

ABAC Proctoring Procedures

In view of the fact that proctoring is required of all instructors at Assumption University, please be reminded of the following:

1. **Proctors are required to pick up examination packages from the Department of Academic Documents and Examination at least 20 minutes before the scheduled examination time** (due to distance between the office and examination rooms, the office would normally allow proctors to pick up the packages 30 minutes before the exam time to ascertain the adequacy of travelling time for proctors to arrive at their assigned examination rooms and complete question papers' and students' answer sheets' distribution process before the commencement of examinations). **Upon dispatching of stand-bys**, which usually is executed approximately **20 minutes** before the examination time, to complete a question papers' distribution process in place of proctors who could not arrive at the office to pick up the packages according to the **stipulated time, the proctors concerned would be reported as "being late", and subsequently as "absence from duty" if their arrival time is more than 30 minutes after examinations have commenced.**
2. Proctors need to write seating and row numbers on the upper right-hand corner of question papers and answer sheets, e.g., 1/5 where 1 represents a seating number and 5 a row number, after placing question papers and answer sheets on the desks to facilitate the seat-finding process for students and the arrangement of question papers and students' answer sheets at the end of examination.
3. Proctors are not permitted to read, write, grade students' assignments and/or answer scripts, engage in discussions with other proctors, walk outside examination rooms, listening to music while carrying out proctoring duties. Engaging in such activities could distract proctors' attention away from students' need for assistance or an attempt to commit academic dishonesty.
4. Proctors are not allowed to leave an examination room unattended. Normally, assistant supervisors would be assigned to visit examination rooms twice in mid-term examinations and thrice in final examinations to allow on-duty proctors to go to restrooms.
5. Proctors are required to inform an examination director (Suvarnabhumi campus - ext. 2603, 2604, 2568; Huamak campus – ext. 1105, 1114) to dispatch assistant supervisors to accompany students to restrooms in case they make a request, and thereafter to a specially assigned exam room to finish their examinations. In this regard, before leaving examination rooms, the assistant supervisors would need to take the students' question papers, answer scripts, and belongings to give to the students at the specially assigned exam room to complete their examinations, which will be supervised/proctored by another proctor. **Note:** Students are not allowed to go to restrooms by themselves.
6. Proctor must ascertain that students:
 - 6.1 **immediately enter examination rooms** - students are normally allowed to enter examination rooms five minutes before the examination time to fill in their personal information i.e. names, ID codes, section, subject's title and code.
 - 6.2 **obtain the "late arrival form"** bearing an Examination Director's signature and the University's stamp **from a Director of Examination at the Department of Academic Documents and Examination** ("D" building, Huamark campus, or "SM 105", Suvarnabhumi campus) if students' arrival time at examination rooms exceeds 10 minutes after the examination commencement time, **and present it to proctors**, without which the students would not be allowed to take examinations.
 - 6.2.1 To assist a Director of Examination in making a proper decision regarding late arrival students' request to take examinations late, proctors are required to provide the following information in the "late arrival form", given in the examination packages, that the students would present to a Director of Examination:
 - ✓ Proctors' name and ID, important information that would ensure the authenticity of the information proctors provided in the form. (Note: The consistency of the proctor's name and ID provided on the late arrival form and those on the proctor list available at the Department of Academic Documents and Examination would ascertain the genuineness of the information on the form, i.e., the student's arrival time and examination room). To ensure that there will not be any tampering of the information on the form; proctors should always sign their names next to the corrections.

- ✓ The students ID.
- ✓ The students' arrival time, and
- ✓ The examination room – a distance between the examination room and the Department of Academic Documents and Examination might lengthen the students' arrival time at the Office; the condition an Examination Director would need to take into account when deciding whether the students should be granted permission to take the examination.

Note:

1) Tardy students may directly contact and obtain permission to take examinations from an Examination Director. In this regard, they must present to proctors the late arrival form bearing an Examination Director's signature, the University stamp, and pertinent information i.e., examination room number, students' name and ID. Their claim of being granted permission without the presence of the form with an Examination Director's signature and the University stamp is unacceptable.

2) The students with permission must not be given extra time, hence the collection of their answer sheets would be at the end of examination time.

3) Should the students maintain their obstinate refusal to comply with proctors' instruction for them to obtain permission from an Examination Director, they should not be allowed to take that examination, and instead should be advised to request a late examination for the subject concerned from the "Late Examination Committee" (Details regarding application processes as well as an application deadline are available at www.registrar.au.edu.au.)

