



Assessment Board¹ Guidelines

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¹ Formerly 'Examination Board'.

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1. PURPOSE

These guidelines have been prepared to assist staff when running assessment board² meetings. They should be read in conjunction with the General Academic Statute and General Academic Regulations published in the current AUT [Academic Calendar](#).

2. POLICY STATEMENT

AUT's General Academic Statute (GAS) specifies assessment boards as part of the formal administrative structure of the University.³ The faculty board, as a committee of the University Academic Board, is responsible for formulation and implementation of faculty academic policies and procedures and for establishing procedures for the monitoring of its programmes⁴, in accordance with General Academic Statute (GAS) and General Academic Regulations (GAR). This includes the responsibility for establishing, in respect of each programme or group of programmes for which it is responsible, an assessment board. Faculty board has the power to establish or disestablish an assessment board under its jurisdiction. The General Academic Statute, Part 2, Section 1 Boards and Committees establishes the requirements of University committees.

3. SCOPE

3.1. Background and Context

All programmes are required to have adequate means of ensuring that assessment procedures are fair, valid, consistent and appropriate, in line with the stated learning outcomes (refer to the criteria for approval under the Education Act 1989). The assessment board is a key component of the University's quality assurance framework. The board's primary purpose is to ensure students under its jurisdiction are treated fairly and consistently in assessment and in the awarding of final grades and qualifications. Overall, the board is responsible for evaluating how academic standards are maintained through assessment practice that encourages effective learning. They may also make decisions on other matters relating to individual students on a case by case basis, and in doing so, ensure consistency and fairness.

The business of the assessment board is the monitoring and approval of final results (refer to the assessment board terms of reference below). All results need to be approved before final results notices are released to students.

3.2. Terms of Reference

The assessment board reports to the faculty board and board of studies on student performance in the programme(s) for which it is responsible, and ensures fair treatment of students in its decision-making. It normally meets after the end of each teaching period, and if required, may hold special meetings.

² The replacement of 'Examination Board' with 'Assessment Board' was endorsed by Academic Board on 30 November 2020.

³ See current edition of the AUT Academic Calendar, Schedule 2: Administrative Structure for details.

⁴ Refer Faculty Board Terms of Reference, [Academic Quality Office Website](#)

Each assessment board is responsible to the faculty board for:

- Approving final grades.
- Monitoring the academic progress of students and making decisions on their re-enrolment or discontinuation.
- Approving the outcomes of student applications for special consideration.
- Receiving reports on approved variations to a student's programme of study.
- Approving recognition of prior learning and granting credit.
- Approving a variance to the maximum period of enrolment.
- Granting leave of absence from a programme.
- Recommending the granting of qualifications.

4. DEFINITIONS

For definitions see [Definitions](#)

5. MEMBERSHIP

5.1. Membership

Faculty boards are required to approve the membership of each assessment board annually. Membership lists should be forwarded to the faculty board meeting for approval at the beginning of the year.

Assessment boards may include one or more programmes and therefore need to include senior staff involved in key areas such as programme leaders, heads of departments. Representatives from teaching staff and others with related roles should also make up the assessment board. This normally would include a staff member representing equity. An executive secretary should be appointed. The faculty registrar may also be present to provide guidance on academic regulations, policies and procedures.

Where a qualification is jointly awarded and overseen by the University and another authority, the faculty board may approve a variation of membership of an assessment board for that programme.

Programmes that offer core/compulsory courses or subjects from outside their department should ensure that the membership includes representation from these other areas.

The chair is usually a senior staff member such as a programme leader or a head of department. The assessment board will be chaired by someone other than the chair of the board of studies. This ensures the two Boards, although related, act independently of each other. This is important in the event of an appeal against a decision of the assessment board.

The business of the assessment board includes confidential matters related to the progress and achievement of individual students. Membership should not include representatives of the student body enrolled in the programme or group of programmes. It is good practice to have

an external member/examiner on assessment boards where possible. An external examiner would be an academic staff member from outside of the faculty. Their role is to provide an impartial perspective on the decisions of the board.

Where an appointed or elected member has been absent for more than three successive meetings without the approval in writing of the Chair, that member may be replaced according to the procedure relevant to their position.

5.2. Related Committees

The assessment board is a subcommittee of the faculty board and has a statutory reporting line to the faculty board. The assessment board is also required to report to the board of studies. The board of studies has overall responsibility for programme implementation and development and quality standards, including a responsibility for setting the assessment policy on matters which require more detail than is provided in the General Academic Regulations (see the Board of Studies Guidelines).

There is a close relationship between boards of studies and assessment boards such that, as a result of its deliberations, an assessment board could initiate new policy for discussion and approval by a board of studies. Where courses are shared across faculties, departments or programmes, guidelines are available results will be approved by the assessment board of the faculty or department that 'owns' the course.

Where the assessment board is dealing with multiple programmes or programmes across departments/faculties it may be suitable to hold pre-board meetings with staff from each of the programmes. This will allow time for individual cases to be given the attention required and to ensure that all information necessary for the smooth running of the assessment board is available and that staff responsible are fully aware in advance of all the issues and concerns to be raised.

