

Examinations and Timetable Services Office

2017
Instructions to
Examiners and Assessors



Deadline dates for submission of information to the Examinations and Timetable Services Office

	Summer School	Sem 1	Sem 2	Q1	Q2	Q3	Q4
Coursework and Examination Details	09 Dec (for 2017) 08 Dec (for 2018)	03 Mar	21 Jul	16 Dec (for 2017) 15 Dec (for 2018)	17 Mar	09 Jun	01 Sep
Nominations for Examiners and Assessors	06 Jan	17 Mar	4 Aug	13 Jan	07 Apr	30 Jun	22 Sep
Question Paper Submission:							
Papers in Week 1 (Thu-Sat) and Week 2 (Mon-Sat)	08 Feb	22 May	09 Oct				
Papers in Week 3 (Mon-Mon)		29 May	16 Oct				
Quarters				08 Mar	31 May	23 Aug	15 Nov
Examinations begin	20 Feb	15 Jun	02 Nov	18 Mar	10 Jun	02 Sept	25 Nov
Examinations end	22 Feb	03 Jul	20 Nov				
Final deadline for results submission	28 Feb	13 Jul	30 Nov	28 Mar	20 Jun	12 Sep	05 Dec

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General

Purpose

The purpose of this booklet is to provide instructions and information for Academic Heads, examiners and assessors around the roles and responsibilities of coursework, examinations and assessment at the University of Auckland.

Scope

Assessment of student learning is carried out in a number of ways at the University of Auckland:

- By tests and assignments during the teaching of the course concerned, normally called coursework
- By practical, aural and oral work
- By written (or performance) examination normally conducted at the end of the semester or year
- By dissertation, thesis or other research projects.

These instructions are primarily concerned with the last two of these categories.

Requirement to sit an examination

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 special pass consideration.

Notification

Assessment requirements and other course information should be notified to students in course outlines which are signed off by course directors and forwarded to Academic Heads.

Confidentiality

Examiners and assessors must observe strict confidence in the setting of examination papers and in the whole marking process. This requirement applies to the marking of theses and dissertations as well as examination scripts.

Security

Strict security must be maintained at all times:

- In the preparation and storage of examination papers
- In the storage and handling of examination scripts.

Language of assessment

Examination Regulation 2 confirms expectations and eliminates uncertainty around the language students must use for assessment and examination. It states that 'except in courses where students are required to demonstrate their knowledge and understanding of languages other than English or Māori, or where a student has made provision to complete an assessment task in Te Reo Māori under the University of Auckland Te Reo Māori in

Teaching, Learning and Learning and Assessment Policy, all assessment tasks must be completed in English'.

The use of Māori for assessment purposes

The University endorses the right of its students with an appropriate level of language fluency to use Te Reo Māori in course assessments, both for coursework and examinations. It ensures that competent staff are available to assess work submitted either fully or partially in Te Reo Māori. Ideally such staff are competent in both Te Reo and the subject matter of the course.

For courses taught in Te Reo Māori coursework and examinations will be assessed in Te Reo Māori.

A student may not use Te Reo Māori for coursework or examinations where:

- a course is taught fully or partly in a language other than English or Māori and the course requires students to demonstrate their knowledge and understanding in that language, or
- where knowledge and understanding in the English language is central to the objectives of all or part of the course.

Where courses are not taught in Te Reo Māori, students who intend to present all or part of an examination or coursework in Te Reo Māori are required to give notice in writing to the course coordinator (or appropriate person) in the relevant faculty or department. This notice is intended to allow the University time to make suitable arrangements for marking including translation and external assessment. This notice should be given within the first week of the semester or the first week of the quarter in which the course is being taught. If inadequate notice is given, assessment tasks presented in Māori will still be marked. However, processing may be delayed and the opportunity to have the writing marked in Te Reo Māori may be reduced.

The University will endeavour to make the results of an examination or coursework presented in Te Reo Māori available to the candidate within the ordinary timeframe. However, students should be aware that owing to the process of translation, delays in returning coursework may occur.

In the event that a suitable person is not available to assess the work in Te Reo Māori a certified translator will be recommended by the Māori Language Advisory Group in consultation with the Office of Pro Vice-Chancellor (Māori). It is the intent of the University that a translator be used only when reasonable efforts to find a competent examiner or co-examiner capable of assessing the work have been exhausted. The translator may seek clarification from the examiner or course coordinator if ambiguities occur in the script but he/she must not correct errors in the original script or make any embellishments.

If the coursework and/or examination script are to be externally assessed, the external institution undertaking the assessment will be requested to indicate whether an assessor is available to assess the work in Te Reo Māori. If not, a translation will be sought as above.

The student's use of language shall not be improved in the process of translation by the correction of errors or improvement of sentence structure.

It may be necessary for students to provide a glossary of technical terms to assist the translator. They will be required to prepare this in advance in consultation with their examiner.

Te Reo Māori may be used in an oral assessment only when all key participants have the appropriate fluency in Te Reo.

Presentation of the PhD in Te Reo Māori is governed by the Statute for the Degree of Doctor of Philosophy.

A Māori Language Advisory Group, a sub-committee of the Rūnanga, will advise on the appropriate usage of Te Reo Māori within the University.

Roles and responsibilities

Academic Head, Head of School, Department, Disciplinary Area or Other Academic Unit	
Purpose	Ensuring that the academic unit meets the quality standards required by the University for assessment of student learning
Responsibilities	Ensure that there is an adequate and consistent quality of examinations and other assessment across all courses in the Academic Unit
<i>These items may be delegated to other academic staff</i>	
Activities	Standards
Ensure all relevant staff understand their role in this process and quality expectations	
Review department reports of assessment activity <i>AS-64 Coursework Details Report</i>	All assessment activities are carried out in line with policy: <i>Assessment of Student Learning</i> <i>Instructions to Examiners and Assessors</i> <i>Te Reo Māori in Teaching, Learning and Assessment</i>
Address quality issues	Quality Assurance Framework
Approving appointments of course directors, course co-ordinators, examiners and assessors <i>Examiners and Assessors Nominees Report</i> <i>AS-43 Changes to Coursework & Examinations Details</i> <i>AS-44 Changes to Nominations</i> <i>AS-512R, 512T Postgraduate Results</i>	Each course has examiners and assessors appointed and formal notification forwarded to Examinations by the appropriate deadline Duly constituted examination and postgraduate committees are appointed Examiners and Assessors understand their role and responsibilities

Academic Head, Head of School, Department, Disciplinary Area or Other Academic Unit (continued)

Activities	Standards
Ensuring assessment and grading material is reviewed and endorsing results for both undergraduate and postgraduate students	Assessment is carried out in a manner that is fair, valid, robust, manageable and contributes to the process of student learning Exam question papers are set at an appropriate standard and format relevant to the level of the course and content
Signing off exceptions such as aegrotats, compassionates, special passes, late changes to course assessment <i>AS-49 Aegrotat / Compassionate</i> <i>AS-55 Special Pass</i> <i>AS-43 Changes to Coursework and Examination Details</i> <i>AS-58 Request for Changes to Results</i> <i>AS-73 Application for Late Results Submission</i>	These recommendations are made correctly and promptly

Course Director

Purpose	Overseeing design of assessment processes to ensure that assessments are relevant and aligned with learning outcomes; that the assessment complies with all aspects of policy; that the assessment criteria is transparent and available to all students at the start of semester
Criteria for appointment	An appropriate level of expertise in pedagogy and teaching in relation to the discipline area Research-active Not teaching under supervision
Responsibilities	Overseeing course design, including assessment processes, ensuring assessment is research informed

Activities	Standards
Acting as one of the Examiners for the course	See Examiner role
Maintaining oversight of assessment standards, including leading Examiners meetings	Ensure that consistent assessment standards are maintained and students treated fairly
Approve course outline (including assessment)	That assessments are appropriate for the course Workload for students is appropriate Assessment complies with regulations (e.g. coursework not more than 50% for a Stage I course; tests with a weighting higher than 20% must not be conducted in the final week of teaching)

Course Director (continued)	
Activities	Standards
Design assessment for group projects	Design is demonstrably fair and clear to students, complies fully with all aspects of this policy and is consistent with the overall assessment regime
Approval of exam question papers, and exam printing and stationery requirements	Examination papers are submitted on time, free from errors and at the level appropriate for the course
Signing off final course results: Examiners' Grade Approval Sheet <i>*AS-58 Request for changes to results</i> <i>*AS-18a Recount</i> <i>*AS-73 Late Results Submission</i> <i>*Also signed by Academic Head (AS-18a only if final grade changes)</i>	Final grades are accurate and submitted on time or alternative arrangements made

Course Coordinator	
<i>Director and Coordinator roles will often be combined in one person, with Course Coordinator role here referring only to situations where this is separate</i>	
Purpose	The person responsible for the administration and organisation of the course acting in conjunction with, and under the supervision of, the Course Director
Responsibilities	Facilitate the smooth delivery of the course
Activities	Standards
Prepare course outline, including assessment processes	Assessment strategies should recognise the objectives contained in the relevant Graduate Profile; be criterion referenced; minimise the likelihood of plagiarism occurring; and be spread as much as possible through the course
Ensuring that all requirements for examination, assessment and moderation are met in a timely fashion, including submission of approved examination papers, marking and results	Students receive their work back with constructive and timely feedback as soon as possible, and no later than three teaching weeks after the day the work was handed in or due, whichever is the later. Internally assessed tasks which count in a final grade for a course which has an examination must be marked and available to students before the start of the examination period. Normally, these tasks should be scheduled for completion or submission by the end of the second-to-last teaching week at the latest.