4) In case the students insist to sit for the examination, proctors need to 1) state on the cheating report form (provided in the examination package) their arrival time, and details of their violations of examination regulations, e.g., *"The student refused to obtain required permission to take examination from the Examination Director and insisted to take the examination"*, and 2) inform them that information pertaining to their cases will be submitted to the "Cheating Investigation Committee" for investigations and that they will not be allowed to sign their names on the examination roster as their arrival time exceeds the 10 minutes allowable late arrival time (Reference: **Essential Examination Regulations Undergraduate Students Need to Observe**, item no. 2 announced in the AU Spark). Note: The students' answer sheets as well as the cheating report forms must not be put in answer sheets bags.

5) At the end of examinations, at the Office of Registrar, the students' answer sheets as well as the cheating report form containing pertinent information must be submitted to a registrar officer who will receive answer sheets bags.

- 6.3 **wear Assumption University undergraduate student uniform.** Should students dress differently from the uniform specified in the university dress codes stipulated for undergraduate students to wear when they have examinations/formal tests they must be informed to obtain permission to take the examination from a Director of Examination (**the Department of Academic Documents and Examination, "D" building, Huamark campus, or "SM 105", Suvarnabhumi Campus**). Students who could not present the permission note must not be allowed to enter the exam room, irrespective of their reasons. Note: In case the students refuse to comply with the instruction and insist to take the examination, proctors need to follow suggestions 4 and 5 under 6.2.1

- ✓ Female students must wear a black or navy-blue skirt, white blouse with the university's button, pin and buckle, and black leather shoes.
- ✓ Male students must wear black or navy-blue trousers (trousers in jean styles, or made of jeans, velvet or corduroy materials are not acceptable), a white short-sleeved or long-sleeved shirt, the university necktie and buckle, and black leather shoes.
- ✓ **Gender incongruence students** who dress differently from their genders **need to present a special ID card** bearing the students' photographs, and VP for Academic and VP for Students Affairs' signatures, issued by the CSPCL to proctors before entering examination rooms, otherwise they need to contact the CSPCL office (SM 106) to obtain a temporary special ID card. Note: The CSPCL, in its archive, has the record of permission granted to the students petitioned to dress differently from their genders and hence can issue a temporary memo to students to substantiate their claim.

The students who did not have records in the archive would not be able to obtain the special ID on the examination date and hence should be advised to apply for late examinations.

In case proctors notice their gender incongruence before signing their names, their student ID cards need to be confiscated and submitted to the Office of Registrar at the end of the examination – **the students are fully aware of the condition requiring them to present the special ID to lecturers and officers upon request, and proctors before entering examination rooms, which is stated on the reverse side of the ID cards**, hence are obliged to fulfill the requirement during the examination period. In such a case, the students would need to apply for their new student ID cards at the Office of Registrar.

6.4 present their valid university ID. card and sign their names on the examination roster approximately 10 minutes after the start of the examination.

6.4.1 Prior to receiving permission to enter examination rooms, students need to present their ID cards (as well as their special ID cards for gender incongruence students). Students with expired ID cards must contact the Office of Registrar to obtain a temporary ID card. Students with expired IDs, who arrived at the examination room within 10 minutes after the examination had started, should be allowed to appear for their examination once they returned from the Office of the Registrar with the temporary ID card. The minimum time for applying and issuing the new ID card is approximately 20 minutes. (Reference: **Essential Examination Regulations Undergraduate Students Need to Observe**, item no. 3 announced in the AU Spark.)

Note: In case the students refuse to comply with the instruction for them to obtain a temporary ID card and insist to sit for the examination, proctors need to follow suggestions 4) and 5) under 6.2.1

6.4.2 Students, irrespective of reasons are not allowed to leave their examination rooms without signing their names on the examination list. Violating this regulation to claim absence from the examination will subject students to the terms of punishment for cheating cases.

Note:

1. In case the students decline to comply with the instruction for them to sign their names on the examination roster, proctors need to follow suggestions 4) and 5) under 6.2.1.

2. In case of emergency, i.e., students need urgent medical attention; proctors should contact an Examination Director at the Department of Academic Documents and Examination to dispatch a supervisor to accompany students to an infirmary room. Prior to leaving the examination room, students nonetheless are required to sign their names.

6.4.3 While obtaining students' signatures, proctors should check whether their pertinent information i.e., name, ID Code, and section is clearly written on their answer sheets to prevent them from turning in unnamed-blank-answer sheets, and subsequently claiming that their answer sheets are missing and requesting for a "make-up" examination.

