

TEXAS EDUCATION AGENCY

Student Assessment Division

Test Security Supplement

2007–2008

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Purpose of this Supplement

Maintaining the security and confidentiality of the Texas state assessment program is crucial for ensuring valid test scores and providing standard and equal testing opportunities for all students. Given the high stakes associated with student performance and the increasing complexity of the assessment program, test administration personnel face new challenges in managing the testing requirements at the local level. The Texas Education Agency (TEA) Student Assessment Division developed the *Test Security Supplement* to help guide districts in implementing these requirements and to foster best practices for maintaining a secure testing program.

First introduced in fall 2005, the *Test Security Supplement* has been revised annually to address the most frequently reported problems and challenges experienced in previous administrations and to alert districts about possible issues they may face in the upcoming testing year. In 2006, TEA released the *Secure Materials Supplement* in response to an increased focus on the loss and late return of secure test materials distributed to school districts and the additional measures implemented to collaboratively ensure the successful return of these items. To provide a single resource to testing personnel, the content from the *Secure Materials Supplement* has now been combined with the *2008 Test Security Supplement*.

The information contained in the *Test Security Supplement* is organized from the perspective of issues a district testing coordinator might encounter before, during, and after a test administration and is meant to provide guidance on how required tasks can be performed as directed. **This document is not intended to replace any procedures or instructions contained in the 2008 District and Campus Coordinator Manual or test administrator manuals.** It is provided to testing personnel as a supplement to further support incident-free test administrations.

General Information and Key Changes in Test Security

Several key changes that impact test security have been incorporated into the *2008 District and Campus Coordinator Manual*. The most significant changes reflect recommendations made by TEA's Task Force on Test Integrity and TEA's ongoing efforts to improve security measures in the state's assessment program. In June 2007, TEA introduced a comprehensive 14-point plan designed to assure parents, students, and the public that test results are meaningful and valid. Several aspects of this plan will be implemented during the spring 2008 administrations, while other measures will be instituted over the next few years. A summary of these measures and other key changes is provided below to highlight the issues that will impact testing personnel. Additional information has been included to clarify and heighten awareness of situations that can lead to testing irregularities.

14-Point Plan Measures Introduced for 2008 Administrations

Beginning with the 2008 administrations, TEA will promote test security and confidentiality by implementing the following new measures:

Seating Charts

Seating charts must be completed for each testing session conducted by the district, including sessions that result from students being moved or relocated for any reason (overflow and/or consolidation of students, original testing areas becoming unsuitable, etc.). To assist districts in the implementation of this new requirement, seating chart examples have been provided in Appendix A of this supplement. Districts may create seating chart templates that best suit their needs; however, the following minimal information must be collected for each testing session:

1. The location of the testing session must be recorded, including the district and campus names and the room designation. Provide a brief description of the testing area (e.g., classroom, library, cafeteria).
2. The assessment that is being administered at this location must be indicated, including the specific test administered, the subject area (e.g., reading, writing), and the grade level.
3. The first and last name(s) of the test administrator(s)/monitor(s) conducting the assessment must be recorded.
4. The first and last name of each student participating in the assessment must be indicated on the chart at the location where the student was seated for testing. Districts and campuses may include additional information if they choose to do so.

Honor Statements

Students in grades 9 and 10 as well as exit level examinees will be asked to sign an honor statement immediately prior to taking Texas Assessment of Knowledge and Skills (TAKS) assessments. The following language will appear on the examinee's answer document:

By signing my name, I agree that I will not give or receive unauthorized assistance during the test. I understand that giving or receiving unauthorized assistance during the test is cheating and may result in the invalidation of my test results.

Sample language that districts can adapt and send to parents prior to 2008 testing has been provided in Appendix B of this supplement. The language includes background information relating to this measure and why it is being implemented. By notifying parents about this new requirement in advance, districts will afford parents an opportunity to speak to their children about the importance of not providing or receiving assistance on a test and the consequences that can result if cheating occurs.

Test administrators will be provided instructions for prompting students to complete the honor statement. Test administrators will not be required to verify that examinees have signed the honor statement, and information will be included in the test administration manuals regarding how to address students who refuse to sign the statement.

Reporting Local Investigatory and Disciplinary Actions Taken Against Educators and Students

Current guidelines for reporting testing irregularities to the Student Assessment Division are described in this supplement as well as in the *2008 District and Campus Coordinator Manual*. For irregularities requiring a Corrective Action Plan to be submitted to TEA, a template has been designed for submitting this information. The sample form can be found in Appendix C of this supplement. An electronic version of the template is also posted on the TEA Student Assessment website at the following address:

<http://www.tea.state.tx.us/student.assessment/admin/incidents/index.html>

As part of the implementation of the 14-point test security plan, districts will have an additional reporting requirement beginning with the spring 2008 administrations. Any disciplinary action taken against a student for cheating on a state assessment, such as invalidation of the student's test or suspension, **must** be reported to TEA. A new online form, *Locally Determined Disciplinary Action Taken Against Student(s)*, has been developed for submitting this information and can be accessed and completed via the TEA Student Assessment website. Districts that encounter difficulties with the online form can download an electronic version of the document to complete and submit by e-mail to testsecurity@tea.state.tx.us. An example of the form is provided in Appendix D.

Document Retention

Districts are now required to maintain the following documents for a period of five years following a test administration:

1. testing irregularity and investigation documentation
2. inventory and shipping records
3. signed security oaths for all testing personnel (with the exception of the district testing coordinator and superintendent/chief administrative officer oaths that are mailed to the state's testing contractor)
4. seating charts

Districts may decide how this documentation is to be stored – e.g., scanned and kept in an electronic format, hard copy – as long as the information is secure and can be retrieved if necessary.

On-Site Monitoring

Using independent test monitors, TEA will conduct visits to districts and campuses throughout the 2008 testing year. The Student Assessment Division will be coordinating with the Office of Monitoring and Interventions, the Office of the Inspector General, and the Office of General Inquiries to develop procedures for identifying campuses where testing will be monitored and/or where visits will occur.

New Procedures Involving Oaths

Security oaths were revised in 2006 to more clearly indicate to those signing the oaths each area of responsibility for which they are affirming compliance based on the roles they assume during an administration. For 2008 testing, all oaths except that of the superintendent/chief administrative officer have been updated to more closely follow the order of events that will occur before, during, and after an administration. Since all testing personnel must be trained prior to handling secure materials, the first

part of the new oaths requires individuals to initial and sign to indicate that they **have been trained** and that they **will** comply with rules governing the assessment program. The second part of the updated oaths directs testing personnel to affirm by their signature that they **have** complied with assessment requirements.

District coordinators should be aware that this change will involve two steps: individuals must initial and sign their oaths *before* being permitted to handle secure materials; then they will sign *after* the completion of an administration (for test administrators) or upon the conclusion of testing for the year (for district and campus coordinators and principals).

Oral Administrations and Duplication of Compositions and Open-Ended Responses

To reinforce the importance of confidentiality requirements, the Student Assessment Division is placing additional emphasis on the procedures governing oral administrations and the duplication of compositions and open-ended responses. District and campus coordinators are asked to reiterate in their training sessions and during testing the proper manner in which these activities are to be conducted. Test administrators giving an oral administration must be instructed that they are viewing secure content and that responding to test items, recording the information they see, viewing or scoring examinees' responses, or discussing the content of the test is strictly prohibited.

Detailed clarification has also been provided in the *2008 District and Campus Coordinator Manual* identifying the specific grade level tests for which districts may duplicate student compositions and open-ended responses during the March TAKS and TAKS (Accommodated) administrations. Testing personnel should be reminded that the copies of the compositions and open-ended responses may not be reviewed, distributed, or discussed until the date specified on the Calendar of Events and that field-test compositions or field-test open-ended responses must never be duplicated.

Active Monitoring

Districts' efforts to promote good monitoring practices have had a noticeable and positive effect on the prevention of testing irregularities. Inadequate monitoring during an administration, however, still remains one of the most common mistakes made and is a major contributor to other errors. Failing to ensure proper oversight can limit a district's assurance that confidentiality has been maintained and can result in the invalidation of students' tests.

District testing coordinators should continue to emphasize during training the importance of active monitoring. Test administrators should confirm that students are working only on the subject-area test being administered that day and that examinees do not have access to unauthorized materials. Grade 3 students using scorable test booklets should be regularly reminded to respond to every question, and test administrators for all other grade levels are required to verify that students have recorded their responses on their answer documents. Principals and campus testing coordinators should confirm that test administrators are performing these activities in each testing room.

Overview of Materials Security

According to 19 TAC §101.61, all test materials must be handled in strict accordance with the instructions contained in the *2008 District and Campus Coordinator Manual* and in the test administrator manuals. Trained, certified personnel and/or their trained designees are the only individuals authorized to have access to test materials. In addition, all secure items must be properly monitored and accounted for during testing and kept in locked storage when not in use.

District testing coordinators are responsible for ensuring that all secure materials have been accounted for, both upon receipt in the district and prior to returning the materials to the state's testing contractor. Every test booklet and Linguistically Accommodated Testing (LAT) linguistic simplification guide has a unique security number used for tracking purposes. Districts are required to implement any controls necessary to ensure accurate and reliable tracking of all secure items. Districts must now maintain inventory and shipping records for at least five years in the event that a discrepancy arises or the receipt of the district's materials cannot be confirmed.

To assist coordinators in identifying sections and individual topics that pertain directly to secure test materials, the following "lock" icon will appear next to these items throughout this supplement:



For additional information regarding some best practices that have been employed in the field, please refer to Appendix E of this document.

Differentiating Between Secure and Nonsecure Items

Appendix F of this supplement provides a summary of the types of secure and nonsecure testing materials that are sent to districts and identifies which items must be returned in the scorable shipment and which are returned in the nonscorable shipment. All bar-coded, secure materials must be shipped back to the testing contractor at the end of each test administration; however, only a portion of the nonsecure materials must be returned. Districts should note that some nonsecure items may contain student information that must be kept confidential.

What Can You Do to Make Sure Your Program is Secure?

Things to Consider BEFORE an Administration



Planning for the Receipt, Storage, and Distribution of Materials

Sound planning plays a key role in ensuring the proper handling and complete return of all secure materials. Because testing materials are stored at campuses for much of the time they are in the district, it is essential that campus coordinators also plan accordingly. It will be important for district testing coordinators to verify that the campuses have sufficient measures in place and are implementing these procedures for tracking secure materials. Listed below are some considerations coordinators should take into account when planning for an administration.

Prepare for the receipt and storage of testing materials.

