SEVENTH EDITION

AN INTRODUCTION TO

Student-Involved Assessment FOR Learning

JAN CHAPPUIS | RICK J. STIGGINS

Pearson

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Student–Involved Assessment FOR Learning

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Seventh Edition

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This book is dedicated to aspiring teachers everywhere. May you use assessment as the gift to teaching and learning it can be.

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PREFACE

Very few people choose teaching as a profession because they can't wait to assess. We would venture to say that most people don't regard assessment as integral to learning and even fewer still regard assessment as "the fun part." Yet when we do it right and use it well, assessment can be a gift we give our students. It becomes a mirror we hold up to show them how far they have come. When we understand assessment's power to nurture learning and not just measure it, we use it not to punish or reward, but to guide students along a path to self-direction as learners.

This may not have been your experience with assessment as a student. We have written the seventh edition of *An Introduction to Student-Involved Assessment FOR Learning* to prepare you to begin your teaching career on Day 1 understanding how to make sure your assessments are accurate. Assessment is, in part, the process of gathering information to inform instructional decisions. Those decisions, when made well, drive student learning success. Effective instructional decision-making requires accurate assessment. Beyond that, we want you to be prepared to use assessment processes and information to help students increase their achievement. Classroom assessment is far more than merely a source of evidence for grading. When we understand how it can contribute to student confidence and motivation by meeting students' information needs, classroom assessment can become a very strong contributor to student success.

We intend this text to function as a long-term companion guide, first as your preservice preparation for classroom assessment and then as your primary resource throughout your teaching career. Only with practice over time can you develop the level of personal understanding needed to make these concepts and procedures part of your teaching routine. To learn what is needed to begin your career with competence, we offer the following suggestions:

1. You are going to spend a great deal of your professional time directly involved in assessment-related activities. If you merely study this book with the purpose of committing key ideas to short-term memory for a course grade, you will finish being neither confident with nor competent in your assessment practices. We urge you to take this learning task very seriously, striving to master the lessons that follow for the sake of the well-being of your students. Each chapter is structured around a set of learning targets. Those learning targets, taken together, define what it means to be competent at classroom assessment. Some of the end-of-chapter activities are designed to offer you practice with those learning targets. We urge you to complete them even if they are not assigned.
2. Throughout the content and structure of the text we have modeled the partnership that must exist between you and your students. We want the work you do in conjunction with this book to keep you in touch with, and therefore feeling in control of, your own growing professional competence in assessment.

Specifically, several of the end-of-chapter activities provide opportunities for reflection on what you are learning, how it compares to your past experiences as a student, and how it applies to your current learning. We urge you to select one or more of these activities to complete, again, even if they are not assigned.

3. You will learn more, faster, and with deeper understanding if you collaborate with others who are engaged in the same learning. The research literature on adult learning and professional development supports this contention. For this reason, consider forming small teams within your class. Meet between classes to discuss key concepts, work through unfamiliar parts, compare your responses to the practice exercises, complete end-of-chapter activities together, and/or discuss the social and cultural issues raised. This collaborative learning time is very important to solidifying your understanding.

The vision of excellence in assessment presented here arises from decades of research, our own experiences as teachers, and interactions with hundreds of other practicing teachers who have worked to make assessment serve learning. Our mission is to help you begin to develop the know-how and practical skills you need to be confident in and comfortable with the assessment practices you adopt as a teacher. And our hope is that you will find joy in refining your assessment proficiencies throughout a long and rewarding career.

