State of Iowa
Test Security Manual

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Importance

Test security is important to Iowa schools to 1) maintain the integrity of the test and the data it provides, 2) protect test content, and 3) uphold professional ethics.

The integrity and fairness of tests as well as the validity of any inferences or decisions based on the results of the tests at the federal, state, local, and individual student level depend on maintaining the security of all test items and testing materials. Test security requires the cooperation of the contractors, state personnel, teachers, administrators, supervisors, area education agencies (AEA) consultants, students, and others involved in student testing. The need to maintain test security permeates all aspects of testing from developing the test materials to maintaining the technology, uploading student personal information, receiving and distributing test materials, administering and monitoring student testing sessions, shipping testing materials, scoring tests, analyzing data, and reporting student results. Whether testing online or in a paper format, all tests, answer documents, and ancillary materials must be secure and handled appropriately. Any deviation in test administration must be reported as a test security incident to ensure the validity of the assessment results.

State-wide or district-wide tests are expensive to develop. If the content of the test is exposed by a staff member or a student (e.g., left exposed in the classroom, used in instruction, left in unsecured locations), it results in more than a discipline issue. The investment in the test is also lost, costing potentially millions of dollars. The value of the test items is also lost. Items and passages that are reusable are used to equate test forms from year-to-year which is necessary for making growth calculations.

Iowa Administrative Code 282-25 (Iowa's Code of Ethics) requires certified educators to uphold the ethical practices for test administration and security. Iowa Administrative Code 282-25.3 (3) (e) states *"Falsifying or deliberately misrepresenting or omitting material information regarding the evaluation of students or personnel, including improper administration of any standardized tests, including, but not limited to, changing test answers, providing test answers, copying or teaching identified test items, or using inappropriate accommodations or modifications for such tests."*

Iowa Administrative Code 282-25 also requires protection of student information. Iowa Administrative Code 282-25.3(6) Standard VI covers unethical practice toward other members of the profession, parents, students, and the community. Section (h) states *"Intentionally disclosing confidential information including, but not limited to, unauthorized sharing of information concerning student academic or disciplinary records, health and medical information, assessment or testing results, or family income. Licensees shall comply with state and federal laws and local school board policies relating to the confidentiality of student records, unless disclosure is required or permitted by law."* (See Appendix A for a copy of the Iowa Code of Ethics.)

Student education records are official and confidential documents and protected by one of the nation's strongest privacy protection laws, the Family Educational Rights and Privacy Act (FERPA). FERPA, also known as the Buckley Amendment, defines education records as all records that schools or education agencies maintain about students.

This manual was developed to assist districts, schools, and AEAs plan for and maintain the security of both online and paper-based testing to ensure the integrity, validity, and confidentiality of item types, prompts, and student information; maintain our investment; and adhere to Iowa's Code of Ethics. This manual should serve as guidance to help districts create sound test security policies and practices. They should, at a minimum, apply to all federally mandated assessments, including Iowa Statewide Assessment of Student Progress (ISASP), English Language Proficiency Assessment for the 21st Century (ELPA21), Alternate English Language Proficiency Assessment (Alt ELPA), Dynamic Learning Maps (DLM), and National Assessment of Educational Progress (NAEP).

Responsibility

Everyone who is involved in student testing, communicates results, and/or receives testing information is responsible for test security. This includes the Iowa Department of Education, AEA consultants, district administrators, district assessment coordinators, school administrators, school assessment coordinators, teachers, teacher leaders, test administrators (TA), proctors, students, and parents or community members.

Best practice for districts, schools, and AEAs should include a policy on test security, staff training, and test administration. The policy should be clearly communicated to all staff involved in test administration. The policy should include the following:

- a statement of purpose,
- security requirements such as the rules for storage and access of secure materials, whether paper or electronic; rules for administering, monitoring, and reporting; and the requirements for protecting student personal information (FERPA),
- the requirement for annually communicating the test security policy with educators, students, and families,
- consequences for violation of the test security policy,
- identification of who receives and stores the testing materials or oversees online implementation at a district or school,
- identification of who has access to materials or login information and student data, including score reports, and
- standardized procedures for how tests are scheduled, distributed to students, stored and returned.

Each district, school, and agency should establish written procedures that, at a minimum include:

- identification of personnel authorized to have access to the tests (e.g., test administrators, school and district administrators, test coordinators, counselors),
- identification of personnel authorized to proctor tests (i.e., only certified educators),
- procedures for assigning accessibility and accommodation features for the fair testing of individual students,
- procedures for distribution, handling and tracking test materials before, during, and after testing for paper/pencil assessments,
- procedures for distribution, handling, tracking, and properly destroying test tickets before, during, and after testing for online assessments,
- procedures for online testing sessions before, during, and after testing,
- procedures for monitoring during test administration,
- procedures for reporting test security incidences and handling unforeseeable circumstances,
- procedures for investigating any alleged violation of test security,
- procedures for annually communicating in writing the test security provisions and discussing them with all district employees, students, and families, and
- procedures for securing unauthorized electronic devices. (See Appendix O for examples)

Additionally, the policy may outline responsibilities by role (e.g. superintendent, building principal, test coordinator, test administrator, technology coordinator, proctors, monitors, substitutes).

Roles

The following roles are used throughout this manual and in specific test administration manuals.

Test administrator (TA) or proctor: a certified educator responsible during the test administration, for monitoring the testing process and implementing the test administration procedures. Either term will be seen in the specific test administration manuals. Test administrators/proctors are expected to complete training corresponding to the tests they are responsible for administering.

Prior to testing they should ensure:

- all necessary equipment and materials are in order, and
- all students have had an opportunity to practice the test features in the testing environment.

During testing, test administrators/proctors should:

- ensure testing materials are secure,
- ensure the testing environment is free of distractions, and
- notify the testing coordinator of any testing incidents that may occur.

School assessment coordinator: a certified educator at the school level who oversees and coordinates the administration of the assessment. They ensure that all test administrators/proctors have been properly trained and report any testing incidents to the district assessment coordinator. School assessment coordinators must work with the district assessment coordinator and the technology coordinator to ensure test administrators/proctors have what they need for a successful test administration. This includes:

- scheduling adequate time and space,
- ensuring all devices are working properly,
- ensuring all test administrators have all the materials they need on testing day, and
- supporting test administrators/proctors should an incident arise, or other assistance is needed.

District assessment coordinator: a certified educator at the district level who oversees and coordinates all aspects of the administration of statewide assessments, including ISASP, DLM, ELPA21 and Alt ELPA. While they may designate another educator to oversee the administration of a particular assessment, the responsibility rests with them to ensure:

- all students are tested including those who are placed in other external programs or schools,
- all test administrators/proctors have been properly trained,
- students have access to accessibility supports (universal features, designated features, and/or accommodations) when appropriate,
- testing materials are ordered/available in time for testing, and
- testing irregularities, breaches, and accessibility errors are investigated and reported to the Iowa Department of Education.

Internal district monitor: a certified educator within the district annually observes testing sessions for all federally required assessments and completes the monitoring checklists for each assessment. Internal test monitoring data is to be kept on file locally. (See Mentoring Practices)

External monitor: a representative from the Iowa Department of Education observes testing sessions in a school district and completes the monitoring checklist for the appropriate assessment. External monitoring occurs on a 5-year cycle or as needed. All federally mandated assessments are subject to the external monitoring process. (See Appendix K)

Test Security Practices

The following testing practices should be used to ensure a practice related to assessment is consistent with the principles of performing one's duties with honesty, integrity, due care, and fairness to all. Generally, when talking about test security, it means managing test distribution and orderly test administration, with procedures that restrict who can see the test material and student test results. Additionally, it applies to when the test materials may be viewed and how the results are used as well as how the student personal information is protected.

Test security practices will vary by specific test, but the overall goal of maintaining the integrity and fairness of the test as well as securing student personal information remains the same with all tests. The practices will also vary depending on whether the assessment is administered online or paper and pencil and by the role of the person in the assessment system. These roles should be defined in the district's assessment or test security policy.

Preparation Practices

Each school, district, and AEA must ensure that all appropriate staff has training and knowledge of these appropriate assessment security practices and must monitor the practices of all staff to ensure compliance. Test administrators/proctors **must be certified teachers/educators** to administer federally mandated tests. Paraeducators and other support staff **may not** administer federally mandated assessments (ISASP, ELPA21, Alt ELPA, DLM, and NAEP). Please see the test administration manuals for test administrator/proctor requirements for state assessments. Certified staff are held accountable by Iowa Administrative Code. All test administrators/proctors and test coordinators must complete test security training at least once every three years starting with the fall administration of 2020. The test security training module will be available in AEA Learning Online and through the ISASP portal training modules. Participants must print out a certificate of completion (either a paper version or an electronic pdf version) and keep on file with their school administrator. Starting in 2022-23, all paraeducators who are in the room during testing, must complete the test security training module at least once every three years available in AEA Learning Online and sign the test security confidentiality agreement every year in Appendix D.

