

UNIVERSITY *of York*

**Guide to Assessment,
Standards, Marking
and Feedback 2015-2016**

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Introduction

The University's formal procedures relating to the conduct of assessment for taught programmes are embodied in the Ordinances and Regulations, principally Ordinance 6, and Regulation 5. This booklet sets out supplementary policies and procedures that have been established through decisions taken in committee and through case law. It should be read in conjunction with the Ordinances and Regulations. Also included are summaries of the more important administrative procedures, although detailed information on specific procedures is circulated from time to time by Registry Services.

Unless stated otherwise, these procedures should be taken to apply to all assessments leading to awards of the University.

Each edition of the Guide to Assessment, Standards, Marking and Feedback incorporates amendments to policies approved by the University Teaching Committee, the Special Cases Committee, the Standing Committee on Assessment and Senate during the previous academic year. The revised Guide is available to academic and administrative staff, students and external examiners.

This edition (2015/16) includes amendments made throughout 2014/5.

The Guide to Assessment, Standards, Marking and Feedback is also available at:
www.york.ac.uk/about/departments/support-and-admin/registry-services/guide

All staff are advised to check this site throughout the year for a list of any further revisions to the Guide.

Assessment: Principles, Policies and Requirements

1. Assessment Principles

1.1 University assessment principles

Assessment leading to University awards should be based on the principles of

- Equity
- Openness
- Clarity
- Consistency

1.2 Linking principles to policies

Working within the principles, departments are responsible for developing their own policies and procedures in respect of assessment. Policies and procedures must be linked explicitly to the teaching and learning aims and outcomes of the academic programme concerned and to the aims and objectives of the department. They must be designed to ensure that students are treated equitably and should allow students the opportunity to demonstrate that they have achieved the learning outcomes of a programme of study. They must provide a clear framework within which examiners can make judgements on the comparative performance of students.

2. Definitions

2.1 Defining purposes of assessment¹

“Assessment is a complex topic since it involves two distinct aspects. First, it forms an essential element of the learning process. Students learn both from assessment activities and from their interaction with staff about their performance in those activities. This interaction has two elements: a focus on their learning and the extent to which that has been demonstrated in the assessment, and a focus on furthering their learning, which may itself subsequently be assessed. The later element is often referred to as ‘feedforward’.

Second, it is the means by which academic staff form judgements as to what extent students have achieved the intended learning outcomes of a programme, or of an element of a programme. These judgements form the bases for the grading of student performance through the allocation of marks,

¹ Taken from the text of the QAA UK Quality Code for Higher Education, Chapter B6: Assessment of Students and the Recognition of Prior Learning. (October 2013)

grades, and (where applicable) classification, and (provided the learning outcomes have been met) for the award of the credit or qualification to which the programme leads.”

The way in which students are assessed fundamentally affects their learning. Good assessment practice is designed to ensure that, in order to pass the module or programme, students have to demonstrate they have achieved the intended learning outcomes. To test a wide range of intended learning outcomes, diversity of assessment practice between and within different subjects is to be expected and welcomed, requiring and enabling students to demonstrate their capabilities and achievements within each module or programme.

Students need to be aware of the purposes and implications of different assessment tasks and it is important that students know whether the outcomes of each assessment are to be used for formative and / or summative purposes.

2.2 Defining terms

Assessment is usually construed as being diagnostic, formative or summative. Commonly held understandings of these terms are that:

- **diagnostic assessment** is used to show a learner’s preparedness for a module or programme and identifies, for the learner and the teacher, any strengths and potential gaps in knowledge, understanding and skills expected at the start of the programme, or other possible problems. Particular strengths may lead to a formal consideration of accreditation of prior learning;
- **formative assessment** has a developmental purpose and is designed to help learners learn more effectively by giving them feedback on their performance and on how it can be improved and / or maintained. Reflective practice by students sometimes contributes to formative assessment;
- **summative assessment** is used to indicate the extent of a learner’s success in meeting the assessment criteria used to gauge the intended learning outcomes of a module or programme.

An assessment process can, and often does, involve more than one of these assessment purposes. For example, an assessment component submitted during a module may provide formative feedback designed to help students improve their performance in subsequent assessments. An end-of-module or end-of-programme examination or other assessment normally results in a summative judgement being made about the level the student has attained, but any feedback on it may also have an intended formative purpose that can help students in assessment later in their programme, or on another programme.

3. Assessment Policies

3.1 Oversight of assessment policies

Assessment leading to university awards is governed by a regulatory framework, in the University Regulations; and by a set of guidelines, in this Guide. The implementation of the framework and set of guidelines is the responsibility of departments. The monitoring and development of this framework and set of guidelines is the responsibility of the University Teaching Committee and its related sub-committees.

