Insurance Regulator Professional Designation Program Instructions for Examination Proctors

NAIC

National Association *of* Insurance Commissioners

SPECIAL EXCEPTION EFFECTIVE MARCH 2020

General Information and Governance

The mission of the Insurance Regulator Professional Designation Program is to establish and uphold structured, rigorous credentialing requirements through which regulators acquire the necessary knowledge, skills, and expertise in the areas of solvency regulation, market conduct regulation, product regulation, and consumer protection.

To achieve this end, participants in this Program must meet a rigorous set of requirements including the completion of several NAIC Education & Training courses. "Completion" of these courses occurs when the participants a) attend them in their entirety; b) participate fully in all course activities; and c) earn a passing score on corresponding exams. To maintain the integrity of this Designation and the examination process associated with it, we require that examinations be "proctored," meaning that a disinterested party within the Department of Insurance must monitor each exam taken and adhere to specific rules established by the National Association of Insurance Commissioners as well as the Insurance Regulator Professional Designation Advisory Board.

Your role as Proctor

You have received this packet because you were identified as an eligible NAIC Designation Exam Proctor. Proctors must meet five basic eligibility requirements to fulfill this role. They must:

- ✓ *be employed by either the NAIC or by a State Insurance Department.*
- ✓ *be disinterested in the outcome of the exam*. They must not benefit (or appear to benefit) from a Candidate's performance on the exam.
- ✓ *NOT have a reporting relationship with the Candidate taking the exam.* For example, the Proctor may not be the Candidate's supervisor or subordinate.
- ✓ *have easy access to the testing environment*. The testing environment is described in greater detail on the next page.   It generally consists of a quiet, secluded area containing a computer with Internet access. The proctor must be on-site throughout the duration of the exam.

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✓ *be willing to comply with official proctoring rules and responsibilities as outlined in this document.*

Proctors are important to the examination process because they ensure that exams are administered properly and securely. However, they are also responsible for familiarizing Designation Candidates with examination procedures. For that reason, it is critical that Proctors thoroughly understand these procedures before a Candidate reports to the testing site.

Proctor responsibilities

Proctors are responsible for completing four critical administration tasks. The tasks are presented in the checklist below and then explained at length in the paragraphs that follow.

PROCTOR RESPONSIBILITY CHECKLIST

☐ Identify (and reserve, if necessary) a testing site within the Department.

☐ Access the test via the Internet for the Candidate.

☐ Inform the Candidate of testing procedures and rules.

☐ Monitor the Candidate as he/she takes the exam.

Identify a testing site within the Department

Exception: Due to the recent COVID-19 outbreak, exams may be taken remotely, if your State Insurance Departments policy allows remote working options. You and the Candidate must use a video conferencing application and remain live for the duration of the exam. The ideal testing environment is quiet and free of distractions such as ringing telephones, incoming email messages, or people talking. **The environment must also be free of any materials that may provide answers to the test including computer files, texts, Internet resources, other people, notes, PowerPoint slides, etc.** These environmental conditions may be impossible to achieve

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at the Candidate's own workstation or office. For that reason, it may be necessary to secure a different location within the Department.

If more than one Candidate is taking an exam, the testing site should contain multiple computers on which to access the exam. If multiple computers are not available, the Proctor may stagger exams so one Candidate takes the exam at a time. If multiple computers *are* available, it is important to ensure that adequate space exists between computers so that Candidates are unable to see one another's computer screens.   Proctors should avoid assigning Candidates to remote testing sites or to sites within the Department that cannot be monitored at all times. For example, if two Candidates need to take the exam, they should not be assigned to take the exam in separate rooms unless those rooms can be monitored simultaneously by the Proctor. When simultaneous monitoring is impossible, Proctors should stagger exam times. **Exception:** If an exam is being taken remotely, the proctor will monitor only one Candidate at a time.

Inform the Candidate of testing procedures and rules

Candidates whom you are monitoring may have taken NAIC Designation exams before, and if so, will already be acquainted with the testing procedures and rules. Candidates who have not yet taken an exam, however, will need a brief orientation to the process. The on-site Proctor is responsible for providing this orientation. To begin, the Proctor should explain key features of the exam itself, as listed below.

> KEY FEATURES OF THE EXAM
> - The exam is delivered entirely online.
> - Test items are in the form of multiple-choice questions, or occasionally, in the form of true/false statements.
> - The exam is timed. Candidates should expect to spend up to 30 seconds on most test items. Some items, especially those involving scenarios, may take up to 1 minute.

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- The exam is close book. Candidates may not access electronic or hard copy texts or any other material to locate answers.

- The exam is self-contained.   No segment of the exam will require Candidates to conduct research or refer to material outside of the exam.

For a test to be valid, both the Candidate and the Proctor must comply with the NAIC Designation Exam rules presented below.