- ___ Do you carefully review the advance letter and materials list so you will know exactly which and how many materials will arrive from the testing contractor? (These documents should be available online approximately one month before each test administration.)
- ___ Based on the materials list, do you verify that each campus will have sufficient testing materials? (If additional materials are required, it is often more efficient to compile the needs of all of the district's campuses and submit a single order to the state's testing contractor.)
- ___ Is your secure area large enough to store all materials you will receive from the contractor, including shipments for administrations that overlap?
- ___ Do you have enough room to sort all the materials you will receive for each administration?
- ___ Do you have a plan in place for keeping each administration organized and separate? (Do not mix administrations when you return materials. Materials returned in boxes labeled incorrectly take longer to process.)
- ___ If additional materials are ordered, have you identified how you will store, distribute, and track these items after they are received?
- ___ Have you identified all personnel who will be authorized to have access to materials?
- ___ Are campuses prepared to receive their shipment? Do they have adequate secure storage space and room to inventory and sort materials?
- ___ Have campuses identified all individuals who will have access to the secure storage area?

Prepare for the distribution of testing materials.

- ___ Have you established procedures for distributing and tracking overage materials? Do you have a tracking document or some other means you can use to record the security numbers and destination of all booklets?
- ___ Have you established a secure method for transferring materials to campuses?
- ___ Are the individuals transporting the materials authorized to handle secure materials?

- ___ Have you established sign-off procedures to identify who is responsible for materials when they are not in your possession?
- ___ Do campus coordinators have Materials Control Forms ready to use when distributing test materials to test administrators each day? Do they have a tracking document for recording overage or additional materials they receive, as well as for booklets that may be transferred between campuses?
- ___ Does each campus have check-in/check-out procedures established and documented?
- ___ Do campus coordinators know that they should verify and account for all booklets each day?
- ___ Have arrangements been made to ensure that secure materials will not be accidentally discarded by custodial personnel?
- ___ Do campus coordinators have procedures in place to ensure the proper packing and return of materials to the district coordinator?
- ___ Do campus coordinators have procedures for verifying that all answer documents are properly submitted for processing after testing?
- ___ Do you have a process for ensuring that overage is accounted for after the administration?



Receiving and Distributing Test Materials

For most administrations, you will receive secure and nonsecure materials in separate shipments. The nonsecure materials typically arrive three weeks in advance of the secure shipment and will be separated by administration into a WHITE district coordinator box, district overage box(es), and campus box(es). The secure materials will typically arrive two to three weeks before testing, and it is imperative that they be physically inventoried upon receipt.

Test material overage is assigned to the district. Any additional materials that are required at a campus must be tracked to that campus. This also applies to secure materials that are transferred between campuses within a district or between districts.

The ultimate responsibility of accounting for test materials falls upon the district testing coordinator; however, campus coordinators play an integral role in supporting this task. Using some type of tracking process such as the Materials Control Form can greatly assist in your ability to locate all secure materials in your possession throughout a test administration.

Receive, inventory, and store test materials.

- ___ Have you verified the shipment of test materials? (For all shipments, check that all boxes are accounted for by verifying the testing program noted on the box and label and the sequence of numbers displayed on the boxes – e.g., Box 35 of 55.)
- ___ Have all secure materials been placed in locked storage when not in use? Have materials for different administrations been kept separate?

Distribute test materials to campuses.

- ___ Are you documenting the distribution of materials to the campuses?
- ___ Have materials been successfully transferred to the campuses? (Campus materials will be packaged in separate boxes with brightly colored labels.) **DO NOT DELAY** in forwarding them to the campuses.
- ___ Have you confirmed that all campuses have physically inventoried their shipments and verified the completeness of all test booklet packets that have been received?
- ___ Have all campuses provided you with their requests for additional materials, if needed? It will be more efficient to first collect this information from all campuses so a single order for additional materials can be placed with the state's testing contractor.



Handling Testing Disruptions

Disruptions in testing generally involve serious situations that can usually be resolved when properly handled. Having a plan in place to address unforeseen events can contribute to a successful resolution and can help to ensure that there is minimal impact on students. District testing coordinators should contact the Student Assessment Division as soon as possible to discuss the situation when something unforeseen occurs. To prepare for any unexpected disruptions, the district should consider the following questions:

- ___ Are all campuses aware of what to do if a disruption takes place during testing?
- ___ Have testing personnel been instructed as to whom they should contact if a problem arises?
- ___ Does each campus have a plan in place for securing test materials and maintaining confidentiality in the event of a disruption during testing? (Remember that the safety of students and staff is the first consideration.)

When you phone TEA for guidance in handling a disruption, you may be asked some of the following questions to help Student Assessment staff assess the situation:



What happened? What's the nature of the disruption?



Are examinees being monitored while the situation is being assessed?



Can testing be resumed that day and will there be sufficient time for students to finish by the end of the day?



What are other options for continuing testing as soon as possible, considering the situation?



If testing cannot resume the same day, what efforts can be made to maintain test security and integrity?



Training

Training is one of the most effective activities in which a district testing coordinator can invest time and resources. Preparing for and conducting as many training sessions as possible will be one of the district coordinator's best tools for avoiding mistakes. Make certain that adequate time is allocated for these sessions so that all major topics are addressed, and be sure to conduct all training for campus coordinators by the deadline(s) specified in the Calendar of Events contained in the *2008 District and Campus Coordinator Manual*.

Develop a training plan.

- Have you attended district coordinator training?
- Have you signed your security oath?
- Have you reviewed the training guidelines and familiarized yourself with the current *2008 District and Campus Coordinator Manual*?
- Have you scheduled a sufficient number of training sessions (including make-up sessions) and allowed enough time to adequately train campus coordinators?
- Have you given coordinators ample notice of the training dates scheduled?
- Have you made facility arrangements to hold training sessions?
- Have you developed training material for the sessions? Have you included topics on the new requirements introduced by the 14-point plan (seating charts, honor statements, and document retention) and the new procedures for signing oaths?
- Have you assembled training materials or guidelines that campus coordinators should use for their test administrator training?

Refer to the Student Assessment Division website to access the December 2007 Education Service Center training PowerPoint presentation for material that can be used in your local training sessions.

Train campus coordinators on what to do BEFORE each test administration.

- Read and be familiar with the coordinator and test administrator manuals.
- Sign a security oath.
-  Be knowledgeable of the secure materials topics that pertain to the proper procedures for storing, distributing, and tracking secure items.
-  Know when shipments arrive and verify immediately that all materials have been received.
-  Ensure that your campus has sufficient quantities of materials. Be sure to take into account special administrations that require additional Form 01 booklets (oral administrations, dyslexia bundled accommodations, etc.).

- ___ Designate test administrators and monitors. (Remind coordinators about the qualification guidelines for participating in state assessments. Encourage campuses to identify and train as many personnel as possible.)
- ___ Make sure to schedule a sufficient number of training sessions (including make-up sessions) and allow enough time to adequately train all testing personnel.
- ___ Make the necessary facility arrangements to hold training sessions, and give testing personnel ample notice of training dates.
- ___ Conduct training sessions, verify attendance, and retain attendance sign-in sheets. Encourage coordinators to retain copies of training materials and agendas in case questions arise or testing irregularities occur.
-  ___ Ensure that procedures are in place for transferring examinees and testing materials from one area to another and that testing personnel are aware of the monitoring requirements when doing so. (Remind coordinators that students should handle their materials only during the test session and are never permitted to transport these items outside the testing environment.)
- ___ Arrange for testing rooms and organize test sessions. Be sure to take make-up testing into consideration when applicable.
- ___ Make sure to have a sufficient number of blank seating charts prepared (be sure to account for areas used for overflow or for consolidating late testers.) Ensure that the charts have space to record the required information and are appropriate for the layout of each test session.
- ___ Confirm that you have updated information regarding the testing requirements and accommodations for students receiving special education and Section 504 services.
- ___ Review ID sheets and applicable answer documents.
- ___ Supervise the verification of precoded materials and answer documents.
- ___ Supervise the hand-gridding of scorable test booklets and blank answer documents.
- ___ Walk through each testing room prior to testing and verify that no visible instructional aids are present and that the environment is conducive for testing. (Keep in mind that many errors involving a failure to conceal instructional aids result from transferring examinees to rooms that the campus did not originally intend to use as testing areas.)
- ___ Confirm that all eligible examinees have been accounted for and have been assigned the correct test.

IMPORTANT!

All 2008 assessments are to be administered ON GRADE LEVEL. There are new testing options for students served by special education [e.g., TAKS–Modified (TAKS–M) and TAKS–Alternate (TAKS–Alt)]. As opposed to the old SDAA II program, please note that alternate assessments are given only on grade level. In an attempt to assist districts in determining appropriate testing accommodations, the Student Assessment Division has developed the *2007-2008 Accommodations Manual*. This manual can be accessed at:

http://www.tea.state.tx.us/student.assessment/admin/AccommManual_2007_08_tagged.pdf.

If coordinators observe that inappropriate testing decisions have been made for students served by special education, they should immediately notify the appropriate campus personnel to have this information corrected.

Train campus coordinators on what to do DURING each test administration.

___ Verify that all test administrators have been issued the correct assessments, answer documents, manipulatives, and test administrator manuals.

___ Verify that all calculator memories have been cleared and that all testing areas have a sufficient number of allowable reference materials.



___ Use a Materials Control Form when distributing test materials to test administrators.



___ Verify and account for all materials before and after testing each day.

___ Confirm that all students have been directed to and are present in their designated testing areas.

___ Confirm that a seating chart has been completed for each test session. Make sure seating charts are also completed for test sessions involving students that have been moved or transferred.

___ Ensure that all test administrators are personally distributing test materials to examinees – do not allow students to pass materials to one another. To avoid switching answer documents, test administrators should be especially careful when issuing materials to students with the same or similar names.

___ Monitor testing (i.e., visit each testing area to ensure test administrators are actively monitoring students).

___ Be accessible in case problems arise.

___ Be aware of any appearance of impropriety (i.e., make sure coordinators and test administrators know how to avoid situations that might lead to allegations of viewing, discussing, or scoring test materials).

___ Ensure that students are being administered the appropriate tests and have the correct corresponding answer document

___ Ensure that test administrators are verifying that students have marked their responses on their answer documents or their scorable test booklets before they leave the testing room.

Train campus coordinators on what to do AFTER each test administration.

___ Direct the collection of materials from the test administrators.



___ Account for every answer document.

___ Verify that the correct score code has been marked on each answer document and that all hand-gridding and transcribing have been properly completed. (Remind coordinators that testing personnel may not erase stray marks or darken answer-choice circles on students' answer documents and scorable test booklets.)

___ Confirm that each examinee has recorded responses on his or her answer document. If a blank answer document is discovered during this process, the district **must** contact the TEA Student Assessment Division to request permission to transcribe any responses the student may have recorded in the test booklet.



___ Account for every test booklet and secure linguistic simplification guide (this includes any overage or transferred materials).

___ Follow procedures for properly boxing and labeling materials for return to the district testing coordinator. Do not combine TAKS materials [which includes TAKS (Accommodated) and TAKS–M] with Texas Assessment of Academic Skills (TAAS) or Texas English Language Proficiency Assessment System (TELPAS) materials, and do not mix materials from one administration with any other.