Superintendents and principals annually sign an assurance document attesting to having provided training to all test administrators and ensuring the security of the tests. If district/school test coordinators are responsible for overseeing test administrator training, it is recommended that all district test coordinators also sign a test assurance document for their district. A copy of the Iowa Department of Education Assurance Letter is in Appendix B.

Districts, schools, and AEAs are encouraged to have all test coordinators and test administrators sign a confidentiality agreement and an affirmation statement that they have completed the required training, are aware of the district/agency test security policy, understand role related procedures, and understand role related practices. An example of such an agreement is provided in Appendix C.

Annual training has been developed and is offered for each federally mandated test and most state mandated tests in Iowa. All test administrators must be trained to proctor a specific test. Specific test security information is included in the training materials or content. The training is updated annually to provide information on changes in protocols or practices. Some trainings require test administrators/proctors to complete a certification process and provide the certificate to the district or school test coordinator. This should be kept on file for access if requested by the Bureau of Educational Examiners (BOEE).

Additionally, for test security, the Iowa Department of Education has developed a generic confidentiality agreement for human readers, scribes, translators, sign language interpreters, and

paraeducators to sign. A copy of this confidentiality agreement is in Appendix D and is also available for districts and schools to use with other state and locally mandated assessments.

Dynamic Learning Maps (DLM): Annual training is required for test administrators. Test administrators are required to sign the DLM Test Security Agreement. A copy of this agreement is in Appendix E. Voluntary trainings for district staff and educators are also available. These training may be found on the DLM website. Test administrators must also complete the State of Iowa Test Security Training, if they have not completed ISASP training.

English Language Proficiency Assessment for the 21st Century (ELPA21 and Alt ELPA): Annual training is required for test administrators. A certificate is issued upon completion and must be provided to test coordinators prior to administering the test. Additional training modules are available for test coordinators. Test administrators must also complete the State of Iowa Test Security Training, if they have not completed ISASP training. Training modules are accessed through the ELPA21 training system.

Iowa State Assessment of Student Progress (ISASP): An annual test administration training is required, and completion of this training needs to be documented and retained by the school district. Other trainings are available for test coordinators and technology staff. These may be found on the ISASP Portal.

National Assessment of Educational Progress (NAEP): NAEP representatives will bring all necessary materials and equipment, including tablets with keyboards, to schools on assessment day. Schools will only need to provide space for students to take the assessment, desks or tables, and an adequate number of electrical outlets in the assessment location—schools will not need to provide internet access. School staff members are encouraged to be present at the assessment administrations and will be asked to sign a nondisclosure agreement.

Best practice in large-scale student testing includes having all administrators trained in test administration, interpretation of academic assessment results, and **test security**. Lack of training may lead to mistrust of the assessment and misuse of the results. According to Dr. Gregory Cizek in the 2013 Testing Integrity Symposium: Issues and Recommendations for Best Practice, page 5, sponsored by the U.S. Department of Education Institute of Education Sciences' National Center for Education Statistics, the lack of trust in the assessments occurs even though the state academic assessments are "far and away the most objective, fairest, least biased, most dependable measure that [students] will see the entire year."

Materials Handling Practices

Each district should establish written procedures for handling testing materials. These procedures should be clearly communicated to all staff engaged in any portion of the testing process. Because materials handling differs depending on whether the testing is online or paper and pencil, the district may need to have procedures identified for each test or type of test. Always refer to the test administration manual provided by the test developer or vendor.

The established procedures should address the following:

- identification of personnel authorized to have access to the tests or testing system,
- handling and tracking test materials before, during, and after testing for paper and pencil tests (i.e., examine and count after testing sessions all test booklets, answer documents, scratch paper, and other materials),
- producing, printing, distribution, handling, and tracking of test tickets, usernames, and passwords for online tests,

- handling and distribution of any test specific, designated reference materials,
- returning test materials to the secured location between and after testing sessions (i.e., all testing materials are secured daily and not allowed to remain in a classroom or testing site; students are logged off at the end of the testing session), and
- ensuring that no secure test materials, questions, or student responses are retained, reproduced, paraphrased, or discussed in any manner.

The procedures may be in the form of a checklist for each personnel role (e.g., test coordinator, test administrator) and should be included in the annual test training. Some test administration manuals include checklists specific to the role (e.g., ELPA21 test coordinator checklist, ELPA21 test administrator checklist, ELPA21 technology coordinator checklist).

Chain-of-custody documentation is required for all federally mandated assessments. The chain-of-custody documentation provides all relevant details including who has the secure testing materials throughout the testing window. For paper tests, a sample chain-of-custody document is provided in Appendix F. For online tests, a sample chain-of-custody document is provided in Appendix G. The district should determine where the forms are filed during and after testing.

Administration Practices

For paper testing, more emphasis is placed on maintaining security during the delivery, distribution, and standardized administration of the test. Online testing requires secure browsers for administering the test, secure student login credentialing to access the tests, test administrator authorization, secure passwords, and monitoring both student testing sessions and social media during administration to avoid cheating and theft. All are designed to maintain the integrity of the test before, during, or after testing. Districts must provide guidance on monitoring social media during testing. The following are a sample of things to look for on various social media platforms:

- images of the computer screen that show test items
- any photographs that appear to have been taken in the test administration room; these can be images students have taken of themselves or their classmates as well as pictures taken by test administrators of the testing session
- tweets that indicate test security policies are not being upheld

Whether administering the tests with paper and pencil or online, many test administration practices remain the same, students should be provided a distraction-free, secure testing environment, including posting a notice on the room door to prohibit distractions. No student access to textbooks, unauthorized reference materials, personal cell phones, cameras, smart watches, portable music players, image/sound capturing devices, or social media sites may be allowed in the testing area. All materials related to the content being assessed must be fully covered or removed from the testing location. Students should also be provided with training regarding their role in test security. Test coordinators and administrators should monitor testing sessions and inform the Iowa Department of Education of any test irregularities or breaches immediately (See Assessment Incident Management).

Paper/pencil

Districts should implement the controls necessary to ensure the proper storage, secure administration, accurate tracking throughout each stage of test administration, and safe shipping of materials to the contractor. Before students begin taking the test, test administrators must ensure all test materials are handled in strict accordance with instructions appearing in the test administration manuals or shipping documents.

During test administration the district should monitor test security and provide a secure, limited-access, locked storage when testing materials are not in use. Schools are required to require signage

of a chain-of-custody for distribution of all tests and testing materials. (See Materials Handling Practices).

After testing, all test booklets, answer documents, and ancillary materials must be collected and appropriately returned for scoring in accordance with the shipping directions provided. Some tests may require shredding of certain ancillary materials while others direct the school to include these materials in the shipping containers. It is the school's responsibility to ensure the materials are disposed of appropriately and securely according to directions by the test publisher or test vendor. *Materials that are not returned or disposed of appropriately and securely is a testing incident.*

Online

Before students begin testing, the secure browser should be downloaded and tested on each testing device. Test Administrators (TAs) should access the online platform to ensure each student's personal information is accurate as well as ensuring the student's accessibility and accommodation features are appropriately identified. TAs should also familiarize themselves with the online test administration platform and the online reporting platform. If at all feasible, practice tests should be administered within two weeks of the testing session to allow students to become familiar with the test types and online features of the testing platform.

During test administration the district should monitor test security and provide a secure, limited-access, locked storage when testing materials are not in use. Schools must require signage of a chain-of-custody for distribution of all tests and testing materials (See Materials Handling Practices).

During testing the test administrator should monitor test security for irregular testing incidents or any student behaviors that would compromise a student's test performance or the integrity of the tests. Any network software that allows the teacher/test administrator/proctor to view in real time what is on a student's monitor should be turned off but monitoring protocols within the test administration platform should be used to monitor student movement through the test. Students' test monitors should be set up to avoid visual access by other students.

Monitoring Practices

To ensure the validity and reliability of student results, Every Student Succeeds Act of 2015 includes the expectation that monitoring of test administration should be demonstrated for all assessments in the state assessment system: the general academic assessments, the general English Language Proficiency (ELP) assessments, the alternate academic assessments, and the alternate ELP assessments. There are two types of monitoring: internal monitoring which is done by the school or school district and external monitoring which is done by the Iowa Department of Education.

Internal Monitoring

Each district must include in their test security policy a plan for monitoring all federally mandated assessments as well as other state assessments and district assessments. The plan should establish written procedures that address monitoring students during test sessions, monitoring social media sites, and monitoring practices of all staff to ensure compliance with the district test security policy. Additionally, the plan should include monitoring accessibility and Individualized Education Program (IEP) designated accommodations to ensure fair testing practices are implemented.

During the Spring BEDS Reporting the district will report the number of classrooms and grade levels monitored during the testing window for each federally mandated test. A **required checklist** for monitoring is in Appendices H through J for each federally mandated assessment. All *State Monitoring Checklists for Test Security and Ethics* should be kept on file (electronic or paper) in the school, district, or AEA for a minimum of 5 years. At a minimum, districts shall monitor the following:

- 2 monitoring observations 1 during each of the DLM assessment windows (Fall, Spring) at any two levels if applicable (elementary school, middle school, high school) for a total of 2 observations (One monitoring observation must be focused on designated features and/or accommodations.)
- 2 monitoring observations during the ELPA21 at any two levels (elementary school, middle school, high school) for a total of 2 observations (One monitoring observation must be focused on designated features and/or accommodations. If applicable, one observation must be of students taking the Alt ELPA.)
- 3 monitoring observations during the ISASP at each level (elementary school, middle school, high school) for a total of 9 observations (One monitoring observation must be focused on designated features and/or accommodations.)
- NAEP testing is monitored by Iowa Department of Education staff.

External Monitoring

Districts should anticipate external monitoring will occur during the testing window for each test. These visits may be scheduled or unscheduled. The full external monitoring plan is in Appendix K. External monitors will use the results of their monitoring visits to enhance the test programs.

Post Assessment Practices

Securing Materials: District test coordinators must refer to the shipping notices provided by the vendor and complete all steps to maintain proper inventory of all testing materials. All testing materials, including scratch paper, should be handled according to the test manuals. Refer to test manuals to determine if secure browsers should be deleted from the testing devices.

Assessment Incident Management

It is important that any incident compromising the integrity of the test administration be immediately reported to the district assessment coordinator who will immediately report it to the Iowa Department of Education if it is an irregularity or a breach. Follow the Incident Reporting, Investigation, and Remediation Flow Chart found in Appendix L of this manual.

Incident Reporting

Irregular testing incidences are behaviors or events that occur which may give a student an unfair advantage or may compromise the integrity of the test during administration. The Iowa Department of Education recognizes that there may be different levels of severity of irregular testing incidences: (1) improprieties, (2) irregularities, and (3) breaches.

1. **Improprieties** are incidents or unusual circumstances that have a low impact on the individual or group of students and have a low risk of possibly affecting student performance, test security, or test validity. Examples may include student(s) making distracting noises or gestures during the test, student(s) leaving the room without authorization, medical emergencies, or disruptions such as non-scheduled fire drill, power outages, or weather-related event causing students to leave the room. The district testing coordinator will review the incident and take appropriate action according to the district test security policy. The district testing coordinator will maintain documentation of all improprieties and the resulting action. Guidelines for Documenting Possible Test Security Violations is in Appendix N.

2. **Irregularities** are incidences or unusual circumstances that may impact the performance of a student or group of students and may possibly affect student performance or interpretation of those scores. Irregularities typically do not have state-wide or nation-wide implications.

Examples may include student cheating or providing answers to another student, student accessing the Internet, use of unauthorized electronic equipment (e.g., smartphone, camera, smart watch), or another unauthorized software during the test administration, allowing student(s) to use a calculator during a test prohibiting its use, non-trained personnel administering the test, TA giving incorrect instructions that are corrected prior to students testing, TA providing his/her password to other authorized users, TA coaching or providing non-approved assistance to students (e.g., verbal clues, pointing, nodding head, leading think-alouds, asking students to point to the correct answer, or requiring students to answer all questions), providing students with non-allowable materials, allowing accommodations not in the student's IEP or 504 Plan, a technology error that could have compromised the validity of the student or group of students performance. Test irregularities should immediately be reported to the assigned Iowa assessment consultant and the deputy director in the Division of Learning and Results through the Testing Incident Reporting Application on the Iowa Education Portal. The Iowa Department of Education's Testing Incident Report Form is in Appendix M.

- **Dynamic Learning Maps (DLM) Consultant:** Jennifer Denne
- **English Language Proficiency for the 21st Century (ELPA21) Consultant:** Terri Schuster
- **Iowa Statewide Assessment of Student Progress (ISASP) Consultant:** Heather Briggs
- **National Assessment of Educational Progress (NAEP) Consultant:** Tom Deeter
- **General Assessment Incident Reporting:** Heather Briggs

3. **Breaches** are incidences or circumstances that compromise the integrity of the test, typically by exposing test materials. Breaches can affect all students and schools, statewide or nationally, participating in the test. Examples may include educator modifying student responses or records; posting items or test materials on social media; allowing students to take test items or scratch paper out of the classroom; copying, discussing, or otherwise retaining test items, reading passages, writing prompts, or answers for any reason; secure test materials being shared with the media; and allowing media or other unauthorized person to observe a secure test administration. Breaches must be reported immediately to the assigned Iowa assessment consultant and the deputy director in the Division of Learning and Results through the Testing Incident Reporting Application on the Iowa Education Portal. The Iowa Department of Education's Testing Incident Report Form is in Appendix M.

Incident Investigation and Remediation

The State of Iowa ensures integrity of test results. If a test irregularity occurs, the district test coordinator completes the Testing Incident Report Form. If the incident is a testing irregularity or a testing breach, the district test coordinator or superintendent immediately reports the incident through the Testing Incident Reporting Application on the Iowa Education Portal. It is important that each school year, the district updates the district test coordinator contact information in the Testing Incident Reporting Application.

Improprieties are logged at the district level. Irregularities and breaches are staffed with assessment personnel and legal staff, and a course of action is decided upon to investigate any allegations. If an investigation results in findings, a document is prepared, and a formal complaint is filed with the Board of Educational Examiners (BOEE). After BOEE conducts their own investigation, they render a decision about personnel issues, and then send the case back to the Iowa Department of Education to address consequences for the school or district. If a county attorney's office is notified of possible criminal actions, those investigations must be resolved before the BOEE process begins.

Unforeseeable Circumstances

The state of Iowa provides a large testing window to allow ample opportunities to assess all students in a school district. However, there are rare, unforeseeable circumstances beyond our control that can disrupt best laid plans (i.e. internet accessibility is lost for the entire school district for several days; a natural disaster impacts the building and/or student attendance such as flooding, etc.). If the majority of students are disrupted by an unforeseeable circumstance, contact the state assessment consultant. The state assessment consultant will work with the school district to determine a plan moving forward to preserve the testing for as many students as possible.

- **Dynamic Learning Maps (DLM) Consultant:** Jennifer Denne
- **English Language Proficiency for the 21st Century (ELPA21) Consultant:** Terri Schuster
- **Iowa Statewide Assessment of Student Progress (ISASP) Consultant:** Heather Briggs
- **National Assessment of Educational Progress (NAEP) Consultant:** Tom Deeter

Federally Mandated Assessments

The Iowa Department of Education uses the following assessments as federal accountability measures required under Every Student Succeeds Act and as state accountability measures under Chapter 12 of Iowa Administrative Code. Each assessment has unique publishers and contractors. Additionally, each federally mandated assessment has websites and/or portals to communicate information, share manuals, calendars, and other resources for test coordinators, technology coordinators, test administrators, parents, and students. During annual training, districts should ensure that all staff is familiar and has access to these sites:

Dynamic Learning Maps (DLM)

Publisher: The Dynamic Learning Maps® (DLM®) Alternate Assessment System Consortium

Contractor: ATLAS (Accessible Teaching Learning & Assessment Systems) at the University of Kansas, a part of the Achievement and Assessment Institute, in partnership with the Center for Literacy and Disability Studies at the University of North Carolina, Chapel Hill

Website: https://dynamiclearningmaps.org/iowa

Iowa Supports: https://educate.iowa.gov/pk-12/special-education/assessment-testing#alternate-assessments-for-students-with-significant-cognitive-disabilities

English Language Proficiency for the 21st Century (ELPA21 and Alt ELPA)

Publisher: ELPA21 Consortium at CRESST, University of California at Los Angeles

Contractor: Cambium Assessment Incorporated (CAI)

Portal: https://iowaelpa21.portal.cambiumast.com/

Iowa Statewide Assessment of Student Progress (ISASP)

Publisher: Iowa Testing Programs at University of Iowa

Contractor: Pearson Education, Inc.

Portal: http://iowa.pearsonaccessnext.com/

National Assessment of Educational Progress (NAEP)

Publisher: National Center for Education Statistics (NCES) within the U.S. Department of Education and the Institute of Education Sciences (IES)

Contractors: AIR; Business Intelligence, Inc;, CRP, Inc.; ETS; Fulcrum IT; Pearson Education, Inc.; Tribal Tech; Westat; and State Education Agencies

Iowa Supports: https://educate.iowa.gov/pk-12/standards/assessment/summative#examples

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Appendices

Appendix A: BOEE Code of Professional Conduct and Ethics, Chapter 25.3 (3) Standard 3 of Iowa Code

Iowa Administrative Code chapter 282 – 25.3

Appendix B: Assurance for Proper and Ethical Test Administration

Assurance for Proper and Ethical Test Administration

State assessments are an important and required tool used to monitor state, district, school, and student achievement. For these assessments to yield fair and accurate results, they must be given under standardized conditions to all students. LEA leadership has responsibility to assure assessments are properly administered so that each student's results reflects his or her individual skills and abilities. These actions apply to the following required state assessments: Iowa Statewide Assessment of Student Progress (ISASP), Dynamic Learning Maps (DLM), English Language Proficiency Assessment for the 21st Century (ELPA21), Alternate English Language Proficiency Assessment (Alt ELPA), early literacy assessment for K-3, and the Early Literacy Alternate Assessment (EL-AA). Actions specific to each assessment can be found in corresponding training materials, test administration manuals, and related documents.