6.5 place books, notes, and handbags in front of, or along the side of large examination rooms i.e. Assembly Hall, Salle D'Expo, SG 503, SM 509-510, SR 501.

6.6 place only their ID cards, and necessary equipment i.e. calculator, pencils, erasers, rulers, on their desks, (no pencil boxes or pouches - the common places where students usually conceal their examination short notes - are allowed on the desks) and place their pencil boxes, "switched-off mobile phones, tablets," on the floor under their desks or chairs, otherwise they have to keep them in their bags placed in front of examination rooms. Students are to ask for permission to obtain their belongings from their wallets or pencil boxes placed underneath their desks. If necessary, proctors can verbally announce this regulation at the beginning of examinations.

6.6.1 **During the first five minutes** of the examination, students might find some notes they have brought into examination rooms and would want to submit them to the proctors. In such a case, it is unnecessary to fill the information in the cheating report form as the students voluntarily submit the notes; hence the alleged academic dishonesty case will not be applied to them. However, the students' notes, and information about their names and ID codes as well as the subject title should be submitted to the Office of Registrar at the end of examination time, as they will be subsequently recorded in the

students' file at the Office of Student Affairs and cited in the warning issued by the office to the students.

- 6.7 do follow the stated instructions on the cover sheet of the examination paper properly, e.g., whether the use of calculators with specific model(s) is allowed, or whether the examination is an open book. In case of doubt, contact an Examination Director for clarification and/or assistance.
 - 6.8 do not communicate with any students in the examination room. Their need for assistance can be directly conveyed to the proctors, e.g., borrowing writing instruments or seeking information about their enrolled sections. If the communication persists, despite the warning, the students should be informed that their action will be reported to and investigated by the Cheating Investigation Committee, the incidents should be described in the cheating report form, and the report be submitted to the Office of Registrar at the end of examination.
 - 6.9 do not leave examination rooms within the first 30 minutes of examinations. **Note:** In case students:
 - 6.9.1 refuse to comply with the instruction, proctors need to follow the suggestions 4) and 5) under
 - 6.9.2 request to go to restrooms, proctors can contact an Examination Director for assistance.
 - 6.10 be informed of the remaining examination time approximately 30 minutes before the end of the examination time and at 5 minutes to remind students to ascertain that their names, IDs and sections are properly written on their answer sheets.
 - 6.10.1 At the end of the examination time, students must be instructed to stop writing and put their pens down. Students, especially freshmen, might not have good English proficiency to understand instructions in English, hence the instructions should be slowly and clearly given.
 - 6.10.2 Should the students refuse to submit their answer sheets, they should be informed of their violation and that their cases would be reported to the "Cheating Investigation Committee" for further investigation, and the "Violate the stop-writing Instruction" remark should be written on the upper right-hand corner of their answer sheets. The proctors should separately submit the students' answer sheets and question papers to the Office of Registrar. **Note:** Some students would not stop writing at the end of examination time despite the instruction for them to stop writing, using the excuse to write their names etc., hence the 5-minute warning mentioned in 6.9 would essentially negate their excuse.
 - 6.11 **do not take the question papers out of the examination room. Attempting to do so is tantamount to cheating.** Proctors are required to ascertain at the end of examinations the consistency between the number of students' answer sheets and the number of distributed question papers, which otherwise would indicate the missing question papers. In such cases, proctors should report the incidents on the cheating report form with the seating numbers of the students concerned to facilitate the identification of the students and the subsequent investigation and submit it to a registrar officer at the end of the examination.

In case proctors in the subsequent examinations find uncollected question papers with the seating number of students and/or students' answer sheets in the examination rooms, the case should also be reported on the form and submitted to a registrar officer at the end of the examination for further investigation.
 - 6.12 **do not loiter in the hallway or corridor while examinations are in progress.** Proctors do have the authority to instruct students to leave the area. Should they refuse to follow the instructions, their students' ID cards must be seized and submitted to the Office of the Registrar.
7. Should students be caught or suspected of committing academic dishonesty during the exam, proctors must:
- 7.1 **inform the students about the nature of academic dishonesty,** a very crucial step that would enable them to acknowledge the allegation and prepare their defense before meeting the "Cheating Investigation Committee" in case the students feel that they are innocent.
 - 7.2 Confiscate the pertinent evidence, including cellular telephone, that allegedly are used in academic dishonesty, and submit them together with the cheating report form with details pertaining to the case to a registrar officer at the end of the examination. In case the students refuse to surrender the evidence, proctors can cite instruction no. 2 on the examination cover sheet asserting proctors'

authority to seize their belongings involved in their alleged academic dishonesty and contact an Examination Director for assistance.