___ Recheck the secure storage area for stray items (especially overage or unused materials) before returning materials to the district coordinator.



___ Maintain all inventory records and packaging information in the event a problem arises, and materials need to be accounted for.

Things to Consider DURING an Administration



Monitoring and Oversight

During testing, district coordinators should be available to answer questions and resolve issues. Monitoring campuses during an administration can help confirm that procedures are being followed and can minimize the risk of error. Principals and campus testing coordinators play a crucial role in this effort, as they in turn are required to ensure that each test administrator is actively monitoring and that all testing personnel are adhering to the proper assessment procedures. The following are some things the district coordinator should consider:

Verify that campuses are properly monitoring test sessions.

- Are test administration personnel checking to see if test administrators have all necessary materials – e.g., test administrator manuals, test booklets and answer documents, math charts, etc.?
- Are campus principals and coordinators verifying that test administrators are actively monitoring examinees?
- Have testing personnel verified that all testing areas are free from instructional displays? (In situations where the campus must relocate examinees, the area to which the students will be moved should also be checked.)
- Are students who are taking breaks being properly monitored? (This includes making certain that test booklets are properly secured or monitored.)
- Are students who have not completed testing being monitored properly during breaks?
- Have testing personnel ensured that students are being administered the appropriate tests and have been issued the correct corresponding answer documents?
- Are all test administrators ensuring that students have marked their responses on their answer documents or in their scorable test booklets before they leave the testing room?
- Have you set up a line of communication so that campuses can contact you or district testing staff?
- Have you arranged for continual coverage for answering calls throughout the testing week?

Verify that campuses are following procedures for secure materials handling.



Have you checked to ensure that campuses are following proper check-in/check-out procedures? Are campuses using materials control documents?



Have you checked to make sure campuses are documenting security numbers for overage materials and booklets transferred to other districts or alternative education facilities?



Are campuses ensuring that test materials are being properly transported to and from the testing areas?



Are campus coordinators and test administrators ensuring that test booklets are properly secured or monitored while students are taking breaks?



___ Have you checked to see if campus coordinators are verifying that all booklets are being returned and accounted for each day?



___ Are campuses locking and restricting access to the secure storage area?

Things to Consider AFTER an Administration



Accounting for All Secure Materials

In 2007, TEA enhanced its procedures for accounting for secure materials, and additional measures were taken to notify districts that did not return all secure testing materials by the designated deadlines. Feedback from testing coordinators regarding these changes prompted the Student Assessment Division to alter resolution efforts slightly so that the timing of the communications with the districts will more effectively assist in the prompt return of outstanding secure materials. A description of the updated resolution process can be found in Appendix G of this supplement.

The district's secure materials must be returned in accordance with the procedures and timelines outlined in the *2008 District and Campus Coordinator Manual*. Maintaining adequate oversight and reinforcing the use of proper handling and packing guidelines will help ensure the accurate and complete return of all secure items. Below are some steps that district coordinators should consider to help in accounting for all materials.

Monitor campuses and oversee the proper collection of and accounting for secure materials.

- ___ Have you checked to make sure campuses are accounting for every answer document for each enrolled student and are checking to ensure proper marking of score codes?
- ___ Are coordinators accounting for out-of-district and out-of-school examinees (when applicable) and enrolled students at alternative campuses?
- ___ Are you verifying that the campuses are counting all test booklets including overage materials that have been issued and reconciling these materials with the original packing list and materials control documents?
- ___ Are the campuses following the proper packing procedures and labeling boxes correctly?
- ___ Have the campuses rechecked their secure storage areas for overage and unused secure materials?
- ___ Were all boxes checked to ensure that no voided answer documents or scorable booklets were returned with nonscorable materials?

Receive and inventory materials from the campuses.

- ___ Have you verified receipt of the shipment from each campus?
- ___ Have you verified each sequence of numbers handwritten on the campus boxes?
- ___ If you use a centralized campus check-in approach, do you verify that all materials are accounted for before campus personnel leave the check-in area?
- ___ Are materials for different administrations being kept separate?
- ___ Do you keep a list of the contents of each box of scorable and nonscorable materials returned to the state's testing contractor?

Return materials to the testing contractor.

- ___ Have you verified that all boxes have the proper colored label (scorable vs. nonscorable) for the correct administration and are numbered in sequential order – e.g., Box 5 of 10?
- ___ Have you verified that the contents of each box match the return shipping label? Have you checked to make sure that no barcodes are taped over or covered with other labels?
- ___ Have you ensured that all extraneous items – e.g., rulers, charts, nonsecure manuals, etc. – are either disposed of locally or returned separately with nonscorable materials?
- ___ Have you ensured that all secure materials remain monitored by certified personnel or in locked storage until the boxes are picked up by the shipper?
- ___ Have you detached and retained the shipping label receipt(s) for all the box(es) returned?



Retention of Test Administration Documentation

Districts are required to retain certain documentation in the event that a discrepancy arises or the receipt of materials cannot be confirmed. Districts must maintain inventory and shipping records, signed security oaths, and seating charts for five years following a test administration.

Monitor the retention of test administration documentation.

- ___ Has the district determined where test administration documentation for each campus will be stored? Is this location secure?
- ___ In what format will test administration documentation be kept – e.g., electronic files, hard copies, etc.?
- ___ Have you verified that campuses have collected signed security oaths for all testing personnel?
- ___ Have campuses collected seating charts for each test session? Are the charts complete and accurate, and did coordinators verify that they contained the required information?
- ___ Have you confirmed that this documentation is being retained and stored in the selected location?

Common Testing Irregularities and How to Avoid Them

The situations described below represent several of the more common mistakes that occur before, during, and after testing. Examples of some of these irregularities are provided, along with ways to avoid making such mistakes.

✘ Eligibility Errors

Examples:

- ▶ An eligible student was not identified to be tested or was identified but not tested.
- ▶ A student was administered an incorrect assessment.

How to avoid:

- ___ Have you appropriately identified which students are eligible for TAKS? TAKS (Accommodated)? TAKS–M? TAKS–Alt? TELPAS?
- ___ Have you verified with coordinators and test administrators and/or by referring to current Individualized Education Program (IEP), LPAC, and/or Section 504 documentation which students will take which assessment(s)?
- ___ Have you verified your roster to confirm where students are supposed to be testing?
- ___ Do you have procedures for ensuring that all students are present in or directed to the correct testing room?
- ___ Have you identified all exempt students such as LEP and foreign exchange students?
- ___ Have you verified the testing status of all newly enrolled students?

✘ Individualized Education Program (IEP) Implementation Issues

Examples:

- ▶ A student was not administered an assessment on grade level.
- ▶ A student was administered TAKS when he or she should have taken TAKS–Accommodated, or vice versa.
- ▶ A student was provided an unapproved accommodation or did not receive an accommodation that was documented in his or her IEP.

To assist districts in determining appropriate testing accommodations, the Student Assessment Division has developed the *2007-2008 Accommodations Manual*. This manual may be accessed at:

http://www.tea.state.tx.us/student.assessment/admin/AccommManual_2007_08_tagged.pdf.

How to avoid:

- ___ Have you verified, using the most recent IEP, the appropriate assessment on grade level for students receiving special education services?

- ___ Have you verified with coordinators and test administrators the accommodations, resources, and instructions outlined in each student's most recent IEP?
- ___ Are campus coordinators cognizant of the recent changes in testing requirements for students receiving special education services?
- ___ Are there procedures for communicating to the appropriate campus personnel invalid Admission, Review, and Dismissal (ARD) committee testing decisions that may have been stipulated in students' paperwork?
- ___ Have you updated your roster of new incoming students with each student's IEP information? Were sending districts contacted to verify newly enrolled students' testing requirements?
- ___ Have you accounted for appropriate test materials – booklets and answer documents – for each examinee with an IEP?

✘ Procedural Errors

Examples:

- ▶ An unauthorized individual – e.g., a student – was permitted to transport secure test material outside the testing area.
- ▶ A test administrator did not issue the correct materials – i.e., charts, rulers, #2 pencils, dictionaries, calculators – or students were incorrectly permitted to use unallowed materials.
- ▶ A student was administered a test on the wrong day.
- ▶ An examinee was not provided the dyslexia bundled accommodations over the required two-day period.
- ▶ A student was not issued the correct Form 01 test booklet for an oral or dyslexia bundled accommodations administration.
- ▶ Testing personnel did not use a test administrator manual or failed to read the scripted test directions verbatim as outlined in the manual.
- ▶ Personnel administered tests, monitored test sessions, or handled secure materials even though they had not been properly trained.
- ▶ A TELPAS writing collection was not submitted in accordance with required assembly criteria.
- ▶ A test administrator failed to remove or cover all instructional displays.
- ▶ Materials from different administrations were packed in the same box.
- ▶ Voided answer documents and scorable test booklets were returned with nonscorable materials.

How to avoid:

- ___ Have you notified coordinators and test administrators which personnel are authorized and delegated to transport secure test materials or to monitor or relieve test administrators?
- ___ Have coordinators verified with test administrators which supplemental materials are allowed or required for each subject and for each exam?
- ___ Have a sufficient number of staff been properly trained in test administration procedures?

- ___ Have coordinators verified that all test administrators have the appropriate manual(s) on the days of testing?
- ___ Were testing personnel issued the correct manuals in advance of training so they could read them thoroughly?
- ___ Have you verified that the contents of each box match the return shipping label and are not mixed between administrations?
- ___ Were all boxes checked to make sure that no voided answer documents or scorable booklets were returned with nonscorable materials?

✘ Monitoring Errors

Examples:

- ▶ A test administrator left a room unmonitored while students were testing.
- ▶ A test administrator left secure materials unmonitored.
- ▶ A test administrator accepted a blank answer document from an examinee.
- ▶ Students or secure materials were left unmonitored during a break.
- ▶ A student was improperly allowed to use a highlighter, dictionary, or calculator.
- ▶ A test administrator did not ensure that students worked independently and/or did not notice that an examinee placed or received a cell phone call or text message during a test administration.

How to avoid:

- ___ Have you emphasized that test administrators are not allowed to leave examinees or materials unattended?
- ___ Have you clarified with your test administrators which supplemental materials – such as highlighters, charts, rulers, and/or dictionaries – are allowed or required for each subject?
- ___ Have you established which test administrators will be relieved during breaks and by whom?
- ___ Have you verified that all forms of visual aids have been covered or removed from the testing rooms?

Note: Students are **NOT** permitted to have cell phones turned on during testing. Districts are required to have procedures in place to prevent the use of cell phones during test administrations.

✘ Improper Handling of/Accounting for Secure Materials

Examples:

- ▶ A student's completed answer document was lost or misplaced.
- ▶ Testing personnel lost or misplaced one or more test booklets or other secure materials.
- ▶ A test administrator did not return testing materials following each day's administration.
- ▶ A campus coordinator or district testing coordinator failed to return secure material by the published dates.

How to avoid:

- ___ Have you verified that all test booklets and answer documents are accounted for?
- ___ Have you checked all test booklets to make sure that no answer documents were left inside accidentally?
- ___ Have you bundled test materials from the same test administration and not mixed them with any other test administration?
- ___ Have you properly labeled boxes – e.g., 1 of 5, 2 of 5, etc. – and identified and tracked for your records which boxes contain which materials in case boxes are lost in transit or questions arise regarding the return of these materials?

✘ Incidents Resulting in a Referral or Potential Referral to Educator Certification and Standards

Examples:

- ▶ Testing personnel viewed a test before, during, or after an assessment without authorization.
- ▶ Testing personnel discussed or revealed secure test content or student responses.
- ▶ Testing personnel made a copy of secure materials without permission from TEA.
- ▶ Testing personnel scored student tests.
- ▶ Testing personnel directly or indirectly assisted students with responses to test questions.
- ▶ Testing personnel tampered with student responses.
- ▶ Testing personnel revealed confidential student information.

How to avoid:

- ___ Have you stressed that test content should not be viewed or discussed even AFTER the test administration has been completed – e.g., in the classroom with students or in a faculty or team meeting? This applies to discussions regarding the **specific content** of tests. It is acceptable for teachers to talk with their students about their testing experience or the test in general.
- ___ Did you reinforce to all testing personnel the proper procedures for conducting an oral administration?
- ___ Have you discussed with test administrators the proper way in which examinees should be prompted to bubble in answer documents? Have all campus personnel been reminded that erasing stray marks or darkening response ovals is strictly prohibited?
- ___ Did you verify that campuses have designated a sufficient number of testing personnel to adequately monitor the test administration?

Incident Reporting



Reporting Testing Irregularities

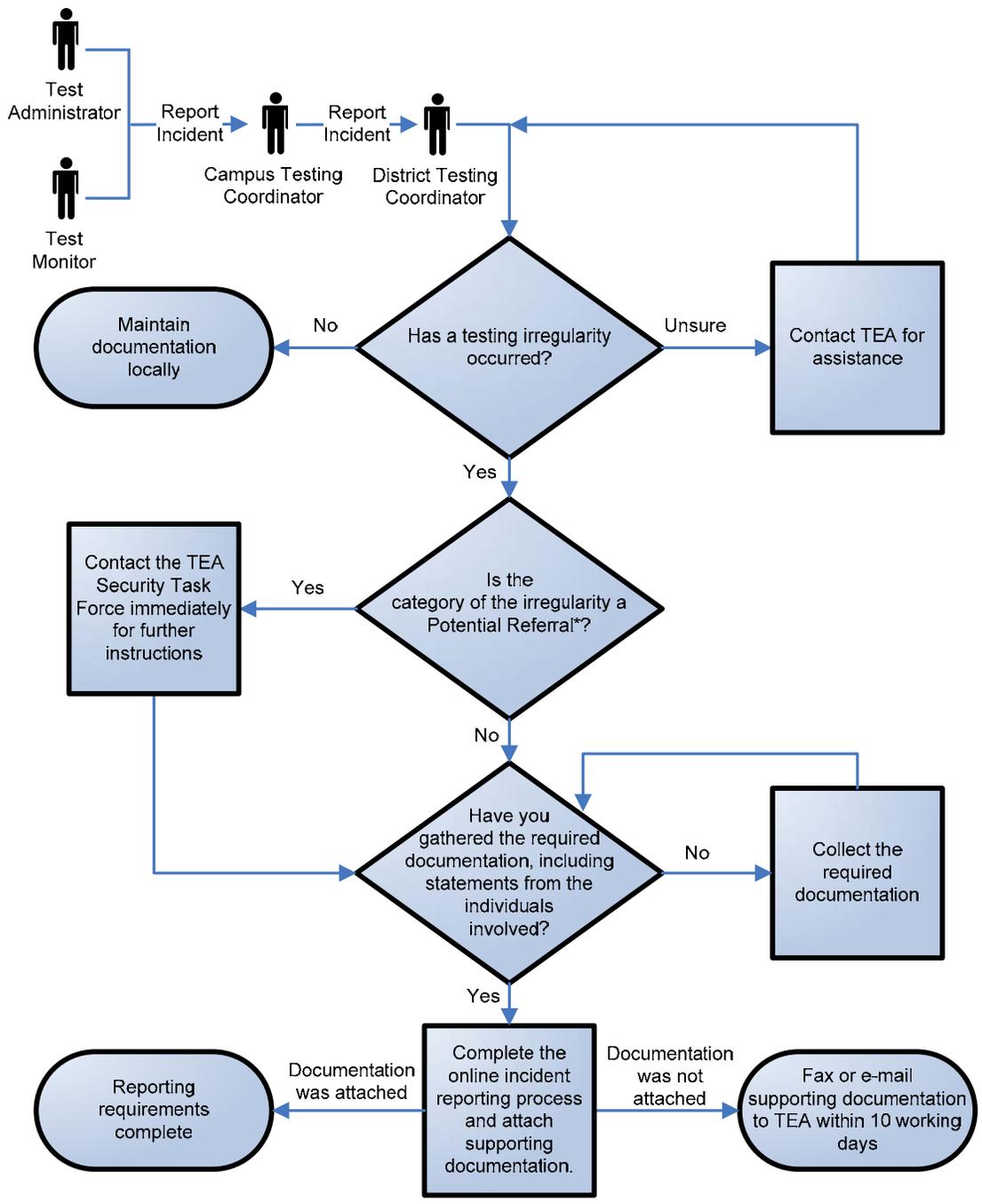
Despite how well prepared testing personnel may be, the possibility still exists that a mistake will be made. When incidents occur, it is important to have procedures in place to help ensure that all the necessary information is gathered so the district can make a determination about what occurred. **All incidents must be reported to the TEA Student Assessment Division.** Incidents involving irregularities that may result in a referral to the Educator Certification and Standards Division should be reported to the Student Assessment Division Security Task Force as soon as the district coordinator is made aware of the situation. Please ensure that all testing personnel are aware of their obligation to report testing irregularities and can easily access your local reporting procedures.

Please DON'T ASSUME!!!

Student Assessment staff are experienced in assisting districts with handling and reporting testing irregularities and are available to provide guidance for district personnel. Do not hesitate to contact staff at 512-463-9536 if you have questions about an incident that occurred in your district and/or the correct way to report it.

TEA has continued to streamline its procedures to help simplify the gathering and reporting of testing irregularities. The Student Assessment Division implemented a new online submission tool during the April 2007 test administration and will periodically upgrade this application to better meet the needs of the districts. The following page contains a reporting flowchart designed to aid district coordinators in the reporting process:

Figure 1: Incident Reporting Process



* Potential referral to the Educator Certification and Standards Division



Investigating and Documenting Testing Irregularities

District testing coordinators or their designees are responsible for investigating potential testing violations so that statements and reports submitted to TEA clearly outline the sequence of events and explain exactly what happened. All irregularities require an incident report and statements from individuals involved to be submitted (preferably via the Online Incident Reporting Process). Documentation for incidents that involve the loss of secure materials or that could result in a referral to the Educator Certification and Standards Division **must** include a Corrective Action Plan (see Appendix C). For **any** incident, TEA may request additional information such as a Corrective Action Plan or require certain documentation to be maintained at the district level.

All required documentation, including statements from individuals involved, should be submitted within 10 working days of the district testing coordinator being made aware of the incident. If more time is needed, contact TEA at 512-463-9536.

Statements from responsible parties should be typed, signed, and submitted on district/campus letterhead, stationery, or plain paper. Do not use the Student Assessment Incident Report Form document for this purpose. Please be aware that handwritten statements and/or incident reports can be difficult to read and will require additional time to process. Assistance from the district in submitting typed information is greatly appreciated.

Below are some other guidelines to help assess an incident and ensure proper reporting.

Have you clearly determined what occurred?

- Have you determined whether state-mandated testing procedures were violated?
- Have you interviewed all individuals who were involved in or may have information about the incident?
- Have you determined exactly what happened and why?
- Did you prepare a timeline, if necessary, to establish when events occurred?

Have you appropriately documented the incident?

- At what campus did the incident occur and during which administration (month, assessment – e.g., TAKS, TAAS, etc., grade level, subject area, etc.)
- Have you received typed, signed, and dated statements from all individuals who were involved in or may have information about the incident?
- Do the statements include the name and role (title) of all individuals and how they were involved? Do the statements include a description of the incident from each individual's perspective?
- If TEA was contacted for guidance, did you document when the contact was made and with whom you spoke? Was the district granted permission to take a certain action or instructed to remedy an error?
- Does the incident documentation include the district's determination of what happened and how the error was resolved (if applicable)?

- ___ If the irregularity involved any examinees potentially gaining an unfair advantage on an assessment, does the documentation include information regarding whether the district decided to invalidate or score the test(s)?
- ___ If an examinee who receives special education services was given the wrong assessment, were the student's parents informed and was permission obtained to administer the correct test?
- ___ If local action was taken against educator(s) or student(s), was it documented?

Is a corrective action required or has a plan been requested?

- ___ Does the plan include a brief summary of the incident?
- ___ Does the plan include a description of how and why the incident occurred?
- ___ Does the plan include a description of the specific procedure(s) that will be implemented to prevent future occurrences of this type of violation?
- ___ Does the plan include the name and role (title) of the person(s) responsible?
- ___ Does the plan include any local actions taken against educator(s) as a result of the district's investigations?
- ___ Has the corrective action plan been signed by the superintendent or chief administrative officer?



Submitting Incident Documentation to TEA

To provide districts with an easy and efficient way to report testing irregularities, the TEA Student Assessment Division introduced a new online submission tool in 2007. To complete the process of submitting an incident report online, district testing coordinators or their designees must provide all the required information requested. Submitters will receive confirmation that their report has been accepted, and an incident identification number will be issued for tracking purposes. District coordinators will be notified via a return e-mail when an incident has been submitted for their district provided that a valid e-mail address is on file in the Texas Education Directory (AskTED). For more information about this directory, refer to the following link: <http://mansfield.tea.state.tx.us/tea.askted.web/Forms/Home.aspx>.

Currently, this tool does not permit users to correct or update report information once it has been submitted and an incident identification number has been issued. Submitters are strongly encouraged to have all information available regarding the incident **BEFORE** starting the reporting process. Should districts need to update or change information once a report has been submitted, they may contact the Security Task Force at 512-463-9536 and reference the incident identification number they received when the report was originally submitted.

A Special Note Regarding Supporting Documentation

This online submission tool allows submitters to upload electronic files. Users can attach supporting documentation so that all submission requirements can be fulfilled in one simple step. Because statements from individuals involved require a signature, the physical documentation will need to be converted into an electronic format. Districts able to scan and save these signed statements and supporting documentation into an electronic file – e.g., a portable document file (PDF) – are strongly encouraged to use this option. Scanned files can be easily attached during the submission process and then stored locally to meet retention requirements.

If the district chooses not to use this feature, all supporting documentation must be submitted by fax to 512-463-9302 within 10 working days of the incident. If more time is needed, districts should notify TEA at 512-463-9536.

For any documentation submitted via e-mail or fax, please make sure to reference the incident identification number that is provided after the final step in the online submission process.



Instructions for Completing the Online Incident Reporting Process

Below are step-by-step instructions for using the online submission process to submit an incident report and supporting documentation.

How to Submit an Incident Report

1. Access the Online Incident Reporting Process located on the TEA Student Assessment Division website at <http://www.tea.state.tx.us/student.assessment/admin/incidents/online/>.
2. Review the procedures for reporting an irregularity online and then click the link entitled “Click here to submit an online incident report.”
3. Select your district and campus from the pull-down menus and complete the required information in the form.
4. Attach electronic file(s) containing supporting documentation and complete the submission process. If you do not choose to use the online system’s attachment feature, all supporting documentation must be submitted by fax to 512-463-9302, or by e-mail to testsecurity@tea.state.tx.us within 10 working days of the incident. Be sure to include the incident identification number provided upon completion of the online submission with each set of documentation.



What to Expect Following the Submission of an Incident Report

Following every test administration, all incident reports and supporting information received by the Security Task Force are assessed for completeness to ensure that the required documentation has been submitted for each irregularity. Reports are then carefully reviewed, and a determination is made by the Security Task Force regarding the disposition of each incident. Correspondence is then generated to notify the superintendent and district testing coordinator of the findings.

This process involves several steps to ensure a complete and accurate review of each case. Incidents are grouped by districts for reporting purposes in an effort to reduce the amount of correspondence that is mailed. In cases involving more severe irregularities, individual letters are generally sent.

Depending on the size of the test administration, it can take up to several months to process all the incident reports submitted. This process can be delayed longer if districts do not submit the required documentation within the 10-day timeframe and/or provide sufficient information upon which to base a final determination.

Summary of Appendices

Appendix A

Seating Chart Examples

Appendix B

Sample Language to Parents Regarding Honor Statements

Appendix C

Corrective Action Plan Template

Appendix D

Locally Initiated Disciplinary Action Taken Against Student(s)

Appendix E

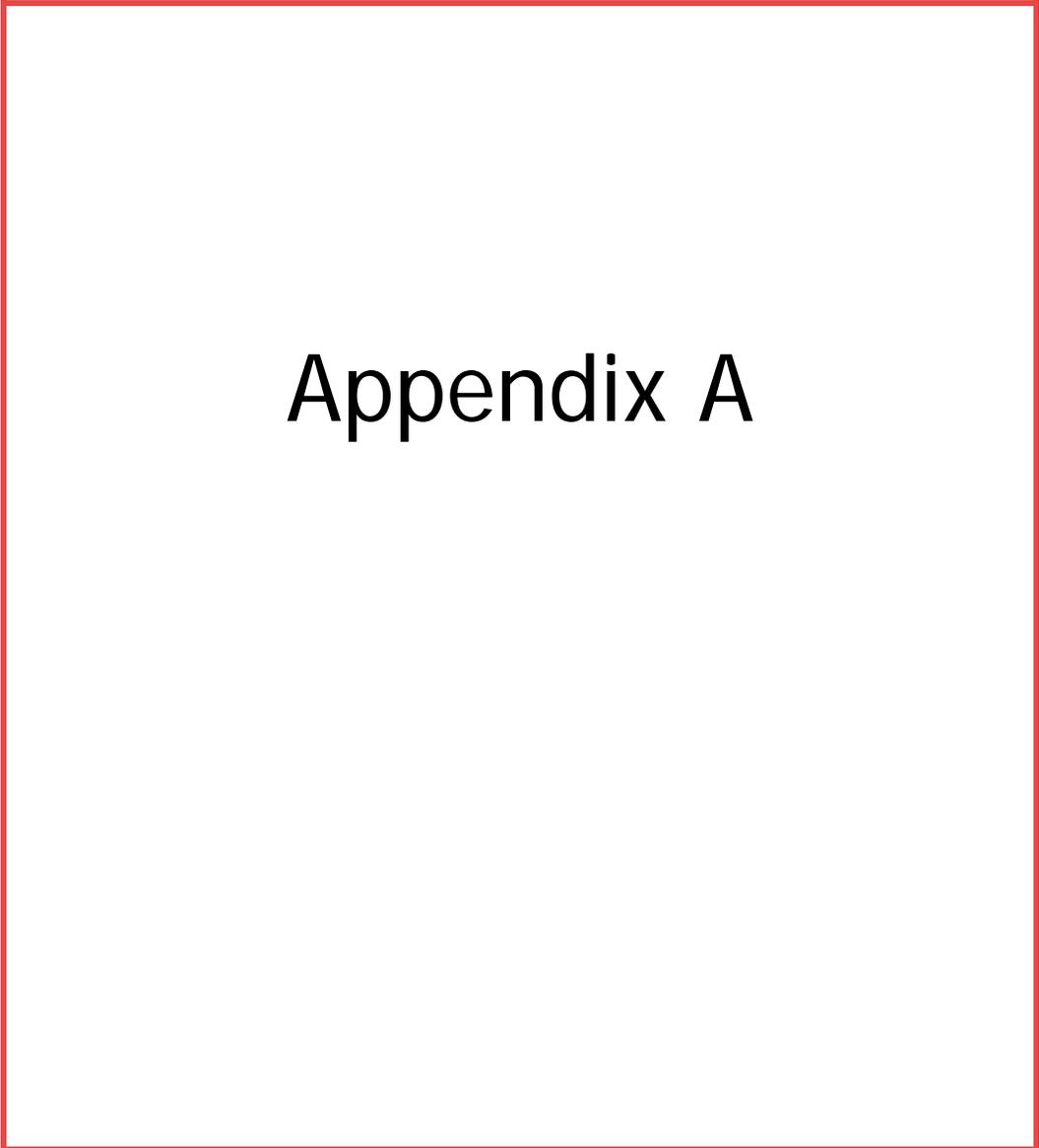
Tips from the Field for Handling Secure Materials

Appendix F

Secure and Nonsecure Test Materials

Appendix G

Secure Materials Resolution Process



Appendix A

Appendix A: Seating Chart Examples

The following pages in this appendix provide different examples of possible seating charts. Since testing session layouts can vary from one area to another, districts are encouraged to develop seating charts that fulfill the information collection requirements and that best meet their individual needs. Most of the examples provided are based on the 30 to 1 student/test administrator ratio.

Example 1: One-page seating chart with corresponding student roster [required information only] (page 32)

Example 2: One-page seating chart with corresponding student roster (page 33)

Example 3: Two-page seating chart with corresponding student roster (pages 34–35)

Example 4: One-page seating chart with student location and information combined (page 36)

Example 5: Two-page seating chart with student roster and a blank grid for drawing the test session layout (pages 37–38)

Districts may access the Student Assessment Division website at the following address and download electronic copies of these templates:

<http://www.tea.state.tx.us/student.assessment/admin/security/index.html>

Test Administration Seating Chart

District: _____ Campus: _____ Room #: _____

Test Administered: _____ Subject: _____ Grade Level: _____ Date: _____

Test Administrator(s): _____

Instructions for completing the seating chart below:
 1. Write the name of each student on the testing roster **(B)** that corresponds to the student's location on the seating grid **(A)**.
 2. Mark the location of the front of the testing area.

A. Seating Grid

1	2	3	4	5	6
7	8	9	10	11	12
13	14	15	16	17	18
19	20	21	22	23	24
25	26	27	28	29	30

B. Testing Roster

Seat #	Student First Name	Student Last Name	Seat #	Student First Name	Student Last Name
1			16		
2			17		
3			18		
4			19		
5			20		
6			21		
7			22		
8			23		
9			24		
10			25		
11			26		
12			27		
13			28		
14			29		
15			30		

Test Administration Seating Chart

District: _____ Campus: _____ Room #: _____

Test Administered: _____ Subject: _____ Grade Level: _____ Date: _____

Test Administrator(s): _____

- Instructions for completing the seating chart below:
1. Mark the location of the test administrator(s) by placing an "X" in the margin surrounding the numbered grid.
 2. Mark the seat number that corresponds to each student on the list of examinees.
 3. Mark the location of any entrances into the testing area.

1	2	3	4	5	6
7	8	9	10	11	12
13	14	15	16	17	18
19	20	21	22	23	24
25	26	27	28	29	30

Seat #	Student First Name	Student Last Name	Student ID#	Test Booklet #	Form #
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					
21					
22					
23					
24					
25					
26					
27					
28					
29					
30					

Test Administration Seating Chart

District: _____ Campus: _____ Room #: _____

Test Administered: _____ Subject: _____ Grade Level: _____ Date: _____

Test Administrator(s): _____

- Instructions for the grid below:
1. Mark the location of the test administrator(s) by placing an "X" in the margin surrounding the grid.
 2. Mark the seat number on the grid that corresponds to each student on the list of examinees.
 3. Mark the location of any entrances into the testing area.

Examinee Roster

Seat #	Student First Name	Student Last Name	Student ID#	Test Booklet #	Form #
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
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30					

Test Administration Seating Chart

District: _____ Campus: _____ Room #: _____

Test Administered: _____ Subject: _____ Grade Level: _____ Date: _____

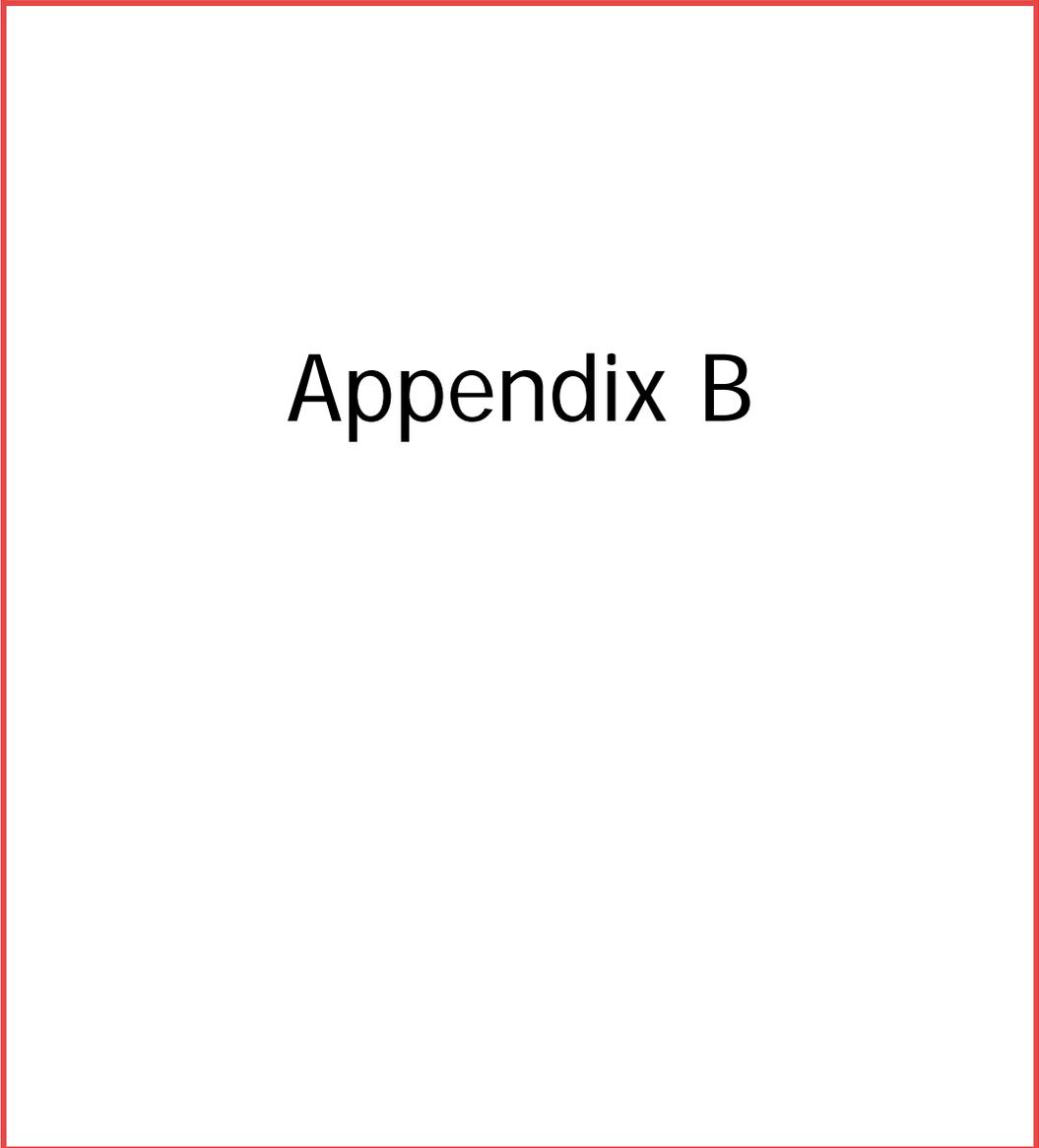
Test Administrator(s): _____

- Instructions for completing the seating chart below:
1. Mark the location of the test administrator(s) by placing an "X" in the margin surrounding the grid.
 2. Complete the information that corresponds to the placement of each student in the testing session.
 3. Mark the location of any entrances into the testing area.

Student 1	Student 2	Student 3	Student 4	Student 5
Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:
Student 6	Student 7	Student 8	Student 9	Student 10
Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:
Student 11	Student 12	Student 13	Student 14	Student 15
Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:
Student 16	Student 17	Student 18	Student 19	Student 20
Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:
Student 21	Student 22	Student 23	Student 24	Student 25
Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:
Student 26	Student 27	Student 28	Student 29	Student 30
Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:	Name: ID#: Book#: Form#:

List of Examinees

Seat #	Student First Name	Student Last Name	Student ID#	Test Booklet #	Form #
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
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Appendix B

Appendix B: Sample Language to Parents Regarding Honor Statements

The following sample language can be used or adapted by districts to inform parents in advance of the honor statement students will sign beginning with the spring 2008 test administrations.

Dear Parent/Guardian,

This letter is to let you know of a change that the Texas Education Agency (TEA) has made in testing procedures for the Texas Assessment of Knowledge and Skills (TAKS). Beginning this spring, students in grades 9, 10, and exit level will be asked to sign an honor statement before taking TAKS tests. The honor statement is shown below. This statement will be printed on each student's answer sheet, and students will be asked to sign it before the test begins.

By signing my name, I agree that I will not give or receive unauthorized assistance during the test. I understand that giving or receiving unauthorized assistance during the test is cheating and may result in the invalidation of my test results.

“Invalidation” of test results means that the student's test would not be scored and the student would not receive test results.

The TAKS tests are required by both state and federal law. The test results are used to monitor and improve public education for all Texas students. The addition of an honor statement is one of several steps the state of Texas is taking to ensure that each student's test results are an accurate indicator of his or her academic performance. Other state testing programs and college entrance exams include similar honor statements.

I hope that I can count on your support of this new procedure.

Sincerely,

(school principal or superintendent)

Estimado padre de familia o tutor:

Esta carta tiene la finalidad de informarle de un cambio que la Agencia de Educación de Texas (TEA) ha hecho en cuanto a los procedimientos de evaluación de la prueba TAKS. A partir de esta primavera, a los estudiantes en los grados 9, 10 y nivel de salida se les pedirá que firmen un juramento de honor antes de tomar la prueba TAKS. Este juramento aparecerá en inglés en cada uno de los documentos de respuesta de la prueba TAKS con el propósito de que los estudiantes lo firmen antes de que empiece la prueba. El juramento al que se hace mención viene enseguida en español.

Al firmar aquí, estoy de acuerdo en que no daré ni recibiré ningún tipo de ayuda que no esté autorizada durante la prueba. Comprendo que dar o recibir ayuda no autorizada durante la prueba es hacer trampa y podría ocasionar la invalidación de los resultados de mi prueba.

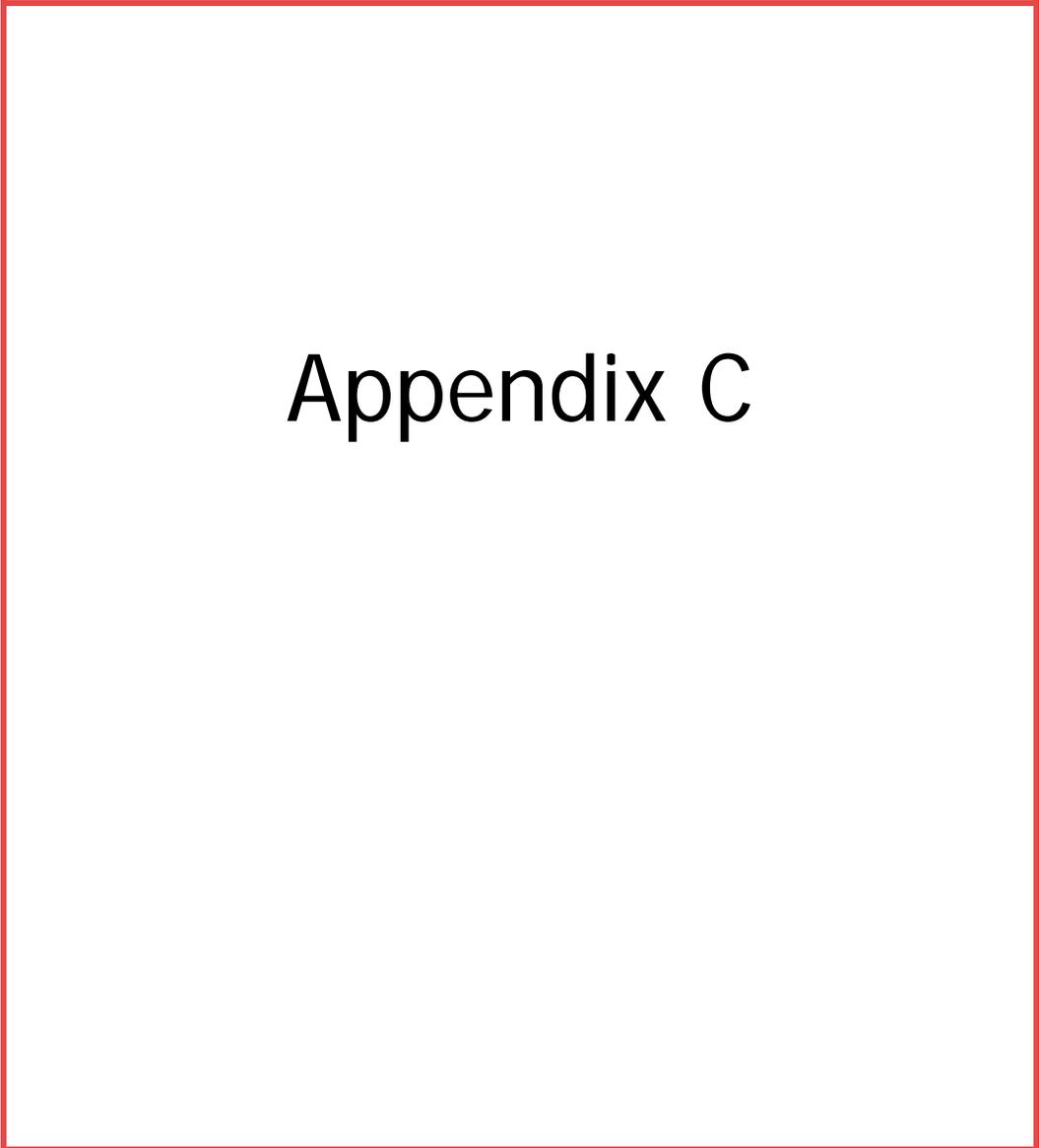
La “invalidación” de los resultados de la prueba significa que la prueba del estudiante no será calificada y, en consecuencia, el estudiante no recibirá ningún resultado.

La prueba TAKS es obligatoria de acuerdo con leyes estatales y federales. Los resultados de la prueba se utilizan para evaluar y mejorar el sistema de educación pública de los estudiantes de Texas. El juramento de honor es una de las medidas que el estado de Texas está tomando para asegurarse de que los resultados de la prueba de cada estudiante sea un indicador preciso de su desempeño académico. Existen otros programas de evaluación a nivel estatal, así como pruebas de admisión de algunas universidades, que incluyen juramentos de honor semejantes.

Le agradecemos con anticipación su apoyo para este nuevo procedimiento.

Atentamente,

(Director de la escuela o Superintendente del distrito escolar)



Appendix C

Appendix C: Corrective Action Plan Template

Included on the following page of this appendix is a form districts may use to fulfill the Corrective Action Plan reporting requirements. The Corrective Action Plan **must** be submitted for incidents that involve the loss of secure materials or that could result in a referral to the Educator Certification and Standards Division, and to provide information on any local disciplinary actions taken against educators as a result of district investigations. Depending on the circumstances, TEA **may** request a Corrective Action Plan for any incident, or require certain documentation to be maintained at the district level. Additional details regarding the minimal information that should be included in the plan can be found in the Test Security and Confidentiality Requirements section of the *2008 District and Campus Coordinator Manual*.

For convenience, districts may access the Student Assessment Division website at the following address and download an electronic copy of the Corrective Action Plan template:

<http://www.tea.state.tx.us/student.assessment/admin/incidents/index.html>

Corrective Action Plan

Instructions: Districts may use this form to fulfill the documentation requirements for the Corrective Action Plan (CAP) and for reporting disciplinary actions taken against educator(s). A Corrective Action Plan **must** be submitted to TEA for irregularities involving the **loss of secure materials** or for incidents classified as a **potential referral to the Educator Certification and Standards Division**. Please complete the following information and submit to the Student Assessment Division by fax at 512-463-9302. The signed form may also be scanned into an electronic format and submitted via e-mail to testsecurity@tea.state.tx.us.

1. District Information

District	Campus	Date

First Name	Last Name	Position/Title

2. Incident Information

Year	Administration	Test	Corresponding Incident ID (if available)

- A. Description of Incident – Please provide a brief summary of the irregularity, including a description of how and why the incident occurred. **(NOTE: You do not need to complete this section if an accurate description has already been included in an incident report submitted to TEA and an Incident ID has been indicated above.)**

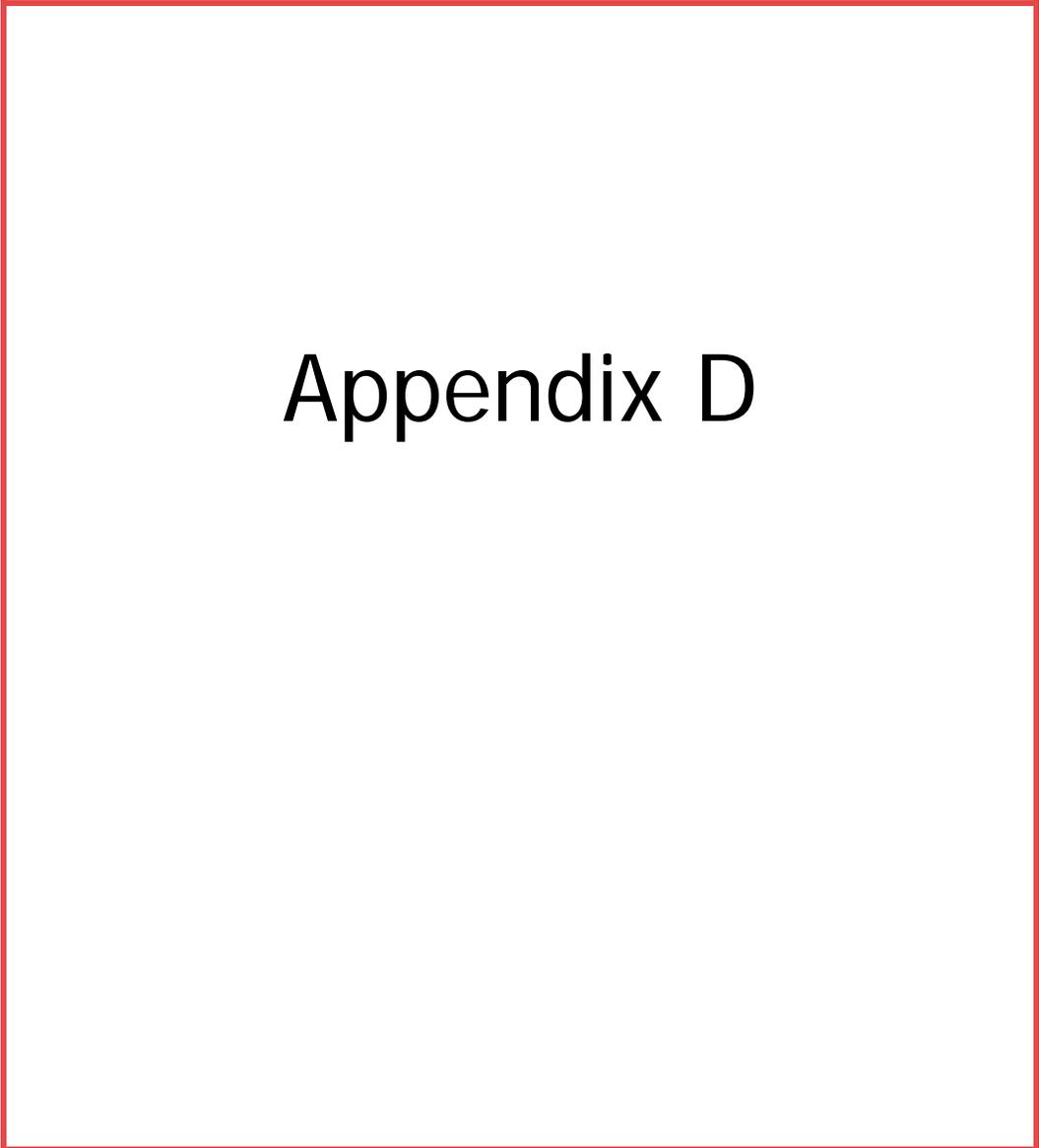
3. Corrective/Disciplinary Action Taken

- A. Description of Disciplinary Action Taken (if any) – Please describe any local actions taken against educator(s) as a result of the district's investigation.

- B. Description of Corrective Action Taken – Please provide a description of the specific procedure(s) that will be implemented to prevent future occurrences of this type of incident.

Signature of Superintendent/
Chief Administrative Officer

Printed Name of Superintendent/
Chief Administrative Officer



Appendix D

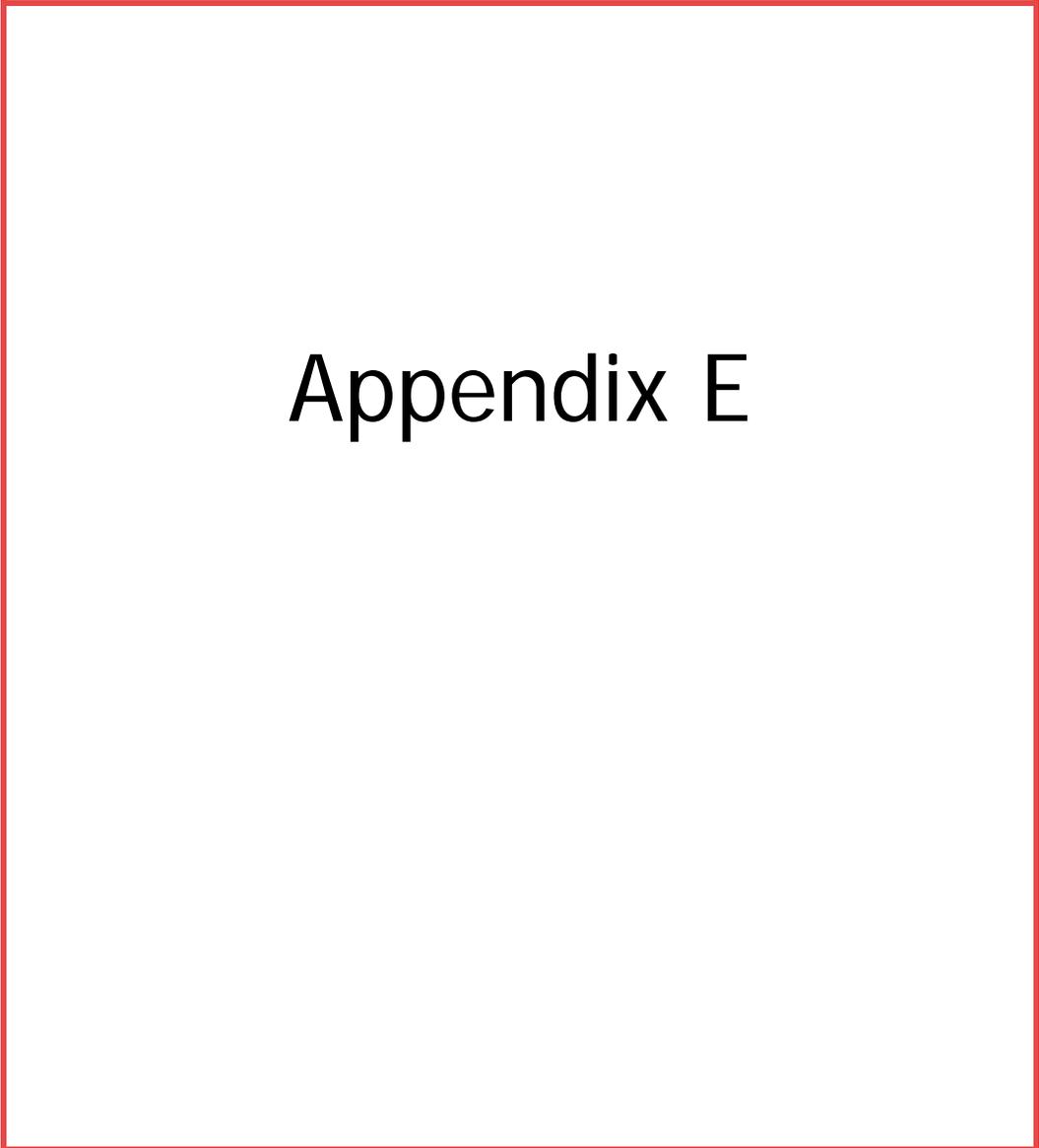
Appendix D: Locally Determined Disciplinary Action Taken Against Student(s)

As part of the implementation of the 14-point test security plan, districts will have an additional reporting requirement beginning with the spring 2008 administrations. Any disciplinary action taken against a student for cheating on a state assessment **must** be reported to TEA. Below are step-by-step instructions for using the online submission process to report Locally Determined Disciplinary Action Taken Against Student(s).

How to Submit Locally Determined Disciplinary Action Taken Against Student(s)

1. Access the Locally Determined Disciplinary Action Taken Against Student(s) online form located on the TEA Student Assessment Division website.
2. Select your district and campus from the pull-down menus and complete the required information in the form.

Districts that encounter difficulties with the online form can download an electronic version of the document to complete and submit by e-mail to testsecurity@tea.state.tx.us. An example of the form is provided on the following page of this appendix.



Appendix E

Appendix E: Tips from the Field for Handling Secure Materials

Districts from all over Texas have employed innovative tools and techniques for accurately tracking and successfully returning all secure materials. Below are some helpful hints gathered from the field that illustrate effective practices you can consider for use in your district.

Successful Practices Used in Districts BEFORE a Test Administration Begins



Campus coordinators are provided with detailed checklists of all duties and reminders of tasks to be performed before testing. Principals verify that the checklists are used.



Only the officially designated campus coordinator is allowed to sign for and receive boxes of testing materials.



Boxes of testing materials are signed for and placed directly in secure storage.



When campuses receive boxes, two individuals count and verify the contents of all boxes. These individuals provide their signatures to indicate that they have followed all appropriate procedures and that all materials have been accounted for.



The contents of boxes are verified against the packing list.



All campus and district storage areas for testing materials have a sufficient number of shelves, rolling carts, and tables for materials to be sorted and tracked. Any hiding places that would allow secure materials to be misplaced or left behind are identified.

Successful Practices Used in Districts DURING a Test Administration



Campus personnel verify that they have used their detailed checklists of duties and responsibilities during testing.



