



CAP REGULATION 40-2

1 JANUARY 2018

Professional Development

TEST ADMINISTRATION AND SECURITY

This regulation explains general procedures for handling tests in Civil Air Patrol (CAP).

SUMMARY OF CHANGES.

This document has been extensively revised and must be reviewed in its entirety.

1. Overview. This regulation outlines guidance for CAP test administration and security.

2. Roles and Responsibilities. General Provisions. Testing Officers (TO) have the primary responsibility for test administration, security and inventory. Higher Headquarters (HHQ) TOs have the additional responsibility of assisting the HHQ commander with ensuring compliance of subordinate units.

3. Waivers. CAP/PD is the waiver authority for this regulation. Waiver requests are made in writing through the chain of command to CAP/PD for resolution.

4. Supplements and Operating Instructions (OI) to this regulation. Supplements and OIs pertaining to this regulation shall not be issued below the wing level and must be approved by CAP/PD. Wings shall coordinate through the region commander when submitting supplements and OIs for approval.

5. Controlled Testing Materials. Controlled testing materials are those exam/testing materials deemed by the Office of Primary Responsibility (OPR) as requiring controlled access. Testing materials includes hard-copy tests, answer keys and other materials related to test administration as defined by the OPR. This includes all tests and quizzes located in the Learning Management System (LMS) unless specifically excluded by the OPR.

6. Testing Officer Appointments, Responsibilities and General Guidance.

6.1. Persons Authorized to Handle CAP Tests. Only the unit commander, the TO and assistant(s) are authorized access to controlled CAP testing materials except as follows:

6.1.1. Examinees during a proctored exam under the supervision of a TO/Assistant (for those tests requiring supervision).

6.1.2. Members officially assigned by the appropriate commander for the purpose of conducting official inspections and/or investigations in accordance with CAP regulations.

6.1.3. Transfer of testing items (such as an administrative officer opening mail containing a test from NHQ). In this case the test is resealed and stored in a locked cabinet or container until it is transferred to the custody of the TO.

6.1.4. Access to controlled testing materials by any other persons at any other time constitutes a test compromise.

6.2. All TOs and assistants must be senior members and are appointed using the Duty Assignment Module in eServices.

6.3. A TO or an assistant TO may not handle a test that he or she is going to take that day. The test must be administered by another TO.

6.4. Wing Testing Officer. Each CAP wing commander shall appoint a TO for test security and administration within the wing headquarters unit. *The wing commander may not serve as the wing TO or as an assistant wing TO.*

6.5. Subordinate Unit Testing Officers. Subordinate unit commanders must appoint a TO (and assistants if required) if any controlled testing materials are stored by their respective unit or if they anticipate the administration of controlled written testing materials at the unit. *Subordinate unit commanders may not serve as testing officers but may serve as an assistant TO.*

6.6. Family Provision. Testing Officers and assistants will not administer tests to members of their family. The test must be administered by another TO.

6.7. Controlled Test Materials Storage. NOTE: if a unit does not have any paper (hard-copy) tests assigned, it does not need to have storage.

6.7.1. All controlled testing materials will be stored in a locked cabinet or container with access to the contents restricted to the unit commander, TOs or assistant TOs. The cabinet or container may be mobile (such as a strong box); however, it must be locked, secured, and access-controlled as stated above. No other materials may be stored in the same locked area. For example, if the container is a strong box, only controlled testing materials can be secured there. If it is in a multi-drawer file cabinet; the test drawer must be locked separately from the other drawers so that only authorized personnel may access the controlled testing materials container.

6.7.2. Attendance. Anytime the controlled test materials storage container is open, the TO, assistant or unit commander must be present.

6.7.3. Lock changes. Locks or combinations (key locks, combination locks, biometric locks, and key-card access are permissible) must be changed whenever there is a change in TO, assistant or unit commander. Physical keys must be recovered at the time of reassignment or when the locks are changed. All of these actions are recorded on the test inventory log.

6.8. Test Inventory and Logs. NOTE: if a unit does not have any paper tests assigned, it does not need to maintain a test inventory log.

6.8.1. Test Inventories. The TO (or assistant) conducts a controlled test materials inventory every six months and whenever the TO or assistants(s) change. If a test is on file but not in the test inventory log, note it on the log and destroy the test (shred or burn). If a test is noted on the log but is not on file; refer to the procedures for test compromise in paragraph 8.

