

## Assessment

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Review Cycle:	3 years		
Applies From:	Immediately		

Major changes/additions since the last version was approved are indicated by a vertical line in the left-hand margin.

## 1 Introduction

### 1.1 Purpose

To provide a broad framework and set of principles to ensure that assessment activities are fair, valid, reliable, and consistently applied.

### 1.2 Scope and Application

- a This policy applies to all assessment conducted by Ara Institute of Canterbury <sup>1</sup>, unless otherwise stated. Regulations covering external examinations can be found in the relevant handbook of the examining body, in information supplied with the examination entry form, or from the chief supervisor conducting an examination on behalf of that body.

**Note:** Not every procedure included in this policy is relevant to every assessment situation. Minor adjustments where needed may be approved by the Dean of Faculty. Major departures must be approved by the Ara Academic Committee on recommendation from the Ako Excellence Division. Questions regarding interpretation of and variation to the procedures set out in this policy are directed in the first instance to the Manager – Academic Excellence.

### 1.3 Formal Delegations

There are no formal delegations associated with this policy.

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<sup>1</sup> From herein referred to Ara

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<p><b>Related Ara Procedures and Forms</b></p> <ul style="list-style-type: none"> <li>• APP504a Consideration of Fees and Charges Refund Procedures (Including Compassionate Consideration)</li> <li>• APP505a Additional Guidelines for Specific Assessment Situations</li> <li>• APP505b Application for Alternative Assessment/ Exam</li> <li>• APP505c Reconsiderations and Appeals Flowchart</li> <li>• APP505e Procedures and Responsibilities for Resits, Resubmissions and Second Results</li> <li>• APP505f Written Examinations - Rules for Candidates</li> <li>• APP505g Written Examinations - Instructions for Supervisors</li> <li>• APP505h Marks Carried Forward</li> <li>• APP505i Application for Reconsideration – Independent Re-mark</li> <li>• APP505j Application for Reconsideration – Re-mark</li> <li>• APP505k Application for Resit or Resubmission</li> <li>• APP505l Application for Second Result</li> <li>• APP505m Application for Extension of Time</li> <li>• APP517a Appeal Application Form</li> </ul>	<p><b>Related Ara Policies</b></p> <ul style="list-style-type: none"> <li>• APP301 Learner Responsibilities and Rights</li> <li>• APP304 Academic Misconduct</li> <li>• APP503 Naming and Awarding Qualifications and Recognising Achievement</li> <li>• APP504 Regulations Governing Admission and Enrolment</li> <li>• APP506 Probation</li> <li>• APP507 Credit Recognition</li> <li>• APP508 Moderation</li> <li>• APP510 Aegrotat Pass Regulations</li> <li>• APP517 Academic Appeals Committee Terms of Reference</li> <li>• CPP110 Legislative Compliance</li> <li>• CPP211 Code of Professional Practice</li> </ul>
<p><b>Associated Documents</b></p> <ul style="list-style-type: none"> <li>• Ara Standard Fees and Charges</li> <li>• Ara Extension Form</li> <li>• Ara Declarations/Monitors Form</li> </ul>	
<p><b>Related Legislation or Other Documentation</b></p> <ul style="list-style-type: none"> <li>• Achieve. (2004). <i>Kia Orite: Achieving Equity. NZ Code of Practice for an inclusive tertiary education environment for students with impairments.</i> <a href="http://www.achieve.org.nz/cop/kia-orite">http://www.achieve.org.nz/cop/kia-orite</a></li> <li>• Privacy Act 2020</li> <li>• Health &amp; Safety at Work Act, 2015</li> </ul>	<p><b>Good Practice Guidelines</b> (indicate if attached to policy or where they can be found)</p> <ul style="list-style-type: none"> <li>•</li> </ul>
<p><b>References</b></p> <ul style="list-style-type: none"> <li>• Code of Professional Practice</li> <li>• Biggs, J., &amp; Tang, C. (2007). Teaching for quality learning at university: what the student does. Maidenhead: McGraw - Hill/ Society for Research into Higher Education &amp; Open University Press</li> <li>• Ministry of Health. (2001). <i>The New Zealand Disability Strategy.</i> <a href="http://www.odi.govt.nz/resources/publications/nzds/index.html">http://www.odi.govt.nz/resources/publications/nzds/index.html</a></li> </ul>	
<p><b>Notes</b></p> <ul style="list-style-type: none"> <li>• The first version of this policy (entitled ‘Accountability in Assessment’) was produced in 1987 in response to the Official Information Act 1982. Full staff meetings were held with each of the (then) 14 departments as part of the consultation process.</li> <li>• The Ara approach to mandatory attendance is consistent with the philosophy of competency assessment that underpins the National Qualifications Framework. The first formal policy was developed in February 1993 and incorporated into the assessment policy in 1996.</li> <li>• Management Team and the Academic Board endorsed changes to the Appeals Committee procedures in April 2000. This added a stronger independent perspective to the Committee and streamlined its operation. With the resignation of the Deputy Chief Executive (also Chair of the Academic Board) at the end of 2000, oversight of the Committee was delegated to the Secretary of Council (Ralph Knowles).</li> <li>• The first policy covering assessment in Te Reo Māori was published in 1995, but unintentionally deleted in 1998 when several policies were combined or substantially revised. An updated draft was produced early in 2001, after consulting with the Senior Case Manager, NZ Qualifications Authority, who informed Ara that a national review was underway. The review was not completed by the end of that year; our interim procedures were therefore confirmed as policy until further notice.</li> </ul>	