Requests for extra materials are made in writing and it is recorded in writing that the materials are picked up by the campus coordinator in person. Always use signatures and detailed paperwork when materials from district overage are distributed to campus coordinators.

Successful Practices Used in Districts AFTER a Test Administration



Campus personnel verify that they are using their detailed checklists when assembling materials for return.



At district check-in, personnel inspect, physically count, and verify the contents of all campus boxes before the boxes are sealed for shipping. (Some districts require all boxes to be counted and verified by at least two persons, whose signatures indicate the shipment is complete.)



The materials returned are always verified against the packing list.



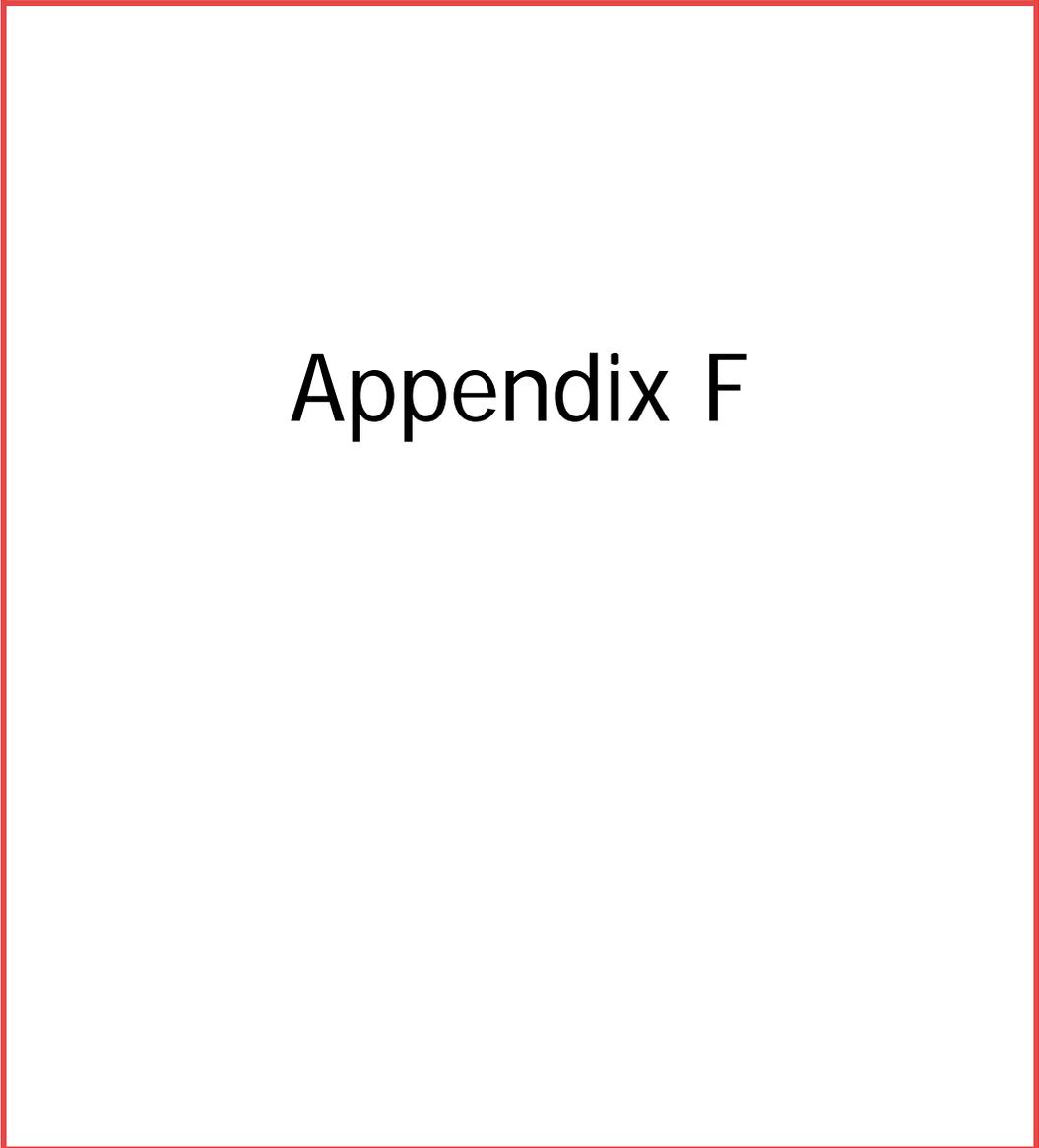
A detailed list of the contents of each box is generated before the box is returned to the contractor. Personnel keep these lists on file in case questions arise or discrepancies are reported.



Only campus coordinators return testing materials to the district coordinator.



Some districts have indicated that they have purchased or are interested in purchasing hand-held scanners that enable them to inventory and track all secure materials electronically.



Appendix F

Appendix F: Secure and Nonsecure Test Materials

SECURE	NONSECURE
Items That MUST Be Returned in <u>SCORABLE</u> Shipment	Items That MUST Be Returned in <u>SCORABLE</u> Shipment
<ul style="list-style-type: none"> Used or voided scorable test booklets for TAKS grade 3 and TELPAS reading grades 2 and 3 	<ul style="list-style-type: none"> Used and voided answer documents† Voided precoded answer documents† Answer Document Packing List Optional Reports Order Form
Items That MUST Be Returned in <u>NONSCORABLE</u> Shipment	Items That MUST Be Returned in <u>NONSCORABLE</u> Shipment
<ul style="list-style-type: none"> Used and unused nonscorable TAKS, TAKS-M, LAT, TELPAS reading, and TAAS test booklets, grouped by grade for grades 4-10 and exit level Used and unused nonscorable field-test booklets <u>Unused</u> scorable test booklets for TAKS grade 3 and TELPAS reading grade 3 LAT linguistic simplification guides Braille and large-print materials 	<ul style="list-style-type: none"> Dyslexia proper-nouns lists† Unused or voided precoded labels† Typed or tape-recorded materials† Unused or voided ID sheets Unused answer documents
	Items That DO NOT Need To Be Returned
	<ul style="list-style-type: none"> Unused paper bands Science rulers Mathematics or science charts (Remember that charts that have been written upon should be destroyed.) Coordinator manuals Coordinator packets Test administrator manuals Packing lists or packing cover sheets Locally developed LAT bilingual glossaries

†Items that do not have a security barcode, but may contain confidential student or testing information

Appendix G

Appendix G: Secure Materials Resolution Process

TEA and the state's testing contractor, Pearson, have implemented procedures to assist in the resolution and location of outstanding (missing) secure materials. The secure materials resolution process has been refined over the past year based on feedback from districts. District testing coordinators should carefully note the administration(s) referenced in any correspondence they receive because communications will likely overlap – i.e., a district may receive a notification for outstanding January and February materials and another notification shortly thereafter regarding April materials. If it becomes necessary for the district testing coordinator to contact Pearson or TEA, he or she should reference the identification number in the bottom left corner of the correspondence. An explanation of the process, including what to expect at each stage, is summarized below.

Step 1

When Pearson receives nonscorable shipments following a test administration, boxes are sorted and grouped by district. This allows Pearson to identify any districts from which it has not received any shipment.



Notification Sent – No Shipment Received

If Pearson does not receive any boxes/materials from a district, the district testing coordinator is contacted and asked if the material has been shipped; if so, the coordinator is asked to provide tracking numbers. This notification generally takes place 3–5 days after the deadline for submitting nonscorable materials. If possible, Pearson will attempt to call or e-mail the district testing coordinator before sending correspondence via regular mail. Labeling boxes incorrectly can also trigger this notification.

Step 2

Following the receipt of districts' shipments, Pearson next begins the process of scanning the unique security number printed on every test booklet and LAT linguistic simplification guide. Each box from a district is opened, the contents are scanned, and the materials are carefully placed back into the original box(es). After all the returned materials have been scanned in, Pearson compares these items to those that were shipped. A list is then generated for each district of all the secure items that were not scanned in for that administration.

Pearson then performs a cross-reference check between this outstanding materials list and any shipping issues reported to Pearson by the districts. Additionally, Pearson will reference any letters or e-mails sent regarding the lending of booklets, damaged materials, or lost/stolen secure materials, and attempt to locate those items.



Notification Sent – Scanning Complete and Shipping Issues Resolved

Following security scanning and the resolution of shipping issues, Pearson will notify the district testing coordinator for districts with more than 100 books or 15% of their original shipment still outstanding. The district is required to respond to Pearson by a designated date so collaborative efforts can begin to locate the outstanding materials. Testing coordinators will be asked to check their records in case the materials referenced were inadvertently left out of the district's shipment. If coordinators believe the materials were returned, they will be asked to contact Pearson with any information that might help narrow the

search – e.g., box numbers in which the materials were packed. This notification generally takes place 6–8 weeks after the deadline for submitting nonscorable materials. If possible, Pearson will attempt to call or e-mail the district testing coordinator before sending correspondence via regular mail.

Step 3

When efforts to reconcile materials not located during scanning are unsuccessful, Pearson undertakes a focused, physical search of all of the boxes returned by a district. After a district's shipment is examined, it can be reasonably assumed that any items that remain unaccounted for are not likely to have been included with the materials that were returned for that administration. Because some administrations overlap – i.e., one administration's materials are received when another administration's materials are still present in the district – the potential still exists for items to be returned in the wrong shipment.



Notification Sent – Physical Search Complete

If all materials are not accounted for during the physical search, Pearson will provide a list of the missing items to the district testing coordinator. When possible, this correspondence will be sent after all potentially overlapping administrations are physically examined as well. This typically occurs in mid to late September, and coordinators will again be asked to check their tracking records and return any materials found or to contact Pearson for further assistance.



It is **very important** to the joint resolution effort that district coordinators respond to the prior notifications. Failure to take action can result in delays that may increase the risk of secure test content being compromised.

Step 4

If a district coordinator does not respond to any of the previously referenced notifications – i.e., does not return the materials listed as outstanding **OR** contact Pearson to provide additional information – the next step is to notify the district superintendent that some or all of the district's secure testing materials cannot be accounted for by Pearson and there has been no communication or cooperation received from the district testing coordinator.



Notification Sent – Non-Response Notification to the Superintendent

This letter, which is sent by certified mail, explains that a response from the district test coordinator has not been received for the indicated administration, and it requires the district to ensure that the missing test materials are located and returned to Pearson **OR** to submit documentation to TEA indicating that the materials cannot be located.

Step 5

Districts are required to submit an incident report and the proper supporting documentation for the late return or loss of secure materials. The last stage of the process involves sending a notification to districts that have not submitted the required documentation necessary to close out the secure materials resolution effort.



Notification Sent – Request for Documentation

If the required documentation is not received, this correspondence is sent to the district superintendent and the district testing coordinator.

Districts indicating that all identified outstanding materials have been returned to the testing contractor are also required to submit an incident report and documentation describing the actions taken by the district to search for the outstanding item(s) and the district's procedures for ensuring that all secure materials were returned to the testing contractor.