

Assessment (Coursework, Tests And Examinations) Procedures

Application

These procedures apply to all **staff members**, and students enrolled in undergraduate and postgraduate taught courses offered by the **University**. Separate policy and guidance documents govern the examination of [sub-doctoral](#) and [doctoral students](#).

Purpose

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](#) (the “**Policy**”).

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.

Note: specific tasks by role and assessment procedure for undergraduate and postgraduate taught courses are outlined in the Policy, and further detailed in [Appendix 1](#).

Procedures

The role of course directors

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.

- 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.

Role responsible: course director

2. Course directors are nominated and appointed by academic heads through the Nominees Report available in Student Services Online (SSO/CS9), which is submitted to Assessment Services.

- academic heads must take into consideration the teaching experience of any nominees for the role and ensure that they are research-informed.
- academic heads may replace a course director with an alternate if that individual is not able to fulfil the role.
- the deadline dates for submission of nominations are included in [Appendix 2](#).

Role responsible: 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.

Role responsible: programme leader

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.

Role responsible: proposing faculty

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'.

Role responsible: proposing faculty

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.

Role responsible: 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.

Note: See Policy item 21

Role responsible: course director

8. To ensure coherence and alignment of assessment with learning objectives, course directors are responsible for ensuring that:

- 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.

Role responsible: course director

9. Course directors are responsible for ensuring that where group assessment forms part of a course:

- 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
- students must be clearly informed of what is expected of them in a group task, and exactly what is being assessed.

Note: see Policy item 18

Role responsible: course director

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.

Role responsible: 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.

Role responsible: course director

12. Course directors are responsible for maintaining appropriate assessments for **concurrently** taught courses.

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 Concurrent Teaching Policy.

Role responsible: course director

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.

Role responsible: Associate Dean Learning and Teaching

14. Requests for exceptions to the following policy requirements will be made to the faculty Associate Dean Learning and Teaching:

- approval for a plussage arrangement that allows less than 30% of the final grade to be derived from coursework (see Policy item 21)
- approval for tests with a weighting higher than 20%, including take-home tests, to be conducted in the final week of teaching (see Policy item 22).

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 deadline for submission of assessment information in Course View.

Role responsible: Associate Dean Learning and Teaching

15. Requests for exceptions to the following policy requirements will be made to Education Committee:

- 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 item 18).

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 deadline for submission of assessment information in Course View.

Roles responsible: course director and Education Committee

Assessment approval and information

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.

Roles responsible: course director, academic head, and Associate Dean Learning and Teaching

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 published deadline.

- The deadline dates for submission of examination details are included in [Appendix 2](#).
- Changes made to assessment details after submission must be approved by the academic head (or delegate) and re-submitted via Course View.

Roles responsible: course director, examiners, and academic head (or delegate)

Appointment of examiners, assessor 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.

Roles responsible: examiners and academic head

19. Examiners and assessor are appointed through the Nominees Report available in SSO which must be approved by the academic head and submitted to Assessment Services. examiners and assessor appointed from within the university system are not paid a fee.

- Professional teaching fellows and senior tutors appointed as examiners or assessor must be able to demonstrate to their academic head that they are research-informed (see item 1).

Role responsible: academic head

20. Changes in nominations of course director, examiner or assessor must be advised to Assessment Services on the AS-44 Changes to Nominations Form and approved by the academic head.

Role responsible: academic head

Management of assessment

Feedback to students

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

21. **Feedback/feedforward** to students on coursework may vary in method, but must address performance against the learning objectives and criteria set for the assessment task.

Role responsible: course director

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.

Role responsible: course director

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.

Role responsible: programme Leader

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.

Role responsible: course director or nominee

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.

Role responsible: course director or course 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 te reo 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 [Assessing Te Reo Māori in Coursework and Examination Procedures](#).

29. Substantive changes to assessment arrangements that have been approved and published cannot be made without approval:

- Following the publication of the Canvas course and before the end of the add/drop enrolment period, substantive changes to assessment must be approved by the Associate Dean Learning and Teaching.
- Following the add/drop enrolment period, substantive changes to assessment must be approved by the Pro Vice-Chancellor Education.
- All changes to assessment must be notified to students.

Roles responsible: Associate Dean Learning and Teaching or Pro Vice-Chancellor Education

30. Minor changes to assessment arrangements may be made with the approval of the academic head, and must be notified to students.