5.3. Delegated Authority

An assessment board may have pre-determined lines of responsibility and delegated authorities to carry out activities within its terms of reference. Typically, this is allowed for activities which are time critical and cannot realistically wait until the next scheduled meeting. Assessment board may delegate authority to another person for activities where there are significant numbers of applications that are generally straightforward and have established precedents such as the approval of RPL applications, extensions or special consideration applications. In these cases, there is no need to wait for ratification by the assessment board however delegated authorities are required to report to the assessment board on their decisions. More complex applications may be tabled at the assessment board for approval and further input from discipline experts. Any changes resulting from ratification by the board would be reflected in future decision making.

Where authority has been delegated to a person, role or sub-committee, this should be clearly defined and documented in the minutes or a schedule of authorities. Any delegations should be reviewed annually by the relevant board.

6. MEETINGS

The assessment board should meet after all results are determined and moderation is completed. Meetings should occur at least twice a year within two weeks after the end of the preceding semester for programmes following the normal semester timelines, e.g. two weeks after semester one. This will enable student results to be formally approved and locked, so other university processes such as notification of final results and graduation can proceed and students can be informed of their results in a timely manner. Special meetings may be called as required.

Meeting dates for the year ahead should be reported to faculty board at the beginning of each year.

7. RESPONSIBILITIES OF ASSESSMENT BOARD MEMBERS

7.1. The Chair is responsible for:

- determining the agenda in discussion with the Executive Secretary
- clarifying the purpose of the meeting
- ensuring the meeting fulfills its statutory responsibilities
- providing guidance on academic regulations, policies and procedures
- keeping the meeting on task and to schedule
- providing a casting vote where there is an equality of votes
- reviewing and signing off draft minutes for circulation.

7.2. The Executive Secretary is responsible for:

- preparing agendas and supporting courses and circulating to the members normally at least five days prior to the meeting
- taking minutes and distributing them to members within one week of the meeting with a copy to the faculty office for audit purposes
- preparing reports for the board of studies, faculty board and other committees (such as an appeals committee or the university postgraduate board).
- ensuring approved results are communicated to the relevant staff for locking and release of final results.
- attending to consequential contacts and correspondence
- filing records of the agendas, minutes and associated documents in accordance with university policy for audit purposes.

7.3. The Programme / Discipline Leader is responsible for:

- retaining an oversight of the overall results for the courses under their jurisdiction
- presenting the results to the assessment board where the course leader is not a member of the board.
- following up on action points / matters for consideration with the board of studies or faculty board.

Where the programme/discipline (specialisation or major) leader is responsible for presenting results to the assessment board they must complete the Faculty Programme / Discipline Leader Assessment Board Report confirming that they have reviewed the course leader reports noting any issues and recommendations with regards to:

- pre and post-moderation
- external moderator reports (where appropriate)
- grade spreads
- completion/ retention rates.

7.4. The Course Leader / Coordinator is responsible for:

- retaining an oversight of the overall results for the course under their jurisdiction.
- ensuring that assessments have been conducted in accordance with the assessment structure as stated in the course handbook which may be published in hard copy and/or on AUTonline,
- completing the Faculty 'Course Leader Assessment Board Report' (refer appendix 3)
- presenting the results to the assessment board for approval.

In completing the Faculty 'Course Leader Assessment Board Report' (refer appendix 3) the course leader is confirming:

- they have reviewed grade spreads
- they have reviewed completion/ retention rates (including Domestic/Maori/Pasifika students and under 25s)
- pre and post-moderation has been carried out on all assessment items
- the number of reconsiderations and the outcome of these
- the outcome of any external moderation has been considered
- recommended Still to Complete (STC) results have been considered with submission dates confirmed (this may be delegated to someone other than a course leader)
- recommended special passes have been reviewed and confirmed (this may be delegated to someone other than a course leader)
- any issues for the assessment board to consider

Note: the course leader may not always be a member of the assessment board, for example where the board oversees a large programme or several different programmes. In this instance it may be the programme or discipline leader that presents the results to the board.

7.5. All members are responsible for:

- Attending the meeting or notifying the executive secretary if unable to attend. Representative members must send a deputy to attend in their absence. This ensures meetings are not inquorate.
- Actively contributing to the meeting by reading the agenda and supporting papers and consulting representative groups for feedback prior to the meeting.
- Communicating outcomes of the meeting to relevant stakeholder groups.

8. ASSESSMENT BOARD PROCEDURES

8.1. Prior to the Assessment Board Meeting

All assessment items contributing to the final grades have been marked, moderated and returned to students with the marking schedule in accordance with University General Academic Regulations and boards of studies' assessment rules and criteria (refer General Academic Regulations, Part 5: Assessment and Granting of Credit, AUT Academic Calendar).

Results for each assessment item have been entered into ARION and locked at Lecturer level (level 5 and below) making them available to students as 'interim results' i.e. still subject to final approval by assessment board. This provides students with an opportunity to request a reconsideration of an assessment of a particular item of work, test or examination prior to the assessment board approving the final results.

Students who are not progressing satisfactorily (General Academic Regulations Part 3: Section 12 Academic Progress) will be identified.

