

TEXAS EDUCATION AGENCY

*TEXAS ASSESSMENT OF KNOWLEDGE AND SKILLS*

ON-SITE AUDITS OF TAKS  
TEST ADMINISTRATIONS

**PROCEDURE MANUAL**

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**FY 2010-2011**

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**Authority**

The Texas Commissioner of Education may conduct unannounced on-site inspections of test administrations, as authorized by Senate Bill 1031, and implemented under Subchapter 39.0301, section (f), of the Texas Education Code. The Commissioner of Education may also conduct on-site accreditation investigations as authorized under Subchapter 39.075 section (a)(8), Texas Education Code. Additionally, the Commissioner of Education is authorized under Subchapter 39.0301, section (f), of the Texas Education Code to keep confidential the identity of each district or charter school randomly selected for an on-site audit until the inspection has been completed.

**Program Overview**

Maintaining the security and confidentiality of the statewide student assessment program is crucial to ensuring valid test scores and for 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.

In an effort to continue to improve the integrity of the statewide student assessment program and maintain a high level of confidence in the results of the program, the Texas Education Agency (TEA) has taken a number of steps to enhance test security. For example, these measures include the assigning of independent monitors to certain schools that have been rated *Academically Unacceptable* for multiple years or are under a sanction due to testing irregularities. In addition, TEA assigns independent monitors to conduct unannounced on-site audits of test security and administration in randomly selected schools across the state.

**Office of Primary Responsibility**

The administration of the Test Monitoring Program is assigned to the Office of Test Monitoring/Inspector General Investigations. The Test Monitoring Program reports directly to the Office of the Commissioner.

**Manual**

This Test Monitor *Procedure Manual* serves to guide individuals who are involved in Test Monitoring Program activities. The information contained in this manual is written for the test monitor and is intended to supplement other resources, policies, and procedures including the *District and Campus Coordinator Manual*, the *Test Security Supplement*, and any training sponsored by TEA or regional Education Service Centers. This manual is public information.

**Test Security Enhancements**

TEA continues to increase test security measures and to ensure the reliability and integrity of the state's Student Assessment Program. For the public to be confident that the test results are an accurate reflection of student learning, TEA is implementing a number of measures to enhance test security.

**Types of Audits**

The Test Monitoring Program oversees the implementation of three types of on-site audits: (1) Academically Unacceptable (AU); (2) Random; or (3) Special. *AU Districts are selected from the State Accountability Ratings released at the end of July each year by the TEA Division of Performance Reporting and is adjusted for any change in rating status that occurs prior to a scheduled onsite.*

1. AU DISTRICT: On-site audits of schools rated 2<sup>nd</sup>, 3<sup>rd</sup>, and 4<sup>th</sup> year AU in the state academic accountability rating system at the district level will receive an on-site audit during the October TAKS exit-level and spring primary test administrations.
2. AU CAMPUS: On-site audits of schools rated 3<sup>rd</sup> and 4<sup>th</sup> year AU in the state academic accountability rating system at the campus level will receive an on-site audit during the October TAKS exit-level and spring primary test administrations.
3. RANDOM: Unannounced on-site audits of randomly selected schools during the spring primary administration. The number of schools selected is based on TEA resources. In 2007-2008, approximately 80 districts were randomly audited during a primary TAKS administration.
4. SPECIAL: On-site audits of schools under a possible accreditation sanction.

**Website Resources**

[Recommendations for Implementation of 14-point Test Security Plan](#)

[Test Security Information](#)

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

[Test Administration Monitoring](#)

<http://www.tea.state.tx.us/index2.aspx?id=8296>

**Test Monitor Role**

The role of a Test Monitor is to observe and record the processes and procedures of the district and campus test administration.

The Test Monitor performs the following activities:

- (a) observe all aspects of test administration, including the distribution and collection of test materials
- (b) interview pertinent individuals to record the test administration processes and procedures
- (c) inspect facilities where test materials are maintained
- (d) review written policies, procedures, and materials
- (e) inspect seating charts, materials inventory sheets, test administrator assignment sheets, testing schedules, training materials, or any other records associated with test security and test administration
- (f) inform the district testing coordinator of possible testing irregularities observed
- (g) may collect and forward to TEA certain relevant documentation
- (h) write thorough and comprehensive audit reports
- (i) submit all written documentation, reports, notes, and associated records to TEA by the required deadline
- (j) refer requests for information to TEA Test Monitoring Program

The Test Monitor does NOT:

- (a) participate in, assist, or perform any test administration tasks
- (b) report testing irregularities to Student Assessment via on-line reporting on behalf of the district testing coordinator
- (c) provide advice or technical assistance at any time
- (d) provide his or her opinions or observations from other schools
- (e) recommend best practices to school personnel
- (f) interfere or interrupt school personnel or students during the conduct of the audit
- (g) retain any information resulting from the on-site activities
- (h) respond to media inquiries or any requests for information

**Authorization Letter**

Test Monitors must present to and obtain the signature of the superintendent or designee on the TEA Letter of Authorization. The Authorization Letter permits the Test Monitor to conduct the on-site audit.

