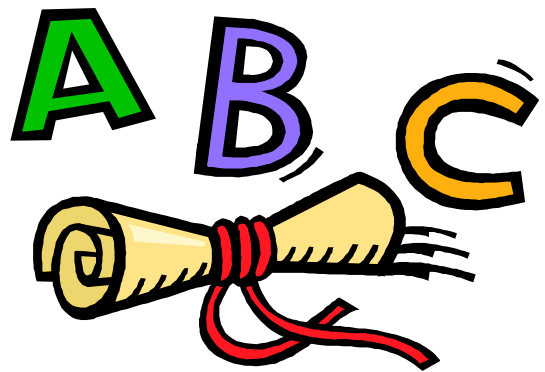


The Proctor's Guide



North Carolina Testing Program



PUBLIC SCHOOLS OF NORTH CAROLINA
State Board of Education | Department of Public Instruction
Division of Accountability Services | North Carolina Testing Program

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Introduction



Thank you for serving as a proctor in the North Carolina Testing Program. As a proctor, you serve an important role as an additional monitor that helps the test administrator ensure that testing occurs fairly and uniformly. Trained proctors are assigned to all test administrations in the North Carolina Testing Program, regardless of the number of students being tested.

We hope you find *The Proctor's Guide* a useful tool that contains valuable information to assist you in your role as a proctor. *The Proctor's Guide* outlines the responsibilities of what a proctor is and is not permitted to do during a test administration. This publication is an available reference for proctors that may be kept in the schools. Additional copies may be downloaded from the NCDPI Web site at www.ncpublicschools.org/accountability/testing.



The Proctor's Responsibilities

Prior to each test administration, proctors must attend a test administration training session and agree to fulfill the duties described. As a proctor you must do your part to help the test administrator ensure that the test scores of the students in the room where you serve as a proctor are the result of an ethical and fair test administration. Specifically, the responsibilities of the proctor include the following:

1. Read the North Carolina *Testing Code of Ethics* found in this publication.

Prior to the test administration, proctors must thoroughly read the North Carolina *Testing Code of Ethics* and the sanctions. Please pay careful attention to (g) the unethical practices cited in the *Code* and (h) the sanctions for violations of the *Code*. This document has the effect of law in North Carolina. Following the *Testing Code of Ethics* helps ensure that testing is conducted in a fair and ethical manner in every classroom across the state.



2. Maintain test security at all times.

Test books are not to be read or reviewed by anyone, including the test administrator, proctor, principal, assistant principal, etc., at any time unless there is expressed permission from the NCDPI. Items and associated materials on a secure test are not to be made available to the public. Access to state tests is limited to school personnel who have a legitimate need. School personnel and proctors are not to disclose the contents of secure tests by discussing with each other or with students any specific test questions or information contained within the tests. In order to ensure test security, discussing information related to the content of specific test items or test forms is prohibited and a direct violation of the North Carolina *Testing Code of Ethics*.

- Test books that are not being used during the test administration (e.g., students are absent) must remain closed while they are in the classroom.
- No one is to copy test items by any means for future use. North Carolina tests are secure tests. Reproduction by any means without expressed authorization by the North Carolina Department of Public Instruction is a violation of federal copyright laws, North Carolina Administrative Code, State Board of Education policy, and the North Carolina *Testing Code of Ethics*.
- Students cannot take test books or answer documents from the test room for any reason.
- Test materials must be counted prior to, during, and after the test administration. The test administrator is to notify the school test coordinator/principal immediately of any discrepancies. Immediately following the test administration, the test materials must be collected, counted, and taken immediately to the school test coordinator.
- To maintain test security, at no time are proctors to assist the test administrator in coding information on student answer documents, or assist the test administrator with

editing student answer sheets or header sheets. Proctors are not, at any time, to modify, change, alter, or tamper with student documents or North Carolina Testing Program documents.

