

# Procedures & Principles

Part B1: Assessment and Moderation

Number: AC-11/05

## ASSESSMENT

<b>Policy Manager:</b>	Quality and Academic Director	<b>Date Approved:</b>	November 2011
<b>Category:</b>	Academic	<b>Date Last Revised:</b>	March 2018
<b>Refined category:</b>	Delivery of Teaching and Learning	<b>Next Review Date:</b>	Transitioning to Te Pūkenga
<b>Authorised by</b>	Academic Advisory Committee		

*Te Pūkenga is currently creating their national policy framework. As per the [grandparenting policy](#) any gaps in policy while the framework is being formalised will be addressed by the existing policy at this business division (Te Pūkenga ki Waikato). Unless a policy or procedure is identified as a risk to ākonga, kaimahi and Te Pūkenga, all existing Te Pūkenga ki Waikato policy will remain current until they are replaced or reformed under Te Pūkenga's policy framework. Where risk is identified the policy and or procedure will be reviewed by the appropriate business division policy manager.*

### 1. ASSESSMENT AT WINTEC

- 1.1. Assessment at Wintec measures student achievement, encourages learning, supports continuous improvement (self-assessment), and provides evidence of best practice in teaching and learning.
- 1.2. There is a reciprocal relationship between learning outcomes, assessments, and learning activities. Alignment of these provides students with clear expectations and staff with confidence that their teaching and learning practices are fair, authentic, transparent, valid, sufficient, consistent and reliable.

### 2. ASSESSMENT PRINCIPLES

- 2.1. *Assessments have clear expectations* – goals and standards are clear and easy to understand. Model answers, exemplars, and marking schedules allow students to understand what is expected and can lead to improved performance.
- 2.2. *Assessment design is integral to module and curriculum design* – guided by the Ako: Teaching and Learning Directions, modules should be designed with an understanding of the types of assessments that will best suit the learning outcomes, the nature of the discipline or subject, and the level of learning<sup>1</sup>.
- 2.3. *Assessments are varied, authentic and appropriate to the learning and the student* – assessments provide students with opportunities to demonstrate their knowledge and skills through a range of mediums and methods that are appropriate to the discipline or subject being assessed and the cohort of students. This includes ensuring the assessment tasks are as authentic as possible to reflect the real-world application of learning.
- 2.4. *Assessments are manageable* – the number of assessments, time allocation and timing/spacing of assessments across a module and programme are key. The assessment workload should be manageable for students and academic staff.
- 2.5. *Students are provided with clear, timely, and constructive feedback* – clear, timely and constructive feedback to students on assessments helps to clarify what students know, recognises their good practices, and provides guidance on areas of improvement for ongoing learning.
- 2.6. *Moderation is a key tool of assessment best practice* – the moderation process is designed to ensure there is consistency and fairness across assessment practices and judgements. It is also a

<sup>1</sup> Refer to the [Level descriptors table](#) on the New Zealand Qualifications Authority "Understanding New Zealand Qualifications".

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data source for self-assessment and continuous improvement. Refer to AC-11/05(b2) for the Moderation section of the policy on Assessment and Moderation (AC-11/05).

## 3. ASSESSMENT PROCESSES

- 3.1. High level assessment requirements for modules are stated in the curriculum document for the programme and must be adhered to. Any changes to these can only be approved by the Academic Approvals Committee (AAC).
- 3.2. Students must be provided with detailed assessment requirements for all modules they are enrolled in no later than the end of the first teaching week of the module.
- 3.3. The detailed assessment requirements students will be provided with will include:
  - i. the name of the assessment
  - ii. the type of the assessment
  - iii. the weighting of the assessment towards the final mark of the module, if achievement based
  - iv. the learning outcome/s the assessment aligns to
  - v. the specific requirements and expectations of the assessment tasks/activities; including
    - 1) clear description/explanation of the assessment
    - 2) how the assessment will be marked – e.g. Pass/Fail or weighted marks; marking criteria and clear expectations of what is required to achieve a high mark
    - 3) clear breakdown of the assessment into its components – e.g. the expectations/tasks/activities within the assessment
    - 4) the weighting of each component towards the total mark of the assessment.
  - vi. the dates by which assessments have to be submitted, or dates of tests and examinations.

