Guidelines on conducting written and oral examinations online

As of: 4 July 2022

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General information

Since the beginning of the summer semester 2022, University operations have largely been taking place in person again. The special regulations that had thus far been in place due to the state of pandemic are therefore no longer applicable for the summer semester 2022 to a great extent. In particular, conducting examinations online is now only permitted if stipulated in the relevant subject-specific examination regulations or, in some cases, in accordance with the regulations for the implementation of the Corona Epidemic University Ordinance (*Corona-Epidemie-Hochschulverordnung*; CEHVO) provided that an examination that is to be taken in full or in part in the summer semester 2022 belongs organisationally to an earlier semester, starting from the summer semester 2020. The latter also applies for the free-attempt regulation.

Pursuant to Section 8 (1) of UDE's regulations for the implementation of the CEHVO (current German version: here), the examination formats defined in Section 14 (6) of the General Examination Regulations (RPO) for Bachelor's Degrees and in the subject-specific examination regulations can also be conducted in electronic form or using electronic means of communication with regard to examinations to be taken in full or in part in the summer semester 2022 that belong organisationally to an earlier semester, starting from the summer semester 2020. The module coordinator will take the relevant decisions in consultation with the examiners.

The processing of personal data for the purpose of properly conducting an examination is governed by the stipulations of Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (GDPR), and the North Rhine-Westphalian Data Protection Act (DSG NRW). The inclusion of provisions regarding data protection is a result of an amendment to the Higher Education Act (Section 64 (2) Sentence 3 of HG NRW) according to which it is strictly necessary that regulations allowing a university to conduct academic examinations in electronic form or via electronic communication (online examinations) contain stipulations on data protection. This addition is not expected to affect the way examinations are conducted since the provisions of the GDPR and the DSG NRW also immediately applied in previous semesters without a corresponding stipulation having to be included in the relevant regulations.

Please find a proposed text for information on the processing of personal data below (*see the end of this document*).

The provisions specified above have been applied to the examination regulations for master's degree courses at UDE accordingly – see Section 16 Sentence 1 of UDE's regulations for the CEHVO (current German version: here).

Please find essential information from an organisational, technical and legal perspective below (including the necessary steps to be taken and contact persons for support for the relevant activities), as well as references to further didactic information regarding examination tasks, taking into account overall central conditions and regulations in the context of the pandemic. These guidelines were agreed within the task force for teaching and learning and will be revised as required.

Notifying the Examinations Office

Pursuant to Section 8 (2) of UDE's regulations for the implementation of the CEHVO (current German version: here), students must be informed of changes to the format of an examination **two weeks** before the examination date at the latest with regard to examinations that belong organisationally to an earlier semester, starting from the summer semester 2020. In order for such information to be communicated in due time, another **three working days** must be allowed for processing at the Examinations Office.

Therefore, the person responsible for the relevant course at the Examinations Office must be informed first to ensure that the examination format is changed in the system and students receive an automatic notification of the format change (by email). The updated examination format and, if specified, the system used for the examination will then be displayed to students in the campus management system. Please find the person responsible for the relevant course at the Examinations Office here: https://www.uni-due.de/verwaltung/pruefungswesen/studiengaenge.shtml

With regard to the examinations previously described, the specific type of examination can only be changed once per semester for each examination date (Section 8 (3) of UDE's regulations for the implementation of the CEHVO; current German version: here).

Online written examinations

General information

An **examination log** must be compiled for each online written examination. The examination log is to be sent to the Examinations Office along with documentation on noteworthy incidents within three days after the relevant examination. A digital examination log form is available from the Examinations Office.

When composing varying examinations (e.g. through randomisation), it must be ensured that the different examinations set for different candidates are equivalent. This applies in particular to different examinations set for different cohorts.

In Moodle, online written examinations should only be realised using the 'Quiz' activity ('*Test*' in the German version of Moodle) if at all possible as this allows automatic marking for various types of questions. In addition to Moodle, the LPLUS and JACK systems are also available for online written examinations. In particular, the information on marking and retention (see below) refers to the 'Quiz' activity.

Didactic notes

When designing online written examinations, please bear in mind that their purpose is to assess the competencies that students have developed during the relevant classes. Therefore, the tasks in the examination should be appropriately connected to the predefined learning outcomes and the teaching and learning process (activities and content) of the classes (see the constructive alignment model, for example; information on the linked website is in German only).

When designing and conducting remote examinations, certain aspects that result from the distance in space and time are to be given particular consideration in the compilation of examination questions and tasks since students are faced with a heterogeneous examination and supervision situation. For example, questions received from students cannot always be answered simultaneously. In order to minimise the number of questions and enable students to work on the examination tasks in an optimised way, it is helpful if the tasks set for the examination are phrased in a concise and easily understandable manner. As regards the phrasing of examination tasks, this means that a description of the issue at hand and instructions on how the task is to be approached should be included (see Hartig & Klieme, 2007, p. 29). Furthermore, the following applies to both open and closed response formats:

- The tasks should be phrased using commonly understandable language.
- The tasks should not contain any unnecessary additional information unless this is part of the competencies to be assessed.
- The wording of the tasks should not contain any negations if they can be avoided in order to prevent misunderstanding due to double negations, for example.
- The tasks should contain all necessary information to allow correct completion (e.g. maximum response length, capital and lower-case letters, number of decimal places or rounding, multiple or single correct answers, etc.).