It is recognised that applications to the assessment board are instigated in some cases by the students and in other cases by the school/faculty/department. Where an application has been instigated by the faculty/school/department on behalf of the student, it is important that the student understands and signs off on the application.

Information regarding the processing of results, details of the handback of assessed work, and the date final results will be made available including the types of results (interim and final) should be made available to students.

Students who are eligible to graduate are identified and moved to "recommended" status on ARION in accordance with graduation deadlines.

Course leaders have reviewed the results and completed the 'Course Leader Assessment Board Report' (refer Appendix 3 and Course Leader Responsibilities above).

Programme /discipline leaders have reviewed Course Leader reports and compiled Programme Leader Assessment Board Report (refer Appendix 4 and programme leaders' responsibilities above).

Reports on activities carried out by those with delegated authority are prepared for the meeting.

Members are sent a notice of meeting. The agenda is a standing agenda that may be distributed prior to the meeting or tabled at the meeting. Final results and relevant reports will be tabled at the meeting for consideration.

8.2. Running the Meeting

The agenda documentation should include reports from course leaders, majors and/or specialisations where appropriate and programmes, together with supporting ARION reports. The following guidelines consider the broad areas that would be covered.

8.2.1. Attendance and voting rights

A quorum is at least one-half of the number of members. Assessment boards are required to meet and approve results at a designated time however decisions are not

binding if enough members are not present at that meeting. Where a quorum is not met, the meeting should proceed in the usual manner. The chair may take measures to obtain a quorum such as allowing for an intermission until members or their delegates can be called upon to attend.

If the Chair is absent, then those present elect one of their number to take the chair.

Representative members or members who are there in their official capacity must send a deputy to attend in their absence. The deputy has the same voting rights as the member.

All resolutions are proposed by one member and seconded by another.

Any resolution must be passed or rejected according to the voting of the members present.

Each member has one vote.

The chair has a deliberative vote, and, in the case of an equality of votes, shall also have a casting vote.

Membership should be approved annually and forwarded to the first faculty board of the year. An up-to-date membership list should be appended to the agenda, along with a schedule of meeting dates.

Introductions are made and those present, apologies and in attendance are recorded.

8.2.2. Consideration of the agenda

The structure of the meeting may be altered to accommodate staff unable to report or the agenda being re-ordered or other practical considerations.

8.2.3. Confirmation of the minutes of the previous meeting

The minutes of the previous meeting are checked for accuracy, amended as required and confirmed as a true and accurate record.

8.2.4. Confidentiality and Conflicts of Interest

Declarations of conflict of interest must be made before gaining approval to sit on the assessment board. New declarations of interest that may conflict with the business of the board must be sought at the beginning of each meeting and a resolution made.

Assessment board members and those in attendance must be reminded of the confidential nature of the business of the board in relation to students and programmes/majors/courses.

8.2.5. Matters arising

Items still outstanding from the previous meeting are discussed and confirmed, such as final results following the granting of a still to complete (STC). Items that have been dealt with under delegated authority are reported to the board.

8.2.6. Approval of results

The agenda will list all the courses where final results are to be received for approval. The Programme/Course Leader Assessment Board Report may be tabled alongside the results (see Section 7).

The assessment board analyses, makes decisions on and records issues affecting results. Agenda items in this section may include the following.

Still to Completes: STCs are approved/declined and the submission date recorded in the minutes. These may have been approved by delegated authority and must be reported to the board.

Moderation reports: confirmation that internal pre and post assessment moderation of assessment has taken place. Confirmation of external moderation where appropriate and decisions regarding issues in moderation.

Special consideration applications: examples of special consideration applications include: alternative assessment arrangements, impaired performance, did not sit compulsory components, extensions to projects. Decisions made by the board may result in a change of grade, an aegrotat pass, an extension, a decline or an opportunity to re-sit an assessment (refer to the Special Consideration Guidelines). These may have been approved by delegated authority and must be reported to the board.

Conceded passes: assessment board may at its discretion grant conceded passes (refer to the Special Consideration Guidelines for details and criteria).

Recognition of prior learning: noting student applications for recognition of prior learning (normally approved through delegated authority).

Student progress: agenda items related to student progress include commendations for high achievements, consideration of unsuccessful completions, failure to progress and students repeating courses. These may be approved through delegated authority and must be reported to the following meeting.

Research Admission and Progression: Approval of research proposals, variations to research, appointment of supervisors, leave of absences, extensions, progress report (normally approved through a sub-committee of assessment board)

Examiners Reports and Award of Honours: Appointment of examiners and approval of thesis and dissertation final results, and award of honours or distinction and merit for the qualification.

Approval of graduands: the ARION "Student Qualifications to be Granted" report is used to report on students who are eligible to graduate at the next graduation ceremony. If these are not available at the time of the assessment board a sub-committee or delegated authority may confirm the graduands before they are forwarded to the faculty.

Educational Performance Indicators: consideration of completion rates, retention rates in relation to the University's performance indicators for all domestic students, Māori and Pasifika, and under 25s.

8.2.7. Other business

Examples of other business may include noting students on transfer such as from other universities, consideration of assessment board processes or ARION reporting tools.

Record the time the meeting closed and the date of the next meeting.

All resolutions should be recorded for audit purposes.

