



Procedural Guidelines for Examinations and Proctoring

Endorsement and Approval		Signature
Prepared & Documented by	Interim Head, Office of Academic Integrity	
Reviewed and Approved by	Provost	
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1. Purpose:

- 1.1 To provide guidelines for the process of examinations and proctoring to minimize the violations of the Academic Integrity Policy

2. Scope of Application:

- 2.1 Examinations and proctoring

3. Process Owner:

- 3.1 The Office of Academic Integrity (OAI)

4. Process Contributors

The OAI, Deans Council, Academic Council, and University Council

5. Process:

Procedural Guidelines for Examinations and Proctoring

I. Introduction

The content and particulars of examinations are decided by faculty members and communicated to the proctors and other concerned individuals such as IT staff. In the examination process, the overriding responsibility of the Office of Academic Integrity (OAI) is to ensure the integrity of the examination processes. This responsibility is discharged through overseeing the proctoring activities to minimize the violations of the Academic Integrity Policy (AIP).

The responsibility for providing proctors to administer examinations rests with colleges and academic units. In the event of shortfalls, the OAI will arrange for additional proctors to meet the needs of colleges and academic units.

In general, the OAI oversees the following proctoring-related activities:

- Scheduling of assignments,
- Selecting and retaining proctors, and
- Providing the necessary information and support.

The *Procedural Guidelines for Examinations and Proctoring* are described in the following sections. It is the responsibility of faculty members and proctors to be familiar with these rules and comply with them.

II. Personal and Professional Attributes of Proctors

The main role of proctors is to ensure that the exams are administered with utmost integrity, in suitable environments, and consistent with applicable rules and procedures. In all instances, proctors should possess the following attributes:

- Good reputation,
- Trustworthiness,
- Ability to take a supervisory role in the administration of examinations,
- Commitment to full-adherence to the proctoring rules and procedures,
- Lack of conflict of interest, both "in fact" and "in appearance," and
- General knowledge of education and outcome assessment processes.

III. Types of Examinations

The content and particulars of examinations are decided by the instructors. Irrespective of the type of examination, and to minimize the possibility of students' violations of the *Academic*

Integrity Policy (Appendix 1), faculty members are requested to prepare more than one version of an exam (this could be done by simple rearrangement of the questions or changing numbers in the exercises, etc.). In addition, all examinations should have the standard *Exam Cover Sheet* (Appendix 2).

Examinations at ADU can be either “closed book” or “open book.” In “closed book” examinations, access to all materials related to the course is strictly prohibited, unless the materials are provided by the instructor (e.g., a formula sheet). In “open book” examinations, students are allowed to have access to all materials, with the exception of those specifically prohibited by the instructor. In the absence of any specific information, examinations are to be considered as “closed book.”

IV. Types of Proctors

Typically, two types of proctors are jointly responsible for ensuring the integrity of the examination process.

- Proctor – the person responsible for monitoring exam-taking activities to ensure compliance with applicable rules and procedures.
- Roving proctor – the person representing the college and responsible for all examinations in any given examination time slot. The roving proctor is responsible for overseeing the activities of all proctors and addressing any issues of concern.

V. Assigning Proctors

The scheduling of final examinations is the responsibility of the Office of the Registrar. The responsibility of the OAI is the assignment of proctors which is done in collaboration with the colleges. The OAI also provides the proctors with the scheduled assignments and other relevant information.

VI. Proctoring Duties

The specific duties of the proctors are classified into three phases as described in the following sections:

A. Pre Examination -- The smooth and efficient start of any examination sets the tone for the rest of the exam session. Thus, the objective of the Pre Examination duties is to ensure examinations start without glitches and to minimize the possibility of the last minute surprises. In this phase, the proctors should:

1. Be available in the examination rooms 20 minutes before the start of the examination.
2. Rearrange the chairs to create physical separation between seats.
3. Keep the examinations in a secure place while preparing for the start of the exam.
4. Review each examination information sheet for special requirements requested by the instructor.

