

The Proctor's Guide

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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 who 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, unless otherwise authorized by the North Carolina Department of Public Instruction's Testing and Accountability Program.

We hope you find *The Proctor's Guide* to be a useful resource that contains valuable information to assist you in your role as a proctor. *The Proctor's Guide* outlines the responsibilities of proctors and what they are permitted to do during a test administration.



This publication is available to proctors and may be kept in the schools. Additional copies also may be downloaded from the North Carolina Department of Public Instruction's Web site at <http://www.ncpublicschools.org/accountability/policies/>.

The Selection of Proctors

The principal shall assign trained proctors for test administrations regardless of the number of students being tested unless otherwise authorized by the NCDPI Testing and Accountability Program. The principal shall select trained proctors who are responsible adult community volunteers (i.e., age 18 or older and not enrolled as a student in the K–12 public school system), school staff, or school system staff. Parents or relatives (e.g., mother, grandparent, uncle, aunt) who serve as proctors should not proctor for their child or relative’s test administration. Test administrators should not administer tests with a proctor who is a personal family member or a close acquaintance.

The Proctor’s Responsibilities

Prior to each test administration, proctors must attend a test administration training session and understand 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*

Prior to the test administration, proctors must thoroughly read the North Carolina *Testing Code of Ethics* and the sanctions found in this publication. Please pay careful attention to section (g)—the unethical testing practices cited in the *Code*—and section (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 and/or online test items are not to be read or reviewed by anyone, including the test administrator, proctor, principal, assistant principal, or others at any time unless there is expressed permission from the North Carolina Department of Public Instruction (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 nor discuss with each other or with students any specific test questions or information contained within the tests. 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 method for future use. North Carolina tests are secure tests. Reproduction by any means without expressed

authorization by the NCDPI 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 and the number recorded prior to and after the test administration. The test administrator is to notify the school test coordinator/principal immediately of any discrepancies in the count. Immediately following the test administration, the test materials must be collected, counted, and taken to the school test coordinator.
- At no time are proctors to be alone with the student answer documents or state test administration materials. If 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.
- At no time are proctors to assist the test administrator in coding information on student answer documents or assist the test administrator with reviewing student answer sheets or header sheets. Proctors are not permitted to modify, change, alter, or tamper with student documents or North Carolina Testing Program documents.

3. Help Ensure the Physical Conditions in the Room Are Appropriate for Testing

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

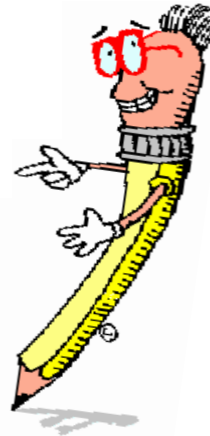


Any information regarding the content being measured on the test or test-taking strategies displayed in the room in any manner or form during a test administration is considered a violation of the *Testing Code of Ethics*. These displays must be covered or removed.

4. Make Sure Materials Are Appropriately Distributed

The North Carolina Testing Program supplies all materials students will need for the test administrations. 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
- Candy
- Drink
- Multiplication tables
- Textbooks
- Reference books
- Thesauruses
- MP3 players
- Music
- Cameras
- Smartpens
- Cell phones



Exceptions:

- Students may use color acetate overlays 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 in all state-developed multiple-choice test books. Highlighters cannot be used on answer sheets/documents.
- Students may use their personal calculators for state mathematics and science tests, if applicable. These calculators must be collected prior to and immediately following the test administration. The calculator memory and applications must be cleared before and after the test administration. Only the test administrator or the principal's designee is allowed to clear the memory and applications of all calculators before and after the test administration.

5. Ensure 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, in the test book, or on the computer screen (for online administrations). Proctors are not to be provided with copies of the *Test Administrator's Manual*, and at no time are proctors responsible for reading directions, test questions, or otherwise providing information for the test administration to students. During the test, proctors should frequently move quietly throughout the room and help the test administrator scan the students'

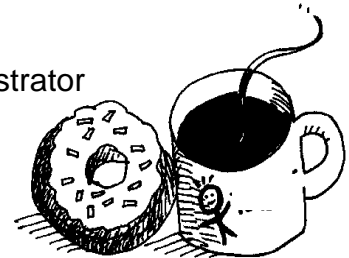
work areas. For paper-and-pencil administrations, proctors can check to ensure that each student is working in the appropriate section of the test book and is recording his or her responses in the appropriate section of the answer sheet. For online administrations, proctors should notify the test administrator if a student has a computer problem (i.e., system errors). Test administrators are to assist students with computer problems and may answer any student's procedural questions, but they cannot provide any specific assistance with answering test questions.