**Criminal History**

TEA ensures that each Test Monitor meets requirements of the criminal history background review pursuant to the Texas Education Code (TEC), Chapter 22, Subchapter C, as amended by Senate Bill 9, 80th Texas Legislature, 2007.

**Conflicts of Interests**

Test Monitors must disclose all business interests and all relationships with the TEA-assigned schools that could reasonably be considered to pose possible conflicts of interest in the performance of contract obligations. Conflicts of interest should be considered broadly and encompass all interactions that a reasonable, detached person could believe might affect the judgment of a Test Monitor.

Test Monitors must represent and warrant in accepting the duties and in the performance of services under the agreement that (1) he or she does not have and will not have any actual or potential conflict of interest, and (2) he or she will take reasonable actions that may be necessary and prudent to avoid even the appearance of impropriety.

**Professional Conduct**

Test Monitors are appointed by TEA and represent TEA in performing these assignments. TAKS audits require direct or indirect interaction with the general public, school personnel, and students. Test Monitors shall follow TEA principles of public service and guidelines in maintaining professional conduct throughout the assignment.

**Students and Parents**

Test Monitors will observe test administrations in classrooms or testing rooms. The Test Monitor shall have very limited interaction with students and parents to maintain objectivity and independence.

Test Monitors must not discuss topics relating to test administration with students.

Test Monitors shall not question students regarding test administration under any circumstances.

**Accepting  
Anything of  
Value from  
School Staff**

Test Monitors are considered state employees during the agreement period. In accordance with state law, Test Monitors must not accept anything of value while performing activities under the agreement.

Test Monitors must not:

1. Accept or solicit any gift, favor, or service that might reasonably tend to influence him or her in performing the duties or that he or she knows is being offered with the intent to influence any decisions;
2. Accept other employment or engage in a business or professional activity that he or she might reasonably expect would require or induce him or her to disclose confidential information acquired from the assigned duties;
3. Accept other employment or compensation that could reasonably be expected to impair his or her independence of judgment in the performance of the assigned duties; or
4. Intentionally or knowingly solicit, accept, or agree to accept any benefit for having exercised his or her powers or performed the assigned duties in favor of another.

TEA may not use appropriated funds to compensate a state employee who violates the standards under Government Code § 2113.014. Also, in some cases, failure to follow the standards of conduct may violate a criminal statute.

**Program  
Evaluation**

The Test Monitoring Program is evaluated for continuous improvement. Feedback from schools, education service centers, Test Monitors, and TEA staff is considered in program evaluation.

Additionally, the performance of Test Monitors is evaluated to identify needs for support and training. These efforts are to ensure the highest quality, credibility, and integrity of the Test Monitoring Program.

Program performance standards include (a) thorough and clear report-writing; (b) timely submission of work; (c) accurate reporting of information; and (d) adhering to TEA requirements and guidelines.

**Questions and  
Concerns**

Questions or concerns regarding the Test Monitoring Program should be directed to the director of the program at (512) 463-9342.

**Potential Testing Irregularities**

Incidents resulting in a deviation from documented testing procedures are defined as testing irregularities. During the audit, the Test Monitor will perform the following:

1. Complete the Test Monitoring Checklist for each activity observed and include all observations, findings, date/time, room number, grade/subject test, and test administrator name.
2. Be alert for improper activities or discussions related to the contents of testing materials. No person may view, reveal, discuss, or score the contents of an assessment instrument at any time unless expressly authorized to do so by the test administration materials or TEA personnel.
3. Check for potential irregularities as detailed in the *Test Security Supplement*.
  - procedural errors
  - monitoring errors
  - improper handling of/accounting for secure materials

If the Test Monitor observes any of the following potential irregularities, he or she must **immediately** inform the district testing coordinator:

- viewing a test before, during, or after an assessment
- hand-scoring student tests
- discussing secure test content or student responses
- copying secure materials

All incidents must be reported by the district testing coordinator to TEA's Student Assessment Division.

**Report Review Process**

The Test Monitoring Program implements a multi-level review process to ensure that the findings reported by the independent Test Monitor are evaluated accurately and are consistent with established standards and criteria. The standards and procedures established by the Student Assessment Division are used to classify and process potential testing irregularities for all test monitoring audit reports.

