



# ASSESSMENT AND GRADING PROCEDURES AND REGULATIONS

## 1 Purpose

This procedure outlines Unitec's approach to implementing assessment practice and to clarify responsibilities for assessment and the awarding of course grades.

## 2 Scope

This procedure applies to all programmes, courses, and summative assessments used therein.

## 3 Procedure

### 3.1 Assessment practice

When undertaking assessment practices, pay particular attention to ensuring:

- coherence among the: learning process; desired content and outcomes; development of student capability; and assessment practices;
- students are inducted into the practices of assessment and supported in their transition to study;
- assessment processes and criteria are developed that promote student engagement and enhance students' learning and performance;
- internal and external moderation processes are developed to uphold the principles outlined in this policy;
- there are opportunities for students to present assessments in Te Reo Maori;
- there are opportunities for student engagement in self- and peer-assessment;
- a shared understanding between staff and students of all assessment requirements and criteria;
- there are, where appropriate, opportunities for student negotiation of the form and content of assessment;
- students understand the type and nature of the evidence required;
- all students are treated fairly in group-based assessments;
- transparency and equity in the making of judgements about students' achievement of assessment criteria;
- the programme of assessment for any course/programme is equitable and considerate of student well-being;
- the confidentiality and security of assessment results; and ensuring
- professional standards are maintained throughout the assessment process.

## 3.2 Assessment principles

Assessments and feedback must reflect the following principles:

- **Learning:** assessment and feedback should enhance and promote learning and the development of capability.
- **Validity:** assessment should relate directly to the agreed learning outcomes and processes and provide opportunities for authentic assessment.
- **Justice:** assessment and feedback should provide equitable opportunities for every student to engage with learning processes and provide evidence of their learning.
- **Partnership:** assessment practices should provide opportunities for learners and teachers to engage as partners in learning, assessment, and feedback activities.
- **Feedback:** because feedback is an embedded component of the learning principle, feedback must be provided **no later than 10 working days** after the due date of the assessment event.

Exceeding this time-frame requires the approval of the Network Dean, and must be noted in the minutes of the appropriate PAQC.

## 3.3 General

1. Assessment that leads to the award of credits for the successful completion of a course may take the form of: examinations; tests; assignments; or other approved forms; such assessment may be carried out in relation to a group of students or an individual student.
2. Any changes to approved assessment elements must be approved by the Programme Improvement Committee prior to start date for the delivery of the course.
  - a. No changes to assessment requirements shall be made after the start date for the delivery of a course unless approved by the Programme Improvement Committee and notified in writing to all students enrolled in that course.
  - b. Students shall be consulted about any proposed changes prior to Programme Improvement Committee approval.
3. Where the performance of a student in an assessment environment is considered by the Course Co-ordinator as having the potential to endanger the safety of others, an application may be made by the Course Co-ordinator to the Academic Leader to exclude the student from the assessment and/or develop an alternative assessment.
4. Students shall make themselves available to undertake all summative assessment items at the time and place stipulated in course information, provided at the start of the relevant course.
5. Credits will be granted to students by the PAQC on the basis of approved assessments for the course.
6. Appropriate procedures for assessment moderation must be set for every assessment that contributes to credits for courses in programmes and qualifications.

## 3.4 Regulations

### 3.4.1 Grading systems

7. Course results from the systems specified below are awarded on the basis of criteria approved by the Academic Board, and set out in the relevant *Programme Regulations*.
8. If any portion of summative assessment has been estimated, the final grade will be an estimated grade, and annotated “#” on the student’s *Academic Record*.
9. If a student has completed all summative assessments, the final grade will be recorded without annotation.
10. Competency-based assessment (CBA) system:

- a. In courses in which a CBA system is used, results shall be specified as follows:

|    |                   |                   |
|----|-------------------|-------------------|
| M  | Merit Pass        | Credits Earned    |
| P  | Pass              | Credits Earned    |
| NC | Not Yet Competent | No Credits Earned |

11. Achievement-based assessment (ABA) system:

- a. In courses in which a four-point ABA system is used, results shall be specified as follows:

|   |                       |                   |
|---|-----------------------|-------------------|
| A | Pass with distinction | Credits Earned    |
| B | Pass with merit       | Credits Earned    |
| C | Pass                  | Credits Earned    |
| D | Fail                  | No Credits Earned |