*Special Note: Specified level of attendance may be a module or programme requirement, but it does not constitute an assessment measure. However, it must be stated in the detailed assessment requirements given to students within the first teaching week.*
- 3.4. Assessment details form part of Wintec's contract with students, therefore the following must occur.
  - i. Assessment components must be proactively reviewed before the scheduled start date of a class to ensure all information (in course outline, on Moodle and in Arion) is correct for the upcoming delivery.
  - ii. All changes to assessment structures must go through the formal AAC change request process.
  - iii. Once a class has commenced, any changes to the module or assessment structure must be disclosed and agreed to by the students. Changes must be documented and notified to students in writing. A statement confirming that disclosure and notification has occurred must be included in the rationale in accordance with the 'late changes to modules' AAC change request process.
  - iv. Once a class has commenced, any changes to assessment timing or scheduling must be:
    - 1) discussed with and agreed to by the Team Manager and/or Programme Coordinator prior to any changes being made
    - 2) disclosed and agreed to by students prior to any changes being made. Any such changes must be reported to the Programme Committee.
- 3.5. Formative and summative assessments have different roles and students should be provided with opportunities for both to support their learning.

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- i. Formative assessments occur primarily to give feedback to students on their knowledge of a module and to help guide their further learning on that module.
- ii. Formative assessment must be clearly differentiated from summative assessment, and **cannot be used for grading students.**
- iii. Summative assessments measure student learning and contribute to the final mark or grade for a module.

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## 4. ACADEMIC INTEGRITY IN ASSESSMENT

- 4.1. Students must act honestly and with integrity at all times in relation to assessments. Students are required to:
  - i. present their own original work for assessment
  - ii. acknowledge contributions from other sources by using the referencing format required for the programme (failure to do this correctly may be regarded as plagiarism); this includes direct copying, paraphrasing, summarising and the rearranging of another person's words or idea/s
  - iii. not cheat in tests or examinations
  - iv. ensure they follow all instructions and the correct procedures (e.g. no use of cell phones)
  - v. not submit the same, or a similar, piece of work for assessment on more than one occasion
  - vi. not enter into any agreements with other students to collude on assignments
  - vii. collaborate only as permitted
  - viii. not over/misrepresent the individual contributions of members of any group assignment
  - ix. not knowingly help others to cheat
  - x. not act or behave or in way that precludes others from completing their assessments
  - xi. keep written and electronic work secure to prevent others from accessing and copying work.
- 4.2. As part of the assessment submission process, students may be required to sign a declaration confirming that the work presented is their own original work.
- 4.3. Tutors may decline to mark any assessment work if there is evidence of dishonest or improper practice, or the assessment work does not comply with instructions. In these instances, the procedures will conform to the provisions of the Academic Misconduct regulations in the Academic Manual (refer section AM12: Academic Misconduct).

## 5. ASSESSMENTS IN TE REO MĀORI

- 5.1. Students have the right to undertake assessments in Te reo Māori.
- 5.2. Once enrolled, students who intend to present all or part of their assessments in Te reo Māori should provide written notice to the Tutor responsible for the module no less than six weeks prior to the due date for the assessment.
- 5.3. If less than six weeks' notice is given, marking and resulting processes for written assessments may be delayed, and oral assessments in Te reo Māori may not be able to be approved.
- 5.4. Wintec will take all reasonable steps to ensure all items of assessment presented in Te reo Māori, regardless of type (e.g. written/oral, theoretical/practical), are assessed by a Tutor who is competent in both Te reo Māori and the required discipline/subject area.

## 6. ASSESSMENT FEEDBACK

- 6.1. Feedback that supports learning should be provided on formative assessment tasks and where appropriate, summative assessment tasks.
  - i. Constructive and timely feedback needs to be provided throughout the module.
  - ii. Constructive feedback will provide comment on current performance (strengths and weaknesses) and strategies to improve future performance.
  - iii. Timely feedback will enable students to incorporate the feedback into future assessment tasks.