Examiner - Taught Courses	
Purpose	Responsible for setting and marking course assessment
Criteria for Appointment	Subject knowledge Expertise in assessment Appointed on the recommendation of the Academic Head Staff teaching under supervision, must not be examiners
Responsibilities	Preparation of question papers Confirm quality and fairness of results through participation in Examiners' meeting
Activities	Standards
Set questions for exam papers	Questions are accurate and have no errors Consistent standards are maintained across all questions
Sign off on taught course results Examiners' Grade Approval Sheet AS-65 Submission of Results for Individually Assessed Courses	Final grades are accurate and submitted on time or alternative arrangements made
Participate in Examiners meetings	Standards are clear and consistent
At least one examiner to be available for the duration of the examination	Examiners must be available at a telephone extension or provide an alternative number to the Examinations and Timetable Services Office Have a secure copy of the examination paper so that any questions may be answered promptly and efficiently Any intention to attend the start of an examination for 15 minutes must be communicated in advance to the Examinations and Timetable Services Office
Organise the check of calculators and books in examinations	Where book or calculator examinations are required to be conducted, checks must be made in all rooms
Collection of examination scripts on presentation of staff ID card	Collect scripts promptly or have informed the Examinations and Timetable Services Office of a delegate or a delay in collection
Be responsible for the marking the scripts	Where there is more than one examiner they should confer Provide direction to markers as appropriate

Examiner - Postgraduate Research (non-Doctoral)

For dissertations or research projects with a value of between 30 and 80* points:

One examiner (who may be the supervisor or part of the supervising team) and one assessor

For thesis or research portfolios with a value of 90** points or more:

Two examiners (who may not be the supervisor or part of the supervising team), one of whom must be external to the University

*Where the dissertation or research project is worth 60 points or more, either the examiner or assessor must be external to the University

**Where postgraduate bachelor's honours degrees have a 90 point research component, the requirement is for one examiner rather than two, and one assessor, one of whom must be external to the University

Purpose	Responsible for examining theses, research portfolios, dissertations and research projects
Criteria for Appointment	Appointed on the recommendation of the Academic Head
Responsibilities	Make an independent examination of a thesis, research portfolio, dissertation or research project and provide a written report substantiating a recommended grade and/or mark
Activities	Standards
Sign off on final results <i>AS-512R Masters Thesis or Research Portfolio</i> <i>AS-512T Research in Postgraduate Programmes (except Masters Thesis and Research Portfolio)</i>	Adhere to marking scheme and maintain independence from any other examiner Examination Committee agrees on results

Assessor - Required for all postgraduate and undergraduate courses with only one Examiner

Purpose	Maintain appropriate and adequate academic standards for all aspects of the assessment process
Criteria for Appointment	<p>Where required at undergraduate level, normally appointed from within the University but may be external</p> <p>Assessors for Bachelors Honours, Postgraduate Diploma and Certificate and Masters courses should normally be external to the University, but there may be instances where internal appointments are necessary because of expertise in the field or where the course is subject to a process of external moderation</p> <p>The appointment of an overseas assessor is appropriate where there is no suitable assessor in New Zealand. (Financial considerations preclude an overseas assessor being invited to visit New Zealand)</p> <p>An assessor must be appointed for any course which has only one examiner</p> <p>Course directors, course coordinators and examiners cannot be appointed as assessors in the same course</p> <p>Staff teaching under supervision may not be assessors</p>
Responsibilities	To provide an independent review of quality of assessments and results
Activities	Standards
Review assessment to ensure it is appropriate and fair by signing results <i>Examiners' Grade Approval Sheet</i> AS-65 AS-512T	Receive from the examiner(s) such information as shall be considered necessary about the marking system and the course to ensure adequate fairness and consistency of standards is maintained
Comment on the validity of the recommended result	Any issues that arise in the assessment process should be reported to the Academic Head

Moderator - Postgraduate (non-Doctoral)	
Purpose	To undertake, for all or some postgraduate courses taught by an academic unit, a review of the content and grading of examination papers and/or (a sample of) other assessed work. Moderation should take place on a one or two year cycle
Criteria for Appointment	Formally appointed by the Academic Head External to the University
Responsibilities	To report to the Academic Head as to the appropriateness of the examination and grading given course content and recognised academic standards
Activities	Standards
Review the content of course(s) to ensure an appropriate and accurate assessment has been set	Fairness and consistency of standards are maintained
Review the content and grading of assessed material, including exam papers	

Each course is to be examined by more than one member of staff or examined by one member of staff and assessed by another. The Academic Head may in exceptional cases, vary this requirement.

Examiners, assessors and moderators appointed from within the university system are not paid a fee.

Changes in nominations of course director, examiner or assessor must be advised to the

Examinations and Timetable Services Office on the appropriate form (AS-44) by the Academic Head.

Any arrangements proposed as an alternative to assessment should also be entered by the dates shown in the table.

All nominations must be entered by Faculty Group Services by:	
Summer School	06 January
Semester 1	17 March
Semester 2	04 August
Quarter 1	13 January
Quarter 2	07 April
Quarter 3	30 June
Quarter 4	22 September

Coursework

Procedure

Coursework may be allocated a percentage of the marks awarded for the course, the remainder being allocated to the written examination. These allocations are the responsibility of the Course Directors.

Guidelines

Education Committee has established the following guidelines for coursework:

All approved coursework and examination details must be submitted by Faculty Academic Services to the Examinations and Timetable Services Office by the following dates:	
Summer School	09 December (2016 for 2017)
Semester 1	03 March
Semester 2	21 July
Quarter 1	16 December (2016 for 2017)
Quarter 2	17 March
Quarter 3	09 June
Quarter 4	01 September
Summer School	08 December (for 2018)
Quarter 1	15 December (for 2018)

Stage I courses

At least 50% of course assessment should occur in invigilated settings, normally achieved through formal examinations and/or in-course tests sat under examination conditions. Applications for any variation from this guidance are to be made to the Education Committee in advance of preparation of course materials.

Group projects in the context of collaborative learning

- Group projects may contribute to the final coursework percentage awarded in a course.
- The design of group assessment, including the size of working groups, the mark composition and the assessment criteria should be determined by the learning outcomes of the material involved. Ensuring appropriate assessment design is the responsibility of the Course Director for each course, with appropriate Faculty oversight (as for all assessments) by the Academic Head for the course.
- The final mark may include peer-assessment where students have been appropriately trained to undertake this.
- The assessment rating of the project as a percentage of the total course grade should reflect the proportional value of the project in determining the learning outcomes of the course as a whole.
- Where group projects are included in the assessments for a course, some form of individually assessed work should also contribute to the total mark.

Advice to students

Before or at the commencement of the course concerned, students are to be informed of the coursework allocations and other coursework requirements. This advice should include dates of:

- Tests
- Submission of assignments.

Such advice should be available to all students in the course information provided in course books, email communication, on Canvas, or a combination of these methods.

Format

For ease of marking and Turnitin use, students should normally present all coursework in a typed format.

Management

Coursework

When the coursework contributes to a percentage of the final result, towards which a written examination also contributes, the Course Director may at his/her discretion make such coursework available to the assessor of the written examination.

If the coursework contributes 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.