12. Except as otherwise approved by the Academic Board, degree-level courses (Level 7-9) shall, and other courses may, use an 11-point ABA system; results shall be specified as follows:

|    |             |                   |          |
|----|-------------|-------------------|----------|
| A+ | Distinction | Credits Earned    | 90 – 100 |
| A  | Distinction | Credits Earned    | 85 – 89  |
| A- | Distinction | Credits Earned    | 80 – 84  |
| B+ | Merit       | Credits Earned    | 75 – 79  |
| B  | Merit       | Credits Earned    | 70 – 74  |
| B- | Merit       | Credits Earned    | 65 – 69  |
| C+ | Pass        | Credits Earned    | 60 – 64  |
| C  | Pass        | Credits Earned    | 55 – 59  |
| C- | Pass        | Credits Earned    | 50 – 54  |
| D  | Fail        | No Credits Earned | 40 – 49  |
| E  | Fail        | No Credits Earned | 0 – 39   |

13. Level 10 theses may only be awarded a “Pass” or “Fail” grade.

### 3.4.2 Administrative Grades

The following administrative grades are used and may be awarded to students in the circumstances identified below; where any grades lead to the accumulation of credits toward the qualification, the administrative grade listed will identify that credits are “earned” or “not earned”.

- **Credit Recognition (CR):** credit earned through cross-credit from another qualification and/or via Assessment of Prior Learning. Credits earned.
- **Continuing (CTG):** for any course that runs for more than one semester where the final summative assessment has not yet occurred. No credits earned.
- **Deferred (DEF):** where a student can, with the approval of the relevant Academic Authority or PAQC, complete an assessment beyond the schedule date.  
Unless an exception to this is approved by the relevant Academic Authority or PAQC, any Deferred Grade remaining on a student's record beyond a duration equal to that of the original course will be changed to the grade to which the student would otherwise be entitled.
- **Did Not Complete (DNC):** recorded if a student has either withdrawn after 75 per cent of the scheduled course duration or they have not attempted a compulsory item of assessment within a course. No credits earned.
- **Student Exchange (ES):** where a student has completed an approved inter-institutional exchange and it is not appropriate for another grade to be awarded. No credits earned.
- **No Grade Associated (NGA):** course assessment and reporting of results is carried out by an external agency. No credits earned
- **Withdrawn (W):** recorded if a student withdraws from a course after 10 per cent of the scheduled course duration and up to, or at, the date at which 75 per cent of the scheduled course has passed. No credits earned.
- **Restricted Pass (R):** recorded if a student is awarded a restricted pass for a course (see below). Credits earned.
- **Estimated Grade (#):** (3.4.1(8) above). Credits earned.

### 3.4.3 Special Assessment Circumstances

This section relates to student performance in summative assessment being affected by factors beyond the control of the student.

#### 3.4.3.1 Definitions

- **"Affected"** means influenced in some way. For time-constrained items such as tests, examinations, and presentations this may include the inability to attend any or all of the assessment events or diminished performance. For other items it may be the inability to meet deadlines or diminished performance within deadlines.
- **"Factors beyond the control of the Student"** means any circumstance or situation, which the student could not have reasonably prevented, including, but not limited to, sickness, injury, or bereavement.

#### 3.4.3.2 Process

The following process will be employed for Special Assessment Circumstances.

1. In the first instance, the student shall complete the approved form to apply for consideration of affected performance. Except in exceptional circumstances, this must be:
  - a. no later than five working days after the due-date of the summative assessment; and

- b. provided with appropriate documentary evidence of both the circumstances and the effect on performance. Documentary evidence such as a medical certificate must be dated within 24 hours or one working day of the due time of that assessment item.
2. The Academic Leader shall decide the validity of each application. To be considered valid, the application shall be capable of being verified as legitimate and must be supported by such evidence as determined by the Academic Leader.
3. If the student is dissatisfied with the Academic Leader's decision, the student may request the relevant PAQC reconsiders the decision.
4. The relevant PAQC shall consider valid applications in the context of the proportion of total assessment the student has completed or may complete. On this basis, the PAQC may:
  - a. uphold the application; or
  - b. hold the application pending completion of the rest of the course assessment items; or
  - c. decline the application.
5. If section 4 c.(above) applies, the application shall be returned to the student, who may appeal to the relevant Network Dean.
6. If either section 4 a. or 4 b. (above) applies, the relevant Academic Authority or relevant PAQC shall select the method used to determine the mark or grade to be awarded. Under normal circumstances these methods are:
  - a. extension of the relevant deadline for completion;
  - b. completion of the assessment or an equivalent assessment at another time;
  - c. completion of an alternative form of assessment;
  - d. if the student has completed the substantial majority (which, except in exceptional circumstances shall be at least 80 per cent of the course's summative assessment) determination of the final grade by mathematical extrapolation; or
  - e. estimation of a mark or grade in accordance with section 7. (below).
7. If a student has completed the majority of course assessments, and these assessments are individual in nature, the relevant Academic Authority or PAQC may use one of the following methods:
  - a. estimation of the mark or grade the student would have gained had the circumstance(s) not arisen; or
  - b. changing the weighting of the assessment items completed to estimate a grade for the complete course.
8. If the mark or grade for the assessment item determined in accordance with section 7 (above) is lower than that achieved by the student despite the circumstances, the mark or grade achieved shall stand.
9. The result shall be notified to the student in writing.

#### **3.4.4 Restricted Pass**

1. The relevant PAQC may award a "restricted pass" in a course that was narrowly failed and where the relevant Academic Authority or committee considers that marginal failure is compensated by good overall performance.
2. The conditions that apply to a restricted pass shall be included in the relevant *Programme Regulations*.

3. A student may decline the award of a restricted pass by notifying the office of the Executive Dean in writing not later than 20 working days from mailing of the results.
4. The relevant PAQC may, at its discretion, prevent a student from using a restricted pass to meet the pre-requisite requirements of another course or programme.

### 3.4.5 Notification of Results

1. Following their approval by the relevant PAQC, course results will be communicated to students.
2. At the discretion of the relevant PAQC, results may be publicly displayed. In this instance, such displays will use student ID numbers in place of students' names.

### 3.4.6 Availability of Marked Assessments

1. Students shall be entitled to the return of all written work (or a copy thereof) submitted for assessment, and, subject to these procedures and regulations, may be given access to a copy of the relevant marking schedule.
  - a. In the case of digital or online tests, scripts will not be returned to students; students will, however, be provided with feedback on their performance in such assessments.
2. In the case of examinations, once the mark/grade has been approved by the relevant PAQC, students are entitled to:
  - a. be given supervised access to their original marked examination answer booklet and a copy of the marking schedule used to mark the examination; and
  - b. are entitled to take away a **copy** of their marked final examination answer booklet at no cost to the student.
3. Original marked examination answer booklets must **not** be taken away by students.
4. Time limitations for the collection of work submitted by students for summative assessment other than examinations may be set.
  - a. Such limitations will be notified in the course information provided to students at the start of the relevant course.
  - b. Where such limitations are set, assessments not collected by the due time may be destroyed.
  - c. If no time limitation is set for the collection of assessed work, following completion of the course, any uncollected work may be destroyed following the retention period prescribed within approved records disposal guidelines.
5. Students' original marked examination booklets will be retained for a retention period prescribed within approved records disposal guidelines.
  - a. At the conclusion of this period, a sample range of the 'top, middle, and bottom' marked Examination booklets, together with a copy of the related examination questions and marking schedule must be archived indefinitely.
  - b. All remaining original marked examination booklets can be destroyed in accordance with any approved *Records Retention and Disposal Scheme* Unitec may have in place.
6. Programmes must provide a copy of the course examination questions and related marking schedule to the Library as soon as is practical following publication / communication of examination results.
  - a. The Library will make this material available to students for a period of five years, after which it will be archived indefinitely.

- b. In exceptional circumstances, a programme may apply to the Network Dean for permission to with-hold student access to this material.

## 4 Responsibilities

| Role                              | Responsibilities   |
|-----------------------------------|--|
| Teaching Staff<br>Programme Teams | <ul style="list-style-type: none"> <li>Designing and maintaining assessments that adhere to these procedures.</li> <li>Designing and maintaining assessment practices that adhere to these procedures.</li> <li>Make marked assessments available in line with these procedures</li> </ul> |
| Programme Improvement Committee   | <ul style="list-style-type: none"> <li>Review and approve changes to assessment elements.</li> </ul>   |
| PAQC                              | <ul style="list-style-type: none"> <li>Approve the awarding of grades/credits to students.</li> <li>Review and make decisions related to applications for Special Assessment Circumstances.</li> <li>Approve awarding of 'restricted pass' grades to students.</li> </ul>                  |
| Academic Leaders                  | <ul style="list-style-type: none"> <li>Review applications for Special Assessment Circumstances.</li> </ul>  |
| Academic Administration           | <ul style="list-style-type: none"> <li>Post course results for students to access via MyUnitecPortal.</li> </ul>   |
| Library                           | <ul style="list-style-type: none"> <li>Archive historical examination papers to make them available to subsequent student cohorts.</li> </ul>  |
| Te Puna Ako                       | <ul style="list-style-type: none"> <li>Provide guidance, support, and advice around assessment design.</li> </ul>  |

## 5 Definitions

Unless otherwise specified the definitions in the *Policy Framework Glossary* (to be completed) apply. If a definition is not listed in that resource, ask the Policy Framework Manager to consider adding it.

## 6 Reference Documents

- [Assessment and grading guidelines](#) for staff and students;
- AC 2.0 *Assessment, Moderation, and Grades Policy*

## 7 Document Details

|                           |                       |                    |
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