

# ASSESSMENT (COURSEWORK, TESTS AND EXAMINATIONS) PROCEDURES 2021

(Formerly *Instructions to Examiners and Assessors*)

***NB: 2022 temporary amendments to aegrotat and compassionate consideration procedures have been updated within***

## **Application**

These procedures apply to all staff members, and students in undergraduate and postgraduate taught courses. Separate policy and guidance documents govern the examination of postgraduate research and doctoral students.

## **Purpose**

The purpose of these procedures is to provide information for staff and students about processes of **assessment** in undergraduate and postgraduate taught courses.

These procedures should be read with the [Assessment \(Coursework, Tests and Examinations\) Policy](#).

Note: these procedures replaced the material on coursework, tests and examinations in the *Instructions to Examiners and Assessors* on 1 December 2019.

## **Background**

The policy and procedures are underpinned by the University's **assessment principles**, which outline the University's approach to fair and transparent assessment that contributes to student learning.

The Assessment (Coursework, Tests and Examination) Procedures are reviewed annually by the Provost's Office and Assessment Services and approved by Senate and Council through Education Committee.

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## Deadline dates for submission of information to Assessment Services 2022

	Sum. School	Q1	Sem 1	Q2	Q3	Sem 2	Q4
<b>Start of semester/quarter</b>	<b>Thu 6 Jan</b>	<b>Mon 10 Jan</b>	<b>Mon 28 Feb</b>	<b>Mon 4 Apr</b>	<b>Mon 27 June</b>	<b>Mon 18 July</b>	<b>Mon 19 Sept</b>
<b>Course View open for Faculty Academic Services to update coursework and examination details</b>	Thu 18 Nov 2021 [Wed 16 Nov 2022 - for 2023]	Mon 22 Nov 2021 [Sun 20 Nov 2022 - for 2023]	Mon 14 Feb	Sat 19 March	Mon 13 June	Mon 4 July	Mon 5 Sep
<b>Examiner and Assessor panel opens in CS9 for Group Services</b>	Mon 22 Nov 2021 [Sun 20 Nov 2022 - for 2023]		Wed 23 Feb			Fri 8 July	
<b>Deadline for coursework and exam details to be returned via Course View</b>	Thu 2 December 2021 [Wed 30 Nov 2022]	Mon 6 Dec 2021 [Sun 4 Dec 2022]	Fri 25 Feb	Sat 02 Apr	Fri 24 Jun	Fri 15 Jul	Fri 16 Sep
<b>Exam timetable published</b>	Wed 26 Jan	Fri 11 Feb	Thu 7 Apr	Fri 06 May	Fri 29 Jul	Fri 26 Aug	Friday 21 Oct
<b>Exam questions submitted to Assessment Services</b>	Wed 2 Feb	Tue 16 March		Wed 8 Jun	Wed 31 Aug		Wed 23 Nov
<b>- Exams in week 1 (Thu-Sat) and Week 2 (Mon-Sat)</b>			Mon 16 May			Mon 3 Oct	
<b>- Exams in Week 3 (Mon-Mon)</b>			Mon 23 May			Mon 10 Oct	
<b>Examinations begin</b>	<b>Mon 14 Feb</b>	<b>Sat 26 March</b>	<b>Thu 09 Jun</b>	<b>Sat 18 Jun</b>	<b>Sat 10 Sep</b>	<b>Thu 27 Oct</b>	<b>Sat 3 Dec</b>
<b>Examinations end</b>	<b>Wed 16 Feb</b>	<b>Sat 26 March</b>	<b>Mon 27 Jun</b>	<b>Sat 18 Jun</b>	<b>Sat 10 Sep</b>	<b>Mon 14 Nov</b>	<b>Sat 3 Dec</b>
<b>Final deadline for results submission</b>	Tues 22 Feb	Tue 05 Apr	Thu 7 July	Tues 28 Jun	Tue 20 Sep	Thu 24 Nov	Tue 13 Dec

All general enquiries from staff - [results@auckland.ac.nz](mailto:results@auckland.ac.nz)

All queries regarding results or exam paper upload - [results@auckland.ac.nz](mailto:results@auckland.ac.nz)

All queries regarding aegrotats - [aegrotats@auckland.ac.nz](mailto:aegrotats@auckland.ac.nz)

All queries regarding special conditions - [specialexams@auckland.ac.nz](mailto:specialexams@auckland.ac.nz)

## PROCEDURES

### The role of Course Directors

Notes: specific tasks by role and assessment procedure for undergraduate and postgraduate taught courses are outlined in the Assessment (Coursework, Tests and Examinations) Policy, and further detailed in [Appendix 3](#). Responsibilities for assessment tasks are indicated in the right-hand margin of these procedures

1. A Course Director (and Course Coordinator, where that role is separate from the Course Director) must be appointed for every course. The Course Director is responsible for the design, approval, monitoring and implementation of assessment at the course level. A Course Director may delegate some responsibilities to a Course Coordinator.  
Note: a Course Director must be able to demonstrate to their Academic Head that they are research-informed.  
Teaching Assistants, Graduate Teaching Assistants and Tutors are not eligible to be appointed as a Course Director.
2. Course Directors must be nominated and appointed through the *Nominees Report* available in [Student Services Online](#) (SSO), which is approved by the Academic Head and submitted to the Examination Services Office (ESO). Academic Heads must take into consideration the teaching experience of any nominees for the role and ensure that they are research-informed.

*Course Director*

*Academic Head*

### Assessment design

#### Programme-level assessment design

3. Across courses and within the programme, the overall design of assessment must provide opportunities for students to attain all programme capabilities.  
Note: in programmes where students may choose multiple pathways for progression, faculties have discretion to determine the ways in which assessment design across the programme is as holistic as possible.
4. When new programmes, majors or specialisations are put forward for consideration by the Committee on University Academic Programmes (CUAP), Academic Programmes Committee (APC) must receive information on how planned assessment will meet programme graduate capabilities.

*Proposing faculty*

**Role responsible**

5. Where possible, the timing of assessment tasks within a programme must take into account the requirements of other courses to ensure assessment is not 'bunched'.

Course-level assessment design

6. Assessment design for new courses is undertaken by academic staff at the level of the academic unit or programme, and approval is a faculty responsibility. Where assessment in new courses is proposed, faculty processes must ascertain that it is appropriate, sustainable, and academically sound and that it aligns with the provisions of this policy. *Associate Dean (Academic)*
7. **Coursework** must be allocated a percentage of marks awarded for the course, the remainder being allocated to tests and the written examination. These allocations are the responsibility of Course Directors. *Course Director*  
Note: See Policy s.21
8. To ensure coherence and alignment of assessment with learning objectives, Course Directors are responsible for ensuring that: *Course Director*
- assessment is designed and implemented in the context of the whole course and its learning objectives
  - end-of-course reviews include an evaluation of assessment tasks and outcomes across the course.
9. Course Directors are responsible for ensuring that where group assessment forms part of a course: *Course Director*
- the design of the assessment, including the size of working groups, the mark composition, and assessment criteria must be determined by the learning objectives of the material involved.
- Note: see Policy s.18
- students must be clearly informed of what is expected of them in a group task, and exactly what is being assessed.
10. Course Directors must ensure that courses do not allocate weighted items of assessment for attendance (as distinct from participation). Where marks are awarded for participation there must be a clear description of the criteria against which performance will be measured. *Course Director*
11. Course Directors must ensure that where question banks are maintained for assessment tasks they are of sufficient size to allow the appropriate re-design and cycling of questions. The problems set will be designed to test higher-order thinking skills. *Course Director*

- |   | <b>Role responsible</b>                           |
|---|---|
| <p>12. Course Directors are responsible for maintaining appropriate assessments for <b>concurrently</b> taught courses.</p> <p>Note: faculties must submit a three-yearly report to Academic Programmes Committee to attest that courses taught concurrently are assessed separately, with different assignments, tests and examinations set for each level using methods and standards appropriate to the level of enrolment. See <a href="#">Concurrent Teaching Policy</a></p>   | <p>Course Director</p>                            |
| <p>13. Associate Deans (Learning and Teaching) are responsible for approving the use of plussage as appropriate to the structure of course assessment and the learning outcomes to which they relate.</p>   | <p>Associate Dean<br/>(Learning and Teaching)</p> |
| <p>14. Requests for exceptions to the following policy requirements will be made to the faculty Associate Dean (Learning and Teaching):</p> <p style="padding-left: 40px;">a. approval for a plussage arrangement that allows less than 30% of the final grade to be derived from coursework (see Policy, s.21)</p> <p style="padding-left: 40px;">b. approval for tests with a weighting higher than 20%, including take-home tests, to be conducted in the final week of teaching (see Policy, s.22).</p> <p>Note: In each case applicants must make the case for exemption based on the specific academic circumstances of the course and must ensure approval is granted before the <a href="#">deadline</a> for submission of assessment information in Course View</p>                                    | <p>Associate Dean<br/>(Learning and Teaching)</p> |
| <p>15. Requests for exceptions to the following policy requirements will be made to Education Committee:</p> <p style="padding-left: 40px;">a. approval to have the component assessing individual contribution worth less than 40% of a group work assessment (where that group work assessment has a weighting of higher than 30% of the final grade) (see Policy, s.18).</p> <p style="padding-left: 40px;">b. approval for less than 50% of the assessment of a stage one course to occur in invigilated settings (see Policy, s.20).</p> <p>Note: In each case applicants must make the case for exemption based on the specific academic circumstances of the course and must ensure approval is granted before the <a href="#">deadline</a> for submission of assessment information in Course View.</p> | <p>Course Director</p> <p>Education Committee</p> |