Tests

Course Directors are expected to make appropriate provision for supervising tests counted towards the final result for the course, where necessary obtaining the assistance of the Examinations and Timetable Services Office. The tests should be conducted under examination conditions before the pre-examination study break.

Tests with a weighting higher than 20%, including take-home tests, must not be conducted in the final week of teaching, unless justified by the distinctive requirements of the programme. Requests for exemption from this requirement must be made in writing to the DVC(A) through the Examinations and Timetable Services Office, prior to the course outline being produced.

Assignments

Faculty Group Services must make adequate arrangements for the safe receipt of essays and assignments etc, in conjunction with the Faculty Student Centres.

Illness

Illness or misfortune affecting written tests is covered by the aegrotat and compassionate regulations. 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 other circumstances into account and can be guided in their decisions by the criteria for approving out-of-time and out-of-centre exams. See: www.auckland.ac.nz/en/for/current-students/cs-academic-information/cs-examination-information/cs-applications-to-sit-exams-out-of-centre.html.

Where illness or misfortune prevent a student completing other coursework, such as assignments or essays, Academic Heads may take the circumstances into account and extend submission dates or make other arrangements (including estimating marks) as they see fit.

Return of work

Coursework will normally be handed back to students, but they should be advised to retain it 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.

Privacy

Care should be taken to ensure personal privacy in the distribution of student marks when returning assignments and tests.

Examinations for taught courses

Preparation of question papers

Where two or more examiners have been appointed in any subject they are to confer in setting papers.

If any difference of opinion arises in the setting of papers among examiner(s) and/or assessor, the Academic Head shall, after making due attempt to resolve the difference, determine the outcome.

Layout of question papers

Instructions regarding the layout, guidelines and the examination paper style guide may be obtained from www.auckland.ac.nz/examinations.

Deadlines for submission of question papers

All nominations must be entered by Faculty Group Services by:		
	Week 1 & Week 2	Week 3
Summer School	08 Feb	
Semester 1	22 May	29 May
Semester 2	09 Oct	16 Oct
Quarter 1	08 Mar	
Quarter 2	31 May	
Quarter 3	23 Aug	
Quarter 4	15 Nov	

The 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; and

Week 3 – from the following Monday to the next Monday excluding Sunday

Dates for the submission of question papers to the Examinations and Timetable Services Office have been set according to the week in which each examination is timetabled. Departments/Group Services should ensure papers are submitted by the appropriate dates.

Format

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.
- The students are not permitted to bring any material into the examination.

Variations to the standard format are as follows:

Questions announced in advance

- Lecturers may announce during lectures, the apportionment of the questions in the final examination in relation to the material covered in the course.
- Actual questions may be announced in advance, all or part, only through Course Director approval.

Lecturers must ensure that any announcements about examinations made under the points above are available to all students in the course and that, so far as is possible, all students receive the same information. The information should be available to all students in the course information provided, by way of a formal public notice by written or email communication. Once such information has been made available, lecturers must ensure that the examination paper follows the format and arrangements so announced.

Book details for examinations

The designation for the Restricted, Open and Supplied Book examinations must be approved by the Course Director.

Designations

Closed Book – CB

Unless otherwise specified, examinations will be Closed Book. That is, no written material may be brought into the examination room.

Open Book – OB

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

Supplied Book – SB

Candidates will be supplied with material specified by the examiner.

Restricted Book – RB, HB, UB

RB - Restricted Book: may be written upon. Candidates may take into the examination room material specified by the examiner. Such material may be written on and/or marked in a relevant or contextual manner, but no prepared material may be attached to the examination script and submitted for marking as part of that examination.

HB - Restricted Book: may not be written upon but may be highlighted. Candidates may bring into the examination room material specified by the examiner. Such material may not be written upon but the text may be underlined, highlighted or tabbed.

UB - Restricted Book: unmarked material. Candidates may bring into the examination room material specified by the examiner. Such material cannot be written upon or marked in any way.

Advice to students

All students must be formally notified as early as possible in the semester as to which book designation their examination will be.

Deadlines for receipt of book details by the Examinations and Timetable Services Office are:

Summer School	Fri 20 Jan
Semester 1	Fri 07 April
Semester 2	Fri 25 Aug

Publication of book list for students

If an examination is approved as Restricted, Supplied or Open Book these details should be supplied to the Examinations and Timetable Services Office for inclusion in the Examination Instructions available online to every student before each examination period.

If the examiner is unable to provide details of materials by these dates it will then be his/her responsibility to inform students and the Examination Office in writing, and in good time, of the material which they may take into the examination room.

Check by examiners of books and written materials

- Where restricted written material is permitted in the examination room, examiners are required to be present at the commencement of the examination to check material brought into the examination room.
- It is the responsibility of the department to ensure that the material satisfies the stated requirements.
- The department must arrange for the inspection of books and other written material and ensure this is completed during the reading period at the start of the examination. This responsibility may not be delegated to the examination supervisors and inspection must not extend into the examination period.
- If an examiner discovers unauthorised material, the student must be identified to the room supervisor. The student may continue to sit the examination using the materials, but will be required to hand the material to the room supervisor at the end of the examination. The case will be dealt with under the Examination Regulations.

Electronic calculators

Calculators may be used in examinations only where explicit approval has been given by the Course Director.

Conditions

A calculator is defined as an electronic device capable of processing, storing or retrieving information, which has a 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.

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

Advice to students

All students must be formally notified as early as possible in the semester as to whether or not calculators will be allowed during an examination and the permitted and expected features. This information should conform to the details supplied by the department to the Examinations and Timetable Services Office.

Designations

Calculators are permitted – CP

Candidates are permitted to use any calculator which satisfies the general conditions.

Departmental Calculators – DC

Candidates will be supplied with calculators by the department.

Restricted non-alphanumeric calculators are permitted – RC

Candidates are permitted to use any calculator which satisfies the general definition and conditions, and which does not provide the alphabet.

Specified calculators are permitted – SC

Departments may specify other necessary or desirable features as appropriate to the subject.

Calculator inspection by examiners

- It is the responsibility of the department to ensure that candidates' calculators satisfy the stated requirements.
- The department must arrange for the inspection of calculators during the reading period, at the start of the examination. This responsibility may not be delegated to the examination supervisors and inspection must not extend into the examination period.
- Departments may make special arrangements for the supply of acceptable calculators to students.

Changes to standard format

The published duration of an examination, as well as calculator and book details may only be changed through an Academic Head's approval. The change should be submitted to the Examinations and Timetable Services Office on the AS-43.

Special examination conditions

A student who is permanently or temporarily disabled in a manner which affects their ability to undertake examinations under the prescribed examination conditions may, upon

production of the appropriate evidence, obtain from University Health and Counselling Services or Student Learning Services, a recommendation which will enable that student to be examined under conditions which take account of the particular impairment.

Student applications for the approval of on-going special conditions for a permanent impairment must be made no later than the second Friday following the commencement of lectures. Applications for temporary conditions must be made as soon as possible.

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

Faculty/departmental staff should not give specific advice to students about sitting examinations out of time or out of centre. Students should be referred to the Examinations and Timetable Services Office for advice.

Music performance examinations

Undergraduate

All students are examined by a panel of two, consisting of:

- 1 A member of the School of Music staff, normally the Academic Head or nominee, who shall act as a moderator for all examinations within any one semester. Where the number of students is high, it may be necessary to divide one semester's examination entry into two groups and to appoint two moderators.
- 2 Another member of the School of Music staff, or if necessary or appropriate, an external examiner of recognised standing in the instrument.

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

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

Postgraduate

All students are examined by a panel of three, consisting of:

- 1 A member of the School of Music staff, normally the Academic Head or nominee, who shall act as a moderator for all examinations within any one semester. Where the number of students is high, it may be necessary to divide one semester's examination entry into two groups and to appoint two moderators.
- 2 A specialist in the instrumental or vocal area being examined from within the School, or from outside where necessary. This may not be the teacher of the candidate.
- 3 An external examiner with broad experience of tertiary performance examining, and, if possible with direct expertise in the instrumental or vocal area being examined.

Performance examinations for all postgraduate degrees are to be held as public recitals.