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- In May 2009 the Academic Board asked that the provision for “extra time in tests and examinations for EAL students” be reviewed for its intent and relevancy. The Board subsequently received a recommendation that this provision be removed from the policy effective January 2011 and endorsed this.
- Reconsiderations and Appeals relating to Clinical/Work placement added to policy as approved by Academic Board in September 2009. Conflicts of Interest section added (also in *APP508 Moderation* policy). Provision for Marks Carried Forward for compassionate reasons added.
- Reconsiderations and Appeals modified in August 2011 following a recommendation from the Ombudsman regarding our process.
- Policy updated (May 2012) to align with organisational restructure: Faculties to Departments/Schools and Faculty Boards to Boards of Studies.
- 2014 – Updates were made to include specific timing for marking and return of assessments. Marks Carried Forward provision was extended for all programmes. Extension timeframes were reduced to 6 weeks.
- Additional Assessment Arrangements policy (previously named Supplementary Assessment Arrangements 2012) deleted and the procedures added to Assessment policy in section 3.19
- 2015 Grade scale changes approved by Academic Board added to principles.
- 2016 New branding
- 2017 Addition of statement that Formal Appeals are reported publicly every six months. Ara Assessment policy / TANZ harmonisation process with alterations recorded.
- 2018 Ara /TANZ harmonisation process completed – edits made to ensure consistency.
- 2018 – Restructure of Te Kāhui Manukura.
- 2019 – Change of Boards of Studies to Department Groups.
- 2020 – Standardised appeal wording. NZIST changes – Academic Board becomes Ara Academic Committee; Ara Council becomes Ara Board. APP505d Academic Appeals Committee TOR made a standalone policy with an appeal application form (APP517a). APP301 – Rights and Responsibilities changed to Responsibilities and Rights. Changing ‘student’ to ‘learner’.
- 3/2/21: Changed Infoweb to Waituhi in footer
- 12/2/21: Added 3.15d as per Academic Committee 26 November 2020; in the event that a resit or resubmission is also a fail, the higher of the two fail marks will be the final mark of the assessment.
- 15/4/21: Added statement in 3.20 and 3.21 noting that there is no further internal appeal process available if the appeal is not to be heard, or is turned down.
- 28/9/21: Privacy Act date updated
- 1/1/26: Updates to align with Ara moving out of Te Pūkenga with new management structures.

## 2 Principles

- 2.1 Assessment has two purposes, to enhance learning as well as to measure progress.
- 2.2 Assessment is considered and designed in the context of constructive alignment.
- 2.3 Formative assessment is designed to provide opportunities for timely constructive feedback.
- 2.4 Summative assessment is designed to evaluate learning at the end of a teaching unit and assess overall achievement.
- 2.5 Assessment is designed considering validity, reliability, fairness, transparency, sufficiency, authenticity, and academic integrity.
- 2.6 Assessment is designed holistically across a programme in consideration of learner and tutor workload, with appropriate and achievable timeframes.
- 2.7 Every person has a right to representation, advice, advocacy, and support at all stages of any of the reconsideration or appeal processes.
- 2.8 Criterion referenced (not norm referenced), standards-based, or competency-based assessment will be used. Results are reported according to standard grade scales approved by Ara Academic Committee.

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- 2.9 Learner with documented impairment will have access to appropriate additional assessment arrangements and/or assistance.
- 2.10 Any additional arrangements or assistance will not compromise or invalidate the assessment of stated learning outcomes.
- 2.11 Additional assessment arrangements will adhere to the governing regulations of any external bodies which control or administer those assessments.