Role responsible: academic head

31. 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
- Turnitin
- digital assessment (where relevant).

Role responsible: course director

32. 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).

Role responsible: course director

33. 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.

Role responsible: Assessment Services

34. Students must be informed that they may not contact examiners, course directors or any teaching staff about their performance in the course after publication of provisional results in Canvas and before final examination results are available on SSO.

Role responsible: course directors

35. 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 Assessment Services.

Role responsible: Provost or delegate

Coursework and tests

36. 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.

Role responsible: examiner

37. 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.

Role responsible: assessor

Format

38. 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.

39. 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

40. Tests which count toward the final result for a course are not required to be conducted under invigilated conditions. The use of in-person or digital invigilation for tests will be determined by the Associate Dean Learning and Teaching or delegate.

Role responsible: Associate Dean Learning and Teaching

41. 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](#)

42. 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.

Note: see items 163-172 for further information on aegrotat and compassionate consideration for tests.

Role responsible: academic head

Marking assessment items

43. Coursework assessment and tests must be marked against the standards and criteria set for the assessment task. **Marking guides** must be prepared and be made available to all examiners and assessor in a course.

Roles responsible: course director, examiners/markers, or nominee(s)

44. Marks awarded must align with the University grade descriptors in [Appendix 3](#).

Role responsible: examiners / markers

45. 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.

46. 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.

Roles responsible: academic head, Associate Dean Learning and Teaching

47. Marks and grades for weighted assessment tasks must be made available on Canvas.

Role responsible: course director

Receipt and return of coursework

48. Academic heads are responsible for ensuring the secure receipt and confidential return of hard-copy coursework assignments.

Role responsible: academic head

49. 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

50. Academic units must have processes to ensure secure storage of assessment questions, coursework and records.

Role responsible: academic head

51. 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 is to be determined by the faculty and made clear to students.

Role responsible: academic head

Examinations in undergraduate or postgraduate taught courses

Requirement to sit an examination

52. 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 periods

53. 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.

54. The University examination period for Summer School is Monday-Wednesday in the week immediately following the end of the teaching period.

55. The University examination period for Quarters is Saturday in the week immediately following the end of the teaching period.

Examination format and conduct

56. The standard format for a written examination is:

- a three-hour examination plus ten minutes for reading time; or, a two-hour examination plus ten minutes for reading time
- questions are not known by the students in advance of the examination, except where approved as per item 58.
- For closed book examinations, students are not permitted to bring any material into the examination. For restricted book or open book examinations, students are only permitted to bring such materials into the examination as directed by the course director, course coordinator or examiner.

57. The standard format for a digital examination is:

- a three-hour examination plus thirty minutes additional time for uploading files and navigating the digital format; or, a two-hour examination plus thirty minutes additional time for uploading files and navigating the digital format
- questions are not known by the students in advance of the examination, except where approved as per item 58.
- For closed book examinations, students are not permitted to bring any material into the examination. For restricted book or open book examinations, students are only permitted to bring such materials into the examination as directed by the course director, course coordinator or examiner.

58. 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 or nominee.

Role responsible: course director

59. 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.

Role responsible: course director

60. 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 Assessment Services via course View.

Role responsible: academic head

61. An examination mode may include paper-based or digital delivery. Examinations in digital modes may be completed as invigilated or non-invigilated examinations.

Role responsible: Assessment Services

Examination setting

62. Examiners must prepare examination questions according to the Guidelines for the Preparation of Examination Papers available from the Assessment Services.

Role responsible: examiners

63. Where two or more examiners have been appointed in any course 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.

Roles responsible: examiners, academic head

64. Examiners and assessor must observe strict confidence and maintain security in the setting of examination questions and in the whole marking process.

Roles responsible: examiners, assessor

65. Examination questions must be approved by the course director and submitted for approval to Inspira (digital examinations) or through the examinations paper submission website (paper based examinations)

Role responsible: course director

66. All examination papers (for paper-based examination) must be submitted by Group Services by the deadlines specified in [Appendix 2](#).

Role responsible: course director

During the examination

67. 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.

Role responsible: examiners

Book designation of examinations

68. Unless otherwise specified, examinations will be Closed Book (CB). That is, no written material may be brought into the examination location.

69. The designation for Restricted, Open and Supplied Book examinations must be approved by the course director. See [Appendix 4](#).