New to This Edition

Much has changed in education policies and practices since the first edition of *An Introduction to Student-Involved Assessment FOR Learning* was published in 1994, but the principles of sound classroom assessment have remained the same. Updates to the editions over the years have mirrored the changes while remaining deeply rooted in those principles. In this seventh edition, we have made a number of significant revisions to better equip you, as new teachers, to do assessment right and use it well beginning on your first day. Major content changes include the following:

1. More detailed explanations of formative assessment practices, including offering effective feedback and preparing students to self-assess and set goals for next steps
2. More examples of how to involve students in the assessment process day to day
3. Updated explanations of the types of content standards in use today
4. Step-by-step guidance on assessment planning and development
5. More guidance on how to design performance tasks and rubrics and how to audit them for quality
6. A deeper treatment of questioning strategies designed to promote deeper thinking
7. A more robust explanation of how to track both formative and summative information

8. Specific instruction on how to derive accurate grades for use in a standards-based reporting system
9. Updated explanation of standardized testing

Changes to text features include the following:

1. Each chapter begins with a set of clearly stated learning targets and ends with a series of activities designed to help you master those learning targets. Some activities are designed to deepen your understanding of the chapter content, some are set up to give you practice with concepts taught, and some are designed to elicit reflection on key ideas. Many are structured so that you can complete them collaboratively if you wish, which has the potential to increase their learning value. In addition, each chapter's activities include one designed to prepare you to answer an interview question based on the chapter content.
2. Anecdotes, called "From the Classroom," are woven throughout the chapters. Written by practicing teachers who have worked with our materials to implement sound assessment practices in their classrooms, the anecdotes describe how specific assessment practices have improved their teaching as well as their students' attitudes and approach to learning.
3. Also woven throughout the chapters are video clips of elementary, middle school, and high school teachers and students engaged in formative assessment practices and discussing their impact on learning.

■ New Digital Features in the MyEducationLab with Enhanced eText

The most visible change in the seventh edition (and certainly one of the most significant changes) is the expansion of the digital learning and assessment resources embedded in the eText. They are designed to bring you more directly into the world of K-12 classrooms and to help you see the very real impact that high-quality assessment practices can have on learners.

The online resources in the MyEducationLab with Enhanced eText include:

Video Examples. Throughout the eText, embedded videos provide illustrations of sound assessment practices in action. See pages 27 and 34 for some examples.

Self-Checks and Application Exercises. Throughout the chapters you will find MyEducationLab: Self-check exercises. The self-checks include practice items designed to help you develop mastery of the content for each chapter learning outcome as well as quiz items to help you assess your level of mastery of chapter learning outcomes. These exercises are made up of self-grading multiple-choice items that not only provide feedback on whether questions are answered correctly or incorrectly, but also provide rationales for answers. In addition, the self-checks include application exercises, which challenge you to apply chapter content to authentic classroom assessment contexts. See pages 22 and 30 for some examples.

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We are indebted to a host of capable professionals who have shepherded this latest edition from revision outline to final printing: Kevin M. Davis, Director of Education at Pearson Education, our editor and developer for many years; Pamela D. Bennett, Project Manager, who oversaw production of the text from copyediting through paging; Katrina Ostler, Project Manager, who provided day-to-day (and sometimes hourly) guidance through production and copyediting; Janelle Rogers, Program Manager, who cheerfully managed the schedule, budget, timeline, and permissions; Anne McAlpine, Editorial Assistant; and Lauren Carlson, Project Manager of Media Development and Production. We so appreciate your skill at working as a team to make all of the pieces come together.

Thank you also to the educators who reviewed the sixth edition and offered insightful comments about its strengths and suggestions for changes and additions to the seventh edition: Leigh Ausband, University of North Carolina–Charlotte; Christopher DeLuca, University of South Florida; Catherine Hogg, Rutgers University–Newark; Xyanthe Neider, Washington State University; and Kathleen Svoboda Ed.D., Eastern Michigan University.

And finally, our deepest gratitude goes to all of the teachers and administrators who have shared their insights, challenges, and solutions with us throughout the last twenty-five years. You have been our best teachers.

Jan Chappuis
Rick Stiggins
Portland, Oregon
July 2016

ABOUT THE AUTHORS

Jan Chappuis, educator and author, joined Rick Stiggins at the Assessment Training Institute in Portland, Oregon in 2001. Prior to that she had been an elementary and secondary teacher as well as a curriculum developer in English/Language Arts, Mathematics, Social Studies, and World Languages.