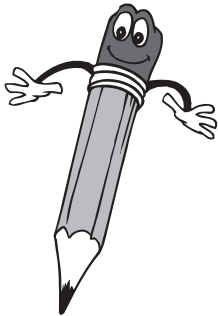
- At no time are proctors to be alone with the student answer documents or state test administration materials. If you are asked by the test administrator, please do not pick up test materials from or return test materials to the school test coordinator at the beginning or the end of testing unless you are accompanied by the appropriate school personnel. Every effort must be made to minimize public access to secure state tests prior to and after each test administration.

3. Help ensure that the physical conditions in the room are appropriate for testing (e.g., seating, lighting, temperature, etc.) and order is maintained during the test administration.

Proctors are to work with the test administrator to ensure that distractions and interruptions during the test administration are minimized. All rooms used for test administrations must be quiet, orderly, comfortable, and have adequate lighting. All ringers on phones (i.e., cell phones, class phones) must be turned off. Seating should be arranged to discourage students from sharing responses.

Any information regarding the content being measured on the test or test-taking strategies displayed in the room in any manner or form during a test administration is considered a violation of the *Testing Code of Ethics*. These displays must be covered or removed.

4. Assist the test administrator in making sure that materials are appropriately distributed to each student.



All materials for tests administered in the North Carolina Testing Program are supplied for students. Students may not use their own materials. Test administrators are not to place test materials on students' desks prior to the beginning of the test administration. This is a violation of the procedures outlined in the *Testing Code of Ethics*. Students are not to have any of the following during the test administration:

- Bookmarks
- Food, drink, or candy (except for medical reasons)
- Multiplication tables
- Textbooks
- Reference books
- Thesauruses
- Music
- Cell phones

Exceptions:

- Students may use color acetate overlays (if they are normally used in the classroom) to place over the test book during the regular administration of state tests. This does not give an unfair advantage to students; it simply helps some students to see the print more clearly.

- Highlighters may be used for all state-developed multiple-choice test books except for the computer skills multiple-choice test. Highlighters cannot be used on answer sheets/documents.
- Students may use their personal calculators for state mathematics and science tests, if applicable. The calculator memory and applications must be cleared before and after the test administration. Only test administrators, proctors, or other school personnel are allowed to clear the calculator memory of all calculators.

5. Ensure that appropriate test administration procedures are followed.

While the test administrator is reading directions to students, proctors may assist students in finding the correct place on the answer document or in the test book. Proctors are not to be provided with copies of the *Test Administrator's Manual*, and at no time are you responsible for reading directions or otherwise providing information for the test administration to students. During the test, frequently move throughout the room and help the test administrator scan the students' work areas. You can check to ensure that each student is working in the appropriate section of the test book and is recording his or her responses in the appropriate section of the answer sheet.

What you say and how you behave can impact how students respond to test questions. While serving as a proctor, you must be constantly aware of your verbal and nonverbal interactions with students. You may not assist students in choosing responses to test questions. At no time are you to modify, change, alter, or tamper with student responses to test questions. While serving as a proctor, you must remain in the room throughout the entire test administration unless there is an emergency.



In the event that you need to sit during the test administration, you should position yourself so that you have an unobstructed view of and easy access to students. Monitoring student progress must be the priority of the test administrator and the proctor. Please avoid the following distracting behaviors:

- Holding extended conversations with the test administrator
- Reading newspapers or novels
- Eating
- Carrying out other personal/professional duties
- Talking on cell phones

6. Assist students with emergencies and restroom breaks during testing.

The test administrator must remain in the room at all times during the test administration. If a student must leave the room during the administration due to an emergency (e.g., becomes ill or must go to the restroom), assist the test administrator as appropriate to deal with the situation. The immediate priority is to create as little of a disturbance to other students as possible.

7. Monitor students to ensure they are following directions, performing the required tasks, and not sharing responses.

A primary responsibility of a proctor is to monitor the test administration. This means that you should be on your feet and moving throughout the room. However, monitoring is an area where well-meaning proctors may create problems and cause a testing irregularity. You are not to read test questions from the open student test books as you monitor. Please be aware of what you can and cannot do to assist students.

