



Indiana 1 Percent Cap Waiver Extension Request

ESEA §111(b)(2)(D) and 34 CFR 200.6(c) and (d)

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Assessment, Special Education, and Accountability

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Introduction

Title 1 of the Elementary and Secondary Education Act of 1965 (ESEA), as amended by the Every Student Succeeds Act of 2015 (ESSA) [ESEA §111(b)(2)(D) and 34 CFR 200.6(c) and (d)], modifies the provision that students with the most significant cognitive disabilities may participate in alternate assessments based on alternate academic achievement standards. The Indiana Department of Education (IDOE)'s alternate assessment is titled Indiana's Alternate Measure (I AM) and measures student achievement according to Indiana's Content Connectors, which are aligned to the Indiana Academic Standards.

ESSA places a 1 Percent Cap on the number of students who may participate in alternate assessments. States that anticipate exceeding the 1 Percent Cap must submit a waiver request or waiver extension request to the U.S. Department of Education (USED).

2016-2017: The alternate assessment participation rates for 2016-2017, submitted in Indiana's original waiver request, were 1.25 percent for English/Language Arts (ELA) and mathematics, and 1.30 percent for science. Based on this data, IDOE anticipated exceeding the 1 Percent Cap for the 2017-2018 alternate assessment administration in ELA, mathematics, and science, and submitted the required waiver request on October 16, 2017. USED requested revisions to the original waiver request regarding high school science, resulting in IDOE submitting an addendum dated January 23, 2018. On May 7, 2018, IDOE received notification that USED had granted Indiana a waiver of section 1111(b)(2)(D)(i)(I) of the ESEA, allowing the State to assess more than 1.0 percent of the total number of students assessed in ELA and mathematics, but not science on the alternate assessment.

2017-2018: The alternate assessment participation rates for 2017-2018, included in Indiana's waiver extension request, were 1.21 percent for ELA and mathematics and 1.26 percent for science. IDOE anticipated exceeding the 1 Percent Cap for the 2018-2019 alternate assessment administration in ELA, mathematics, and science, and submitted the required waiver extension request on December 21, 2018. On April 15, 2019, IDOE received notification that USED had granted Indiana a waiver of section 1111(b)(2)(D)(i)(I) of the ESEA, allowing for the assessment of more than 1.0 percent of the total number of students assessed in ELA, mathematics, and science on the alternate assessment.

2018-2019: The alternate assessment participation rates for 2018-2019 were 1.14 percent for ELA, mathematics, and science. Based on this data, IDOE anticipated exceeding the 1 Percent Cap for the 2020 alternate assessment administration in ELA, mathematics, and science. Therefore, IDOE submitted the required waiver extension request on January 6, 2020. This Indiana 1 Percent Cap Waiver Extension Request documented that IDOE complied with all assurances outlined in IDOE's original waiver and achieved substantial progress toward each component of the prior year's plan and timeline. IDOE rescinded this request on April 1, 2020 due to the COVID-19 Waiver, which waived all assessment requirements including the 1 Percent Cap on Alternate Assessment Participation.

2019-2020: I AM was not administered in the spring of 2020 due to COVID-19. For this reason, Indiana used *identification* data, pulled during what would have been the Spring 2020 I AM Operational Window (April 29, 2020) in order to determine *estimated participation* rates per USED recommendation. The

2020 alternate assessment *identification* rates were 1.15 percent for ELA and mathematics and 1.16 percent for science, a slight increase from the 2019 *participation* rates. IDOE contributes this increase to the type of data that was collected. While identification data can provide an estimate of who will participate in the alternate assessment for the given year, it does not account for students who do not test due to absences, medical conditions, or other issues. Based on this data, IDOE anticipates exceeding the 1 Percent Cap for the 2021 alternate assessment administration in ELA, mathematics, and science. Therefore, IDOE is submitting the required waiver extension request. This Indiana 1 Percent Cap Waiver Extension Request documents that IDOE complied with all assurances outlined in IDOE’s original waiver and has achieved substantial progress toward each component of the prior year’s plan and timeline.

Multiple electronic resources are referenced as evidence of activities and requirements, and are accessible online. Web links to these resources are embedded in the text of this document, allowing the reader to link directly to content-specific support documents.

1 Percent Waiver Extension Request Requirements

Requirement 5 (§200.6(c)(4)(v)): Substantial Progress

IDOE has made substantial progress toward meeting the 1 Percent Cap on Alternate Assessment Participation since the original waiver was submitted and approved. This progress is evident in alternate assessment *participation* data and completion of State Plan and Timeline Activities outlined in this year’s waiver extension request. A comparison of 2016-2017, 2017-2018, and 2018-2019 data confirms Indiana’s progress toward reducing the number of students participating in the alternate assessment. Please note, 2019-2020 data is based on students who were *identified* to take the alternate assessment rather than those who actually participated (as with previous years). For this reason, the data shown under “Number of LEAs Exceeding the 1 Percent Cap in 2019-2020” is not included under “Difference Between 2016-2017 and 2018-2019.”

[Table 1](#) illustrates the reduction of the number of Local Education Agencies (LEAs) exceeding the 1 Percent Cap across content areas. [Table 2](#) illustrates the reduction in alternate assessment participation rates across content areas.

Table 1: Comparison of the Number of LEAs Exceeding the 1 Percent Cap from 2016-2017 to 2018-2019

Content Area	Number of LEAs Exceeding the 1 Percent Cap in 2016-2017	Number of LEAs Exceeding the 1 Percent Cap in 2017-2018	Number of LEAs Exceeding the 1 Percent Cap in 2018-2019	Number of LEAs Exceeding the 1 Percent Cap in 2019-2020*	Difference Between 2016-2017 and 2018-2019
ELA	190	186	166	184	-16.16%

Mathematics	189	186	165	184	-16.67%
Science	183	183	153	169	-22.34%

*This data in this column is based on *identification* rates rather than *participation* rates due to the cancelation of the I AM assessment in the Spring of 2020.

Table 2: Comparison of Alternate Assessment (AA) Participation Rates from 2016-2017 to 2018-2019

Content Area	AA Participation Rate 2016-2017	AA Participation Rate 2017-2018	AA Participation Rate 2018-2019	AA Identification Rate 2019-2020*	Difference Between 2016-2017 and 2018-2019
ELA	1.25%	1.21%	1.14%	1.15%	-0.11%
Mathematics	1.25%	1.21%	1.14%	1.15%	-0.11%
Science	1.30%	1.26%	1.14%	1.16%	-0.16%

*This data in this column is based on *identification* rates rather than *participation* rates due to the cancelation of the I AM assessment in the Spring of 2020.

1 Percent Training and Guidance

Alternate Assessment Participation Training: A [training webinar](#) and [slides](#) outlining federal and state requirements for the 1 Percent Cap on Alternate Assessment Participation are provided to LEAs and publicly posted on IDOE’s Alternate Assessment ESSA 1 Percent Cap webpage each school year. Those corporations over the 1 Percent Cap must provide assurances that specific stakeholders have reviewed the training.

ICASE 1 Percent Cap Training: Information regarding the 1 Percent Cap was shared at both of the Indiana Council of Administrators of Special Education (ICASE) bi-annual meetings by the OSE Director during her presentation to special education directors and their staff from across the state. These PowerPoint presentations are posted on OSE’s Moodle community, which is a communication portal used by OSE to share and relate information to educators.

Accessibility and Accommodations Training: IDOE provides an [accessibility and accommodations training](#) for statewide assessments, including I AM. Webinar topics include universal accessibility tools, designated accessibility tools, and accommodations available to students. Viewing this training is an annual requirement for Test Administrators (TAs) and Corporation Test Coordinators (CTCs).

Statewide Assessment Webpage Revision: OSA's [website](#) and the [Indiana Assessment Portal](#) houses information, resources, training materials, and web links for special education professionals supporting students with disabilities. The webpage and portal are both updated regularly to provide the field with the most relevant information regarding I AM.

Pretest Workshops for CTCs: Live and recorded webinars are offered to CTCs in preparation for the spring assessment administration. During these trainings, the criteria for participation in I AM is discussed to ensure the appropriate students participate. Participation in Pretest Workshops is an annual requirement for CTCs. IDOE also offers a separate training for new CTCs.

Test Administration Certification and Training: IDOE and the testing vendor, American Institutes for Research (AIR), delivered 20 live I AM trainings in 15 different locations across the state during February and March of 2019. TAs preparing to administer I AM were required to attend one of these live sessions. If unable to attend, and approved by their CTC and IDOE, TAs could also complete a Moodle certification course or view a live stream of one of the training sessions. The Alternate Assessment Specialist was involved in the planning, content, and delivery of all trainings associated with the alternate assessment.

Since the initial administration of I AM, IDOE and Cambium Assessment, Inc. (CAI), formerly AIR, have offered an online training and certification course consisting of three training modules and a certification quiz in lieu of the live sessions. All I AM TAs must complete this training annually in order to administer I AM. The 2020-2021 certification course is available beginning January 25, 2021.

Understanding I AM Webinar: Each year IDOE and CAI release a [webinar](#) providing an overview of I AM. This webinar is called Understanding I AM. The targeted audience is educators, administrators, and other school personnel involved in the administration of the alternate assessment.

New I AM TA Training: In addition to the required online course, new I AM TAs are required to attend a 30-minute training that highlights the most important aspects of I AM test administration. A recorded version of this live training is also available. The 2020-2021 New I AM Training will be presented on March 3, 2021 and posted to the I AM Portal following the live session.

Question and Answer (Q and A) Sessions: IDOE builds two Q and A sessions each year from the field's frequently asked questions regarding the administration of I AM. Any administrator or educator can attend one of these live webinars for additional clarification regarding the administration of I AM. The 2020-2021 I AM Q and A Sessions will be hosted on March 31, 2021 and April 1, 2021. Both sessions will be recorded and posted to the I AM Portal.

I AM Training Frequently Asked Questions (FAQ): IDOE and CAI develop an I AM Training FAQ following the deployment of the online certification course, New I AM TA Trainings, and Q and A Sessions outlining frequently asked questions regarding the administration of I AM. This document is posted to the I AM Portal and shared via I AM listservs and Superintendent Dr. McCormick's weekly

update. The 2020-2021 I AM Training FAQ is scheduled to be posted with the opening of the operational window on April 5, 2021.

Alternate Assessment Participation Guidance: IDOE sought input from multiple LEAs on the participation criteria documents including [Participation Guidance](#), [Participation FAQ](#), and [Participation Flowchart](#). These documents explain participation in the alternate assessment and are posted on [IDOE's website](#).

Accessibility and Accommodations Guidance: IDOE updates its [Accessibility and Accommodations Guidance](#) annually to coincide with the new accommodations offered on I AM. This guidance is available on IDOE's website and outlines accommodations for all statewide assessments.

Webinar Series for New Teachers of Students with Significant Cognitive Disabilities: IDOE has collaborated with Project SUCCESS, which is part of the Indiana Resource Network, to develop and deploy a [webinar series](#) that targets new teachers of students with significant cognitive disabilities. This webinar series consisted of the following training sessions:

- [The Indiana Resource Network, August 19, 2020](#)
- [Unpacking the Content Connectors, September 16, 2020](#)
- Indiana's Electronic IEP System (IIEP) Tips and Tricks, October 14, 2020
- A Focus on the I AM Assessment, November 18, 2020

Live Binder for Case Conference Committees: IDOE, in collaboration with Project SUCCESS, developed a [Live Binder](#) Case Conference Committees with hundreds of resources for administrators, educators, and families. This resource was posted to IDOE's website in August of 2020.

1 Percent One Pager for Families: IDOE created and shared a one-page [document](#) with basic information regarding the 1 Percent Cap on Alternate Assessment Participation for families of students with significant cognitive disabilities in May of 2020.

I AM Educator and Family Brochures: Each year IDOE and CAI collaborate to deploy I AM brochures for [educators](#) and families. These brochures are available on the IDOE website. The family brochure is available in both [English](#) and [Spanish](#).

Learner Characteristics Inventory Training: [The Learner Characteristics Inventory](#) (LCI) is a set of thirteen questions about a student's learning. It must be completed by a TA each year prior to the administration of I AM. IDOE created a training that explains how this resource can be used to confirm the appropriate placement in the alternate assessment. [This training](#) is available on the IDOE website.