The Test Monitoring Program conducts the initial review of each audit report and associated documentation. If an additional review of the audit is deemed necessary, the audit report and the associated documentation are forwarded to the Student Assessment Division for further determinations.

**Final Disposition Letters** The Test Monitoring Program will issue final letters informing the superintendent of the disposition of the on-site audit.

A copy of the test monitor's summary report will be included with the disposition letter. The disposition letter may include a description of any testing irregularity, recommendations for technical assistance, or specify the need for further TEA review.

**Accreditation Reviews** The TEA Office of Accreditation's Program Monitoring and Interventions staff will receive the results of the on-site test monitoring, especially for schools under review for TEA interventions or sanctions.

**Education Service Center** At the conclusion of all audits, each regional Education Service Center (ESC) will receive copies of the disposition letter and the Summary Audit Report for all schools that received an on-site audit in their region. The purpose and intent are to provide the ESC with information that may be helpful in planning and developing technical assistance and training in test administration. Additionally, the ESC will be aware of schools for which technical assistance was recommended.

**Timeline** The timeframe for completing all reviews and issuing the final disposition letter is approximately 30 business days from the date the Test Monitor exits the school.

**Reconsideration Requests** TEA implements an informal reconsideration process for schools who wish to request a reconsideration of the findings.

Step 1: The request for reconsideration must be submitted to the Test Monitoring Program, in writing, within 10 business days of receipt of the disposition letter.

The superintendent or board of trustees of the district or charter school may request that TEA reconsider its findings. The request for reconsideration must state the reason for reconsideration and include supporting documentation.

Step 2: A panel of internal reviewers will consider all available information, and a representative of TEA will issue a final determination.

**General Overview** The test monitoring program and process.

STAGE	WHO	WHAT
1	TEA Planning Preparation	Ensures an <i>Oath of Test Security</i> is signed and other requirements are met by Test Monitor prior to assignment Provides test monitoring materials, resources, and support
2	TEA Planning Preparation	Ensures full compliance with: <ul style="list-style-type: none"> <li>▪ <i>Test Security Supplement</i></li> <li>▪ <i>Test Monitor Procedure Manual</i></li> <li>▪ TEA requirements, directives, and Personal Services Agreement</li> </ul> Ensures familiarity with test administration requirements: <ul style="list-style-type: none"> <li>▪ <i>District and Campus Coordinator Manual</i></li> <li>▪ Test administrator manual applicable to assignment</li> </ul> Participates in any required activity or training Prepares and documents on-site visit itinerary/plan and materials Reviews relevant materials and resources <ul style="list-style-type: none"> <li>▪ <i>Test Security Supplement</i></li> <li>▪ <i>Test Monitor Procedure Manual</i></li> <li>▪ Report-writing process</li> <li>▪ On-site checklists</li> <li>▪ Incident Reporting Form</li> <li>▪ Test Monitor training</li> </ul>
3	District and Campus	Welcome and receive Test Monitor Verify and sign TEA Authorization Letter Cooperate with Test Monitor to: <ul style="list-style-type: none"> <li>▪ Answer audit questions and explain test administration and security procedures</li> <li>▪ Allow observation and examination of test administration processes and procedures</li> <li>▪ Allow inspection and observation of test security, storage, distribution, and collection of materials</li> </ul>

4	TEA Monitor	<p>Conducts monitoring activities to include all aspects of test administration during the on-site visit:</p> <ul style="list-style-type: none"> <li>▪ Entry meeting with superintendent or designee</li> <li>▪ Documenting district level processes</li> <li>▪ Entry Meeting with campus administrator or designee</li> <li>▪ Documenting campus level process</li> <li>▪ Documenting classroom level process</li> </ul> <p>Upon completion, informs superintendent or designee of departure            Completes preliminary report for each assigned school by following the report-writing guidelines            Submits preliminary reports and associated audit materials to TEA by due date</p>
5	TEA Review and Finalization of the Audit	<p>Reviews preliminary reports and any associated documentation            Conducts additional follow up, as appropriate            Conducts panel reviews, as necessary, to ensure accurate evaluation of possible testing irregularities</p> <p>When the audit is complete, Test Monitoring Program sends the summary audit report to the school administration and includes identification of any reported irregularities or referral for further review.            Provides a copy of the audit report to the district's regional Education Service Center</p>
6	Reconsiderations	<p>If the school believes that the audit is incorrect, the school has a single opportunity to request a reconsideration of the findings.</p>