Note: It is important that materials in the phones, i.e., images of lecture notes, line messages, photographs - the essential evidence that is of interest to the Cheating Investigation Committee in their investigation as it would ascertain its validity and significance of the allegation, and fairness of the committee in ruling the case, be available for the committee's investigation, hence the necessity of the seizing of the phones concerned.

- 7.3 **write "Forward to Cheating Investigation Committee" on the upper right-hand corner of the students' answer sheets.**
- 7.4 **in the "Cheating Report Form" provided in the examination package, briefly describe the situation/the students' actions that attracted proctors' attention and led to the apprehension, and mark "X" in the given ☐ in front of the statements pertaining to the alleged academic dishonesty case.**
- 7.5 **ask the students to sign their names under the description to acknowledge the allegation and write their contact telephone numbers in the space provided in the form** to facilitate appointments for the investigations that would take place after the examination period. Should the students refuse to sign their names, student(s) sitting behind or near the students could be requested to be the witnesses to testify a denial of the students to sign their names.
- 7.6 **allow the students to continue their examination until the end of the exam** (proctors are not entitled to judge the relevance of the evidence).
- 7.7 **submit the "Cheating Report Form" and the evidence** i.e. cell phone, notes, rulers, handkerchief, etc., together with the students' answer sheets, **to a registrar officer at the end of the examination.**
8. To ensure that all question papers as well as answer sheets are properly collected, and to prevent students from taking out their answer sheets or turning in unnamed-blank-answer sheets to claim missing papers and petition for the "make-up" examination, proctors should give instructions about 15 minutes before examination ends to students who have finished their exam to hand in their answer sheets and question papers to the proctors.
 - 8.1 **In a small examination room**, if many students remain in the room at the end of exam time, students must be instructed to stop writing, put their pens down, and remain on their seats until their answer scripts and question papers are collected. Note: Proctors are advised to use recommendations stated in 6.9.2 if students are found to defy the instruction. For security purposes, to ascertain a complete collection of students' answer sheets, the collection should be carried out row by row, starting with the row closest to the entrance/exit to prevent any student from taking out his/her answer sheets unnoticeably. Students sitting in a row where their answer sheets are collected should be allowed to leave the exam room.

The use of an alternative method of allowing students to put their answer sheets on the desks and leave the examination room, though facilitates the checking and arrangement of students' answer sheets, could result in the loss of students' answer sheets as proctors might not be able to monitor whether students put their answer sheets on their desks before leaving the exam room.
 - 8.2 **In a large examination room/hall with many students**, two or more proctors are usually assigned to proctor the examination. At the end of the examination, if many students remain in the room, one proctor could be assigned to control the students to stop writing, remain in their seats, and not communicate with others; while another collects students' answer sheets starting with the row closest to the entrance/exit to prevent any student from taking out his/her sheets unnoticeably.
9. Once the answer sheets are collected, it is necessary that the students' ID nos. on the answer sheets be checked against those on the examination roster to ensure that all answer sheets are collected and arranged according to their ID nos. Alternately, collected answer sheets can also be arranged according to students' seat and row number written on the upper right-hand corner of students' answer sheets. Answer sheets and question papers should be put in two separate envelopes - one for answer sheets, and the other for question

papers, and be submitted together with the examination roster to the Office of the Registrar after the examination.

10. If it appears that any of the students' answer sheets and/or question papers are missing, it is essential for the proctors to report the case on the form provided at the Office of Registrar when submitting the examination documents by stating the students' names and ID codes as well as other pertinent situations, Note: In case proctors in the following round of examination found uncollected students' answer sheets, they need to collect and submit the sheets to the Office of Registrar at the end of the examination, and write a brief report in the form provided at the office.
11. Proctors are reminded that their role in proctoring, facilitating the examination process, and taking preventive measures to deter any academic dishonesty during the examination are of interest both to the students as well as the administrators, hence the necessity of carrying out the proctoring procedures in the most conscientious manner.
12. Proctoring performance is a part of instructors' annual performance evaluation and bonus determination. All reports concerning the deficiencies or oversights in performing proctoring duties submitted to the Office of Human Resource Management would be used in evaluating instructors' annual performance and determining their bonuses.

Asst.Prof.Dr.Wanida Ngienthi
Head of Proctors Scheduling and Control
Extension 1143, 1180, 1181