LEA Leadership Responsibilities:

It is the responsibility of LEA Leadership to:

1. Ensure that educators administering state assessments meet qualifications as specified by each testing program and state policy.
2. Ensure all appropriate test administrators have training and knowledge of appropriate practices to administer tests with integrity and maintain security.
3. Require all test administrators to rigorously follow the appropriate procedures as directed in each Test Administration Manual.
4. Actively monitor the test administration practices of all staff to ensure compliance.
5. Provide accommodations for qualifying students with Individual Education Plans (IEPs), Section 504 Plans, or who are identified as English Learners as appropriate and in accordance with state guidance.
6. Provide designated features for qualifying students as appropriate and in accordance with state guidance.
7. Ensure proper handling of all secure test material, including storage, distribution, return, and possible destruction according to directions provided with each state testing program and state policy. Retain "chain of custody" documentation as evidence.
8. Ensure that each authorized user accesses the electronic testing environment using a unique username and password.
9. Ensure there are no violations of test security according to the list below.

Violations of Test Security:

It is a violation of test security to do any of the following:

1. Provide inappropriate test preparation, such as any of the following:
    a. Copy, reproduce, or use in any manner any portion of any secure materials, for any reason.

   b. Provide to students actual test items or instruments in any form. This includes use of any former state tests, such as the Iowa Assessments or the I-ELDA (Iowa English Language Development Assessment). Use of practice tests made available by each assessment provider are acceptable.
2. Deviate in any way from the procedures specified in the Test Administration Manual for each state test.
3. Provide inappropriate assistance to students during the test administration, including but not limited to making answers available.
4. Suggest, modify, or complete answers on student answer documents.
5. Provide inaccurate data on student answer documents.
6. Share with an unauthorized user any usernames and/or passwords for accessing the secure electronic testing environment.
7. Engage in any practice designed solely to raise student scores without actually improving underlying student achievement.
8. Participate in, direct aid, counsel, assist, encourage, or fail to report any of the acts prohibited in this policy.

Investigation of Possible Testing Violations:

School and district staff must immediately report all incidents of possible testing violations to the Superintendent and/or designated Test Coordinator who should conduct a thorough fact-finding investigation. Reports of students cheating on assessments shall be submitted to the building principal for investigation and disciplinary procedures. Following local investigation, timely report should be made to the Iowa Department of Education, who will determine if student results must be invalidated. The Iowa Department of Education may also detect test irregularities through data forensics and other statistical measures.

Consequences of Test Administration Violations:

Consequences of violations may include the invalidation of student test results and liability for copyright infringement, depending on the severity of the violation. Any staff member found to have committed testing irregularities shall be subject to discipline in accordance with law and Board of Educational Examiners (BOEE) policy. If the staff member is a licensee of the BOEE, the superintendent shall make a timely report to that Board who will conduct further investigation regarding possible violation of the Code of Ethics as found at 282—Iowa Administrative Code, Chapter 25.

Superintendent's Assurance

I, _____, Superintendent of _____ School District,
(Superintendent's Name) (Name of School District)

assure that proper procedures for administration of each state testing program are followed in my school district according to the responsibilities listed in this document. I will take appropriate steps outlined above if district staff does not adhere to these guidelines and notify the Iowa Department of Education.

_____ _____
(Superintendent's Signature) (Date)

Building Principal's Assurance

I, _____, Principal of _____School,
(Building Principal's Name) (Name of School)

assure that proper testing procedures and administration for assessments used to meet the reporting requirements are followed in my school building. I will take appropriate steps outlined above if district staff does not adhere to these guidelines and notify the Iowa Department of Education.

_____ _____
(Principal's Signature) (Date)

I, _____, Principal of _____School,
(Building Principal's Name) (Name of School)

assure that proper testing procedures and administration for assessments used to meet the reporting requirements are followed in my school building. I will take appropriate steps outlined above if district staff does not adhere to these guidelines and notify the Iowa Department of Education.

_____ _____
(Principal's Signature) (Date)

I, _____, Principal of _____School,
(Building Principal's Name) (Name of School)

assure that proper testing procedures and administration for assessments used to meet the reporting requirements are followed in my school building. I will take appropriate steps outlined above if district staff does not adhere to these guidelines and notify the Iowa Department of Education.

_____ _____
(Principal's Signature) (Date)

Print additional copies of this page as needed.

Public Schools: Complete this form through the Consolidated Accountability and Support Application (CASA).

Non-public Schools: Complete this form and keep on file.

Appendix C: Test Administrator and Test Coordinators Test Security/ Confidentiality Agreement

Test Security/Confidentiality Agreement for Test Administrators & Test Coordinators

For administration of tests which are part of Iowa's Statewide Assessment System:

- Iowa Statewide Assessment of Student Progress (ISASP)
- Dynamic Learning Maps (DLM)
- English Language Proficiency Assessment for the 21st Century (ELPA21)
- Alternate English Language Proficiency Assessment (Alt ELPA)

I completed the state required training for administering the _____(test name) on _____(date).

I understand that access to these secure test materials is restricted. I understand that all test questions and all other materials related to these tests including, but not necessarily limited to, passages, prompts, charts, graphs and tables are considered secure and not to be: stored or saved on computers or personal storage devices; shared via email or other file sharing systems; or reproduced by any means. Except when explicitly allowed as described in the *Accessibility and Accommodations Manual* or the *Directions for Administrations* manuals, electronic materials used during assessment may not be printed.

I agree not to disclose or discuss the contents of the tests in a manner that would assist a person to cheat or would in any other way compromise the validity of the test questions. Furthermore, I agree that all student-specific information obtained either prior to or during the administration will remain strictly confidential. I understand all personally identifiable education data is governed by the requirements within the Family Educational Rights and Privacy Act (FERPA) and my responsibility for maintaining the security of student information, test questions and materials continues even after the test concludes and the test materials have been returned.

District & School: _____

Test Administrator/Coordinator Printed Name: _____

Test Administrator/Coordinator Signature: _____

Date: _____

The district/school must maintain a copy of this form and provide it to the department upon request. It should not be returned with other test materials.

Appendix D: Test Security/ Confidentiality Agreement for Human Readers, Scribes, Translators, Sign Language Interpreters, and Paraeducators

Test Security/Confidentiality Agreement for Human Readers, Scribes, Translators, Sign Language Interpreters and Paraeducators

For administration of tests which are part of Iowa's Statewide Assessment System:

- Iowa Statewide Assessment of Student Progress (ISASP)
- Dynamic Learning Maps (DLM)
- English Language Proficiency Assessment for the 21st Century (ELPA21)
- Alternate English Language Proficiency Assessment (Alt ELPA)

I understand that access to these secure test materials is restricted. I understand that all test questions and all other materials related to these tests including, but not necessarily limited to, passages, prompts, charts, graphs and tables are considered secure and not to be: stored or saved on computers or personal storage devices; shared via email or other file sharing systems; or reproduced by any means. Except when explicitly allowed as described in the *Accessibility and Accommodations Manual* or the *Directions for Administrations* manuals, electronic materials used during assessment may not be printed.

I agree not to disclose or discuss the contents of the tests in a manner that would assist a person to cheat or would in any other way compromise the validity of the test questions. Furthermore, I agree that all student-specific information obtained either prior to or during the oral administration will remain strictly confidential. I understand all personally identifiable education data is governed by the requirements within the Family Educational Rights and Privacy Act (FERPA) and my responsibility for maintaining the security of student information, test questions and materials continues even after the test concludes and the test materials have been returned.

District & School: _____

Printed Name: _____

Signature: _____

Date: _____

The district/school must maintain a copy of this form and provide it to the department upon request. It should not be returned with other test materials.

Appendix E: DLM Test Security Agreement

The below Test Security Agreement is a part of the DLM test administration training. All test administrators and district users must agree to follow the standards.

The Kite suite provides opportunities for flexible assessment administration. However, all assessments - including instructionally embedded assessments chosen by the teacher and delivered during the school year are secure tests.

Test administrators and other educational staff who support implementation are responsible for following the Kite test security standards:

- Assessments (testlets) are not to be stored or saved on computers or personal storage devices; shared via email or other file sharing systems; or reproduced by any means.
- Except where explicitly allowed as described in the Test Administration Manual, electronic materials used during assessment administration may not be printed.
- Those who violate the Kite test security standards may be subject to their state's regulations or state education agency policy governing test security.
- Educators are encouraged to use resources provided by Kite suite, including practice activities and released testlets, to prepare themselves and their students for the assessments.
- Users will not give out, loan, or share their password with anyone. Allowing others access to an Educator Portal account may cause unauthorized access to private information. Access to educational records is governed by federal and state law.

Questions about security expectations should be directed to the local assessment coordinator.

☐ I have read this security agreement and agree to follow the standards.
☐ I have read this security agreement and DO NOT agree to follow the standards.

