THE
PROCTOR'S GUIDE

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North Carolina Department of
PUBLIC INSTRUCTION

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Thank you for volunteering to serve as a proctor. Proctors serve as additional monitors to help test administrators ensure that correct testing policies and procedures are followed, which ensures a fair and equitable testing experience for all students.

Who Can Serve as a Proctor?

Proctors are responsible adult community members (i.e., age 18 or older and not enrolled as a student in the K–12 public school system), school staff, or public school system staff.

Proctors should not be assigned to rooms where their relatives or wards will be tested. Relatives and wards include children, stepchildren, grandchildren, nieces, nephews, siblings, in-laws, and persons under the proctor's guardianship. Additionally, proctors should not be assigned to a room with a test administrator who is a family member or close acquaintance. If you are assigned to a testing session with a relative or close acquaintance, please notify the school test coordinator immediately.

What Are the Responsibilities of a Proctor?

Proctors are required to attend a proctor training session at the school before the test administration. Proctors are required to read and become familiar with the *Testing Code of Ethics* and sign a *Proctor—Confidentiality and Test Security Agreement* before being assigned to a test session. Special attention should be given to understanding the sanctions in the *Testing Code of Ethics*.

Maintaining Test Security at All Times

Test books and online test questions are considered secure test materials and are not to be read, reviewed, duplicated, or shared in any manner by anyone except students completing the test. The only exceptions are for staff with a specific need to access the test (e.g., read aloud accommodation, transcription).

School personnel and proctors must never read, transmit, or share test questions or answers from students' tests (except for students with a documented need requiring accommodations, such as *Test Read Aloud [in English])*. Taking notes or photographs of secure test questions or posting secure information on the internet or social media is prohibited.

Proctors are not allowed to distribute or collect materials, read directions, or provide any type of assistance to students during the test session.

Ensuring Physical Conditions in Testing Rooms Are Appropriate

Students are not allowed to access (physically or wirelessly) or have in their possession cell phones or any other electronic devices (except for the device they are using for the test administration) at any time during testing, including breaks. If any student is found or observed with a cell phone or electronic device during the test session, even if they have completed the test, the school test coordinator must be contacted immediately.

Personal cell phones or other electronic devices must not be used by staff during the test administration, including breaks. Before testing begins, test administrators and proctors must turn off their personal cell phones and electronic devices and ensure these devices are not visible. Use of cell phones and electronic devices by anyone during a test administration must be reported to the school test coordinator.

Proctors should work with test administrators to ensure distractions and interruptions during test administrations are minimized and order is maintained.

All rooms designated for testing must be quiet, orderly, and comfortable, with adequate seating, lighting, and heating or cooling. Any displays related to the content being measured or test-taking strategies (e.g., bulletin boards, instructional displays, reference materials [printed or attached] on student desks or devices) must be covered or removed.

All desks or workstations must be cleared of books and other materials that are not required for the test. Each student should have enough space in which to work. Seating should be arranged to discourage students from sharing responses. Students are not permitted to access personal belongings during testing, including breaks.

Ensuring Materials Are Distributed Appropriately

Test materials distribution instructions are included as part of the test administration script. However, some test sessions may provide students with supplemental materials and tools used as designated features. These materials may be placed on students' desks before reading the script. If you have questions about what materials will be provided during a testing session where you will be proctoring, ask the school test coordinator before the test session begins.

Ensuring Appropriate Test Administration Procedures Are Followed

While test administrators are reading directions to students, proctors may assist students in finding the correct place on the device screen or in the test book. Proctors should avoid distracting behaviors during the test session. During the test, proctors should walk frequently and quietly throughout the room and help the test administrator monitor the test administration.

For online administrations, proctors should notify the test administrator if a student encounters a problem such as a network malfunction, or a question fails to load properly. Only test administrators can assist students with device problems or answer procedural questions (e.g., those concerning the web browser, app, toolbar, navigation buttons, review screen). Test administrators and proctors cannot provide any verbal or nonverbal assistance to students who are taking the test.

Assisting Students with Emergencies

If a student must leave the room during a test administration because of an emergency, proctors should assist the test administrator appropriately, so the situation can be handled with as little disturbance to other students as possible. If the test administrator must leave the room, the school test coordinator must be notified. A trained test administrator must remain in the room at all times during the test administration.

Monitoring Students during the Test Session

The primary responsibility of a proctor is to monitor the test administration. This entails walking frequently and quietly throughout the room.

