**Pandemic Response: Online Exam Security & Academic Integrity Considerations for Online Testing**

The following checklist is for informational purposes and is not legal advice. Please consult your attorney for specific legal guidance.

**Checklist for the Institution / Program**

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| **Initial Assessment Considerations** | Yes | No | Notes / reminders |
| Do you have a testing window (as opposed to a test event where all test takers test at same time)? |  |  |  |
| Will you require submission of audio or other others (e.g. computer code, demos)? |  |  |  |
| Do you have multiple forms of the test? |  |  |  |
| Have you defined what technology is needed to securely test? (e.g., lockdown browser, webcam, etc.) |  |  |  |
| Have you accounted for the number of test takers needing to be tested? |  |  |  |
| Have you considered what test takers should have available to them during the test? |  |  |  |
| Do you have a plan for administrator/educator and proctor training? |  |  |  |
| Have you considered how you will handle accommodations (such as extended time or a screen reader)? |  |  |  |
| **Identification** | Yes | No | Notes / reminders |
| Have you determined the type of identification you will require (e.g. roll call, personal recognition, identification card, government issued photo identification, biometrics)? |  |  |  |
| Will you require the test taker to present an identification card? |  |  |  |
| * If yes, what type? (e.g. School ID; government issued photo ID, etc.) |  |  |  |
| * If yes, what “matching criteria” will you use? (e.g. photo, name, etc.) |  |  |  |
| * If yes, how are you recording this activity or information (e.g. checklist, photo of ID, etc.) |  |  | See Sample Checklist below |
| * Do you have documentation to capture how you will use this information? |  |  |  |
| * Do you have a written plan that directs the actions you want a proctor to take if they have concerns that the identification card does not match? |  |  |  |
| Will you capture biometric data for identification? If yes: |  |  |  |
| * What type? (e.g. facial recognition, voice recognition, etc.) |  |  |  |
| * What “matching criteria” will you use? (e.g. photo, name, etc.) |  |  |  |
| * Do you have documentation to capture how you will use this information? |  |  |  |
| Have you notified the test taker of what information you are gathering and how it will be used? |  |  | See Privacy Considerations |
| Do you have a secure storage and retention plan for any photos or biometrics captured? |  |  |  |
| **Expectations and Agreements** | Yes | No | Notes / reminders |
| Will you remind students of the applicable Honor Code? |  |  |  |
| Do you have additional test specific expectations to provide the test taker? |  |  |  |
| * Do you know how you will provide those additional expectations (e.g., on screen, by email)? |  |  |  |
| Do you plan to capture test taker agreement to testing rules? |  |  |  |
| * If so, do you know how you will capture a record of the agreement (e.g., electronic signature, verbal consent)? |  |  | Consider FERPA requirements here |
| * If so, do you know how you will store the agreement? |  |  |  |
| **Test Monitoring Considerations** | Yes | No | Notes / reminders |
| Have you decided the type of monitoring (self, record, record and review, live online proctoring)? |  |  |  |
| Have you defined what is authorized behavior? (e.g., open book v. clear desk) |  |  |  |
| Have you defined consequences for engaging in unauthorized behavior? |  |  |  |
| Have you communicated this information to the test taker? |  |  |  |
| Will this be a live proctored event? If yes: |  |  |  |
| * Have you communicated to the proctor what is considered authorized and unauthorized behavior and the consequences for same? |  |  |  |
| * Have you identified when the proctor should intervene? |  |  |  |
| * Have you defined how the proctor should report concerns? |  |  |  |
| * Have you provided instructions how and to whom a report should be delivered? |  |  |  |
| * Do you need to prepare proctor training materials? |  |  |  |
| * Will you audit the proctor’s performance? |  |  |  |
| Will this be a record and review event? If yes: |  |  |  |
| * Who will review the event? |  |  |  |
| * Have you communicated what behavior is authorized? |  |  |  |
| * Have you defined how the reviewer should report concerning behavior (e.g. time stamp, suspect behavior)? |  |  |  |
| * Have you provided instructions to the reviewer regarding how and to whom a report should be delivered? |  |  |  |
| **Post-Test Considerations** | Yes | No | Notes / reminders |
| Will you remind test takers again of confidentiality expectations? |  |  |  |
| Are you planning any post-test analyses? |  |  |  |
| Is there a process for students suspected of engaging in unauthorized or irregular behavior? |  |  |  |
| Do you know how you will retain test results and proctor reports? |  |  |  |
| **Privacy Considerations** | Yes | No | Notes / reminders |
| Are you using a third party vendor to help deliver your online test or monitor test takers? |  |  |  |
| Is the vendor acting under the “school official” exception of FERPA so consent from student/parent/guardian is not required? |  |  |  |
| Are state laws and school requirements being followed by vendors?   * Written contract requirements * Legitimate educational purpose * Specify PII collected * No sale, rental, licensing of student PII * No target ads/profiling (k-12); opt out * Encryption * Protection of student PII * Nondisclosure of PII |  |  |  |
| Have you or your vendor provided clear, easily understandable notice to students about new procedures? |  |  |  |
| If applicable, have you included international requirements? (Lawful bases, individual rights, etc) |  |  |  |
| Are students provided with notice of test security measures used and the purpose?   * state issued id (stored or not) * camera monitoring (surroundings, keyboard, other) * browser lockdown * keystroke monitoring * AI/Machine learning to detect cheating, IP misuse) * Biometric usage (note state restrictions in IL and NYCPS) |  |  |  |
| Have students been advised to follow protective steps? (watch-outs for phishing, use of VPN, multifactor authentication) |  |  |  |

**Sample Checklist for Proctor**

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| --- | --- | --- | --- |
| **Identification** | Yes | No | Notes / reminders |
| Is identification required? |  |  |  |
| Did the test taker present the correct type of identification? |  |  |  |
| Does the photo match the presenter? |  |  |  |
| Does the name on the ID match the name on the roster? |  |  |  |
| **Authorized Behavior** |  |  |  |
| Are testing aides permitted? |  |  |  |
| Are accommodations approved? |  |  |  |
| Is a clear desk required? |  |  |  |
| Did any irregularities arise during the assessment event? |  |  |  |