5. Allow students into the examination room ten (10) minutes before the exam time.
6. Ensure random seating of students as they enter the classroom and take-up seats.
7. Request each student to display valid Student ID (other valid IDs with photo such as Passport or Driving License may be acceptable).
8. Instruct students to put away all unauthorized materials, including mobile phones and other electronic devices in front of the classroom and away from where they are seated.
9. Review with students major items that constitute cheating (e.g. speaking, exchanging information, accessing unauthorized materials such as mobile phones, etc.).
10. Ensure each student receives the correct version of the exam.
11. Place the examination papers in front of students, faced-down, and one-by-one.
12. Instruct students not to preview the exam before the official starting time.
13. Announce the start of the examination, write the time of the examination on the whiteboard (e.g., exam duration two (2) hours, starting time 09:00 a.m., and finishing time 11:00 a.m.), and adjust the finishing time, if necessary (e.g., exams starting with some delays require finishing time to be extended to compensate for the delay).
14. Start the exam.

B. During Examination -- The most important objectives of this phase of proctoring, in the order of importance, are as follow:

1. Preventing conducts that are violations of the provisions of the AIP (e.g., cheating), and
2. Detecting acts of violations of the provisions of the AIP (e.g., catching cheating activities).

Prevention -- The continuous vigilance and engagement of proctors are the two necessary conditions to prevent violations.

Detection of Violations – In instances where direct evidence of violations exists (e.g., students' using and/or possessing handwritten or electronically stored course related materials), the proctor should take the following actions:

1. Approach the student.
2. Collect the Student ID and the examination papers.
3. Secure the evidence of violation such as handwritten notes or electronic devices.
4. Notify the instructor of the course or the roving proctor.
5. Complete and submit to the OAI the *Exam Violation Documentation Form* (Appendix 3), along with the evidence of cheating (e.g., notes, mobile phones, or other electronic devices).
6. Notify the roving proctor and/or the representative of the OAI, in cases of non-cooperating students.

In instances where the violations of the AIP are suspected, but no direct evidence is observed, students should be allowed to complete the exam. However, once the exam is completed,

student's exam papers should be marked as "suspected case of cheating," the instructor of the course notified, the *Exam Violation Documentation Form* completed, and the case referred to the OAI.

In addition to the above broad guidelines, proctors need to follow specific rules during examinations, as outlined below:

1. Ensure unauthorized electronic devices are kept away from the proximity of students.
2. Remind students that any violations of the AIP will result in the ejection of students from the examination room.
3. Instruct students to read and sign the "Warning Section" on the top of the *Exam Cover Sheet*.
4. Circulate "Attendance Sign-Up Sheet" to collect students' signatures.
5. Count the number of students to ensure it matches the number of signatures on the "Attendance Sign-Up Sheet."
6. Verify the identity of students by examining their IDs.
7. Inform students about the time remaining for the completion of the exam at regular intervals (e.g., every 30 minutes).
8. Prevent students to enter the examination room after 30 minutes from the start of the exam. In these cases, the *Non-Admitted Late Comers Notification Form* (Appendix 4) should be completed and submitted to the OAI.
9. Prevent students to leave the examination room prior to 40 minutes from the start of the exam.
10. Allow for complete duration of the exam time (e.g., if exam started 10 minutes late, allow additional 10 minutes at the end).
11. Prohibit use of any unauthorized materials or resources unless specifically allowed by the instructors.
12. Monitor students to ensure they are focused on completing the examination.
13. Encourage "wondering" or "restless" students to focus on the exams, preferably through non-verbal means (e.g., asking the question of "is there anything I can do to assist?").
14. Dissuade students contemplating violations of the AI rules, preferably by non-verbal means (e.g., walking towards them and standing in their close proximity).
15. Prevent students from copying the exams' questions.
16. Maintain a physical presence at all times by walking around and paying close attention to students' behavior and conduct.
17. Ensure students are comfortable during examinations (e.g., ensure the room temperature is proper).
18. Respond to any special needs that may arise during examination (e.g., address the needs of a student that falls ill, suffers from substantial anxiety, or appears to be under undue stress).
19. Arrange for escorting of students to restroom facilities.
20. Monitor students' conduct while on emergency break (e.g., using the restrooms).
21. Beware of unusual activities and be alert to attempts of cheating.
22. Enforce the following exam-taking rules:

- a. No talking between and among students,
- b. No answering of questions by students or proctors,
- c. No exchanges of any kind of materials between and among students, and
- d. No change of seats unless for valid reasons and with the consent of the proctor.

C. After Examination -- The most important objectives of this phase of proctoring are to:

1. Finish the examination on time and orderly.
2. Secure the completed examination papers.
3. Turn over the lab to the IT staff, in lab-based examinations.
4. Deliver completed exams to the representative of the college or the roving proctor.
5. Prepare and sign any necessary reports.
6. Make the room ready for the next exam.

