WHO NEEDS A TEST SECURITY HANDBOOK?

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- Words of welcome

- It is important the the letters from the last Board of Review meeting be completed and sent out as soon as possible

- A names of a couple of people to contact for guidance and assistance

- 703 KAR 5:080 Administration Code For Kentucky's Educational Assessment Program

KIRIS INVESTIGATION PROCEDURES MANUAL

1. History of the Division of Management Assistance's involvement in the process

2. Outline of report format

3. Procedures for processing allegations

4. On site visit protocol

5. Procedures for processing completed reports

6. Forms
   a. Actual report format
   b. Actual cover letter format
   c. Notarized statement format
   d. Code of Ethics - four documents
   e. Appropriate Assessment Practices - Sample

7. File Maintenance/Case Tracking System

- **PROCEDURES FOR PROCESSING ALLEGATIONS**

- When an allegation of testing impropriety is received in the Division of Management Assistance, it is analyzed by the CATS technical expert to determine if facts have been alleged which, if true, would constitute a violation of the *Administration Code for Kentucky's Educational Assessment Program*, the test administration manuals, and/or appropriate testing practices. Allegations come to the Division from a variety of sources: letters, phone calls, the Office of Educational Accountability, other KDE employees, and other KDE divisions.

- **STEP 1 – TO PROCESS OR NOT?**

- **STEP 2 – TO VISIT OR NOT?**

- **STEP 3 – ON-SITE VISIT PROTOCOL**

- **STEP 4 – WRITING THE REPORT**

- **STEP 5 – THE CATS BOARD OF REVIEW**

- **STEP 6 - IMPLEMENTING ALLEGATION**

- **STEP 7 - FILE MAINTENANCE/CASE TRACKING SYSTEM**

- **STEP 8 - ACCESSING STUDENT RECORDS**

▶ **STEPS IN AN INVESTIGATION**

▶ allegation arrives in DMA

▶ staff reviews allegation

▶ director contacts superintendent requesting more information

▶ DMA staff conducts investigation

▶ DMA staff interviews district personnel
collects notarized statements
collects supporting documents

▶ DMA write report

▶ BofR reviews info & decides on judgment
case closed - OR -
scores lowered &/or training assigned

▶ names sent to EPSB

▶ case and details entered into database

Test Security Audit Report

- Develop a Comprehensive Security Plan.

- Appoint a Security Coordinator and design a plan for formalizing and instilling a strong security culture in the KDE and in-field staff.

- Formalize the process for moving forward with investigations based on results from Data Forensics types of analyses such as erasure, score gains, and pattern analysis.

- Provide more specification on how materials are to be kept secure while being transported between the District Office, the Principal's office, and the classroom.

- Carry out a pilot set of Data Forensics analyses for a set of subjects/grades to determine what level of testing irregularities frequently associated with cheating currently exists.

- Appoint an overall physical security person for the assessment area.

- Develop a complete set of security training materials for new and existing staff, and standardize the process for delivery of training.

- Develop a comprehensive Security Incident Response Plan to specify the roles and responsibilities of all involved participants.

As a result of the audit a staff member was assigned to as a security coordinator and assigned to work on a policy and procedure manual for the department. Intentions were good but the resources needed to do this were very limited, pretty much nonexistent, except for the coordinator and investigator who were already feeling the pressure from their current work load.

ENTERS ERASUER ANALYSIS DATA

First site visit and problems encountered

Lessons learned

Planning for second set of on site visits (3-4 years later)

Erasure Monitoring and Investigation Process (DRAFT of Process, considered a work in progress)

1. The Data Forensics Report is received.

2. Results were reviewed and shared with the Commissioner and leadership

3. A determination will be made as to which schools should be monitored based upon at least two of the following criteria:
   a. The school and/or grade level must be flagged in at least two (2) statistical categories. This means the school and/or grade level must exceed the threshold set by Caveon and KDE or the statistical threshold, depending on the statistic.
   b. Score gains for past two to three years.
   c. The team will consider other allegations reported by the school district from the previous year.

4. KDE will then communicate with the school district, summarizing the erasure analysis results for the chosen school/s.

5. Select/assign monitors

6. Training monitors
   Training Components
   - Administration Code and Inclusion Training
   - Communication with staff
   - Use of protocols or checklists
   - Interviewing procedures for testing staff
   - What to look for in testing rooms (Capture observations using a pre-designed checklist)
   - Handling of potential irregularities
   - Use of technology to collect data
   - The dos and don'ts of monitoring
   - Local policies and procedures

7. KDE will review monitoring reports and corroborating evidence and make a determination as to whether further examination and/or a school visit of any kind is warranted.

8. If it is determined further examination is warranted, the team may:
   a. Ask for further documentation.
   b. Review students' K-PREP test booklets and SRBs
   c. Review other data that is available

9. KDE will then determine whether to open a full investigation and conduct on-site visit to a school or schools.

Can you do this job without a handbook? Sure, you probably can if you have a policy and list of procedures. can

So, why do I need or covert a handbook?

- ❖ Organization
- ❖ Information
- ❖ Support
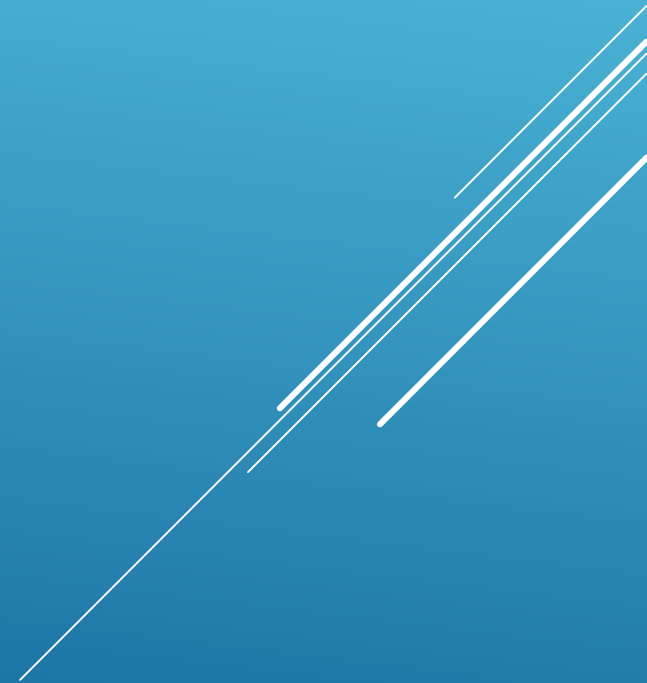
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