However, economic quality criteria are also to be considered with regard to examinations since closed questions are not suitable for assessing all intended teaching objectives and a large number of open tasks, on the other hand, require more time to work on and to assess. Please find further information on the design of tasks for online examinations, bearing in mind aspects of university didactics, under https://www.uni-due.de/imperia/md/content/zhqe/gestaltung_von_aufgaben_in_online-pru%CC%88fungen.pdf (German only).

Online written examinations using JACK and LPLUS: notifying the relevant system operator

A notification regarding the online written examination specifying

- the date

- the start and end times

- the HISinOne exam number

- the title of the exam and

- the anticipated number of participants

must be submitted to the operators of the relevant systems ideally at the same time as your notification to the Examinations Office and, at the latest, one week before the exam to ensure that the examination can be set up and the required server capacity made available within the system in due time. Please use the email addresses below for this purpose:

- jack@paluno.uni-due.de

- lplus@uni-due.de

Online written examinations using Moodle

Online written examinations using Moodle are conducted via a separate server for examinations. Such examinations can be registered and managed independently. The Moodle examination server is available under the following URL: https://moodle.exam.uni-due.de. It is not necessary to send separate notifications regarding online written examinations to the Moodle Competence Centre. Please set up Moodle courses for examinations exclusively via the course administration within Moodle. The relevant course should be set up no later than one week before the examination. All courses for examinations from the last three semesters have already been copied onto the examination server and can be reused. Please find detailed guides on using the Moodle examination server (in German) at: https://www.uni-due.de/zim/services/moodle/.

In addition, please use a separate Moodle course for each online written examination and do not conduct multiple exams in one Moodle course. This does not apply to any potential deferred examination dates.

Preparation

1. When using systems that the students (and teaching staff) do not yet know, sufficient time must be allowed for them to *familiarise* themselves with the relevant system. Particular consideration should be given to the instructions and manuals for the individual systems for remote computer-aided examinations, made available by the ZIM.

2. Students should be given the opportunity to *try out the system* to be used and familiarise themselves with it before the examination, e.g. by means of a mock exam. If the number

of participants for a mock exam is expected to be high (more than 400), the system operators must also be informed of the relevant date and time.

3. Students must be *informed about the procedure* for the examination in good time. In doing so, information should be provided in particular about the selected examination format and the overall conditions.

4. Students should also be informed about the *technical equipment that is required*. In order to participate in an online written examination from home, candidates need a computer with an up-to-date browser and a stable Internet connection. If the online written examination is conducted in Moodle, students are to be informed that the Moodle app is not suitable for taking exams.

5. *Communication options* should be provided for students to contact the teaching staff during the examination if necessary. This can be done, for example, via video conference, by email or, in case of a local failure of the Internet, by (mobile) phone. The candidates should be informed of the available communication channels including the relevant contact information before the examination.

Making the questions and tasks available

It is to be ensured that

- the online written examination is provided at the specified time in electronic form via a virtual platform that is not publicly accessible (Moodle, JACK or LPLUS)
- only students who have been admitted to the relevant examination have access to the documents
- access to the documents is only available during the planned processing time and that online written examinations in Moodle are exclusively conducted via the 'Quiz' (*Test*) activity.

Please find information on enrolling students in Moodle courses in the instructions under https://www.uni-due.de/zim/services/moodle/ (German only). For information on admission processes in JACK or LPLUS, please contact the shared mailboxes specified above.

Declaration of own work and instructions on possible sanctions

A declaration of own work, which must be confirmed by the students, should be prepared prior to the examination. The declaration of own work is to be submitted exclusively online, e.g. by means of an acknowledgement of the consent form (in the form of a single-choice question) as part of the examination. Please find a proposed text for the declaration of own work *below (see the end of this document)*.

Prior to the examination, candidates should also be made aware of possible sanctions in case of examination offences. Acknowledgement of the relevant instruction can also be confirmed online. The use

of non-permitted aids can also be sanctioned. Please find a proposed text for the instructions on possible sanctions *below (see the end of this document)*.

Please note: without a corresponding declaration of own work being submitted and instructions on possible sanctions in case of examination offences and violations of the declaration of own work, it may not be possible to sanction examination offences.

Identity checks and video monitoring

The candidates' identities may be checked before the examination starts. The faculties are responsible for organising and conducting identity checks.

In doing so, please consider that the time required for this is not included in the time allowed for the examination. Please bear in mind that students may have other commitments immediately before or after the examination. Therefore, it is important that the newly resulting time frame be communicated in good time (e.g. the initial time frame of 2–4pm for the exam could be extended to a new 1.15–4pm time frame).

To enable a check of the candidates' identities before the examination and, if required, video monitoring of the students during the examination, an option must be available to connect a camera and microphone.

Both an identity check before the examination and video monitoring of students during the examination are only permissible **if an alternative solution is available to the students**. Thus, students who cannot fulfil the technical requirements or who do not want to participate in this form of identity check and/or monitoring for other reasons have **the opportunity to opt out.**

In this case, the students participate in the online examination without having their identities checked and/or being monitored and must be aware that their performance may be subsequently reviewed, if necessary on University premises.

This process is not an additional examination that the student takes but serves to establish whether or not there has been an examination offence, which can also happen after a face-to-face examination. For this process to be applied, there must be an initial suspicion that goes beyond the student's opting out.