### **3 Associated procedures for Ara Academic Policy on: Assessment**

<b>Contents:</b>	3.1	Responsibilities for Assessment
	3.2	Assessment Information Provided to Learners
	3.3	Admission as a Non-Assessed Learner
	3.4	Assessment in Te Reo Māori
	3.5	Attendance as a Course Requirement
	3.6	Conducting Classroom Assessments
	3.7	Conducting Major Examinations
	3.8	Unavoidable Interruptions during Assessments
	3.9	Examination of External Learners
	3.10	Marking and Returning Assessed Work
	3.11	Privacy Issues
	3.12	Conflicts of Interest
	3.13	Alternative Assessment Arrangements
	3.14	Extensions
	3.15	Resits and Resubmissions
	3.16	Second Results
	3.17	Conceded Pass
	3.18	Marks Carried Forward
	3.19	Procedures for additional assessment arrangements for disabled learners
	3.20	Reconsiderations and Appeals
	3.21	Reconsiderations and Appeals Involving Clinical/Work Placement

#### **3.1 Responsibilities for Assessment**

- a The Ara Academic Committee is responsible for developing and distributing policy related to assessment and for delegating responsibilities for assessment as it deems appropriate.
- b The Ako Excellence Division is responsible for translating policy into operational guidelines and providing assistance with implementation.
- c Portfolio Managers are responsible for ensuring assessment practices are consistent with the approved programme documents, assessments are carried out according to the principles set out in this policy, assessment requirements are followed (as relevant to the particular course/programme), assessment results are endorsed before being released, and assessment records are maintained according to the rules overseen by Central Academic Records.
- d Dean of Faculty also are responsible for ensuring all staff and learners have access to the information, direction and support needed to carry out their assessment responsibilities. Dean of Faculty have the authority to delegate specific responsibilities and tasks to others (e.g. Portfolio Managers/Programme Leaders/Coordinators), but they maintain overall accountability to the Chief Executive, Ara Academic Committee, and/or other person/body identified in policy.
- e Portfolio Managers are responsible for ensuring staff are aware of their assessment responsibilities, as set out in this policy, and that the information listed in Section 3.2 of this policy is prepared, checked, and given to learners. Further, they are responsible for ensuring copies of assessments, associated marking guides, model answers, and moderation forms are filed where they are accessible for reviewing. Portfolio Managers

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have the authority to allocate specific tasks to others (e.g. Programme Leaders/Coordinators), but they maintain overall accountability.

- f Academic staff are responsible for taking the steps necessary to understand the principles and practices of assessment contained in this policy and for carrying out all assessment tasks in a professional manner. This includes ensuring that the assessment details in the Student Management System are correct, that the assessment results entered for each learner are correct, and that all results are entered in the required format and within two weeks of the assessment occurring.
- g Staff are directed to *CPP211 Code of Professional Practice* and *CPP208 Resolving Employee Performance or Conduct Issues* because of the special importance of assessment to learners and the institution. They set out the overall expectations of Ara staff and the possible consequences of not following approved policies.

### **3.2 Assessment Information Provided to Learners**

- a Learners are given appropriate, accurate information about their programme as a whole, and the individual courses. This includes what they are expected to achieve and how they will be assessed. Items marked \* refer to information provided prior to enrolment:
  - i \*Programme aim/outcomes
  - ii \*Overall credit value and level
  - iii \*Credit recognition provisions (cross credits, credit transfer, RPL)
  - iv Programme and assessment regulations, including at least the following:
    - overall requirements for completion including transition plans
    - grade scale(s) used
    - formal attendance requirements, if any likely consequences/problems if regular attendance is not maintained
    - requirements for progression within the programme
    - maximum time to complete the qualification (or specified courses)
    - penalties for late submission
    - details of resit/reconsideration/second results/extension/aegrotat provisions
    - consequences of not completing or failing clinical/work placement.
  - v \*Estimated cost of material or other charges
  - vi \*Course pre-requisites/expected prior knowledge/skills
  - vii Course descriptors (including all details as per the approved Programme Document)
  - viii Assessment/assignment due dates
  - ix Timeframe in which staff will return marked assessments
  - x Marking procedures and methods for calculating the final grade and if applicable, forced fail grades and marks carried forward
  - xi Necessity for learners to keep copies of assessments submitted electronically
  - xii Any other assessment details specific to each course
- b Learners enrolled in the same course, even if they are completing different qualifications, are covered by the same assessment procedures and regulations unless specifically approved otherwise by the Ara Academic Committee. If these procedures/regulations differ from the other courses the learner(s) is enrolled in, this must be communicated in writing via a specific set of course regulations. Course regulations and requirements for 'generic' or 'service' courses are the responsibility of the faculty delivering the course. They are, however, usually developed in consultation with the

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Portfolio Managers/Programme Leaders or Dean of Faculty overseeing the programmes in which they are delivered.

