

## TEST CONTROL JOB AID

TASS REGION: \_\_\_\_\_

SCHOOL BATTALION: \_\_\_\_\_

TRAINING SITE: \_\_\_\_\_

EVALUATOR: \_\_\_\_\_

DATE:        /        /

### TEST CONTROL

**GO**                      **NO GO**

- |                                                                                                                                                                                                                                                                                                                                                                                                                        |                          |                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| 1. Have the Test Control Officer (TCO) and TCO alternate been assigned in writing? Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a(3)a.                                                                                                                                                                                                                                                         | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Test Proponent Responsibilities:<br>Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 6a.<br>(If these controls are not already applied to the tests you receive, apply them immediately (if possible) and/or contact the test development/reproduction activity.                                                                                                                                 | <input type="checkbox"/> | <input type="checkbox"/> |
| a. Each page of all sensitive test material which must be controlled (i.e., except for Type 1 IAW the matrix above) must be clearly labeled "FOUO- Sensitive Examination (Testing) Materials", or similar words, to clearly indicate their nature. This includes paper copies or portable disks/diskettes (floppies/ZIP/CD). Paper files containing test materials should be labeled similarly as well.                |                          |                          |
| b. The first page of all controlled testing material, whether paper or electronic ( when displayed on the screen) in nature, must have the label indicated in 6(a) above. It is highly recommended that paper versions of tests have the warning on <u>each</u> page as well as the cover sheet.                                                                                                                       |                          |                          |
| c. All electronic versions of sensitive test material should have the warning in 6(a) above as well as the warning "DO NOT COPY, PRINT, TRANSMIT, OR SAVE UNLESS SPECIFICALLY AUTHORIZED" (or words to this effect) on any portable medium <u>and</u> on first page/screen seen when opening the file.                                                                                                                 |                          |                          |
| 3. Is there a Test Control SOP that includes the following? Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 5a.                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> |
| a. Maintain security of all test items, tests, test administration instructions (if necessary), checklists, scoring keys, and test results during test development, transmittal, storage, retrieval, and administration consistent with the appropriate level of test control as determined by applying the guidelines in "Test Control,". Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 5a (1). |                          |                          |
| b. Develop and specify in a lesson plan, Test Administration Guide, the Student Testing Plan, and/or separate Test Control Standard Operating Procedure (SOP) (if desired) the exact procedures to be followed during resident test administration to ensure the proper level of test control. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 5a (2).                                             |                          |                          |

## TEST CONTROL (cont.)

GO

NO GO

c. Regardless of how final test/test items will ultimately be administered, restrict access to paper-based copies of proposed or final test items, scoring/answer keys, or test results to those personnel demonstrating a valid need for the information. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 5a (3).

d. As necessary, in conjunction with information management specialists, develop and specify procedures to ensure electronic copies of tests/test items and scoring/answer keys are protected from unauthorized disclosure. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 5a (4).

e. IAW specific procedures and methods indicated in local SOPs, sensitive test materials will be inventoried at least quarterly and a record made of the inventory. Additional inventories may be necessary upon reproduction of exam booklets. Training institutions will specify maintenance procedures for inventories. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a (3)(d).

f. Disposition of test material(e.g. destruction/loan/transfer). Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a (3)(f).

1 Date of Transfer or Destruction

2 Method of Transfer or Destruction

3 To whom the material was transferred; or who was responsible for destruction.

4 The exact material destroyed or transferred.

4. Designate, in writing, personnel who are authorized access to, and handling of test materials. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a(3)(b)

5. Proper key control must be exercised as with other sensitive keys. TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a (3)(c).

## TEST SECURITY

1. Store test components in locked rooms or containers where they are not accessible to unauthorized personnel. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a(3)(c)

2. Each page of all sensitive test material must be clearly labeled “**FOUO-Sensitive Examination (Testing) Material**” or similar words. An exception to this will be answer sheets that have not been completed by students. Completed answer sheets will not be returned to students. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 6(a)

3. The first page of all controlled testing material, whether paper or electronic (when displayed on the screen) in nature, must have the label indicated above. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 6(b)

**TEST CONTROL (cont.)****GO****NO GO**

4. Maintain an Inventory of Test Materials.    
 The TCO or alternate will make quarterly inventory of the test materials IAW procedures and methods indicated in local SOPs. The inventory will include test booklets, administrative and scoring keys, and optical scanner test scoring machine control forms. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a(3)(d)