Stimulus and Response Materials Guidance: Per the recommendation of Indiana's Technical Advisory Committee (TAC), IDOE developed [guidance](#) regarding the use of stimulus and response materials that is acceptable for I AM. This guidance is referenced in the I AM Test Administrator's Manual (TAM) and is posted to IDOE's website.

Three-Year Review Process for No Mode of Communication (NMC) Guidance: IDOE has shared [guidance](#) regarding the three-year review process and Individualized Education Program (IEP) audit for students with NMC. This guidance was updated to note changes to the review process given data was not available for 2020.

Additional 1 Percent Efforts

Outlined below is a summary of personnel and activities that address exceeding the 1 Percent Cap on Alternate Assessment Participation.

Office of Student Assessment (OSA) - Alternate Assessment Specialist: This specialist oversees the alternate assessment (I AM) and leads the efforts related to the 1 Percent Cap on Alternate Assessment Participation. The Alternate Assessment Specialist serves as the assessment liaison to the Office of Special Education (OSE).

OSE - Intense Interventionist Specialist: This specialist is the special education liaison to the OSA beginning in August, 2019. This position now supports the efforts related to the 1 Percent Cap on Alternate Assessment Participation. The Intense Interventionist Specialist leads the Indiana Inclusive Communication Matters (IICM) Community of Practice (CoP) and is a monitoring team member involved in Indiana's Results Driven Accountability (RDA) system.

OSE - Senior Special Education Specialist: The senior specialist was the special education liaison to the OSA until August 2019. From January to August 2019 this position led the efforts related to the 1 Percent Cap on Alternate Assessment Participation, the IICM CoP, the Indiana Resource Network (IRN) resource centers, and is a monitoring team member involved in Indiana's RDA system.

Office of Student Assessment-Accessibility Specialist: This specialist focuses on accessibility for all students and provides guidance to the field regarding accommodations on all Indiana assessments.

Multi-State Collaborative Groups: IDOE participates in the National Center on Educational Outcomes (NCEO) 1 Percent Cap CoP bi-monthly webinars. IDOE also participates in the Council of Chief State School Officers (CCSSO) State Collaborative on Assessment and Student Standards (SCASS) Assessing Special Education Students (ASES) meetings.

Webinar Series on Inclusion and State Assessments: IDOE participated in three webinars focusing on inclusion and state assessments hosted by USED's Office of Elementary and Secondary Education (OESE) with the intent of sharing relevant information with the field. These webinars included:

- Meeting ESSA and Workforce Innovation and Opportunity Act (WIOA) Requirements: Alternate Assessments, and Inclusion of All Students, July 15, 2020
- How Do We Lower Our Alternate Assessment Participation Rate? Five States Share Their Stories, August 20, 2020

- Successfully Making and Implementing Participation and Accommodations Decisions for English Learners with Disabilities, August 27, 2020

Stakeholder Feedback: IDOE shares information, collaborates, and seeks feedback from stakeholders regarding the 1 Percent Cap on Alternate Assessment Participation. Stakeholders include LEAs, IRNs, Indiana's Parent and Training Information Center (INSOURCE), OSA's TAC, and OSA's Assessment Implementation Advisory Group (AIAG). IDOE is committed to educating stakeholders about alternate assessment participation issues and ensuring that only those students with the most significant intellectual impairments in Indiana participate in the alternate assessment.

Results Driven Accountability (RDA): OSE monitors LEAs based on the federal Office of Special Education's RDA system. LEA RDA determinations include areas of compliance as well as results and data timeliness. Within the assessment calculation, IDOE looks at growth and proficiency on state assessments, proficiency on the Indiana Reading Evaluation and Determination for Grade 3 Students (IREAD-3), and participation in the alternate assessment. LEAs were informed of the points possible out of each category, how many points their district received in those categories, and an overall percentage that correlates to one of the three Technical Assistance Tiers. OSE provided data retreats in December of 2020 that took place in each of the ICASE roundtable regions. OSE will also provide data retreats in Winter/Spring of 2021 with the 1 Percent Cap on the alternate assessment as a potential breakout session.

Indiana Inclusive Communication Matters (IICM): IDOE collaborates with PATINS, an assistive technology and accessibility resource center, to facilitate a communication CoP that focuses on students with little to no mode of communication. IICM is comprised of speech language pathologists, special education directors, teachers, resource centers, etc. and meets three times per year to provide assistance to educators in order to increase the number of students with a mode of communication so they can participate in the classroom and on the alternate assessment. Educators reviewed LCI data to provide feedback. The stimulus and response chart was also reviewed, as it is included in the 2019-2020 IAM test administrators manual.

IEP Data and CAI's Test Information Distribution Engine (TIDE): IEP data from Indiana IEP (IIEP), along with CAI's TIDE connection, reinforce which students should be assessed using I AM in lieu of the general education assessment.

LEA Visits: In November and December of 2019, IDOE visited five LEAs across the state from varying geographic areas, populations, and sub groups. During these visits IDOE collaborated with team members from the LEAs to discuss alternate assessment participation guidelines and procedures to ensure that only students with the most significant disabilities are taking the alternate assessment.

1 Percent Research Project: IDOE has partnered with Public Consulting Group (PCG) to conduct a 1 Percent Cap on Participation in Alternate Assessment Research Study. This study is guided by the following questions:

1. What are the characteristics of students who take the Alternate Assessment based on Alternate Academic Achievement Standards (AA-AAAS) statewide? How has the population changed over the past five years?
 - a. What are the demographics (e.g., race, ethnicity, socio-economic status)? How does this population compare with students overall in the state?
 - b. What are the students' eligibility categories and in what least restrictive environment (LRE) placement setting do they receive most of their services?
 - c. What percentage of students have "no mode of communication" noted on their IEP?
 - d. In what grade level do students begin taking the alternate assessment?
2. What guidance has the state provided to districts regarding the decision-making process for taking the alternate assessment? How is it applied in districts and with IEP teams?
 - a. What is the process at the district/school level?
 - b. What are the differences between states and/or districts within states?
 - c. What rationale do districts provide for being over the 1 Percent Cap? Do these change over time?
3. What is the level of parent's awareness regarding the alternate assessment?
 - a. How do they understand the implication of their children taking the alternate assessment?
 - b. What is their role in the decision-making process?

