

SECURITY AND CONFIDENTIALITY CHECKLIST (NCCA Standards 10, 11, 12 & 18)

In order to assist accreditation applicants with their efforts to provide evidence in compliance with NCCA Standards 10, 11, 12, and 18, the following guidance is offered.

Please be aware that programs are responsible for complying with all of the NCCA Standards. This checklist is meant to serve as a supplementary guide.

STANDARD 10: CONFIDENTIALITY

Essential Element A:

Please provide the form used for confidentiality/nondisclosure agreements with each the following:

- Your staff
- Your Certification Board of Directors
- Your SMEs
- Your certificants
- Your consultants/contracted psychometricians
- The agreement used by your or your test vendor's proctors
- The agreement used by your consultants and test vendor for their employees

NOTE: You need not submit the signed agreements, just the forms used for each category (properly labeled.) Confidentiality agreements may be combined with conflict of interest agreements.

A Master Service Agreement or Service Level Agreement with a vendor that specifically addresses these requirements may be submitted as evidence.

Essential Element B :

Please provide:

- a list of all positions, including staff, consultants, board, and employees of test and other vendors who have authorization to access your confidential and proprietary information

Essential Element C :

Please provide:

- a copy of your policy, and that of your vendors, for securing the confidential information regarding your candidates and certificants, and their application and test information in order to protect the information of each such individual.

Essential Element D :

Please provide:

- a copy of your policy, and that of your vendors, restricting all personnel, SME's, consultants, and vendor personnel with access to confidential test items, from eligibility for the examination or eligibility for preparing or delivering preparatory courses or materials for a reasonable time after access has ended.

Essential Element E :

Please provide:

- policy (or clause in policy) that asserts that access to individual records are restricted to the applicant, candidate, certificant, or authorized personnel unless express written permission has been obtained to release any part of the information or a court order or other legal process requires the release of such information.

STANDARD 11: CONFLICT OF INTEREST

Essential Element A :

Please provide the form used for Conflict of Interest (COI) agreements for each the following categories for those persons involved in certification decisions or exam development, implementation, delivery, and updating:

- Your staff
- Your Certification Board of Directors
- Your SMEs
- Your certificants
- Your consultants/contracted psychometricians
- COI agreement used by your own or your test vendor's proctors
- COI agreement used by your consultants and test vendor for their employees

Note: You need not submit the signed agreements, just the form used for each category (properly labeled.) Conflict of interest agreements may be combined with confidentiality agreements.

Please provide:

- a list of those who may serve as proctors, examiners, or judges for any examinations, and specify the rules for serving in such a capacity.

Essential Element B :

Please provide:

- a copy of your policies and procedures, and that of your vendors, for recusing the personnel listed in Standard 11 Essential Element A, from certain tasks, discussions, and decisions if there is a conflict of interest in a particular circumstance, but not in their overall capacity to serve.

NOTE: A Master Service Agreement or Service Level Agreement with a vendor that specifically addresses these requirements may be submitted as evidence.

STANDARD 12: SECURITY

Essential Element A :

Please provide:

- a copy of your policies and procedures, and that of your vendors, that address the secure maintenance of your applicant, candidate and certificant personnel information, applications, and scores.

Essential Element B :

Please provide:

a copy of your policies and procedures, and that of your vendors, that contain provisions for secure methods of examination development and maintenance, including item security and examination security.

NOTE: These policies and procedures must include provisions for securing your own and your vendors' physical offices, computers, hardware and software, item banks, and candidate information.

A Master Service Agreement or Service Level Agreement with a vendor that specifically addresses these requirements may be submitted as evidence.

STANDARD 18: EXAMINATION ADMINISTRATION

Provide the following for ALL methods of exam delivery offered.

Essential Element A:

Please provide:

- a copy of your policies and procedures, and that of your vendors, that provide for the administration of your exams under secure and confidential protocols that restricts access to exam content to authorized individuals throughout exam storage, conveyance, administration and disposal.

NOTE: Such policies and procedures must include provisions to hold candidates accountable for improper behavior before, during, and after exam administration.

Please provide:

- the summary of security policies, incident review processes, and disciplinary procedures that you make available to candidates.

Essential Element B :

Please provide:

- a copy of your policies and procedures, and that of your vendors, that provide for the standardized procedures which used for administering your exams that will ensure comparable exam conditions for all candidates and will promote the validity of scores.

NOTE: Such policies and procedures must:

- document and follow standardized exam administration procedures, including verification of candidate identity regardless of the exam delivery or proctoring method, used by you and your test vendor
- establish and document procedures stating what you and your vendors expect of exam administration personnel, and the procedures they use to ensure adherence to these requirements

Essential Element C:

You and/or your vendors must use trained proctors in the proper administration of exams to minimize the influence of variations in exam administration on scores, regardless of the exam delivery method or exam format.

- Please provide your policies and procedures and/or those of your vendors for complying with this requirement.

Note: Such policies and procedures must include the requirement for proctor training which must include the management and reporting of irregularities.

Please provide:

- a copy of the form used for your and/or your vendors proctor agreements. The agreements should include the following provisions:
 - Prohibitions against conflicts of interest and efforts to influence exam results as described in Standard 11, Essential Elements A & B
 - Assurance that approved accommodations have or will be provided
 - An agreement to provide test and candidate confidentiality
 - Confirmation that the proctor has read and agreed to abide by the procedures outlined in the exam administration manual
 - The specifications for site layout and a list of the tools and equipment required for performance exams to ensure standardized administration

Note: You need not submit the signed agreements, just a copy or sample of the form used.

Please provide:

- a copy of your and/or your vendor's proctor examination administration manual

Essential Element D :

Please provide:

- a copy of your policies and procedures, and that of your vendors, describing how you each monitor on-going compliance with examination administration and security procedures.

NOTE: A Master Service Agreement or Service Level Agreement with a vendor that specifically addresses these requirements may be submitted as evidence.