3.0 Ensuring Test Security

The security of assessment instruments and the confidentiality of student information are vital to maintaining the validity, reliability, and fairness of the results.

All summative test items and test materials are secure and must be appropriately handled. Secure handling protects the integrity, validity, and confidentiality of assessment items, prompts, and student information. Any deviation in test administration must be reported as a test security incident to ensure the validity of the assessment results.

It is the responsibility of each person participating in the administration of the Smarter Balanced summative assessments to immediately report any violation or suspected violation of test security or confidentiality. The California Assessment of Student Performance and Progress (CAASPP) test site coordinator is responsible for immediately reporting any security violation to the local educational agency (LEA) CAASPP coordinator.

In the case of a student cheating, the test administrator must stop the cheating; however, the student must be allowed to complete the remainder of the test. After testing, the test administrator must notify the CAASPP test site coordinator. **Do not call** the California Department of Education (CDE) or the California Technical Assistance Center (CalTAC) to report student cheating.

3.1 Security of the Test Environment

Table 6 describes security requirements for the test environment during various stages of testing. The test environment refers to all aspects of the testing situation while students are testing and includes what a student can see, hear, or access (including access via technology).

Table 6: Requirements of the Test Environment

Requirement	Description
BEFORE TESTING	
Instructional materials removed or covered	Instructional materials **must be removed or covered, including but not limited to** information that might assist students in answering questions that is displayed on bulletin boards, chalkboards or dry-erase boards, or on charts (e.g., wall charts that contain literary definitions, maps, mathematics formulas, etc.).
Student seating	Students must be seated so there is enough space between them to minimize opportunities to look at each other's work—for example, students may be assigned staggered seating or be seated in every other chair or workstation position—or they should be provided with table-top partitions.

Requirement	Description
Signage	If helpful, place a "TESTING—DO NOT DISTURB" sign on the door or post signs in halls and entrances rerouting hallway traffic in order to promote optimum testing conditions.
	CAASPP test site coordinators or test administrators should post the "Unauthorized Electronic Devices May Not Be Used at Any Time During the Testing Session" signs so that they are clearly visible to all students. A master of this sign can be downloaded from the CAASPP Instructions and Manuals Web page at http://www.caaspp.org/administration/instructions/#general.
DURING TESTING	
Quiet environment	Provide a quiet environment void of talking or other distractions that might interfere with a student's ability to concentrate or might compromise the testing situation.
Student supervision	Students are actively supervised and are prohibited from access to unauthorized electronic devices that allow availability to outside information, communication among students, or photographing or copying test content. This includes any device with cellular, messaging, or wireless capabilities, but is not limited to cell phones, personal digital assistants (PDAs), iPods, cameras, and electronic translation devices.
Access to allowable resources only	Students must only have access to and use of those allowable resources identified by Smarter Balanced (see section *9.1 Establishing Appropriate Testing Conditions* for examples) that are permitted for each specific test (or portion of a test).
Access to assessments	Unauthorized staff or other adults must not be in the room during testing. Only students who are testing can view items. Students who are not being tested must not have access to secure testing materials including test items. Based on the item type (i.e., performance tasks), trained test administrators may also have limited exposure to items in the course of properly administering the assessments; however, even test administrators and other trained staff may not actively review or analyze any test items.
No answer key development	No form or type of answer key may be developed for test items.
Testing through secure browser	Administration of the Smarter Balanced assessments is permitted only through the student interface via a secure browser or a method of securing the student device.
DURING AND AFTER TESTING	
No access to responses	LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and other staff are not permitted to review student responses in the testing interface or students' notes on scratch paper.
No copies of test materials	Unless needed as a print-on-demand or braille accommodation, no copies of the test items, stimuli, reading passages, performance task materials, or writing prompts may be made or otherwise retained.

All Roles

All Roles

Requirement	Description
No access to digital, electronic, or manual devices	No digital, electronic, or manual device may be used to record or retain test items, reading passages, or writing prompts. Similarly, these materials must not be discussed with or released to anyone via any media, including fax, e-mail, social media Web sites, etc.
No retaining, discussing, or releasing test materials	Descriptions of test items, stimuli, printed reading passages, or writing prompts must not be retained, discussed, or released to anyone.
No reviewing, discussing, or analyzing test materials	LEA CAASPP coordinators, CAASPP test site coordinators, test administrators, and other staff may not review, discuss, or analyze test items, stimuli, reading passages, or writing prompts at any time, including before, during, or after testing. Student interaction during a test is limited to what is necessary for the purpose of a performance task.
All test materials must remain secure at all times	Printed materials from the print-on-demand accommodation, scratch paper, and documents with student information must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration.
No retaining of test "tickets" or any materials created to assist students with logging on to the summative assessments	All students' ID information must be collected at the end of each test session, stored securely, and then securely destroyed.
AFTER TESTING	
No test materials used for instructions	Test items, stimuli, reading passages, or writing prompts must not be used for instruction.
Destroy test materials securely	Printed test items/passages, including embossed braille printouts, scratch paper, and notecards or paper that include student logon information must be collected and inventoried and then immediately shredded upon a student's completion of the test. See section *3.2 Secure Handling of Printed Materials* for details. ***Note:*** The Classroom Activities for the performance task (PT) are not secure materials.