Phase 1: Research and Plan Refinement, Phase 2: Data Collection, Phase 3: Data Analysis and Research Brief development. This work concluded in December of 2020. IDOE plans to use the information from this study to guide professional development efforts for LEAs and reassess current practices regarding the collection of assurances and justifications for the 1 Percent Cap on Alternate Assessment Participation. Please see Appendix  for a summary of this study and its findings.

Review and Analysis of 2019-2020 Alternate Assessment *Identification* Rates: IDOE staff reviewed and analyzed alternate assessment *identification* data from April 29, 2020. This data was pulled during what would have been the 2020 operational window for I AM. As previously stated, there was a slight increase when the alternate assessment *identification* rates were compared to the 2018-2019 *participation* rates in all three content areas as well as in the number of LEAs that exceeded the 1 Percent Cap in ELA, mathematics, and science, as illustrated in [Table 1](#) and [Table 2](#). Indiana had a reduction in the percentage of students taking the alternate assessment in the subgroups American Indian or Alaska Native; Native Hawaiian or Other Pacific Islander; African American; Hispanic or Latino; White; Limited English Proficient (LEP) students; Economically Disadvantaged students; and Male and Female students when 2016-2017 ELA participation data is compared to 2018-2019 ELA participation data. Indiana had a reduction in the percentage of students taking the alternate assessment in the subgroups American Indian or Alaska Native; Native Hawaiian or Other Pacific Islander; African American; Hispanic or Latino; White; LEP students; Economically Disadvantaged students; and Male and Female students when 2016-2017 mathematics participation data is compared to 2018-2019 mathematics participation data. Indiana had a reduction in the percentage of students

taking the alternate assessment in the subgroups American Indian or Alaska Native; Asian; African American; White; LEP students; Economically Disadvantaged students; and Male and Female students when 2016-2017 science participation data is compared to 2018-2019 participation data. [Table 3](#), [Table 4](#), and [Table 5](#) illustrate these changes in the alternate assessment participation rates for all subgroups. LEAs will receive their alternate assessment *identification* data from 2020 in November.

Table 3: Comparison of ELA Alternate Assessment Participation Rates from 2016-2017 to 2018-2019

Student Sub-Group	Percentage Participating in Alternate Assessment 2016-2017	Percentage Participating in Alternate Assessment 2017-2018	Percentage Participating in Alternate Assessment 2018-2019	Percentage Identified as Alternate Testers 2019-2020	Difference Between 2016-2017 and 2018-2019
All Students	1.25%	1.21%	1.14%	1.15%	- 0.11%
American Indian or Alaska Native	1.44%	1.06%	0.93%	1.27%	-0.51%
Asian	0.82%	0.87%	0.86%	0.92%	+0.04%
Native Hawaiian or Other Pacific Islander	2.14%	2.46%	1.56%	1.50%	-0.58%
Black or African American	1.71%	1.57%	1.48%	1.50%	-0.23%
Hispanic or Latino	1.14%	1.15%	1.13%	1.08%	-0.01%
White	1.20%	1.16%	1.09%	1.10%	-0.11%
Two or more races	1.26%	1.21%	1.27%	1.24%	+0.01%
LEP students	2.55%	2.43%	1.54%	1.83%	-1.01%
Economically Disadvantaged students	1.62%	1.54%	1.41%	0.88%	-0.21%
Male	1.61%	1.55%	1.46%	1.49%	-0.15%
Female	0.88%	0.84%	0.81%	0.80%	-0.07%

Table 4: Comparison of Mathematics Alternate Assessment Participation Rates from 2016-2017 to 2018-2019

Student Sub-Group	Percentage Participating in Alternate Assessment 2016-2017	Percentage Participating in Alternate Assessment 2017-2018	Percentage Participating in Alternate Assessment 2018-2019	Percentage Identified to Participate in Alternate Assessment 2019-2020	Difference Between 2016-2017 and 2018-2019
All Students	1.25%	1.21%	1.14%	1.15%	-0.11%
American Indian or Alaska Native	1.44%	1.06%	0.92%	1.27%	-0.52%
Asian	0.79%	0.86%	0.86%	0.92%	+0.07%
Native Hawaiian or Other Pacific Islander	2.10%	2.45%	1.77%	1.50%	-0.33%
Black or African American	1.69%	1.57%	1.47%	1.50%	-0.22%
Hispanic or Latino	1.13%	1.14%	1.12%	1.08%	-0.01%
White	1.20%	1.16%	1.08%	1.10%	-0.12%
Two or more races	1.24%	1.20%	1.26%	1.24%	-0.00%
LEP students	2.41%	2.42%	1.53%	1.83%	-0.88%
Economically Disadvantaged students	1.60%	1.54%	1.40%	0.88%	-0.20%
Male	1.60%	1.55%	1.46%	1.49%	-0.14%
Female	0.88%	0.84%	0.81%	0.80%	-0.07%

Table 5: Comparison of Science Alternate Assessment Participation Rates from 2016-2017 to 2018-2019

Student Sub-Group	Percentage Participating in Alternate Assessment 2016-2017	Percentage Participating in Alternate Assessment 2017-2018	Percentage Participating in Alternate Assessment 2018-2019	Percentage Identified to Participate in Alternate Assessment 2019-2020	Difference Between 2016-2017 and 2018-2019
All Students	1.30%	1.26%	1.14%	1.16%	-0.14%
American Indian or Alaska Native	1.35%	1.35%	0.74%	1.04%	-0.61%
Asian	0.75%	1.00%	0.99%	0.83%	+0.24%
Native Hawaiian or Other Pacific Islander	2.40%	1.64%	1.78%	0.53%	-0.62%
Black or African American	1.74%	1.71%	1.54%	1.57%	- 0.20%
Hispanic or Latino	1.12%	1.22%	1.09%	0.97%	-0.03%
White	1.26%	1.20%	1.06%	1.13%	-0.20%
Two or more races	1.46%	1.09%	1.39%	1.19%	-0.07%
LEP students	2.45%	2.44%	1.48%	1.64%	-0.97%
Economically Disadvantaged students	1.66%	1.64%	1.40%	1.48%	-0.26%
Male	1.67%	1.62%	1.45%	1.51%	-0.22%
Female	0.93%	0.88%	0.81%	0.79%	-0.12%

Requirement 1 (§200.6(c)(4)(i)): Submission 90-Days Prior to State Testing Window

The 2020-2021 I AM operational window opens April 5, 2021 for grades 3-8 and high school in all content areas. [The 2020-2021 Indiana Assessment Windows Calendar](#) shows how the I AM window fits within the larger context of Indiana’s system of assessments. IDOE is submitting the 1 Percent Waiver Extension Request to the USED on January 15, 2021.

