



PROTOCOL FOR ONLINE PROCTORING

pursuant to Section 7.10(3) of the Higher Education and Research Act, adopted by the Executive Board on 18 January 2021 and further amended on 26 October 2021 following consultation with the Boards of Examiners.

WHO IS AUTHORISED TO ESTABLISH RULES FOR ONLINE PROCTORING?

Section 7.10(3) of the Higher Education and Research Act (*Wet op het hoger onderwijs*, hereinafter: WHW) lays down that the management of the institution (= Executive Board) is responsible for the practical organisation of tests and examinations. The Board of Examiners is responsible not only for ensuring the quality of the tests (particularly as regards reliability, validity and transparency) but also for ensuring the quality of the organisation and the procedures surrounding the tests and examinations (Section 7.12b(1)(e) WHW). Ensuring the quality of the organisation and the procedures concerning the tests requires the Board of Examiners to ensure that the actual conduct of the tests is of a sufficient standard of quality, an important aspect being that it must be sufficiently fraud-proof. The Executive Board therefore has primary responsibility and the Board of Examiners has a monitoring role.

It is desirable that common rules within UU be followed with regard to online proctoring. For this reason, on the grounds of its statutory responsibility for the practical organisation of tests and examinations the Executive Board has laid down the rules in the protocol and has not authorised the schools and faculties to design their own rules in this regard. In its independent quality assurance role, the Board of Examiners may intervene if there are insurmountable objections to the way in which testing with online proctoring is to be set up. In their quality assurance role, most Boards of Examiners have indicated that they agree to the protocol.

WHAT IS ONLINE PROCTORING

Online proctoring is a location-independent, digital form of conducting tests, where the student sits the test online at home. Invigilating takes place online with the aid of special software. When using online proctoring, two cameras are used as standard: one on the student's laptop and the smartphone with camera as a second camera. The test is recorded and reviewers watch the recordings afterwards to assess whether there are doubtful moments that must be scrutinised by the examiner and the Board of Examiners. The aim is to guarantee the integrity of the test and the value of the diploma by preventing students from committing fraud.

WHEN IS ONLINE PROCTORING USED?

1. AS A SPECIAL TESTING PROVISION ON REQUEST AND AS A LAST RESORT

Online proctoring can only be used as a special testing provision for students who cannot attend the test on site and for whom there are no alternative possibilities:

1. The principal rule is that the test is held on-campus.
2. If a student cannot attend the test on site due to special circumstances, the student may request the Board of Examiners to proctor the test online. Special circumstances are, for instance, when a student is also a top athlete and has to reside abroad at the time of the test because of this. It may also have to do with health reasons which prevent the student from attending the test on site.
3. The request to take the test via online proctoring must be submitted at least 3 weeks before the test date. If this deadline is not possible due to the nature of the special circumstances, such as having to remain in quarantine because of Covid-19, the request must be made as soon as possible.
4. The Board of Examiners will decide whether special circumstances exist and whether the student will be allowed to take the test via online proctoring. Permission for online proctoring, taken in accordance with this protocol and the privacy statement of UU, is only granted if:



- no alternative forms of testing are available, or alternative measures such as a lighter form of online surveillance.
- in agreement with the director of education it has been determined that the test is eligible for online proctoring.

Schematic:

1. Student requests special testing provision in the form of online proctoring no later than 3 weeks before the start of the test.
2. Student explains which special circumstances make it impossible for him to attend the test on site.
3. The Board of Examinors will evaluate whether special circumstances exist that may lead to granting the request. If desired, the Board of Examiners will take into account the advice of the study advisor.
4. After consultation with the director of education, the Board of Examinors decides whether the test is eligible for online proctoring.
5. The Board of Examinors will determine in consultation with the examiner whether alternative forms of testing are available or alternative measures such as a lighter form of online surveillance.
6. The Board of Examinors decides on student request and informs student and educational organisation about this.

WHEN IS ONLINE PROCTORING USED?

2. AS A LAST RESORT IN THE EVENT OF LOCKDOWN

Online proctoring can only be used if there are no alternative options:

1. The principal rule is that the test is held on-campus.
2. If the test cannot be held on-campus, alternative forms of testing will be considered. This is preferable to rescheduling the test: that way any delay in the student's studies can be avoided. Examples why a test cannot be held on-campus are:
 - o the student is abroad;
 - o there is insufficient space on-campus, due to government measures in connection with COVID-19;
 - o the health of the student does not allow this; or
 - o the student may not travel to the campus due to a lockdown or quarantine.