8.3. Post-Meeting

Minutes are signed off by the chair and circulated to board members and appropriate faculty/school/department staff. Where possible, student identification numbers only should be used in written documentation in order to ensure student privacy.

The proceedings and resolutions must be recorded, forwarded to the faculty office and retained in accordance with University policy for audit purposes.

Any changes to results as a result of the meeting are communicated to programme administrators in order to update ARION. Once updated the faculty office locks the results at transfer level (1) and arranges for final results notices to be issued to students.

Students who are not progressing satisfactorily will be contacted and given advice as appropriate. Note: these applications may be dealt with by the delegated authority and reported to the following meeting.

Students are informed of any STC requirements and outcomes of special passes.

Reports to Boards of Studies, Faculty Boards or other committees are prepared and forwarded.

A copy of the agenda, minutes and the associated paperwork including application to assessment boards must be retained in accordance with University policy for audit purposes. All additional copies of confidential material should be disposed of securely.

9. APPROVAL OF RESULTS

In order to carry out its responsibilities properly, each assessment board must be cognisant of trends and issues arising either within a major, specialisation, course or a major or part of the programme, or across the programme/s. This includes matters such as completion rates, student progression, grade spreads, parity and special passes. There is also a need for consistency in its decision making, not only with regard to previous decisions, but with regard to University regulations and policies, the policies of the board of studies and the Faculty.

9.1. Review

The assessment board receives the programme, course leader or major/specialisation report and reviews the results via ARION statistics reports focusing on:

- the spread of grades
(Note: AUT uses standards based assessment so the Board is not looking for a bell curve; they are reviewing the spread of grades to identify any anomalies or unusual patterns)
- variances in retention and completion numbers
- consideration of completion rates in relation to the University's performance indicators⁵
(Note: TEC performance indicators⁶ are looking for an 84% successful course completion rate).

⁵ The University's KPI's are noted in the latest Investment Plan, which may be found on the AUT website)

⁶ The Tertiary Education Commission (TEC) measures the performance of tertiary institutions against four educational performance indicators (EPIs): course completion, qualification completion, retention and progression.

- decisions regarding courses being monitored e.g. low pass rates, high DNCs, concerns identified in SEPs or other student feedback mechanisms.

Issues/anomalies should be investigated through, for example:

- comparison of results with the previous offerings of the course
- comparison of results with other courses in the programme
- consideration of each assessment item and its impact on results
- consideration of the programme/course leader's recommendations
- consideration of any moderation comments.

9.2. Actions

Where the Board is convinced that an anomaly in the assessment process has led to a student being treated unfairly or inconsistently the following actions may be considered:

- a change in the weighting of the assessment items contributing to the final grades
- a review of individual student results that have failed to achieve a passing grade and a consideration of giving them the opportunity to resubmit or sit an alternative assessment, or
- another appropriate action that assures fairness, consistency and the individual circumstances of the issue.

Where the Board identifies an anomaly but there is no evidence that current students have been treated unfairly or inconsistently the matter should be referred to the Board of studies with recommendations to, for example:

- review the assessment structure
- externally moderate the following semester
- undertake a Student Evaluation of the Course (SEP) and/or a Student Evaluation of the Lecturer (SEL).

9.3. Audit trail

All issues and actions should be recorded in the minutes, including any change to individual student results, noting the exceptional circumstances that have led to the action.

Note: Depending on the structure and makeup of the particular assessment board, some of this work may be undertaken by smaller groups formally established for that purpose prior to the meeting.

10. STANDARDS BASED ASSESSMENT AND GRADES

AUT uses standards based methods of assessment. Assessments may be achievement based or competency based as specified in the programme documentation.

The General Academic Regulations Part 5 Assessment and Granting of Credit determine the grades that are available to record the final assessment outcome of a course.

When approving final grades the Board should consider the criteria for grades which do and do not accrue points as stipulated in the AUT Calendar, General Academic Regulations, Part 3 Admission and Enrolment Requirements and Part 5 Assessment and Granting of Credit. The following sections offer additional guidelines that support the General Academic Regulations.

For awarding grades for special circumstances please refer to the Special Consideration Guidelines.

10.1. Grade Maps

The General Academic Regulations determine the grades that are available to record the final assessment outcome of a course.

A+	Pass with High Distinction	CR	Credit for prior learning
A	Pass with Clear Distinction	S	Aegrotat Pass
A-	Pass with Distinction	CO	Conceded Pass
B+	Pass with High Merit	EX	Exemption
B	Pass with Clear Merit	D	Fail
B-	Pass with Merit	DS	Disrupted Study – Fail
C+	High Pass	F	Fail (competency based assessment)
C	Clear Pass	W	Withdrawn
C-	Pass	DNC	Did Not Complete
M	Pass with merit (competency based assessment)	DSN	Disrupted Study – Not Completed
P	Pass (competency based assessment)		

The criteria for each grade are determined in the course approved through the board of studies.

The grade map for each course should be available for assessment board members.

10.2. Fail Grade (D/F)

A 'D' or 'F' grade is applied where the student has attempted all compulsory assessments but failed to meet the overall outcomes of the course. The assessment board should ensure that they review all the students' results where a fail grade has been applied.