Requirement 2 (§200.6(c)(4)(ii)): State-Level Data

A. State-Level Data of Alternate Assessment Identification Rate for the 2019-2020 School Year

IDOE reviewed and analyzed LEA level alternate assessment *identification* rate data for ELA, mathematics, and science for the 2019-2020 academic year. Of the 389 LEAs statewide in 2018-2019, 166 surpassed the 1 Percent Cap in ELA, 165 in mathematics, and 153 in science.

[Table 6](#), [Table 7](#), and [Table 8](#) illustrate IDOE’s state-level data for the number and percentage of students in each subgroup who participated in the alternate assessment in ELA, mathematics, and science for the 2018-2019 academic year, respectively.

Table 6: Alternate Assessment Identification Rates for ELA and Mathematics in 2019-2020

Student Sub-Group	Number of Students Identified as General Testers	Number of Students Identified as Alternate Testers	Total Number of Students Identified	Percentage Identified as Alternate Testers
All Students	550,667	6,433	557,100	1.15%
American Indian or Alaska Native	934	12	946	1.27%
Asian	14,337	133	14,470	0.92%
Native Hawaiian or Other Pacific Islander	**	**	466	1.50%
Black or African American	70,812	1,071	71,258	1.50%
Hispanic or Latino	72,812	798	73,610	1.08%
White	363,769	4,057	367,862	1.10%
Two or more races	28,169	355	28,524	1.24%
LEP students	35,742	665	36,407	1.83%
Economically Disadvantaged students	272,809	2,424	275,233	0.88%

Male	281,538	4,260	285,798	1.49%
Female	269,129	2,173	271,302	0.80%

Table 7: Alternate Assessment Identification Rates for Science* in 2019-2020

Student Sub-Group	Number of Students Identified as General Testers	Number of Students Identified as Alternate Testers	Total Number of Students Identified	Percentage Identified as Alternate Testers
All Students	236,635	2,781	239,416	1.16%
American Indian or Alaska Native	**	**	385	1.04%
Asian	6,246	52	6,298	0.83%
Native Hawaiian or Other Pacific Islander	**	**	190	0.53%
Black or African American	29,975	479	30,454	1.57%
Hispanic or Latino	31,130	305	31,435	0.97%
White	156,785	1,796	158,581	1.13%
Two or more races	11,929	144	12,073	1.19%
LEP students	15,517	259	15,776	1.64%
Economically Disadvantaged students	117,522	1,765	119,287	1.48%
Male	120,970	1,859	122,829	1.51%
Female	115,665	922	116,587	0.79%

*These rates only include grades 4 and 6. IDOE was unable to determine rates for Biology. Any alternate tester in grades 9-12 is eligible, but there is no way for IDOE to determine who would have participated.

** Student count was redacted in compliance with the Family Educational Records and Privacy Act, 20 U.S.C. 1232g; 34 CFR Part 99.

Some cells in Tables 6, 7, and 8 contain material that has been redacted to protect student privacy. Data are redacted in any cells that represent fewer than 10 students. In addition, at least two cells must be redacted where any total is available, in order to prevent any cell required for redaction to be derived.

B. State Measured Achievement of at Least 95 Percent of Students

I AM was not administered in 2020 due to COVID-19. For this reason, IDOE is unable to determine State Measured Achievement of at Least 95 percent of Students for School Year 2019-2020.

Requirement 3 (§200.6(c)(4)(iii)): Assurances

A. State Assurance that LEAs Followed State Alternate Assessment Participation Guidelines

Alternate Assessment Assurance and Justification Survey

LEAs that exceeded the 1 Percent Cap on Alternate Assessment Participation based on identification rates for 2019-2020 completed the Alternate Assessment Assurance and Justification Survey in the fall of 2020. The Alternate Assessment Assurance and Justification Survey required LEAs to submit a justification for why they anticipate exceeding the 1 Percent Cap on Alternate Assessment Participation for the Spring 2021 testing window. The LEAs that anticipate exceeding the 1 Percent Cap on Alternate Assessment Participation also provided assurances for the following:

- The appropriate LEA staff (including Special Education Teachers, General Education Teachers, Building Administrators, CTCs, School Test Coordinators [STCs], Special Education Directors, and School Psychologists) have viewed the 2020-2021 Alternate Assessment Participation Webinar video. These stakeholders agree the appropriate students will participate in the Alternate Assessment during the 2020-2021 school year.
- The appropriate stakeholders (including Parents of Students with Significant Cognitive Disabilities, Special Education Teachers, Special Education Teachers, General Education Teachers, Building Administrators, CTCs, School Test Coordinators (STCs), Special Education Directors, and School Psychologists) have reviewed the Alternate Assessment [Participation Guidance](#), [Flowchart](#), and [FAQ](#) provided on [IDOE's website](#). These stakeholders agree the appropriate students will participate in the Alternate Assessment during the 2020-2021 school year.
- The appropriate LEA staff (including Special Education Teachers, General Education Teachers, Building Administrators, CTCs, STCs, Special Education Directors, and School Psychologists) have reviewed the 1 Percent Disproportionality Data provided by IDOE in the RDA Planning Tool. These stakeholders agree any disproportionality will be addressed and the appropriate students will participate in the Alternate Assessment during the 2020-2021 school year.

B. State Assurance that LEAs will Address Disproportionality of Subgroups

Indiana disaggregated disproportionality data based on identification rates for 2019-2020. IDOE utilized a relative risk ratio to analyze this data for all subgroups of students. Below is a list of subgroups included in the analysis.