(Note: if a student refuses to have their performance subsequently reviewed because they are suspected of having committed an examination offence, this may result in the assessment being considered an examination offence. The burden of proof lies with the University. Please be advised that documentation is mandatory.)

The relevant faculty is responsible for organising and conducting video monitoring and subsequent reviews. Moreover, the burden of proof in cases of suspicion lies with the faculties – as is the case with face-to-face examinations.

Marking and retention

For the most part, marking is carried out automatically for online written examinations conducted in Moodle, LPLUS and Jack. Tasks that require free-text entries or uploads are excepted from this automated process, but the marking of these components can be carried out directly in the system.

If, in exceptional cases, it is necessary to download local copies of examinations and marking in Moodle is not possible, the examiner is personally responsible for compliance with data protection regulations and ensuring that the document cannot be modified. In such cases, it is recommended that the network drives provided by the ZIM be used. Once they have finished marking, examiners must sign the local PDF files containing their marks and comments using their personal certificate to ensure that subsequent alterations are no longer possible. The PDF files are then to be assigned a unique document name (see below) and uploaded to a hidden folder in the relevant Moodle course (see instructions: https://www.uni-due.de/zim/services/moodle/ (German only)).

A unique document name is necessary to ensure that the files can be clearly matched with the relevant students. For this purpose, please include the examination code (e.g. ZEB10247), the date of the examination (month_year) and the student ID number (e.g. 2280610) in the file name (ZEB10247_3_2021_2280610). Only if the students' submissions including marks are reintegrated in Moodle can it be ensured that the comments, which are part of the examination documents by legal definition, are included in the central retention copies.

Moodle logs the activities during the processing of the online written examination. In order for this data not to be deleted once the general retention periods within the system end, the Moodle administrators at the ZIM will export this data from the system upon completion of the examination/marking process for documentation and archiving purposes.

Retention copies of online written examinations conducted in Moodle are centrally created on defined dates by means of a backup in Moodle. You do not need to carry out any activities or inform the system operator or the Examinations Office for this to happen. The Examinations Office will inform you of the relevant date in good time to allow you to complete any outstanding marking processes and viewings of examination files. The defined date for the winter semester 2021/2022 is 31 October 2022. The defined date for the summer semester 2022 is yet to be communicated.

LPLUS and JACK also provide options for exporting online written examinations from the systems (by means of a database backup) and thus retaining the relevant data. However, marks and comments that teaching staff have entered offline and thus outside the system will not be included in examination backups from JACK.

Take-home exams

General information

A take-home exam is a written examination that is not conducted at the University but in an unsupervised manner at home. It is a question-based piece of work in which individual issues need to be resolved independently within a relatively short period of time (e.g. 8, 12 or 24 hours) and using

additional aids. Approved aids (open book) are to be clearly specified. In contrast to the written online examinations mentioned above, take-home exams can be described as question-based papers, since students receive the examination tasks at a specific point in time, work on them without supervision and submit their work afterwards.

Due to the relatively long time frame allowed for such exams and the lack of supervision, discussions among students cannot be ruled out. Therefore, open questions that require individually elaborated responses are most suitable for this format.

As has been mentioned in the case of online written examinations, teaching staff must weigh up various quality criteria in favour of or against conducting take-home exams. Due to the large number of open, individual tasks, different levels of competencies can be assessed. Moreover, a relatively low level of technological processing is required to set such exams remotely. On the other hand, the effort required for marking is much higher than for closed questions due to the open tasks.

Take-home exams should only be realised using the 'Assignment' ('*Aufgabe*') activity in Moodle. Thus, access to the system is only necessary for retrieving the tasks and uploading the solutions, which reduces the impact of technological issues, especially in view of the longer time frame allowed for take-home exams. In particular, the information on marking and retention (see below) refers to the 'Assignment' activity.

Didactic notes

There are different possibilities that you can consider when designing your examination in order to make it more difficult for students to pass on sample solutions or work on the solutions jointly:

- Avoid questions to test factual knowledge and closed questions. Allow differentiated responses within the tasks you set by asking open and differentiated questions (e.g. requesting explanations of the answers given). Open questions support the independent development of answers by students as they do not offer response options but encourage students to elaborate on their own knowledge and views.
- Divide the students into groups with different exam versions (e.g. exam A, exam B).
- Modify individual aspects within the tasks between the different versions of the exam. By modifying the tasks (e.g. different literature references, case studies, figures, values, etc.), students are also encouraged to develop individual responses.
- Change the order of the tasks in order to make it more difficult for students to work on their exams simultaneously.

Another feature of take-home exams is the fact that it is permitted and even explicitly encouraged to use aids to solve the tasks (e.g. scripts, specialist literature, data sets, software, etc.). Since aids are available in this format, questions testing factual knowledge in take-home exams would rather tend to assess the meta competency of gathering information quickly. Therefore, it is recommended to give priority to the application of the acquired factual and methodological knowledge in such exams. Please find a categorisation of learning objectives by complexity at https://ep.elan-ev.de/wiki/Lernziel (German only).

In take-home exams, suitable task formats require students to:

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- classify issues and explain correlations in their own words
- carry out text analyses
- research, compare and critically examine different perspectives on a problem
- describe and give reasons for possible options to resolve a case study
- apply abstract knowledge (e.g. concepts, models, standardised processes, etc.) to realistic case studies
- test and critically assess existing hypotheses
- develop their own hypotheses
- solve tasks using other media (e.g. research and critical assessment of reviews, processing of data sets, analysis of image material, programming tasks, etc.).

This list is not exhaustive, but it illustrates the potential that take-home exams provide for assessing different competencies.

When testing different competencies, it is to be ensured that students have already acquired the required factual and methodological knowledge. In order to ensure that the exam can be successfully completed, the complexity of the tasks is to be aligned with the teaching and learning activities previously carried out as part of the relevant class (see p. 3, Constructive alignment; German only).

In addition, you can make sample questions for the exam available in a suitable place to give students an impression of this new format and an opportunity to prepare for the exam comprehensively and in due time (see p. 4, Preparation).

Students should not write their responses by hand but exclusively typewrite them on a computer. As is the case with seminar papers, formatting requirements (line spacing, font size, typography, layout, etc.) and the maximum number of pages should be specified (providing a template could also be helpful). By doing so, it is ensured that the work is comparable and that a digital check for plagiarism can be conducted if there is any suspicion (see https://www.uni-due.de/ikm-vorstand/plagsoft).

Take-home exams using Moodle

Take-home exams using Moodle are conducted via a separate server for examinations. Such examinations can be registered and managed independently. The Moodle examination server is available under the following URL: https://moodle.exam.uni-due.de. It is not necessary to send separate notifications regarding take-home exams to the Moodle Competence Centre. Please set up Moodle courses for examinations exclusively via the course administration within Moodle. The relevant course should be set up one week before the exam at the latest. All courses for examinations from the last three semesters have already been copied onto the examination server and can be reused. Please find detailed guides on using the Moodle examination server (in German) at: https://www.uni-due.de/zim/services/moodle/.

In addition, please use a separate Moodle course for each take-home exam and do not conduct multiple exams in one Moodle course. This does not apply to any potential deferred examination dates.

Preparation

1. When using systems that the students (and teaching staff) do not yet know, sufficient time must be allowed for them to *familiarise* themselves with the relevant system. Therefore, students should be given the opportunity to *try out* the Moodle space and familiarise themselves with it before the take-home exam, e.g. by means of a mock take-home exam.
2. Students are to be *informed about the procedure* for the take-home exam in good time. In doing so, information should be provided in particular about the selected examination format and the overall conditions including the approved aids.
3. Students should also be informed about the *technical equipment that is required*. In order to participate in an online examination from home, candidates need a computer with an up-to-date browser and a stable Internet connection.
4. Irrespective of the options for identity checks and video monitoring, communication options must be provided for students to contact the teaching staff if necessary. This can be done, for example, via video conference, by email or, in case of a local failure of the Internet, by (mobile) phone. The candidates must be informed of the available communication channels including the relevant contact information before the examination.

Making the questions and tasks available

The time and place where the questions and tasks will be made available and the submission deadline are to be published at an appropriate location that the students know (e.g. via HISinOne, a central website of the responsible chair/faculty and/or on the Moodle course page).

It is to be ensured that

- the take-home exam is provided at the specified time in electronic form on a Moodle course page that is not publicly accessible
- only students who have been admitted to the relevant examination have access to the documents
- access to the documents is only possible during the time frame allowed for working on the exam.

Please find information on enrolling students in the Moodle course in the instructions under https://www.uni-due.de/zim/services/moodle/ (German only).

Declaration of own work and instructions on possible sanctions

Along with the release dates of the exam, **instructions regarding the approved aids and aids that are not permitted** are also to be communicated (once more). It is to be pointed out that **software for detecting plagiarism** may also be used in order to detect examination offences. The communication of the exam release dates and the relevant instructions is to be documented. Punctual release of the questions and tasks is possible via Moodle as the system allows scheduled access control for certain documents and activities.

The relevant declaration of own work and instructions on possible sanctions are already available in the 'Assignment' ('*Aufgabe*') activity in Moodle. Please see the information on activating this function in our manual under https://www.uni-due.de/zim/services/moodle/ (German only).

Moodle logs the activities during the processing of the exam. In order for this data not to be deleted once the general retention periods within the system end, the Moodle administrators at the ZIM will export this data from the system upon completion of the examination/marking process for documentation and archiving purposes.

Submitting the take-home exam

Students have to upload their edited documents to the Moodle 'Assignment' activity before the end of the submission deadline in order for their work to be assessed. It is recommended that students exclusively upload PDF files. Common word processing software such as Word or LibreOffice/OpenOffice can help students do so as they provide options to automatically create PDF files. Please make sure that students are informed about how they can create a PDF document in good time. Moodle ensures that no further submissions will be accepted after the relevant deadline.

If students encounter technical problems when uploading their solutions, they must document this in a suitable manner (e.g. screenshot) and immediately send the proof to UDE by email along with their solution. If you do not wish your work email address to be used in this context, you can request a shared email address for this purpose. To do so, please contact benutzerverwaltung@uni-due.de.

Without the above-mentioned proof, submissions received after the deadline will be handled and recorded as 'nicht erschienen/nicht eingereicht (NE)' (not attended/not submitted) and thus a failed attempt. As a consequence, the attempt will count towards the maximum number of attempts allowed (no 'free attempt'). This fact should explicitly be pointed out to candidates once again before they register for the exam.