6.8.2. Test Inventory Log. The TO will create a test inventory log for all controlled hard-copy tests in the unit's possession. This log may be hard-copy or electronic and must account for every transaction to include (not limited to) item number, description, quantity, downloaded/received/ transferred by, date

downloaded/received/transferred and destroy by date. A suggested test inventory log is shown in Attachment 3. Test inventory logs will be retained in accordance with CAP Regulation 10-2, *Files Maintenance and Records Disposition*.

6.9. Test Administration. All CAP tests (online or hard-copy) will be administered according to the instructions provided for that specific test.

6.10. Copying, Duplication or Sharing. Unless specifically authorized by the OPR who authored the test, no part of any test materials (on-line, hard-copy based or other) may be duplicated, transcribed, downloaded or shared.

7. Cadet Tests and Exams.

7.1. Introduction. This chapter governs the administration and security of tests and exams in the Cadet Program, specifically achievement tests and milestone award exams. This chapter does not govern any other type of cadet assessment. For details about which tests and exams are required for advancement in the Cadet Program, and for passing score and test condition information, see CAP Regulation 60-1, *Cadet Program Management*, chapter 5. Additionally, a *Testing Officers' Quick Reference* is available at capmembers.com/library. For questions about Cadet Program test administration procedures, contact CAP/CP at cadets@capnhq.gov.

7.2. Testing Officers. TOs and assistants are assigned in accordance with paragraph 6. Commanders are encouraged to appoint a reasonable number of seniors to serve as assistant TOs with the authority to administer cadet tests and exams. For suggested best practices on how to succeed in serving cadets as a testing officer, see CAP Pamphlet 60-11, *Cadet Program Officers' Handbook*.

7.3. Learning Management System. All achievement and milestone tests are available in the LMS located in eServices. Access is restricted through permissions and security precautions programmed into eServices. Cadets follow the on-screen prompts to complete their test or exam.

7.4. Hard Copy Option. Cadets may prefer to attempt their tests and exams via hard copy in lieu of using the LMS. Testing officers obtain a hard copy by logging-in to the LMS and printing a PDF document on demand if the unit does not already possess one.

7.4.1. Achievement Test Hard Copies. After administering a hard copy achievement test, the testing officer may destroy it or retain and log it for later use for a maximum of two years. (Hard copy tests expire because NHQ continually updates the cadet question banks to ensure every question is a fair and valid measure of learning.) The testing officer must secure all test materials in a locked container, with access to the contents restricted to testing officers. Further, the testing officer must keep a hard copy or electronic log identifying what test materials are on file, and verify the inventory's accuracy against the log at least every 6 months. See Attachment 3 for a suggested inventory log.

7.4.2. Milestone Award Exam Hard Copies. Hard copy versions of milestone exams are used only once and are not kept on file. After administering a hard copy milestone award exam, the testing officer must destroy it. If the cadet fails the exam and needs to re-attempt it later, the testing officer downloads a new exam, populated with new questions, via the LMS.

7.5. Hard Copy Security and Inventory. If the unit maintains cadet achievement tests in hard copy format, the testing officer will secure and inventory the tests in accordance with paragraphs 6.2 and 6.3. See Attachment 3 for a suggested inventory log.

8. Procedures for Compromises of CAP Tests.

8.1. All CAP units share responsibility in preventing loss or compromise of tests. This chapter discusses those shared responsibilities in the event of a CAP test compromise. NOTE: A partial list of situations which may constitute a test compromise is included at Attachment 2.

8.2. Persons Authorized to Handle CAP Tests. See paragraph 6.1.

8.3. Reporting/Investigation Procedures for Suspected or Actual Compromise of CAP Test Materials.

8.3.1. If controlled test materials are discovered to be missing or otherwise compromised, the unit commander shall:

8.3.1.1. If a paper test, direct the testing officer to destroy the hard copy, make a note on the log, and print a new test. If an electronic test; completely log out of the LMS and eServices, make a note on the log, and reload the LMS. Because hard copy and electronic tests and exams are developed by drawing questions randomly from a question bank, as a practical matter the unit may download another unique hard copy test and continue its testing program without interruption at the unit commander's discretion.

8.3.1.2. Ensure the security of all test materials whether or not they are suspected of compromise.

8.3.1.3. Investigate the matter and report details of the incident and lessons learned to the group or wing commander (in the case of a cadet test, copy the group or wing DCP). In turn, the wing commander will report the incident to CAP/PD (copying the region commander at their discretion) outlining the details of the incident, lessons learned and actions taken to ensure the security of the test materials and to prevent recurrence of the situation.