In implementing this framework and set of guidelines, departments are responsible for creating their own local policies and procedures regarding assessment leading to university awards for particular programmes of study. These local policies and procedures must be consistent with the regulatory framework described in the university regulations and this Guide. In particular, they must be consistent with the principles of assessment described in Section 1.1. Local policies and procedures regarding assessment and the making of a University award for a particular programme of study should be linked explicitly to the teaching and learning outcomes for that programme of study, and they should allow students the opportunity to demonstrate that they have achieved these learning outcomes. Furthermore, they must provide a clear framework within which examiners can make judgements on the comparative performance of students.

3.2 Departmental rules on assessment

Departments must comply with University policies on assessment. Where additional departmental policies exist, they must be clearly documented in a durable format (eg. PDF). This information can form part of a departmental or programme specific handbook, but it must be clear which policies and procedures will apply to a given student. Care should be taken when developing departmental policy to ensure that they are consistent with the University's assessment principles of equity, openness, clarity and consistency. Issues to consider for departmental policy can be found in Appendix A.

Departments are responsible for ensuring that documentation about assessment is made available to all staff, students and External Examiners. Heads of Departments must ensure that new members of staff receive appropriate induction to departmental assessment policies and procedures. Documents about programmes, including any assessment policies, should be kept available until at least a year after all students on a cohort have completed their studies.

3.3 Scope of policies

Departmental assessment policy must cover all assessments which formally contribute to an award of the University of York, whether undertaken by students on campus or under other conditions (eg distance learning, placement, exchange). Each department that contributes to a combined

programme of study must consider the performance of combined programme students with the same rigour as for students on a single-subject programme.

3.4 Planning Assessments, Marking and Feedback

In order to ensure assessment policy and good practice are maintained, departments should give as much consideration to the planning of assessment, marking and feedback procedures as they do to the planning of timetabled teaching sessions. Such planning should take into consideration relevant variables, including:

- the need to set appropriate assessment tasks for different programmes/ modules/ levels
- consideration of a range of assessment tasks to support development of a range of skills and to balance marking demands across a programme
- the dangers of over-assessing and therefore creating unmanageable marking and feedback loads
- the availability of resources needed for assessment
- timing of assessment: the assessment for a module should take place during the next available assessment period
- the need to provide clear information to students about the support available to them in advance of assessment
- staff availability/ allocation to assessment and marking duties
- workload balance involved (for staff and students)
- time constraints (including completing marking and feedback within 6 weeks)
- arrangements for marking (i.e. ensuring marking and feedback are planned appropriately for all students and staff).

3.5 Policy approval

Policies and procedures concerning assessment must be approved by the University Teaching Committee in the first instance. Any subsequent changes to these policies and procedures are subject to the approval of the Committee. The University Teaching Committee may, at its discretion, require revisions to a department's departmental assessment policy in the light of the University's requirements on assessment and good practice in higher education.

3.6 Policy review

Departments are required to review policies and procedures concerning assessment on a regular basis, in the light of the reports of External Examiners. They must ensure particularly that policies and procedures have been implemented consistently, have contributed to the achievement of the outcomes of the degree programmes concerned, and continue to be appropriate to the aims and objectives of the department.

4. Assessment Requirements

4.1 Language of assessment

Except where proficiency in another language is being assessed, or the assessment forms part of an Erasmus exchange programme, all assessments for awards of the University of York must be conducted in English, unless prior consent has been obtained from the Standing Committee on Assessment (or University Teaching Committee at the point of programme approval). Exceptions will be considered only where it can be assured that the academic standards of the assessment are not compromised, where sufficient language expertise exists among the examiners (including the External Examiner), and where the arrangement does not create a lack of equity among students. Assessed work should not be translated prior to marking. This applies equally to collaborative programmes. See UK Quality Code for Higher Education Chapter B6: Indicator 11.

4.2 Conflicts of interest

All personnel involved in the assessment of students, or in administering assessment, are expected to act with the highest standards of probity in this regard. Potential conflicts of interest should be declared at the earliest opportunity to the Chair of the relevant Board of Examiners, who will decide on the appropriate course of action. Serious conflicts of interest affecting External Examiners or the Chair of the Board of Examiners should be notified at the earliest opportunity to the Examinations Office. In determining whether a set of circumstances amounts to a conflict of interest, the test should be whether an outsider, aware of the facts, could reasonably consider that the assessment process might be compromised by the potential conflict of interest.

4.3 Individual assessment arrangements

4.3.1 Procedure

Recommendations for any variation of the standard examinations procedures must be approved by the Standing Committee on Assessment. In the event of dispute, cases may then be referred to the Special Cases Committee.

Requests for individual arrangements may need to be considered by several members of the committee, and students and departments are asked to submit requests in good time to allow thorough consideration.

In the case of individual assessment arrangements, a recommendation on behalf of the Board of Studies should be submitted to the Examinations Office, supported by a Student Support Plan and any appropriate documentation. Detailed guidelines on the process for accessing individual

arrangements in University examinations are on the web at www.york.ac.uk/students/studying/assessment-and-examination/taking-an-exam.

The process of applying for individual arrangements for assessment for elective modules is the same as that for other academic study. It is the responsibility of the student to ensure that the department in which they are undertaking study – particularly in the case of an elective module – receives the appropriate information in a timely manner so that it can consider the recommendation for an individual arrangement on the student's behalf.

The above procedures also apply to the rescheduling of examinations in individual cases. Students requiring individual assessment arrangements whilst studying abroad should work with the study abroad office to ensure that they follow the appropriate procedures at their host institution.

4.3.2 *Extra time allowance*

Students with a contemporary formal diagnosis of relevant disabilities, who request extra time in examinations and who have the support of the appropriate Board of Studies, will normally be permitted up to 25% extra time on the standard time allowed on any closed University examination of up to three hours' duration and for open assessments of up to 48 hours duration. The recommendation to the Standing Committee on Assessment, on behalf of the Board of Studies, should be submitted to the Examinations Office supported by a Student Support Plan. Applications relating to students following combined programmes should come from the Combined Board of Studies. Where it is considered that an exceptional case exists for extra time beyond these limits, Boards of Studies must make a specific recommendation for each paper based on quantitative assessments of the amount and intensity of reading and writing involved in the particular paper, together with various contributing factors (eg the candidate's writing speed), and demonstrating compatibility with the learning outcomes being assessed. Boards may wish to consider alternative assessments that may be appropriate for individual students as an alternative to extra time.

4.3.3 *Spelling / grammar stickers*

When a student has a certified disability that recommends they should not be penalised for errors of spelling or grammar in a closed examination or an open assessment and the recommendation is agreed by the Board of Studies to be consistent with relevant published module and/or programme learning outcomes, the following procedure will be adopted. A standard sticker wording will be prepared by the Examinations Office and distributed to the departments. The Boards of Studies should ask students who have been professionally assessed and found to have such a disability for written confirmation that they wish to have stickers placed on their assessments. Requests from students wishing to have stickers on their work should be forwarded to the Standing Committee on Assessment for approval. Once approval has been given the stickers can be placed on assessments by departmental administrators prior to marking. The stickers will alert the marker that the student has such a disability and that errors of spelling or grammar should be ignored.

All departments are expected to comply with this process, and it must be applied to all eligible students on all taught programmes.

4.4 Abiding by announced assessment programme

Throughout their programme of study, students should be subject to the broad principles of assessment that were in place at the time they began the programme. Where individual students interrupt their period of study (for example, through leave of absence) departments are not expected to maintain particular assessment procedures. This recommendation does not preclude changes during a programme of study, but these should be the exception rather than the rule.

All students are expected to undertake the assessment as outlined in module documentation unless they have been formally notified otherwise by the Board of Studies or by Registry Services.

Any variation in the assessment regime described in module documentation available to students at the time module choices were made constitutes an 'exceptional' programme modification and must be approved by the University Teaching Committee. Such variations include modifications to the timing of assessment as well as its nature (see the document 'Approval of Modifications to Existing Programmes of Study' which is available at www.york.ac.uk/staff/teaching/programme-development/programme/modify).

Requests for such modifications will normally be approved only if either:

a. all students involved have been consulted and given their written consent for the change;

or

b. the department can provide evidence that no student on the module (including visiting students and any students taking the module as an elective) will be disadvantaged by the change.

Requests may have to be considered at a full meeting of the University Teaching Committee and departments are asked to allow for the timings of committee meetings if they wish to propose changes of this type. The same principle applies to modifications to the published teaching timetable and to assessment regulations of a programme of study for an existing cohort of students.

4.5 Non-written or non-recorded work

Assessment that is not based on written or recorded work should not comprise in total more than 12.5% of the weighted contribution to the final award. Any divergence from this principle requires the approval of the University Teaching Committee. Programmes that include practice elements are exempt from this rule. Combined Boards of Studies must ensure that the 12.5% principle is not violated in a combined programme as a whole.

4.6 Assessment governing 'mixed student' modules

For the purposes of this document, 'mixed student' modules are defined as modules in which students from more than one department are being assessed. Where a module is taken by students from more than one department, all students will be governed by the assessment rules of the department offering the module. Departments should make available to incoming students full details of the assessment methods, the criteria and standards, the timing of submission of assessment and the release of results, to ensure that students are aware of specific departmental practices when choosing their module. Departments should also ensure that incoming students are made aware of departmental policies regarding accessibility, presentation of work, referencing conventions, and extensions.