In particular, where a student has **narrowly missed** passing a course (e.g. has achieved between 48% and 49.5% in a course that uses Grade Map 1) the Board should consider:

- how did the student achieve in all of the assessment events across the course in relation to the overall learning outcomes?
- is this a final year/graduating student?
- what are the implications for progression?

Having considered each circumstance, the Board may either:

- adjust the final grade/mark to a C-pass of 49.5%, or

- leave the grade/mark as it is, or
- grant a Conceded Pass (refer to the Special Consideration Guidelines for details and criteria for awarding the grade of Conceded Pass).

10.3. Did Not Complete (DNC)

A Did Not Complete is a fail grade that is automatically applied where a student either:

- did not complete a compulsory assessment item in a course; or
- formally withdrew from the course after 75% of the course had been taught.

10.4. Interim Grades and Special Passes

Interim grades and special passes include the following and are dealt with in more detail in the Special Consideration Guidelines

- Under examination (UX)
- Still to complete (STC)
- Conceded pass (CO)
- Aegrotat pass (S)

10.5. Assessment Programme Moderation

The moderation report may be a separate document or part of the course leader report and must cover pre- and post, internal and where appropriate external moderation. The moderation report should outline the activities of pre-assessment and post assessment moderation. It should identify the moderators and actions taken. Actions may be referred to the board of studies to determine whether the assessment plan needs to be reviewed, SEPs or where appropriate external moderation is undertaken.

11. STUDENT PROGRESSION

Assessment boards are responsible for monitoring the academic progress of individual students. ARION Search Query reports can be generated for the assessment board to identify high achieving students or students who are not progressing satisfactorily.

11.1. Academic Excellence

It is good practice for an assessment board to note and acknowledge high achieving students with a letter of congratulations from the dean, head of school/department or programme leader.

11.2. Academic Progress

The General Academic Regulations Part 3 Admission and Enrolment Requirements, Section 12 stipulates the requirements to continue in a qualification.

Students who are not progressing satisfactorily will be advised by the faculty and must apply to the assessment board for permission to continue or re-enrol in the programme. Individual

programmes may have additional progression requirements as noted in their programme regulations, e.g. to progress on to a thesis a student must normally have an average grade of B- or higher in coursework courses (refer to individual programme regulations).

In order to support the student to progress in their study the assessment board may place some limitations or requirements on the student such as:

- limiting their enrolment to fewer courses in the following semester in order to manage the workload of the student.
- requiring them to alter their pathway of study or programme.
- counselling them to attend free university courses on academic study.

The decision of the assessment board is final.⁷

11.3. Leave of Absence

The General Academic Regulations Part 3 Admission and Enrolment Requirements, Section 10 states that a student must apply to the assessment board for leave of absence for one semester or more from a programme of more than, or equal to, 120 points. Refer to the regulations for detailed criteria.

Postgraduate students applying for a leave of absence during a thesis enrolment must apply to the assessment board on the University's 'Variation of Record' form. All other students must apply in writing to the programme leader (or equivalent). All applications will be taken to the relevant assessment board for approval.

Students should be counselled on leave of absence limitations before applications are processed and must receive detailed written confirmation of the requirements following leave of absence.

12. RECOGNITION OF PRIOR LEARNING

The assessment board may grant credit for prior formal or non-formal learning in accordance with the conditions and limits established by the General Academic Regulations. See the University Recognition of Prior Learning Procedures and Recognition of Prior Learning Guidelines and Surrender of Qualifications: Guidelines and Process.

The assessment board must ensure that students in similar situations are treated consistently. When making decisions on credit and RPL, an assessment board compares the level, content, learning outcomes and assessment of the course to be credited, to ensure there is reasonable equivalence with the AUT course.

This process may be delegated to a subcommittee or an appropriate staff member. Whoever makes these decisions should have access to a list of precedents (courses that have previously been deemed equivalent) to ensure consistency.

The final decision is formally reported to the assessment board.

⁷ General Academic Regulations Part 3 Admission and Enrolment Requirements, Section 12, AUT Calendar.

13. GRANTING OF AWARD OF HONOURS

Master's degrees and bachelor's degrees with honours may award the degree with honours as defined in the General Academic Regulations Part 8 Standard Qualification Regulations. The assessment board will decide the award of honours or award of distinction and merit based on the student's grades for courses in that qualification.

The Graduate Research School, under delegated authority from the University Postgraduate Research Board, confirms the class of honours to be granted in master's degrees and 120 point bachelor's degrees with honours.

14. GRANTING OF QUALIFICATIONS

Assessment boards are formally responsible for the final check on whether or not a student has met the requirements for a qualification. Due to the tight timeframes to meet graduation deadlines the task of checking that students meet the requirements is often approved by a delegated authority and reported to the assessment board at a later date.

15. APPEALS AGAINST A FINAL GRADE

A student may appeal against the final result determined by the assessment board if:

- it can be shown that additional information has become available which was not available, and could not reasonably have been made available, to the assessment board at the time of its decision
- there was a material irregularity in the conduct of the assessment, or in the assessment board or board of studies procedures.