Test administrators and CAASPP test site coordinators or other individuals who have witnessed, been informed of, or suspect the possibility of a test security incident that could potentially affect the integrity of the assessments or the data should follow the steps outlined in section *4.0 Responding to Testing Improprieties, Irregularities, and Breaches,* section *5.0 Appeals* (as necessary) of this manual.

3.2 Secure Handling of Printed Materials

Using Print-on-Demand Materials

For those students whose individualized education program (IEP) or Section 504 plan expresses a need for a paper copy of **passages or items,** permission for the students to receive this accommodation must first be set in the Test Operations Management System (TOMS) by the LEA CAASPP coordinator one to two weeks prior to testing.

Printing **individual test items** for students with this accommodation will require that the LEA CAASPP coordinator make a request to CalTAC to have the accommodation set for each student.

Print requests must be approved and processed by the test administrators during test administration. The decision to allow students to use print on demand must be made on an individual student basis and is available only for students with an IEP or Section 504 plan. However, utilizing the print-on-demand functionality does not allow a printed version of the online test due to its adaptive nature. A very small percentage of students should need this accommodation. The use of this accommodation may result in the student needing additional time to complete the assessment.

Once a student is approved to receive the printing of test items/passages, that student may send a print request to the test administrator during testing by selecting the print icon on the screen. This request needs to be made for each individual item.

Follow these guidelines when using the print-on-demand accommodation:

1. Before the test administrator approves the student's request to print a test item/stimulus, the test administrator must ensure that the printer is on and is monitored by staff who have been trained using the test administrator training modules for the test.

2. Immediately after printing a print-on-demand request, the file should be securely deleted from the test administrator's device in such a way that the file does not remain in a temporary storage file where it can be undeleted. See *Destruction of electronic files* in the next subsection on the next page for additional instructions.

3. The test administrator must collect the previously printed item from the student after the student has requested the next item to be printed. Printed items must be securely stored and then securely destroyed after the test session.

Destruction of Printed Materials and Scratch Paper

Printed materials from the print-on-demand accommodation and scratch paper must be kept in a securely locked room or locked cabinet that can be opened only with a key or keycard by staff responsible for test administration who have signed a CAASPP Test Security Affidavit. All test materials must remain secure at all times. Printed test items/passages, including embossed braille printouts and scratch paper, must be collected and inventoried at the end of each test session and then immediately shredded according to LEA and/or California policies or procedures. **DO NOT** keep printed test items/passages or scratch paper for future test sessions except as noted below for performance tasks (PTs).

Destruction of Electronic Files

Immediately after printing a print-on-demand request, the file produced by the process should be securely deleted from the test administrator's device. It must be deleted in such a way that the file does not remain in a temporary storage location such as Windows' Recycle Bin, where it can be undeleted. Test administrators and CAASPP test site coordinators should use the school's or LEA's preferred method of secure file deletion.

While there are many ways to permanently delete a file, including using a "shredding" tool that might be part of a virus scanning tool, what follows are basic ways to remove a file from a Windows or Macintosh system:

All Roles

- **Windows—**Hold the <Shift> key when deleting the file or empty the Recycle Bin after deleting.

- **Macintosh and Macintosh equivalent devices using OS X**—Press the <Command> + <Delete> keys with any file or folder selected to send a file to the Trash and then press the <Shift> + <Command> + <Delete> keys *or* open the Finder menu and then select "Secure Empty Trash" to immediately empty the Trash.

Use of Scratch Paper on Performance Tasks

The only exception to the requirement governing the immediate destruction of printed materials and scratch paper is when students take notes and/or draft responses to English language arts/literacy (ELA) or mathematics computer adaptive test (CAT) constructed response items or PTs.

During the ELA PT, the notes on the embedded universal tool, Global Notes, are retained from Part 1 to Part 2 so that the student may return to the notes even though the student is not able to go back to specific items in Part 1. While the embedded Global Notes is the preferred mode for note taking during the ELA PT, students may use scratch paper to make notes or develop draft responses.

To maintain the security of scratch paper used for notes on the ELA or Mathematics CAT constructed response items or PTs, test administrators must direct students to write their names (or some appropriate identifying information) on their scratch paper, and then collect and inventory the scratch paper at the end of each test session, as well as upon completion of the test. All scratch paper must be securely stored in between test sessions and then securely destroyed immediately upon the student's completion of the test.

The retention of scratch paper is only allowed for constructed response CAT items and the PTs. At the end of each test session, all scratch paper (including graph paper) must be collected, inventoried, and securely stored. All scratch paper must be immediately shredded upon the student's completion of the test to maintain test security.