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- iv. Feedback should primarily relate to the assessment criteria but may also include comment on individual needs (e.g. grammar, APA referencing) as appropriate.

## 7. ASSESSMENT CONCESSIONS

- 7.1. Assessment Concessions are the variations that may be offered to students with **impairment/s**.
  - i. Students with **temporary impairments** should refer to the Academic Manual, Section AM8: Assessment Concessions, for further information.
  - ii. Students with **permanent impairments** should contact Student Learning Services for more information.

## 8. REASSESSMENT PROVISIONS

- 8.1. Reassessment provisions are opportunities for reassessment that are allowed as part of the standard delivery of a module.
- 8.2. Reassessment provisions do not apply to permanent or temporary impairment/s. Students with impairments should make use of the opportunities available to them under Assessment Concessions (refer to the Academic Manual, Section AM8: Assessment Concessions, for further information).
- 8.3. Reassessment provisions are managed and monitored by the relevant School/Centre and reported to the appropriate Programme Committee. This includes all communications to students and ensuring notes are recorded in all appropriate systems (e.g. the Student Management System)
- 8.4. The Programme Committee should report on reassessment provisions to the Academic Approvals Committee via the School/Centre Strategic Programme Oversight Committee minutes three times a year.
- 8.5. Reassessment provisions may take the form of a short-term extension to the due date/submission deadline of an assessment; an opportunity to resit/resubmit an assessment; or an opportunity to undertake an alternative assessment.
  - i. **Short term extensions:**
    - 1) Short term extensions:
      - a) must be requested from and agreed to by the module Tutor, or delegated authority, **before** the assessment due date/submission deadline
      - b) should be no longer than **two working days** past the assessment due date/submission deadline
      - c) are given at the discretion of the Tutor or delegated authority.
    - 2) The Tutor or delegated authority must keep a record of extensions granted and the reason for the extension to ensure consistency and fairness in these decisions
    - 3) The Programme Committee may consider a short term extension of up to five working days past the assessment due date/submission deadline on a case by case basis. In such instances, the extension:
      - a) must be requested by the student in writing before the assessment due date/submission deadline
      - b) must be supported by the module Tutor or delegated authority.
    - 4) No extension will be granted beyond the end of the semester in which the assessment is scheduled, unless authorised by the Dean.

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## ii. **Resit/resubmit:**

- 1) For achievement-based assessments:
  - a) students who fail an assessment but score within the 45-49% range of the required pass mark may be given/may apply to the Programme Coordinator for the opportunity to resit/resubmit that piece of assessment
  - b) students must be notified in writing of the expectations and new deadline, and, where appropriate, time and place of the resit/resubmit.
- 2) For competency-based assessments / achievement standards, unless otherwise stated within the achievement standard, resubmission should:
  - a) be limited to specific aspects of the assessment
  - b) take place before overall feedback is given to the student on the work done. Resubmission is not possible if more teaching has occurred after the first assessment opportunity
  - c) be closely supervised to manage authenticity
  - d) be offered only where the tutor judges that the student has made a mistake that the student should be able to discover and correct themselves.

## iii. **Alternative Assessments:**

- 1) In some cases, an alternative assessment may be required to ensure that resit/resubmit opportunities do not create an unfair advantage. In such instances, the alternative assessment must:
  - a) be comparable in expectations and workload to the original assessment
  - b) be pre-assessment moderated
  - c) meet the same learning outcomes as the assessment it is replacing.

8.6. All reassessment provisions must be stated in the module outline/programme handbook, including to whom students will need to apply and any limits to the number of reassessment provisions allowed.

- i. If a generic statement is used in the Programme Handbook and there is a module within the programme excluded from this provision, this must be stated on that module's outline.