**Preparing for Visit** Steps for the Test Monitor to prepare for the audit.

STEP	ACTION
1	<p>Review school assignments, contact Test Monitoring Program for any perceived conflict of interest, and inventory audit materials.            Research school information from the TEA or school website.</p>
2	<p>Read and understand test monitoring resources and materials:</p> <ul style="list-style-type: none"> <li>• <i>Test Security Supplement</i></li> <li>• <i>Test Monitor Procedure Manual</i></li> </ul>
3	<p>Read and understand current test administration requirements and changes:</p> <ul style="list-style-type: none"> <li>• <i>District and Campus Coordinator Manual</i></li> <li>• Test administrator manual for specific grades and subjects</li> </ul>
4	<p>Prepare and plan on-site itinerary that includes:</p> <ul style="list-style-type: none"> <li>• Attention to previous incident reports and prioritizing test administrations</li> <li>• Personnel and number of campuses and test administrations</li> <li>• Facilities and locations to inspect</li> </ul>
5	<p>See Entering District section.</p>

**Entering District** Steps for the Test Monitor when arriving at the district

STEP	ACTION
1	<p>On day of entry, meet the superintendent or designee and review the tentative itinerary. For Random Audits, Test Monitor does not disclose the selected campuses.</p>
2	<p>Obtain signature of superintendent or designee on TEA Agreement Letter. The Agreement Letter authorizes the named Test Monitor to audit the test administration. If requested, allow the superintendent or designee to examine the Test Monitor's Texas driver's license to verify identity.</p> <p>The test monitor will provide superintendent or designee with TEA contact information for any inquiries.</p> <p>Test Monitor <b>must not</b> disclose the identity of selected campuses for Random Audits.</p> <p>The regional ESC testing coordinator is provided the names of Test Monitors assigned for AU Audits. Random Audits must remain confidential and unannounced.</p>
3	<p>Briefly discuss:</p> <ul style="list-style-type: none"> <li>• Purpose of visit</li> <li>• Procedures and tentative itinerary for the audit</li> </ul> <p>Determine if persons serve in multiple roles (i.e., principal serves as campus test coordinator or one staff person serves as both the district and campus coordinator)</p> <p>Answer any general questions and plan for time to conduct full interview</p> <p>Provide TEA Test Monitoring Program contact information</p> <p>Obtain superintendent's phone number</p> <p>Exit district by notifying the superintendent by phone</p> <p>Request to meet briefly with district testing coordinator to view the distribution of test materials</p>
4	<p>Complete all items on On-site Checklist for Entering District section.</p> <ul style="list-style-type: none"> <li>• Document the superintendent interview on the checklist.</li> <li>• Observations, findings, and concerns of all activities audited.</li> </ul>
5	<p>See Monitoring District Process section.</p>

**District Level Process** Steps for Test Monitor when auditing district level procedures

STEP	ACTION
1	<p>Meet district testing coordinator and briefly discuss:</p> <ul style="list-style-type: none"> <li>• Purpose of visit</li> <li>• Procedures and tentative itinerary for the audit</li> </ul> <p>Answer any general questions and plan for time to conduct full interview.</p> <p>Obtain map of testing rooms/sites.</p> <p>Obtain test administration schedules and assignments to assist in the audit.</p> <p>Request to observe distribution of test materials to campuses.</p> <p><b>Important:</b> The Test Monitor will, to the extent possible, limit the interference or disruption of the test administration. The Test Monitor must not discuss his or her observations with school staff, parents, students, or members of the media or public.</p>
2	<p>Complete and initial all items on On-site Checklist for Monitoring District Process section.</p> <ul style="list-style-type: none"> <li>• Include complete name, role, position of person interviewed, location/room numbers, times, grade level and subject area test on the checklists.</li> <li>• Document observations, findings, and concerns of all activities audited.</li> </ul>
3	<p>Observe distribution, collection, inventory, storage of test materials at district level.</p>
4	<p>See Entering Campus section.</p>

**Entering Campus** Steps for Test Monitor when arriving at the campus.

STEP	ACTION
1	<p>Arrive at campuses early enough to view distribution of test materials to test administrators.</p> <p>Always check in at the campus main administrative office and properly sign in and wear visitor badge per campus policy.</p>
2	<p>Briefly meet the campus principal.</p> <p>Present the Authorization Letter and review the purpose of visit.</p> <p>Plan time to conduct full interview.</p> <p>Arrange to have a campus escort or a quick tour/map of testing rooms.</p> <p>Request to meet campus testing coordinator to observe distribution of test materials.</p>
3	<p>Request to observe distribution of test materials.</p>

4	<p>Complete and initial all items on the On-site Checklist for Entering Campus section.</p> <p>Document the following on the checklist:</p> <ul style="list-style-type: none"> <li>• Name, role, position of person interviewed, location/room numbers, times, grade level and subject area test.</li> <li>• Observations, findings, and concerns of all activities audited.</li> </ul>
5	See Monitoring Campus Process section.