Chairs of Boards of Studies of the home department should ensure that marks will be available in good time for the Board of Examiners meeting before approving an elective request.

4.7 Agreed penalties

4.7.1 Deadlines for assessed work

Deadlines for assessed work must be published in a format that is accessible to students. All work submitted late, without valid mitigating circumstances, will have ten percent of the available marks deducted for each day (or part of each day) that the work is late, up to a total of five days, including weekends and bank holidays e.g. if work is awarded a mark of 30 out of 50, and the work is up to one day late, the final mark is 25. After five days, the work is marked at zero. Note, however, that the penalty cannot result in a mark less than zero.

Departments are advised not to set Friday deadlines for the submission of assessed work. In order to ensure equity for students, the facilities for handing in student work should be open for a minimum of three hours prior to the deadline for submission, and any students in a queue to hand in work at the deadline should be able to hand in the work without penalty.

4.7.2 Other penalties

Any other penalties (e.g. for over-long essays) must be published in a format that is accessible to students in the relevant programme information..

4.7.3 Pass/fail modules and components

The penalty for submitting late on a pass/fail module or on a pass/fail component is a fail. Failures in pass/fail modules cannot be compensated, but can be re-assessed (if the module is defined as re-

assessable). Departments should be aware of the consequences of failure of non-reassessable pass/fail modules when designing programmes.

4.7.4 Reassessment – failure to submit an assessment or attend an examination

Where a student, with no valid mitigating circumstances, has failed to submit an assessment by the deadline + 5 days or has failed to attend an examination, a mark of '0' will be awarded (see 4.7.1). The student will be given the opportunity for reassessment except where a module is defined as non-reassessable in accordance with Regulation 5.2 (c) and (d). However, if the examination or assessment missed is already a re-sit or re-assessment to redeem an initial failure, no further re-assessment opportunities will be available without proof of mitigating circumstances.

4.8 Academic Integrity

4.8.1 University's Online Academic Integrity Tutorial

All students are required to complete successfully the University Online Academic Integrity Tutorial within the first year of their programme of study. (See Regulations 2.6 (c) 2.7.7 and 6.5 (c).) Confirmation of successful completion is required for:

- a. undergraduates at the end of their first year, in order to be able to progress;
- b. Students on postgraduate taught before their first assignment is marked, although submission of the assignment will be accepted regardless of whether the student has completed the tutorial;
- c. candidates for the degrees of MPhil and MA/MSc by research, when the thesis is submitted for examination;
- d. doctoral students, when confirmation of enrolment is submitted.

Registry Services will not process a student's results, or their confirmation/progression decisions, or send any thesis they submit for a research degree to the examiners, until this confirmation has been received.

The Online Academic Integrity Tutorial should be used in combination with departmental or discipline-specific guidance as part of more general academic skills training and educating students about plagiarism. Departments are encouraged to require their students to undertake the Tutorial in the Autumn Term prior to submission of their first assessment.

4.8.2 Academic Misconduct

The academic misconduct policies, guidelines and procedures are given at: www.york.ac.uk/about/departments/support-and-admin/registry-services/academic-misconduct. These should be read in conjunction with the Regulations, and include guidance on advice to students and departmental responsibilities.

Departments must ensure that students are aware of all issues relevant to academic misconduct before they undertake or prepare work for assessment. In particular they should draw students' attention to the requirement to complete successfully the Online Academic Integrity Tutorial. Students must be provided with explicit written guidance as to where the boundary lies between permissible mutual assistance and inappropriate collusion in open assessments. Boards of Studies should:

- a. include specific statements in student handbooks about how to avoid committing academic misconduct while maintaining the pedagogical value of legitimate collaboration in electronic and other environments;
- b. take steps to ensure that all members of the Board of Studies and all those involved in the marking process are aware of the University's guidelines on academic misconduct;
- c. consider modifying assessment practices to reduce opportunities for academic misconduct;
- d. require students to maintain appropriate, verifiable hard-copy records of progress on empirical research projects (eg a bound Lab Book) which a party other than the candidate can verify, and to be able to make this available at any point to supervisors and internal or External Examiners;
- e. review annually their academic misconduct guidelines to their students, eg at the first meeting of the Board;
- f. designate members of staff responsible for ensuring compliance with the University's expectations regarding students and academic misconduct and to serve on the faculty's Standing Academic Misconduct Panels.

4.8.3 Staff submission of student work to SafeAssign® or Turnitin®

To ensure the highest levels of academic integrity and in line with University Regulation 5.7b staff have the facility to submit student work to the text matching packages – SafeAssign® and Turnitin®. In accepting the University Regulations on admission, students have agreed to the University's use of these software packages. However, as submitting student work to these software packages involves sharing student work and data with a third party, departments and staff should :

- a. clearly state their policy regarding the use of SafeAssign® or Turnitin® to all students in programme and module information.

b. Follow the VLE guidance available at 'Setting up the TurnitinUK® assignment tool'.