For the past twenty years Chappuis has written books and developed workshops focused on classroom assessment literacy, presenting both nationally and internationally. She is recognized as a national thought leader in the area of formative assessment for her work in translating research into practical classroom applications. Chappuis is author of *Seven Strategies of Assessment for Learning*, 2e (2015) and *Learning Team Facilitator Handbook* (2007). She is co-author of *Classroom Assessment for Student Learning: Doing It Right—Using It Well*, 2e (2012), *Creating and Recognizing Quality Rubrics* (2006), and *Understanding School Assessment—A Parent and Community Guide to Helping Students Learn* (2002).

Rick Stiggins, B.S., M.A., Ph.D., founded the Assessment Training Institute in Portland, Oregon, in 1992 to provide professional development for educators facing the challenges of day-to-day classroom assessment. In 2009, the Institute joined the Pearson Education team to extend its professional development services around the world.

Dr. Stiggins received his bachelor's degree in psychology from the State University of New York at Plattsburgh, master's degree in industrial psychology from Springfield (MA) College, and doctoral degree in education measurement from Michigan State University. Dr. Stiggins began his assessment work on the faculty of Michigan State before becoming a member of the faculty of educational foundations at the University of Minnesota, Minneapolis. In addition, he has served as director of test development for the ACT, Iowa City, Iowa; as a visiting scholar at Stanford University; as a Libra Scholar, University of Southern Maine; as director of the Centers for Classroom Assessment and Performance Assessment at the Northwest Regional Educational Laboratory, Portland, Oregon; and as a member of the faculty of Lewis and Clark College, Portland.

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CHAPTER 1

Classroom Assessment for Student Success

Chapter 1 Learning Targets

As a result of your study of Chapter 1, you will be able to do the following:

1. Know how classroom assessment fits into the big picture of your job as a teacher
2. Become familiar with the guiding principles for accuracy and effective use that underpin sound classroom assessment practice
3. Understand relationships among student motivation, success at learning, and assessment

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"I wish we'd learned this in preservice." We have heard this comment and its companion question, "Why didn't they teach us this in college?" regularly over the past 20 years when giving presentations on classroom assessment to teachers and administrators around the country. Many of the practicing educators we work with throughout the nation believe they were inadequately prepared to assess student learning—with good reason. The lack of focus on classroom assessment in most teacher preparation programs has been repeatedly documented over several decades (Stiggins & Conklin, 1992; Popham, 2009; Andrade, 2013). When available, preservice classes addressing assessment have often focused on psychometric principles and related formal, technical, and statistical topics (McMillan, 2013). To be sure, these matters of assessment quality are important. But what has been missing is consideration of the use of assessment as an instructional tool. Many students planning to become teachers have not had the opportunity to learn about assessment in the classroom in the context of day-to-day teaching and student learning needs.

As a result, many practicing educators have learned what they know about classroom assessment through replicating what they themselves experienced as students, through discussions with colleagues, from the teacher's edition of textbooks, and through trial and error. Unfortunately, many of the most common assessment practices passed on through generations of teachers do not meet standards of quality

figure 1.1 ■ Definition of Classroom Assessment Literacy

Assessment Literacy:

The knowledge and skill to measure and report student achievement accurately and to use the assessment process and its results to improve learning.

for ensuring accuracy of information and are not grounded in research on learning or motivation. The content of this book is drawn from the field of educational measurement, shaped by decades of experience in translating psychometric principles into practical classroom applications, and by current research into the connections between assessment and learning. The goal of this book is to create a generation of educators who are *assessment literate*; that is, who are able to measure and report student achievement accurately and to use the assessment process and its results to improve learning (Figure 1.1). Becoming assessment literate requires a foundation of knowledge coupled with experience in applying that knowledge in everyday teaching and learning environments. Therefore, our mission as authors is to prepare you to do two things:

1. To use sound assessment practices thoughtfully beginning on your first day of teaching
2. To be committed to increasing your assessment expertise throughout your education career

■ The Teacher's Classroom Assessment Responsibilities

Assessment is, in part, the process of gathering evidence of student learning to inform instructional decisions. This process can be done well or poorly. To maximize student learning we all must be able to do it well. That means we must do the following:

- Gather *accurate evidence* of student achievement—the quality and impact of our instructional decisions depend on it.
- Interpret assessment results of all types to *communicate clearly* about student achievement.
- Integrate the classroom assessment process and its results into daily instruction in ways that *benefit students'* learning; that is, in ways that enhance both their motivation to learn and their achievement.