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 or drinking
- Carrying out other personal/professional duties
- Talking or texting on cell phones



6. Assist Students with Emergencies and Restroom Breaks during Testing

The proctor must remain in the room throughout the entire test administration unless there is an emergency. If a student must leave the room during the test 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

A primary responsibility of a proctor is to monitor the test administration to ensure students are following directions, performing the required tasks, and not sharing responses. This entails frequently walking quietly 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 open student test books or from computer monitors used for online assessments. Please be aware of what you can and cannot do to assist students.

You **cannot** indicate answers to students. Some examples include but are not limited to:

- Telling students to “look at that question again” or offering some similar statement
- Making a facial expression, hand gesture, or utterance (e.g., coughing, clearing throat) as a student bubbles an answer to indicate your approval or disapproval at his or her response
- 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 translating a word or phrase into another language
- By providing synonyms for unknown words

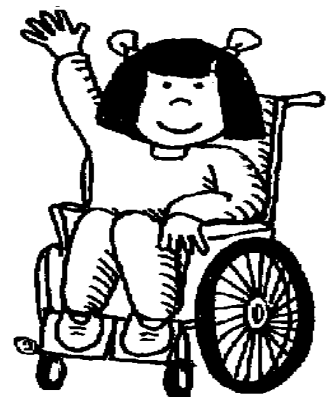
It is imperative that each student completes his or her own work without assistance in order for the scores to reflect the student’s ability. All students in every classroom across the state should get exactly the same directions and hear the same words as they are printed in the manual. The test administrator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

Students who use accommodations normally require special attention. If you are monitoring a test administration in which students with disabilities and/or students identified as limited English proficient 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 should 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



A testing irregularity or suspected irregularity must be reported to the school test coordinator and/or principal on the day of the occurrence. In many cases, the school test coordinator/principal can determine immediately if in fact an irregularity has occurred. If an irregularity has occurred, depending on the nature of the irregularity, it may 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 as soon as possible. A sample *Online Report of Testing Irregularity* 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/Guide*
- 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 GCS-A-010 [16 NCAC 6D .0306])
- Administering tests to ineligible students (e.g., students who are to participate in an appropriate alternate assessment)
- Interpreting, explaining, or paraphrasing the test directions or the test items including answer choices (State Board of Education policy GCS-A-010 [16 NCAC 6D .0306])
- Leaving students unsupervised with access to secure test materials
- Allowing students to review secure test materials prior to the test administration
- Giving students on the morning of the test administration or during the test administration session instruction related to the concepts measured by the tests
- 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 the *Test Administrator's Manual/Guide*

- Providing students with additional test administration time beyond the designated maximum time specified in the *Test Administrator's Manual/Guide* (unless a student with a disability or identified as limited English proficient is to receive the accommodation *Scheduled Extended Time*)
- 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, answer sheets, and test administrator's manuals/guides) to 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 students' 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.

GCS-A-010 (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*

Sample Screenshot of Online Testing Irregularity Form–Part One

North Carolina Online Testing Irregularities Submission System (OTISS) Logout

[Home](#) [New/Pending Irregularities](#) [Submitted Irregularities](#) [Report an Irregularity](#) [Manage Permissions](#)

Add an Irregularity

Enter irregularity information; then click on the "Submit Irregularity" button.

Your Name:

Your Phone Number: *Phone number must be in the form (999) 999-9999.*

Irregularity Description:

SAMPLE

Date the Irregularity Occurred:

Assessment:

School Name:

Done oae.dpi.state.nc.us

Sample Screenshot of Online Testing Irregularity Form–Part Two

North Carolina Online Testing Irregularities Submission System (OTISS) Logout

Irregularity Classification Apply Changes Cancel

IrregularityType : 999 - Not Yet Determined ▼
(Consult the attached list if necessary for proper coding.)

Misadministration : No
 Yes

Further Action needed : No
 Yes

Explain what/why further action is needed/not needed :

SAMPLE

Retest : No
 Yes

Explain why no retest is required :

Done oea.dpi.state.nc.us

ACKNOWLEDGEMENTS

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