OR

'Setting up a SafeAssignment® submission point'

4.9 Notification of results

Departments should publish their policies for timing of notification of results to students in programme documentation. Undergraduate students should be notified at least five weeks prior to the date of a resit period that they will need to resit an assessment. Postgraduates need to be informed at least three weeks prior to the reassessment. Where a taught postgraduate programme requires students to pass the taught component in order to progress to a research project, resit or other arrangements of compensation should normally be such as to allow successful students to graduate with their cohort.

4.10 Conduct of assessment administered at departmental level

4.10.1 Assessment conditions

Tests, examined practicals and similar types of examination should, as far as possible, be held in the same conditions as those for closed formal examinations. In particular, attendance should be checked and recorded, there should be adequate invigilation and a member of staff should record receipt of the scripts at the end of the examination.

4.10.2 Record-keeping

A record should be maintained indicating receipt by the department of all essays, reports, projects and similar written work. Departmental and student handbooks should make it clear that students must keep Laboratory Books or other appropriate records of project work until their degree is complete.

4.10.3 Submission of assessments in electronic formats

Departments should decide how assessed work submitted electronically and without an identical paper-based version is to be receipted and assessed. They must also ensure that the work can be retained as submitted for a minimum of one year and a maximum of six years.

Departments allowing or requiring students to submit assessed work by email should note that the IT Service is unlikely to be able to resolve a claim made by a student to have submitted work which the department believes not to have received. Fail-safe procedures must be implemented for any such system, e.g. the named member of staff responsible for receiving the work must email each student to acknowledge their submission, and students must be warned to enquire further if they do not receive such an electronic 'receipt' within a given period of time.

4.11 Retention of assessment papers/evidence

4.11.1 All material relating to assessment contributing to an award of the University should be kept for at least one year after the relevant examinations have been completed, that is to say, after the meeting of the Senate or (for undergraduate Certificates and Diplomas) the Standing Committee on Assessment at which the results were confirmed.

4.11.2 All written or recorded work contributing to the final award should be available for external examination or comment. Where such work has been returned to students, students are responsible for retaining it in a portfolio for possible future external scrutiny. Departments are responsible for alerting students to this requirement, which is particularly important in relation to the award of Aegrotat degrees.

4.11.3 Where such marked work is returned to students, departments should consider retaining photocopies of a sample of scripts for quality assurance purposes, and advising students that they do so.

4.11.4 Departments should not return answer scripts to closed examinations that contribute to the final award; however, departments are encouraged to permit students to have supervised access to their own answer scripts as a means of feedback. In reaching a decision on whether to do this, Departments should consider whether access to scripts is likely to be useful to students, or whether alternative forms of feedback would be more effective. Departments are free to devise their own schemes for managing access (eg deciding whether access occurs on a given day for any student, or only for students who make a specific request; whether access is allowed only for specific groups; how requests will be managed) subject to the following principles:

- the possibility of access should be advertised to all students to whom it is open
- no fee should be charged for access to scripts
- students may not photograph or copy their answers during access
- alteration of an exam script constitutes academic misconduct, with the possible penalty of a zero mark for the exam

- access may be supervised by research students, administrative staff, or academic staff, bearing in mind the requirements of anonymity
- individual requests for access to the exam scripts should not be granted unless the department has agreed to grant access as part of the feedback strategy.

Students should be reminded that they have no right of appeal against the academic judgement of examiners. However, any clerical or procedural errors identified by the students as a result of access to their script should be reported immediately in writing to the Chair of the Board of Examiners responsible for the module. The Chair or nominated deputy should investigate and exercise academic judgement to determine whether further action should be taken. Such judgements should be made in the context of the cohort of students taking the module. The student should receive a response in writing.

4.12 Assessment of study away from York

Special measures are required for the assessment of materials based on study abroad and work placements, and the following recommendations are made.

- Study Abroad – North American, Erasmus exchanges and any other study abroad should have clear statements of particular arrangements for assessment and how these relate to proposed incorporation within a programme of study. These statements should be available before any exchange is undertaken.
- Placement – Placements rarely involve closed assessment. Any external organisation involved in assessment should receive full written guidance on the conduct and requirements of assessment in advance of the placement beginning. It is good practice for any open assessment from a placement to be second-marked from within the University, however it is recognised that in some cases a component of assessment will be within the hands of the placement organisation (eg conduct) and then second marking is not possible. In such cases there should be an inspection visit.
- Distance Learning – Consideration should be given to an appropriate balance between open and closed assessments to guard against the possibility of academic misconduct.
- For information on the conduct of distance examinations, see section 5.12.