5. Each time sensitive test material (whether paper-based or disk-based) is removed,    
 from its locked container, a record of sign-out (name, organization, etc.) will be made. Maintain security of all test items, tests, test administration instructions (if necessary), checklists, scoring keys, and test results during test development, transmittal, storage, retrieval, and administration consistent with the appropriate level of test control (e.g. unique serial number) Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a(3)(e) and Para 5a(1)

## For Portable Diskette/ Disk-based Test material (floppy/CD/ZIP):

6. Do not store material on, or transfer to an uncontrolled system    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

7. Electronically secure storage medium (diskette/CD-ROM) via at least password protection (and secure passwords); and physically secure disk/diskette under lock in a lockable container. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

8. Restrict access when view material on screen.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

9. Allow NO unauthorized copying/printing/transfer/storage of files.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

## For Paper-and-pencil Tests

10. Keep all copies of all sensitive materials under lock on a lockable container.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

11. Make sufficient copies immediately before first administration. Make additional copies only if necessary and immediately before subsequent administrations.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

12. Make minimum copies required for single administration.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

13. Destroy extraneous/unneeded materials by shredding or burning.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

**TEST CONTROL (cont.)****GO****NO GO**

- 14. Randomly assign alternate forms.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).
- 15. Allow NO unauthorized copying/scanning of material.    
 Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(b).

**ACTIONS FOR LOSS, COMPROMISE, OR POSSIBLE COMPROMISE OF SENSITIVE TEST MATERIALS**

- 1. The following procedures should be implemented in the SOP. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 8(a)  
  - a. Every incidence of suspected unauthorized disclosure of sensitive test material must be investigated, and the compromise substantiated, refuted, or left unsubstantiated. If the possible compromise is refuted, no further action is necessary.
  - b. As determined necessary by the department/division head/commander or other designated authority, report the compromise/potential compromise to your chain of command. If needed for assistance, the compromise/potential compromise may also be reported to the proponent school. The test proponent may advise on appropriate procedures to mitigate the risk.
  - c. The commander/other designated authority will:
    - (1) Insure that a thorough investigation of the compromise, possible compromise, or loss has been made and that proper actions are initiated to prevent recurrence of loss or compromise of test materials.
    - (2) Decide the risk mitigation factors to be employed.
    - (3) Maintain a record of the results of the investigation and actions taken, if any.
  - d. If warranted, initiate investigation under AR 15-6.
  - e. If the compromise is substantiated or cannot be definitely refuted (i.e., suspected but unsubstantiated), a risk assessment must be done immediately (based upon the level of control required of the test), and any serious consequences from the loss must be mitigated. At the discretion of the department/division head or other designated authority, the procedures for mitigation should include, but not be limited to, one or more of the following:
    - (1) Withdrawal of the test from use.
    - (2) Re-testing of one or more students using non-compromised/unsuspected versions.
    - (3) Requesting assistance from the proponent school.
    - (4) Take no action (i.e., in the case of unsubstantiated).

**TEST CONTROL (cont.)**

**GO**

**NO GO**

**TEST ADMINISTRATION**

1. The following common controls should be implemented in the SOP and prior to test administration. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7(a)
- a. Every student's identity must be positively verified before test administration.
- b. Before the administration of the first test in a course, advise students of the following:
- (1) They will not acquire or provide inappropriate assistance either before, during or after any test, except as instructed.
- (2) They will report any unauthorized assistance of which they may have knowledge.

NOTE: First time notification should be in writing and acknowledged by the student.

- c. The primary means of test control during actual administration is by following the proponent instructions precisely, as found in the test administrative instructions for each test. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 10(a)
- d. Specific directions for test administration and scoring are contained in manuals that accompany each test or in the student evaluation plan or test administration plan. These procedures must be followed strictly. Test examiners and proctors will use only proponent test materials in preparation for or during the administration of tests. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 10(b)
- e. If (in the opinion of designated authority) any aspect of test security or administration is unclear or unmanageable, test administrators must immediately contact the test proponent for additional guidance before administration. Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 10(c)

### DESTRUCTION OF TEST MATERIALS

1. The test control officer will maintain Test Answer Sheets and associated student papers until course completion, when they will be destroyed. Non-graduate/early release answer sheets will be retained for 24 months. Ref: TR 350-10, Para 2-8c.
2. Whenever sensitive materials are destroyed or transferred a record will be made of:
- a. Date of transfer or destruction.
- b. Method of transfer or destruction.
- c. To whom the material was transferred; or who was responsible for destruction.
- d. The exact material destroyed or transferred.
- Ref: TRADOC Test Policy and Procedures Memo and Encls, Encl 4, Para 7a (3) (f)

### TEST CONTROL (cont.)

### REMARKS:

