

Evaluation Guide for Online Learning in Times of Emergency

Universidad Carlos III de Madrid, May 15 2020 (Version 1.0)

1. Presentation	2
2. Legal basis	3
3. Instructions for the exam	5
4. Main types of assessments	7
4.1 Oral exam via videoconference	7
4.2 Presentation of an assignment to the class and/or teachers via videoconference	7
4.3 Submission of an assignment via Aula Global	7
4.4 Asynchronous assessment quiz with open-ended and closed-ended questions via Aula Global	7
4.5 Synchronous assessment quiz with open-ended and closed-ended questions via Aula Global	8
4.6 Synchronous assessment quiz with paper and pen	8
5. Other aspects to be considered	10
5.1 Importance of ethical behaviour	10
5.2 Plan B	10
5.3 Students with disabilities and specific educational support needs	10
Annex I: Respondus LockDown Browser	11
Annex II: Information on the processing of personal data by the University	12

1. Presentation

This document presents the general principles that guide the performance of online exams (final exams or continuous assessment exams), in accordance with section 4 of the Instruction of the Vice-Rector of Studies of the Universidad Carlos III de Madrid, from 15 April 2020, which establishes the framework for the adaptation of teaching activities for the completion of the 2019/20 academic year.

In accordance with the provisions of letters f) and g) of Article 2.2 of the Organic Law on Universities and Royal Decree 1002/2010, which develops the Organic Law, the Universities, in the exercise of their autonomy, are responsible for verifying the knowledge of students and issuing official academic titles at the Bachelor, Master and Doctorate levels, valid throughout the national territory. The issuing of academic titles requires the student to obtain a number of credits, as indicated in the corresponding study program. For this reason, in each activity that assesses students' knowledge and involves obtaining credits, it is necessary to ensure the identity of the student and guarantee the integrity of the assessment activity, which must be carried out with the greatest academic rigor and under the best possible guarantees within the current legal system.

However, due to the current context, it is impossible to replicate the conditions for ensuring the identity of the student and the integrity of face-to-face assessment activities, as students must take them at a distance from their homes. It is necessary to seek a balance between assuring the identity of the student and the integrity of the assessment activities and respecting the privacy of the student who is at home, all within the framework of current legislation. In any case, it is very important to emphasize the need for ethical behaviour by students in all assessment activities. If fraudulent behavior is detected, the corresponding disciplinary procedures will be initiated, which may lead to the applications of the sanctions foreseen in the regulations in force.

The summary of the general conditions for carrying out the online exams is as follows:

- Oral exams must be recorded, as an evidence of the exam undertaken must be kept.
- The written synchronous quizzes will be accompanied by video surveillance, although they will not be recorded. The teacher will inform the students about the method of video surveillance.
- In no case shall there be biometric control of students.
- The teacher may ask students to use an application blocking browser in the exams that must be done using a computer.

This guide was prepared taken into account the documentation that has been published by various entities: Ministry of Universities, REACU, Fundación para el Conocimiento Madrid, AEPD, CRUE, various Autonomous Communities and universities.

2. Legal basis

One of the main premises in the preparation of this guide has been that the recommendations included in it are strictly in line with legal requirements and, in particular, that they fully respect the right to self-image and privacy of those involved in the assessment activities while ensuring the protection of their personal data.

In order to assess the legal compliance of the measures included in this guide, it must be assumed that the processing of personal data is considered lawful when it is necessary for the fulfilment of a mission carried out in the public interest or in the exercise of public powers conferred on the data controller, as provided for in article 6 i) of the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and of the Council of 27 April 2016 -GDPR-). This is the case which more specifically legitimizes the processing of student data by their universities when assessment activities are carried out, without the need to obtain the consent of the data subjects. Likewise, all the recommendations included in this guide are also in accordance with the principle of proportionality (article 5.1 c) GDPR), which guarantees that the processing of the data involved has a specific purpose, such as academic assessment; and that these recommendations do not go beyond what is necessary to achieve their objectives, thus responding to a criterion of minimizing the processing of personal data.

In this respect, it is worth mentioning the criterion of the Spanish Data Protection Agency (Agencia Española de Protección de Datos - AEPD), which has pronounced on the processing of data by the universities when conducting exams in its Report of 24 September 2019 (N/REF: 010601/2019) in which it states that "*the recording of oral exams may be necessary as a means of proof for the exercise of the rights of the student, as well as for the teacher to be able to justify the assessment made*", and adds that the recording of the teaching sessions "*may be convenient or even necessary (for example, in distance learning universities) for the exercise of the educational function, the basis for which would also be found in article 6.1(e), access to which must be limited to the teaching staff and students to whom it is addressed, and may not subsequently be used for other purposes, such as public dissemination, which would require the express consent of those concerned*". The current situation of confinement has made it necessary for academic activity to be carried out at a distance, so that the criterion laid down by the AEPD is applicable not only to the recording of oral exams in person but also to the recording of online oral exams via videoconference, since these are necessary measures to ensure the integrity of the assessment and as a means of evidence, without them being considered disproportionate.

The same conclusion has been reached in the study prepared for the Conference of Rectors of Spanish Universities (Conferencia de Rectores de las Universidades Españolas - CRUE) "Guide to the protection of personal data in the university environment in the times of COVID-19" ("*Guía sobre la protección de datos personales en el ámbito universitario en tiempos del COVID-19*"), in which the proportionality of the recording of oral exams via videoconference is admitted. Moreover, since biometric data are particularly protected and there are less invasive control alternatives, methodologies and applications that do not use such data for student identification have been chosen in order to best safeguard students' rights. To conclude, it should be noted that measures

such as systems for blocking the student's work environment during assessment activities (*LockDown Browser*), do not involve any processing of personal data, but are a manifestation of the power of organization and good order in the classroom that is recognized to the teacher to ensure the conditions for conducting an assessment activity.

Finally, the activation of the student's camera during the realization of an assessment activity has also been endorsed by the CRUE in the "Report on the regulatory impact of online assessment procedures: data protection and guarantee of students' rights," according to which it is stated that the measure consisting of having a view of the student, without using biometric facial recognition techniques, is balanced, as it derives more benefits or advantages for the general interest than harm to other goods or values in conflict, and that there is no other more moderate measure for achieving such a purpose with equal effectiveness.

3. Instructions for the exam

Here are some of the important general aspects to consider:

- The exam should be done from a desktop or laptop computer.
- If the teacher requests it, you must activate the webcam (keep the microphone off unless the teacher indicates otherwise). In that case, the student must be in front of the camera at all times during the exam period. If no webcam is available, a mobile device must be used as a camera. To do this, the student must install the Google Meet application on his/her mobile device, for which the University guarantees the protection of personal data. The use of headphones is not allowed unless otherwise indicated by the teacher.
- If a mobile device is to be used, it is advisable to check that it has sufficient battery power or that it is connected to the power supply. The purpose of using the camera is to ensure the identity of the student, so that it will be sufficient for the camera to be framed to the face; since the aim is to minimize the intrusion into privacy, the student is free to remove any private element that may appear in the image. Although there are applications that allow the background of the image to be blurred, i.e. the room where the exam is being held, in case the computer and operating system used allow it, the use of these applications can have an impact on the performance of the computer used by the student and may pose a risk to the correct realization of the exam.
- The student must be alone during the exam period.
- The room where the student takes the exam should be well lit.
- Additional materials on paper or other devices are not allowed during the exam period, unless the teacher indicates otherwise.
- Communication with persons other than the teacher is not allowed during the exam period.
- The student can not leave the seat during the exam period.
- Any attempt to cheat, either by the use of any type of information in any medium or communication in any form, may be sanctioned under the current legal regulations.
- The teacher may call the student after the exam to answer any question if s/he has observed inappropriate behavior or has suspicions of cheating.
- The teacher may ask the student to show an official identification document (national ID - DNI, NIE - or passport) at any time, so this document must be at hand. When showing the official identification document, it is sufficient to show the photograph and full name; the rest of the data on the document can be hidden.
- Before the exam the student should familiarize with the programs and applications that will be used according to the type of exam.
- It is advisable to find a quiet place and tell the other people in the house that you are "doing a exam" so as not to be disturbed during the exam.
- It is important to test your internet connection well and ask other people with whom you share WiFi not to use it intensively so as not to reduce its quality.
- In the event of an incident (internet failure, power failure), teachers should be notified preferably by email and as soon as possible, including the evidence that has given rise to the incident (e.g. screenshots).

- In case of video surveillance, it will be necessary to open an additional tab with the link to the Google Meet session provided. When you enter your Google Meet session, your camera should be turned on and your microphone should be turned off. If you have any questions, you can ask them using the Google Meet chat. Be aware that the chat is public and shared with other students.
- By starting the quiz, the student commits to have an ethical behavior.

Non-compliance with the above rules or with the teacher's indications in relation to the correct development of the assessment activity will result in:

- 1) In those cases where it is accredited that a student has incurred, when taking the exam, in a situation of fraud that prevents the teachers from exercising their power to verify the knowledge, a FAIL(0) will be recorded in the grade of the student, in accordance with the agreement of the Board of Directors of 25 September 2002, and without prejudice to the disciplinary responsibility that the student may have incurred with such action.
- 2) In those cases in which, for reasons attributed to the student, his or her identity cannot be verified, nor the authorship of the exam at the request of the teacher, the exam, to the extent that it could not be carried out with the due guarantees for the educational system, will be considered as not carried out and, therefore, will be qualified as NOT PRESENTED, without prejudice to the provisions of section 5.2 of this guide.

4. Main types of assessments

4.1 Oral exam via videoconference

The teacher may arrange oral exams via video conference with Google Meet and will communicate the access link to the students.

The oral exam will be recorded to keep evidence of the student's assessment. The recording will be left only in the hands of the teacher, as indicated in the joint instruction of the General Secretary and the Vice-rector of Studies for the custody and management of the recordings of the recordings of the oral exams published on 24 March 2020.

4.2 Presentation of an assignment to the class and/or teachers via videoconference

The teacher may arrange videoconference sessions using Blackboard Collaborate or Google Meet for students to present the work done in an assignment, either individually or in groups, and will communicate the access link to the students.

The presentation of the work done could be recorded to keep evidence of the student's assessment. In the case of presentations open to other students in the same class, it would be possible to share the recording with the entire class, if the teacher decides to do so.

In the case of class presentations it would be possible to leave the recording available for the students if the teacher so decides.

4.3 Submission of an assignment via Aula Global

The teacher may ask students to submit the result of an assignment through Aula Global and may use Turnitin to check the originality of students' work.

4.4 Asynchronous assessment quiz with open-ended and closed-ended questions via Aula Global

Another possible form of assessment is the realization of quizzes in Aula Global. Quizzes may be available for a long period of time, for example for a whole day, so that the quiz can be taken at any time in an asynchronous way. The student, once the quiz is started, may have a limited time to complete the quiz as determined by the teacher in the configuration of the quiz.

The teacher may combine the asynchronous quizzes with the use of the "Respondus LockDown Browser", which blocks the use of additional web pages or applications (except those indicated by the teacher) by the student during the completion of the quiz. This will require each student to install this the Respondus LockDown Browser on his/her computer following the instructions available in Annex I.

4.5 Synchronous assessment quiz with open-ended and closed-ended questions via Aula Global

The teacher can set a start time and an end time for the synchronous assessment exam, which can be done through a quiz in Aula Global (Moodle).

The teacher may combine the synchronous quizzes with the use of the "Respondus LockDown Browser", which blocks the use of additional web pages or applications (except those indicated by the teacher) by the student during the completion of the quiz. This will require each student to install this the Respondus LockDown Browser on his/her computer following the instructions available in Annex I.

The teacher will be present during the exam using Google Meet to answer questions and oversee the proper execution of the exam, as in any face-to-face exams. Therefore, students must activate their camera during the exam.

4.6 Synchronous assessment quiz with paper and pen

In the cases where it is difficult to type the answers only with a computer keyboard, the teacher may set a rather traditional written exam. The result of such exam should be scanned and uploaded in an "Assignment" in Aula Global (Moodle). Free a Cuando sea difícil la entrada de datos solo por el teclado del ordenador, el docente puede plantear un examen escrito convencional. El resultado de dichas prueba deberá escanearse y ser subido como resultado de una "Tarea" en Aula Global (Moodle). Free scanning applications, such as FotoScan ([Android](#), [iOS](#)), HP Smart ([Android](#), [iOS](#)) or OfficeLens ([Android](#), [iOS](#)), can be used for scanning purposes.

On the first page, the student should write the text displayed below. S/he must fill in the fields indicated and sign. When scanning the exam, the student must add the national ID card, or passport. With the signature the student declares that s/he has not used any dishonest practice and that s/he assumes the administrative and disciplinary responsibility that may result otherwise.

I declare that I have carried out the assessment activity in accordance with the indications given and without having used any resource that has not been expressly authorized by the teachers, assuming all the administrative and disciplinary responsibility that could result from the use of any dishonest practice.

Course:
Degree:
Date:
First and Last Name:
ID or Passport Number:
Student ID:
Signature:



National ID, Passport

The [PDF file](#) is provided in case a printer is available.

In the case of assessment activities in which the student must use an iPad or tablet, for example to develop a certain problem in which mathematical, chemical or other formulas have to be written, the outcome of that activity can be uploaded as an "Assignment" in Aula Global (Moodle).

The teacher will be present during the exam using Google Meet to answer questions and oversee the proper execution of the exam, as in any face-to-face exams. Therefore, students must activate their camera during the exam.

5. Other aspects to be considered

5.1 Importance of ethical behaviour

It is important to ensure ethical behavior in the assessment activities, in accordance with the [Instruction](#) of the Vice-Rectors of Studies and of Students, Social Responsibility and Equality on the Legal Regime and Disciplinary Procedure applicable to UC3M students in academic evaluation processes and the sanctions that can be imposed in the event that students commit any of the established infractions. More information about regulations and declarations of an ethical nature are available in the following [link](#).

5.2 Plan B

Teachers must offer an alternative for those students who have not been able to take the exam in the established time and form due to technical problems beyond their control. Plan B could, for example, consist of an individual oral exam with each of the students who have had technical problems. The teacher shall inform the students who have technical problems of the envisaged plan B.

5.3 Students with disabilities and specific educational support needs

Teachers shall ensure that all students are assessed on an equal basis, including those who are part of the Program of Assistance for Students with Disabilities and Special Educational Needs (https://www.uc3m.es/ss/Satellite/ApoyoEstudiante/es/TextoMixta/1371215920222/Dis capacidad_y_NEE). This may require certain adaptations to be made to assessment activities.

Annex I: Respondus LockDown Browser

The Respondus LockDown Browser is a specific web browser that allows increasing the integrity of quizzes done through Aula Global (Moodle) by controlling/blocking the computer applications that the student can use simultaneously.

A special web browser must be downloaded to take the quizzes that are designed making use of the LockDown Browser. The Lockdown Browser will control that no information and software that is not permitted is accessed or used during the exam. The link to download the LockDown browser is:

<https://download.respondus.com/lockdown/download.php?id=242125343>

See additional installation help, if needed, in the following guides:

- [Guide for the installation of the LockDown Browser \(Windows\)](#)
- [Guide for the installation of the LockDown Browser \(Mac OS\)](#)

Annex II: Information on the processing of personal data by the University

Universidad Carlos III de Madrid, due to the cancellation of face-to-face classes, must adopt technical and organizational measures aimed at ensuring the continuation of the public service of higher education entrusted to it by the legal system. One of these measures is the use of a virtual academic assessment environment that involves the processing of identification, image and audio data, depending on the configuration.

This circumstance means that a new processing of personal data will be carried out by the University. Therefore, in the condition of being controller, and in compliance with article 13 of the Regulation (EU) 2016/679 of the European Parliament and of the Council, of 27 April 2016, regarding the protection of natural persons with regard to the treatment of personal data and the free circulation of these data (General Data Protection Regulation -GDPR-), the following information is provided:

Basic information on data protection

CONTROLLER: Universidad Carlos III de Madrid.

IDENTIFICATION OF PROCESSING: Online academic assessment

PURPOSE: Documentation, development and implementation of academic assessment activities of students at the University in a non-presential way using online technologies, and control of possible arbitrary, fraudulent or illegal actions. The treatment may include the recording of assessment activities and exams taken online for the following purposes:

- a) Its use in the score review processes
- b) The accreditation and evaluation of university degrees and studies.

EXERCISE OF RIGHTS: You may exercise your rights of access, rectification, erasure, right to restriction of processing, data portability and to object, by sending an e-mail to the following email address: dpd@uc3m.es

ADDITIONAL INFORMATION: Additional and detailed information about our Privacy Policy can be found at <https://www.uc3m.es/protecciondedatos>

VERY IMPORTANT: Taking into consideration that the exams and recordings are made in the student's home environment, in order to affect privacy as little as possible, the exams and recordings must be made in an environment that is as anonymous as possible, avoiding images of personal data of the person concerned or third parties, as well as voices of third parties during the realization of such exams. It is recommended to inform the people who live with the student of the recording so as not to access the environment in which the exam is being carried out.

During the assessment process it is forbidden to record, distribute or disseminate personal data (image and sound) of other participants (students and teachers) that could be accessed during the process, and particularly to share them in social networks or services dedicated to sharing notes.

The University is exempt from liability in the event of failure to follow the above indications and recommendations, without prejudice to disciplinary and academic responsibilities and any other order in which the student may incur if s/he fails to comply with them.