



# 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 Head of School, and must be noted in the minutes of the relevant Te Komiti o ngā Hotaka | Programme Academic Quality Committee (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 Te Komiti Whakamana Hotaka Hou | Academic Approvals Committee (AAC) 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 AAC and notified in writing to all students enrolled in that course.
  - b. Students shall be consulted about any proposed changes prior to AAC approval.
3. Where the performance of a student in an assessment environment is considered by the Course Coordinator as having the potential to endanger the safety of others, an application may be made by the Course Coordinator to the Academic Programme Manager 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

1. Course results from the systems specified below are awarded on the basis of criteria approved by Te Komiti Mātauranga | Academic Committee, and set out in the relevant *Programme Regulations*.
2. 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*.
3. If a student has completed all summative assessments, the final grade will be recorded without annotation.
4. Competency-based assessment (CBA) system:
  - a. In courses in which a CBA system is used, programmes and courses will designate one of the following options to specify results:

i. CBA4 (4 point)

E	Excellence Pass	Credits Earned
M	Merit Pass	Credits Earned
A	Achieved Pass	Credits Earned
NA	Not Achieved	No Credits Earned

ii. CBA3 (3 point)

M	Merit Pass	Credits Earned
P	Achieved Pass	Credits Earned
NC	Not Yet Competent	No Credits Earned

iii. CBA2 (2 point)

A	Achieved Pass	Credits Earned
NC	Not Yet Competent	No Credits Earned

5. 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

6. 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

7. Level 10 theses may only be awarded a “Pass” or “Fail” grade.
8. Attendance based assessment (ATT) system. The following options will specify results:

A	Attended
NA	Not Attended

### 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 Recognition 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 PAQC, complete an assessment beyond the schedule date.

Unless an exception to this is approved by the 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):** a holding grade where a student has completed an approved inter-institutional exchange. A result of CR or DNC must replace this grade no later than a year after the end of the course. ES grades have 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.
- **Attendance Grade (ATT):** recorded for courses with no formal assessment but for which a certificate of attendance or completion is issued.

### 3.4.3 Affected Performance Consideration (APC)

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

### 3.4.3.1 Definitions

- **Critical personal circumstances** – means circumstances which have a profound effect on the students 'normal' functioning. This could include the ability to focus, concentrate, think clearly or put aside strong emotion for the period of the assessment, or a significant portion of the study period.
- **Beyond your control** - means circumstances that the student could not change or influence – such as anxiety, illness, bereavement or other critical personal events.
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### 3.4.3.2 Process

The following process will be employed for Affected Performance Consideration (APC) (formerly known as Special Assessment Circumstance (SAC)).

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 as detailed in the application form.
2. The Academic Programme Manager shall decide the validity of each application. To be considered valid, the application shall be capable of being verified as legitimate..
3. If the student is dissatisfied with the Academic Programme Manager'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 Head of School.
6. If either section 4 a. or 4 b. (above) applies, the 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 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 PAQC may award a "restricted pass" in a course that was narrowly failed and where the PAQC 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 Head of School 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 period of 12 months after the date of release of the examination results, as outlined within Unitec's approved Disposal Schedule.
  - 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 Head of School for permission to with-hold student access to this material.

## 4 Responsibilities

Role	Responsibilities
Teaching Staff & 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>
Te Komiti Whakamana Hotaka Hou   Academic Approvals Committee	<ul style="list-style-type: none"> <li>• Review and approve changes to assessment elements.</li> </ul>
Te Komiti o ngā Hotaka   Programme Academic Quality Committee	<ul style="list-style-type: none"> <li>• Review and endorse changes to assessment elements.</li> <li>• Approve the awarding of grades/credits to students.</li> <li>• Review and make decisions related to applications for Affected Performance Consideration.</li> <li>• Approve awarding of 'restricted pass' grades to students</li> </ul>
Academic Programme Managers	<ul style="list-style-type: none"> <li>• Review applications for Affected Performance Consideration</li> </ul>
Te Korowai Kahurangi	<ul style="list-style-type: none"> <li>• Publish 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

**Version Number** 1.2

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<b>Version History</b>	<b>Amendment Date</b>	<b>Amendment/s</b>
January 2021	March 2019	First edition
and Affected Performance Consideration	<b>Consultation Scope</b>	Update nomenclature

**Approval Authority** Te Komiti Mātauranga | Academic Committee

**Original Date of Approval**

**Document Sponsor** Executive Dean, Academic

**Document Owner** Te Komiti Mātauranga | Academic Committee

**Contact Person** Simon Tries, Manager Te Korowai Kahurangi

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## Amendment History

<b>Version</b>	<b>Issue Date</b>	<b>Reason for Revision</b>	<b>Approved by</b>
1.1	28/03/19	<p>Section 3.4.1 - Need for flexibility in range of grading systems and to align with other providers. Added Excellence grade step; option for a 2,3, and 4 step CBA; changed terminology from NC (Not Competent) to NA (not Achieved) in 4-point system, and changed CBA3 'Achieved Pass' from an 'A' to a 'P'.</p> <p>Section 3.4.2 - Amended ES grade definition to include that a final grade of CR or DNC must replace this grade within 12 months of end of course. Removed references to 'relevant academic authority' as this is the now the responsibility of the PAQC.</p> <p>Section 3.4.4 - Removed references to 'relevant academic authority' as this is the now the responsibility of the PAQC.</p> <p>Section 4 – Changed Academic Administration to TKK to reflect post ATOM changes, and changed 'post' to 'publish'.</p> <p>Section 3.4.6.5 – added retention period of 12 months for examination booklets, as per Unitec's Disposal Schedule</p>	Academic Board
1.2	20/01/2021	<p>Update of nomenclature throughout.</p> <p>Update Special Assessment Circumstance</p>	Te Komiti Mātauranga   Academic



		section to align with change made to Affected Performance Consideration.	Committee