- c If, in extraordinary circumstances, a significant departure from what is included in the published information has to be made, it is explained clearly to all learners in writing. Changes are cleared with the Dean of Faculty and/or the Ara Academic Committee, depending on the magnitude and implications of the change. In some cases, an approved transition plan is required as well.

### **3.3 Admission as a Non-Assessed Learner**

Applicants accepted into a course(s) that includes mandatory assessment may enrol as a 'non-assessed learner' under certain circumstances (refer *APP504 Regulations Governing Admission and Enrolment* for details).

### **3.4 Assessment in Te Reo Māori**

In recognition of the status of Te Reo Māori as an official language of New Zealand, Ara provides learners with the opportunity to be assessed in Māori, except for assessments/courses in which the use of a specified language is required. The following procedures apply:

- a Any learner wishing to be assessed or present work for assessment in Māori must inform the Portfolio Manager in which he/she is enrolled for that course(s), preferably at the time of enrolment, but no later than the start of the course(s). The Portfolio Manager will consult with the Pou Whakahaere/Manager Te Puna Wānaka (or delegate) when such a request is received. If the request is not received within this timeframe, the faculty is not obliged to make the necessary arrangements.
- b If there is no member of staff in the Faculty who is competent to assess work in Māori, the Dean of Faculty will consult with the Pou Whakahaere/Manager Te Puna Wānaka (or delegate) who will make all reasonable effort to find an assessor either within or outside Ara. Assessors must be proficient in both Māori and the subject matter of the assessed work.
- c If such a person cannot be found, a translator proficient in Māori may be appointed to work with the staff member responsible for the assessment.
- d Both the learner and the nominated translator or assessor must sign an affidavit that there is no conflict of interest between them.
- e If neither a competent translator nor assessor can be found, the Dean of Faculty will advise the learner at least two weeks before the date of the assessment/due date the request cannot be granted.
- f If a translator for written work is used, he/she must not communicate with the learner. For translation of verbal components, the translator must not interpret, coach, or correct any of the learner's contributions or responses.
- g No additional time or other special provisions will be made because the assessment is in Māori. It is the learner's decision whether his/her proficiency is sufficient to complete the assessment in Māori.

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### **3.5 Attendance as a Course Requirement**

- a In most cases, attendance is not an assessed course requirement at Ara. Assessment is based on the achievement of stated learning outcomes, not on whether a learner attends a specific number of class sessions. The exceptions to this are when experiential learning or participation in specified activities is essential to meet the outcomes (e.g. clinical practice, group work, supervised laboratory/practical work, marae visit) or to meet the requirements set by an external body (e.g. Nursing Council of New Zealand, Social Work Registration Board, an ITO).
- b It is acknowledged that learners are more likely to succeed if they do maintain regular attendance. They need to be advised of this in the programme handbook and/or by their course lecturer/tutor.
- c If a Statement of Attendance is to be produced, or an outside body requires a specified level of attendance, then attendance is monitored, recorded, and included as part of the overall assessment criteria.

### **3.6 Conducting Classroom Assessments**

- a Each tutor/lecturer is responsible for ensuring that precautions are taken to minimize the opportunity for academic integrity issues. (refer *APP304 Academic Misconduct*).
- b Each tutor/lecturer is responsible for taking additional precautions to safeguard learner work, as relevant to the particular assessment activity (e.g. safe storage of submitted work until it is assessed, photographing submitted project work, backing up electronically submitted work, reminding learners to maintain a copy of all submitted work).

### **3.7 Conducting Major Examinations**

All the requirements under the heading Conducting Classroom Assessments, above, apply. For formal examinations, refer also to *APP505g Written Examinations - Instructions for Supervisors* and *APP505f Written Examinations - Rules for Candidates*. Each Faculty is responsible for ensuring learners are informed of these rules and any others relevant to the particular examination.

### **3.8 Unavoidable Interruptions during Assessments**

Refer *APP505g Written Examinations - Instructions for Supervisors*.

### **3.9 Examination of External Learners**

From time to time Ara is asked to provide examination supervision for learners either not enrolled at this institution or taught under contract to another institution. The following procedures apply:

- a No additional examination supervision fee is charged if learners can be included in a scheduled Ara examination.
- b If there is no scheduled examination, or the learner is unable to attend at that time, he/she or the external institution contracting the service will pay for an examination supervisor. In this case, a standard fee applies, depending on whether the examination takes place during or outside normal working hours.
- c If the fee is charged directly to the learner, payment is made at the Student Finance Office. Learners must present their receipt to the supervisor as proof of payment. If the

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fee is charged to the external institution, the invoice will be processed through Finance in the normal way.