## **9. STUDENTS' RIGHT TO QUERY MARK OR GRADE**

- 9.1. Marking schedules must be transparent so that students understand how the tutor arrived at the mark or grade.
- 9.2. Students have the right to discuss or query a mark or grade with their Tutor.
- 9.3. For assessments presented in Te reo Māori, students have the right to query the accuracy of the translation.
- 9.4. If students are not satisfied with the Tutor's response, they can apply for a Review of an Academic Decision by:
  - i. applying for reconsideration of a mark or grade for an item of assessment; or,
  - ii. applying for reconsideration of the final mark or grade for the module.

The review process falls under the Review of an Academic Decision provisions of the policy on Student Concerns, Complaints and Appeals (AC-08/02).

- 9.5. Students may appeal the outcome of a Review of an Academic Decision by making an application to the Dean as per the provisions of the policy on Student Concerns, Complaints and Appeals (AC-08/02).

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- 9.6. Students who disagree with the decision of the Dean may appeal to the Chief Executive (CE) as per the provisions of the policy on Student Concerns, Complaints and Appeals (AC-08/02).

## 10. SUBMISSION OF ASSESSMENTS AND TIMEFRAMES FOR RETURN OF ASSESSMENTS

- 10.1. Schools/Centres may have specific conditions on submission of late work that may result in the award of a lower grade or no grade. Such requirements must conform to the Wintec Academic Regulations (refer Section AR:5-*Assessment*), be approved by the Head of School/Centre Director; and be noted in the Programme Handbook.
- 10.2. All student work submitted for assessment will be marked and returned within 20 working days. Timeframes for the return of assessed work must be clearly conveyed to students. Variations due to circumstances such as delivery off-site or through a partnership arrangement must be clearly stated and approved by the relevant Programme Committee in advance.

## 11. USE OF THIRD PARTIES IN ASSESSMENT

- 11.1. Any third party that is used in assessment must be either:
- a competent translator appointed by the Head of School/Centre Director in collaboration with the Māori Achievement Manager specifically for the purpose of translating an assessment item that has been presented in Te reo Māori; or
  - a competent reader/writer appointed by the Student Learning Services for the purpose of providing support to students with a disability or temporary impairment.
- 11.2. The third party will not correct errors on the assessment or make any additions, deletions or embellishments to the assessment.
- 11.3. Contact between a translator and students is prohibited.
- Even in an oral assessment, the translator is there to translate what the student says. To meet the core concepts of Assessment and Moderation there is no need for interaction between the translator and the student.

## 12. ROLES AND RESPONSIBILITIES IN ASSESSMENT

The roles and responsibilities of the various parties involved in the assessment process need to be clearly established to ensure the principles of sound assessment practice are modelled.

ROLE	RESPONSIBILITY
<b>Academic Approvals Committee (AAC)</b>	<ul style="list-style-type: none"><li>- Is responsible for reporting to the Academic Board on Programme Committees' activities. This will include being aware of any academic matters that arise from assessment procedures operating within the Institute.</li><li>- Is responsible for overall approval and monitoring of NZQA approval and accreditation requirements, including the approval of 'changes to programmes and modules'. AAC must approve assessment structure changes with a view to risk mitigation (student and Wintec), and sound assessment practices.</li></ul>
<b>Office of the Dean</b>	<ul style="list-style-type: none"><li>- Oversees the formal reporting of results. As such, the Dean should maintain an overview of, and be confident in, the assessment procedures operating within the Schools and Centres.</li><li>- Has formal responsibility in the appeal process regarding assessments.</li></ul>