Marking and retention

Please find a detailed description of the different options for marking the submitted solutions in the instructions for the use of the 'Assignment/Quiz' ('*Aufgabe*/*Test'*) activities on the pages of the Moodle Competence Centre: https://www.uni-due.de/zim/services/moodle/ (German only).

Examiners should mark the submitted take-home exams directly within the 'Assignment' activity on the Moodle course page. However, the marking function is only available if students submit their solutions as PDF files; see instructions: https://www.uni-due.de/zim/services/moodle/ (German only).

If, on the other hand, examiners download the submissions and do not carry out marking in Moodle, they are personally responsible for compliance with data protection regulations. In such cases, it is recommended that the network drives provided by the ZIM be used. Once they have finished marking, examiners must sign the local PDF files containing their marks and comments using their personal certificate to ensure that subsequent alterations are no longer possible. Then, these PDF files are either to be uploaded to the 'Assignment' activity as feedback files or to a hidden folder in the relevant Moodle course, with unique document names assigned (see below). Both options are described in the instructions under https://www.uni-due.de/zim/services/moodle/ (German only).

A unique document name is necessary to ensure that the files can be clearly matched with the relevant students. For this purpose, please include the examination code (e.g. ZEB10247), the date of the examination (month_year) and the student ID number (e.g. 2280610) in the file name (ZEB10247_3_2021_2280610).

Only if the students' submissions including marks are reintegrated in Moodle can it be ensured that the comments, which are part of the examination documents by legal definition, are included in the central retention copies. This version must be documented along with the date and time of archiving to permit relevant information to be presented and proven during potential legal proceedings. It must be possible to print the relevant documents. In this scenario, the upload process of the marked version can also be logged by the system.

Retention copies of the submission itself and the marked version will be generated as part of a backup in Moodle on a defined date. You do not need to carry out any activities or inform the system operator or the Examinations Office for this to happen. The Examinations Office will inform you of the relevant date in good time to allow you to complete any outstanding marking processes and viewings of examination files. The defined date for the winter semester 2021/2022 is 31 October 2022. The defined date for the summer semester 2022 is yet to be communicated.

Online oral examinations

According to Section 9 (1) of UDE's regulations for the implementation of the CEHVO (current German version: here), the options listed below are available for conducting oral examinations that belong organisationally to an earlier semester, starting from the summer semester 2020:

1. Face-to-face examinations on UDE premises

2. Examinations in the form of a video conference on UDE premises

3. Examinations as described in items 1 and 2 for which one participant connects from the premises of a third-party institution (by way of administrative assistance)

4. Examinations in the form of a video conference from outside UDE premises (by way of administrative assistance or from the participants' home environments)

The responsible Examination Board is to make the decision on the form the oral examination is to take; see Section 9 (2) of UDE's regulations for the implementation of the CEHVO (current version: here).

In the case of examinations involving video conferencing as described in items 2 and 3 that fall within the responsibility of UDE, internal systems provided by the ZIM should be used. Moreover, such examinations are subject to data protection regulations.

Examinations must not be recorded.

In cases where a student is unable to attend an oral examination in person as stipulated in item 1 due to official requirements or legal restrictions relating to the coronavirus, they will be given the opportunity to participate in the examination via video conference upon stating the applicable reasons. The student must submit a corresponding notification to the Examination Board no later than one week

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before the date of the oral examination. This applies to examiners accordingly, with the additional provision that personal reasons can also be applicable grounds for participating via video conference. When doing so, the examiner must ensure that the parties involved are properly equipped (technically) to participate in the oral examination (camera and microphone, stable Internet connection, etc.)

Whether and how oral examinations can be conducted is subject to current higher-level legislation and potential restrictions resulting from it at all times.

For oral examinations that belong organisationally to the summer semester 2022, it is explicitly pointed out that UDE's regulations for the implementation of the CEHVO do not apply. The provisions of the relevant subject-specific examination regulations apply in such cases.

I.   Oral examinations via video conferencing within the premises of UDE and with the assistance of third parties (administrative assistance)

1. Technological and location-related requirements

Participants in an oral examination can be located in different rooms at UDE. This will allow both the technological equipment and technology support at UDE to be employed.

If an oral examination is held within the premises of UDE or with the help of third parties by way of administrative assistance, the faculties of UDE, if required with the assistance of the ZIM, or, if applicable, the institution from which assistance has been requested will provide the required technology. The institutions below may serve as locations where examinations via video conferencing can be conducted:

- Other universities in Germany
- Goethe-Institutes
- German schools in other countries
- German consulates
- German embassies
- Universities in other countries

2. Procedure

- The candidate is to be alone in a room at UDE or the assisting institution. If necessary, an invigilator can watch the candidate in order to prevent any examination offences. In cases where administrative assistance is utilised, the exact requirements regarding the examination procedure (e.g. the potential need for an invigilator) must be agreed with the assisting institution.
- Before the start of the examination, all persons involved should take some time to adapt to the new circumstances and the different examination situation (this is of particular importance for each student). The process and organisational aspects of the examination are to be explained and potential questions from the candidate are to be answered briefly.
- Any source of disruption must be shut off or removed before the examination to the greatest possible extent.