### 3.10 Marking and Returning Assessed Work

- a Staff use prepared and moderated marking guides to increase the reliability, transparency, and validity of the assessment results (refer *APP508 Moderation* for details).
- b On the rare occasion where marks need to be adjusted for an entire group of learners, the specified criteria of a marking guide are altered, and relevant questions re-marked using the changed criteria. There must be a clear rationale and completed record of how and why adjustments were made. Post moderation must occur in this instance. These are endorsed by the Faculty Board of Studies before being finalised.
- c Results of assessments are expected to be returned to learners within ten working days of the assessment due date. Where possible, learners receive and are given an opportunity to discuss model answers and/or marking guides and to query their grades/marks.

On the rare occasion when an extension of time is required for the return of assessment outcomes a request may be made from the relevant Portfolio Manager to the Dean of Faculty for an extension approval. This approval will only apply to that particular occurrence.

- d All assessment results are expected to be entered into Student Management System, ready for publishing, no later than 15 working days after the assessment due date, e.g.: results should be entered, checked and signed off by the department and forwarded to results staff within this 15 working day period.
- e Course and programme results are due for publication (provided to the learner) within fifteen working days after the end date of the course or programme.
- f Assessments that are not returned to learners are kept by the Department for a period as determined by the *Public Records Act 2005*.
- g Privacy of assessment results is safeguarded as required by the *Privacy Act 2020*. All staff are responsible for ensuring the guidelines set out below are followed.
- h Refer *APP505a Additional Guidelines for Specific Assessment Situations* for further guidelines related to specific assessment situations (e.g. marking of practical, classroom-based assessments; formative feedback; multiple-choice tests).

### 3.11 Privacy Issues

- a Ara adheres to a strict interpretation of the *Privacy Act 2020* as it affects the public display, announcement, or publication of academic results of any assessment or final grade in a course or programme. Such results must NOT be displayed, announced, or published in a form that includes a learner's name or other identifier that reasonably could be 'readable' by people other than the learner concerned. Results of individual assessments or final grades cannot be given to anyone other than the learner, except with written permission from the learner.
- b It is permissible to publish learners' results publicly provided that no names or other easily identifiable reference is used. If using Ara student identification numbers, the list should be sorted numerically.
- c In order to meet internal and external academic quality assurance requirements, learner assignment, test, and examination results may be used for the purposes of:

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- i Internal and external moderation
- ii Self-Assessment & External Evaluation and Review
- iii Programme review
- iv Aegrotat and other academic decisions
- v Resolution of academic appeals and complaints
- vi Statistical analysis (e.g. of trends, completion rates, success rates of specified cohorts)
- vii Other academic related purposes if agreed to by the Ara Academic Committee.

Assessment materials and/or results used for these purposes will have any information which could reasonably be expected to identify the individual removed before they are copied and used, unless the identity of the learner is required for the purpose undertaken.

- d The Ara Privacy Officer is authorised to make any exceptions to the procedures outlined above. Refer also to *CPP109 Disclosing Personal Information about Students and Staff*.

### 3.12 Conflicts of Interest

Staff are expected to identify and report to the Portfolio Manager any conflict of interest related to their involvement in any learner's summative assessment (e.g. a relative, close friend, employee).

The Portfolio Manager is responsible for ensuring appropriate safeguards are put in place to resolve such situations, e.g.:

- a Learner work assessed by an alternative staff member (from Ara or another institution) with the requisite knowledge/skill, *or*
- b Learner work co-assessed by the staff member and another person with the requisite knowledge/skill (from Ara, another institution, or the relevant industry/profession), *or*
- c Assessed work is 'blind' moderated by another person (as in 3.12b, above), along with the assessed work of two other learners achieving approximately the same mark on the same assessed work.

Advice is available from the Ako Excellence Division, or Dean of Faculty, depending on the type of assessment and/or issues identified.

### 3.13 Alternative Assessment Arrangements

- a Faculties are encouraged to provide alternative assessment arrangements in cases where learner(s) are unable to sit a test or examination or complete an assessment on the scheduled date for reasons the faculty considers acceptable. Note that learners are eligible to apply for an aegrotat pass only if the programme regulations allow for it and alternative assessment arrangements cannot be made (refer *APP510 Aegrotat Pass Regulations*).
- b Alternative arrangements include allowing learners to sit a test before or after the scheduled date. When such arrangements are made, the faculty must take the following precautions to guarantee fairness, both for the particular learner(s) involved and for those completing the same assessment on the scheduled date:
  - i The date of the rescheduled assessment is as close to the original scheduled date as possible.