You **cannot** indicate answers to students:

- By telling them to “look at that question again” or offering some similar statement
- By making a frown or other facial expression/gesture as they bubble an answer to indicate your disapproval at their response
- By standing beside the desk, reading a question, looking at the student’s response, and then pointing to the correct answer or pointing to the question as if to indicate “read that question again because you have bubbled the wrong answer”

You **cannot** help students:

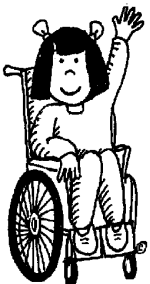
- By explaining the directions in your own words
- By explaining the meaning of any word in the directions, test questions, or the answer choices
- By rephrasing test questions
- By providing synonyms for unknown words

It is imperative that each student completes his or her own work without assistance in order for the scores to reflect the student’s ability. This means all students in every classroom across the state get exactly the same directions and hear the same words as they are printed in the manual. The test administrator can only repeat the directions.

Your monitoring of the test administration will ensure that:

- Students are marking answers in the appropriate section on the answer document
- Students are marking answers with a No. 2 pencil and not a pen or felt marker
- The color of the answer document and test book is the same (if applicable)
- Students who need something or have a problem (e.g., pencil lead breaks, calculator malfunctions, become ill) can be assisted with minimal disturbance to other students

8. Follow appropriate procedures, as directed by the test administrator, when providing accommodations to students with disabilities and students identified as limited English proficient, if applicable.

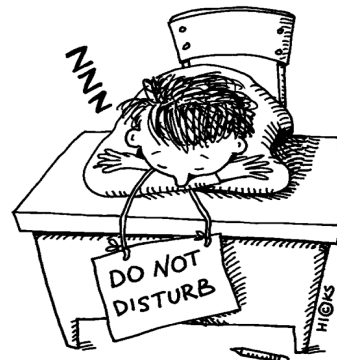


Students who use accommodations normally require special attention. If you are monitoring a test administration in which students receive accommodations, the test administrator should review with you any information you need to know regarding students’ accommodations prior to the test administration. Information that may be discussed includes the following:

- The type of accommodation(s) the student(s) will receive
- How the test administration may be different from how you may normally think students would take the test
- The special procedures necessary to provide the accommodation(s)

9. Report all testing irregularities to the school test coordinator and/or principal.

A testing irregularity or suspected irregularity must be reported immediately. In many cases, the school test coordinator can determine immediately if, in fact, an irregularity has occurred. If an irregularity has occurred, depending on the nature of the irregularity and after consultation with the school test coordinator, it can be corrected on that day with little or no additional inconvenience to the parties involved. If it is a major irregularity, students may have to be retested. In such cases, it is critical that the report is made immediately so that a retest can be scheduled. A sample Report of Testing Irregularity form is located in the back of this guide. Examples of testing irregularities include, but are not limited to the following:



- Failing to follow the procedures as described in the *Test Administrator's Manual*
- Failing to follow the test schedule procedures or makeup test schedule designated by the NCDPI Division of Accountability Services/North Carolina Testing Program
- Not testing all eligible students (State Board of Education policy HSP-A-010)
- Administering tests to ineligible students (i.e., students who are participating in the appropriate alternate assessment)
- Interpreting, explaining, or paraphrasing the test directions or the test items (State Board of Education policy HSP-A-010) including answer choices
- Leaving students unsupervised with access to secure test materials
- Allowing students to review secure test materials prior to the test administration
- Giving students instruction related to the concepts measured by the tests on the morning of the test administration or during the test administration session
- Failing to cover or remove classroom displays that provide information regarding test-taking strategies or the content being measured by the test
- Paraphrasing, omitting, revising, or rewriting the script or the directions contained within this manual
- Providing students with additional test administration time beyond the designated time specified in the *Test Administrator's Manual* (unless a student with a disability or identified as limited English proficient is to receive the accommodation Scheduled Extended Time or Multiple Testing Sessions)
- Cheating
- Illness during testing