Possible alternatives:

- a. Another form of testing is possible to test the learning goals of the course, such as open-book exams, take-home exams, essays, an oral test, interim tests by means of assignments, formative assignments, etc.;
 - b. There are alternative measures to prevent fraud, such as: a lighter form of online invigilation; setting a short time limit to complete the test (although this must not cause too much stress or lead to time issues for the student); after the test, randomly selected individual video interviews on the test; conducting several variants of the test, so that the students do not have the same order or an identical (although comparable) series of questions.
 - c. If the alternatives described under a and b do not provide an acceptable solution, alternative 3 can be chosen:
3. Online proctoring, conducted according to this protocol and the UU privacy statement.

Teaching staff can ask the Vice Dean of Education (through the Director of Education) whether a test can be considered for online proctoring. The Vice Dean of Education will decide, on behalf of the Dean, which tests will be conducted with online proctoring.

Students will be informed at least two weeks before sitting the test if that test will be subject to online proctoring. If a student has compelling objections to sitting the test via online proctoring, that student will be offered an alternative or another solution will be sought. The student must

inform the course coordinator of such objection no later than five days before the test is scheduled.

WHEN IS ONLINE PROCTORING USED?

3. FULLY ONLINE COURSES

For fully online courses, such as the postgraduate master Epidemiology, the testing can be programmed online rather than as a special testing provision at the student's request. A condition for the use of online proctoring in online courses is that no student during the course of the programme is tested solely by means of online proctoring. There must always be a well-considered balance for all learning outcomes of the programme, between multiple forms of testing, including, for example, test forms such as essays, presentations, oral questioning and assignments. This means that there must be an agreed testing policy between the education director and the examination committee in which the position of online proctoring for the entire programme is included.

FRAUD

Behaviour that is deemed to be fraudulent at an on-campus test is also deemed to be fraudulent in an online proctored test. Ultimately the Board of Examiners will decide whether there has been fraud that results in the test being declared invalid and a sanction being imposed.

Article 5.14 of the Education and Examination Regulations defines what constitutes fraud: fraud and plagiarism are taken to mean acts or omissions of students, as a result of which it is not or only partially possible to make a correct judgment about their knowledge, insight and skills.

Fraud includes:

- cheating during the test. The individual that provides the opportunity to cheat is an accessory to fraud;
- possessing during the test (i.e. wearing or having on one's person) aids (pre-programmed calculator, mobile phone, smartwatch, smart glasses, books, syllabuses, notes, etc.), the use of which is not explicitly permitted;
- having others complete all or parts of a study assignment and passing it off as the student's own work;
- gaining possession of the questions, assignments or answers to the test before the scheduled date or time of the test;
- inventing questionnaire or interview answers or research data;
- wrongly ticking off (or having a third party tick off) attendance lists;
- making or attempting to make technical changes that undermine the proctoring or assessment system;
- sharing answers with others while sitting a test;
- obtaining the help of third parties during a test.

IRREGULARITY

If the conditions under which the test has taken place prove to be such that the Board of Examiners has an inadequate insight as to whether or not the student has been able to commit fraud, the Board of Examiners may declare the test invalid. In that case, the circumstances must be such that the Board of Examiners cannot establish whether the test was conducted correctly. Such cases do not constitute fraud (after all, it cannot be ascertained that fraud was committed), but an irregularity.

Examples of these could be:

- the student is hardly visible at all on the recording because the room is not adequately lit;
- no recordings were made of a large part of the test;
- the student is not in view of the webcam for part of the test; etc.

Reviewers examine the recordings afterwards and assess whether there are doubtful moments that must be scrutinised by the examiner and the Board of Examiners. Ultimately the Board of Examiners will decide:

- a. whether the test is valid,
- b. whether there is any irregularity that results in the test being declared invalid,
- c. whether there is fraud that results in the test being declared invalid or sanctions potentially being imposed.

If the Board of Examiners declares the test invalid due to an irregularity, no sanction will be imposed. This will only happen if the Board of Examiners actually establishes fraud.

If a test is declared invalid, the decision to give a student the opportunity to resit the test will depend on the situation:

1. Situations outside the student's control which are the responsibility of the university (such as a technical or other breakdown or emergency at the university or at the proctoring organisation): a new test will be scheduled as soon as possible.
2. Situations that are not at the student's risk and expense, because of a situation outside the student's control that the student reports during the test: the student can then request another chance.

The intention is for the student to report breakdowns in the chat and/or in the stipulated manner. This applies not only to breakdowns of systems (Wi-Fi or computer), but also to interruptions such as persons entering the room, pets demanding attention, surrounding noise, etc.

3. Situations that are at the risk and expense of the student (if the student does not comply with the instructions and the 'do's and don'ts'): another chance will not be given.