Ensuring Accommodations Are Provided Appropriately

Before proctoring a test administration in which students with disabilities, students identified as English Learners, or students with transitory impairments receive accommodations, proctors should review with the test administrator any information needed regarding the students' accommodations. Information that should be discussed includes:

- the type of accommodation(s) the student(s) will receive,
- how the test administration may differ from what is considered a standard administration, and

- the procedures necessary to provide the accommodation(s).

After Testing

In some test settings there may be students who complete the test before the scheduled time is over. Students who finish early may remain in the testing room or may be dismissed. If students who finish early remain in the testing room, they may read non-instructional materials (e.g., magazines) while the other students continue working to complete the test. Students are not permitted to use electronic devices while there are students still testing in the same room.

Reporting All Testing Irregularities

Proctors must immediately report any alleged testing irregularity or testing violation to the school test coordinator or principal on the day of the occurrence. A list of possible testing irregularities or violations is available in Appendix A of this guide.

Maintaining Student Confidentiality

Caution and care must be taken to maintain student confidentiality. Any information about individual students learned while proctoring is considered confidential. Proctors must not disclose any personally identifiable information about students to anyone beyond what is required while attending to their proctoring responsibilities. Students are protected by federal privacy laws.

Appendix A: Testing Violations, Irregularities, and Misadministrations

The use of the following items in the testing room may constitute a misadministration, an irregularity, or violation of the *Testing Code of Ethics*. On days before testing, teachers are expected to announce to students which items cannot be accessed in the testing room.

- **Electronic devices.** Students are not allowed to use or have in their possession cell phones or any other electronic recording, listening, scanning, communication, or photographic devices at any time during testing, including breaks. Any student found or observed with a cell phone or electronic device during testing time must be dismissed from testing and a misadministration declared for that student.
  - If a student must be removed from testing because he or she has a cell phone or electronic device during testing, the test administrator must not leave the testing room unattended but must notify the school test coordinator so that the student can be removed from the testing room in the least disruptive manner possible.
  - Before testing begins, test administrators and proctors must turn off their personal cell phones and electronic devices (e.g., smart watches, smart glasses) and ensure these devices are neither used nor visible during testing, including breaks.
- **Personal belongings.** Personal belongings are allowed in the testing room; however, students must not be permitted to access them at any time during testing, including breaks.
  - Students who complete the test before the scheduled time is over and remain in the testing room shall be provided with the opportunity to read novels or any other reading materials that are not a textbook or contain instructional content (e.g., magazines) while waiting for other students to finish the test.
    - Students are not permitted to use electronic devices while there are students still testing in the same room.
  - For online tests, test administrators must ensure students have clicked the **End Test** button to close the test and collect all ancillary materials (e.g., used papers) before students can take out their reading materials.
  - For paper administrations, test administrators must collect student test books and all ancillary materials (e.g., used paper) before students can take out their reading materials.

- **Testing aids.** Books, bookmarks, multiplication tables, notes, number lines, cameras, cell phones, personal learning devices, personal computers (if not used for testing), or electronic devices (e.g., smartwatches, smart glasses) or supplemental items not approved by the Annual Testing Program are prohibited during the administration of any test.

Test administrators must remain attentive to their testing responsibilities throughout the entire test administration. Reading (except for the test administration guide or supplemental testing policy information); grading papers; using a computer, cell phone, or other electronic device; talking casually with a proctor or other staff; or engaging in any activity in the testing room not related to the test administration is not allowed.

Details regarding what constitutes a misadministration, irregularity, or violation of the *Testing Code of Ethics* and information concerning how to report incidents should be discussed during training. Test administrators must report any alleged testing violation or testing irregularity to the school test coordinator on the day of the occurrence. Examples of testing irregularities include, but are not limited to, the following:

Eligibility

- Eligible students not tested
- Ineligible students tested

Accommodation

- Approved accommodation not provided
- Approved accommodation not provided appropriately
- Accommodation provided but not approved or documented
- Accommodation/Designated Feature *Test Read Aloud (in English)* or *Interpreter/Transliterator Signs/Cues Test* provided during a test that measures reading skills (e.g., end-of-course English II, end-of-grade reading)

Security

- Students accessed or used a prohibited electronic device during testing
- Staff accessed or used a prohibited electronic device during testing
- Allowing staff access to a test who do not have a verified need (e.g., *Test Read Aloud [in English]* accommodation)
- Allowing students access to secure test materials before the test administration