Role responsible: course director

Calculator designation of examinations

70. Details for the calculator designation of examinations are specified in [Appendix 5](#).

Special examination conditions

71. 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 approval to be examined under conditions which take account of the particular impairment.

72. 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

73. All students must sit examinations at the time and location specified unless an out-of-time or out-of-centre examination is approved.

74. 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 Assessment Services for advice.

75. Out-of-time examinations are normally sat 24 to 48 hours after 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 are encouraged to write an alternative exam paper.

Roles responsible: Assessment Services, examiner

Music performance examinations

Undergraduate

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 will 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.

77. The teacher must be in attendance to act as adviser to the examiners but will not participate in the decision-making process.

78. Part 1 and 2 performance examinations are not open to the public. Part 3 performance examinations must be held as public recitals.

Postgraduate

79. 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 will 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.

80. Performance examinations for all postgraduate degrees must be held as public recitals.

81. 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

82. Hand-written examination scripts (with the exception of students sitting under alternative arrangements) will normally be available for collection from the Examinations Centre an hour after the completion of the examination

Role responsible: examiners

83. Examiners of evening examinations must contact Assessment Services if they intend to collect scripts after the evening sessions; otherwise they must collect them the following day.

Role responsible: examiners

84. Staff collecting hand-written scripts must present their University of Auckland staff ID card. examiners or nominee(s) must notify Assessment Services in writing of an alternative staff member collecting scripts on their behalf.

Role responsible: examiners

Marking examination scripts

85. Strict security must be maintained in the handling and storage of hand-written and digital examination scripts.

86. 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).

Role responsible: markers

87. Interim marks and evaluative interchanges with other examiners or assessor taking place before the final mark is settled must be held in confidence. Interim marks or other information is to not be recorded on the script.

Roles responsible: examiners, assessor

88. Hand-written or digital scripts are available to students on application to Assessment Services.

Role responsible: Assessment Services

Illegibility of hand-written scripts

89. 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.

Roles responsible: Assessment Services, examiner

90. 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.

Role responsible: academic head

Missing scripts

91. Where a student's hand written script, or parts of a script, have been misplaced prior to marking, the examiner must immediately inform Assessment Services.

Role responsible: examiner

92. 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 Assessment Services.

93. 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.

Role responsible: Assessment Services

Moderation and adjustment of marks in undergraduate or postgraduate taught courses

94. 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:

- the use of marking guides
- reviewing a sample of work
- reviewing borderline results
- statistical analysis.

Role responsible: academic head

Final marks and grades

95. 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.

Role responsible: Associate Dean Academic

96. Final results will be expressed as a letter grade, with a corresponding numerical mark, as outlined in [Appendix 3](#).

97. There are ten pass grades, and three fail grades. A pass mark is 50% or more.

98. Use of a 0.5 rounding scheme is considered standard practice and must be applied consistently within programmes.

99. Final marks on grade or pass/fail boundaries may be reviewed by the examiners on a case-by-case basis.

Ungraded pass / fail results

100. 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

101. 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.

Note 1: 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).

Note 2: 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).

Role responsible: examiner

Submission of final results

For a single course

102. For each class, enter a grade for each student.

Roles responsible: course director or delegate

103. 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.

Roles responsible: course director or delegate

104. Enter DNS in all instances if the student did not sit the exam.

Roles responsible: course director or delegate

105. 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.

Roles responsible: course director or delegate

106. 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.

107. Assessment Services will enter NAX on the student record to indicate when a final grade has been withheld for an academic misconduct investigation.

Role responsible: Assessment Services

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

108. 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.

Role responsible: faculty office

109. If, because of exceptional circumstances, a result cannot be submitted within three months, the department must apply through its faculty office to Assessment Services on the AS-73 Application for Late Results Submission form for approval 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.

Role responsible: faculty office

110. Applications will be approved by Assessment Services if the result is unable to be submitted for the following reasons:

- Illness or other incapacity of an examiner or assessor

- Dispute over the result.

Role responsible: Assessment Services

111. Applications falling outside of these criteria will be submitted to the Provost or delegate for consideration.

Role responsible: Provost or delegate

112. 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

113. All results (except those which are individually-assessed) must be submitted electronically via Canvas to Student Services Online.

Note: see instructions at www.auckland.ac.nz/examinations.

Roles responsible: course director, examiner, assessor

114. 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

115. 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.
- 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.

Roles responsible: course director, examiner(s), assessor

Individually assessed results

116. 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

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

Changes to results

118. Any changes to grades after the results have been submitted to Assessment Services 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.

Roles responsible: course director, academic head

Deadline for submission

119. Results must be submitted to Assessment Services by the dates specified in [Appendix 2](#).

Late submission of results

120. Any results not submitted by the published deadline must be notified to Education Committee.

Role responsible: academic head

121. 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 Assessment Services 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.

Role responsible: academic head

122. Applications will be approved by Assessment Services 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.

Role responsible: Assessment Services

123. Assessment Services 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.

Role responsible: Provost or delegate

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

Role responsible: Assessment Services

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

Disputes among examiners and/or assessor

125. In the event of a dispute among examiners or examiners and assessor which cannot be resolved among themselves, the matter is to be referred to the academic head for resolution in negotiation with the examiner(s) and assessor(s).

Roles responsible: academic head, examiner, assessor

126. All documents relating to the examination and assessment and to the dispute will 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 is to be made available to each examiner and assessor.

Role responsible: academic head

127. The academic head, having considered all the documentation, will 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.

Role responsible: academic head

128. 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, will be referred by the academic head to the dean of faculty.

Role responsible: academic head

129. The dean of the faculty or the dean's nominee will, after reviewing the documentation and making any other enquiries considered necessary and appropriate, proposes a resolution in writing to all parties. All parties must agree to this proposal in writing before it can be adopted.

Role responsible: dean or nominee

Disputes where an academic head is an examiner or assessor

130. In cases where the academic head is an examiner or assessor, the dean of the faculty or nominee will 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

131. 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 is to be discussed with the examiner(s) and assessor(s).

132. If no agreement is reached, the academic head will call for written reports from the examiner(s) and assessor(s), and will state in writing their own grounds for objection. All of these documents will be made available to the examiner(s) and assessor(s) for the purpose of further comment which must be in writing.

Role responsible: academic head

133. 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 will be referred by the academic head to the dean of the faculty.

Role responsible: dean or nominee

134. 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.

Role responsible: dean or nominee

Referee

135. In any of the above cases, where there is still no agreement, the dean will refer the matter and all documentation to the Chair of Education Committee who will 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.

Role responsible: Chair of Education Committee

136. The referee will determine the marks or results to be awarded. This determination will be final.

Role responsible: referee

Conceded passes

Note: see [Examination Regulations](#).

137. Conceded passes are awarded by the relevant faculty.

Role responsible: dean or delegate

Deferred results

Note: see [Examination Regulations](#).

138. 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 Pharma
- Bachelor of Physical Education
- Bachelor of Social W
- 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

139. 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.

140. Where a grade has been lowered after the result has been posted, the department must advise both the student and Assessment Services in writing.

Role responsible: academic head

Recount of marks

141. 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 will be as prescribed in the Fees Regulations.

142. 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.

Role responsible: examiner

143. Students may apply for a recount of marks for written examination papers only.

Aegrotat and compassionate consideration for examinations

Note: Regulations govern aegrotat and compassionate consideration, these procedures is to be read in conjunction with those regulations.

Scope

144. 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.

145. 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

146. 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 Assessment 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 application and website available online to every candidate before each examination period.

Sitting examinations

147. Students is to 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.

148. 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)

149. 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)

150. 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

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

Processing applications

152. 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.

Role responsible: Assessment Services

153. 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.

Role responsible: course director

154. 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.

Role responsible: course director

155. Academic determinations are confidential and details must not be given to students.

156. Changes to grades resulting from the aegrotat or compassionate process is to not be submitted in the normal return of results process.

157. Forms is to be returned to Assessment Services as soon as possible, within a week of receipt.

Academic requirements for aegrotat and compassionate grades

158. 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 taking into account the student's coursework or test scores in the course; and
- the student is clearly worthy of a pass in the course.

Role responsible: course director

159. 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 is to be specified by the course director when outlining the reasons behind the determination.

Role responsible: course director

160. 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

161. 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.

Reconsideration of applications

162. To apply for reconsideration a candidate must make an application no later than one month from the date of the outcome letter in writing to the Director, Student and Academic Services. See [Examination Regulations](#).

Role responsible: Director, Student and Academic Services

Tests

163. A modified version of the examination procedures for aegrotat and compassionate consideration applies to tests which count towards the final result for a course.