Print Name_____ Signature_____

Date_____ School/District_____

Appendix F: Chain-of-Custody Sample Document

Iowa Chain-of-Custody for Paper and Pencil Tests

Instructions: This form is to be completed for students taking a paper-based assessment. This form documents that paper-based test materials were signed out and signed back in by the Building/District Test Coordinator.

Each Test Administrator must sign this form when the listed applicable paper-based test materials are issued. The Building/District Test Coordinator must initial when the materials are returned and sign the form for district records. **A COPY OF THIS FORM SHOULD BE COMPLETED FOR EACH DAY OF TESTING.**

The district/school must maintain a copy of this form and provide it to the department upon request. It should not be returned with other test materials.

(Check one) _____ISSAP _____ELPA21 _____ DLM _____Alt ELPA Date_____Grade_____

Recipient Print Name	Signature	Name & Number of Items Received
Tom Deeter	Thomas E. Deeter	Test booklets – 32 Answer documents - 32
Sue Young	Susan M. Young	Test booklets – 31 Answer documents - 32

Chain of Custody tracks the delivery and receipt of test materials. Any person who is a recipient of materials should sign the form, in case an investigation is needed to locate missing materials. In the above example, when he went to the school office to collect materials for his class, Tom Deeter (a classroom teacher) received 32 test booklets and 32 answer documents. After testing, Tom returned the materials to the office and was checked in by Sue Young (school secretary). When Sue counted the items received, she found answer documents for all of Tom's students, but only received 31 test booklets. In this way, the School or District Test Coordinator would have evidence to go to Tom and investigate what had happened to the test booklet that was missing. This enables each person to be held accountable for the test materials received and returned. If materials change hands between three or four people, all recipients of the materials need to sign the chain of custody, in case there is an inquiry about missing materials.

Item: e.g., test booklets, answer documents

Appendix G: Computer-based Chain-of-Custody

Iowa Chain-of-Custody for Computer-based Testing Materials

Instructions: This form is to be completed for students taking a computer-based assessment. This form documents that computer-based test materials were signed out and signed back in by the Building/District Test Coordinator.

Each Test Administrator must sign this form when the listed applicable computer-based test materials are issued. The Building/District Test Coordinator must initial when the materials are returned and sign the form for district records. A COPY OF THIS FORM SHOULD BE COMPLETED FOR EACH DAY OF TESTING.

The district/school must maintain a copy of this form and provide it to the department upon request. It should not be returned with other test materials.

(Check one) _____ISSAP _____ELPA21 _____DLM _____Alt ELPA Date_____ Grade_____

# Student Testing Tickets Assigned	# Blank Scratch Paper Assigned	Test Administrator's Signature	Time Issued	Time Returned	Test Coordinator Initials When Materials Returned

By completing this form, I certify that:

- I have issued the above applicable computer-based test materials;
- All applicable computer-based test materials were returned to me immediately after testing was completed; and
- All applicable computer-based test materials were securely destroyed.

Name and Title _____ Date _____

Appendix H: ISASP Monitoring Checklist for Test Security and Ethics

Iowa Department of Education

ISASP Monitoring Checklist for Test Security and Ethics

This form is to be completed by the monitoring team.

District: **School:**

Test Coordinator/Contact: **Date of Observation:**

Content & Grade (being assessed/observed):

Number of Students in Testing Session:

Monitoring Team Member(s):

Monitoring Team Member: Report to the **building** 10-15 minutes before test administration begins.

Before the Assessment **Monitoring team: performs quality control (QC) check of required documentation at the building level.**	**Yes**	**No**	**NA** (or unable to observe)
Verifies administrator/building test coordinator has: *documentation* of training (test security, ethical practices for testing) provided. Information includes date(s) and method of training provided (whole staff, PLC, grade level, dept. etc.).			
Verifies administrator/building test coordinator has: documentation indicating staff (e.g., test administrators, test coordinators, proctors) involved with testing have signed required test security confidentiality agreements.			
Verifies readers, translators, scribes, and paraeducators have signed test security confidentiality agreements (if needed).			
Verifies that test administrator/proctor is a certified teacher/educator.			
Verifies reporting processes for test incidents, irregularities, and breaches.			
For paper tests: verifies that tests and ancillary materials are stored in a secure, locked area before and between each test session(s) and after testing disposed of/shipped as indicated in the test administration manual.			
For online tests: verifies that test ancillary materials including usernames and passwords are stored in a secure, locked area before and between each test session(s) and disposed of after testing as indicated in the test administration manual.			
Verifies that there is a record of the chain of custody for testing materials.			
In the testing session to be observed, will any students assessed be utilizing accommodations or designated accessibility features? If yes, list the accommodations/accessibility features assigned regardless of whether the student utilizes it during the testing session.			

Notes:

During the Assessment Monitor team exhibits professional and unobtrusive behavior at all times while observing.	Yes	No	NA
For paper tests: verifies students are arranged so that there is adequate spacing between test takers.			
For online tests: verifies student monitors are arranged so students are not able to view another student's monitor.			
Observes testing environment: bulletin board displays, fact tables, charts and diagrams, and other instructional materials have been removed or covered that may give assistance or advantage during testing.			
Observes testing environment: verifies there is an adequate number of proctors for the number of students testing in the room as indicated in the test administration manual.			
Observes beginning of testing session: Are directions read to students from the Test Administration Manual?			
Observes beginning of testing session: Do students use the audio feature to have directions "read"?			
Observes beginning of testing session: Do students use the audio feature to have directions "read" in a language other than English?			
Observes beginning of testing session: Do students use a translator to have directions read in a language other than English?			
Observes testing: Are students able to use the online features of the testing platform (e.g., zoom, highlighters)?			
Observes for testing incidents: Is the test administrator/proctor monitoring students for testing improprieties, irregularities, and breaches (e.g., distracting noises or gestures; unauthorized electronic equipment; taking test materials out of the classroom)?			

Notes:

The following pertains to teachers and/or proctors in the testing room:

Observes appropriate ethical practices for testing: A = appropriate, I = inappropriate O = other (please comment)	A	I	O
Followed procedures outlined in the test administrator's manual.			
The teacher/test proctor was actively engaged in monitoring students during the administration of the test (e.g., scanning the room for hands, watching for testing incidents, walking around).			
The teacher/test proctor was providing technical support to students during the administration of the test (e.g., helping students when the test is not working correctly).			
Did not construct answer keys and/or score the assessment.			

The following pertains to teachers, proctors, scribes, translators, interpreters, and paraeducators in the testing room:

Observes appropriate ethical practices for testing: A = appropriate, I = inappropriate O = other (please comment)	**A**	**I**	**O**
Did not direct or prompt students to use certain strategies at the beginning of the test session or during the test.			
Did not respond to questions during testing that would help the student to understand the question, aid the student in responding to an item, or advise/encourage the student to edit or change a response.			
Did not coach or cue students in any way during test administration.			
Did not read anything from the reading passage to students (Grades 3-5).			
Did not give the meaning of words in the text or in questions.			
Did not require students to use scratch paper, to show their work, or to use the online tools (e.g. the highlighter tool).			
Did not tell students to redo or review any part of the test (especially after verifying the End Review Screen).			

Please provide additional comments on activities observed:

(SPECIAL POPULATIONS) During the assessment: designated accessibility features and accommodations Monitor team exhibits professional and unobtrusive behavior at all times while observing.	**Yes**	**No**	**NA**
Observes administration of ***Paper and Pencil*** Observes: Students marking their answers on the paper copy of the assessment. Answer sheets are not generated by the school or district.			
Observes student use of embedded and/or non-embedded designated features (e.g. answer masking, color contrast, general masking, line reader, print-on-request, turn off universal features, zoom). Evidence of documentation provided matches district coordinator information. **List which designated features students used during the observation:**			
Observes student use of embedded and/or non-embedded accommodations (e.g., assistive technology, braille, large print test booklet, scribe, speech-to-text). Evidence of documentation provided matches district coordinator information. **List which accommodations students used during the observation:**			

Notes:

After the Assessment	Yes	No	N/A
Test administrator/proctor does not touch computer mouse. Verifies Submit/End/Review Screen was checked.			
If a scribe is used, the student verifies responses before submitting their test.			
Verifies that computers are returned to pre-testing screen.			
Verifies that all testing materials are collected from students, including scratch paper, if used.			
Verifies that test materials are returned to the secured location.			

Upon completion of the visit please sign and date the form to indicate completion.

Signature Building/District Test Coordinator:

After the Observation (Required by external monitors and optional for district/ school monitors)

Debrief administrator/building coordinator and provide them with a copy of the report. Report any irregularity or breach of security to state test coordinator and district superintendent.

Test Administrator/Proctor Interview Questions: (approx. 15 minutes)

1. Describe the district's protocol for assigning and documenting student testing accessibility features in preparation for test administration.
   a. Who is involved?
   b. How is it decided?
   c. How is it documented?
   d. How does the district evaluate the effectiveness of the assigned accessibility features?
2. Online testing only: In what ways did students in your school district practice using the online testing environment using the various features?
3. If any students were unable to complete the test during the session, explain the plan for scheduling the extended time needed.
4. Are make-up sessions for students absent during the scheduled test session administered by the same test administrator (yes/no)? If not, then who administers the make-up tests?
5. Describe the protocol for testing students whose parents have dual enrolled/alternative school setting (e.g., alternate school, community college, juvenile detention center).
6. What comments or questions do you have regarding test security and test accessibility?