- Missing test materials
- Secure test materials not properly returned
- For online testing, failing to maintain security of NC Education username and password
- Failing to store secure test materials in a secure, locked facility.
- Failing to cover or remove bulletin board materials, classroom displays, or reference materials (printed or attached) on students' desks that provide information regarding test-taking strategies or content.
- Reproducing questions from secure test(s) in any manner or form
- Using questions from secure tests for instruction
- Failing to return the originally distributed number of test materials to designated school personnel
- Discussing with others any of the test questions or information contained in the tests, or writing about or posting them on the internet or on social media

Monitoring

- Failing to prevent students from cheating by copying, using cheat sheets, or asking for information
- Failing to prevent students from gaining an unfair advantage by using an electronic device
- Allowing students to remove secure materials from the testing site
- Failing to monitor students and secure test materials during breaks
- For online testing, leaving devices unsupervised when secure online tests are paused or open and visible
- Leaving the testing room unmonitored when students and secure materials are present

Procedural

- Paraphrasing, omitting, revising, interpreting, explaining, or rewriting the script, directions, or the test questions, including answer choices.
- Reading or tampering with (e.g., altering, changing, modifying, erasing, deleting, or scoring) student responses to the test questions
- Failing to administer tests on the approved date or during the testing window designated by the North Carolina General Assembly.

- Providing students with additional time beyond the designated time specified in this test administration guide (except for students requiring accommodations, such as *Scheduled Extended Time*)
- Test administrator or proctor giving improper assistance or providing instruction related to the concepts measured by the test before the test administration or during the test administration session

Technical

- Online test connectivity and technical problems
    - Schools must report online test connectivity and technical problems that occur during the administration of online tests only when students are unable to successfully complete the test. Reports do not need to be entered for students who successfully complete the test despite a technical issue.
- Online test questions did not display properly

Appendix B: Proctor–Confidentiality and Test Security Agreement

In performing my assigned duties and responsibilities as the proctor, I understand that:

1. I cannot be assigned to test sessions where my relatives or wards are testing and where the test administrator is a personal family member or close acquaintance.
2. I cannot distribute or collect test materials, read directions, assist students on the test, or review student information or responses.
3. I must ensure all cell phones (i.e., cell phones belonging to students, test administrators, and proctors) are turned off, and they or any other electronic devices are not accessed at any time during the test administration, including breaks. (Students testing online may use approved electronic devices.)
4. to ensure test security, I will not discuss or share information relating to the contents of any test or testing process. This restriction applies to discussion with mass media, including, but not limited to, print, radio and television media, and social media.
5. I will assist in actively monitoring the testing environment and minimize distractions and interruptions in the testing environment.
6. I will assist school personnel in ensuring appropriate test administration procedures are followed.
7. I will assist test administrators with students who have emergencies or need restroom breaks.
8. I will assist school personnel in ensuring accommodations are provided appropriately.
9. I will monitor the distribution of materials as specified by the script in the test administration guide. (Exceptions include approved supplemental materials or designated features such as highlighters, colored pencils, color acetate overlays, and students who receive a sample copy of the English II constructed response space or mathematics grid.)
10. I will maintain student confidentiality and must not disclose any personally identifiable information (PII) about individual students. (Student information is protected by federal privacy laws.)
11. I will report all testing irregularities or testing violations to the school test coordinator or principal on the day of occurrence.
12. I have reviewed and understand the *Testing Code of Ethics* (found in the back of *The Proctor's Guide*) before proctoring a test administration.

My signature below indicates my agreement to abide by and fulfill the obligations and duties described above.

Print Name Here:_____

Signature:_____

Date:_____

Appendix C: *Testing Code of Ethics*

Introduction to the *Testing Code of Ethics*

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 and legal guardians* 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 or course-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.

In order to achieve those objectives, teachers and administrators must conduct testing 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 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

Standardized test scores are only one of the many indicators of how well the student is learning. Test scores should be used in conjunction with all other available information about a student to understand student progress and improve student learning. When administering tests, school administrators and teachers must comply with applicable statutes, rules, and policies. In particular, administrators and teachers must comply with the *Testing Code of Ethics* (16 N.C. Admin. Code 6D .0311), which is printed on the following pages.