- Reading or tampering with (e.g., altering, changing, modifying, erasing, or scoring) student responses to the test questions by school district personnel
- Failing to return the originally distributed number of test materials (e.g., test books and *Test Administrator's Manuals*) to the designated school personnel
- Providing accommodations to students who are not eligible to receive them
- Failing to follow appropriate procedures for providing testing accommodations
- Failing to provide approved accommodations to the appropriate students
- Allowing school or district personnel access to the tests who do not have a legitimate need

10. Maintain student confidentiality.



Your primary role as a proctor is to help the test administrator conduct a fair test administration. Any information about individual students that you may become aware of as a result of serving in this capacity is considered confidential information. Do not disclose any personally identifiable information about students to anyone beyond what is required while completing your proctoring responsibilities. Federal privacy laws protect students. Please be aware of their rights.

Testing Code of Ethics

Introduction

In North Carolina, standardized testing is an integral part of the educational experience of all students. When properly administered and interpreted, test results provide an independent, uniform source of reliable and valid information, which enables:

- *students* to know the extent to which they have mastered expected knowledge and skills and how they compare to others;
- *parents* to know if their children are acquiring the knowledge and skills needed to succeed in a highly competitive job market;
- *teachers* to know if their students have mastered grade-level knowledge and skills in the curriculum and, if not, what weaknesses need to be addressed;
- *community leaders and lawmakers* to know if students in North Carolina schools are improving their performance over time and how the students compare with students from other states or the nation; and
- *citizens* to assess the performance of the public schools.

Testing should be conducted in a fair and ethical manner, which includes:

Security

- assuring adequate security of the testing materials before, during, and after testing and during scoring
- assuring student confidentiality

Preparation

- teaching the tested curriculum and test-preparation skills
- training staff in appropriate testing practices and procedures
- providing an appropriate atmosphere

Administration

- developing a local policy for the implementation of fair and ethical testing practices and for resolving questions concerning those practices
- assuring that all students who should be tested are tested
- utilizing tests which are developmentally appropriate
- utilizing tests only for the purposes for which they were designed

Scoring, Analysis, and Reporting

- interpreting test results to the appropriate audience
- providing adequate data analyses to guide curriculum implementation and improvement

Because standardized tests provide only one valuable piece of information, such information should be used in conjunction with all other available information known about a student to assist in improving student learning. The administration of tests required by applicable statutes and the use of student data for personnel/program decisions shall comply with the *Testing Code of Ethics* (16 NCAC 6D .0306), which is printed below.

16 NCAC 6D .0306 TESTING CODE OF ETHICS

- (a) This Rule shall apply to all public school employees who are involved in the state testing program.
- (b) The superintendent or superintendent's designee shall develop local policies and procedures to ensure maximum test security in coordination with the policies and procedures developed by the test publisher. The principal shall ensure test security within the school building.
 - (1) The principal shall store test materials in a secure, locked area. The principal shall allow test materials to be distributed immediately prior to the test administration. Before each test administration, the building level test coordinator shall accurately count and distribute test materials. Immediately after each test administration, the building level test coordinator shall collect, count, and return all test materials to the secure, locked storage area.
 - (2) "Access" to test materials by school personnel means handling the materials but does not include reviewing tests or analyzing test items. The superintendent or superintendent's designee shall designate the personnel who are authorized to have access to test materials.
 - (3) Persons who have access to secure test materials shall not use those materials for personal gain.
 - (4) No person may copy, reproduce, or paraphrase in any manner or for any reason the test materials without the express written consent of the test publisher.
 - (5) The superintendent or superintendent's designee shall instruct personnel who are responsible for the testing program in testing administration procedures. This instruction shall include test administrations that require procedural modifications and shall emphasize the need to follow the directions outlined by the test publisher.