Appendix I: ELPA21 and Alt ELPA Monitoring Checklist for Test Security and Ethics

Iowa Department of Education

ELPA21 and Alt ELPA Monitoring Checklist for Test Security and Ethics

This form is to be completed by the monitoring team.

District: **School:**

Test Coordinator/ Contact: **Date of Observation:**

Domain & Grade (being assessed/observed):

Number of Students in Testing Session:

Monitoring Team Member(s):

Monitoring Team Member: Report to the **building** 10-15 minutes before test administration begins.

Before the Assessment **Monitoring team: performs quality control (QC) check of required documentation at the building level.**	**Yes**	**No**	**NA** (or unable to observe)
Verifies administrator/building test coordinator has: *documentation* of training (test security, ethical practices for testing) provided. Information includes date(s) and method of training provided (whole staff, PLC, grade level, dept. etc.).			
Verifies administrator/building test coordinator has: documentation indicating staff (e.g., test administrators, test coordinators, proctors) involved with testing have signed required test security confidentiality agreements.			
Verifies readers, translators, scribes, and paraeducators have signed test security confidentiality agreements (if needed).			
Verifies that test administrator/proctor is a certified teacher/educator.			
Verifies reporting processes for test incidents, irregularities, and breaches.			
For paper tests: verifies that tests and ancillary materials are stored in a secure, locked area before and between each test session(s) and after testing disposed of/shipped as indicated in the test administration manual.			
For online tests: verifies that test ancillary materials including usernames and passwords are stored in a secure, locked area before and between each test session(s) and disposed of after testing as indicated in the test administration manual.			
Verifies that there is a record of the chain of custody for testing materials.			
In the testing session to be observed, will any students assessed be utilizing accommodations or designated accessibility features? If yes, list the accommodations/accessibility features assigned regardless of whether the student utilizes it during the testing session.			

Notes:

During the Assessment Monitor team exhibits professional and unobtrusive behavior at all times while observing.	Yes	No	NA
For paper tests: verifies students are arranged so that there is adequate spacing between test takers.			
For online tests: verifies student monitors are arranged so students are not able to view another student's monitor.			
Observes testing environment: bulletin board displays, fact tables, charts and diagrams, and other instructional materials have been removed or covered that may give assistance or advantage during testing.			
Observes testing environment: verifies there is an adequate number of proctors for the number of students testing in the room as indicated in the test administration manual.			
Observes beginning of testing session: Are directions read to students from the test administration manual?			
Observes beginning of testing session: Do students use a translator to have directions read in a language other than English?			
Observes testing: Are students able to use the online features of the testing platform (e.g., zoom, highlighters)?			
Observes for testing incidents: Is the test administrator/proctor monitoring students for testing improprieties, irregularities, and breaches (e.g., distracting noises or gestures; unauthorized electronic equipment; taking test materials out of the classroom)?			

Notes:

The following pertains to teachers and/or proctors in the testing room:

Observes appropriate ethical practices for testing: A = appropriate, I = inappropriate O = other (please comment)	A	I	O
Followed procedures outlined in the test administrator's manual.			
The teacher/test proctor was actively engaged in monitoring students during the administration of the test (e.g., scanning the room for hands, watching for testing incidents, walking around).			
The teacher/test proctor was providing technical support to students during the administration of the test (e.g., helping students when the test is not working correctly).			
Did not construct answer keys and/or score the assessment.			

The following pertains to teachers, proctors, scribes, translators, interpreters and paraeducators in the testing room:

Observes appropriate ethical practices for testing: A = appropriate, I = inappropriate O = other (please comment)	**A**	**I**	**O**
Did not direct or prompt students to use certain strategies at the beginning of the test session or during the test.			
Did not respond to questions during testing that would help the student to understand the question, aid the student in responding to an item, or advise/encourage the student to edit or change a response.			
Did not coach or cue students in any way during test administration.			
Did not read anything from the reading passage to students.			
Did not give the meaning of words in the text or in questions.			
Did not require students to use scratch paper, to show their work, or to use the online tools (e.g. the highlighter tool).			
Did not tell students to redo or review any part of the test (especially after verifying the End Review Screen).			

Please provide additional comments on activities observed:

(SPECIAL POPULATIONS) During the assessment: designated accessibility features and accommodations Monitor team exhibits professional and unobtrusive behavior at all times while observing.	**Yes**	**No**	**NA**
Observes administration of ***paper and pencil:*** Observes: Students marking their answers on the paper copy of the assessment. Answer sheets are not generated by the school or district.			
Observes student use of embedded and/or non-embedded designated features (e.g. answer masking, color contrast, general masking, line reader, print-on-request, turn off universal features, zoom). Evidence of documentation provided matches district coordinator information. **List which designated features students used during the observation:**			
Observes student use of embedded and/or non-embedded accommodations (e.g., assistive technology, braille, large print test booklet, scribe, speech-to-text). Evidence of documentation provided matches district coordinator information. **List which accommodations students used during the observation:**			

Notes:

Additional Questions for Students Participating in the Alt ELPA	Yes	No	N/A
Student utilized optimal testing conditions. **List which optimal testing conditions students used during the observation:**			
Two trained test administrators administered the assessment, one of whom was the educator most familiar with the student's communication system or mode (constructed response items in the speaking and writing domains).			
Test administrators, in real time, were able to use the rubrics, as well as, unobtrusively agree on and enter scores of constructed response speaking and writing items as the student was taking the test. If no, please comment in the notes section.			
Verify Scoring Worksheets are completed.			
If test is to be completed over several sessions, test is paused and all devices are properly logged out and secure paper materials stowed in a secure location.			
Secure materials such as the *Test Administrator Directions and Scoring Rubrics* are deleted and the trash emptied from all devices upon completion of the test.			
All secure materials such as *Print on Request* test items and the *Test Administrator Directions and Scoring Rubrics* are printed on a secure printer and are securely destroyed upon completion of testing.			

Notes:

After the Assessment	Yes	No	N/A
Verifies Submit/End/Review Screen was checked.			
If a scribe is used, the student verifies responses before submitting their test.			
Verifies that computers are returned to Pre-testing screen.			
Verifies that all testing materials are collected from students, including scratch paper, if used.			
Verifies that test materials are returned to the secured location.			

Signature Building/District Test Coordinator:

Upon completion of the visit please sign and date the form to indicate completion.

After the Observation (Required for external monitors and optional for district/school monitors)

Debrief administrator/building coordinator and provide them with a copy of the report. Report any irregularity or breach of security to state test coordinator and district superintendent.

Test Administrator/Proctor Interview Questions: (approx. 15 minutes)

1. Describe the district's protocol for assigning and documenting student testing accessibility features in preparation for test administration.
    a. Who is involved?
    b. How is it decided?
    c. How is it documented?
    d. How does the district evaluate the effectiveness of the assigned accessibility features?
2. Online testing only: In what ways did students in your school district practice using the online testing environment using the various features?
3. If any students were unable to complete the test during the session, explain the plan for scheduling the extended time needed.
4. Are make-up sessions for students absent during the scheduled test session administered by the same test administrator (yes/no)? If not, then who administers the make-up tests?
5. Describe the protocol for testing students whose parents have waived EL services, are dual enrolled, or in an alternative school setting (e.g., alternate school, community college, juvenile detention center).
6. What comments or questions do you have regarding test security and test accessibility?

Appendix J: DLM Monitoring Checklist for Test Security and Ethics

Iowa Department of Education

DLM Monitoring Checklist for Test Security and Ethics

This form is to be completed by the monitoring team.

District: **School:**

Test Coordinator/ Contact: **Date of Observation:**

Content & Grade (being assessed/observed):

Number of Students in Testing Session:

Monitoring Team Member(s):

Monitoring Team Member: Report to the **building** 10-15 minutes before test administration begins.

Before the Assessment **Monitoring team: performs quality control (QC) check of required documentation at the building level.**	**Yes**	**No**	**NA** (or unable to observe)
Verifies administrator/building test coordinator has: *documentation* of training (test security, ethical practices for testing) provided. Information includes date(s) and method of training provided (whole staff, PLC, grade level, dept. etc.).			
Verifies administrator/building test coordinator has: documentation indicating staff (e.g., test administrators, test coordinators, proctors) involved with testing have signed required test security confidentiality agreements.			
Verifies readers, translators, scribes, and paraeducators have signed test security confidentiality agreements (if needed).			
Verifies that test administrator/proctor is a certified teacher/educator.			
Verifies reporting processes for test incidents, irregularities, and breaches.			
For paper tests: verifies that tests and ancillary materials are stored in a secure, locked area before and between each test session(s) and after testing disposed of/shipped as indicated in the test administration manual.			
For online tests: verifies that test ancillary materials are stored in a secure, locked area before and between each test session(s) and disposed of after testing as indicated in the test administration manual.			
Verifies that there is a record of the chain of custody for testing materials.			
In the testing session to be observed, will any students assessed be utilizing accommodations or designated accessibility features? If yes, list the accommodations/accessibility features assigned regardless of whether the student utilizes it during the testing session.			