The following rules are designed to achieve the above objectives, while minimizing the possibilities of any irregularities.

1. Alert students 15 minutes prior to the end of the exam.
2. Inform students five (5) minutes prior to the finishing time of the examination and remind them that no extra time can be provided.
3. Ensure that the exam finishes on time and that all students stop writing.
4. Ensure students remain seated until the proctor collects the examination papers.
5. Collect examination papers from students, one-by-one.
6. Account for the total number of exam copies by counting completed exam papers, matching the numbers against the number of students on the "Attendance Sign-Up Sheet," and the head count.
7. Validate the completeness of total copies of the exam (i.e., exams taken plus excess copies should be equal to the number of copies originally received).
8. Contact the IT staff to secure the lab for the lab-based examinations.
9. Remind students to collect their personal belongings.
10. Turn-over all the completed and unused/extra examination papers to the instructor or the college representative or the roving proctor.
11. Return all the proctoring materials (e.g., pens, pencils, extra papers, staplers, markers, etc.) to the college representative or the representative of the OAI.
12. Handover any items left behind by students to the Security Officer or the OAI Representative.
13. Clear the instructor desk of all leftover materials.
14. Sign the necessary forms and leave the examination rooms.

VII. Procedures for Suspected Violations of the AIP

Where direct evidence of suspected violations of the AIP exists, exam papers are confiscated, any evidence of cheating (e.g., notes, mobile phones, or other electronic devices) secured,¹ the student ejected from the examination room, and the case reported to the OAI for investigation. All students found guilty of violating the AIP (i.e., cheating) will be dismissed from ADU. According to section IA of the AIP, examples of cheating include but are not limited to:

1. Copying answers from notes such as those written on the body, clothing, pieces of paper, or stored in the memory of electronic devices such as mobile phones, calculators, etc.,
2. Possession of unauthorized materials such as notes in all forms, including those saved in electronic devices,
3. Providing help to other students through whatever means,
4. Assisting or facilitating violations of the provisions of the AIP by other students, and
5. Hiring a surrogate test taker.

In instances where the violations of the AIP are suspected but no direct evidence is observed, students are allowed to complete the exam. However, once the exam is completed, students' exam papers should be marked as "suspected case of cheating," the instructor of the course notified, the Exam Violation Documentation Form completed, and the case referred to the OAI.

In all instances of suspected violations of the AIP, students must fully cooperate with the proctor. Any failure to follow instructions limiting the proctor's ability to collect the evidence of suspected violations (e.g., securing the mobile phones, electronic devices or written notes) will be construed against the students.²

VIII. Summary

The particulars of examinations are decided by the instructors and communicated to the proctors and other concerned individuals such as IT staff. Irrespective of the type of examination, and to minimize the possibility of students' violations of *Academic Integrity Policy*, faculty members are requested to prepare more than one version of an exam. In addition, all examinations should have the standard *Exam Cover Sheet*.

¹ In the instances where the course related materials are stored in the memory of mobile phones or other electronic devices, the related files will be retrieved by the staff of the IT Department and turned over to the OAI to be used as evidence. The said device/s will be returned to the student after retrieving the evidence.

² Students who refuse to turnover their mobile phones or other electronic devices suspected of containing unauthorized course related materials for investigation will be subject to additional disciplinary actions, unless they sign a statement admitting that the electronic device contains unauthorized course related materials. The signed statement of admission will be used as the evidence supporting the allegation of the violation of the AIP.

Examinations at ADU can be either “closed book” or “open book.” In “closed book” examinations, access to all materials related to the course is strictly prohibited, unless the materials are provided by the instructor. In “open book” examinations, students are allowed to have access to all materials, with the exception of those specifically prohibited by the instructor. In the absence of any specific information, examinations are considered to be as “closed book.”

Examinations are stressful for students. Students’ anxiety during examinations is often more severe than the proctors can appreciate. For this reason, all efforts should be made to provide for a relaxing environment.

The following guidelines should prove useful in reducing the level of anxiety and tensions.