164. 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 Assessment Services, the University Health and Counselling Services or see the Examinations website for the online application process.

165. Students is to 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.

166. 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.

167. 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.

168. If the evidence is not in order, Assessment Services will notify the student, and send a copy of the letter to the appropriate course director.

169. If the evidence is in order, the application form is sent to the appropriate course director. This does not include the assessed medical or other evidence, which is held by the University Health and Counselling Services.

170. The course director 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.

171. 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.

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

Deferred examinations (clinical and performance)

173. 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 leader for deferment of that examination. The grounds for claiming illness, injury or exceptional circumstances is to correspond with those used for aegrotat provisions set out under the Examination Regulations and is to include where appropriate evidence from University Health and Counselling Services.

Roles responsible: academic head, programme leader

174. The academic head or programme leader 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.

Roles responsible: academic head, programme leader

Availability of examination scripts

175. 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 handwritten examination script. Applications must be made online and a copy sent by email to the student. Candidates can view their digital examination script on Inspira directly without making an application for a period of three months after the end of the examination period.

176. 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 is to notify Assessment Services of the amended grade stating the reason for the change. The student will then be advised by email of their amended results.

Role responsible: academic head

177. 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 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.

Role responsible: academic head

Storage and disposal of examination material

178. 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.

Role responsible: examiners

179. In the case of examinations in Fine Arts, Testimonials of Study need not be so preserved.

180. 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.

Role responsible: examiners

Breaches of academic integrity

181. 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.

182. All confirmed instances of **academic misconduct** are recorded on the University's Register of Academic Misconduct.

183. A student's assessed work may be reviewed against electronic source material using electronic detection software.

Disputes and complaints procedures

184. 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

185. Assessment is quality assured through processes at the course, academic unit, faculty and university level; details are specified in [Appendix 6](#).

Definitions

The following definitions apply to this document:

Academic head means heads of departments, schools and other teaching and research units; or a delegate such as a programme leader.

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.
10. Assessment items are the property of the University; this includes: examination papers; students' completed examination scripts and other items of assessment; marking guides; and students' marks.

Associate Dean Academic is responsible for their faculty's academic programmes, overseeing quality assurance and providing policy and strategic advice on both new and current academic programmes and qualifications.

Associate Dean Learning and Teaching is responsible for the overall development of teaching and learning in the faculty, including providing policy and strategic advice to ensure that the faculty creates and fosters an environment that enables a positive student experience.

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.

Course coordinator is responsible for the administration and organisation of the course and its assessment acting in conjunction with, and under the supervision of, the course director.

Course director is responsible for the overall design and management of the course to ensure that course design, assessment and delivery support learning outcomes and are aligned to the relevant programme graduate profile.

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/feedforward 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. 'Did not sit' and 'did not complete' results are counted as zero. 'Withdrawals' do not receive a numerical value.

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

Marking guides - for the purpose of this document - include rubrics, assessment criteria, marking schemes and any tool or scheme used to assist in the marking of items of assessment.

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

Programme leader means a programme director, major or specialisation leader, or an equivalent with defined responsibilities for a specific programme.

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.

Staff member refers to an individual employed by the University on a full or part time basis.

Substantive changes to assessment means a change to an assessment task type, the weighting of an assessment task, or advancing the deadline of an assessment tasks.

University refers to Waipapa Taumata Rau | University of Auckland and includes all subsidiaries.

Key relevant documents

Include the following:

- [Assessing Te Reo Māori in Coursework and Examinations Procedures](#)
- [Assessment \(Coursework, Tests and Examination\) Policy](#)
- [Concurrent Teaching Policy](#)
- [Examination Regulations](#)
- [Examination of Sub-doctoral Postgraduate Research Components of 30 points and Above Procedures](#)
- [Inclusive Learning and Teaching of Students with Impairments Guidelines](#)
- [Resolution of Student Academic Complaints and Disputes Statute](#)
- [Special Conditions for Written Tests and Examinations Policy](#)
- [Student Academic Conduct Statute](#)
- [Student Charter](#)
- [Student Retention Policy](#)
- [University Graduate Profiles](#)

Document management and control

Owner: Pro Vice-Chancellor Education

Content manager: Manager, Academic Quality

Approved by: Provost – by delegated authority of Council

Date approved: 18 May 2023

Review date: Annual review by Education Committee