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- ii The learner(s) sign a declaration acknowledging that special arrangements have been made.
- iii Steps are taken to limit the possibility of information about the assessment being communicated to other learners, e.g.:
  - The assessment is undertaken in a secure, supervised situation.
  - Learner(s) are not allowed to take paper, books, or other material into the secured area, except for what is required to complete the assessment.
  - Learner(s) are not allowed to remove any material or information about the assessment from the secured area.
- c Further safeguards that Dean of Faculty may consider appropriate (but are not required) include the following:
  - i If the alternative assessment is prior to the scheduled date, a 'monitor' might be appointed as an extra precaution against a learner giving information to any other learner. The monitor can be a family member, friend or other person who undertakes to remain with the learner for the period and confirm that no information about the assessment has been communicated. If such an appointment is warranted, the monitor is also required to sign a declaration.
  - ii If the alternative assessment is after the scheduled date, an additional check of the learner's knowledge may be warranted (e.g. a follow-up oral test).
- d Refer *3.19 Additional Assessment Arrangements* in this policy for details on assistance for learners with specific needs (e.g. reader/writer, interpreter, extra time in examinations).

### **3.14 Extensions**

- a An extension is a written agreement between a learner(s) and tutor/lecturer for a piece of assessment to be submitted late - at an agreed, specified date - usually on medical or compassionate grounds. Supporting information/evidence (e.g. medical certificate) is required.
- b Extensions are initiated by the learner affected and timeframes must be agreed to prior to the assessment due date.
- c Extensions awarded must be completed by the course end date. Extensions are limited to 6 weeks after the assessment due date to ensure timely outcomes. Any extension longer than 6 weeks must be approved by the Dean of Faculty.
- d Extensions awarded outside the course end date require the approval of the Dean of Faculty.
- e Departments are responsible for extension management and recording extension events in the Student Management System in a timely fashion to ensure that the 'not complete' code does not become the default result when reporting such cases to the Tertiary Education Commission (refer also *3.15 Resits and Resubmissions* and *3.16 Second Results* in this policy).
- f No result will appear on the learner's academic record until the extension result is entered into the Student Management System; therefore, if unit standards are involved the learner is not required to pay an additional unit standard charge.

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### 3.15 Resits and Resubmissions (Assessment level)

- a A learner who has submitted and reasonably attempted a piece of in-course assessment and who has failed that assessment task, will be allowed one resubmission of the assessment task for Level 1-6 programmes. This also applies to programmes at Level 7 and above unless otherwise stated in the programme regulations.
- b Requests for resubmissions must be made to the relevant staff member, no later than 5 working days after the assessment has been marked and returned to the learner, for Level 1-6 programmes. This also applies to programmes at Level 7 and above unless otherwise specified in the programme regulations.
- c The maximum mark available for any resubmission of an assessment task shall be the minimum pass.
- d In the event that the resit/resubmission mark is also a fail, the higher of the two fail marks will be the final mark of the assessment.

### 3.16 Second Results (Course level)

- a A learner who gains a fail grade in a course with a mark of 40% or more will be provided with one opportunity to undertake a reassessment of the course on the recommendation of the Portfolio Manager. This reassessment will be developed to reflect the learning outcome of the course and their respective weightings.
- b The reassessment must be taken within one month of the course end date. In the event that the assessment due date falls near the course end date, an extension of one additional calendar month can be approved by the Dean of Faculty.
- c A learner passing the reassessment will gain the minimum grade available as a pass in the course. The learner's original result remains on the transcript, along with the updated (second) result.
- d Under this provision, learners do not receive any additional tuition from the Institute. They can opt to re-enrol in the entire course instead, receive tuition, and complete the assessment in the normal way.

### 3.17 Conceded Pass

- a A Conceded Pass is where there is considerable evidence that marginal failure (45-49%) in one course is compensated by good overall performance in the relevant subject.
- b For courses assessed internally at Ara, the Faculty delegated committee (consisting of the Dean of Faculty, and three Portfolio Managers, including a manager that is external to the awarding Faculty) may award a conceded pass, unless otherwise stated in the course/programme regulations.
- c To be eligible for a conceded pass, a learner must have either:
  - i Fulfilled the minimum course requirements (e.g. assignments, practical work), but failed narrowly to achieve the standard required over all the assessments,  
*or*
  - ii Completed most but not all of the required work at an acceptable level. The Department delegated committee must be satisfied that the learner has worked conscientiously and is worthy of special consideration.
- d If progression to a higher level/stage is an issue, the faculty delegated committee decides on a case by case basis whether the conceded pass is an advancing or non-advancing pass to the next level in the designated discipline/area covered in that

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course. This decision is communicated clearly to the learner at the time the conceded pass is awarded.

- e A learner is eligible to receive only one conceded pass per programme in any one year in the same programme. Any additional request application to be presented to Ara Academic Committee (or delegated subcommittee). This decision is not delegated to the Faculty or Dean of Faculty.
- f Assistance with determining eligibility for a conceded pass may be sought from the Ako Excellence Division if an independent view is needed.

### **3.18 Marks Carried Forward**

A learner may apply to carry marks forward for passed assessments to the next occurrence of the course and not redo those assessments. The Portfolio Manager is responsible for counselling the learner about the potential impact on their overall workload, and the possible impacts on learner visa or StudyLink eligibility. The faculty will liaise with International Services where this provision involves international learners.

The following provisions apply:

- a Assessment regulations within the programme of study document allow this provision.
- b The learning outcomes, outcomes assessed and weightings for completed assessments are unchanged.
- c Guidance is provided to ensure that the eligibility for StudyLink or Visa's is not compromised. Each learner will sign the *APP505h Marks Carried Forward* form to confirm this.
- d The learner will be required to enrol in the next available occurrence of the course/s as soon as practicable **and** before the last withdrawal date for the course.
- e A pro rata enrolment will apply in recognition of a reduction in the learning, teaching and assessment hours of the course. The assessment weighting of uncompleted assessment will determine the % of the course fee.
- f Marks Carried Forward can only occur for one re-enrolment of the same course/s.
- g The results for both enrolments (original and re-enrolment) will be reported on the learner's transcript.
- h The subsequent result grade will be the combination of the marks carried forward and the marks attained in the assessment of the subsequent enrolment.
- i Refer *APP505h Marks Carried Forward*.

### **3.19 Procedures for additional assessment arrangements for disabled learners**

- a Learners with specific needs may be eligible for additional assessment assistance e.g. reader/writer, interpreter, extra time in examinations).
- b The Manager – Learning and Disability Services will ensure there are processes and provisions in place for all eligible learners to gain access to and receive appropriate accommodations for assessments. The Manager – Learning and Disability Services will monitor, review, and evaluate these processes and provisions.

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- c Learners applying for additional assessment arrangements must provide supporting documentation to the Manager – Learning and Disability Services (or delegate) at least ten working days before the assessment. The Manager – Learning and Disability Services will approve eligibility.
- d If eligibility for specific arrangements is approved, the Manager – Learning and Disability Services or delegate will arrange the appropriate type of assistance and notify the appropriate academic staff member of the additional arrangements at least five working days before the assessment.
- e Where learners give less than two weeks' notice of an assessment, the availability of additional arrangements cannot be guaranteed.
- f Unless otherwise specified, the approved eligibility for assistance is valid only to the duration of the current enrolment.
- g The following types of additional arrangements are possible for assessments:
  - i **Extra time.** In most circumstances, this will be an extra ten minutes per exam hour. If the exam is for one hour, the extra time allowance will usually be 15 minutes.  
  
There may be exceptional circumstances when additional time beyond the guidelines above is required. This is to be negotiated with the Manager – Learning and Disability Services and appropriate academic staff member.
  - ii **Use of a separate room.** This may be required for learners who have particular physical or psychological needs.
  - iii **Segmented exams with supervised breaks.** This may be required by learners with particular physical or psychological conditions.
  - iv **Alternative assessment times.** See Section 3.13 - Alternative Assessment Arrangements.
  - v **Reader assistance.** A person reads the assessment text to the learner (includes provision of extra time and a separate room). This may be required for learners who have difficulty reading or processing written text.
  - vi **Writer assistance.** A person writes down the learner's dictated answers (includes provision of extra time and a separate room). This may be required for learners who have difficulty writing for reasons related to physical conditions or specific learning disability.
  - vii **Reader/writer assistance.** A person both reads the assessment text and writes down the learner's dictated answers (includes provision of extra time and a separate room).
  - viii **NZ Sign Language interpreter.** This is available for Deaf learners presenting or receiving an oral assessment, or who are using a reader/writer (includes provision of extra time and, when necessary, a separate room).
  - ix **Alternative assessment format.** A written assessment may be given in an alternative format to a learner (e.g. enlarged font). A learner may complete a written assessment through alternative means (e.g. verbally) when agreement has been reached between the Portfolio Manager/Programme Leader and the Manager – Learning and Disability Services Manager.
  - x **Use of assistive equipment or technologies.** This may include magnifying devices, a computer, voice recognition software, or ergonomic furniture. This does not include devices or software providing support with spelling,

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dictionary/thesaurus functions, grammatical structure, or mathematical computation, unless specified.

- xi **Other additional arrangements.** Arrangements either accepted or currently under review by NZQA, or by other tertiary education providers associated with Ara, will be considered on a case-by-case basis in consultation between the Manager – Learning and Disability Services and relevant provider.

### 3.20 Reconsiderations and Appeals (Refer Flowchart APP505c)

#### a Reconsiderations

If a learner considers a mark/result/course outcome of an assessment e.g. from classroom test, an assignment, a major exam or project (refer to Section 3.21 for Reconsiderations and Appeals involving Clinical/Work placement) allocated to them is incorrect or unfair, the steps set out below are to be followed:

- i **Discussion:** The learner discusses the assessment result with the relevant academic staff member, who may then consult the Portfolio Manager. The learner's request for discussion must be lodged within five working days of the marks/result/course outcome being communicated to the learner.

- ii **Re-mark:** If the learner considers the outcome of the discussion to be incorrect or biased, the learner may request a re-mark. The learner's request must be lodged in writing within ten working days of the return of the assessment.

A re-mark will be completed by an academic staff member other than the one who originally marked it. The outcome of the re-mark will be communicated to the learner within ten working days.

- iii **Independent re-mark:** If the learner considers the outcome of the re-mark is incorrect or unfair, the learner may apply to the Portfolio Manager requesting an independent re-mark. The learner's application must be made within ten working days of the outcome of the re-mark being communicated to the learner.

In applying for an independent re-mark, the learner must state in writing the reasons for believing that the original mark and/or re-mark is incorrect or unfair.

All reasonable steps are to be taken to obscure the student's ID and the original mark before submitting the assessment to an independent marker, external to Ara. This preparation is arranged by the Portfolio Manager.

The learner is advised of the outcome of the independent re-mark by the Portfolio Manager or delegate within ten working days.

The outcome of the independent re-mark becomes the result for the assessment.

#### b Appeals

If the learner considers the outcome of the independent re-mark or equivalent review of a result to be incorrect or unfair, or in cases where it is not appropriate or practicable to pursue a re-mark or independent re-mark (refer Section 3.19.a.iii), the learner may appeal to the Ako Excellence Director.

The grounds for an appeal would normally be one of the following:

- Additional new and significant information has become available which was not available and could not reasonably have been available to the Portfolio Manager at the time of the reconsideration(s), *and/or*
- There was an irregularity in the assessment process or in the process used to reach the decisions, *and/or*

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- An independent re-mark is not appropriate or practicable because the result being appealed involves the assessment of competence in a clinical/work placement, the following also applies:

**The appeal process is:**

- i The learner lodges the appeal in writing (Refer *APP517a Application for Academic Assessment Appeal Form*) with the Ako Excellence Director. The appeal must be lodged within ten working days from the date on which the advice of the outcome of the independent re-mark or other assessment notification was issued.
- ii The learner is advised whether or not the appeal will be heard. If the grounds for appeal have not been satisfied, the learner shall be notified within five working days that the appeal will not be heard. **Please note there is no further internal appeal process available. External processes are available through the Human Rights Commission and/or the Ombudsman Office.**
- iii If the appeal is to be heard the Ako Excellence Director will convene the Academic Appeals Committee (refer *APP517 Academic Appeals Committee Terms of Reference*).

**Note:** A documented record of discussions and decisions is maintained until the appeal period has lapsed and the final results released.

Appeal decisions are reported publicly every six months. Please note no identifying information is published.

### **3.21 Reconsiderations and Appeals Involving Clinical / Work Placement**

Where a reconsideration or appeal involves the judgment of one or more professionals (e.g. clinical lecturers, preceptors, master trades people, workplace assessors), in assessing competence in a clinical/work placement, the following also applies:

- a The re-mark or independent re-mark provisions may not be appropriate or applicable and the matter may proceed directly to an appeal.
- b The learner lodges the appeal in writing (Refer *APP517a Application for Academic Assessment Appeal Form*) with the Ako Excellence Director. The appeal must be lodged within ten working days from the date on which the advice of the outcome of the independent re mark or other assessment notification was issued.
- c The learner is advised whether or not the appeal will be heard. If the grounds for appeal have not been satisfied, the learner shall be notified within five working days that the appeal will not be heard. **Please note there is no further internal appeal process available. External processes are available through the Human Rights Commission and/or the Ombudsman Office.**
- d If the appeal is to be heard the Ako Excellence Director will convene the Academic Appeals Committee (refer *APP517 Academic Appeals Committee Terms of Reference*).
- e The learner must be informed that the Academic Appeals Committee may require a demonstration of the learner's skills via a competency check or challenge test as part of hearing the appeal or order a full repeat of the placement and assessment at the learner's own expense.

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