- Ensure students’ mobile phones and other electronic devices are kept in front of the classroom and away from where they are seated.
- Reach out to students seeking assistance.
- Use Professional Attire (Appendix 5).
- Engage, through non-verbal means, students that might not be focused.
- Avoid any form of confrontation with students.
- Maintain a calm and reassuring posture.
- Speak with low tone of voice.
- Avoid talking with other proctors.
- Avoid doing other tasks such as grading, reading, computing, etc.
- Monitor movements without attracting attention of the students (i.e., do not fixate on any one student).
- Let students feel your presence at all time.
- Maintain a serious attitude.
- Contact the roving proctor when needed.
- Have access to critical phone numbers (e.g., Business Support and Facilities, Security, Roving Proctor, and the OAI Representative).
- Be pleasant.
- Wear a smile.

IX. Procedural Guidelines Through Distance learning process

The operational activities of the Office of Academic Integrity (OAI) during the Distance Learning focuses on three main areas:

1. Raising Awareness
2. Prevention and Deterrence
3. Compliance with the Academic Integrity Guidelines

Raising Awareness

1. Providing all faculty and staff members with the relevant information and requesting the discussion of the Academic Integrity (AI) Guidelines through the Distance Learning Process in their classes. <https://youtu.be/zKua9vw3wcw>
2. Providing all students with relevant information of AI Guidelines through Distance Learning Process and highlights of steps to avoid AI violations. <https://youtu.be/ys4x7aRYDQs>
3. Offering AI Information Sessions to all Faculty members. The Information Sessions shed the light on AI violations, use of Respondus Lockdown Browser in exams to deter and control cheating, and use of Turnitin software to deter and control plagiarism.
 - a. Faculty Guide to Post-Online Proctoring Review
 - b. Turnitin Instructor's Administration Guide
4. Providing AI video orientation in both English and Arabic Languages to all sections of courses taught by the CAS with the objective of capturing the new students. The AI videos focus on educating new students about AI Guidelines and providing information about different AI violations and how to avoid them.
 - a. English video: <https://web.microsoftstream.com/video/2a89d179-13ad-4e01-b741-1003635da860>
 - b. Arabic video: <https://web.microsoftstream.com/video/1b7e771f-c2a7-4348-8bc6-1210ed9c6bd5>

Prevention and Deterrence

In preparation for final examinations, the following initiatives are taken to prevent and deter AI violations: (*ADU used the software of Respondus Lockdown Browser through Blackboard to provide camera-proctored exams).

1. Sending emails in English and Arabic Languages to all ADU faculty and staff regarding the final examinations and the related issues, including highlights of most important topics relevant to the final exams and the ways to prevent/deter violations of AI Guideline during the Distance Learning process
 - a. Post-exam Guide
 - b. Procedural Guidelines of Online Assessments in Distance Learning – English
 - c. Procedural Guidelines Arabic of Online Assessments in Distance Learning Arabic
 - d. Online Exams Instructions to Students - English
 - e. Online Exams Instructions to Students - Arabic
2. Sending emails in English and Arabic Languages to all students explaining rules related to the final examination guidelines delineating their responsibilities.
 - a. Procedural Guidelines of Online Assessments - Student's Responsibilities - English
 - b. Procedural Guidelines of Online Assessments - Student's Responsibilities - Arabic

Compliance with the Academic Integrity Guidelines

Each reported case of AI violations undergoes a thorough adjudication process in accordance with the relevant Procedural Guidelines which involve seven stages as outlined below:

1. Receiving reports of the violation/s and requesting supporting documentations,
2. Collecting and analyzing the evidence by reviewing the Respondus Lockdown Video,
3. Holding discovery phase meeting with the student,
4. Holding the first committee meeting to evaluate the evidence and reach a decision,
5. Holding appeal committee meeting, where applicable, to reevaluate the evidence and review the decision of the first committee,
6. Submitting certain cases to Senior Management for special considerations, when applicable, and
7. Conducting all the necessary communications to the concerned parties.

Appendix 1:

Please refer to the Academic Integrity Policy

Appendix 2: Exam Cover Sheet

Exam Cover Sheet

CHA-OAI-002-F01

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WARNING

Possession of smart phones or other electronic devices during the exam is a violation of the Academic Integrity Policy and subjects the student to dismissal from ADU.

Students: _____

Signature of

Student Name

Student ID No.