1. Racial/Ethnic Groups
 - a. American Indian or Alaska Native
 - b. Asian
 - c. Pacific Islander or Other Pacific Islander
 - d. Black or African American
 - e. Hispanic or Latino
 - f. White (not Hispanic)
 - g. Two or more races (Multiracial not Hispanic)

2. LEP
3. Socio-Economic Status (as determined by Free and Reduced Price Lunch Status)
4. Gender
 - a. Male
 - b. Female

The survey described in **Section A. State Assurance that LEAs Followed State Alternate Assessment Participation Guidelines** requires the respondent to provide assurances that any disproportionality in the percentage of students in any one subgroup identified for or participating in the alternate assessment will be addressed by the LEA.

Requirement 4 (§200.6(c)(4)(iv)): State Plan and Timeline

Each of the components of the State Plan are outlined below, followed by a combined timeline of all activities ([Table 10](#)).

A. Alternate Assessment Participation Criteria

The alternate assessment participation criteria did not change for the 2020-2021 School Year. This criteria is located within our electronic IEP system, IIEP. The criteria is also posted on the [alternate assessment webpage](#) and the [accountability webpage](#). The Alternate Assessment Specialist and Intense Intervention Specialist will continue to provide support to LEAs and special education staff on the current Alternate Assessment Participation Criteria.

B. LEA Oversight and Support

IDOE is committed to ensuring that only those students with the most significant cognitive disabilities participate in the alternate assessment. Indiana's plan is designed to provide data to LEAs regarding alternate assessment participation and to ensure that LEAs provide sufficient training to support special education staff in applying Alternate Assessment Participation Guidelines so that all students are appropriately assessed. Indiana's plan is as follows:

Universal Support Activities for All LEAs:

- IDOE developed a [webinar series](#) for new teachers of students with significant cognitive disabilities. The purpose of this webinar series is to help inform new teachers about the resources that are available pertaining to their students with significant needs.
- A [Live Binder for Case Conference Committees](#) is available to parents, teachers, and administrators and provides several resources that address the alternate assessment and 1 Percent Cap on Alternate Assessment Participation.
- A recording of the [Formative Assessment Webinar for Educators of Students with Significant Cognitive Disabilities](#) is publicly available to support formative assessment strategies for educators of students with significant intellectual disabilities.
- Indiana's RDA system includes alternate assessment participation as a subcomponent within the calculation. LEAs are informed of the points possible out of each category, how many points their district received in those categories, and an overall percentage that correlates to one of the Technical Assistance Tiers in the [RDA Guidebook](#). In addition to individualized RDA tiered

support, IDOE will provide universal support by offering regional data retreats which will be open to all LEAs in December of 2020. Alternate assessment participation data will be included in the data review.

- In addition to IDOE, IRNs will provide support to LEAs that exceed the 1 Percent Cap. Technical assistance may include on-site visits, webinars, emails and/or phone calls.
- An [optional data workbook](#) was developed and shared via webinar to help LEAs disaggregate data in multiple ways (i.e. eligibility category, school, grade level).
- [1 Percent Cap Webinars](#) for special education directors and educators are posted to IDOE's website. Topics included reviewing disproportionality data and utilizing data workbooks. IDOE and IRNs were involved in the creation and facilitation of these webinars as well as available for follow up conversations or in person onsite visits afterwards.
- OSA developed a [Reporting Webinar Series](#) to help educators analyze alternate assessment data found on the I AM reports.

Targeted Support Activities for LEAs Exceeding the 1 Percent Cap (Required):

- IDOE confirmed that LEAs completed the online Alternate Assessment Assurance and Justification Survey. This survey requires LEAs to project whether they anticipate exceeding the 1 Percent Cap for the present school year. If yes, the LEA provides justification for needing to exceed the 1 Percent Cap and assurance that they will review disproportionality data of students in any subgroup taking the alternate assessment. Assurances are also made that relevant general and special education staff will participate in the Alternate Assessment Participation Webinar. If LEAs do not anticipate exceeding the 1 Percent Cap, the LEAs can signify this.
- If LEAs are out of compliance for indicators 4A/B, 9, or 10, the 1 percent disproportionality data may also be addressed when technical assistance is provided by IDOE or one of the IRNs.

Targeted Support Activities for LEAs Exceeding the 1 Percent Cap (optional):

- IDOE has provided LEAs with a list of all STNs that fall under the primary disability category of Orthopedic Impairment, Emotional Disability, Specific Learning Disability, Language or Speech Impairment, and Other Health Impairment within the RDA Planning Tool. IDOE has asked LEAs to review IEPs for these students and consider a possible reevaluation before the 2021 administration of I AM.
- IDOE will provide support to LEAs with respect to their RDA determinations.

C. Disproportionality

IDOE utilizes a relative risk ratio to analyze alternate assessment participation data for disproportionality for all subgroups of students. The relative risk ratio compares the risk of participating in the alternate assessment for each subgroup at the LEA level to the risk for all other students at the same LEA. A ratio of 1.0 for a subgroup means that the rate of participation of the subgroup in the alternate assessment is proportionate to the rate of participation for students not in the subgroup. A ratio that exceeds 1.0 illustrates potential over-identification, while a risk ratio below 1.0 describes

potential under-identification of a subgroup for participation in alternate assessment, as compared to all other students. Below is a list of subgroups included in the analysis.

1. Racial/Ethnic Groups:
 - a. American Indian or Alaska Native
 - b. Asian
 - c. Pacific Islander or Other Pacific Islander
 - d. Black or African American (not Hispanic)
 - e. Hispanic or Latino
 - f. White (not Hispanic)
 - g. Two or more races (Multiracial not Hispanic)
2. LEP: Yes or No
3. Socio-Economic Status (as determined by Free and Reduced Price Lunch Status): Yes or No
4. Gender: Male or Female

The disproportionality analysis allows IDOE to determine if any subgroup is more frequently identified than all other students to participate in the alternate assessment. Analysis of these data will allow IDOE to focus on reducing disproportionality in the participation of students in the alternate assessment for individual subgroups. Information collected through the disproportionality analysis will provide additional information to address and reduce the overall percentage of students participating in the alternate assessment.

As accepted by the Office of Special Education Programs (OSEP), Indiana's Special Education State Performance Plan/Annual Performance Report (SPP/APR) states that disproportionality exists if the relative risk ratio for a subgroup meets or exceeds 2.0. IDOE uses the following formula to calculate the relative risk ratio for each subgroup:

- **The risk of participating in the alternate assessment by students in the subgroup:** The number of students in the subgroup who participated in the alternate assessment divided by the number of students in the subgroup who participated in either the statewide or alternate assessments in the LEA.
- **The risk of participating in the alternate assessment by all other students (comparison group):** The number of students in the comparison group who participated in the alternate assessment divided by the number of students in the comparison group who participated in either the statewide or alternate assessments in the LEA.
- **The risk ratio for the subgroup:** The risk of the subgroup divided by the risk of the comparison group multiplied by 100.