Marking and assessing written examinations

Collection of scripts

Following each examination the scripts will be released for marking from the Examinations Centre. Scripts will be available half an hour after the completion of the examination, but it would be helpful if examiners could make arrangements to collect their scripts between the hours of 9.30am and 11.30am, or 2.30pm and 4.30pm on the half-day following the examination. Examiners of evening examinations are asked to contact the Examinations and Timetable Services Office if they intend to collect scripts after the evening sessions, otherwise they are asked to collect them the following day. Staff collecting scripts must present their University of Auckland staff ID card. Examiners must notify the Examinations and Timetable Services Office in writing of an alternative staff member collecting scripts on their behalf.

Marking the scripts

Scripts are available to students on application. Markers must tick or otherwise indicate that they have read each question, and the final mark for each question should appear on the script and/or at the front of the script book.

Any comments on the script should not be designed, as with coursework, to provide advice or feedback to students, but should be limited to non-confidential aide-memoires for the examiner(s).

Interim marks and evaluative interchanges with other examiners or assessors taking place before the final mark is settled must be held in confidence and not be placed on the script itself.

Illegibility of scripts

Candidates are warned that where an 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.

It is possible, with the approval of the Academic Head, to 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 is required to be present throughout the proceedings.

Award of marks and grades

Pass Marks

A pass mark is 50 percent or over.

Grades

There are ten pass grades and three fail grades. The pass grades may have different allocated percentages in different departments.

Ungraded Pass/Fail Results

After application to the Education Committee, a course may be approved to carry an ungraded pass/fail result provided it meets the following criteria:

a 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

b 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.

Grade point scale		
A+	High first	9
A	Clear first	8
A-	Bare first	7
B+	High second	6
B	Clear second	5
B-	Bare second	4
C+	Sound pass	3
C	Pass	2
C-	Marginal Pass	1
Conceded Pass		
D+	Marginal Fail	0
D	Clear Fail	0
D-	Poor Fail	0

Scaling

Examiners and Academic Heads should keep records of the scaling or other means by which marks and final grades are determined for a subject or course. Where scaling takes place, students should be notified of the basis for scaling through Canvas.

Postgraduate qualifications: Honours, Distinction, Merit

The University has adopted a consistent standard across the University 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 more.

The standard is:

- 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
- Distinction: GPA of 7.0 or above
- Merit: GPA of 5.5 – 6.9

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

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

Results

Submission of final grades

For a single course

- For each class, enter a grade for each student.
- 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 results submission (See 'Deadlines for results submission').
- Enter DNS in all instances if the student did not sit the exam.
- DNC (Did Not Complete) is to be entered in the following circumstances:
 - a where a student has gained more than 50 percent in a course but has not completed the approved compulsory coursework
 - or
 - b where a student has gained less than 50 percent in an internally assessed course because of the failure to complete coursework but the entry of a fail grade would inappropriately represent the reasons for failure or the level of achievement.
- Where a student has applied for aegrotat or compassionate consideration, the result returned must be for the work actually submitted at the examination. If the student has been absent for any paper, the result must be recorded as DNS (Did Not Sit) even though the examiner may intend to recommend an aegrotat or compassionate grade.
- The Examinations and Timetable Services Office will enter NAX (Not Available for Misconduct) on the student record to indicate when the script has been withheld for misconduct investigation.

Return of results

All results must be returned electronically via Canvas. Instructions on presentation of results are available from the Examinations website www.auckland.ac.nz/examinations. The hard copy need not be brought to the Examinations and Timetable Services Office and may be used in the departments.

Signing and approving results

Final grades must be reviewed and signed by the examiner(s) and assessor and approved by the Course Director on the Grade Approval Sheet. In signing, 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. The Grade Approval Sheet should be scanned and returned to results@auckland.ac.nz.

Individually assessed results

Where undergraduate results, and postgraduate results other than for theses, research portfolios, dissertations and research projects of 30 points or above, are individually assessed, an AS-65 form is available at www.staff.auckland.ac.nz/forms.

Undergraduate Bachelors Honours results

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

Changes to results

Any changes to grades after the results have been submitted to the Examinations and Timetable Services Office are to be provided on Form AS-58. The 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.

Deadlines for results submission

Deadline dates for return of results to the Examinations and Timetable Services Office	
Summer School	Tuesday 28 February
Semester 1	Thursday 13 July
Semester 2	Thursday 30 November
Quarter 1	Tuesday 28 March
Quarter 2	Tuesday 20 June
Quarter 3	Tuesday 12 September
Quarter 4	Tuesday 05 December

Earlier submission of results is encouraged. However, the date noted in this table is the **final deadline** for each semester.

Taught courses:

Any results not submitted by the deadline specified in the Instructions to Examiners and Assessors will be notified to Education Committee.

If, because of exceptional circumstances, a result cannot be submitted within a fortnight of the deadline, the department must apply through Faculty Group Services to the Examinations and Timetable Services Office on the appropriate form for approval of late submission for a period of up to three months. The application must state the exceptional circumstances which have caused this situation and specify the date by which the result will be submitted.

Applications will be approved if the result is unable to be submitted for the following reasons:

- Deferred results that are permitted under the Examination Regulations
- 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.

The Examinations and Timetable Services Office will approve applications that meet the above criteria. Any applications falling outside of these criteria will be submitted to the Deputy Vice-Chancellor (Academic) for consideration.

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

Research courses of between 30 and 80 points:

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.

If, because of exceptional circumstances, a result cannot be submitted within three months, the department must apply through its faculty office to the Examinations and Timetable Services Office on the appropriate form for approval for late submission for a period of up to one year after the last day of the semester in which the course 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.

Applications will be approved 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.

The Examinations and Timetable Services Office will approve applications that meet the above criteria. Any applications falling outside of these criteria will be submitted to the Dean of Graduate Studies for consideration.

If the result has not been submitted within one year of the deadline for the course, a DNC grade will be entered.

Disputed results

All written examination papers and coursework subject to formal assessment

The following instructions apply to all written examinations and to coursework in undergraduate and postgraduate courses that are subject to formal assessment other than for theses, research portfolios, dissertations and research projects of 30 points or above.

Disputes among examiners and/or assessors

In the event of a dispute among examiners or examiners and assessors which cannot be resolved among themselves, the matter should be referred to the Academic Head for resolution in negotiation with the examiner(s) and assessor(s).

All documents relating to the examination and assessment and to the dispute shall be made available to the Academic Head. The Academic Head may call for further written reports from the examiner(s) and any assessor(s). In such a case, all prior documentation should be made available to each examiner and assessor. The Academic Head, having considered all the documentation, shall provide a written report to all parties setting out his/her findings and proposing a resolution. All parties must agree to this resolution in writing before it can be adopted.

In the event that no agreement can be reached among the Academic Head, the examiners and any assessor, all documentation relating to the examination, assessment and dispute, shall be referred by the Academic Head to the Dean of Faculty.

The Dean of the Faculty or the Dean's nominee will, after reviewing the documentation and making any other enquiries he/she considers 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.

Disputes where an Academic Head is an examiner or assessor

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

Dispute with the Academic Head

An Academic Head may, in pursuit of his/her duty of maintaining standards, review examination scripts and results. If he/she sees reason to object, the matter should be discussed with the examiner(s) and assessor(s).

If no agreement is reached, the Academic Head shall call for written reports from the examiner(s) and assessor(s), and shall state in writing his/her own grounds for objection. All of these documents shall be made available to the examiner(s) and assessor(s) for the purpose of further comment which must be in writing.

In the event that no agreement can be reached among the Academic Head, the examiner(s) and any assessor(s), all documentation relating to the examination, assessment and dispute shall be referred by the Academic Head to the Dean of Faculty. The Dean of the Faculty or the Dean's nominee will, after reviewing the documentation and making any other enquiries he/she considers 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.

Referee

In any of the above cases, where there is still no agreement, the Dean shall refer the matter and all documentation to the Chair of Education Committee who shall act as referee or appoint an appropriate independent academic as a referee to consider the script or scripts and documentation and such further information as he/she shall call for.

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

Conceded passes

Refer to the current *University of Auckland Calendar* under the Examination Regulations for the regulations regarding Conceded Passes which are awarded by the relevant faculty: www.calendar.auckland.ac.nz/en/genregs/examination.html.

Deferred results

Please refer to the current *University of Auckland Calendar* for the regulations regarding Deferred Results www.calendar.auckland.ac.nz/en/genregs/examination.html. For the following degrees, results may be deferred in certain situations.