**Campus Level Process** Steps for Test Monitor to audit campus level procedures

STEP	ACTION
1	Meet with campus testing coordinator (if different from campus principal)
2	Observe distribution, collection, inventory, and storage of test materials.
3	<p>Complete and initial all items on On-site Checklist for Monitoring Campus Process section.</p> <p>Document the following on the checklist:</p> <ul style="list-style-type: none"> <li>• Name, role, position of person interviewed or observed, location/room numbers, times, grade level and subject area test</li> <li>• Observations, findings, and concerns of all activities audited</li> </ul>
4	See Monitoring Classroom Process section.

**Testing Room Observations** Steps for Test Monitor when observing the administration of tests.

STEP	ACTION
1	Complete and initial all items on On-site Checklist for Monitoring Classroom Process section.
2	<p>Document on checklist:</p> <ul style="list-style-type: none"> <li>• Full name, position of person interviewed or observed, location/room numbers, times, grade level and subject area test</li> <li>• Observations, findings, and concerns of all activities audited</li> </ul>
3	Ensure that all checklist items have been completed and that all aspects of test administration have been observed or noted as “not applicable” or “not observed.” Do not leave blanks.

**Exiting  
District**

Upon completion of the on-site visit, Test Monitor will exit the district by calling the superintendent by phone on the last day of being on school grounds.

Test Monitor **MUST NOT** discuss findings or observations of the audit or make any comments of initial impressions, opinions, or suggestions. Rather, the Test Monitor will thank the district staff for their cooperation, information, and tell them that the on-site activities have concluded. The test monitor may inform school staff that the remainder of the TAKS audit process will be completed by TEA, including the issuing of the report.

Test Monitors **MUST NOT** discuss substantive or tentative observations with other persons, including school staff. Test Monitors may review the procedures with school staff.

**Post On-site Activities**

Steps for the Test Monitor after the on-site visit

WHAT	ACTION
Checklists	<p>Review checklists and determine how recorded observations and findings correspond to standards of test administration prescribed by TEA's Student Assessment Division in current publications:</p> <ul style="list-style-type: none"> <li>• <i>District and Campus Coordinator Manual</i></li> <li>• <i>Test Security Supplement</i></li> <li>• <i>Accommodations Manual</i></li> </ul>
Report	<p>Summary Audit Reports will address the following aspects of the test administration.</p> <ul style="list-style-type: none"> <li>• Staff roles and responsibilities</li> <li>• District and campus policies and procedures</li> <li>• Administration of tests</li> <li>• Test security and confidentiality</li> <li>• Test administration training</li> </ul>
Testing Irregularities	<p>Potential testing irregularities (procedural, monitoring, security or confidentiality) will be described in the Summary Report. In addition, the Test Monitor will document the potential testing irregularity on a separate Testing Irregularity Form to submit to TEA with all audit materials.</p> <p>The Testing Irregularity Form will be reviewed by the Student Assessment Division to evaluate the incident and determine any further actions.</p> <p>Test Monitors will contact TEA staff for guidance if there are any questions regarding a potential testing irregularity.</p>

**On-site Audit Materials** Maintenance and retention of test monitoring audit materials.

<b>WHO</b>	<b>RESPONSIBILITIES</b>
Test Monitor	<p>Test Monitors shall not retain any information collected, drafted, or created during the conduct of the TEA assignment.</p> <p>Test Monitors will properly destroy all transitory notes, drafts, and information no longer needed for writing the Summary Audit Report per written confirmation from the TEA Test Monitoring Program.</p> <p>Checklists are draft “working papers” and are used to write the Summary Audit Report.</p> <p>Checklists are maintained by the TEA Test Monitoring Program until all audits are finalized and no longer needed.</p> <p>Test Monitors are provided samples and guidance in writing reports.</p> <p>The Test Monitor’s Summary Audit Reports are PRELIMINARY. This means that the report is a draft working paper subject to further revisions or amendments until finalized by TEA.</p> <p>If TEA receives a public information request for the records, TEA will seek an exception to public disclosure in accordance with the Texas Public Information Act.</p>
TEA	<p>Ensures that Summary Audit Reports conform to TEA report-writing standards and guidelines</p> <p>May make minor formatting and proofreading edits to reports</p> <p>May not make any substantive revisions to the reports without the review and consent of the Test Monitor who authored the report</p> <p>Responds to inquiries regarding the report and final determinations of the audit</p> <p>Final Summary Audit Reports are public information and will be released upon request.</p>

TEST MONITOR NAME  
TEST ADMINISTRATION  
DISTRICT

# **ON-SITE CHECKLISTS NOTES AND WORKING PAPERS**

DISTRICT-LEVEL CHECKLIST

Monitor Name

District Name

Superintendent or Designee Name

Date

Start Time

End Time

Superintendent Interview	Yes	No	N/A
1. Discuss with superintendent the purpose and scope of visit			
2. Discuss superintendent's involvement with test administration			
3. Discuss existing district policies and procedures for test administration			
4. Discuss existing district incident reporting process/superintendent's role			
5. Identify and request to meet the district testing coordinator			