4.13 Assessment of visiting students

For the purposes of this document, visiting students are defined as students of another University (almost invariably overseas) who are admitted for up to one year to take modules at York which are then normally recognised for credit as part of the degree programme at their home institution.

a. Visiting students are required to submit all required assignments and written work and/or to attend any examinations which constitute the normal assessment regime for the module(s) for

which they are registered. A fail mark will usually be issued for a module if the student has not met this requirement, but see also 4.13.b and 4.13.c.

b. The above expectation should normally only be varied in cases where:

- i. the standard assessment is an examination scheduled for a time after the student has left the University, or
- ii. a module has been shortened in order to allow a student to take elements of the module without completing the full module requirements.

In the case of examinations, departments should substitute some other form of assessment designed to establish whether the expected learning outcomes of the module have been met. This may be a special examination to be sat by the student prior to leaving the University, or some equally rigorous written assessment. Because of the inherent logistical difficulties, every effort should be made to avoid students sitting examinations after leaving York. Where this is unavoidable, the principle outlined in paragraph 5.12 must be adhered to. However, the examination may be scheduled to take place at a later time than the examination at York if the student's home University states in writing that it is willing to accept the risk of collusion.

For a student to be allowed to take a module of shortened length, the department should ensure that the Board of Studies has approved a new module form detailing the module credits, learning outcomes and methods of assessment as a minimum. This form should then be forwarded to Registry Services for set up in SITS.

c. Where it is not possible to meet the requirements in 4.13.a or 4.13.b, and where students are unwilling to submit to the normal assessment regime for a module, the student should be informed that they will be deemed to have failed the module and a fail mark will be recorded on the student's academic transcript. Exceptions may be made in the following circumstances:

- subject to the agreement of the department concerned, a student may take a module on an 'audit' basis provided that he or she requests to do so by the end of the third week of the term in which the module begins;
- such requests should only be agreed to if the student provides a written statement from his or her home University approving the request;
- requests to audit modules received after the third week of term will not be accepted;
- students will not receive credit for any modules taken on an audit basis.

d. Visiting students are required to register for modules which constitute the normal full credit load for the period they are at York. Exceptions may be made in the following circumstances:

- where a student is required to undertake academic work for his or her home university, subject to the agreement of the department(s) concerned, or where a student is studying at York for the equivalent of one semester at his or her home institution, a student may take fewer credits than the normal full load providing:

- i. the student requests to do so by the end of the third week of his or her first term;
- ii. the student's home University provides written permission and a clear statement confirming the proportion of the student's annual credit load which this work represents;
- iii. the combined credit load of home and host University is approximately a normal full credit load.

It is not possible to drop modules after the third week of term. A fail mark will be issued on the academic transcript for any modules remaining on a student's record for which assessments have not been completed.

- subject to the agreement of the department(s) concerned, a student may take more credits than the normal full load (normally up to a maximum of 60 credits in a term, 110 credits in two terms or 140 credits in three terms, excluding credit for Languages for All courses and modules) provided that he or she requests to do so by the end of the third week of his or her first term. Such requests should only be agreed to if the student provides a written statement from his or her home University approving the request. Requests received after the third week of term to add modules should not be agreed to.

e. In order that academic transcripts for visiting students can be issued in a timely manner, work submitted by visiting students should normally be marked as soon as possible after it is received even if this is in advance of the normal submission deadline. For the same reason, the Standing Committee on Assessment has agreed that marks for non-award-seeking (visiting) students need not be ratified by an External Examiner, but will be ratified internally (by the Chair of the Board of Studies, the Chair of the Board of Examiners or the Head of Department) prior to submission for academic transcript production.

f. Opportunities to retake or resit modules are not available to visiting students after leaving York, and it is important that home institutions have ensured that alternative arrangements to deal with any assessment results that do not meet the requirements of a student's degree programme at their home University (eg arrangements for the gaining of credit) are in place before study is undertaken at York.

g. Any variations in the above requirements for the assessment of visiting students must be approved in advance by the Standing Committee on Assessment.

4.14 Student attendance and participation

Marks or grades should not be awarded to students purely to incentivise or reward attendance i.e. purely for turning up. This approach to addressing student engagement issues is not permissible because:

- it is an inappropriate approach for an academic institution which espouses independent learning;
- addressing an attendance problem by awarding marks may mean underlying issues in a programme or module are ignored;
- awarding marks for attendance leads to grade inflation;
- penalising students for missing classes may result in far more appeals for mitigating circumstances and staff being asked to make ever more complex judgments about what is a reasonable excuse for absence;
- awarding marks for attendance means increasing student's extrinsic rather than intrinsic motivation which can be counter-productive to developing life-long learners.