Notes:

During the Assessment Monitor team exhibits professional and unobtrusive behavior at all times while observing.	Yes	No	NA
Observes testing environment: bulletin board displays, fact tables, charts and diagrams, and other instructional materials have been removed or covered that may give assistance or advantage during testing.			
Observes testing: Are students able to use the online features of the testing platform (e.g., zoom, highlighters)?			
Observes for testing incidents: Is the test administrator/proctor monitoring students for testing improprieties, irregularities, and breaches (e.g., distracting noises or gestures; unauthorized electronic equipment; taking test materials out of the classroom)?			

Notes:

Note: You will either complete the DLM Computer-Delivered Testlet section or the DLM Teacher-Delivered Testlet section. (Not both)

Most students will complete the DLM Computer-Delivered Testlets.

DLM Computer-Delivered Testlet
Subject: ☐ ELA – Reading ☐ ELA – Writing ☐ Mathematics ☐ Science
Preparation/Set up: ☐ Student's typical classroom ☐ Computer Lab ☐ Small room for individual testing ☐ Homebound ☐ Other:
Testing device: ☐Computer with keyboard & mouse ☐ Computer with Touchscreen ☐ Tablet ☐ Computer with adaptive display (e.g. electronic whiteboard, projection) ☐ Other:
Testlet Information Page (TIP): ☐ Teacher referred to TIP before administration ☐ Teacher referred to TIP during administration ☐ Teacher did not have TIP

Test Administrator (TA) behaviors.	Yes	No
Read one or more screens aloud to student.		
Clarified directions or expectations for the student.		
Navigated one or more screens for the student.		
Repeated question(s) before student responded.		
Asked the student to clarify or confirm one or more responses.		
Repeated question(s) after student responded (gave a second trial at the same item).		
Allowed student to take a break during the testlet.		
Used verbal prompts to direct the student's attention or engagement (e.g. "Look at this.").		
Used pointing or gesturing to direct student attention or engagement.		
Physically guided the student to a response.		
Reduced the number of answer choices available to the student.		
Used materials or manipulatives during the administration process.		
Entered one or more responses for the student.		

Test Administrator (TA) behaviors.
If test administrator marked one or more responses for the student, did the response recorded by the test administrator match the student's answer? ☐Yes ☐No ☐Could not tell ☐N/A
What condition(s) led to the teacher's response entry on the student's behalf? ☐ Student was expected to enter responses but refused to do so ☐Student difficulty with mobility ☐TA's routine (TA navigated entire testlet) ☐ Student did not indicate a response ☐ Other:
Describe any other condition(s) that led to the teacher's response entry on the student's behalf.

Student behaviors	Yes	No
Navigated screens independently		
Navigated screens after verbal prompt		
Navigated screens after test administrator pointed or gestured		
Selected answers independently		
Selected answers after verbal prompts		
Skipped one or more items		
Independently revisited a question after answering it		
Revisited one or more questions after verbal prompt(s)		
Used material outside of Kite Student Portal to indicate responses to testlet items		
Did the student ask the test administrator a question? If yes, please record the question?		

Student behaviors
Student response mode: ☐Used computer/device to respond independently ☐Used switch system to respond independently ☐Verbally indicated response to TA who selected answers ☐Gestured to indicate response to TA who selected answers ☐Eye-gaze system indicated to TA who selected answers ☐No observable response mode
Did the student complete the testlet (Yes/No)? If no, why was the testlet not completed?
Accessibility features used for part or all of the testlet. ☐magnification (2x, 3x, 4x, 5x) ☐inverted color choice (black background, white font) ☐color contrast (white or black background and color font) ☐color overlay (background different color) ☐human read aloud ☐synthetic read aloud (text to speech) ☐language translation ☐sign interpretation ☐calculator ☐Braille ☐partner-assisted scanning
Did the student have difficulty with accessibility (Yes/No)? If yes, describe the problem and what the test administrator did.
Rate the student's overall engagement during the session. ☐low ☐medium ☐high
Other observer comments:

Only complete this section if the student did not complete the computer delivered testlet.

DLM Teacher-Delivered Testlet
Subject: ☐ ELA – Reading ☐ ELA – Writing ☐ Mathematics ☐ Science
Preparation/ Set up: ☐ Student's typical classroom ☐ Computer Lab ☐ Small room for individual testing ☐ Homebound ☐ Other:
Testing device: ☐Computer with keyboard & mouse ☐ Computer with Touchscreen ☐ Tablet ☐ Computer with adaptive display (e.g. electronic whiteboard, projection) ☐ Other: List any other testing devices used:
Testlet Information Page (TIP): ☐ Teacher referred to TIP before administration ☐ Teacher referred to TIP during administration ☐ Teacher did not have TIP
Materials Use/ Set-up: ☐The test administrator had materials prepared before starting to assess with the student ☐The test administrator arranged student/materials for optimal test administration ☐Substituted materials List any substitute materials the test administrator used:

Test Administrator (TA) behaviors.	Yes	No
Encouraged engagement and interaction		
Discussed vocabulary or defined words in the testlet for the student		
Connected words or pictures to student experience/ prior knowledge		
Read one or more screen aloud to the student		
Clarified directions or expectations for the student		
Repeated question(s) before student responded		
Asked the student to clarify or confirm one or more responses		
Repeated question(s) after student responded (gave a second trial at the same item)		
Allowed student to take a break during the testlet		
Used verbal prompts to direct the student's attention or engagement (e.g. "Look at this.")		
Used pointing or gesturing to direct student attention or engagement		
Physically guided the student to a response		
Reduced the number of answer choices available to the student		
Other:		
For ELA Reading testlets only: modeled concepts about print (reading left-to-right, correspondence between spoken and written word)		
For ELA Reading testlets only: pointed out rhymes, syllables and sounds in words		
For ELA Writing testlets only: connected writing task to student background knowledge and experience		
For ELA Writing testlets only: ensured that student had access to a writing tool		
For ELA Writing testlets only: modeled concepts about print (reading left-to-right, correspondence between spoken and written word)		
For ELA Writing testlets only: transcribed student's verbal responses by writing words or sentences for the student		
For ELA Writing testlets only: transcribed student's selection of individual letters to spell words		

Student behaviors	Yes	No
Was distracted by something outside the testlet activity		
Indicated confusion with what testlet activity required		
Changed a response after his or her initial selection		
Used materials outside of Kite Student Portal to respond to testlet items		
Other:		
Did the student ask the test administrator a question? If yes, what was the question?		
Did the student complete the testlet? If no, why was the testlet not completed?		

Student behaviors
Student response mode: ☐Verbally indicated response to TA who selected answers ☐Gestured to indicate response to TA who selected answers ☐Eye-gaze system indicated to TA who selected answers ☐No observable response mode
Accessibility features used for part or all of the testlet. ☐Language translation ☐Sign interpretation ☐calculator ☐human read aloud ☐synthetic read aloud (text to speech)
Did the student have difficulty with accessibility (Yes/No)? If yes, describe the problem and what the test administrator did.
Rate the student's overall engagement during the session. ☐low ☐medium ☐high
Other observer comments:

The following pertains to teachers and/or proctors in the testing room:

Observes appropriate ethical practices for testing: A = appropriate, I = inappropriate O = other (please comment)	A	I	O
Followed procedures outlined in the examiner's manual.			
Did not construct answer keys and/or score the assessment.			

The following pertains to teachers, proctors, scribes, translators, interpreters, and paraeducators in the testing room:

Observes appropriate ethical practices for testing: A = appropriate, I = inappropriate O = other (please comment)	A	I	O
Did not direct or prompt students to use certain strategies at the beginning of the test session or during the test.			
Did not respond to questions during testing that would help the student to understand the question, aid the student in responding to an item, or advise/encourage the student to edit or change a response.			
Did not coach or cue students in any way during test administration.			
Did not give the meaning of words in the text or in questions.			
Did not require students to use scratch paper, to show their work, or to use the online tools (e.g. the highlighter tool).			
Did not tell students to redo or review any part of the test (especially after verifying the End Review Screen).			

Please provide additional comments on activities observed:

(SPECIAL POPULATIONS) During the assessment: designated accessibility features and accommodations Monitor team exhibits professional and unobtrusive behavior at all times while observing.	Yes	No	NA
Observes student use of embedded and/or non-embedded accessibility features (e.g. color overlay, magnification device, preferred language translation of directions, noise buffer, paper-and-pencil test, read aloud, student reads test aloud). **List which designated features students used during the observation:**			

Notes:

After the Assessment	Yes	No	N/A
Verifies Submit/End/Review Screen was checked.			
Verifies that computers are returned to Pre-testing screen.			
Verifies that all testing materials are collected from students, including scratch paper, if used.			
Verifies that test materials are returned to the secured location.			