- The candidate is to prove their identity by means of an official photo identification document. The candidate can make information that is not required for identification purposes illegible through the camera beforehand. The candidate must be made aware of this possibility. The following information is sufficient for verifying the candidate's identity: name, date of birth and photograph. If an invigilator is present, they can verify the candidate's identity.
- During the examination, the camera must show at least the candidate's head and shoulders. The candidate must also look into the screen.
- The candidate should not leave the room for the duration of the examination if at all possible. Any absences must be noted in the record of the examination.
- The candidate's microphone and camera and their screen-sharing function must be activated during the entire duration of the examination.
- A written record of the course of the examination is to be compiled as usual. The overall technical conditions (in particular the type of software used, the transmission quality, potential malfunctions, explanatory information), noteworthy incidents and the candidates' answers in detail are to be documented in this record of the examination.
- The mark is to be determined without the involvement of the candidate. During the time required for this, the connection is to be muted and the examiners are to disable their video transmission.

3. Noteworthy incidents

- If the examination is interrupted due to a failure of the Internet connection, a reconnection to the video conference is to be established as quickly as possible. Questions that had been asked or topics that were being discussed when the interruption occurred are to be re-approached or replaced with new questions as is deemed appropriate.
- If the transmission fails to an extent that impacts the examination to a significant degree, the examination must be terminated and rescheduled for a later date.
- If it can be proven a candidate has intentionally interrupted the video conference during the examination, the mark to be assigned for the examination is 'insufficient' or 'failed'.

II.   Examinations for which a candidate connects from their home

In cases where a student has convincing reasons that they are unable to attend an oral examination on the premises of UDE or a third-party institution due to official requirements or legal restrictions relating to the coronavirus, they can request permission to participate in the examination via a video conference from their home. Candidates may then connect to the video conference if the conditions below are met. These conditions also apply to students who participate in oral examinations that are organised in the form of video conferences.

1. Technological and location-related requirements

- The candidate must have access to a PC/notebook/tablet computer equipped with a camera and microphone. Only screen content provided via software may be used during the examination.
- The device used must meet the system requirements for the video conferencing system employed.

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- A stable Internet connection must be available.

It must be ensured that the location and the technological equipment are suitable, and the candidate must be provided with instructions regarding the software to be used (e.g. via video chat) prior to the examination.

2. Preparing and conducting an online video examination

- Before the start of the examination, all persons involved should take some time to adapt to the new circumstances and the different examination situation (this is of particular importance for each student). The process and organisational aspects of the examination are to be explained and potential questions from the candidate are to be answered briefly.
- Any source of disruption must be shut off or removed before the examination to the greatest possible extent (e.g. noise due to calls, doorbells, radio, TV, other electronic devices and digital media, open windows; other people (children, partners, visitors, etc.)).
- The candidate is to prove their identity by means of an official photo identification document. The candidate can make information that is not required for identification purposes illegible through the camera beforehand. The candidate must be made aware of this possibility. The following information is sufficient for verifying the candidate's identity: name, date of birth and photograph.
- It is permissible to check the entire room via the camera before the start of the examination. It must be ensured that no other persons or unauthorised aids are within reach.
- During the examination, the candidate must be alone in a closed room. In cases where they have specific reasons to suspect an offence, the examiners have the right to ask the candidate to use the camera to show their location once more in order to rule out examination offences.
- The candidate should not leave the room for the duration of the examination if at all possible. Any absences must be noted in the record of the examination.
- During the examination, the camera must show at least the candidate's head and shoulders. The candidate must also look into the screen.
- The candidate's microphone and camera and their screen-sharing function must be activated during the entire duration of the examination.
- The mark is to be determined without the involvement of the candidate. During the time required for this, the connection is to be muted and the examiners are to disable their video transmission.
- A written record of the course of the examination is to be compiled as usual. The overall technical conditions (in particular the type of software used, the transmission quality, potential malfunctions, explanatory information), noteworthy incidents and the candidates' answers in detail are to be documented in this record of the examination.

3. Noteworthy incidents

- If the examination is interrupted due to a failure of the Internet connection, a reconnection to the video conference is to be established as quickly as possible. Questions that had been asked or

topics that were being discussed when the interruption occurred are to be re-approached or re-placed with new questions as is deemed appropriate.

- If the transmission fails to an extent that impacts the examination to a significant degree, the examination must be terminated and rescheduled for a later date.
- If it can be proven a candidate has intentionally interrupted the video conference during the examination, the mark to be assigned for the examination is 'insufficient' or 'failed'.

III.   Examinations for which a member of the examination committee connects from their home

If, due to personal reasons, an examiner is unable to attend the examination in person as stipulated in item 1, they can also participate via video conference upon stating the applicable reasons. The examiner must submit a corresponding notification to the Examination Board no later than one week before the date of the oral examination.

1. Technological and location-related requirements

- The member of the examination committee must have access to a PC/notebook/tablet computer equipped with a camera and microphone. Only screen content provided via software may be used during the examination.
- The device used must meet the system requirements for the video conferencing system employed.
- A stable Internet connection must be available.

It must be ensured that the location and the technological equipment are suitable, and the member of the examination committee must be provided with instructions regarding the software to be used (e.g. via video chat) prior to the examination.

2. Preparing and conducting an online video examination

- Before the start of the examination, all persons involved should take some time to adapt to the new circumstances and the different examination situation (this is of particular importance for each student). The process and organisational aspects of the examination are to be explained and potential questions from the candidate are to be answered briefly.
- Any source of disruption must be shut off or removed before the examination to the greatest possible extent (e.g. noise due to calls, doorbells, radio, TV, other electronic devices and digital media, open windows; other people (children, partners, visitors, etc.)).