The following situations constitute irregularities at the risk and expense of the student:

- a. The images are unclear due to poor lighting of the room.
- b. Others enter or are present in the room. The student must be alone in the room.
- c. The student is not in view of the webcam all the time during the test and is not always audible via the microphone. The equipment required for online proctoring must be switched on while sitting the test. It is not permitted to go to the toilet, unless breaks have been included for this purpose or permission has been granted on an individual basis.
- d. Sounds can be heard. Talking or singing is not permitted. Sounds caused by such things as music or a television are also not permitted. The room must be as quiet as possible.
- e. The student looks at other objects or away from the screen for a prolonged period.
- f. The student is not sitting at an empty desk or an empty table. Only materials that the test paper explicitly states are permitted may be present on the student's desk and may be used during the test. The permitted aids may not contain any notes, unless the test states that notes may also be used during the test.
- g. The student uses earphones or headphones. This is not permitted, unless the examiner has decided otherwise. Disposable earplugs are permitted if they are shown to the webcam before the start of the test.
- h. The student eats or drinks during the test. It is only permitted to drink water from a transparent glass or bottle. Ensure you have eaten and drunk enough before the test.
- i. Printed matter or written texts are in the student's surroundings (floor, ceiling, etc.) unless the examiner has determined otherwise.
- j. Instructions by the examining organisation or examiner are not followed.
- k. Screen images are made by the student.



EMBEDDING IRREGULARITIES IN THE BOARD OF EXAMINERS' REGULATIONS

In order for the authority to declare a test invalid in the event of an irregularity also to be embedded in the formal regulations, the following is added to the model regulations of the Boards of Examiners:

art. 4.3a – declaring online proctored tests invalid in the event of irregularities

1. The Board of Examiners may declare an online proctored test of one or more students invalid if during the test there has been insufficient insight in the possibility of fraud, or if circumstances have been insufficiently fraud-proof.
2. If the situation referred to in the first paragraph is the result of an irregularity that is at the risk and expense of the student, the student will not be given another chance. If a situation arises outside the student's control that the student reports during the test, the student may request another chance. If the situation is at the risk and expense of the university, a new test opportunity will be scheduled.
3. An irregularity at the risk and expense of the student exists if the student has not followed the instructions for the online proctored test.

NETIQUETTE

The same standard of behaviour applies online as in normal life. An example of this is wearing respectable clothing when sitting the test. Failure to follow standards of netiquette cannot result in the test being declared invalid or a sanction being imposed.

PRIOR TO THE ONLINE TEST – INSTRUCTIONS FOR STUDENTS

Students:

1. must have a properly functioning laptop or computer with camera and microphone, a smartphone with camera and a stable internet connection. If students make it known in good time that they do not have sufficient facilities available to them, the university will make these available;
2. are responsible for ensuring that, if applicable, the programs they need during the test are installed on their laptop or computer;
3. must arrange for a suitable room for the test (relatively empty, quiet, well lit, possibly also lockable to prevent other persons entering);
4. make a partial room scan as instructed prior to the test;
5. are required to follow any instructions given by the testing organisation, the invigilator and the examiner;
6. must use their identity document to confirm their identity. It is recommended obscuring the citizen service number (BSN) for privacy reasons.

Failure to comply with these obligations may lead to the student being unable to take or barred from taking the online test / to declare the test invalid.

AFTER THE ONLINE TEST – REVIEWER AND BOARD OF EXAMINERS

REVIEWER:

1. After the online proctored test has been conducted, the reviewer will assess how the test went. To do this, the reviewer will view the recorded information. This is therefore not an assessment of the test itself, but an assessment of the way in which the test was conducted.
2. The reviewer will assess this based on the information recorded by the camera and microphone, and the recorded use of the clipboard function, mouse, browser, tabs, screen, all websites that were visited and all other open applications and screens connected with your computer.



3. A suspicion of irregularity or fraud will be passed on by the reviewer in the form of an official report to the examiner and the Board of Examiners.

EXAMINER:

1. The examiner who suspects fraud while checking the test or after the test will report this to the Board of Examiners and the student.

BOARD OF EXAMINERS:

1. The Board of Examiners will investigate the reports of a suspicion of irregularity or fraud, and establish whether there has indeed been an irregularity or fraud.
2. The Board of Examiners is authorised to declare the test invalid in the event of irregularities or fraud.
3. The Board of Examiners will punish fraud by applying the provisions in the Education and Examination Regulations.
4. In the event of actual or suspected irregularities or fraud, the proctored information collected via the test system will be kept during the period required to reach a definitive judgement on the legitimacy of the result of a test and the decision of the Board of Examiners (including the period during which legal proceedings are conducted).