



Operator Qualification Solutions Group:

Easing the Burden of OQ Compliance

Attachment A: Proctoring Procedures

November 16, 2009



Introduction

This document outlines the procedures that should be implemented while proctoring personnel taking OQSG knowledge assessments. Some procedures will vary based upon the situation and environment in which the assessments are performed. The proctor should use his/her best judgment when procedures conflict with or do not apply to the current assessment environment.

Proctor Responsibilities

The main responsibilities of the proctor are as follows:

1. Verify the identity of individuals performing assessments.
2. Verify that Attachment "B" (Employee Acknowledgment and Release) is on file for each individual being qualified.
3. Ensure that personnel performing assessments receive no outside assistance of any kind that would jeopardize the validity of the assessment.
4. Provide appropriate administrative assistance and support to personnel during the assessment process.
5. Ensure that qualification records are properly managed in accordance with client's procedures.

Proctor Recommendations

The following are recommendations that are strongly encouraged by OQSG.

- A. **Establish Assessment Schedule** – In order to minimize the flow of personnel into and out of the assessment location during the assessment process, you should establish an assessment schedule that allows enough time to: 1) verify the identity of each individual, 2) instruct personnel, 3) allow for the assessment and 4) perform post-assessment verification and records management procedures.
- B. **Clearly Mark Entry and Exit Points** - This will allow the proctor to ensure that the assessments are performed in a secure environment.
- C. **Provide Instructions for Using Assessment Application** – In order to help users during the assessment, provide a user reference guide that instructs users on how to use the program.
- D. **Provide Background Information** – Individuals taking these assessments need to know why they are required to take them and the ramifications of a passing and a failing grade. Please review the Proctor Introduction sheet and provide the employees with an explanation of the Operator Qualification rule.



Proctoring Procedures

The following procedures must be used while proctoring assessments for the Operator Qualification Solutions Group unless marked as "Optional".

1. **Post the Assessment Rules in a visible location.** (The Assessment Rules should be reviewed before each assessment period and placed in a location or locations around the room where they can be viewed easily.)
2. **Request government-issued picture identification for each individual.** (The most common forms of identification include: driver's license, passports, and TWIC cards. These forms of ID contain a photo of the individual and other descriptive information that will assist you in confirming the identity of the individual.)
3. **Have each individual sign Employee Acknowledgment and Release form.** (Each qualification candidate must have a signed copy of Attachment "B" to the Proctoring Agreement on file prior to taking any assessment. This copy should be kept at your location and be accessible in the event of an OQSG audit.)
4. **Have each user add signature to a sign-in sheet.** (Keep a sign-in sheet as your proof that an individual came to be assessed on a certain date. This sheet should be stored at your location for record keeping purposes.)
5. **Add users to OQSG assessment application.** (If not performed prior to assessment, the proctor may have to enter the individual as a user into the assessment application and assign covered task assessments accordingly.)
6. **Assign each individual an assessment location.** (OQSG assessments are administered via a computer terminal. Each individual should have his/her own terminal equipped with a mouse and headphones. No more than one person should be at a terminal at one time while the assessments are being administered.)
7. **Introduction.** (The OQSG proctor should give a brief introduction to personnel performing assessments that includes the purpose for the assessments and how the OQ regulation affects the industry and each individual. A sample introduction is included with this document.)
8. **Instruct personnel in proper use of assessment tool upon request.** (The OQSG assessment tool is computer-based and very simple to operate. At this time the proctor should instruct personnel in the proper use of the computer to ensure that personnel are able to properly perform the assessment. The proctor should be well versed in the operation of the assessment by reading through the OQVerify Administrator's Guide.)
9. **Begin assessments.** (If multiple assessments are necessary, allow enough time for an average individual to comfortably take the entire group of assessments. If breaks are given they must be given between assessments, no breaks are allowed while the assessment is in progress. **If an individual fails an assessment, that individual must wait 18 hours or the next calendar day which ever is the longer period before being reassessed.**)
10. **Oversee assessment process.** (The proctor must, at all times, be in a position to witness each individual performing an assessment. Proctors of OQSG validated companies are required to login with their credentials to allow employees to enter assessments. It is not acceptable to be in a different room while the process is being performed unless that room has direct visual and audio access to the assessment location. OQSG recommends that the proctor move about the room in order to check on the progress of users and to maintain constant observation of the candidates.)
11. **Conclude assessment process.** (The proctor should allow approximately 30-45 minutes for the actual performance of the assessments. If an individual finishes early, the proctor can end the session before the appointed time.)
12. **Ensure validity of records.** (The proctor should enter the Administration module to ensure that all assessments have been recorded correctly and that no additional information is necessary.)



PROCTOR INTRODUCTION

Hello, my name is [*Name*] with [*Company Name*]. You are here to perform a knowledge assessment developed by the Operator Qualification Solutions Group (OQSG). These assessments have been developed in response to a Department of Transportation Rule that was enacted in 1999. This rule states that personnel who perform covered tasks on DOT pipelines must be evaluated in order to determine if they are able to:

1. Safely and properly perform covered tasks
2. Identify and respond to abnormal operating conditions

This assessment will evaluate your knowledge through the use of a written test delivered via a computer terminal. The passing score for each assessment is 80%. Not everyone will pass the assessment on the first attempt and failure to achieve a passing score will not jeopardize your ability to perform your job. Individuals who do not achieve the passing score will be trained and reassessed at a later date.

My job is to assist you if you encounter any problems during the assessment process and to make sure that the assessments are administered in a valid manner. I am not allowed to assist you with questions on the assessment, but can assist you with questions regarding the application that you are using.

While taking these assessments you must follow certain rules that the OQSG has prescribed for the assessment process. The rules are posted in the room or located directly to the side of your computer. If any of these rules are violated, I am authorized to end your assessment and invalidate your qualification record for the task in which you were being evaluated. Let's go through the rules now. (Lift a copy of the assessment rules so that others can see it and go through each rule.)

If you have any questions during this assessment, please raise your hand and I will come to your location to hear your question. Now, let's begin.



OQSG Assessment Rules

Please....

- 1. No talking during assessments**
- 2. Raise hand to ask a question**
- 3. No looking at others' computers**
- 4. No notes are allowed**
- 5. No books are allowed**
- 6. No outside assistance is allowed**
- 7. Do not distract others**
- 8. Turn off or set to "silent" all electronic communication devices, including phones & pagers**
- 9. Do not leave your workstation during an assessment**