Notes and Comments

DISTRICT-LEVEL CHECKLIST

Monitor Name

District Name

District Test Coordinator Name

Date

Start Time

End Time

District Testing Coordinator Interview	Yes	No	N/A
1. Notify district testing coordinator of need to visit			
2. Inspect signed training certification documentation for:			
3. District testing coordinator			
4. Campus principal for selected campus (if available in district office)			
5. Campus testing coordinator			
6. All test administrators (if available in district office)			
7. Inspect district testing coordinator security oath for proper signature			
8. Inspect test materials storage area for:			
9. Being physically locked and secure from unauthorized entry			
10. Exclusive use for TAKS test materials			
11. Restricted access by authorized personnel only			

Notes and Comments

**DISTRICT-LEVEL CHECKLIST**

Monitor Name

District Name

District Level Policies and Procedures

Date

Start Time

End Time

Policies and Procedures	Yes	No	N/A
1. Examine existing district policies/procedures for ensuring security of test materials area			
2. Inspect physical inventory of received test materials			
3. Inspect inventory and shipping records of received test materials			
4. Inspect existing district policies/procedures for maintaining copies of TAKS testing documentation for a minimum of five (5) years			
5. Examine procedures and system of distributing test materials to campuses			
6. Examine procedures and system of retrieving test materials from campuses			
7. Check for evidence of test material duplication			

Notes and Comments

TEST MONITORING PROGRAM

CAMPUS-LEVEL CHECKLIST

Monitor Name

District Name

Campus Principal Name

Date

Start Time

End Time

Campus Principal Interview	Yes	No	N/A
1. Discuss with campus principal the purpose and scope of visit			
2. Inspect training documentation for principal			
3. Inspect test administrator and monitor assignments and testing rosters for all students required to test			
4. Inspect existing campus policies/procedures for preventing unauthorized access, reviewing, or duplication of test materials			
5. Examine and discuss existing campus incident reporting process			
6. Request an escort or tour and a copy of test administrator assignments and rooms (map)			

Notes and Comments

CAMPUS-LEVEL CHECKLIST

Monitor Name

District Name

Campus Test Coordinator Name

Date

Start Time

End Time

Campus Testing Coordinator Interview	Yes	No	N/A
1. Discuss with campus testing coordinator the purpose and scope of visit			
2. Inspect all training documentation:			
3. Campus testing coordinator (if not already done)			
4. All test administrators (if not already done)			
5. Inspect existing campus policies/procedures for state assessment administration			
6. Inspect all security oaths for proper signatures:			
7. Campus testing coordinator			
8. Campus principal			
9. All test administrators			
10. All hallway and relief monitors			
11. Verify system of maintaining seating charts for five (5) years			

Notes and Comments

TEST MONITORING PROGRAM

CAMPUS-LEVEL CHECKLIST

Monitor Name

District Name

Campus Level Procedures

Date

Start Time

End Time

	Yes	No	N/A
1. Inspect test materials storage and security for:			
2. Being physically locked and secure from unauthorized entry			
3. Exclusive use for TAKS test materials; if not evident, check for documenting access (i.e., sign in log or procedures)			
4. Restricted access to authorized personnel only			
5. Examine existing campus policies/procedures for ensuring security of test materials area			
6. Examine procedures and system of distributing test materials to classrooms and testing locations			
7. Examine procedures and system of retrieving test materials from classrooms and testing locations			
8. Verify that ALL personnel handling test materials have documented training and have signed the required security oath			
9. Observe procedures used for breaks, restroom use, or required meals			
10. Verify campus procedures for special testing situations			
11. Examine/discuss existing campus incident reporting process			
12. Observe procedures used for breaks, restroom use, or required meals			
13. Discuss procedures and contingencies for emergencies such as fire alarms, bomb threat, or any other unexpected emergencies			
14. Examine/discuss system for monitoring restrooms during testing			
15. Verify that campus testing coordinators and test administrators are properly securing or monitoring test booklets during student breaks			
16. Verify that campus testing coordinators are verifying correct code gridding on answer documents (i.e., demographics, score code, accommodations)			