The student must appeal in writing to the dean of the faculty within 14 days of receiving their final result. The appeal will be considered by a Faculty Appeals Committee. In the case of thesis results the appeal is lodged with the University Postgraduate Board. The appeals process is outlined in the General Academic Regulations Section 6 Academic Appeals.

16. RESULTS NOTICES

Students may have access to results at various stages in a course.

Component results for individual items of assessment should be entered after each assessment has been marked and moderated. The results are then available to students once they have been loaded on ARION and locked at Level 5 (Lecturer level). At this point the results are interim only. Component results are visible to students on ARION web. They also appear on the Student History Report (see below) before the final results for a course are locked off.

Interim overall results for a course are made available to students prior to the results being approved by assessment boards – if they have been locked at Level 4 or below.

Final overall results are those which are confirmed by assessment boards, locked at Level 1 (transfer) on ARION and appear on a student's official academic record.

Student Academic History Reports are available on ARION. These list all of a student's results, both interim and final, from all their enrolments at AUT. These are not an official result notice, but for internal staff use only.

Student Academic Transcript is the official record or transcript of a student's final grades in all programmes and courses they have completed at AUT. These are issued by the Academic Records Office through the *myEquals* platform following graduation in any programme, or at other times by request and payment of a fee to the Academic Records Office.

17. RESPONSIBILITIES

Assessment boards report to the board of studies on the outcome of assessment board meetings.

Assessment boards report formally to faculty board.

Assessment boards provide a report to the Appeals Committee as and when required.

In addition, postgraduate assessment boards report to the University Postgraduate Board on research enrolments.

18. POLICY BASE

AUT Calendar General Academic Statute
AUT Calendar General Academic Regulations

19. ASSOCIATED DOCUMENTS

Sample Assessment board Agenda

Sample Assessment board Minutes

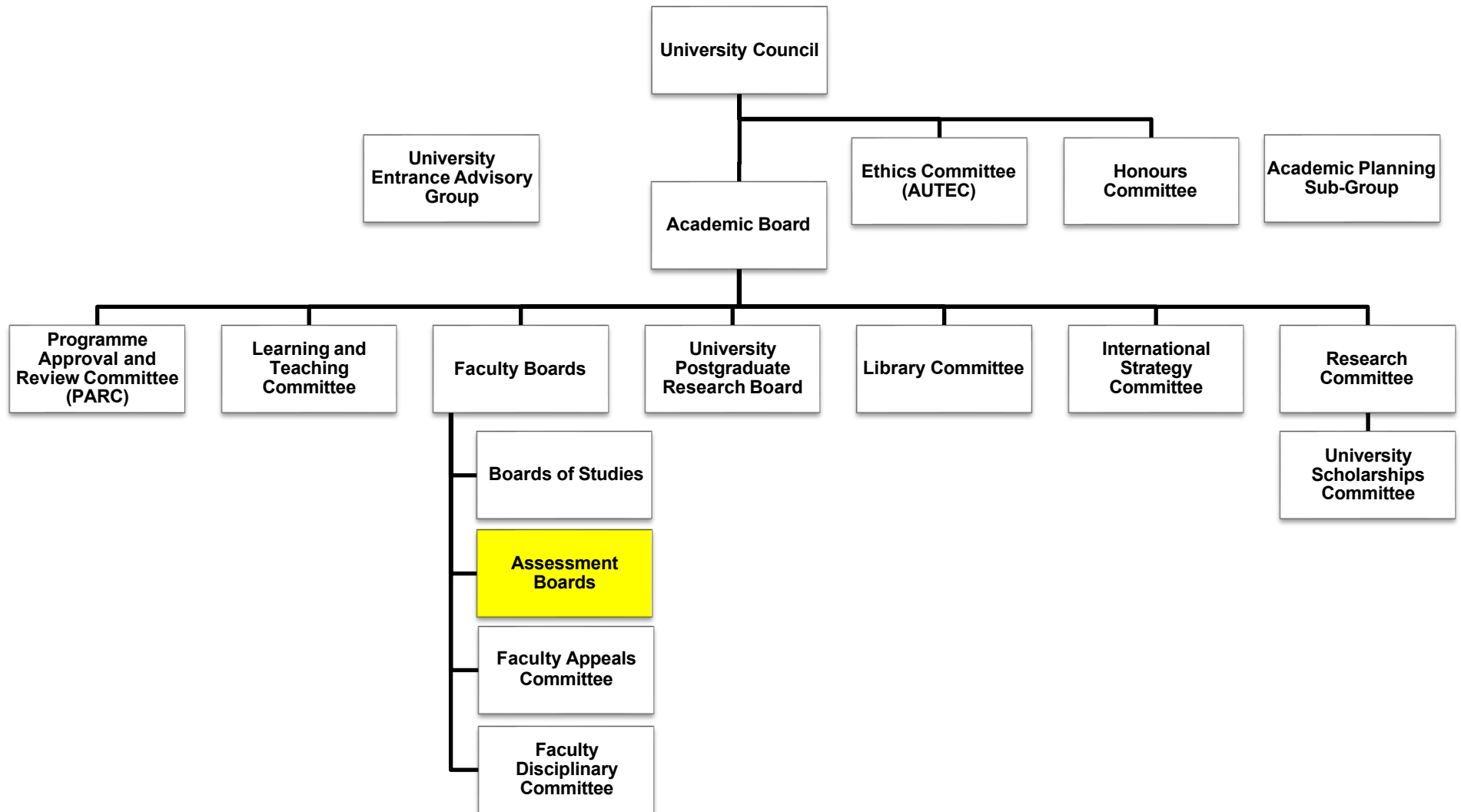
Sample Template for Course Leader Assessment Board Report