DESIGNATION EXAM RULES

1. **The Candidate may not take the following items with him or her into the testing site:** cell phones, pagers, Personal Digital Assistants (PDAs), texts, notes, handouts from class, or any other materials. If a Candidate brings one or more of these items with him or her to the testing site, they must be left with the Proctor for the duration of the exam. The Candidate may, if necessary, request a blank notepad and pencil from the Proctor.   The notepad, with any notes written on that pad, must be returned to the Proctor before the Candidate leaves the testing site. **Exception:** If an exam is being taken remotely, the Candidate may not have access to any devices, text, notes, handouts or any other materials that would transfer course information. If a notepad is needed, the Candidate must prove to the proctor that it is a blank pad throughout, with no notes or writing of any kind. It is the responsibility of the proctor to ensure the Candidate adheres to this.

2. The Candidate may not leave the testing site unattended during the exam. If a Candidate must leave the testing site to use the restroom, the Proctor must accompany him or her, and the Candidate may be away from the testing site no longer than five minutes. The Candidate may not leave the site to take or make phone calls, check email messages, communicate with another person, take a break,

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or review study aids. Within the testing site, the Proctor must monitor the Candidate for the duration of the exam. **<u>Exception:</u>** If an exam is being proctored remotely, the Candidate cannot leave the while taking the exam.

3. The Candidate may not talk to other people during the exam.

4. The Candidate may not ask the Proctor questions pertaining to test items or test content. The Proctor may not provide any assistance to the Candidate other than providing access to the exam. **<u>Exception:</u>** If an exam is being proctored remotely, the proctor must provide the exam password to the Candidate verbally only upon the Candidate accessing the exam. **The password should not be written down, emailed or shared by the proctor.**

5. If the Candidate must discontinue the exam for any reason, it should be saved and submitted for a grade immediately and will be graded at the point the student ended the exam.

6. The Candidate will pass the test if he or she achieves a score of at least 70%. Upon completion of the exam the Candidate will be able to see his or her score.

7. The Candidate may take the test two times. If the Candidate wishes to re-take the exam a third time, he or she must contact the NAIC Education & Training Department. A re-take fee will apply.

8. Once the Candidate has submitted his or her exam for a grade, the Proctor must log out of the exam immediately. **<u>Exception:</u>** if taking the exam remotely, the Candidate will completely log out of the exam and notify the proctor upon completion.

9. The exam, completed or otherwise, must not be printed out on paper under any circumstances, nor is it to be stored electronically on a computer outside of the NAIC.

<u>Monitor the Candidate as he/she takes the exam</u>

The Designation Exam Rules listed previously include important monitoring requirements. **<u>Above all, Proctors must watch to ensure that the Candidate is completing the exam without the use of study aids.</u>** If a Proctor becomes aware of any exam irregularities or rule violations,
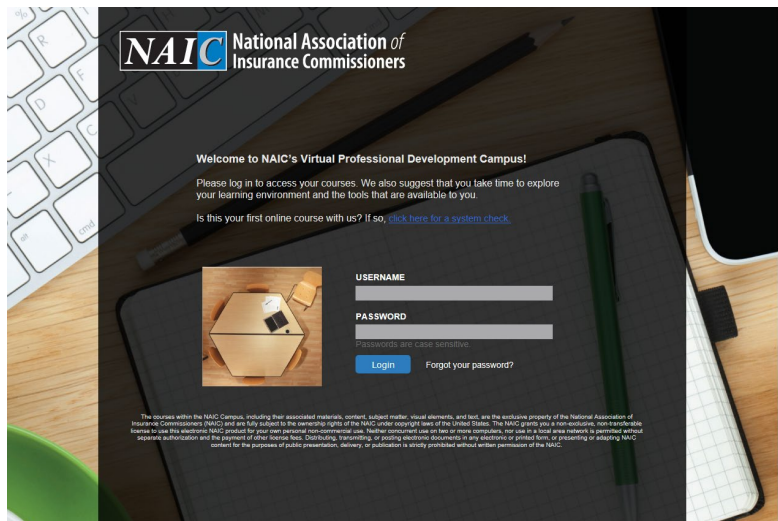
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he or she must inform the Designation Specialist/Education & Training Department immediately. **Exception:** If an exam is being taken remotely, proctors should monitor for abnormalities in the Candidates testing environment such as but not limited to unusual sound or noise; lighting inconsistencies (from cell phone, PDA, etc.); noticeable eye or head movement beyond the Candidate's computer or blank paper.

Insurance Regulator Professional Designation Program
Examination Access Instructions for Candidates and Proctors

Exception: If the exam is being taken remotely, connect to the video conferencing application along with the Candidate.

Candidates will access all exams through NAIC's campus website: https://www.naic-campus.org/.

- ✓ Candidate will enter their username and password.
- ✓ Candidate will click on the appropriate exam from the course listing.

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Proctor should enter password where indicated. **Exception: If the exam is being taken remotely, you should verbally provide the Candidate with the password. The password should not be shared in any way or written down.**

- ✓ Click the "Start quiz" button.
- ✓ Click OK on confirmation pop-up.

Exception: If the exam is being taken remotely,

- ✓ Monitor the Candidate for the duration of the exam. The Candidate must remain visible to the proctor for the duration of the exam.

- ✓ Upon completion, the Candidate should inform you. At which time, your responsibilities are complete. You and the Candidate may end the video conference.