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- If it can be proven a candidate has intentionally interrupted the video conference during the examination, the mark to be assigned for the examination is 'insufficient' or 'failed'.

IV. Oral components of doctoral and postdoctoral (Habilitation) proceedings

The ordinance on overcoming the challenges in university operations entailed by the SARS-CoV-2 epidemic (*Corona-Epidemie-Hochschulverordnung – CEHVO*) for doctoral and postdoctoral qualification regulations at the University of Duisburg-Essen dated 16 December 2021 applies to doctoral and postdoctoral proceedings. (current German version: here)

In the case of dissertation defences in the context of doctoral degree proceedings, the procedure described for oral examinations applies accordingly, with the additional provision that the decision-making body is the Doctoral Degree Board (see Section 3 of UDE's regulations for the implementation of the CEHVO for doctoral and postdoctoral qualification regulations). In addition, the provisions regarding the need to ensure accessibility for all members of the University (see Section 3 (2) of UDE's regulations for the implementation of the CEHVO for doctoral and postdoctoral qualification regulations) must be adhered to: in order to allow members of the University to attend as stipulated by the faculty-specific doctoral degree regulations, the defence of a doctoral dissertation may be made available as a video stream in full or in part as required.

The following applies to the oral component of a Habilitation qualification: the oral component of a Habilitation qualification can either be held with all members of the Habilitation Committee attending in person or in the form of a video conference. The Chair of the Habilitation Committee takes the decision as to whether the meeting for the oral component of the Habilitation qualification will be held face-to-face or in the form of an online meeting. In order to allow members of the University to attend as stipulated by the faculty-specific Habilitation regulations, the oral component of the Habilitation qualification may be made available as a video stream as required (see Section 5 (3 and 4) of UDE's regulations for the implementation of the CEHVO for doctoral and postdoctoral qualification regulations).

Viewing of examination files

Students have a statutory right to view their examination files. As part of viewing their examination files, which candidates must request within a month after the release of the examination results, the entire examination record must be disclosed to the candidate (and their solicitor if applicable). This includes the questions and tasks set for the examination. The right to view one's files results from the principle of ensuring effective protection of rights as stipulated by the German Basic Law (*Grundgesetz*; GG). Without an appropriate level of information about the procedures for determining their performance and assessments relating to them, it is difficult for a candidate to establish whether their rights to equal opportunities (Art. 3 (1) of the GG) and to freely choose their profession (Art. 12 (1) of the

GG) have been duly protected without any errors of law. They cannot assert their constitutional right to a revision of the examination results in the required manner if they have not previously been granted access to information on the material circumstances relating to their examination. The material circumstances of an examination include the questions and tasks set for the examination. This was also particularly emphasised in the reasoning for the introduction of the new No. 10 of Section 64 (2) of the North Rhine-Westphalian Higher Education Act (HG NRW), the wording of which is identical to Section 32 (1) of the RPO regarding the provision of copies.

The files can be viewed either in a face-to-face meeting or in digital form, e.g. as part of a video conference or via the Moodle system itself, if the student agrees to this form and only the individual student participates in the video conference and if it is ensured that only data relating to the relevant student is displayed. In the case of candidates represented by solicitors, the viewing of examination files usually takes the form of sending a (digital) copy to the relevant solicitor. Please find information on how to allow students to view their files within the Moodle system in the instructions: https://www.uni-due.de/zim/services/moodle/ (German only).

Furthermore, students have a statutory right to be provided with a copy of their entire examination record. This includes the questions and tasks set for the relevant examination. Thus, students must be allowed to make a copy or a duplicate that is true to the original (e.g. taking a screenshot or a photo) upon request. In this context, please be advised that the questions and tasks set for the examination are protected by the examiner's copyright. This should be pointed out to the students to prevent reproduction or publication of the questions and tasks set for the exam as far as possible. Copyright infringements can have legal consequences under both civil and criminal law.

Pursuant to Section 32 of the RPO for Bachelor's Degrees, the Examination Board is to define the details regarding the viewing of examination files, in particular the time and place of the viewing.

Compensation for disadvantages

If longer time frames for working on the examination are to be allowed as compensation for disadvantages, Moodle, LPLUS and JACK provide options for defining corresponding user or group-specific settings. Please find information on compensation for disadvantages in Moodle in the instructions under https://www.uni-due.de/zim/services/moodle/ (German only).

Please find information regarding compensation for disadvantages in Section 14 of UDE's regulations for the implementation of the CEHVO (current German version: here) and under https://www.uni-due.de/inklusionsportal/nachteilsausgleich.shtml (German only).

Proposed texts for the declaration of own work and instructions on possible sanctions

In order to give consideration to the respective examination formats, it is recommended to use different declarations of own work for online written examinations and take-home exams. Declarations of own work are already available in Moodle.

Proposed text for the declaration of own work for online written examinations:

I, [candidate's name], hereby declare that I will work on the [exam title] examination on my own, using only the relevant aids (as communicated and permitted by the person conducting the examination), and within the defined time frame. In particular, I confirm that I will not solicit unauthorised help from others and will not communicate with others during the examination, apart from the person conducting the examination.