- Bachelor of Education (Teaching English to Speakers of Other Languages)
- Bachelor of Medicine and Bachelor of Surgery: MBChB Parts II, III, IV, V and VI
- Bachelor of Nursing: BNurs Parts I, II and III
- Bachelor of Optometry
- Bachelor of Pharmacy
- Bachelor of Physical Education
- Bachelor of Social Work
- Bachelor of Sport, Health and Physical Education (subject to CUAP approval)
- 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

Results are confidential until they are posted to the students' records and are available online. Students are notified by email when grades are posted.

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

Recount of marks

By making application no later than seven weeks after the last day of the examination period, any student sitting an examination may have the marks awarded for their script recounted. The fee for such a recount shall be as prescribed in the Fees Regulations.

A recount of marks covers a careful rechecking of the marks recorded by the examiner and ensures that no answer or any portion of an answer submitted by a student has been overlooked. Recounts should always include a careful checking of the accuracy and inclusion of coursework marks. No information pertaining to the application will be placed before the examiner.

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

Aegrotat and compassionate consideration

The regulations are set out in the Examination Regulations in the *University Calendar*. These notes should be read in conjunction with those regulations.

Scope

The 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.

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
- Written tests

Advice to students

Students should 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. They should contact the Examinations and Timetable Services Office or the University Health Services or go to the Examinations

website www.auckland.ac.nz/exams for application forms and advice. The requirements are stringent, and it is essential that students follow the correct procedures which are fully explained on the forms and in the Examination Instructions available online to every candidate before each examination period.

Sitting examinations

Students should be encouraged to sit examinations if at all 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 the evidence justifies it.

Students with disabilities or temporary conditions affecting their ability to sit examinations under normal conditions can apply to sit under special conditions, eg. extra time, a writer, special equipment, separate room. (See pg. 17, 'Special examination conditions'.)

Method of application

Aegrotat consideration (temporary illness or injury)

Students should complete the application form and see a registered medical doctor on the day of the examination, while they are unwell, so that an accurate diagnosis can be made for the medical certificate. If preparation for the examination is impaired, see a registered medical doctor within the fortnight before the examination.

Compassionate consideration (other exceptional circumstances) Students should complete the application form and see a counsellor at the University Health Services on the day of the examination, so that the counsellor can assess the circumstances, or if preparation for the examination is impaired, see a counsellor within the fortnight before the examination.

Application deadlines

Completed application forms must be returned to the University Health Services no later than one week after the examination. If more than one examination is affected, the closing date is one week after the last examination affected. **Students must not wait for their examination results before submitting their application.**

Processing applications

Applications are assessed by the medical or counselling advisers to the University who consider the medical or compassionate evidence and certify whether or not it supports the application. The applications and a confidential report from the medical doctor or counsellor are sent to the Examinations and Timetable Services Office. If the evidence is in order, an academic recommendation form is sent to the appropriate Academic Head. Medical and compassionate evidence remains with the University Health Services. Where the medical or compassionate evidence does not support the application, an academic recommendation is not requested.

The Academic Head is asked to provide details of coursework for the course and examination marks if applicable, and then to make a recommendation based on the criteria for aegrotat and compassionate grades set out on the recommendation form. The options include no recommendation.

Academic recommendation forms are confidential and details may not be given to students. They should be completed and returned to the Examinations and Timetable Services Office by the dates shown below, so that recommendations can be considered by the Senate and students can be advised in time to complete selection and enrolment processes for the next semester.

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

Forms should be returned to the Examinations and Timetable Services Office as soon as possible, within a week of receipt.

Academic requirements for aegrotat and compassionate grades

Deadline dates for return of results to the Examinations and Timetable Services Office:	
Summer School	Fri 03 March
Semester 1	Fri 14 July
Semester 2	Fri 01 December

To recommend an aegrotat or compassionate grade, the Academic Head must be able to certify that:

- a the student's coursework in the course was well above the minimum pass standard *and*
- b for a student who sat the examination, the mark attained in the examination was lower than expected taking into account the student's coursework in the course *and*
- c the student is clearly worthy of a pass in the course.

Instead of recommending an aegrotat or compassionate grade, the Academic Head may recommend that the student take another examination which may be oral or written. Exceptional circumstances must apply, and these should be specified on the academic recommendation form, together with the reasons for the recommendation.

All recommendations are referred to the Senate representative who also takes into account the medical and counselling advisers' assessment of the evidence, and may take into account the student's work in other courses before making a final decision and awarding a grade (which may differ from that recommended).

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

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.

Departments will be advised only in those cases where the Senate representative approves a different grade to that recommended by the department, or the application is declined. Where the academic recommendation is approved by the Senate representative, no advice is required.

Reconsideration of applications

A candidate may make an application in writing for reconsideration to the Director, Academic Services, following the decision of the Senate. An application must be made within four weeks of receiving notice of the decision and must contain further evidence to support the application. Reconsideration of medical evidence may be referred to an independent medical referee.

Written tests

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

- 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, should contact the Examinations and Timetable Services Office, the University Health Services or the Examinations website www.auckland.ac.nz/exams for application forms and advice.
 - Students should be encouraged to sit the test if at all possible. Medical or other evidence must be sufficient to make it clear that the student was unable to attend or the test performance was seriously impaired.
 - Students must submit the application form and evidence within seven days after the date of the test.
 - Applications are assessed by the medical or counselling advisers to the University who consider the evidence and certify whether or not it supports the application.
 - If the evidence is in order, the application form is sent to the appropriate Academic Head. This does not include the assessed medical or other evidence, which is held by the University Health Services.
 - If the evidence is not in order, the Examinations and Timetable Services Office will notify the student, and send a copy of the letter to the appropriate Academic Head. The Academic Head considers the application by taking into account the medical and counselling advisers' assessment of the evidence and then approves one of the options set out on the form. These options are specified in the Examination Regulations as permission to:
 - a sit another written test
 - or
 - b receive a mark for the test based on the average of marks awarded for other coursework
 - or
 - c take a viva voce test
 - or
 - d have the percentage of marks allocated to the test reallocated to the examination.
- 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 coursework.
- The student should be advised of the decision within 21 days of the test.

Deferred examinations (clinical and performance)

Students undertaking performance and clinical examinations who, because of temporary illness or injury or exceptional circumstances beyond their control, are unable to sit their

examination on the date scheduled, may apply to the Academic Head or Programme Coordinator for deferment of that examination. The grounds for claiming illness, injury or exceptional circumstances should correspond with those used for aegrotat provisions set out under the Examination Regulations in the **University Calendar (13b & c)**, and should include where appropriate evidence from University Health and Counselling services.

The Academic Head or Programme Coordinator 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 Coordinator, to extend this period. If, at this time, the student is unable to undertake the examination, a fail grade of “Did Not Complete” (DNC) should be recorded.

Special pass consideration for missed examinations

The regulations are set out in the Examination Regulations of the *University Calendar*.

Students enrolled for a Masters, Bachelors Honours postgraduate degree, Postgraduate Diploma or Postgraduate Certificate, who arrive at the wrong time must go immediately to the Examinations and Timetable Services Office where, if possible, special arrangements will be made for them to sit the examination within 24 hours.

Any other students who miss an examination by arriving at the wrong time (either too late for admission to the examination room, or for the wrong session) cannot sit that examination at another time. These students should go to the Examinations and Timetable Services Office and complete an application for Special Pass consideration, which is then forwarded to the appropriate Academic Head who is asked to provide coursework marks and to make a recommendation.

The recommendation is referred to the Senate representative who has discretionary powers to approve a pass if the student is of at least B+ calibre in the course, or in that subject, or a particular element of hardship exists.

Availability of examination scripts

By making application during the three months after the end of the examination period for the examination, a candidate may obtain a copy of their examination script.

Applications will be made online and a copy sent by email to the student.

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

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.

Storage and disposal of examination material

Examiners may keep the scripts for written examinations 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 and thereafter be destroyed. In the case of examinations in Fine Arts, Testimonials of Study need not be so preserved. Masters scripts should be retained until six months after the assessment has been completed for any thesis, dissertation, or research portfolio or project required.

Examining theses, dissertations, research portfolios and projects

The appointment of examiners, examination committees and assessors for theses, research portfolios, dissertations and research projects

These instructions apply to theses, research portfolios, dissertations and research projects, excluding theses for the Degree of Doctor of Philosophy, named and higher doctorates. The examination regulations for doctoral theses are contained in the degree regulations in the *University Calendar* and in the *Guidelines for Examiners* available at www.auckland.ac.nz/uoa/cs-pg-doc-exams.