Sample Template for Programme Leader Assessment Board Report

[Assessment boards Terms of Reference](#)

[Administrative Responsibilities for Service Taught Courses](#)

20. ACADEMIC COMMITTEE STRUCTURE



21. APPENDIX 1 SAMPLE ASSESSMENT BOARD AGENDA

The following is a sample agenda format as there is no required standard format. Larger programmes or combined programmes agendas will adapt this format to suit their purposes.

[LOGO]

[Insert name(s) or Programmes Assessment Board]

ASSESSMENT BOARD AGENDA

[Insert date, including year
Insert time
Insert venue]

1. ATTENDANCE

Membership should be approved annually and forwarded to the first faculty board. Always append an up-to-date membership list to minutes and agendas.

- 1.1 Present
- 1.2 Apologies
- 1.3 In attendance

2. CONSIDERATION OF THE AGENDA

The Chair goes through the agenda noting additions/deletions/abled papers/items can be starred for discussion.

3. CONFIDENTIALITY/CONFLICT OF INTEREST

Declarations of conflict of interest must be made before gaining approval to sit on the assessment board. New declarations of interest that may conflict with the business of the board must be sought at the beginning of each meeting and a resolution made.

Assessment board members and those in attendance must be reminded of the confidential nature of the business of the board in relation to students and programmes/majors/courses.

4. CONFIRMATION OF THE MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on **[date]** have been received and are **attached** for confirmation.

5. MATTERS ARISING

5.1 Still to Complete Grades

Final Grades for students with STC grades from previous meetings have been received for information. Grades were approved by delegated authority.

If grades are missing for some students and STC submission date has passed, highlight those results and include this note: Programme Leaders will be asked to report on those students with outstanding results.

6. APPROVAL OF RESULTS

The following course work results will be tabled for approval along with assessment board reports from course and programme leaders. Programme leaders are asked to present the results for approval, and speak to any issues related to retention/completion/grade spread /borderline cases. The board is asked to discuss grade spreads, trends, borderline cases, fails, withdrawals, and DNCs.

List all the programmes/specialisations/courses and the no: of results to approve using a checklist produced towards the end of each semester. An assessment board statistics report will be tabled detailing number/percentage A's, B's, etc and a report to consider the EPI's for domestic, Maori, Pasifika and under 25s.

Class Code	Class Desc	FY	S1/S2

6.1 Still to Completes

A list of students with STC grades or no grades recorded for courses from [PERIOD CODE/YEAR] will be tabled for consideration. Course/programme leaders are asked to note submission dates for STCs with a rationale for consideration.

6.2 Special Considerations

Special consideration applications will be tabled for consideration. Course/programme leaders are asked to note their recommendations for special passes.

7. STUDENT PROGRESSION

7.1 High Achievers

Run a report from the ARION reporting wizard to get a list of high achieving students.

7.2 Unsuccessful Completion

Run the Programme List (Class by Student) using D% in the grade parameter to get a list of students with D and DNC grades. This report is found under enrolments. Any students who fail more than half of their enrolment year will need permission from the Assessment Board to re-enrol for the following year.

7.3 Repeated Courses

Run the Students Repeating Modules report. This report is found under assessment. Any students, who have failed a course twice, will need permission from the Assessment Board to re-enrol for a third time.

8. RECOGNITION OF PRIOR LEARNING

The board needs to approve the award of RPL credit or receive a report from the delegated authority.

9. APPROVAL OF GRADUANDS

Attach an ARION student progress report listing names and IDs for students who are recommended as eligible to graduate at the next graduation ceremony. If these are not available at the time of the Assessment Board, a sub-committee should be held to confirm the names before they are forwarded to the Faculty Office.

Student ID	Programme	Pathway	Award of Honours/ Distinction/Merit

10. ANY OTHER BUSINESS**11. MEMBERSHIP AND MEETING SCHEDULE**

Note membership of the committee, their roles and departments that they represent. Note who the chair and executive secretary are.

Note meeting schedule for the year

Date of next meeting and agenda closing date

22. APPENDIX 2 SAMPLE ASSESSMENT BOARD MINUTES

The following is a sample minute format as there is no required standard format. Larger programmes or combined programmes agendas will adapt this format to suit their purposes.

[LOGO]

[Insert name(s) or Programmes Assessment Board]

ASSESSMENT BOARD MINUTES

[Insert date, including year

Insert time

Insert venue]

1. ATTENDANCE

Membership should be approved annually and forwarded to the first faculty board. Always append an up-to-date membership list to minutes and agendas.