- (6) Any person who learns of any breach of security, loss of materials, failure to account for materials, or any other deviation from required security procedures shall immediately report that information to the principal, building level test coordinator, school system test coordinator, and state level test coordinator.
- (c) Preparation for testing.
- (1) The superintendent shall ensure that school system test coordinators:
 - (A) secure necessary materials;
 - (B) plan and implement training for building level test coordinators, test administrators, and proctors;
 - (C) ensure that each building level test coordinator and test administrator is trained in the implementation of procedural modifications used during test administrations; and
 - (D) in conjunction with program administrators, ensure that the need for test modifications is documented and that modifications are limited to the specific need.
 - (2) The principal shall ensure that the building level test coordinators:
 - (A) maintain test security and accountability of test materials;
 - (B) identify and train personnel, proctors, and backup personnel for test administrations; and
 - (C) encourage a positive atmosphere for testing.
 - (3) Test administrators shall be school personnel who have professional training in education and the state testing program.
 - (4) Teachers shall provide instruction that meets or exceeds the standard course of study to meet the needs of the specific students in the class. Teachers may help students improve test-taking skills by:
 - (A) helping students become familiar with test formats using curricular content;
 - (B) teaching students test-taking strategies and providing practice sessions;
 - (C) helping students learn ways of preparing to take tests; and
 - (D) using resource materials such as test questions from test item banks, testlets and linking documents in instruction and test preparation.
- (d) Test administration.
- (1) The superintendent or superintendent's designee shall:
 - (A) assure that each school establishes procedures to ensure that all test administrators comply with test publisher guidelines;
 - (B) inform the local board of education of any breach of this code of ethics; and
 - (C) inform building level administrators of their responsibilities.

- (2) The principal shall:
 - (A) assure that school personnel know the content of state and local testing policies;
 - (B) implement the school system's testing policies and procedures and establish any needed school policies and procedures to assure that all eligible students are tested fairly;
 - (C) assign trained proctors to test administrations; and
 - (D) report all testing irregularities to the school system test coordinator.
- (3) Test administrators shall:
 - (A) administer tests according to the directions in the administration manual and any subsequent updates developed by the test publisher;
 - (B) administer tests to all eligible students;
 - (C) report all testing irregularities to the school system test coordinator; and
 - (D) provide a positive test-taking climate.
- (4) Proctors shall serve as additional monitors to help the test administrator assure that testing occurs fairly.
- (e) Scoring. The school system test coordinator shall:
 - (1) ensure that each test is scored according to the procedures and guidelines defined for the test by the test publisher;
 - (2) maintain quality control during the entire scoring process, which consists of handling and editing documents, scanning answer documents, and producing electronic files and reports. Quality control shall address at a minimum accuracy and scoring consistency.
 - (3) maintain security of tests and data files at all times, including:
 - (A) protecting the confidentiality of students at all times when publicizing test results; and
 - (B) maintaining test security of answer keys and item-specific scoring rubrics.
- (f) Analysis and reporting. Educators shall use test scores appropriately. This means that the educator recognizes that a test score is only one piece of information and must be interpreted together with other scores and indicators. Test data help educators understand educational patterns and practices. The superintendent shall ensure that school personnel analyze and report test data ethically and within the limitations described in this paragraph.
 - (1) Educators shall release test scores to students, parents, legal guardians, teachers, and the media with interpretive materials as needed.
 - (2) Staff development relating to testing must enable personnel to respond knowledgeably to questions related to testing, including the tests, scores, scoring procedures, and other interpretive materials.

