with State teams on issues related to the 1% cap on participation in the alternate assessment based on alternate academic achievement standards (AA-AAAS). The meeting objectives are to:

- Support States in their work with local educational agencies (LEAs) in meeting the requirements in the Elementary and Secondary Education Act (ESEA), amended as the Every Student Succeeds Act (ESSA), for AA-AAAS for students with the most significant cognitive disabilities.
- Assist States in planning how to build and improve the professional development and technical assistance activities they provide to LEAs in meeting the 1% Cap requirements.
- Support states on efforts to align the 1% cap requirement with other state initiatives.

During this Convening, State teams will have the opportunity to develop an action plan that addresses the following areas:

a. Identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them
b. Examining data
c. District oversight and monitoring
**Planning Session #1. Priority Areas and Action Plan**

By including participants from different offices and agencies, we can better ensure that all students, including those with the most significant cognitive disabilities, meaningfully participate in the appropriate assessment. The process that we will use has been developed to assist State teams to begin or enhance their work on the implementation of the 1% cap on student participation in the AA-AAAS.

Throughout these facilitated sessions, State team members will tap into the knowledge and perspectives of their team members to discuss how to implement changes that may help to better meet the needs of students with the most significant cognitive disabilities.

**Preliminary Activities**
- Brief introduction of team members with a focus on how the work of each will contribute to team. Have team members indicate whether they have been part of the 1% CoP or involved in other activities that address the 1% cap.
- Identify a volunteer to be the recorder
- Identify a person to contribute to the debrief at the end of Days 1 and 2.

Introductory questions that participants can respond to:

- From my perspective (based on my role), important considerations for our participation in this meeting are . . .
- From my perspective (based on my role), I can contribute to the team and process by . . .

*Record highlights and take aways from the morning sessions.*

1. **What did you hear during the State sharing that might help inform work in your State?**
2. What did you hear during the presentation on Critical Implementation Elements that might help inform work in your State?

- Identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them

- Examining data

- District oversight and monitoring

3. What things should our State team not lose sight of as we work on our State’s action plan?
Quick debrief during short session between large group presentations.
Process and summarize ideas between large group presentations:
Presentations on Ensuring IEP Teams Know How to Appropriately Identify Students with the Most Significant Cognitive Disabilities

Use the space below to capture key take aways from the session on ensuring IEP teams know how to appropriately identify students with the most significant cognitive disabilities. This will help ensure that you remember your key ideas when your team has its facilitated discussion of this topic later this afternoon.

Key take aways from session on identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them.
Planning Session #2. Identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them

Use this form to frame your state’s discussion and development of action steps.

Questions to Consider

- How do State participation guidelines help or hinder LEA decision-making?
- How are IEP teams identifying students?
- Are the IEP teams following the SEA guidance?
- Do IEP teams have difficulty following the SEA guidance?
- What support does the SEA provide to LEAs to follow the guidance?
- Is the SEA creating or revising the definition of “students with the most significant cognitive disabilities”?
- Is the SEA revising the guidelines for determining whether a student should participate in the alternate assessment?
- Did the SEA make sure that a high participation rate in the AA-AAAS is not due to a lack of implementation of the definition?
- What type of professional development is provided to IEP teams and other educators?
- What strategies are being used or considered for supporting parents/families of students with disabilities to ensure they are meaningfully involved in the IEP team decision-making process about the assessment in which their child will participate?

Goal: Develop action steps for ensuring IEP teams know how to appropriately identify students with the most significant cognitive disabilities

List action steps below, and indicate who needs to be involved and who is responsible for completion of each step.
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**Notes**

List any technical assistance (TA) needs that the State may have which could be met through a TA Center.
Planning Session #3 (Continuation of #2). Examining Data

Use this form to frame your State’s discussion and development of action steps.

Methods to Consider²

Methods for Detecting Atypical Values

Current or Former Year Analyses

- Check for atypical or unusual (e.g., out of range) values. Use descriptive statistics (M, SD, Min, Max, and Range) and visual data displays (histograms, boxplots, etc.) to locate values of interest. Flag districts with participation rates that seem really high, really low, or atypical.
- Evaluate whether students from unexpected disability categories (e.g., specific learning disabilities, speech and language, etc.) are participating in the AA-AAAS. Flag districts with atypical findings or patterns.