Addressing any disproportionality in the percentage of students in any subgroup taking the alternate assessment was discussed in one of the IDOE/IRN webinars that is publicly posted.

LEAs provided assurance that they are addressing any disproportionality in the percentage of students in any subgroup taking the alternate assessment through the submission of IDOE's survey.

Table 8: Timeline for all Requirement 4 Components

Date	Activity
October 16, 2017	Original 1 Percent Waiver Request submitted to USED
January 5, 2018	Memo of notification and required actions sent to LEAs who exceeded the 1 Percent Cap
January 15, 2018	2017-2018 ISTAR Operational Window opens
January 2018	New OSA Accessibility Specialist position created
February 5, 2018	Communication CoP Meeting
February 16, 2018	IDOE presentation to ICASE regarding 1 Percent
February 21-22, 2018	Attend CCSSO ASES meetings in Miami
February-July 2018	IDOE and IRN provide technical assistance to corporations by request
February 2018	IDOE and IRN review corporation surveys and develop technical assistance options
April 13, 2018	Webinar requesting stakeholder input on justifications from survey
April-May 2018	Revision of Content Connectors with educator committees
May 14, 2018	Communication CoP Meeting
June 2018	Disproportionality data disaggregated and submitted to IDOE by Center on Education and Lifelong Learning (CELL)
June 8, 2018	IDOE and IRN Meeting to discuss Technical Assistance Plan
June 14, 2018	I AM Test Blueprints constructed by educator committees
June 26-27, 2018	Attend CCSSO ASES meetings in San Diego
July 1, 2018	Transition to new system of assessments (I AM and ILEARN)
July 12-13, 2018	I AM Item Specifications constructed by educator committees
July 17, 2018	IDOE and IRN Accommodation vs Modification Meeting
July 19, 2018	IDOE and IRN Meeting to discuss Technical Assistance Plan
July 25, 2018	Policy Performance Level Descriptors developed with stakeholder group
August 2018	I AM Blueprint and Item Specification Webinars developed
August 6, 2018	I AM Passage Review Meeting with educator committees
August 13, 2018	IDOE Assessment and Graduation Pathways Webinar for INSOURCE
August 14, 2018	IDOE and IRN Accommodation vs Modification Meeting
August 16, 2018	IDOE and IRN RDA and Technical Assistance Tracking Meeting
August 16-17, 2018	Webinar: Understanding Indiana's Alternate Measure (I AM)

August 23, 2018	IDOE ARC of Indiana (parent stakeholder group) assessment presentation
August 23, 2018	Webinar: I AM Overview
September 1, 2018	I AM Educator and Family Brochures posted to I AM Portal
September 5, 2018	IDOE and IRN Meeting to discuss Technical Assistance Plan
September 6, 2019	Released Items Webinars
September 10, 2018	Communication CoP Meeting
September 11-13, 2018	I AM Performance Level Descriptor Meeting with educator committees
September 14, 2018	I AM Policy Performance Level Descriptor Meeting with stakeholder group
September 21, 2018	RDA Stakeholder Meeting
October 1, 2018	I AM Item Specification posted to I AM webpage
October 1, 2018	I AM Released Items Repository available on the I AM Portal
October 2-3, 2018	I AM Content Webinar
October 3, 2018	TAC Meeting
October 5, 2018	IDOE and IRN Meeting to discuss Technical Assistance Plan
October 5, 2018	IDOE presentation to ICASE
October 10, 2018	I AM Practice Test available
October 12, 2018	IDOE and INSOURCE 1 Percent Waiver Meeting
October 17-18, 2018	1 Percent NCEO Convening in Boston, Indiana presents on 1 Percent and RDA
October 18, 2018	Certificate of Completion Presentation to math specialists in IDOE School Improvement, 1 Percent slide in presentation
October 29-November 15, 2018	I AM Cognitive Labs
November 2018	Targeted School Intervention status released to schools; IDOE will provide technical assistance
November 7-8, 2018	IDOE INSOURCE In-Service Presentation
November 8, 2018	IDOE 1 Percent Presentation to INSOURCE staff
November 9, 2018	IDOE State Advisory Council 1 Percent Presentation
November 9, 2018	ILEARN/I AM Standard Setting Benchmark Review with Policy Committee
November 20, 2018	Project SUCCESS (IRN) Certificate of Competition training (1 percent discussion included)
November 27, 2018	LEA RDA determinations delivered; RDA technical assistance provided by IDOE and IRNs; specific compliance technical assistance

	provided for overlapping disproportionality (Indicators 4, 9, and/or 10 and 1 Percent)
November 27-29, 2018	I AM Content and Fairness Meeting with educator committees
December 2018	IDOE Formative Assessment Webinar for Educators of Students with Significant Cognitive Disabilities released
December 3-14, 2018	Waiver Extension Request posted for public comment
December 3-14, 2018	IDOE recorded updated 1 Percent Webinar
December 4-7, 2018	IDOE videotaping of I AM teachers and students for use in test administration examples
December 17, 2018	I AM Policy and Performance Level Descriptors posted to IDOE website
December 17-21, 2018	Review of public comment and update of Waiver Extension Request
December 21, 2018	1 Percent Waiver Extension Request submitted to USED
December 2018-January 2019	Spring Pretest Workshops for CTCs
January 14, 2019	Indiana Inclusive Communication Matters Meeting
January 24-25, 2019	TAC Meeting
February 4, 2019	RDA Data Retreat-North Central Roundtable
February 15, 2019	RDA Data Retreat-Central Roundtable
February 19, 2019	RDA Data Retreat-Northwest Roundtable
February 22, 2019	RDA Data Retreat-Southeast Roundtable
February 25, 2019	RDA Data Retreat-Southwest Roundtable
February 25-March 1, 2019	I AM Test Administration Trainings
March 1, 2019	RDA Data Retreat-Northeast Roundtable
March 4-8, 2019	I AM Test Administration Trainings
March 7, 2019	Presented 1 Percent disproportionality information at NCEO 1 Percent CoP virtual meeting
March 15, 2019	RDA Data Retreat-East Roundtable
March 18-22, 2019	I AM Test Administration Trainings
March 18, 2019	LCI Opens for Test Administrator completion
March 29, 2019	I AM TA User Guides and FAQ posted to I AM Portal
April 8-May 17, 2019	I AM Operational Window
April 10, 2019	1 Percent Data Webinar
April 22, 2019	Indiana Inclusive Communication Matters Meeting