Course Code and Title

Course Instructor

Course Section

Date and Duration of the Exam

Exam Type (open/ closed book)

Additional Materials Allowed

Instructions to Students:

- You must put your ID on the desk in front of you.
- You must sign the Warning Section on the top of this Exam Cover Sheet.
- You must sign the attendance sheet.
- You must not cheat: do not copy from another paper, ask for or give assistance, or carry any documents related to the exam. Any violation of the rules will result in your ejection from the examination room and dismissal from ADU.
- If you have a question, raise your hand and wait until the proctor acknowledges you.
- Roving Proctors, if exist, will visit your class at regular intervals.
- You should respect proctors who will have the authority to dismiss you out of the exam room if you misbehave.
- You should keep your eyes on your own paper.
- You are not allowed to take the examination paper out of the examination room, or take photos of the papers.
- You should not leave your seat without permission from the proctor.
- You are not allowed to hand in your answer scripts until 40 minutes have elapsed after the commencement of the examination.
- When you finish the exam, raise your hand and wait until the proctor acknowledges you and takes your exam paper.
- Students must leave the room quietly.

Appendix 3: Exam Violations Documentation Form

Exam Violations Documentation Form

CHA-OAI-001-F02

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Campus: _____ Semester: _____

Exam Room no. _____ Date: _____

Time: _____ Course Code: _____

Name of Instructor: _____ Section: _____

Name of the Student _____ Student ID Number _____

Description of nature of alleged offence:

Description of action taken:

Description of student reaction:

Description of evidence collected:

Proctor 1 Name _____ Signature _____

Proctor 2 Name _____ Signature _____

Roving Proctor Name _____ Signature _____

Security staff Name _____ Signature _____

Appendix 4: Non-Admitted Late Comers Notification Form

Non-Admitted Late Comers Notification Form

CHA-OAI-001-F03

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Campus: _____ Semester: _____

Exam Room no. _____ Date: _____

Time: _____ Course Code: _____

Name of Instructor: _____ Section: _____

Name of Student: _____

ID: _____

Reason for coming late:

Proctor 1:

Name: _____ Signature _____

Proctor 2:

Name: _____ Signature _____

Additional Remarks: _____

Appendix 5: ADU Official Dress Code

The University of Abu Dhabi Standards for Professional Appearance and Dress

The University expects that employees' appearance, personal hygiene, and dress will be neat, clean and appropriate to the function they perform at the University. Out of respect for and with deference to the customs, traditions and sensibilities of the people of the United Arab Emirates, and for purposes of clarifying appropriate standards for professionalism at The Abu Dhabi University, the following are made a part of the staff policies:

Male Staff

Long- or short-sleeved dress shirts with tie during the fall and spring terms. Similar dress shirts or collared polo shirts without ties may be worn during summer term (no tight fitting shirts or T-shirts please). Coats/blazers are encouraged, but not obligatory. Dress trousers/pants (no jeans, sweat pants or shorts please). Dress shoes should be worn at all times (no sneakers/athletic shoes please). UAE National attire is allowed for UAE Nationals or Arab Muslim staff/ with sandals. Excessive embellishment with jewelry, etc. is discouraged.

Female Staff

Long- or short-sleeved blouses during fall and spring terms. Similar dress blouses or collared polo shirts may be worn during summer term (no tight fitting blouses or T-shirts please). Coats/Blazers are encouraged, but not obligatory. Dress trousers/pants or below the-knees skirts (no jeans, shorts or tights please). Dress shoes should be worn at all times (no sneakers/athletic shoes please). Official UAE National attire is allowed for UAE Nationals or Arab Muslim staff/ with sandals. Excessive embellishment with jewelry, etc. is discouraged.

(Ref: ADU Employee Manual)

6. Related Records:

Reference Number	Record Name	Retention Period	Location
Executive Order No. 639	Academic Integrity Policy	Archived indefinitely online by document history in Policies repository SharePoint site - aduportal	Policies repository on aduportal SharePoint controlled by Administrative and Policy Officer - Office of the Vice Chancellor

7. List of Amendments:

Issue #	Page #	Amendments	Date	Approved By
1	-	Initial Issue		
2	13	Incorporate the updated OAI Policy		
3	23	Removal of the clause "Containing course related materials" in the Warning section		
4	11	Additional Information Regarding AI Procedure through Distance Learning Process	6 January 2021	Provost

8. Process Measures (Performance Indicators)

9. Exceptions

For any conditions/circumstances and/or exceptions outside the conditions stated in this procedure, a request shall be presented to either Vice Chancellor or Provost for treatment. Either one will advise on what level of approval is required based on the risk involved in approving the exception. The highest authority to address major exceptions is the Chancellor whom will be recommended by the Vice Chancellor or Provost depending on the nature of the procedure.