Assessment approval and information

- |  |   |
|--|---|
| <p>16. Digital Course Outlines (DCOs) contain summary information on assessments for each course, including assessment type, weighting, and alignment with course learning outcomes. DCOs are approved by Academic Heads and published by Associate Deans (Learning and Teaching).</p>                               | <p>Course Director</p> <p>Academic Head</p> <p>Associate Dean<br/>(Learning and Teaching)</p> |
| <p>17. Examination details (including examination mode and duration, plussage arrangements, calculator and/or book restrictions if applicable, and any special timetabling requests) are approved by the Academic Head and submitted through the online Course View application by the <a href="#">published</a></p> | <p>Course Director</p> <p>Examiners</p> <p>Academic Head<br/>(or delegate)</p>                |

[deadline](#). Changes made to assessment details after submission must be approved by the Academic Head (or delegate) and re-submitted via Course View.

### **Appointment of Examiners, Assessors and Moderators in undergraduate or postgraduate taught courses**

- |     |  |  |
|-----|--|--|
| 18. | Each course must be examined by more than one member of staff, or examined by one member of staff and assessed by another. An Academic Head may in exceptional cases, vary this requirement.   | <i>Examiners</i><br><i>Academic Head</i> |
| 19. | Examiners and Assessors are appointed through the Nominees Report available in SSO which must be approved by the Academic Head and submitted to the ESO. Examiners and Assessors appointed from within the university system are not paid a fee.<br><br>Note: PTFs and Senior Tutors appointed as examiners or assessors must teach the course in collaboration with a research-active academic (see s 1). | <i>Academic Head</i>                     |
| 20. | Changes in nominations of Course Director, Examiner or Assessor must be advised to the ESO on the <a href="#">AS-44 Changes to Nominations Form</a> and approved by the Academic Head.   | <i>Academic Head</i>                     |

### **Management of assessment**

#### Feedback to students

Note: see Assessment (Coursework, Tests and Examinations) Policy.

- |     |   |                        |
|-----|---|------------------------|
| 21. | <b>Feedback/feedforward</b> to students on coursework may vary in method, but must address performance against the learning objectives and criteria set for the assessment task.      | <i>Course Director</i> |
| 22. | Course Directors must ensure that students receive feedback/feedforward on an early assessment exercise in time to assist students to prepare for their first substantive assessment. | <i>Course Director</i> |
| 23. | The University does not provide feedback to students, other than a grade, on performance in examinations.   |                        |
| 24. | The University does not provide in all cases individual feedback on written tests. Students will receive generic feedback on class performance in a test.                             |                        |



Advice to students

Note: see Assessment (Coursework, Tests and Examinations) Policy.

25. University and programme Graduate Profiles must be available to students.
26. Course outlines must be published in Canvas no later than two weeks prior to the start of teaching. Specific criteria for an assessment task must be made available to students at the time a task is set. *Course Director*
27. Students who intend to present all or part of an examination or coursework in Te Reo Māori must give notice in writing to the Course Director (or appropriate person) in the relevant faculty or academic unit within the first week of the semester or the first week of the quarter in which the course is being taught. *Course Director or Coordinator*
28. A student may not use Te Reo Māori for coursework, tests or examinations where:
- a course is taught fully or partly in a language other than English or Māori and the course requires students to demonstrate their knowledge and understanding in that language, or
  - where knowledge and understanding in the English language is central to the objectives of all or part of the course.
- Note: see [Te Reo Māori in Teaching, Learning and Assessment Procedures](#).
29. Substantive changes to assessment made after the course start date must be unanimously approved by the students affected, and approved by the Academic Head and Dean of the faculty. *Academic Head*  
*Dean*
- Note: Substantive changes are changes that affect task weighting or the nature of assessment tasks or where the deadline for an assessment task is shifted to a date earlier than originally set.
30. Substantive changes to assessment must be publicised to students within the period of deleting the course from a student's enrolment without penalty. *Course Director*
31. Minor changes to assessment arrangements may be made with the approval of the Academic Head, and must be notified to students. *Academic Head*
32. Students must also be clearly informed of a faculty or academic unit's approach to, and processes for:
- submission of coursework and extensions
  - referencing
  - resubmission of work

## **Role responsible**

- Turnitin
  - digital assessment (where relevant).
33. Students must be advised to retain their coursework after it has been returned to them in case it later needs to be made available to the Course Director before the final result for the course has been determined (unless a copy is retained by the faculty). *Course Director*
34. Individual examination dates and examination locations must be available to students on SSO. *Examination Instructions* will be available online to every student before each examination period. *ESO*
35. Students must be informed that they may not contact Examiners or Course Directors about their performance in the course after publication of provisional results in Canvas and before final examination results are available on SSO. *Course Directors*
36. Unless an exemption is approved past examination papers must be made available on the [Library and Learning Services Examinations Database](#). Exemption requests are made to the Provost or delegate, through the ESO. *Provost or delegate*

## **Coursework and tests**

37. When coursework and tests contribute to a percentage of the final results, towards which a written examination also contributes, the Examiner may at their discretion make sure coursework and tests are available to the Assessor of the written examination. *Examiner*
38. If coursework (or coursework and tests) contribute 100 percent to the final result and there is no final examination, coursework must be available to the Assessor, either in full or in such proportion as will permit effective assessment. *Assessor*

## **Format**

39. For ease of marking and submission to plagiarism detection software, students are expected to present written assignments in a digital format, except where the nature of the assessment task or discipline requires an alternative format. Students are responsible for ensuring that the required digital format is used for submission.

**Role responsible**

40. In cases where a student submits an assessment digitally for marking, in the required format, and the file is then found to be corrupted or otherwise inaccessible or unrecoverable the student must be given an opportunity to resubmit the assessment without penalty.

Tests

41. Tests must be set and administered by the academic unit and are conducted under **examination conditions** and before the pre-examination study break. Course Directors must make appropriate provision for invigilating tests counted towards the final result for the course, where necessary obtaining the assistance of the ESO. *Course Director*
42. Students with a permanent or temporary impairment affecting their ability to sit tests under normal conditions can apply to sit under special conditions, e.g., extra time, a writer, special equipment, separate room.  
Note: see [Special Conditions for Written Tests and Examinations Policy](#)
43. Illness or misfortune affecting tests is covered by the regulations governing aegrotat and compassionate consideration. Other circumstances, such as sporting or work commitments, that prevent a student from sitting a written test at the scheduled time are not covered by these regulations. Academic Heads may take these circumstances into account and can be guided by the criteria used for approving out-of-time and out-of-centre examinations in making a decision. *Academic Head*  
Note: see s.166-174 for further information on aegrotat and compassionate consideration for tests.

Marking assessment items

44. Coursework assessment and tests must be marked against the standards and criteria set for the assessment task. *Examiners / markers*
45. Marks awarded must align with the [University grade descriptors](#). *Examiners / markers*
46. Adjustment of marks may be undertaken where it is evident that the assessment criteria and standards have not been consistently applied in an individual assessment task.
47. Students affected must be advised as to the rationale for adjustment of marks. Records must be kept within the academic unit and the Associate Dean (Learning and Teaching) will submit a brief report to Education Committee on these instances at the February and September meetings. *Academic Head Associate Dean (Learning and Teaching)*

**Role responsible**

48. Marks and grades for weighted assessment tasks must be made available on Canvas. *Course Director*

Receipt and return of coursework

49. Academic Heads are responsible for ensuring the secure receipt and confidential return of hard-copy coursework assignments. *Academic Head*
50. Care must be taken to ensure personal privacy in the distribution of student marks when returning hard-copy assignments and tests.