Multi-Year Analyses: Longitudinal Trends

- Compare district participation rates during the past 3 to 5 years at the state level.
  Compare district participation rates during the past 3 to 5 years for each district. Flag districts with the largest changes in participation rates.

Multi-Year Analyses: Cross-Sectional/Cohort Trends

- Evaluate student participation entry within a district over multiple years. Calculate the proportion of new examinees at the cohort level by subject. Flag outlier districts for further review.

² Source for list of methods: Guidance for Examining District Alternate Assessment Participation Rates (Evans and Domaleski, 2018)
• Evaluate performance changes within a district over multiple years. Calculate the proportion of students with large performance changes (e.g., move two classification levels in one year). Flag districts with higher than expected proportions for further review.

Performance Trends

• Evaluate district performance distributions for atypical shifts or spikes in performance (e.g., many more students scoring advanced in one year than in other years) alongside district participation rates. Flag districts with atypical findings.
• Compare district performance distribution with the overall state performance distribution on the same AA-AAAS and examine a district's performance distribution over time on the general state assessment. Flag districts with atypical results.

Methods for Examining Uncertainty

• Calculate a multi-year average participation rate for each district by subject. Flag districts with higher than expected findings.
• Apply a confidence interval to district participation rates from the current or former year to give a range of values that one can be certain contains the true participation rate for a State. Flag districts with rates outside of the confidence interval.

Goal: Develop action steps for examining State and LEA data

List action steps below, and indicate who needs to be involved and who is responsible for completion of each step.

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Notes

List any technical assistance (TA) needs that the State may have which could be met through a TA Center.
Planning Session #4. District Oversight and Monitoring

Use this form to frame your State’s discussion and development of action steps.

Questions to Consider

- How does the SEA provide oversight of LEAs?
- What approaches have been used? What new approaches might be tried?

Goal: Develop action steps for district oversight and monitoring.

List action steps below, and indicate who needs to be involved and who is responsible for completion of each step.

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List any technical assistance (TA) needs that the State may have which could be met through a TA Center.
Planning to Complete after Returning Home: Aligning 1% Work with Existing Initiatives

Use this form to frame your State’s discussion and development of action steps.

**Question to Consider**
- How is your State aligning work with other initiatives, e.g., combining 1% reporting with other reports such as a report card, SPDG work, SSIP work, etc.?
- How is your State working across offices on 1% cap efforts?

**Goal:** Develop action steps on aligning 1% work with other existing initiatives.

List action steps below, and indicate who needs to be involved and who is responsible for completion of each step.

**Action Steps**

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Appendix E

State Action Plan Template

State:
Recorder:
Recorder’s Email Address:

The 1% Convening

Supporting States in Implementing ESSA’s 1% State-level Cap on Participation of Students in the AA-AAAS

October 18-19, 2018 – Boston, MA

Action Plan Template
Planning Session #1. Priority Areas and Action Plan
Record highlights and takeaways from the morning sessions.

1. What did you hear during the State sharing that might help inform work in your State?

2. What did you hear during the presentation on Critical Implementation Elements that might help inform work in your State? (Continued on next page)

- Identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them

- Examining data
2. What did you hear during the presentation on Critical Implementation Elements that might help inform work in your State? (Continued)

- District oversight and monitoring

3. What things should our State team not lose sight of as we work on our State’s action plan?
Quick debrief during short session between large group presentations.  

Process and summarize ideas between large group presentations: Presentations on Ensuring IEP Teams Know How to Appropriately Identify Students with the Most Significant Cognitive Disabilities

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- Key takeaways from session on identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them.
**Planning Session #2.** Identification of students with the most significant cognitive disabilities, and developing standards-based IEPs for them

**Goal:** Develop action steps for ensuring IEP teams know how to identify students with the most significant cognitive disabilities

*List action steps below, and indicate who needs to be involved and who is responsible for completion of each step.*

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**Planning Session #3 (Continuation of #2). Examining Data**

**Goal:** Develop action steps for examining State and LEA data

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# Planning Session #4. District Oversight and Monitoring

**Goal:** Develop action steps for district oversight and monitoring.

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