- (3) Items and associated materials on a secure test shall not be in the public domain. Only items that are within the public domain may be used for item analysis.
- (4) Educators shall maintain the confidentiality of individual students. Publicizing test scores that contain the names of individual students is unethical.
- (5) Data analysis of test scores for decision-making purposes shall be based upon:
 - (A) disaggregation of data based upon student demographics and other collected variables;
 - (B) examination of grading practices in relation to test scores; and
 - (C) examination of growth trends and goal summary reports for state-mandated tests.
- (g) Unethical testing practices include, but are not limited to, the following practices:
 - (1) encouraging students to be absent the day of testing;
 - (2) encouraging students not to do their best because of the purposes of the test;
 - (3) using secure test items or modified secure test items for instruction;
 - (4) changing student responses at any time;
 - (5) interpreting, explaining, or paraphrasing the test directions or the test items;
 - (6) reclassifying students solely for the purpose of avoiding state testing;
 - (7) not testing all eligible students;
 - (8) failing to provide needed modifications during testing, if available;
 - (9) modifying scoring programs including answer keys, equating files, and lookup tables;
 - (10) modifying student records solely for the purpose of raising test scores;
 - (11) using a single test score to make individual decisions; and
 - (12) misleading the public concerning the results and interpretations of test data.
- (h) In the event of a violation of this Rule, the SBE may, in accordance with the contested case provisions of Chapter 150B of the General Statutes, impose any one or more of the following sanctions:
 - (1) withhold ABCs incentive awards from individuals or from all eligible staff in a school;
 - (2) file a civil action against the person or persons responsible for the violation for copyright infringement or for any other available cause of action;
 - (3) seek criminal prosecution of the person or persons responsible for the violation; and
 - (4) in accordance with the provisions of 16 NCAC 6C .0312, suspend or revoke the professional license of the person or persons responsible for the violation.

*History Note: Authority G.S. 115C-12(9) c.; 115C-81(b) (4);
 Eff. November 1, 1997;
 Amended Eff. August 1, 2000*

Report of Testing Irregularity

(Part 1 must be filed within 5 days of the test administration)

Part 1

Test Administrator's Name	School Name	Today's Date
()		
Telephone Number	School System Name	Date of Test Administration

Grade	Test Name	Test Form(s)	Subject Tested/Class Period
Number of Students <input style="width: 50px; height: 20px;" type="text"/> Specify student name(s) and Answer Sheet Number(s): (Attach List, If Appropriate)	OR	<p style="text-align: center; margin: 0;">For NCDPI Use Only:</p> I _____ S _____ NS _____ STO _____ SEQ _____ DPI _____ E _____ PIM _____ MI _____ RET _____ MIN _____	

SAMPLE

*The requested information above **must** be completed. Due to the nature of certain testing irregularities, the State Board of Education has directed that a test administrator may choose to file a report (i.e., this form) directly with the NCDPI. In such cases, signatures of and copies for other school officials are optional. This form must be (a) signed by the person reporting with a telephone number where the person may be contacted and (b) mailed to your Regional Accountability Coordinator (RAC).*

As the test administrator/proctor for the test described above, I feel that I have witnessed a testing irregularity during a test administration. This incident is described in detail in the section below. (Attach any pertinent documentation, if necessary.)

Signature of Test Administrator/Proctor	Date	Signature of Principal	Date
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All requested information must be filled. One copy of this form must be retained by (a) the test administrator/proctor and (b) the principal; two copies are to be given to the school test coordinator. The school test coordinator keeps one copy of this form and gives the other copy to the school system test coordinator. The school system test coordinator and superintendent are to conduct an investigation to determine if the testing irregularity should be declared a misadministration. In accordance with State Board of Education policy, if a misadministration has occurred and the validity of the test results are affected, the student must be administered a different secure form of the test (unless the student should not have been tested in accordance with state guidelines for students with disabilities or limited English proficiency). In the event that a testing irregularity is declared a misadministration:

- (a) The test results must be declared non-valid;
- (b) Student scores must be deleted from the accountability data file;
- (c) The test administrator, principal, local school board, parent(s) or legal guardian(s), and student(s) must be notified*;
- (d) The Report of Testing Irregularity must be filed with the Regional Accountability Coordinator;
- (e) The student must be administered a different secure form of the test (unless the current IEP, current Section 504 plan, or current limited English proficiency plan in accordance with state guidelines documents that the student should not have been tested). The school system test coordinator is to make all arrangements with the NCDPI for ordering replacement test materials; and
- (f) A confidential description of the personnel action taken, if appropriate, must be attached to the Report of Testing Irregularity forwarded by RAC to the NCDPI.

*The school system should refer to local board policy for information regarding local procedures.

ACKNOWLEDGEMENTS

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