Figure 1.2 lists the specific competencies that underlie each of these responsibilities.

figure 1.2 ■ Classroom Assessment Competencies

1. *Clear Purpose* Assessment processes and results serve clear and appropriate purposes.	**a.** Identify the key users of classroom assessment information and know what their information needs are. **b.** Understand formative and summative assessment uses and know when to use each.
2. *Clear Targets* Assessments reflect clear student learning targets.	**a.** Know how to identify the five kinds of learning targets. **b.** Know how to turn broad statements of content standards into classroom-level learning targets. **c.** Begin instructional planning with clear learning targets. **d.** Translate learning targets into student-friendly language.
3. *Sound Design* Learning targets are translated into assessments that yield accurate results.	**a.** Design assessments to serve intended formative and summative purposes. **b.** Select assessment methods to match intended learning targets. **c.** Understand and apply principles of sampling learning appropriately. **d.** Write and/or select assessment items, tasks, scoring guides, and rubrics that meet standards of quality. **e.** Know and avoid sources of bias that distort results.
4. *Effective Communication* Assessment results function to increase student achievement. Results are managed well, combined appropriately, and communicated effectively.	**a.** Use assessment information to plan instruction. **b.** Offer effective feedback to students during learning. **c.** Record formative and summative assessment information accurately. **d.** Combine and summarize information appropriately to accurately reflect current level of student learning.
5. *Student Involvement* Students are active participants in the assessment process.	**a.** Identify students as important users of assessment information. **b.** Share learning targets and standards of quality with students. **c.** Design assessments so students can self-assess and set goals on the basis of results. **d.** Involve students in tracking, reflecting on, and sharing their own learning progress.

Gathering Accurate Information about Student Learning

Two requirements for assessment accuracy are *validity* and *reliability*. These two constructs can help us identify and avoid problems that will compromise the accuracy of our evidence of student learning.

Validity One way to think about the quality of an assessment is in terms of the fidelity of the results it produces. Just as we want our high-definition television to produce a high-quality representation of the real thing, so do we want assessments to provide a high-fidelity representation of the desired learning. In the assessment realm, this is referred to as the *validity* of the test. All assessment results (scores, for example) provide outward indications of an inner state. To understand the concept of validity, imagine you weigh yourself at home and your bathroom scale reads 140 pounds; then you drive immediately to a doctor's appointment and the doctor's scale reads 147 pounds. One (or both) of these scales is not providing an accurate representation of your weight. Within the classroom, the entity we intend to measure is *achievement*, and an assessment's results are said to be valid if they accurately represent the level of student achievement on a predetermined set of learning targets. Let's say the intent of an assessment is to measure mastery of a body of knowledge related to the immune system. For the results to be valid, the assessment must provide a representative sample of the information about the immune system that was to be mastered. Otherwise, the score will not be an accurate read of what a student has actually learned.

A second validity consideration is the extent to which the results can be used successfully to accomplish the intended purpose of the assessment. A valid assessment is said to serve the purpose for which it is intended. For instance, a diagnostic test should help the user identify specific student strengths and needs. If it can't provide that level of detail, even though the score may accurately reflect learning, it is not a valid assessment for that purpose. We always seek to develop and use assessments that fit the context at hand—that are valid for a specific purpose or set of purposes.

Reliability An assessment's ability to give consistent results is known as its *reliability*. Using the bathroom scale example again, if when you step on it the first time it reads 142 and then you step on it again and it reads 145, you are not getting consistent results. If your scale's results were reliable, you could step on and off repeatedly and it would produce the same number each time. Similarly, an educational assessment is said to be reliable if it reflects the same level of learning (i.e., a consistent score) each time we administer it. Additionally, as learning grows and improves, a reliable assessment will reflect those improvements with changing results. Over the course of this book, we will identify factors other than students' actual level of achievement that influence test scores—bad test items, test anxiety, distractions during testing, teacher scoring and grading practices, and the like. When this happens, the score is distorted by factors extraneous to achievement level and is said to have provided unreliable results.