May 6, 2019	Accessibility Advisory Committee Meeting
May 17-31, 2019	I AM Feedback Survey Window
May 22, 2019	1 Percent Disproportionality Data Webinar
May-August 2019	I AM Reporting Webinar Series
June 3-4, 2019	TAC Meeting
June 17-18, 2019	Item Data Review with educator committees
July 1, 2019	2019-2020 Accessibility and Accommodations Guidance released
July 22-24, 2019	I AM Standard Setting
July 24, 2019	I AM Policy Committee Meeting
August 5-7, 2019	New CTC Training
August 15, 2019	Online Reporting System (ORS) deploys
August 26-27, 2019	I AM Content and Fairness Meeting with educator committees
August 28, 2019	1 Percent Disproportionality Webinar for LEAs
September 9, 2019	Indiana Inclusive Communication Matters Meeting
October 1, 2019	2019-2020 I AM Brochures for Families and Educators posted to IDOE's Website
October 1, 2019	Updated 2019-2020 Released Items Repository and Understanding I AM Webinar posted to I AM Portal
October 2019	Learner Characteristics Training and guidance regarding substitutions and adaptations for the I AM assessment available publicly
October 9-10, 2019	TAC Meeting
October-November 2019	IDOE conducted five LEA 1 Percent visits
November 6-8, 2019	I AM Alignment Study
November 14-15, 2019	Assessment Literacy Conference
November 25, 2019	Indiana Inclusive Communication Matters Q and A Webinar with Stephanie Thompson and Karen Davies
December 2019-January 2020	Spring Pretest Workshops for CTCs
December 5, 2019	Present to NCEO 1 Percent CoP on potential 1 Percent research study
December 13, 2019	Accessibility Advisory Committee Meeting
December 19, 2019	IDOE record updated 1 Percent Webinar
December 23, 2019-January 6, 2020	Post and review public comment and update Waiver Extension Request
January 6, 2020	1 Percent Waiver Extension Request submitted to USED

January 9, 2020	1 Percent Training Posted to IDOE Website
January 13, 2020	Justification Survey sent to all corporations over the 1 Percent
January 22-23, 2020	TAC Meeting
January 27, 2020	IICM Meeting
February 2020	RDA Roadshows
February 18-19, 2020	Attend CCSSO ASES Meeting in New Orleans
February 24, 2020	Justification Survey results posted to IDOE website
February 27, 2020	1 Percent one-pager for families posted to IDOE website
February 27, 2020	1 Percent Research Project Kick-off
February - March 2020	New I AM TA Training Webinars
March 9, 2020	I AM TA Certification Course Deploys
March 13, 2020	I AM Operational Window cancelled due to COVID-19
March 26, 2020	Indiana shares COVID-19 resources on NCEO call
April 1, 2020	Indiana rescinds Waiver Extension Request due to COVID-19 Waiver
June 15, 2020	American Institutes for Research (AIR) rebranded as Cambium Assessments Inc (CAI)
June 18-19, 2020	Participation in CCSSO ASES meeting
June 19, 2020	Registration information shared for 1 Percent Webinar Series for New Educators of Students with Significant Cognitive Disabilities
June 23-25, 2020	I AM Content and Fairness Review with educator committees
June 24, 2020	Accessibility Advisory Committee Meeting
June 26, 2020	IDOE submits for Peer Review
June 30, 2020	IDOE submits a proposal for the Competitive Grants for State Assessments Program for the alternate assessment
July 15, 2020	Assessment Literacy Conference
July 15, 2020	2020-2021 Accessibility and Accommodations Guidance released
August 7, 2020	1 Percent Training posted to IDOE website
August 7, 2020	Live Binder of resources for IIEP Teams posted to IDOE website
August 13, 2020	I AM Webpage Refresh: Includes updates to No Mode of Communication Guidance, I AM brochures, and Biology End-of-Course Participation Guidance
August 19, 2020	Webinar 1: The Indiana Resource Network
September 19, 2020	Webinar 2: Unpacking the Content Connectors
October 2, 2020	Accessibility and Accommodations Training posted to I AM Portal

October 14, 2020	Webinar 3: IIEP Tips and Tricks
October 26 - November 6, 2020	Waiver Extension Request Public Review Period
November 18, 2020	Webinar 4: A Focus on the I AM Assessment
November 23, 2020	RDA Planning Tool sent to corporation with 1 percent data and request for justification/assurances
December, 2020 - January 2021	Spring Pretest Workshops for CTCs
January 4, 2021	1 Percent Justification Survey due
January 5, 2021	1 Percent Waiver Extension Request submitted to USED and post to IDOE website
January 8, 2021	1 Percent Justification Survey results posted to IDOE website

Public Comment

IDOE provided direct information to stakeholders via email notification including notification regarding the changes pursuant of ESEA §111(b)(2)(D) and 34 CFR 200.6(c) and (d) to the 1 Percent Cap on Alternate Assessment Participation, a copy of the Indiana 1 Percent Cap Waiver Extension Request, and guidelines for submitting comments to IDOE using the online public comment form. Stakeholders included but were not limited to INSOURCE, State Advisory Council, LEA Assessment Coordinators, and Special Education Directors. To ensure public access, a copy of the Indiana 1 Percent Cap Waiver Extension Request and guidelines for providing comments were posted on the IDOE website on the [1 Percent Cap webpage](#). An invitation to comment on the Indiana 1 Percent Cap Waiver Extension Request was included as part of the Weekly Update sent out to all public LEA superintendents as well. IDOE allowed 2 weeks for public comment, closing on November 6, 2020. IDOE received  comments which have been grouped by similar content. IDOE response to each group of similar comments/questions follows at the end of each topical section.

Submissions Commenting on the 1 Percent Threshold