Notes and Comments

TEST ADMINISTRATOR / TESTING ROOM OBSERVATION CHECKLIST

District Name

Campus Name

Test Administrator Name

Grade

Subject Test

Room #

Date

Start Time

End Time

TESTING ROOM OBSERVATION

	Yes	No	N/A
1. Observe the securing of test materials by test administrators in at least TWO different areas before distribution to students.			
2. Observe the distribution of test materials to students by test administrators in at least TWO different areas.			
3. Verify that testing environment is free from distractions, unauthorized materials, and unauthorized electronic devices.			
4. Verify that written testing standards are followed at all times.			
5. Verify that test administrators are reading aloud the provided script verbatim.			
6. Verify that testing environment for students is comfortable, quiet, well ventilated, and has adequate lighting.			
7. Verify that each testing room has a trained test administrator present at all times during administration of test.			
8. Verify use of seating charts.			
9. Verify that testing signs are posted outside of each room where testing is in progress.			
10. Verify that testing rooms can be observed from hall or that rooms are unlocked for monitoring access.			
11. Verify that no testing session has more than 30 students per test administrator.			
12. Verify that test administrators are actively monitoring students.			
13. Verify that principal and campus testing coordinator are monitoring testing sessions.			
14. Verify that students remain seated during testing, except when they are acquiring or returning authorized materials or are going to the restroom with permission.			
15. Verify that students are not observed conversing while test booklets are open.			
16. Verify that students are not using a cell phone or text messaging in testing room.			
17. Verify that only students are observed using erasers on test documents.			
18. Verify that students who are finished are quiet and not disturbing other students still testing (reading book, etc.).			
19. Verify that students have been given state-supplied math charts, science charts, and science rulers.			
20. Verify that students have been provided graphing calculators (gr. 9-11) for math or scientific calculators for science (gr. 10-11) and at ratios of 1-1 for math, 1-5 for science.			
21. Verify that dictionaries and thesauruses are being used correctly for grade 7 writing, grade 9 reading, and grades 10-11 ELA.			
22. Observe the return of test materials to campus testing coordinator by test administrators in at least TWO different areas.			

Notes and Comments

## Additional Observation Form

Identify strengths, best practice, and recommendations for technical assistance or TEA action.

District

Campus

Effective Practices

Concerns

Recommendations to TEA

POTENTIAL CONCERNS FORM

The Test Monitor will complete and submit this form to TEA ONLY if a serious concern is observed during the on-site audit. A separate form must be complete for each incident/observation.

District Name	
Campus Name	
Subject Area & Grade Level	
Date	
Print Test Monitor Name	
Test Monitor Signature	

What type of potential testing irregularity occurred?

- Security of test materials
- Training issues
- Testing environment and conditions
- The conduct of one or more teachers or other school employee
- Procedural or monitoring

What did you observe?

For test security problems, describe the test materials involved, including the subject area and grade level.

Who was involved in the incident? (Check all that apply)

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> district coordinator | <input type="checkbox"/> campus testing coordinator | <input type="checkbox"/> test administrator |
| <input type="checkbox"/> school administrator | <input type="checkbox"/> hall or relief monitor     | <input type="checkbox"/> superintendent     |
| <input type="checkbox"/> district employee    | <input type="checkbox"/> student                    | <input type="checkbox"/> other              |

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| Was this incident reported to campus testing coordinator?   | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Was this incident reported to district testing coordinator? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Was TEA Student Assessment contacted?                       | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Provide the full name(s) of persons involved.  
Name witnesses to the incident.

Give the name of the person reporting the incident.  
Give the date and location of the incident.  
How many students were involved or affected?  
What actions were taken to correct this incident?

State of Texas  
County of \_\_\_\_\_

Texas Education Agency  
Student Assessment Program

Oath of Test Security and Confidentiality  
TEA Test Monitor

I do hereby certify, warrant, and affirm that I will fully comply with all requirements governing the State Assessment program and do hereby certify the following:

(Initial each statement)

\_\_\_\_\_ I have completed the required training on the appropriate administration of the statewide assessments and training required by the Texas Education Agency;

\_\_\_\_\_ I have read the *Test Security Supplement* and other applicable materials, including the *District/Campus Coordinator Manual* governing the administration of the statewide student assessment program;

\_\_\_\_\_ I understand my obligations concerning the security and confidentiality of these tests;

\_\_\_\_\_ I am aware of the range of penalties that may result from a violation of test security and confidential integrity; and

\_\_\_\_\_ I am aware of my obligation to report any suspected violations of test security to the Texas Education Agency.

\_\_\_\_\_ I am aware that full and complete confidentiality must be maintained before, during, and after the monitoring visit of each district and campus.

I do hereby further certify, warrant, and affirm that I will faithfully and fully comply with all requirements concerning test security and confidential integrity.

IN WITNESS WHEREOF I affix my hand on this the \_\_\_\_\_ day of \_\_\_\_\_ 2011.