16 NCAC 06D .0311 TESTING CODE OF ETHICS

a. This Rule shall apply to all public school unit (PSU) employees or agents while they are administering the Annual Testing Program defined in Rule .0307(c) of this Section.
b. The PSU shall develop local policies and procedures to ensure maximum test security in coordination with the policies and procedures developed by the test publisher.
c. The PSU shall require all testing coordinators, school test coordinators, test administrators and proctors to be trained as required in Rule .0308 of this Section.
d. The PSU shall designate the personnel who are authorized to have access to secure test materials. "Access" to test materials by school personnel means handling the materials but does not include reviewing tests or analyzing test items.
    1. Persons who have access to secure test materials shall not use those materials for any purpose other than test administration.
    2. No person shall copy, reproduce, or paraphrase the test materials without the express written consent of the test publisher.
e. The principal shall store test materials in a locked facility to which only the principal has access. The principal shall not allow anyone access to the test materials except as necessary for administration.
f. When PSU personnel discover loss of materials, failure to account for materials, or any evidence of unauthorized access to the materials, they shall report the discovery without delay to the principal, school test coordinator, school system (LEA) test coordinator, or charter school director.
g. PSUs shall ensure that test coordinators:
    1. plan and implement training for school test coordinators, test administrators, and proctors;
    2. ensure each school test coordinator and test administrator is trained in accordance with Rule .0308 of this Section; and
    3. in conjunction with program administrators, ensure test accommodations to students entitled to testing accommodations as defined in 16 NCAC 06G .0315; are documented and provided.
h. The principal or the principal's designee shall serve as school test coordinator.
i. The principal shall ensure the school test coordinator maintains test security and accountability of test materials, including taking the following actions:

1. before each test administration, the school test coordinator shall count and distribute test materials;
2. after each test administration, the school test coordinator shall without delay collect, count, and return all test materials to the locked storage facility;
3. establishes procedures to assure all students participating in the Annual Testing Program have an equal opportunity to demonstrate their knowledge on the test; and
4. identifies and trains personnel, proctors, and backup personnel for test administrations.

j. Teachers may help students improve test-taking skills by:
   1. helping students become familiar with test formats using curricular content;
   2. teaching students test-taking strategies and providing practice sessions;
   3. helping students learn ways of preparing to take tests; and
   4. using resource materials such as test questions from test item banks and linking documents in instruction and test preparation.

k. With respect to test administration, PSUs shall:
   1. assure each school establishes procedures to ensure all test administrators comply with test publisher guidelines;
   2. inform the local board of education of any breach of this code of ethics; and
   3. inform test coordinators and principals of their responsibilities.

l. The school test coordinator shall:
   1. assure school personnel know the content of rules in this Section and local testing policies;
   2. implement the school system and local testing policies and procedures to assure all students participating in the Annual Testing Program have an equal opportunity to demonstrate their knowledge on the test;
   3. ensure proctors are trained; and
   4. ensure all violations of rules in this Section and local testing policies are reported to the school system (LEA) test coordinator.

m. Test administrators shall:
   1. administer tests according to the directions in the assessment guide and any subsequent updates developed by the test publisher;
   2. administer tests to all students enrolled in a grade or course that requires a test in the Annual Testing Program;

3. report all violations of rules in this Section and local testing policies to the school test coordinator; and

n. Proctors shall serve as additional monitors to help the test administrator assure that students have an equal opportunity to demonstrate their knowledge on the test.

o. Scoring. The school system test coordinator shall:
   1. ensure 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 scoring 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.

p. Educators shall use test scores as one piece of information to be interpreted together with other scores and indicators when determining a student's grade. The PSU shall ensure that school personnel analyze and report test data within the limitations described in this Paragraph.
   1. Educators shall maintain the confidentiality of individual students. PSU personnel shall not publicize test scores or any written material containing personally identifiable information from the student's educational records except as permitted under the provisions of the Family Educational Rights and Privacy Act of 1974, 20 U.S.C. 1232g and regulations adopted pursuant thereto.
   2. Staff development relating to testing must enable school personnel to respond knowledgeably to questions related to testing, including the tests, scores, scoring procedures, and other interpretive materials.

q. Unethical testing practices include the following practices:
   1. encouraging students to be absent the day of testing;
   2. encouraging students not to do their best;
   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. classifying students for the purpose of avoiding State testing;

7. not testing all students enrolled in a grade or course that requires a test in the Annual Testing Program;
8. failing to provide required accommodations during testing to students entitled to testing accommodations as defined in 16 NCAC 06G .0315;
9. modifying scoring programs including answer keys, equating files, and lookup tables;
10. modifying student records for the purpose of raising test scores;
11. using a single test score to place a student in a grade or a course; and
12. providing inaccurate test results and interpretations to the public.

r. In the event of a violation of this Rule, the State Board of Education may impose any one or more of the following sanctions:
   1. withhold any monetary incentive awards;
   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 06C .0312, suspend or revoke the professional license of the person or persons responsible for the violation.

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