Providing marks for 'participation' should also be considered with caution. Such practice may contribute to grade inflation if it is unstructured. In addition, such practice may negatively affect inclusivity resulting in a student perception that such marks are unfair.

Where assessment of student engagement or participation is included in modules to ensure student achievement of programme learning outcomes (e.g. development of debate skills in seminars; fulfilling professional responsibility to a group task), what constitutes 'participation' i.e. the aspects to be judged, need to be clearly defined beforehand (criteria); the expectation for participation at different levels (i.e. 1st year; 2nd year; 3rd year; Masters; PhD) needs to be specified and fully understood by staff and students; and students should have formative opportunities to perform and receive specific feedback (oral or written) on improving their performance.

Assessment Formats

5. Closed Examinations

5.1 Information about closed examinations for students

The Examinations Office issues a 'Students' Guide to University Closed Examinations' for students sitting formal examinations at York for the first time. The Guide is available at www.york.ac.uk/students/studying/assessment-and-examination/taking-an-exam.

5.2 Clarity of instructions and questions

Staff should make every effort to ensure that examination instructions and questions are clear and easily understood by the students. For guidance on this area – see Appendix L.

5.3. Security of examination materials

The security of examination materials is of the utmost importance and departments should have procedures in place to communicate with colleagues and External Examiners, as well as to store examination papers and scripts during the assessment process. Draft exam papers must be treated carefully to avoid compromising the security and validity of the paper before the examination. The use of computers to draw up examination papers means that careful attention must be paid to the security of the PC used to write questions or assemble the paper. Departments are encouraged to undertake regular reviews of their processes. The IT Service has provided user-friendly guidelines on encrypting sensitive Word documents, available at <http://www.york.ac.uk/it-services/it/security/encryption/>.

Examination question papers for printing should be delivered personally to the Examinations Office and a receipt obtained; they should never be sent through the internal mail. Answer scripts should be delivered by hand to their destination within the University and a receipt obtained, or by registered post or similar secure means to destinations outside the University. If completed examination scripts must be sent via mail before marking has been completed, copies of the original scripts (either hard copies or scans) should be taken to protect students in the event that scripts do not arrive safely at their destination. More detailed information about maintaining security in the preparation of examination papers is issued annually and guidelines for staff and departments are provided at www.york.ac.uk/staff/teaching/key-areas/assessment/examinations/security.

Advice can also be provided by Dr Arthur Clune, Systems Security Advisor in IT Services (01904 323129 arthur.clune@york.ac.uk).

5.4. Examination scheduling and timetabling

a. University examinations for Undergraduate students are scheduled in Spring Week 1 and Summer weeks 5-7.

Examinations for Postgraduate Students should normally be scheduled during the Common Assessment Periods, with an additional resit week provided in Week 10 of Summer Term but departments may decide to hold examinations, particularly resit examinations, departmentally in order to accommodate the quick turnaround periods required by the intense nature of PGT study. These exams must be invigilated to the required standard, and trained invigilators can be provided by the examinations office at the department's expense.

b. Examinations will be timetabled according to the following restrictions:

- Timetabled examinations will be held in one of three available 'slots' in each day of the Common Assessment Period. These are normally:
 - 9am (with standard scheduled durations up to 3 hours)
 - 1:30pm (with standard scheduled durations up to 3 hours)
 - 6pm (with standard scheduled durations up to 1.5 hours)
- Students will not be required to sit more than two exams per day
- Total exam duration for any individual student will not exceed 10 hours per day or 16 hours in 2 days (including extra time as adjustment for any disability)
- Additional time in examinations is added on to the end of the advertised time, which may impact on the break available between examinations if a student has more than one examinations scheduled per day, though reasonable attempts will be made to accommodate at least 1.5 hours between examinations.

c. Examinations may be timetabled for any day falling within term time. Saturdays are regularly used, and the use of Bank Holidays may also be necessary depending on the volume of examinations to be scheduled. Examinations are normally scheduled Monday to Saturday between 9.00 am and 7.30 pm. However, they may be scheduled up to 8.00 pm where necessary.

d. University-administered examinations will have the following durations: one hour; one hour and thirty minutes; two hours; two hours and thirty minutes; three hours. Departments unable to comply with these examination lengths may arrange and invigilate their own examination sessions to the required standards.

e. A provisional examination timetable is issued for each Common Assessment Period. This timetable is available on the web and individual student timetables are available on e:vision. It is the responsibility of departments to ensure their students check their timetables and can raise any concerns they have with the appropriate departmental staff.