Supporting Student Learning

Our model of assessment quality is not complete without consideration of how well both assessment processes and instruments contribute to increased achievement. In the past both large-scale and classroom assessments have served the purpose of identifying and weeding out unable and unwilling learners (many of whom drop out of school) and ranking those who remain to graduate from the highest to lowest achiever. However, after decades of a sort-and-select assessment system, our society has come to understand that it is unfair and inadequate. In light of accelerating change in technology, growing international interconnectedness, and the increasing challenge of securing living-wage employment, all students now more than ever must succeed in school.

Assessment processes and instruments have the opportunity to do far more than serve as the basis of grading and ranking students. They can accurately diagnose student needs, track and enhance student growth toward standards, motivate students to persist at learning, and teach them to self-assess and set goals for next steps. What types of assessments we use, what we do with the results, what we communicate to students and to their parents, and when we communicate all factor in to supporting student learning. This brings us back to our second validity consideration: Are the assessment processes and instruments we use capable of supporting learning in these ways? Are they valid for these uses?

MyEdLab **Self-Check 1.1**

MyEdLab **Application Exercise 1.1** The teacher's classroom assessment responsibilities

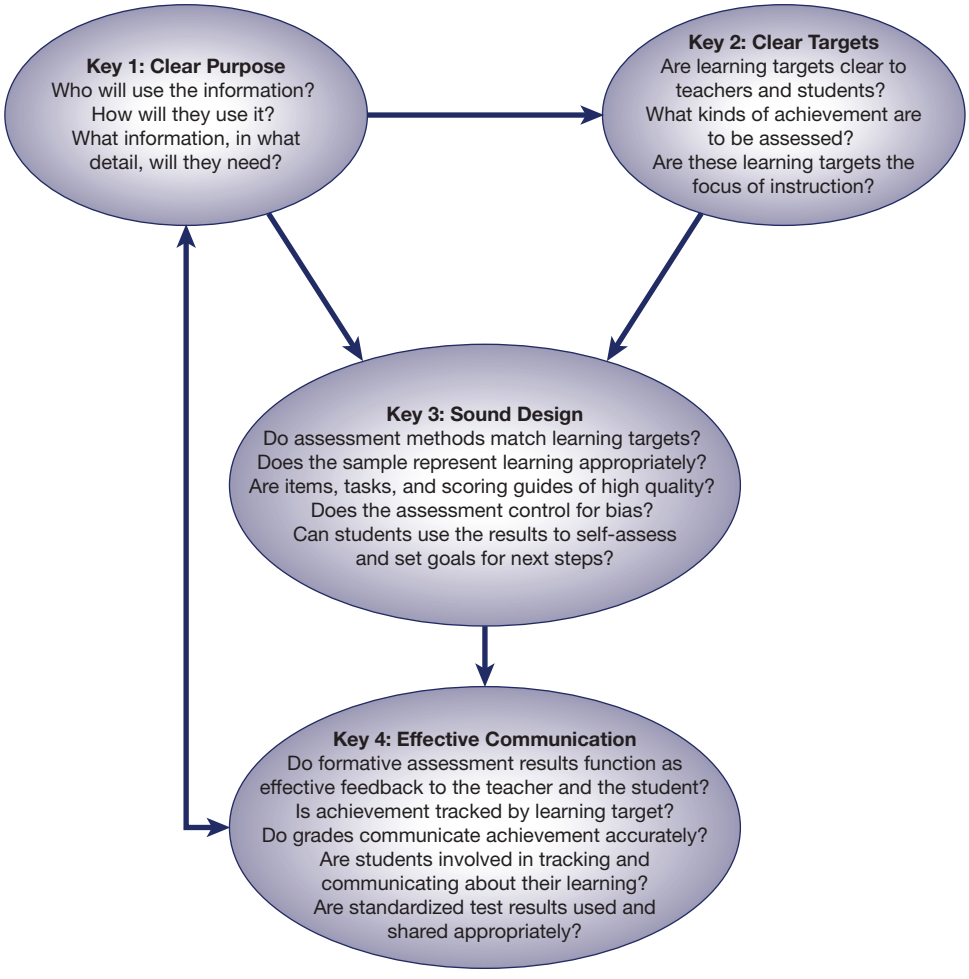
Keys to Assessment Quality

Considerations of validity, reliability, and the extent to which assessment instruments and practices contribute to learning come together in a set of guiding principles (Figure 1.3, which we refer to as *Keys to Quality Assessment*). The four keys to quality represent the foundation on which we will build the framework for understanding how to assess well in the classroom.

Key 1: Start with a Clear Purpose

Anyone designing or selecting an assessment must begin with a clear sense of purpose: Who will use the information? What decisions will the results be used to inform? At the classroom level, assessment information is used summatively, to r*eport* learning, as when test scores are combined to create a final grade. It is also used formatively, to *support* learning, as when diagnostic assessment information leads to further instruction. However, classroom-level assessment is part of a larger system that exists within schools and districts to meet the information needs of a variety of different users. Beyond the classroom, certain types of assessments are used for

figure 1.3 ■ Keys to Quality Assessment



accountability purposes as well as for program evaluation and improvement across a school district. And at the district and state levels, assessment information is used to identify areas of need, to allocate resources, to provide accountability information, and to shape policy decisions. These different assessment users bring different information needs to the table. For this reason, the starting place for the creation of a quality assessment for use in any particular context must be a clear sense of the information needs of the decision makers to be served. Without a sense of what kind of information will help them and, therefore, what kind of assessment must be conducted, the results will likely lead to poorly informed decisions that run counter to teacher effectiveness and to increasing student achievement. Chapter 2 describes the