1.1 Present

1.2 Apologies

1.3 In attendance

2. CONSIDERATION OF THE AGENDA

2.1 Tabled Items:

3. CONFIDENTIALITY/CONFLICT OF INTEREST

4. CONFIRMATION OF THE MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on **[date]** were received and confirmed as a true and accurate record.

5. MATTERS ARISING

5.1 Still to Complete Grades

The following final grades were reported and further extensions approved.

Student ID	Course Code and Name	Period Code and Year	Final Grade and/or submission date

6. APPROVAL OF RESULTS

The following course work results were tabled for approval. Programme Leaders presented the results for approval, and spoke to issues related to retention/completion/grade spread /borderline cases.

Course Details	A+	A	A-	B+	B	B-	C+	C	C-	STC	D	W	DNC	Grand Total	Total Pass	Completion Rate
XXXXX - Research Methodology		6	5	5	1	1	2	2		1				23	23	100.00%

6.1 Still to Completes

ID	Course Code	Course Desc	Submission Date	Rationale for STC

6.2 Special Considerations

Special consideration applications approved/declined and/or noted, including: under examination, conceded pass, still to complete, aegrotat pass.

ID	Course Code	Course Desc	Details of application	Decision

6.3 Educational Performance Indicators

Report on completion and retention for target groups of students (domestic, maori, pasifika and under 25s)

7. STUDENT PROGRESSION

7.1 High Achievers

List of high achievers was received and acknowledged. Students will receive a letter of congratulations from the programme leader.

ID	Year	Period code	Programme	Grade Average
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7.2 Unsuccessful Completion

List of unsuccessful completions was received. *Note Action*

ID	Year	Period code	Programme	Grade Average
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7.3 Repeated Courses

List of students repeating courses was received. *Note Action*

ID	Year	Period code	Programme	Grade Average
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8. RECOGNITION OF PRIOR LEARNING

Report of RPL.

9. APPROVAL OF GRADUANDS

ID	Programme	Major/ Specialisation	Distinction or Merit (PG only)	Approval (confirmed/ declined)

10. ANY OTHER BUSINESS

The meeting finished at [enter the time the meeting finished]

Date of next meeting [enter]

23. APPENDIX 3 SAMPLE COURSE LEADER REPORT

The following is a sample format as there is no required standard format. Larger programmes or combined programmes will adapt this format to suit their purposes.

[LOGO]

Assessment board Course Leader Report			
Course Title		Course Code	
Term/Semester/Year		Occurrence/s	
Course Leader			
<p>RESULTS</p> <p><i>Attach a report of the current results and previous 3 semesters using the ARION Module Results Statistics report or Exam Board Statistics Report</i></p> <p><i>Attach a report of the achievement of Maori and Pasifika students (note: this may be done as a standard report at course or programme level)</i></p>			
<p><u>VARIANCES</u></p> <ul style="list-style-type: none"> • <i>Retention Rates: Are there a significant number of DNC or W grades?</i> • <i>Completion Rate: Identify and comment where pass rate is lower than normal. (AUT target successful completion rate is 84%)</i> • <i>Comment on completion rates of domestic/Maori/Pasifika students and under 25s.</i> • <i>Grade Spreads: Identify any anomalies in grade spread. e.g. grades are not across the full grade map, insufficient higher grades</i> • <i>Reconsiderations: Comment on the number of reconsiderations and the outcome of these.</i> <p>Comments:</p>			
<u>STILL TO COMPLETES (STC)</u>			
Student ID	Submission Date	Notes	
<u>SPECIAL PASSES (S) (CO)</u>			
Student ID	Submission Date	Notes	
<p><u>MODERATION</u></p> <p><i>Attach the moderators reports if applicable</i></p> <p><input type="checkbox"/> Pre-moderation completed</p> <p><input type="checkbox"/> Post-moderation completed</p> <p><input type="checkbox"/> External moderation completed (if applicable)</p> <p><i>Comment on the collegial moderation activities you engaged in for the assessment events.</i></p>			

Comments:

ANY OTHER COMMENTS?

24. APPENDIX 4 SAMPLE PROGRAMME LEADER REPORT

The following is a sample format as there is no required standard format. Larger programmes or combined programmes will adapt this format to suit their purposes.

[LOGO]

Assessment board Programme Leader Report	
Programme/Major/ specialisation	
Term/Semester/Year	
Report from	
<p>RESULTS</p> <p><i>Attach a report of the Programme/Major Exam Board Statistics Report (current and previous 2 semesters)</i></p> <p><i>Attach a report of the achievement of Maori and Pasifika students (note: this may be done as a standard report at course or programme level)</i></p>	
<p>VARIANCES</p> <ul style="list-style-type: none"> • <i>Are there a significant number of DNC or W grades?</i> • <i>Successful Completions: Identify and comment where pass rate is lower than normal. (AUT target successful completion rate is 84%)</i> • <i>Comment on completion rates of domestic/Maori/Pasifika students and under 25s.</i> • <i>Grade Spreads: Identify any anomalies in grade spread. e.g. grades are not across the full grade map, insufficient higher grades</i> <p>Comments:</p>	
<p>MODERATION</p> <p><i>Summarise any areas of concern from the course leaders reports. State what actions arose.</i></p> <p>Comments:</p>	
<p>ANY OTHER COMMENTS?</p>	