Signature Building/District Test Coordinator:

Upon completion of the visit please sign and date the form to indicate completion.

After the Observation (Required for external monitoring and optional for district/school monitoring)

Debrief administrator/building coordinator and provide them with a copy of the report. Report any irregularity or breach of security to state test coordinator and district superintendent.

Test Administrator/Proctor Interview Questions: (approx. 15 minutes)

1. Describe the district's protocol for assigning and documenting student testing accessibility features in preparation for test administration.
   a. Who is involved?
   b. How is it decided?
   c. How is it documented?
   d. How does the district evaluate the effectiveness of the assigned accessibility features?
2. Online testing only: In what ways did students in your school district practice using the online testing environment using the various features?
3. If any students were unable to complete the test during the session, explain the plan for scheduling the extended time needed.
4. Are make-up sessions for students absent during the scheduled test session administered by the same test administrator (yes/no)? If not, then who administers the make-up tests?
5. Describe the protocol for testing students whose parents have dual enrolled/alternative school setting (e.g., homebound instruction, alternate school, community college, juvenile detention center).
6. What comments or questions do you have regarding test security and test accessibility?

Appendix K: State of Iowa External Monitoring Plan

To ensure the validity and reliability of student results, Every Student Succeeds Act of 2015 includes the expectation that monitoring of test administration should be demonstrated for all assessments in the state assessment system: the general academic assessments, the general English Language Proficiency (ELP) assessments, the alternate academic assessments, and the alternate ELP assessments. The purpose of the monitoring process is to provide support to school districts in implementing federally mandated assessments. The focus of the visit is continuous improvement by providing feedback to the school districts.

The Iowa Department of Education will be piloting a new five-year monitoring cycle in the 2024-25 school year. Iowa Department of Education assessment staff will visit school districts based on the selection plan below.

Monitoring Selection Plan

All public Iowa school districts will be placed on a five-year monitoring cycle. Districts selected for the given monitoring year will either receive support through an on-site monitoring visit or a virtual monitoring visit. The type of support will be determined by the results of a risk assessment. The risk assessment will award points in the categories of assessment participation, assessment coordinator experience, test security incidents, and test accessibility errors.

In addition to the selection plan above, a district may be chosen for intensive support based on one of the following criteria:

- incurred a security breach or a pattern of security incidents
- concerns regarding the provision of appropriate accessibility features or accommodations

Districts who would like additional support for implementing federally mandated assessments may request technical support or a monitoring visit from the Iowa Department of Education. To make a request for support, the superintendent must contact the Iowa Department of Education assessment staff.

Monitoring Visits

The external monitor will contact the district test coordinator to arrange the monitoring visit date, time, and location before the start of the assessment window. The district test coordinator will notify school administration of the logistics of the external monitoring visit including who to expect. The external monitor will complete the visit and follow the monitoring reporting plan below.

Monitoring Reporting Plan

After each monitoring visit, a summary document will be sent to the district superintendent and district test coordinator. If there is a concern, district personnel and Iowa Department of Education assessment staff will meet to review the observer's findings. If necessary, a plan for improving test administration procedures will be prepared for the following year.

Iowa Statewide Assessment Monitoring Cycle

All districts will be monitored using a five-year cycle. The districts selected each year will be posted on the Student Assessment page of the Iowa Department of Education website.

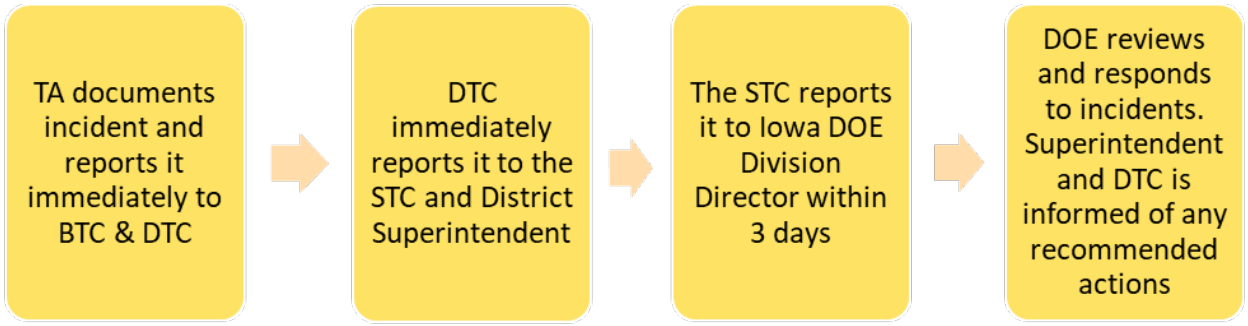
Appendix L: Incident Reporting, Investigation, and Remediation Flow Chart

Test Security Incident Flowchart

This figure depicts the required actions for all Iowa federally mandated assessments for routing test security incidents. All incidents should be handled on a case-by-case basis.

Improprieties are incidents or unusual circumstances that have a low impact on the individual or group of students and have a low risk of possibly affecting student performance, test security, or test validity.

Irregularities are incidents or unusual circumstances that may impact the performance of a student or group of students and may possibly affect student performance or interpretation of those scores. Irregularities typically do not have state-wide or nation-wide implications.



Breaches are incidences or circumstances that compromise the integrity of the test, typically by exposing test materials. Breaches can affect all students and schools, statewide or nationally, participating in the test.

STC = State Testing Coordinator

TA=Test Administrator

BTC= Building Test Coordinator

DTC= District Test Coordinator

Appendix M: Testing Incident Report Form

Testing Incident Report Form - Iowa Department of Education

Instructions: In the event of an impropriety, complete at the time of the incident and retain for records to make available to Iowa DOE and BOEE as needed.

In the event of an irregularity or breach, complete the online form through the Testing Incident Reporting Application on the Iowa Education Portal.

Assessment Name: _____

Test (e.g., ELA, Listening): _____

Date: _____

Session # (online testing): _____

Grade: _____

Scope of Incident: _____

Student ID (if applicable): _____

Security Incident: ☐ Impropriety ☐ Irregularity ☐ Breach

Accessibility Error: ☐ Accessibility support was not given ☐ Accessibility support was given in error

If the incident is a security incident, answer the following questions.

a. Did the incident involve the student accessing an electronic device?
b. When did the student access the electronic device (during or after the test)?
c. Were any images or videos of the test captured on the electronic device?
d. Were any images or videos posted on social media or sent to others?

If the incident is an accessibility error where the accessibility support was not given, answer the following questions.

a. Did the student complete the test without their accommodation or accessibility feature?
b. Was the family and student notified and offered the opportunity to retake the assessment with the correct accommodations or accessibility features?
c. Did the student retake the assessment with the correct accommodations or accessibility features?

Description of Incident:

District: _____

Superintendent Name: _____

District Test Coordinator (DTC) Name (Print): _____

DTC Signature: _____

DTC Email: _____

DTC Phone #: _____

Appendix N: Guidelines for Documenting Possible Test Security Violations

Guidelines for Documenting Possible Test Security Violations

When creating or carrying out an investigation plan, take the following considerations into account.

1. Recommended information to collect and include on the Testing Incident Report Form:
   - a timeline and summary of events
   - a list of school staff involved along with statements
   - a list of state student ID numbers of those involved along with statements
   - copies of security compliance forms for involved staff members
2. Possible questions to be asked and answered:
   - What is the nature of the incident, who is involved, and what is the risk to students, test security, and data integrity?
   - How many were involved or will be affected (staff and students)?
   - Are all secure test materials accounted for and secure?
   - Has cheating occurred?
   - Is it necessary to take steps to ensure data integrity?
   - Is the incident over or does it continue to pose a threat to test security or data integrity locally, statewide or nationally?
3. Results and next steps:
   - summary of determination of type of impropriety
   - district remediation
   - If it is an irregularity or breach, follow the Incident Reporting, Investigation, and Remediation Flow Chart in Appendix L.
   - district/school plan to ensure this type of incident does not occur in the future

Appendix O: Securing Electronic Devices Examples

Securing Electronic Devices Examples

One of the largest threats to test security is the use of electronic devices during the administration of the assessment. There is a potential that students could take pictures of test items and share those with other students or post on social media. This is the highest level of test incidents resulting in a breach of the assessment and a potential of the test item not being able to be used again. Schools must have a plan for securing electronic devices during the entire testing session and communicate the plan along with the consequences for not following expectations with students and families. There are different ways in which schools can secure electronic devices and is a local decision. The following are a few examples in which electronic devices may be secured. Some examples may require more closely monitoring than others.

- Students are not allowed to bring the electronic devices into the classroom. The devices must either be stored in their locker or left at home.
- Students may bring the electronic devices into the classroom, but they must be turned off and stored in their backpack.
- Students may bring the electronic devices into the classroom, but they must be turned off and stored in a central location determined by the teacher. The central location could be a table, a clear bin, calculator caddy, etc.
- Students may bring the electronic devices into the classroom, but they must be turned off and stored in a basket on top of the student's desk/ table. **Note:** *This approach will require more closely monitoring as the devices are easier for the student to access.*