8.3.1.4. CAP/PD will forward these reports to the test OPRs for tracking and process improvements.

MARK E. SMITH
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Attachment 1 – COMPLIANCE ELEMENTS

Questions				
Checklist and Tab	Compliance Question	How to Verify Compliance	Discrepancy Write-Up	How to clear Discrepancy
D-1 (CI)	Has the Wing Commander appointed a TO for test security and administration?	Compliance is determined through an eServices Duty Assignment report.	(Discrepancy) [xx] (D-1 Question 1) The Wing Commander has not appointed a Testing Officer IAW CAPR 40-2 para 6.4	Commander assigns a TO using the Duty Assignment Module in eServices.
D-1 (CI/SUI)	Do composite and/or cadet squadrons which use paper tests have a TO appointed?	Using eServices Testing Officer duty assignment report for Composite and Cadet subordinate units verify that a TO is appointed. To determine whether a unit is a Composite or Cadet squadron, use the eServices organizational report.	(Discrepancy): [xx] (D-1 Question 2) Units in the wing failed to appoint a Testing Officer IAW CAPR 40-2 para 6.5.	Commander directs units requiring TOs to appoint them using the Duty Assignment module.
D-1 (CI)	Does the wing ensure subordinate commanders are not appointed as Testing Officers (though they may be appointed as assistant TOs)?	Compare eServices duty assignment reports (Test Officers and Unit Commanders) to ensure no CCs are primary TOs.	(Discrepancy): [xx] (D-1 Question 3) Wing failed to ensure ___ Unit Commander(s) were not listed as primary Testing Officers IAW CAPR 40-2, para 6.5.	Commander is removed from assignment as Testing Officer (however, may be assigned as an assistant TO)
D-1 (SUI)	Does the unit maintain hard copy testing materials IAW CAP regulations? a) Are all hard testing materials stored in a lockable (key or combination) cabinet or container? b) Does the TO conduct a test materials inventory at least every six months and whenever the TO or Assistant(s) TO changes?	a) Hard copy storage location will be inspected on site ONLY if testing materials are stored. b) Unit will provide copies of the TO inventory logs for the past 2 years (if tests were stored during that time).	(Discrepancy): [xx] (D-1 Question 4) Unit failed to maintain hard copy testing materials in a lockable (key or combination) cabinet or strong box IAW CAPR 40-2 para 6.7.1. (Discrepancy): [xx] (D-1 Question 4) Unit failed to conduct a test materials inventory at least every six months and whenever the TO or Assistant(s) TO changed for the last 2 years since testing materials were stored IAW CAPR 40-2 para 6.8.2.	a) Commander must demonstrate that materials are locked IAW CAPR 40-2. b) Commander must forward a completed test inventory log.

Attachment 2 - POTENTIAL COMPROMISE SITUATIONS

The following are potential compromise situations that can occur as a result of actions taken on the part of members who develop, handle, administer or participate in using CAP test materials. This list is not all-inclusive.

1. Copying, faxing, downloading, photographing, e-mailing, electronically transmitting or borrowing test materials outside of the conditions listed in this regulation or by the OPR producing the test.
2. Failing to properly identify examinees to ensure they are taking the proper test (personal identification, CAPID card, or personally know on sight by the tester).
3. Reviewing, accessing, or allowing review or access to, controlled test materials by an individual not specifically authorized.
4. Having an oral or written discussion of test materials with an unauthorized person.
5. Bringing any unauthorized materials/equipment/aids into the examination room.
6. Removing test materials/notes from the examination room without authorization.
7. Leaving an examinee, or group of examinees, unsupervised during a testing session.
8. Being unable to account for the location or disposition of controlled testing materials.
9. Improperly packaging or labeling controlled test materials for mailing in a way that could result in unauthorized disclosure (outside package labeling must clearly indicate testing materials are inside the package).
10. Opening, or otherwise tampering with, any package containing controlled test materials by an unauthorized person.
11. Storing controlled test materials improperly.
12. Destroying controlled test materials improperly.
13. Taking or possessing controlled test materials without authorization.
14. Taking any deliberate action that could result in the unauthorized disclosure of controlled test materials.
15. "Group testing" where examinees share responses to the same test.

Attachment 3 - SAMPLE TEST CONTROL INVENTORY LOG

UNIT TEST & EXAM INVENTORY Your Wing (Unit), Day, Month, Year 20____						
ITEM NO.	DESCRIPTION	QTY	DOWNLOADED/RECEIVED/ TRANSFERRED BY	DATE DOWNLOADED/ RECEIVED/TRANSFERRED	DESTROY BY DATE	
Example	Achievement Leadership Test	1	3	2d Lt Curry	1 Jan 18	1 Jan 20
1.						
2.						
3.						
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						
16.						
17.						
18.						