key users of classroom assessment information and their information needs. It also explains the impact formative assessment practices can have on learning and what strategies we can put in place to maximize that impact.

Key 2: Establish Clear and Appropriate Learning Targets

Learning targets are statements of what we want students to know and be able to do. The written curriculum in each subject takes the form of an ordered progression of learning expectations across grade levels. These statements of expected learning are sometimes called *content standards*, *learning outcomes*, or *achievement expectations*. We will use the term *learning targets* throughout the text to refer to these learning expectations, for the sake of clarity and consistency.

Assessment validity requires that we begin with clearly defined statements of the learning our students will be responsible for achieving prior to creating or selecting assessments of that learning. There are many different kinds of learning targets within our educational system, from mastering content knowledge to complex problem solving, from performing a flute recital to speaking Spanish to constructing an effective argument. All are important. One of the precursors to accurate assessment at the classroom level is to be masters ourselves of the learning targets we are responsible for teaching. Only then can we ensure that our assessments accurately represent that learning. Chapter 3 explains the five categories of learning targets, how to determine if our learning targets are clearly defined, how to deconstruct complex content standards, and how to make learning targets clear to students.

Key 3: Create High-Quality Assessments That Yield Dependable Information

High-quality assessments of all types attend to four design standards. They must do all of the following if they are to support valid and reliable inferences about student learning:

1. Rely on an assessment method capable of reflecting the target. Assessment methods are not interchangeable. Certain methods will yield accurate information only for certain learning target types.
2. Sample student achievement appropriately. How much information to gather is dependent on the type of learning target to be assessed and the purpose for assessing it.
3. Include only high-quality items, tasks, and scoring procedures.
4. Eliminate or minimize distortion of results due to bias. Regardless of how carefully an assessment is planned, things can still go wrong, causing the results to be inaccurate.

All assessments must meet these accuracy requirements. Chapter 4 describes four assessment methods, when to choose each, and how to plan an assessment with each of these four standards in mind. Chapters 5 through 8 expand on these

standards for each individual assessment method: selected response (Chapter 5), written response (Chapter 6), performance assessment (Chapter 7), and personal communication (Chapter 8).