Examiners and the Examination Committee for theses and research portfolios, and examiners and assessors for dissertations and research projects are appointed by the Academic Head (except where an acting Head assumes this role, as noted below).

An examiner is required to make an initial independent examination of the piece of work and to provide a written report substantiating their recommended grade and/or mark. Where two examiners are required, reports are produced independently and the examiners must not confer as to their initial recommendations.

An assessor is required to assess the piece of work in light of the examiner's report and to provide a written commentary on the validity of the recommended result.

If the Academic Head was involved in the supervision of a thesis, research portfolio, dissertation or research project, or intends to act as the examiner of a thesis or research portfolio, or as the examiner or assessor of a dissertation or research project, or as a member of the Examination Committee for a thesis or research portfolio, then another member of the Department/School must take on the role of acting Academic Head with regard to that piece of work. Such a nomination should be made at the time the examiner(s) (and assessor/Examination Committee) are nominated.

For further information on the responsibilities of examiners and assessors, refer to the section on examining and assessing theses, dissertations and other research projects on pg. 30.

Examiners, Examination Committees and Assessors are nominated as follows:

For dissertations or research projects with a value of between 30 and 80 points, and 90 point research components of Bachelor Honours Postgraduate degrees:

- One examiner (who may be the Supervisor or a member of the supervisory team).
- One assessor (who may not be the Supervisor or a member of the supervisory team).

Either the examiner or assessor must be appointed from outside the University of Auckland where the dissertation or research project is worth 60 points or more; people holding honorary positions at the University of Auckland are not considered to be outside the University. Examiners will normally be research active.

For theses or research portfolios with a value of 90 points or more (except 90 point research components of Bachelor Honours Postgraduate degrees):

- Two examiners. Neither examiner would normally have supervised the work nor been part of the supervisory team. At least one of the examiners must be from outside the University of Auckland and must not hold an honorary position at the University of Auckland. Examiners must be appointed according to the Postgraduate Examiner Appointment Procedures available at www.auckland.ac.nz/en/about/the-university/how-university-works/policy-and-administration/teaching-and-learning/postgraduate-research/examinations/appointmentofexaminers.html.
- An Examination Committee comprising the Departmental Graduate Adviser or nominee and at least one other academic from the University of Auckland. One member of the committee must have knowledge of the general field of the thesis/research portfolio. The Academic Head (or acting Head) may not be a member of an Examination Committee. Members of the Examination Committee must not have been involved in the supervision or supervisory team of the student or been examiners of the thesis.

Appointment recommendations must be approved by the Academic Head or nominee on an AS-512 form, Part A, before the work is examined. AS-512 forms are available at www.staff.auckland.ac.nz/forms.

Recommendations for a supervisor or member of a supervisory team to be an examiner for a masters thesis or research portfolio with a value of 90 points or more must be made in writing to the Dean of Graduate Studies prior to submission of the AS-512 form.

Fee for examiners/assessors

Examiners or assessors for theses, research portfolios, dissertations or research projects appointed from within the New Zealand university system are not paid a fee. The fee paid to appointees from outside the New Zealand university system is set by Universities New Zealand at \$125 per assignment.

Examining and assessing dissertations and research projects (with a value of 30 to 80 points) and 90 point research components of Bachelor Honours Postgraduate degrees

If the Academic Head was involved in the supervision, examination or assessment of a dissertation or research project then another member of the Department/School must take

on the role of acting Academic Head with regard to that piece of work. Such a nomination should be made at the time the examiner and assessor are nominated.

The Graduate Adviser (or nominee) may not have supervised, examined or assessed the work. This role cannot be fulfilled by the Academic Head (or acting Head).

Examining

The examiner will examine the work and provide a recommended grade and/or mark accompanied by a full report that includes the reasons for the recommended grade. The examiner must not consult with any other party during this stage of the examination process.

Assessing

Once completed, the examiner's report and a copy of the work under examination will be sent to the assessor. The assessor will assess the work in light of the examiner's report and provide a written commentary on the validity of the recommended result. The assessor may recommend, with substantiation, a grade for the work.

Departmental Postgraduate Subcommittee

If, upon receipt of the examiner's and assessor's reports, the Departmental Graduate Advisor or nominee considers that an examiner or assessor should be replaced, they must make a recommendation to the Academic Head (or acting Head) in writing, outlining the basis of their claim. Disqualification of an examiner or assessor may be warranted in cases where an examiner or assessor claims insufficient level of expertise, does not include justification for the recommended grade, or where an assessor has not assessed the work in light of the examination report. In such cases, the Academic Head (or acting Head) may request a revised report or appoint a replacement examiner or assessor.

If the assessor agrees with the examiner's recommendation, the Graduate Adviser (or nominee) will normally recommend that grade to the Academic Head as the final result. If the assessor does not agree with the examiner's recommendation, the Graduate Adviser or nominee will convene and chair a subcommittee of the Departmental Postgraduate Committee. The Subcommittee will usually comprise the Graduate Adviser (or nominee) and one other staff member. Members of the Subcommittee must not have supervised, examined or assessed the work. The Academic Head (or acting Head) must not be a member of the Subcommittee.

Where appropriate, the Subcommittee will recommend a final result to the Academic Head (or acting Head). The recommended result must be based on the examiner's and assessor's reports.

If the examiner's and assessor's recommendations agree to within ten percentage points and do not cross a class or division of honours or a pass/fail border, the Subcommittee may average the marks without justification. Otherwise, the recommended final result must be accompanied by a written rationale.

Where the Subcommittee is unable to recommend a final result due to conflict between the examiner's and assessor's reports, but considers that the conflict may be resolved through consultation between the examiner and assessor, the Chair of the Subcommittee shall invite the examiner and assessor to review the reports and to consult and report to the Chair of the Subcommittee on the outcome of that consultation. The Chair may refer the Subcommittee's proposed final grade to the examiner and assessor for consideration as part of their consultation.

- Where the examiner and assessor agree upon a grade, and the Subcommittee is satisfied regarding the integrity of the process, the Subcommittee shall recommend that grade to the Academic Head (or acting Head) as the final result; the Chair of the Subcommittee must report in writing to the Academic Head (or acting Head) on the exchange with the examiner and assessor.
- Where the examiner and assessor revise their recommendations to within ten percentage points and the recommendations do not cross a class or division of honours or a pass/fail border, and the Subcommittee is satisfied regarding the integrity of the process, the Subcommittee may average the marks without justification, or recommend, with justification, a final result within the margin of the examiner's and assessor's revised recommended grades. A report on the exchange with the examiner and assessor must accompany any recommendation to the Academic Head (or acting Head).
- Where neither the examiner nor the assessor alters their original recommendation, or where revised recommendations do not agree within ten percentage points without crossing a class or division of honours or a pass/fail border, the Chair of the Subcommittee must refer all material relating to the examination, including a report on the exchange with the examiner and assessor, to the Academic Head (or acting Head). The Academic Head (or acting Head) shall either conclude that the disputed results procedure should be followed or that a safe result is determinable by the Academic Head (or acting Head) (see 'Determination of result' below).
- Where the Subcommittee is not satisfied regarding the integrity of the consultation process, the Chair of the Subcommittee must detail this concern to the Academic Head (or acting Head) in writing and should recommend that the disputed results procedure be followed. The Academic Head (or acting Head) may or may not endorse this recommendation (see 'Determination of result' below).

Where the Subcommittee is unable to recommend a final grade to the Academic Head (or acting Head) due to differences between the examiner's and assessor's reports and considers that consultation between examiner and assessor is not appropriate, the Chair of the Subcommittee must report this conclusion to the Academic Head (or acting Head) in writing and recommend that the disputed results procedure be followed. The Academic Head (or acting Head) may endorse this recommendation or may require the Chair of the Subcommittee to invite the examiners to consult (see 'Determination of result' below).

Supervisors and Academic Heads (or acting Heads) must not participate in the Subcommittee's discussion or decision.

See pg. 35 for 'Determination of result' and pg. 36 for 'Disputed results procedure'.

Examining theses and research portfolios (with a value of 90 points or more), except 90 point research components of Bachelors Honours Postgraduate degrees

If the Academic Head was involved in the supervision or intends to be involved as an examiner or as a member of the Examination Committee of a thesis or research portfolio then another member of the Department/School must take on the role of acting Academic Head with regard to that piece of work. Such a nomination should be made at the time the examiners are nominated.

Members of the Examination Committee must not have been involved in the supervision or supervisory team of the student or been examiners of the thesis.

Examining

Both examiners will provide a recommended grade and/or mark accompanied by a full report that includes justification for the recommended grade in relation to the grade descriptors on the Examiner's report form. Examiners' reports must be written independently and there should be no contact between the examiners (or between examiners and supervisors), including any discussion intended to produce agreement on a final grade. The only exception is in cases where the examiners have been invited by the Chair of the Examination Committee to consult with each other as part of the process detailed below.

Examiners' reports will be provided in confidence to the supervisor, who may provide confidential comment on them in writing (within one week) to the Examination Committee. Where provided, the supervisor's commentary should be restricted to the academic grounds for consideration of the work; this may include an opinion on an appropriate grade. Extenuating circumstances (other than those relating to resource availability) are not relevant to the examination process.

Examination Committee

If, upon receipt of the examination reports, the Examination Committee considers that an examiner should be replaced, they may make a recommendation to the Academic Head (or acting Head) in writing, outlining the basis of their claim. Disqualification of an examiner may be warranted in cases where an examiner does not include justification for the recommended grade or claims insufficient level of expertise. In such cases, the Academic Head (or acting Head) may request a revised report or appoint a replacement examiner.

Where appropriate, the Examination Committee should recommend a final result to the Academic Head (or acting Head). The recommended result must be based on the examiners' reports. If the examiners' recommendations agree to within ten percentage points and do not cross a class or division of honours or a pass/fail border, the Committee may average the marks without justification. Otherwise, the recommended final result must be accompanied by a written rationale.

Where the Committee is unable to recommend a final result due to conflict between the examiners' reports, but considers that the conflict may be resolved through consultation between the examiners, the Chair of the Committee may invite the examiners to review the reports and to consult and report to the Chair on the outcome of that consultation. The Chair may draw upon the supervisor statement in the exchange with the examiners and/or refer the Committee's proposed final grade to the examiners for consideration as part of their consultation.

- Where the examiners agree upon a grade, and the Committee is satisfied regarding the integrity of the process, the Committee shall recommend that grade to the Academic Head (or acting Head) as the final result; the Chair of the Committee must report in writing to the Academic Head (or acting Head) on the exchange with the examiners.
- Where the examiners revise their recommendations to within ten percentage points and the recommendations do not cross a class or division of honours or a pass/fail border, and the Committee is satisfied regarding the integrity of the process, the Committee may average the marks without justification, or recommend, with justification, a final result within the margin of the examiners' revised recommendations. A report on the exchange

with the examiners must accompany any recommendation to the Academic Head (or acting Head).

- Where neither examiner alters their original recommendation, or where revised recommendations do not agree within ten percentage points without crossing a class or division of honours or a pass/fail border, the Chair of the Committee must refer all material relating to the examination, including a report on the exchange with the examiners, to the Academic Head (or acting Head). The Academic Head (or acting Head) may conclude that the disputed results procedure should be followed or that a safe result is determinable (see 'Determination of result' below).
- Where the Examination Committee is not satisfied regarding the integrity of the consultation process, the Chair of the Committee must detail this concern to the Academic Head (or acting Head) in writing and should recommend that the disputed results procedure be followed. The Academic Head (or acting Head) may or may not endorse this recommendation (see 'Determination of result' below).

Where the Committee is unable to recommend a final grade to the Academic Head (or acting Head) due to differences between the examiners' reports and considers that consultation between examiners is not appropriate, the Chair of the Committee must report this conclusion to the Academic Head (or acting Head) in writing and recommend that the disputed results procedure be followed. The Academic Head (or acting Head) may endorse this recommendation or may require the Chair of the Examination Committee to invite the examiners to consult (see 'Determination of result' below).

No person involved in the supervision of the work under examination, or the Academic Head (or acting Head), should participate in the Committee's discussion or decision.

Determination of result

Theses, Research Portfolios, Dissertations and Research Projects

Approval of the final result is the responsibility of the Associate Dean (Postgraduate). If the final grade recommended by the Examination Committee/Departmental Postgraduate Subcommittee is endorsed by the Academic Head (or acting Head), then that will be normally the final result for the work. The Associate Dean (Postgraduate) must affirm the integrity of the examination process and approve the appropriateness of the final result. The Associate Dean (Postgraduate) may request further information from the Examination Committee/Departmental Postgraduate Subcommittee or Academic Head (or acting Head) or request that the Chair of the (Sub)Committee invites the examiner(s)/assessor to consult where such consultation has not already occurred. The Associate Dean (Postgraduate) may refer individual cases to the Dean of Graduate Studies for review as disputed results.

In cases where the Academic Head does not endorse the final grade recommended by the (Sub)Committee, and where that grade did not involve consultation between examiner(s)/assessor, the Academic Head may:

- a discuss the recommended final grade with the (Sub)Committee; if further information is provided by the (Sub)committee or if an alternative final grade is endorsed as a result of that discussion, the additional information and a report on that discussion must accompany the endorsed grade

and/or

- b require the chair of the (Sub)Committee to invite the examiner(s)/assessor to consult with or without reference to the (Sub)Committee's recommended final grade

or

- c refer the case to the Dean of Graduate Studies for review as a disputed result. All material relating to the examination must be forwarded to the Dean of Graduate Studies and should be accompanied by a report written by the Academic Head (or acting Head) outlining the reasons why it has not proved possible to endorse a final recommended grade.

If the recommended final grade involved consultation between examiner(s)/assessor, but the Academic Head has concerns about the safety of the recommended result, the case must be referred to the Dean of Graduate Studies for review as a disputed result. All material relating to the examination must be forwarded to the Dean of Graduate Studies and should be accompanied by a report written by the Academic Head (or acting Head) outlining the reasons why it has not proved possible to endorse a final recommended grade and the substance of the exchange with the examiner(s)/assessor.

Where a (Sub)Committee has recommended that the disputed results procedure be followed, or referred an examination to the Academic Head (or acting Head) without a recommended final grade or with concerns about the integrity of the consultation process, the Academic Head (or acting Head) may:

- a conclude that the disputed results procedure should be followed, in which case all material relating to the examination must be referred to the Dean of Graduate Studies; the material must be accompanied by a report written by the Academic Head (or acting Head) outlining the reasons why it has not proved possible to recommend and endorse a final grade and the substance of any exchange with the examiner(s)/assessor

or

- b require that the Chair of the (Sub)Committee invite the examiner(s)/assessor to consult in cases where the (Sub)Committee has concluded that consultation between examiner(s)/assessor is not appropriate

or

- c identify and/or endorse a final grade where the recommendations of the examiner(s)/assessor are more than ten percentage points apart and/or cross a class or division of honours or a pass/fail border, but the Academic Head (or acting Head) considers that a safe result is determinable, or where concerns raised by the (Sub)Committee about the integrity of the consultation process have been considered and dismissed; in both cases, the Academic Head (or acting Head) must provide the Associate Dean (Postgraduate) with written justification regarding the safety of the endorsed final grade.

Disputed results procedure

Theses, Research Portfolios, Dissertations and Research Projects

Where it has not been possible to determine a safe final result, the Academic Head (or acting Head) or the Associate Dean (Postgraduate) must refer the case to the Dean of Graduate Studies for review as a disputed result. All material relating to the examination must be forwarded to the Dean of Graduate Studies. The material must be accompanied by a report written by the forwarding body, outlining the reasons why it has not proved possible to recommend and endorse or approve a final grade and the substance of any exchange with the examiner(s)/assessor.

The Dean of Graduate Studies has the power to appoint an external referee, in consultation with the Academic Head (or acting Head) where appropriate, who will consider the work under examination and the previous examination/assessment reports and any other information deemed necessary by the Dean of Graduate Studies (this may include the

supervisor's written comments on theses/research portfolios). The external referee will provide a confidential report on the work under examination and the examination process and will recommend a grade for the work. This grade will be the final result. The original examiner(s)/assessor, Associate Dean (Postgraduate), Academic Head (or acting Head) and Chair of the Examination Committee/Postgraduate Department Subcommittee will be notified of the outcome.

Referral of a case to the Dean of Graduate Studies does not necessarily mean that an external referee will be appointed.

Examiners' reports – theses and research portfolios

Masters thesis and research portfolio candidates will receive the examiners' evaluations of their work (Part 2 of the Examiners' reports) when the examination is complete. The candidate will not be informed of the names, or other identifying information, of their examiners. The Dean of the Faculty (through the Associate Dean (Postgraduate)) reserves the right to remove from an examiner's report made available to the candidate any material that they consider should not be released.

PhD candidates who are enrolled under the 2011 PhD Statute will receive the examiners' evaluations of their work (Part 2 of the Examiner's Report on Doctoral Thesis) no fewer than five working days before their oral examination to assist them with their preparation for the oral examination. The candidate will not be informed of the names, or other identifying information, of their examiners, except that of the Oral Examiner, unless this is specifically agreed to by the individual examiner on the examiner's report. The Board of Graduate Studies (through the Dean of Graduate Studies) reserves the right to remove from an examiner's report made available to the candidate any material that it considers should not be released. Except in the case of candidates enrolled under the 2011 PhD Statute, examiners' reports should not be discussed with candidates until the examination process is completed.

Submission of final results

Results for theses and research portfolios should be submitted on an *AS-512R* or on an *AS-512T* form for dissertation and research projects. These forms consist of two parts:

- Part A: appointment of examiners etc.
- Part B: recording of recommended grades and final grade for the thesis, dissertation etc.

Once both sections are completed, the form must be scanned and emailed to **results@auckland.ac.nz** together with all associated reports (eg, signed and grade Examiners' reports, supervisor's commentary where provided).

Academic Heads should ensure that all sections of the form are completed.

Forms are available at: **www.staff.auckland.ac.nz/forms**.

Other roles and responsibilities

Associate Dean	
Purpose	Ensuring that all academic teaching units across the University consistently meet the quality standards required for assessment of student learning
Responsibilities	Ensuring assessment is consistent across the Faculty and reliably meets the University's standards
Activities	Standards
Review assessment regime to ensure consistency in breakdown of assessment Third level escalation point for student cases from departments or Student Centre	All assessment activities are carried out in line with policy: <i>Assessment of Student Learning</i> <i>Instructions to Examiners and Assessors</i> <i>Te Reo Māori in Teaching, Learning and Assessment</i>
Develop and report against quality indicators for assessment	University Quality Assurance Framework
Review reports of faculty-wide assessment activity Provide an overview to Dean at end of each semester	The University's quality standards are met and maintained
Associate Dean (Postgraduate) Approve grades for theses, research portfolios, dissertations and research projects for sub-doctoral postgraduate students	Affirm integrity of examination processes and approve appropriateness of results for sub-doctoral postgraduate students.

Faculty Group Services Located in academic units	
Purpose	To provide services to academic units delivering courses and programmes. The main focus is to ensure effective and efficient administrative support for the examinations function, coordinating submission of material to meet process calendar deadlines and having delegated authority to manage administrative activities for the Academic Heads
Responsibilities	To support academic staff in the administration of assessment processes
Activities	Standards
Provide administrative support for preparation of exam question papers within departments, ensuring papers are formatted to the required standard and submitted to Examinations on time	Support is available to examiners / course directors in preparing and formatting papers Exam submission is tracked and exceptions (e.g. late papers) are reported to the Academic Head

Faculty Group Services Located in academic units (continued)	
Support administration of aegrotat/compassionate applications	Accurate information is available to staff assessing academic information for aegrotat and compassionate applications [turnaround = three working days]
Notify aegrotat/compassionate applicants of outcomes of written test applications	Where an aegrotat / compassionate decision is to resit or hold an oral test, arrangements are made promptly in conjunction with the Examinations and Timetable Services Office and the student kept informed
Consult with academic staff to obtain nominations of examiners, assessors and course directors and enter data in CS9	Nominations are recorded and approved by the Academic Head by the expected time
Where required, results are entered in Canvas for approval by Course Director	Final results are entered into Canvas accurately and promptly Results are treated as strictly confidential

Faculty Student Centre / Resource Centre	
Purpose	Provide services to students to advise, assist and manage them throughout the student lifecycle.
Responsibilities	To support students in the administration of assessment processes
Activities	Standards
Receive hard copy Masters theses and research portfolios	Submission is receipted
Receive applications for exam recounts, access the script, and liaise with the examiner to confirm marks have been added correctly	Requests are turned around within three weeks

Faculty Academic Administration Services

Purpose	To coordinate and manage academic administration processes for the faculty to support the delivery of the curriculum associated with core academic processes. To ensure processes and activities comply with University policy, and are managed efficiently, consistently and meet service expectations.
Responsibilities	To assist with collection and maintenance of the coursework and examination details to ensure the data is captured and aligns with the course books Timetable requests are made and the draft examination timetable checked
Activities	Standards
Liaise with course directors to enter coursework and exam details into CS9	Coursework and exam details are completed for all courses and entered before the deadline for submission
Arrange academic head signoff	Late changes are recorded by the Examinations and Timetable Services Office
Coordinate checking and approval of the provisional exam timetable	
Provide a list of completing research Masters students, liaise with departments to coordinate submission and examination. Track milestones and ensure the final grade and completion details are recorded	Ensure timelines are met as per the Guidelines for the Administration of Research in Masters Degrees.

Examinations and Timetable Services Office

Purpose	To manage, maintain, co-ordinate, advise and report on assessment processes and examinations.
Responsibilities	To ensure the integrity of the University's formal examination and assessment processes. To provide academic units with support and guidance on these processes.
Activities	Standards
Ensure that assessment criteria is collected	Assessment breakdown has been entered by the deadline and entered correctly

Examinations and Timetable Services Office

Build the examination timetable	<p>The optimum timetable with the fewest possible clashes for students and, ideally, no more than one exam per day for students</p> <p>Faculty requests are taken into consideration and accommodated where students will not be adversely affected</p>
Ensure that the nominations of examiners and assessors are collected	Nominations have been received and are entered accurately
Receive, check and print examination papers	Examiners have the resources to format and submit examination papers correctly
Organise and advise students who are unable to sit their examinations at the scheduled time and date	<p>Students adhere to the examination regulations</p> <p>Examinations sat outside the University of Auckland adhere to our standards</p> <p>Examination materials are available to students at the approved time and place</p>
Resource and run examinations	<p>An adequate pool of well-trained examination supervisors</p> <p>Appropriate examination conditions are provided for students</p> <p>Provide adequate central facilities on all campuses to run examinations</p>
Accommodate students who are sitting examinations under special conditions	Best possible conditions are provided with appropriate supervision
Co-ordinate and process applications for aegrotat, compassionate and special passes	Adequate support and assistance is provided for students and staff in the processing of applications
Receive and post results to students' records	Accurate information is entered on all students' records in a normal timeframe of 2 working days
Provide scanning services for examiners	Examiners receive results in a timely manner

Academic forms and responsibilities

AS-64	Coursework and Examination Details	Course Directors (initials) Academic Head (per ACADORG)
AS-43	Changes to Coursework & Examinations Details	Academic Head
-	Nominations of Course Directors, Examiners & Assessors	Academic Head
AS-44	Changes to Nominations	Academic Head
-	Submission of exam papers (online)	Course Director, Examiner or Assessor
-	Examiners Grade Approval Sheet	Course Director Examiner (if required) Assessor
AS-58	Request for Changes to Results	Course Director or Examiner Assessor (if applicable) Academic Head
AS-65	Submission of Results for Individually Assessed Courses involves: Approving nominations of examiner(s) and assessor Recommendation of grade: Grade confirmation and approval:	Academic Head Examiner(s) Assessor Academic Head
AS-512R	Masters Thesis or Research Portfolio (2-part form) PART A Nominations (incl appointment of Examination Committee): Graduate Advisor & members:	Academic Head or Acting Head
	PART B Results Recommendation: Endorsement: Approval:	Departmental Graduate Advisor (or nominee) Academic Head or Acting Head Dean/Assoc Dean (Postgrad)
AS-512T	Research in Postgraduate Programmes (except masters thesis and research portfolio) (2-part form) PART A Nominations of examiner and assessor and graduate advisor:	Academic Head/Acting Head
	PART B Results Recommendation: Endorsement: Approval:	Graduate Advisor (or nominee) Academic Head/Acting Head Dean/Assoc Dean (Postgrad)

AS-18a	Recount Decision form	Course Director or Examiner Academic Head* *Where a change in final grade is agreed
AS-73	Application for Late Results Submission	Course Director Academic Head Assoc Dean (Academic)* Assoc Dean (Postgrad)* *Where applicable
AS-49	Aegrotat/Compassionate applications Recommendation: Approval:	Academic Head Senate
AS-55	Special Pass applications Recommendation: Approval:	Academic Head Senate