Moreover, I declare that I have not passed on the access information for this examination to others and will not do so in future.

I am aware that an untruthful declaration may entail legal consequences and, in particular, result in my receiving a 'fail' on the examination. Furthermore, I am aware that the examiner may ask me further questions on the subject matter within the marking period if they suspect misconduct.

Proposed text for the declaration of own work for take-home exams:

Upon submitting my work, I declare that I have worked on the present questions and tasks on my own and without soliciting unauthorised help from others, using only the stated sources, and that I have referenced sections that I have adopted from the sources I have used verbatim or in essence as such.

Proposed text for the instructions on possible sanctions (the text needs to be adapted to the relevant subject-specific examination regulations):

*If an examination offence, which includes plagiarism, can be proven, the relevant assessment will be marked as 'insufficient (5.0)'. In serious cases, the Examination Board may exclude the student from repeat examinations (Section 22 (4) of the General Examination Regulations for Bachelor's Degrees (RPO BA)/Section 21 (4) of the General Examination Regulations for Master's Degrees (RPO MA)). In addition, a deliberate examination offence may be punishable as an administrative offence (*Ordnungswidrigkeit*) with a fine amounting to up to €50,000 (Section 22 (6) of the RPO BA/Section 21 (6) RPO MA).*

In cases of multiple or otherwise serious examination offences, the candidate may be removed from the register of students (Section 22 (6) of the RPO BA/Section 21 (6) RPO MA).

Relevant software for detecting plagiarism or other electronic means will be used in order to detect examination offences.

The responsible examiner or invigilator may exclude a student who disturbs the orderly progress of an examination from participating in the further course of the examination following a warning. In this

case, the relevant assessment will be marked as 'insufficient (5.0)' (Section 22 (5) RPO BA/Section 21 (5) RPO MA).

The following applies to examinations to be taken in full or in part in the summer semester 2022 that belong organisationally to an earlier semester, starting from the summer semester 2020:

Pursuant to Section 12 (2) of the regulations for the implementation of the Corona Epidemic University Ordinance at UDE, examination attempts that are marked as 'failed' or 'insufficient' due to absence without an excuse, an examination offence or a breach of regulations are not included in the regulation that failed attempts do not count towards the maximum number of attempts allowed as stipulated in Section 12 (1). Therefore, such attempts at an examination will be counted as regular attempts. The communication of the exam release dates and the relevant instructions is to be documented.

In addition, please be advised that any case of forgery of official documents issued by the University of Duisburg-Essen that are suitable and intended to be used as proof in legal matters, such as student ID cards, will be reported.

Proposed text for the notification regarding the processing of personal data

> Proposed text for the notification regarding the processing of personal data:
>
> *The processing of personal data for the purpose of properly conducting an examination is governed by the stipulations of Regulation (EU) 2016/679 of the European Parliament and of the Council on the protection of natural persons with regard to the processing of personal data and on the free movement of such data and repealing Directive 95/46/EC (GDPR), and the North Rhine-Westphalian Data Protection Act (DSG NRW).*

Support

Good practice

See the Faculty of Chemistry's Moodle page: https://moodle.uni-due.de/course/view.php?id=19516.

Regulations for the implementation of the Corona Epidemic University Ordinance (CEHVO)

(current German version: here)

Coronavirus information for teaching staff https://www.uni-due.de/de/covid-19/lehrende-en.php

Didactic notes

Design of questions and tasks for online examinations. Short list of links and literature on didactics: https://www.uni-due.de/imperia/md/content/zhqe/gestaltung_von_aufgaben_in_online-pru%CC%88fungen.pdf (mostly in German).

Page on the topic of the constructive alignment model on e-teaching.org (German only): https://www.e-teaching.org/didaktik/konzeption/constructive-alignment.

Information page on the categorisation of learning objectives from ELAN e.V. (in German): https://ep.elan-ev.de/wiki/Lernziel

Hartig, J., & Klieme, E. (2007). Möglichkeiten und Voraussetzungen technologiebasierter Kompetenzdiagnostik: Eine Expertise im Auftrag des Bundesministeriums für Bildung und Forschung. *Bildungsforschung; 20,* pp. 17-36.

Email addresses

For notifying the examination system operators:

jack@paluno.uni-due.de

lplus@uni-due.de

moodle@uni-due.de

You can request shared mailboxes via https://benutzerverwaltung.uni-due.de/portal/.

Moodle Competence Centre

https://www.uni-due.de/zim/services/moodle/ (note in particular the instructions on the '*Aufgabe*' and '*Test*' activities; only available in German)

Compensation for disadvantages https://www.uni-due.de/inklusionsportal/nachteilsausgleich.shtml (German only)

Software for detecting plagiarism https://www.uni-due.de/ikm-vorstand/plagsoft (German only)

Systems used for examinations

JACK: https://www.uni-due.de/zim/services/jack.php

LPLUS: https://www.uni-due.de/zim/services/pc-pruefungen/

Moodle: https://www.uni-due.de/zim/services/moodle/

Examinations Office https://www.uni-due.de/verwaltung/pruefungswesen/studiengaenge.shtml

Concluding notice

In case of disagreements, objections and legal proceedings that may arise in the context of examinations conducted in an online environment, the University of Duisburg-Essen supports the examiners and teaching staff as a matter of principle if the legal regulations regarding examinations and applicable legal requirements were adhered to.