Key 4: Communicate Results Effectively

Mention the idea of communicating assessment results and the first thoughts that come to mind are of test scores and grades. When the purpose of the communication is summative, that is, to report the level of student achievement for accountability purposes, scores and grades can work. Assessment-literate teachers know how to combine results from a variety of sources to derive a fair and defensible end-of-term grade.

When the purpose of the communication is formative, that is, to support learning, then summaries such as grades, scores, or ratings will not do the job. In those cases, teachers and students need access to diagnostic information that helps them understand what the students have done well, what they still need to work on, and what their next steps might be. In other words, numbers and grades are not the only—or in formative contexts even the best—way to communicate about achievement.

Effective communication of assessment results is in part driven by the purpose for the assessment. Assessment-literate teachers balance their use of assessment results to offer feedback during learning with use of results to report level of achievement at the conclusion of learning. And beyond the classroom assessment context, they are able to interpret, use, and communicate about standardized test results appropriately. Chapters 9, 10, 11, and 12 address the different aspects of effective communication related to classroom assessment, from recordkeeping and grading to portfolios, and conferences. Appendix B addresses the interpretation and use of standardized test results.

An Overarching Principle: Student Involvement

A strong belief underpinning this book is that the greatest potential value of classroom assessment to increase achievement comes when we open up the process during learning and welcome students in as full partners. Within each of these four guiding principles—clear purpose, clear target, sound design, and effective communication—we can involve students in assessment from the beginning and all the way through the learning. We start in Key 1 by acknowledging that students are central decision makers in the educational system—if they decide not to try, no other decision maker's actions will cause learning. We can and should plan our assessment practices and instruments to meet students' information needs as well as ours and the system's needs. We continue in Key 2 by making the learning targets clear to students at the outset of instruction so they know how to focus their effort. In Key 3 we design or select assessments that are capable of providing the basis for student

self-assessment. And in Key 4 we make time in the instructional cycle to allow students to track, reflect on, and share their growth in achievement to keep them in touch with their learning progress.

A Classroom Example of Student-Involved Assessment

At a district school board meeting toward the end of the school year, a high school English department faculty presented the results of their evaluation of the writing instruction program they had implemented over the past year. As the first step in presenting program evaluation results, Ms. Weathersby, the department chair, distributed a sample of student work to the board members, asking them to read and evaluate the writing. They were critical in their commentary. As the members registered their opinions, a faculty member recorded them on chart paper. The list included *repetitiveness*, *problems with organization*, *run-on sentences*, and *lack of connection among ideas*. Next, Ms. Weathersby distributed another sample of student work, asking the board members to read and evaluate it. They commented on how much better the second sample was and offered specific comments such as *words and phrases that make meaning clear*, *strong sentence structure*, and *interesting introduction*. At this point, Ms. Weathersby revealed that the two samples they had just evaluated, one of relatively poor quality and one of outstanding quality, were written by the same student, the first at the beginning of the year and the second toward the end of the year. She explained that this is typical of the growth the English teachers had seen in student writing over the course of the year. The rest of the English faculty joined the presentation and shared graphs charting the growth of student competence on each of six dimensions of writing over time. They too offered "before" and "after" samples of student papers.

The board members were interested in knowing more about the new program, and Ms. Weathersby explained it briefly. In preparation for implementation, the faculty had attended an institute the previous summer on integrating writing assessment with instruction, with a specific focus on teaching students to use rubrics to improve their writing. They began the year by introducing the content of the rubrics to students and then having students use the rubrics to evaluate samples of writing representing a range of quality. This helped students understand the differences between good and poor-quality writing. The teachers used the rubrics to diagnose specific needs and taught focused lessons to help students improve on one aspect of quality at a time. They used the language of the rubrics in their feedback comments, taught students to offer peer feedback in writing groups, and provided time for students to self-assess prior to revising their work.

Then Ms. Weathersby informed the board that Emily, the student whose writing they had evaluated, was present in the audience and invited her to come forward. Emily highlighted the practices that helped move her from a struggling writer to a competent one. "To begin with, Ms. Weathersby taught us to do what you just did. We analyzed other people's writing. We looked at good writing and not-so-good writing—passages from books, newspaper articles, and other students'