Storage and retention of coursework

51. Academic units must have processes to ensure secure storage of assessment questions, coursework and records. *Academic Head*
52. Academic units must retain student coursework and tests until the nominated period for collection of work, or resolution of disputed marks, has elapsed. This period should be determined by the faculty and made clear to students. *Academic Head*

**Examinations in undergraduate or postgraduate taught courses**

Requirement to sit an examination

53. In order to pass a course, a student must have completed to the satisfaction of the Examiners any prescribed examination unless eligible for aegrotat or compassionate consideration.

Examination period

54. The University examination period for semesters covers three weeks:
- Week 1 – a short week from the first day of exams (Thursday) to the first Saturday
  - Week 2 – from Monday to the second Saturday
  - Week 3 – from the following Monday to the next Monday, excluding Sunday.

Examination format and conduct

55. The standard format for a written or digital examination is:
- a three-hour examination plus ten minutes for reading time; or, a two-hour examination plus ten minutes for reading time

**Role responsible**

- questions are not known by the students in advance of the examination
  - students are not permitted to bring any material into the examination (closed book).
56. Lecturers may announce during teaching the **apportionment** of the questions in the final examination in relation to the material covered in the course. Where examination questions are announced in advance, all or in part, this must be approved by the Course Director. *Course Director*
57. Teaching staff must ensure that where the apportionment of questions, or the questions themselves, are announced in advance that this information is published to students through a notice on Canvas or through email communication. Once this announcement has been made, the examination must be conducted in the notified format. *Course Director*
58. The published duration of an examination, as well as calculator or book designation, may only be changed with approval of the Academic Head. Changes must be submitted to the ESO via Course View. *Academic Head*
59. All examinations will be invigilated. *ESO*
- Examination setting
60. Examiners must prepare examination papers according to the [Guidelines for the Preparation of Examination Papers](#) available from the ESO. *Examiners*
61. Where two or more Examiners have been appointed in any subject they must confer in setting examination papers. Where a difference of opinion occurs among Examiners(s) and/or Assessor, the Academic Head must, after making due attempt to resolve the difference, determine the outcome. *Examiners  
Academic Head*
62. Examiners and Assessors must observe strict confidence and maintain security in the setting of examination papers and in the whole marking process. *Examiners  
Assessors*
63. Examination papers must be approved by the Course Director and submitted for approval through the Exams Paper Submission website. *Course Director*
64. All examination papers must be submitted by Group Services by the [published deadline](#). *Course Director*

During the examination

65. At least one examiner must be available and contactable for the duration of the examination and must have a secure copy of the examination paper to allow any questions from candidates to be addressed promptly.

*Examiners*

Book designation of examinations

66. Unless otherwise specified, examinations will be Closed Book (CB). That is, no written material may be brought into the examination location.
67. The designation for Restricted, Open and Supplied Book examinations must be approved by the Course Director. See [Appendix 1](#).

*Course Director*

Calculator designation of examinations

See [Appendix 2](#).

Special examination conditions

68. A student who is permanently or temporarily disabled in a manner which affects their ability to undertake examinations under the prescribed examination conditions may, upon production of the appropriate evidence, obtain from University Health and Counselling Services or Inclusive Learning, a recommendation which will enable that student to be examined under conditions which take account of the particular impairment.
69. Student applications for the approval of on-going special conditions for a permanent impairment must be made no later than the end of the sixth week following the commencement of lectures. Applications for temporary conditions must be made as soon as possible.

Out-of-time and out-of-centre examinations

70. All students must sit examinations at the time and location specified unless an out-of-time or out-of-centre examination is approved.
71. Faculty or academic unit staff must not give specific advice to students about sitting examinations out of time or out of centre. Students must be referred to the ESO for advice.
72. Out-of-time examinations are normally sat 24 to 48 hours prior to the scheduled exam date. Students make a statutory declaration that they will not communicate with other students sitting the same exam at a different time. Examiners may write an alternative exam paper.

*ESO*

*Examiner*

Music performance examinations

*Undergraduate*

73. All students must be examined by a panel of two, consisting of:
- A member of the School of Music staff, normally the Academic Head or nominee, who shall act as a moderator for all examinations within any one semester. Where the number of students is high, it may be necessary to divide one semester's examination entry into two groups and to appoint two moderators
  - Another member of the School of Music staff, or if necessary or appropriate, an external Examiner of recognised standing in the instrument.
74. The teacher must be in attendance to act as adviser to the Examiners but will not participate in the decision-making process.
75. Part 1 and 2 performance examinations are not open to the public. Part 3 performance examinations must be held as public recitals.

*Postgraduate*

76. All students must be examined by a panel of two, consisting of:
- a member of the School of Music staff, normally the Academic Head or nominee, who shall act as a moderator for all examinations within any one semester. Where the number of students is high, it may be necessary to divide one semester's examination entry into two groups and to appoint two moderators
  - a specialist in the instrumental or vocal area being examined from within the School, or from outside where necessary. This must not be the teacher of the candidate.
77. Performance examinations for all postgraduate degrees must be held as public recitals.
78. All postgraduate recitals must be video-recorded for assessment by an external Assessor with broad experience in tertiary performance examining.

**Marking and assessing written examinations**

Collection of Scripts

79. Hand-written examination scripts (with the exception of students sitting under alternative arrangements) will normally be available for collection

*Examiners*

**Role responsible**

from the Examinations Centre half an hour after the completion of the examination.

80. Examiners of evening examinations must contact the ESO if they intend to collect scripts after the evening sessions; otherwise they must collect them the following day. *Examiners*
81. Staff collecting hand-written scripts must present their University of Auckland staff ID card. Examiners must notify the Examinations and Timetable Services Office in writing of an alternative staff member collecting scripts on their behalf. *Examiners*

Marking examination scripts

82. Strict security must be maintained in the handling and storage of hand-written and digital examination scripts.
83. Markers for hand-written scripts must tick or otherwise indicate that they have read each question, and the final mark for each question must appear on the script and/or at the front of the script book. Comments on the script must not provide advice or feedback to students and must be limited to non-confidential aide-memoires for the Examiner(s). *Markers*
84. Interim marks and evaluative interchanges with other Examiners or Assessors taking place before the final mark is settled must be held in confidence. Interim marks or other information should not be recorded on the script. *Examiners*  
*Assessors*
85. Hand-written or digital scripts are available to students on application to the ESO. *ESO*

Illegibility of hand-written scripts

86. Candidates will be warned that where a hand-written examination script is illegible, the Examiner may award marks for only such parts of the script as are legible and may leave the illegible parts unmarked. Every effort must be made to complete the marking of a script; any parts that are unmarked because of illegibility must be clearly identified on the script by the Examiner. *ESO*  
*Examiner*
87. Academic Heads may invite a candidate to attend the University to read an illegible script to an Examiner. In such cases a second member of the academic staff must be present throughout the proceedings. *Academic Head*



## **Missing scripts**

88. Where a student's hand written script, or parts of a script, have been misplaced prior to marking, the examiner must immediately inform the ESO. *Examiner*
89. In cases where a digital examination file or part of a file is submitted for marking and is then found to be corrupted or otherwise inaccessible or unrecoverable, the Examiner must immediately inform the ESO.
90. If all or parts of the missing script or file are unable to be located or accessed, the student will be offered the opportunity to re-sit the missing examination components, or to have their grade assessed based on available coursework and examination marks through the AS-61 Assessed Grade process. *ESO*

## **Moderation and adjustment of marks in undergraduate or postgraduate taught courses**

91. Academic units must have documented processes in place to ensure the appropriate **moderation** and approval of results, before finalisation of marks and grades. This may include: *Academic Head*
- the use of marking guides
  - reviewing a sample of work
  - reviewing borderline results
  - statistical analysis.

## **Final marks and grades**

92. Assessment in the University is **criterion-referenced**, therefore it is not expected that faculties conform to a specific grade distribution. Faculties may monitor the distribution of grades with regard to factors such as past performance and the size and selectivity of particular cohorts. *Associate Dean (Academic)*
93. Final results will be expressed as a letter grade, with a corresponding numerical mark, as outlined in Table A.
94. There are ten pass grades, and three fail grades. A pass mark is 50% or more.

95. Use of a 0.5 rounding scheme is considered standard practice and must be applied consistently within programmes.
96. Final marks on grade or pass/fail boundaries may be reviewed by the Examiners on a case-by-case basis.