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ROLE	RESPONSIBILITY
	<ul style="list-style-type: none"> <li>- Will respond promptly to appeals by ensuring that qualified and independent persons are engaged to evaluate any appeal, and will ensure that appellants are informed of the outcomes of any appeal at this level.</li> </ul>
<b>Programme Committee/s (PC)</b>	<ul style="list-style-type: none"> <li>- Ensures programmes within its scope comply with this policy. Any variations to this policy must be documented and either approved by the programme committee or directed by the programme committee to the appropriate approval authority</li> <li>- Is responsible for the academic quality of programmes within its scope. This includes confirmation that any changes to programmes, modules and assessment structures are academically sound and meet the expectations of AAC.</li> <li>- Ensures consistency of marking and resulting processes across School/Centre programmes.</li> <li>- Confirms all results and completions.</li> <li>- Oversees assessment concessions and reassessment provisions</li> </ul>
<b>Organisational Development/ Teaching and Learning Coach Team</b>	<ul style="list-style-type: none"> <li>- Inform and advise faculty on principles of sound assessment practice.</li> <li>- As part of curriculum design, assist in the design of robust, sound, quality assessments that are guided by the Ako: Teaching and Learning Directions and expectations of Wintec.</li> </ul>
<b>Quality and Academic Unit</b>	<ul style="list-style-type: none"> <li>- Monitors the assessment processes used at Wintec through the School/Centre self-assessment process.</li> <li>- Audit assessment and moderation materials from time to time.</li> <li>- Administer and review changes to assessment structures submitted to the 'changes to programmes and modules' change request system.</li> </ul>
<b>Head of School/Centre Director</b>	<ul style="list-style-type: none"> <li>- Has overall responsibility for the assessment procedures of their School/Centre and the reporting of results through their Programme Committee/s.</li> </ul>
<b>Team Manager</b>	<ul style="list-style-type: none"> <li>- Has overall responsibility for the assessment procedures of their programme/s and the reporting of results through their Programme Committee/s.</li> <li>- Oversees the proactive review of assessments.</li> <li>- Acknowledges appeals and deals with them in a professional and transparent manner. Keeps full documentation of all appeals and outcomes, and this information is managed and stored as per School/Centre guidelines and the Academic Regulations and Manual.</li> <li>- Resolves, in collaboration with Student Learning Services, requests for assessment accommodations for students with a verified disability.</li> </ul>
<b>Team Manager or designated nominee<sup>2</sup></b>	<ul style="list-style-type: none"> <li>- Oversees the design and implementation of assessment procedures. All assessment procedures must model the principles of sound assessment practice.</li> </ul>

<sup>2</sup> These tasks may be delegated to another staff member to implement sound assessment practices across programmes to ensure rigour and consistency; however, the Team Manager maintains overall responsibility at the programme level.



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ROLE	RESPONSIBILITY
	<ul style="list-style-type: none"> <li>- Has responsibility for logging any changes to assessment structures on the 'changes to programmes and modules' change request system.</li> </ul>
<b>Academic Staff Members</b>	<ul style="list-style-type: none"> <li>- Responsible for implementation of assessment procedures. All assessment procedures must model the principles of sound assessment practice.</li> <li>- Participate in and support design of assessments.</li> <li>- Responsible for the proactive review of assessments.</li> <li>- Responsible for marking and resulting assessments within the designated timeframes.</li> <li>- Work within the processes and timeframes required by their Programme Committee/s.</li> </ul>

## 13. MEASUREMENTS OF SUCCESS

13.1. Assessment procedures are robust.

13.2. Assessment principles are integrated into best practice teaching and learning.

13.3. There is a reduction in Academic Decision reviews and appeals.

## 14. RECORDS MANAGEMENT

In line with the Public Records Act 2005, Wintec is required to provide a records management programme to ensure that authentic, reliable and usable records are created, captured and managed to a standard of best practice, and to meet business and legislative requirements. All records relevant to a specific policy need to be listed in every policy in the following format:

Record	Minimum retention period	Disposal Action	GDA Reference
Student request to complete course work or assessments in Te Reo Māori.	10 years after date of last action	Destroy	2.2.3
Examination management, including the management of requests for special consideration (recounts, reconsiderations, aegrotats, resits or deferrals)	7 years after date of last action	Destroy	4.3.1
Examination papers	A copy of marked paper kept until the end of that year plus 12 months	Destroy	4.3.2
Grading and/or marking of individual assessment components of a subject or course	7 years after date of last action	Destroy	4.3.3
Learning assessment	A copy of marked assessments kept until the end of that year plus 12 months	Destroy	4.3.4