\_\_\_\_\_  
Signature of Test Monitor

\_\_\_\_\_  
Printed Name of Test Monitor

Texas Education Agency  
Test Monitoring Program

Local Education Agency  
County-District No

### Sample Framework for the Summary Audit Report

The local education agency (LEA) was selected for on-site monitoring of the -administration of the Texas Assessment of Knowledge and Skills (TAKS) assessment(s), based on the selection process established by the Texas Education Agency (TEA). Based upon the selection process, the following campuses were identified and monitored during the test administration session.

#### Campuses Monitored:

#### Statutory Authority

The Commissioner of Education may conduct unannounced on-site audits, as authorized under Subchapter 39.0301, section (f), of the Texas Education Code (TEC). In addition to other sanctions, the Commissioner may order the district or campus that is rated academically unacceptable for multiple years to receive monitoring of the local administration district assessment under TEC Section 39.1331. The Commissioner may also conduct an investigation of a school district for a potential violation of test security, as authorized under Subchapter 39.0301, section (e) or a special accreditation investigation in accordance with TEC Subchapter 39.075 section (a)(8). Additionally, the identity of each school district selected for audit under the random selection process is confidential and not subject to disclosure under Chapter 552, Government code, except that the TEA shall disclose the identity of each district after completion of the audit.

The purpose of this summary is to report to the TEA the independent observations of the Test Monitor during the local administration of the TAKS assessment. The role of the Test Monitor is to observe and record the processes and procedures implemented by the LEA for the administration of statewide assessment(s).

The Test Monitor conducted the entry meeting with the superintendent or superintendent's designee on (time and date). The Test Monitor notified the superintendent or designee of the conclusion of the on-site activities and exited the district on (time/date).

The Summary Audit Report will follow a structure similar to the one shown below. The reports may be of different styles. However, the report will present information directly related to the questions on the checklists and include sections (as shown below).

Summary of Interviews with Staff

District Level Entry

Campus Level Entry

The role and position/title of each individual are included, such as superintendent, principal, district testing coordinator, campus testing coordinator, or test administrator.

Summary of Processes and Procedures:

District Level

Campus Level

Testing Processes and Procedures  
Test Administrator/Testing Room Observations

Summary of Potential Irregularities

District Level  
Campus Level

Observed Strengths

District Level  
Campus Level

Concerns

District Level  
Campus Level

Conclusion

Overall Summary Statement  
Need for additional action by TEA

SAMPLE STATEMENTS OF FINDINGS  
DISPOSITION LETTERS

TEA findings are stated in the final disposition letters issued to schools and may include statements similar to ones listed below **after** TEA has reviewed all information, including testing irregularity reports, complaints, and any information or concerns that come to the attention of TEA.

A. Findings:

Based on the monitoring and audit of the recent primary TAKS test administration conducted in your schools, TEA has determined that the observed test security and confidentiality requirements and procedures were followed consistently. School staff demonstrated effective planning, procedures, and monitoring of the test administration to ensure a quality testing program. Further Agency review of the audit results is not necessary at this time.

B. Findings:

Based on the recent on-site TAKS audit conducted in your schools, one or more possible testing irregularities were observed. A description of the irregularities is included in the enclosed report. If you believe the report contains errors or omissions, the district may submit additional information and request a reconsideration or correction to the report. Upon careful review of the nature of the irregularities, no further action by the Agency is recommended.

Please make certain that all district and campus training includes comprehensive instruction on proper test administration and the handling of test materials. Districts are required to administer all assessments in strict accordance with prescribed procedures.

C. Findings:

Based on the recent on-site TAKS audit conducted in your schools, one or more possible testing irregularities were observed. A description of the irregularities is included in the enclosed report. The information gathered from this audit is forwarded to the Division of Student Assessment for further review. The Division of Student Assessment will contact the district for any follow-up or further actions. If you believe the report contains errors or omissions, the district may submit additional information and request a reconsideration or correction to the report.

Please make certain that all district and campus training includes comprehensive instruction on proper test administration and the handling of test materials. Districts are required to administer all assessments in strict accordance with prescribed procedures.

D. Findings:

Based on the recent on-site TAKS audit conducted in your schools, a possible serious testing irregularity was reported to the Agency during the spring test administration. The report was made by your district separate and apart from this independent audit. The independent test monitor did not observe any testing irregularities and reports no concerns in the district's administration of the TAKS test during the random on-site audit. Due to the nature and scope of the separately reported incident, this audit report is forwarded to the Division of Student Assessment as additional information. The Division of Student Assessment will contact the district for any follow-up or further actions. If you believe the report contains errors or omissions, the district may submit additional information and request a reconsideration or correction to the report.

Please make certain that all district and campus training includes comprehensive instruction on proper test administration and the handling of test materials. Districts are required to administer all assessments in strict accordance with prescribed procedures.