Table A: University grade descriptors for undergraduate and postgraduate taught courses

Grade	Description	Designation	% range	Grade points
A +	Work of high to exceptionally high quality showing excellent knowledge and understanding of subject matter and appreciation of issues; well formulated arguments based on strong and sustained evidence; maps and diagrams, graphs and tables, etc included where appropriate; relevant literature referenced; high level of creative ability, originality and critical thinking; excellent communication and presentation skills.	High first	90 – 100	9
A		Clear first	85 – 89	8
A -		Bare first	80 - 84	7
B +		Work showing good to strong grasp of subject matter and understanding of major issues though not necessarily of the finer points; arguments clearly developed and based on convincing evidence; relevant literature referenced; evidence of creative ability, originality and critical thinking; good communication and presentation skills.	High second	75 – 79
B	Clear second		70 – 74	5
B -	Bare second		65 - 69	4
C +	Work showing a knowledge of subject matter and appreciation of main issues though possibly with some lapses and inadequacies; arguments developed and supported by some evidence and references; creative ability, originality and critical thinking present but limited; adequate communication and presentation skills.	Sound pass	60 – 64	3
C		Pass	55 – 59	2
C -		Marginal pass	50 - 54	1
Conceded Pass				
D +	Work lacking breadth and depth. Work generally has gaps. Frequently work of this grade takes a simple factual approach and understanding and coverage of material is inadequate; does not attempt to interpret the material; at the lower end, indicates a need for considerable effort to achieve improvement; communication and presentation skills are poor.	Marginal fail	45 – 49	0
D		Clear fail	40 - 44	0
D-		Poor fail	0 - 39	0
NA (Not Available)	NA must be entered where a grade is not immediately available, but expected at a later date. The final grade must be			

	submitted within the deadlines for results submission.	
DNS (Did Not Sit)	DNS (Did not Sit) – must be entered if the student did not sit the exam.	
DNC (Did Not Complete)	DNC must be entered in the following circumstances: where a student has gained more than 50 percent in a course but has not completed the approved compulsory coursework; where a student has gained less than 50 percent in an internally assessed course because of the failure to complete coursework but the entry of a final grade would inappropriately represent the reasons for failure or the level of achievement	

Ungraded pass / fail results

97. After application to Education Committee, a course may be approved to carry an ungraded pass/fail result provided it meets the following criteria:
- the course involves a substantial amount of practical work (a minimum of 60 percent). The work will usually be carried out over a period of time in which the student is expected to acquire knowledge, understanding and skills to a required standard. A fail indicates that the student’s performance is below the minimum level of competence.
- or
- the course is a required part of a programme but carries no points.

Note: ungraded passes do not carry a grade point and are not included in Grade Point Average calculations.

Postgraduate qualifications: Honours, Distinction, Merit

98. There is a consistent standard for the award of Honours in postgraduate Bachelors Honours and Masters degrees, and Distinction and Merit in Postgraduate Diplomas, and in Masters degrees that do not have a research component of 30 points or above:
- First Class Honours: GPA of 7.0 or above
  - Second Class Honours (first division): GPA of 5.5 – 6.9
  - Second Class Honours (second division): GPA of 4.0 – 5.4
  - Third Class Honours: GPA of 1.0 – 3.9 (Postgraduate Bachelors Honours degrees only)
  - Distinction: GPA of 7.0 or above
  - Merit: GPA of 5.5 – 6.9.

*Examiner*

Note: a GPA includes a decimal place only when more than one course is involved. A 120 point programme comprised of a 120 point thesis or research portfolio only ever carries a whole GPA numerical. A ‘B+’ result (GPA of 6) in a 120 point thesis or research portfolio is, therefore, required for the award of Second Class Honours (first division) in a 120 point degree. Second Class Honours (first division) cannot be awarded for a ‘B’ result (GPA of 5).

Rounding is permitted to one decimal place in determining the overall GPA of a qualification (e.g., 5.46 may be rounded to 5.5; 5.75 may not be rounded to 6.0).

## Submission of final results

## Role responsible

### For a single course

99. For each class, enter a grade for each student. *Examiner*
100. Enter NA when the grade is not immediately available but expected at a later date. The final grade must be submitted within the deadlines for submission of results. *Examiner*
101. Enter DNS in all instances if the student did not sit the exam. *Examiner*
102. DNC (Did Not Complete) must be entered in the following circumstances:
- where a student has gained more than 50 percent in a course but has not completed the approved compulsory coursework
- or
- where a student has gained less than 50 percent in a course without a final examination because of the failure to complete coursework but the entry of a fail grade would inappropriately represent the reasons for failure or the level of achievement. *Examiner*
103. Where a student has applied for aegrotat or compassionate consideration, the result must be for the work actually submitted at the examination. If the student has been absent for any examination, the results must be recorded as DNS even though the Examiner may intend to recommend an aegrotat or compassionate grade.
104. The ESO will enter NAX on the student record to indicate when a script has been withheld for an academic misconduct investigation. *ESO*

### **Deadlines for results submission - research courses between 30 and 80 points (except dissertations, research essays and research projects)**

105. The result must be submitted within three months of either the last day of the semester in which the student was enrolled in the course or the last day of an approved and enrolled extension. *Faculty office*
106. If, because of exceptional circumstances, a result cannot be submitted within three months, the department must apply through its faculty office to the ESO on the [AS-73 Application for Late Results Submission](#) form for approval *Faculty office*

for late submission for a period of up to one year after the last day of the semester in which the student was enrolled or the last day of an approved and enrolled extension. The application must state the circumstances and specify the date by which the result will be submitted.

107. Applications will be approved by the ESO if the result is unable to be submitted for the following reasons: *ESO*
- Illness or other incapacity of an examiner or assessor
  - Dispute over the result.
108. Applications falling outside of these criteria will be submitted to the Provost or delegate for consideration. *Provost or delegate*
109. If the result has not been submitted within one year of the deadline for the course, a DNC grade will be entered.

### **Return of results**

110. All results (except those which are individually-assessed) must be submitted electronically via Canvas to Student Services Online. *Course Director  
Examiner  
Assessor*  
Note: see instructions at [www.auckland.ac.nz/examinations](http://www.auckland.ac.nz/examinations).
111. Only results returned to students in Student Services Online are official. All marks or grades in Canvas are considered unofficial and may still be subject to review.

### **Signing and approving results**

112. Final grades must be reviewed by the Examiner(s) and Assessor and the grades locked in Canvas. Final grades will be approved by the Course Director by email to [results@auckland.ac.nz](mailto:results@auckland.ac.nz). The Course Director and Examiner(s) are confirming that the grades are accurate and have been submitted on time. The Assessor, where appointed, is confirming that appropriate and adequate academic standards are maintained. *Course Director  
Examiner  
Assessor*

### Individually assessed results

113. Where undergraduate results, and postgraduate results (other than for theses, research portfolios, dissertations, research essays and research projects of 30 points or above), are individually assessed, an [AS-65 Submission of Results for Individually Assessed Courses Form](#) must be used.

### Undergraduate Bachelors Honours results

114. The class of Honours for students completing Bachelors Honours undergraduate degrees will be processed by the Records, Enrolments and Fees Office.

### Changes to results

115. Any changes to grades after the results have been submitted to the ESO must be provided on an [AS-58 Request for Changes to Results Form](#). Changes must be signed by the Academic Head and the Course Director nominated to sign results for that course. The reason for the change to grades must be clearly stated.

*Course Director  
Academic Head*

### Deadline for submission

116. Results must be submitted to the ESO by the [published dates](#).

### Late submission of results

117. Any results not submitted by the [published deadline](#) must be notified to Education Committee.

*Academic Head*

118. If, because of exceptional circumstances, a result cannot be submitted within a fortnight of the deadline, the department must apply through faculty group services to the ESO on the [AS-73 Application for Late Results Submission](#) for approval of late submission for a period of up to three months. The application must state the exceptional circumstances and specify the date by which the result will be submitted.

*Academic Head*

119. Applications will be approved by the ESO if the result is unable to be submitted for the following reasons:
- non-standard coursework dates
  - late timing of practicums/practical examinations
  - illness or other incapacity of an Examiner or Assessor
  - an approved extension awarded to the student for the submission of coursework
  - study abroad courses
  - a paper with more than 250 students scheduled in the last three days of the examination period.

*ESO*

120. The ESO will approve applications that meet the above criteria. Any applications falling outside of these criteria must be submitted to the Provost or delegate for consideration.

*Provost or delegate*

121. If the result has not been submitted within three months of the deadline, a DNC grade will be entered. *ESO*

### **Disputed results – written examination papers and coursework subjects for formal assessment**

#### Disputes among examiners and/or assessors

122. In the event of a dispute among examiners or examiners and assessors which cannot be resolved among themselves, the matter should be referred to the Academic Head for resolution in negotiation with the Examiner(s) and Assessor(s). *Academic Head  
Examiner  
Assessor*
123. All documents relating to the examination and assessment and to the dispute shall be made available to the Academic Head. The Academic Head may call for further written reports from the Examiner(s) and any Assessor(s). In such a case, all prior documentation should be made available to each examiner and assessor. *Academic Head*
124. The Academic Head, having considered all the documentation, shall provide a written report to all parties setting out their findings and proposing a resolution. All parties must agree to this resolution in writing before it can be adopted. *Academic Head*
125. In the event that no agreement can be reached among the Academic Head, the examiners and any assessor, all documentation relating to the examination, assessment and dispute, shall be referred by the Academic Head to the Dean of Faculty. *Academic Head*
126. The Dean of the Faculty or the Dean's nominee will, after reviewing the documentation and making any other enquiries considered necessary and appropriate, propose a resolution in writing to all parties. All parties must agree to this proposal in writing before it can be adopted. *Dean or nominee*

#### Disputes where an Academic Head is an examiner or assessor

127. In cases where the Academic Head is an Examiner or Assessor, the Dean of the Faculty or nominee shall act as the Academic Head. If the Dean or the Dean's nominee is unable to resolve the dispute, the matter will be referred to a referee as under 'Referee' below.

#### Dispute with the Academic Head

128. An Academic Head may, in pursuit of their duty of maintaining standards, review examination scripts and results. If the Academic Head sees reason to object, the matter should be discussed with the Examiner(s) and Assessor(s).
129. If no agreement is reached, the Academic Head shall call for written reports from the Examiner(s) and Assessor(s), and shall state in writing their own grounds for objection. All of these documents shall be made available to the Examiner(s) and Assessor(s) for the purpose of further comment which must be in writing. *Academic Head*
130. In the event that no agreement can be reached among the Academic Head, the Examiner(s) and any Assessor(s), all documentation relating to the examination, assessment and dispute shall be referred by the Academic Head to the Dean of the faculty. *Dean or nominee*
131. The Dean of the Faculty or the Dean's nominee will, after reviewing the documentation and making any other enquiries considered necessary and appropriate, propose a resolution in writing to all parties. All parties must agree to this proposal in writing before it can be adopted. *Dean or nominee*

#### Referee

132. In any of the above cases, where there is still no agreement, the Dean shall refer the matter and all documentation to the Chair of Education Committee who shall act as referee or appoint an appropriate independent academic as a referee to consider the script or scripts and documentation or further information as required. *Chair of Education Committee*
133. The referee shall determine the marks or results to be awarded. This determination shall be final. *Referee*

#### **Conceded passes**

Note: see [Examination Regulations](#).

*Dean or delegate*

134. Conceded passes are awarded by the relevant faculty.

#### **Deferred results**

Note: see [Examination Regulations](#).

135. For the following degrees, results may be deferred in certain situations:
- Bachelor of Education (Teaching English to Speakers of Other Languages)
  - Bachelor of Medicine and Bachelor of Surgery: MBChB Parts II, III, IV, V and VI



- Bachelor of Nursing: BNurs Parts I, II and III
- Bachelor of Optometry
- Bachelor of Pharmacy
- Bachelor of Physical Education
- Bachelor of Social Work
- Bachelor of Sport, Health and Physical Education
- Master of Social Work (Professional)
- Graduate Diploma in Teaching (Early Childhood Education), Graduate Diploma in Teaching (Primary), Graduate Diploma in Teaching (Secondary).

### **Announcement and publication**

136. Final results must remain confidential until they are posted to students' records and are available online. Students must be notified by email when grades are posted.
137. Where a grade has been lowered after the result has been posted, the department must advise both the student and the ESO in writing.

*Academic Head*

### **Recount of marks**

138. Any student may have the marks awarded for their examination script recounted. Application must be made no later than seven weeks after the last day of the examination period.  
Note: the fee for such a recount shall be as prescribed in the Fees Regulations.
139. A recount of marks must involve a careful rechecking of the marks recorded by the Examiner, and confirmation that no answer or any part of an answer submitted by a student has been overlooked. Recounts must always include a careful checking of the accuracy and inclusion of coursework marks. The Examiner will not be advised of an application for a recount of marks.
140. Students may apply for a recount of marks for written examination papers only.

*Examiner*

### **Aegrotat and compassionate consideration for examinations**

Note: Regulations govern aegrotat and compassionate consideration, these procedures should be read in conjunction with those [regulations](#).

### Scope

141. Aegrotat and compassionate consideration examination regulations apply to work which counts towards the final result for a course and is performed under examination conditions at a specified place and time, with the exception of performance examinations.

142. The categories to be considered are:

- Final written examinations
- Formal practical or oral examinations
- Final submissions in the practical and studio work in the Faculty of Creative Arts and Industries
- Tests.

#### Advice to students

143. Students must be advised to enquire about aegrotat or compassionate consideration if temporary illness or injury, or exceptional circumstances beyond their control, have prevented them from sitting an examination, or seriously impaired their examination preparation or their examination performance. Students may contact the ESO or the [University Health and Counselling Services](#) or go to the [Examinations website](#) for advice. The requirements are stringent, and it is essential that students follow the correct procedures which are fully explained on the forms and in the Examination Instructions available online to every candidate before each examination period.

#### Sitting examinations

144. Students should be encouraged to sit examinations if possible. Medical or other evidence must establish that a student is physically or mentally incapable of sitting an examination. It is not sufficient for the student to be unwell or to be faced with trying circumstances. Even if a student is advised by their lecturer or doctor not to sit, the University's medical or counselling advisers will not approve a DNS unless justified by the evidence.

145. Students with a permanent or temporary impairment affecting their ability to sit examinations under normal conditions can apply to sit under special conditions, e.g., extra time, a writer, special equipment, separate room.

Note: see [Special Conditions for Written Tests and Examinations Policy](#).

#### Method of application

##### *Aegrotat consideration (temporary illness or injury)*

146. Students must complete the online application and provide a statement outlining how their temporary illness or injury have either prevented them from taking the examination or impacted their performance and/or preparation for the examination. The student must provide evidence in support of their application where evidence can reasonably be obtained. Whether evidence can be reasonably obtained is assessed by staff from Assessment Services.

*Compassionate consideration (other exceptional circumstances)*

147. Students must complete the online application and provide a statement outlining how their circumstances have either prevented them from taking the examination or impacted their performance and/or preparation for the examination. The student must provide evidence in support of their application where evidence can reasonably be obtained. Whether evidence can be reasonably obtained is assessed by staff from Assessment Services.

Application deadlines

148. An application must be submitted online no later than one week after the examination. If more than one examination is affected, the closing date is one week after the last examination affected. Students must not wait for their examination results before submitting their application.

Processing applications

149. Applications will be assessed by Campus Care, Assessment Services and/or medical or counselling advisers to the University who consider the student's statement and evidence and agree it supports the application. Further evidence may be requested from the student if it can be reasonably obtained. Whether evidence can be reasonably obtained is assessed by staff from Assessment Services.

*ESO*

150. If the evidence is in order, the appropriate Course Director is requested to make an academic assessment and determine whether an aegrotat or compassionate consideration grade will be applied. Where the medical or compassionate evidence does not support the application, an academic assessment and determination is not requested.

*Course Director*

151. The Course Director must make their determination based on the criteria for aegrotat and compassionate grades set out on the form, based on the coursework, test and examination marks (if applicable), and when necessary, the student's performance in other courses, especially those in the same degree. The options include no change of grade or that the student complete an alternative assessment.

*Course Director*

152. Academic recommendation forms are confidential and details must not be given to students. They must be completed and returned to the ESO by the [published deadline](#).

153. Grades recommended as a result of an application should not be submitted in the normal return of results process.

154. Forms should be returned to the ESO as soon as possible, within a week of receipt.

Academic requirements for aegrotat and compassionate grades

155. Deadline dates for return of aegrotat recommendations are as [published](#).
156. When determining an aegrotat or compassionate grade, the Course Director must be able to certify that:
- the student's coursework in the course or performance in a test meets the minimum pass standard
- And
- for a student who sat the examination, the mark attained in the examination was lower than expected by taking into account the student's coursework or test scores in the course
- And
- the student is worthy of a pass in the course

157. Instead of determining an aegrotat or compassionate grade, the Course Director may determine that the student must take another examination which may be in the same form as the original exam or may differ, including oral or written. Exceptional circumstances must apply, and these should be specified by the Course Director when outlining the reasons behind the determination. *Course Director*

*158. removed*

159. No more than one third of the total point value credited to a degree or diploma may be awarded with an aegrotat or compassionate grade.

Notification of outcome

160. Students will be advised in writing of the result of their application in all cases, whether or not an aegrotat or compassionate grade is approved.

*161. removed*

*162. removed*

### Reconsideration of applications

163. To apply for reconsideration a candidate must make an application in writing to the Director, Academic Services following the decision of the Senate. See Examination Regulations.

*Director, Academic Services*

### Tests

164. A modified version of the examination procedures for aegrotat and compassionate consideration applies to tests which count towards the final result for a course.
165. Students who have been prevented from sitting a test or who consider that their preparation for or performance in a test has been seriously impaired, by temporary illness or injury or exceptional circumstances beyond their control, must contact the ESO, the University Health and Counselling Services or see the Examinations website for the online application process.
166. Students should be encouraged to sit the test if possible. The student's application must make it clear that the student was unable to attend or the test performance was seriously impaired.
167. Students must submit the application form and evidence within seven days after the date of the test. A late application may be accepted if exceptional circumstances beyond the student's control prevented them from submitting the application by the due date.
168. Applications are assessed by Campus Care, Assessment Services and/or medical or counselling advisers to the University who consider the student's statement and evidence to determine that it meets the requirements.
169. If the evidence is not in order, the ESO will notify the student, and send a copy of the letter to the appropriate Academic Head.
170. If the evidence is in order, the application form is sent to the appropriate Academic Head. This does not include the assessed medical or other evidence, which is held by the University Health and Counselling Services.
171. The Academic Head considers the application by taking into account the medical and counselling advisers' assessment of the evidence and then approves one of the options set out on the form. These options are specified in the Examination Regulations as permission to:
- sit another written or computer-based test
- or
- receive a mark for the test based on the average of marks awarded for other tests or exams
- or
- take a viva voce test

or

- have the percentage of marks allocated to the test reallocated to the examination.

172. The options on the form include no change, which may be appropriate for a student who sits the test but obtains a mark in line with other comparable assessment.

173. The student must be advised of the decision within 21 days of the test.

### **Deferred examinations (clinical and performance)**

174. Students undertaking performance and clinical examinations who, because of temporary illness or injury or exceptional circumstances beyond their control, are unable to sit their examination on the date scheduled, may apply to the Academic Head or programme coordinator for deferment of that examination. The grounds for claiming illness, injury or exceptional circumstances should correspond with those used for aegrotat provisions set out under the [Examination Regulations](#) and should include where appropriate evidence from University Health and Counselling Services.

*Academic Head*

*Programme  
Coordinator*

175. The Academic Head or Programme Director may grant a deferment until the Friday of the first week of teaching in the following semester. In exceptional circumstances, approval may be given by the Dean on recommendation from the Academic Head or Programme Director, to extend this period. If, at this time, the student is unable to undertake the examination, a fail grade of 'Did Not Complete' (DNC) must be recorded

*Academic Head*

*Programme Director*

### **Availability of examination scripts**

176. By making application during the three months after the end of the examination period for the examination, a candidate may obtain a copy of their examination script. Applications must be made online and a copy sent by email to the student.

177. If it is found that a question or section has not been marked, or there are other errors of a similar nature, the Academic Head should notify the ESO of the amended grade stating the reason for the change. The student will then be advised by email of their amended results.

*Academic Head*

178. Students are not permitted to seek a remarking of the script. If it has been fully marked, the Examiner's judgement must stand. If a student seeks

*Academic Head*

advice in respect of the script, that advice must not cover detailed discussion with the Examiners of particular answers. Broad guidance may, however, be given on the general thrust of the script or on examination technique by the Academic Head or by an Examiner specified by the Academic Head.

### **Storage and disposal of examination material**

179. Examiners must keep hand-written examinations scripts only for the minimum time required for marking. They must then hand the scripts over to the department/faculty to arrange secure storage until at least four months after the examinations. After that time hand-written examination scripts are destroyed. *Examiners*
180. In the case of examinations in Fine Arts, Testimonials of Study need not be so preserved.
181. Masters examination scripts must be retained until six months after the assessment has been completed for any thesis, dissertation, or research portfolio or project required. *Examiners*

### **Breaches of academic integrity**

182. All instances where there is evidence of a **breach of academic integrity** in undergraduate or taught postgraduate coursework, tests or an examination must be dealt with under the provisions of the [Student Academic Conduct Statute](#).
183. All confirmed instances of **academic misconduct** are recorded on the University's Register of Academic Misconduct.
184. A student's assessed work may be reviewed against electronic source material using electronic detection software.

### **Disputes and complaints procedures**

185. Students have the right to query an assessment process in coursework or test that they believe to be unfair. See [Resolution of Student Academic Complaints and Disputes Statute](#).

## Quality assurance of assessment

186. Assessment is quality assured through processes at the course, academic unit, faculty and university level:

### Course-level processes for quality assurance of assessment

QA task	Responsibility	Outcome and/or output
<b>Oversight of assessment design and implementation</b>	Course Director	Course assessment is reviewed and approved
<b>End-of-course review</b>	Course Director Teaching staff	Issues with assessment or assessment outcomes are identified and reviewed
<b>Course evaluations</b>	Course Director, teaching staff	Assessment issues identified by students are considered, and reviewed where appropriate
<b>Examiners confer and review examination papers</b>	Examiners, Course Director	Examination papers are checked
<b>Examiners' meetings</b>	Examiners	Moderation of marking process and outcomes

### Academic unit and faculty processes for quality assurance of assessment

QA task	Responsibility	Outcome and/or output
<b>Oversight of assessment</b>	Academic Head	Course outlines approved
<b>Changes to assessment</b>	Academic Head	Correct processes are followed and students are informed of changes
<b>Course evaluations</b>	Academic Head	Assessment issues across the academic unit are considered, and reviewed where appropriate
<b>Academic unit moderation processes</b>	Academic Head	Issues with assessment or assessment outcomes are identified and reviewed
<b>Cyclical external moderation of postgraduate courses</b>	Academic Head	External moderation of postgraduate coursework takes place on a two or three-year cycle in each academic unit and consists a review of the content and grading of examination papers and/or (a sample of) other assessed work  Moderators must be external to the University and are appointed by an Academic Head  Assessment outcomes are reviewed and standards are assured
<b>Assessment in new courses is approved</b>	Associate-Dean (Academic)	Assessment for new courses is approved



<b>Oversight of course evaluation results, including 'red-flagged' courses</b>	Associate-Dean (Academic)	Assessment issues may be identified as part of review of course evaluation results
<b>Oversight of grade distribution and pass rates</b>	Associate-Dean (Academic)	Pass rates are monitored

University processes for quality assurance of assessment

QA task	Responsibility	Outcome and/or output
<b>Academic unit/disciplinary area and programme review evaluation of assessment</b>	University Review Panel	Review reports identify assessment issues as part of consideration of terms of reference or key questions
<b>Learning and Teaching Survey</b>	Academic Quality Office	Data on questions about assessment, feedback and workload are reported to faculties and University committees
<b>Course and teaching evaluations</b>	Academic Quality Office	The questions on assessment and feedback are considered as part of reporting to faculties and University committees
<b>Academic Programmes Committee – regulation changes</b>	Academic Programmes Committee Faculties	Proposed assessment is at the right level for new qualifications
<b>Monitoring of pass rates through the survey round process and two-yearly reports on student pass rates to Education Committee</b>	Faculties Planning and Information Office Education Committee	Faculties report to Education Committee on pass rates  Faculties discuss pass rates with the Provost or delegate during the Survey Round process
<b>Report on concurrent teaching</b>	Faculties Education Committee	Courses taught concurrently have different assessment, and assessment at the right level
<b>Report on offshore provision to Education Committee</b>	Education Committee	Ensures courses taught off-shore have appropriate QA processes, including QA of assessment

## Definitions

The following definitions apply to this Procedures document:

**Academic misconduct** means minor or major academic misconduct in coursework, tests, or postgraduate examinations. Academic misconduct also includes confirmed incidents of dishonest behaviour in examinations.

**Apportionment** with respect to written examination papers means the distribution of questions on different topics to different sections of the paper and their weighting in marks.

**Assessment** means the ongoing process of: establishing clear, measurable expected outcomes of student learning; ensuring that students have sufficient opportunities to achieve those outcomes; systematically gathering, analysing and interpreting evidence to determine how well student learning matches outcomes or expectations; using the resulting information to understand and improve student learning.

For the purposes of these Procedures, assessment includes:

- assignments during the teaching of a course, normally called coursework
- practical, aural and oral work
- written tests conducted under examination conditions
- ongoing assessment of competence or performance
- written (or performance) examination normally conducted at the end of the semester or year
- by dissertation, thesis or other research projects.

**Assessment Principles** means the principles set out in the Assessment of Student Learning Policy:

1. Assessment is learning-oriented through tasks which require the understanding, analysis, synthesis and/or creation of new information, concepts, and/or creative works.
2. Assessment design is coherent and supports learning progression within courses and across programmes.
3. Assessment tasks are demonstrably aligned with course-level learning outcomes, and programme and University-level Graduate Profiles.
4. Assessment is reliable and valid, and is carried out in a manner that is inclusive and equitable
5. Assessment practices are consistent and transparent, and assessment details are made available to students in a timely manner.
6. Feedback is timely and provides meaningful guidance to support independent learning
7. Assessment design and practices support academic integrity.
8. Professional development opportunities and guidance related to the design, implementation and moderation of assessment are available to staff.
9. Assessment is manageable and quality assured.

**Breach of academic integrity** means dishonest or inappropriate practices occurring in the preparation and submission of coursework, tests, postgraduate research, or in the context of examinations.

**Calculator** means an electronic device capable of processing, storing or retrieving information, which has the primary purpose of mathematical calculation. It must be hand-held, self-powered and noiseless. It must not have an audible alarm or facilities for transmitting or receiving information.

**Concurrently** taught is where students who are enrolled for courses at different levels within qualifications attend some or all of the same classes. This is different from the situation where students enrol in a course at a higher level than might be expected and attend classes with more advanced students.

**Coursework** means assessed components (such as assignments) within a unit of study and does not include tests conducted under examination conditions. In the case of practice disciplines, assessment components may involve ongoing assessment of competence or performance.

**Criterion-referenced** means that judgements about student performance are based on pre-determined standards and criteria and linked to specified course learning objectives.

**Examinations** (for undergraduate and postgraduate taught courses) means the formal testing of students under standardised conditions for a set period.

**Examination conditions** means the examination will occur at a specified time and place, will be invigilated, and will be sat under conditions specified by the Examiner; or, for students with a permanent or temporary impairment, under special conditions as approved through the [Special Conditions for Written Tests and Examinations Policy](#).

**Feedback/feed-forward** means the provision of information in such a manner that students are able to improve their work, knowledge, or competence in later assessments.

**GPA or Grade Point Average** means an average calculated using a scale to give each grade received a numerical value. 'Withdrawals', 'did not sit' and 'did not complete' results are counted as zero.

**Invigilated** means a supervised examination or test. See 'Examination Conditions'.

**Moderation** means a process intended to assure that an assessment outcome is fair and reliable and that assessment criteria have been applied consistently.

**Plussage** as defined by this policy is a method of calculating marks a student has gained in a taught course by counting either: an examination or test mark, or a combination of exam, test and coursework marks; whichever is to the student's advantage. Additional requirements for eligibility for plussage may apply, including for example: a minimum result required in the examination; a minimum standard for completion of coursework; and/or attendance at laboratories or tutorials.

Note - an assessment arrangement where an agreed subset of coursework marks is counted towards the final grade (e.g. best eight of ten quiz results) is not considered plussage.

### **Key relevant documents**

Include the following:

[Resolution of Student Academic Complaints and Disputes Statute](#)

[Student Academic Conduct Statute](#)

[Examination Regulations](#)

[University Graduate Profiles](#)

[Student Charter](#)

[Assessment \(Coursework, Tests and Examination\) Policy](#)

[Student Retention Policy](#)

[Special Conditions for Written Tests and Examinations Policy](#)

[Concurrent Teaching Policy](#)

[Examination of Sub-doctoral Postgraduate Research Components of 30 points and Above Procedures](#)

[Te Reo Maori in Teaching Learning and Assessment Procedures](#)

[The Inclusive Teaching and Learning for Students with Impairments Guidelines](#)

## **Document management and control**

**Owner:** Provost

**Content manager:** Examinations Manager; Manager, Academic Quality

**Approved by:** Council

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## Appendix 1 – Book designation of examinations

Note: the following rules apply to hand-written examinations held on campus. Other conditions may apply to examinations sat online with remote invigilation or computer-based examinations.

Students must be formally notified of the book designation of their examination as early as possible in the semester.

If an examination is approved as Restricted, Supplied or Open Book these details must be supplied to the ESO for inclusion in the Examination Instructions available online to every student before each examination period. If the Examiner is unable to provide details of materials by these dates it will then be their responsibility to inform students and the ESO in writing, and in good time, of the material which they make take into the examination room.

### *Open book*

Where an examination is designated Open Book (OB), candidates may take into the examination room written or printed material such as books, dictionaries, or Acts, well as an electronic **calculator** provided it meets the conditions as defined in these procedures. There will be no check on such items but other electronic devices (including laptops, hand-held computers or smartwatches are **not** allowed. No prepared material taken into the examination room may be attached to the examination script and submitted for marking as part of that examination.

### *Supplied book*

Candidates will be supplied with material specified by the Examiner.

Restricted Book examinations may be designated RB, HB or UB:

- RB -Restricted Book. Candidates may take into the examination room material specified by the Examiner. Such material may be written or an/or marked in a relevant or contextual manner, but no prepared material may be attached to the examination script and submitted for marking as part of that examination.
- HB examinations are Restricted Book examinations where candidates may bring into the examination room material specified by the Examiner. This material cannot be written upon, but the text may be underlined, highlighted or tabbed
- UB examinations are Restricted Book examinations where candidates may bring into the examination room material specified the Examiner. This material cannot not be written upon or marked in any way.

Where restricted written material is permitted in the examination room, Examiners are required to be present at the commencement of the examination to check material brought into the examination room. This must be completed during the reading period at the start of the examination and may not be delegated to the examination supervisors. It is the responsibility of the academic unit to ensure that the material satisfies the stated requirements.

The academic unit must arrange for the inspection of books and other written material and ensure this is completed during the reading period at the start of the examination. This responsibility may not be delegated to the examination supervisors and inspection must not extend into the examination period.

If an Examiner discovers unauthorised material, the student must be identified to the room supervisor. The student may continue to sit the examination using the materials, but will be required to hand the material to the room supervisor at the end of the examination. Such cases are dealt with under the Examination Regulations.

## Appendix 2 – Calculator designation of examinations

Note: the following rules apply to hand-written examinations held on campus. Other conditions may apply to examinations sat online with remote invigilation or computer-based examinations.

The use of **calculators** in examinations must be approved by the Course Director.

Calculators must not be shared or used in a manner that interferes with or distracts another candidate.

Students must be formally notified as early as possible in the semester as to whether calculators will be allowed during an examination and the permitted and expected features.

Designations are:

- CP – Calculators are permitted. Candidates are permitted to use any non-programmable calculator which satisfies the general conditions
- DC – Departmental Calculators. Candidates will be supplied with calculators by the academic unit
- RC – Restricted non-alphanumeric non-programmable calculators are permitted. Candidates are permitted to use any calculator which satisfies the general definition and conditions, and which does not provide the alphabet
- SC – Specified calculators are permitted. Academic units may specify other necessary or desirable features as appropriate to the subject

Where calculators are permitted in the examination room, Examiners are required to be present at the commencement of the examination to inspect calculators. This must be completed during the reading period at the start of the examination period, and may not be delegated to examination supervisors.

## Appendix 3 – Assessment tasks, by role

### i. Academic Head, Head of School, Department, Disciplinary Area or Other Academic Unit

#### Responsible for:

- Ensuring the quality of examinations and other assessment across all courses in the academic unit
- Ensuring that non-examined assessments and examination papers are appropriate for the level of study and the content of the examination papers is appropriate for the course being examined and the time required to complete
- Ensuring staff are mentored in their career development, including in the development of course assessment (may be delegated to other staff)
- Ensuring that hard-copy and digital student coursework is managed and returned in a way that safeguards student privacy
- Ensuring the quality of the grades that are submitted and that anomalous issues are dealt with prior to the submission of grades (may be delegated to other staff)

#### Achieved when:

- Academic unit reports of assessment activity are reviewed, approved and submitted to the ESO
- A Course Director is appointed for every taught course
- Each course has Examiners and Assessors appointed and the appointments include at least one research-active academic. Formal notification is forward to ESO by the appropriate deadline. Changes are approved and notified
- Substantive changes to assessment arrangements are approved by all students, the Head and Dean, and notified to all students. Minor changes to assessment arrangements are approved, and notified to all students
- Timely and fair decisions are made about students who miss an assessment or test for work or sporting reasons not covered under the aegrotat and compassionate consideration regulations
- Examination question papers are reviewed to ensure they are set at an appropriate standard and format
- Examination question papers are submitted to the ESO by the appropriate deadline
- Examination duration and designation changes are approved
- An appropriate recommendation is made on applications for aegrotat and compassionate grades
- Appropriate decisions are made on applications for deferment of examinations
- Documented academic unit processes ensure the appropriate moderation of results
- Academic unit processes support the confidential and secure return of student coursework
- Academic unit processes follow policy with respect to retention of coursework



- Timely and fair decisions are made with regard to illegibility of student examination scripts
- Academic unit moderation processes are documented and ensure that appropriate standards are maintained
- Moderation decisions, including adjustment of marks, are recorded
- Requests for late submission of results are approved
- Changes to submitted grades are approved and resubmitted
- New and existing academic staff are provided with information and support to develop assessment skills
- Assessment is discussed as an aspect of teaching performance in the Academic Development and Performance Review process; assessment problems are identified through review of course reports and in discussion with academic staff
- Assessment issues identified in academic unit reviews are reviewed and addressed.

## **ii. Course Director**

### **Responsible for:**

- Overseeing the design of assessment processes to ensure that assessments are relevant and aligned with learning objectives
- Ensuring that the assessment complies with all aspects of policy
- Ensuring that the structure of assessment is available to all students prior to the start of semester
- Ensuring that appropriate support and supervision is provided for tutors and/or laboratory demonstrators in a marking role.

### **Achieved when:**

- Assessment design is coherent across the course and aligns with learning objectives
- Digital Course Outlines provide the required and accurate information on assessment and learning outcomes
- Group work assessment tasks are well designed and implemented and comply with policy
- Marks are not awarded for attendance
- Question banks for tests and examinations are appropriately maintained and recycled
- Where plussage is used its use is appropriate to the structure of course assessment and learning outcomes and is approved by an Associate Dean
- Applications for exceptions to the 70% limit on invigilated assessment in courses where plussage is used; and the prohibition against tests with a weighting higher than 20% in the final week of teaching are made to the Associate Dean
- Concurrent teaching (where relevant) is clearly differentiated by separate and appropriate assessment
- Course information is published in Canvas two weeks before the start of teaching.

- Specific assessment criteria are provided to students at the time an assessment task is set
- Changes to assessment arrangements, where they occur, are publicised to students
- Appropriate provision is made for students notifying their intent to submit assessment in Te Reo Maori
- Invigilation of tests is organised
- Timely and appropriate feedback is provided to students, including feedback to students on an early assessment exercise in time to assist them to prepare for their first substantive assessment
- Examination questions, or question apportionment, released ahead of the examination are approved and notified to all relevant students
- Examination papers are approved before submission to ESO
- Students are informed that they may not contact Examiners or Course Directors after publication of provisional final results
- Course reviews evaluate assessment tasks and outcomes
- Oversight of assessment standards is maintained through acting as one of the Examiners for the course and leading Examiners' meetings
- Examination papers are submitted on time, free from errors and at the level appropriate for the course
- Final grades are accurate and submitted on time or alternative arrangements are made
- Changes to submitted grades are approved and resubmitted

### **iii. Course Coordinator**

#### **Responsible for:**

- The administration and organisation of the course acting under supervision of the Course Director

#### **Achieved when:**

- The Course Director delegates some of their tasks, with appropriate oversight, to the Course Coordinator

### **iv. Examiner for taught courses**

#### **Responsible for:**

- Preparation of question papers; confirmation of quality and fairness of results through participation in Examiners' meeting

#### **Achieved when:**

- Coursework assessment and tests are set and marked against the standards and criteria set for the assessment task

- Marks awarded align with the University grade schedule
- Examination papers are accurately prepared according to procedures
- One Examiner is available for the duration of the examination. Examiners must be available at a telephone extension or provide an alternative number to ESO. Examiners must have a secure copy of the approved examination paper so that any questions may be answered promptly and efficiently. Any intention to attend the start of an examination for 15 minutes must be communicated in advance to the ESO
- Where applicable, checks on calculators and books in examination rooms are made
- Examination scripts are collected and handled securely
- Coursework is available to the Assessor, as appropriate
- Adjustment of marks is undertaken according to the rules set out in procedures and records are retained. Final grades on boundaries are reviewed.
- Final grades are reviewed and signed off

**v. Assessor**

**Responsible for:**

- To provide an independent review of the quality of assessments and results

**Achieved when:**

- Information is received from the examiner(s) and reviewed to ensure adequate fairness and consistency of standards is maintained
- Final grades are signed off ([Examiners' Grade Approval Sheet, AS-65](#))

**vi. Moderator – postgraduate taught**

**Responsible for:**

- Reporting to the Academic Head as to the appropriateness of the examination and grading given course content and recognised academic standards

**Achieved when:**

- A review of the content and grading of examination papers and/or (a sample of) other assessed work is undertaken and reported to the Academic Head

**vii. Associate Dean (Academic)**

**Responsible for:**

- Ensuring assessment is consistent across the Faculty and reliably meets the University's standards

**Achieved when:**

- Assessment activities in the faculty are carried out in line with University policy, including reporting to Education Committee where required
- Faculty processes ascertain that assessment in new courses is appropriate and academically sound
- The use of plussage in a course is approved as appropriate to the structure of assessment and course learning outcomes
- Applications for exceptions to the 70% limit on invigilated assessment in courses where plussage is used; and the prohibition against tests with a weighting higher than 20% are considered and approved as appropriate
- Distribution of grades is monitored.

#### **viii. Assessment Services and Timetabling Services Office**

##### **Responsible for:**

- To ensure the integrity of the University's formal examination and assessment processes. To provide academic units with support and guidance on these processes.

##### **Achieved when:**

- The integrity of examination processes is affirmed and results for sub-doctoral students are processed accurately
- The examination timetable is built with the fewest possible clashes for students and ideally no more than one exam per day for students. Faculty requests are taken into consideration and accommodated where students will not be adversely affected
- Nominations of Examiners and Assessors are received and entered accurately
- Examination papers are received, checked and printed
- Students who are unable to sit their examinations at the scheduled time and date are advised and alternative arrangements adhere to University standards
- A pool of well-trained examination supervisors is maintained
- Appropriate examination conditions are provided for students
- Students who are sitting examinations under special conditions are accommodated
- Applications for aegrotat and compassionate passes are coordinated and processed
- Results are received, and posted to students' records in a normal timeframe of two working days
- The Assessment (Coursework and Examination) Procedures are reviewed annually
- Due dates for submission to ESO are notified in the Procedures and on the Examinations website each year
- Examination dates and locations, and examination instructions, are available to students online
- Examination scripts are returned to students on application
- Applications for submission of late results are approved under standard criteria
- An annual report is submitted to Education Committee on two-hour and three-hour examinations at stage one.

**ix. Senate representatives for aegrotat and compassionate grades**

**Responsible for:**

- Final decisions on aegrotat and compassionate grades

**Achieved when:**

- Final decisions on aegrotat and compassionate grades are made.

**x. Provost or delegate**

**Responsible for:**

- University-wide academic policies and processes

**Achieved when:**

- The following requests are considered and decided:
  - applications for late submission of results outside of the usual criteria
  - requests for exemption from the requirement to publish past examination papers on the Libraries and Learning Services Examinations Database
  - (As Chair of Education Committee) act as referee or appoint a referee to determine the final decision in disputed results cases for undergraduate or postgraduate courses (except theses, research portfolios, dissertations and research projects of 30 points or above).

**xi. Education Committee**

**Responsible for:**

- Advice and recommendations to Senate on academic policy (including assessment)

**Achieved when:**

- Exception requests are considered and decided for the following policy requirements:
  - group assessment tasks with a weighting of 30% or higher of the final grade must include a minimum component of 40% that is individually assessed
  - minimum 50% invigilated coursework assessment for stage one courses
  - Education Committee must approve a course to carry an ungraded pass/fail result
    - Advice is received on late submission of results
    - Reports from Associate Deans (Academic) are received twice a year on instances where marks/grades have been adjusted
    - Examinations annual reporting is reviewed, including the balance of two-hour and three-hour examinations
    - three-yearly reports on concurrent teaching are received from faculties.

**xii. Faculty group services staff (located in academic units)**

**Responsible for:**

- Supporting academic staff in the administration of assessment processes

**Achieved when:**

- Support is provided to Examiners/Course Directors in the preparation and formatting of examination papers
- Examination paper submission is tracked and exceptions are reported to the Academic Head
- Accurate information is available to staff assessing aegrotat and compassionate applications
- Where an aegrotat compassionate decision is to re-sit or hold an oral test, arrangements are made promptly in conjunction with ESO and the student kept informed
- Nominations for Examiners, Assessors and Course Directors are coordinated and entered into CS9
- Final results are entered into Canvas.

**xiii. Faculty student centre / resource centre**

**Responsible for:**

- Supporting students in the administration of assessment processes.

**Achieved when:**

- Applications for exam recounts are processed within three weeks.

**xiv. Faculty academic administration services**

**Responsible for:**

- The collection and maintenance of coursework and examination details.

**Achieved when:**

- Coursework and exam details are completed and entered in CS9 in a timely manner
- Late changes are submitted to ESO.