5.5 Examination candidate numbers

- a. As part of the operation of the University's anonymous marking policy students are identified only by their examination candidate number until marking has been completed. Examination candidate numbers are the only 7-digit number appearing on the student's University Card, are automatically generated from the student records system at enrolment and are carried forward from year to year.
- b. It is important to ensure that examination candidate numbers remain secure. Departmental staff involved in the examining process must maintain the confidentiality of students' examination numbers. Students should be advised that they must keep them confidential and the importance of not entering their name in addition to their number on any closed or open assessment should be emphasised.

5.6 Establishing student identity

- a. Candidates are required to display their legible University Card on their desks throughout an examination; photographs on the cards will be checked by invigilators in the first 30 minutes of each examination.
- b. A candidate unable to produce their legible University Card will have this noted on their examination script before it is submitted. The candidate will be required to provide a specimen signature in the examination room. In addition the candidate will be required to provide two forms of identification, one of which must be their legible University Card and one of which must evidence their signature, to the Examinations Office within one working day of the examination session. Except with the express permission of the SCA, candidates who do not provide suitable identification to the Examinations Office within the specified time frame will be deemed not to have attended the examination and their script will not be marked.
- c. In order to confirm, in a sensitive manner, the identity of students who veil their faces, it is essential that departments inform the Examination Office in advance that a veiled student will be sitting an exam. An identity check will be conducted by a female member of the invigilation team or Examinations Office staff, in a separate private room, against the student's photograph held in the University's database. Except with the express permission of the SCA, failure to agree to this procedure to establish the student's identity will result in the student not being permitted to sit the examination.
- d. Any person found to be impersonating a student in an examination and whose identity is unknown will be reported to the police. This will normally be done by the Academic Registrar, or the Registrar and Secretary, or, if the incident occurs out of normal working hours, by an appropriate deputy.

5.7 Invigilation

- a. The agreed ratio of invigilators to students in University examinations is two invigilators for between 2 and 50 students; three invigilators for between 51 and 100 students; four invigilators for between 101 and 150 students and five invigilators for 151 students or more. Variation of these ratios is at the discretion of the Examinations Office, in consultation with the Chair of the Standing Committee on Assessment where appropriate.
- b. Short training sessions for invigilators are offered by the Examinations Office prior to the major examination periods. All new invigilators are required to attend a training session before being permitted to invigilate.
- c. Invigilators are responsible for the enforcement of the regulations and policies that govern the conduct of invigilated examinations. A senior invigilator, appointed by the Examinations Office for each examination session, takes overall responsibility for the conduct of the examination and the invigilation process, including ensuring that the number of examination scripts collected matches the total receipted by departmental representatives.
- d. A full set of information on relevant policies and procedures is distributed to all invigilators in advance of their session and copies are available in each examination room. A copy is also available on the web www.york.ac.uk/staff/teaching/key-areas/assessment/examinations.
- e. All invigilators should be present in the examination room at least fifteen minutes before the start of each session and are expected to give their undivided attention to the surveillance of candidates during examinations. Invigilators should patrol the examination room at intervals to minimise the risk of candidates cheating and to check that candidates are using only the additional materials permitted by Boards of Examiners for particular examinations.
- f. Invigilators have the power to require any candidate to leave the examination room for good cause and must submit a written report on the circumstances to the Registrar.
- g. The exam-setter or his/her proxy must either be present or available by telephone throughout the relevant exam session unless specific permission to waive these requirements has been sought from the Standing Committee on Assessment in advance of the examination.
- h. It is important that the one-to-one relationship between the candidate and their script is maintained. Candidates who finish early should not be permitted to leave before their script has been collected by an invigilator. At the end of the examination, invigilators must ensure that students remain seated at the end of the examination until all the scripts are collected by the invigilators.

5.8 Use of the Professional Invigilation Team

- a. Registry Services appoints, trains and manages a team of professional invigilators drawn from suitably qualified persons not currently employed on the University's salary scales for Academic Research or Teaching staff including a team of professional Senior Invigilators, with the

approval of the Standing Committee on Assessment. Departments may nominate invigilators if they wish.

b. Recommendations for the proposed invigilator(s), using the form available on the web at www.york.ac.uk/staff/teaching/key-areas/assessment/examinations and signed by the Chair of the relevant Board of Studies, should be submitted to the Examinations Office.

c. Departments may be asked to meet the costs of using additional invigilators to support arrangements such as those outlines in 5.9.a.iv.

d. The Examinations Office is responsible for the formal appointment and general briefing of the professional invigilation team.

5.9 Materials and resources permitted in examinations

a. *Permitted materials*

The following material is permitted on a candidate's desk in an invigilated examination:

- i. A clear pencil case or clear plastic bag, which may contain:
 - Pens
 - Pencils
 - Rubber
 - Pencil sharpener
 - Ruler
- ii. A small bottle of still water
- iii. University Card
- iv. If permitted by the department, open books, dictionaries (see below), calculators (see below), other materials.

It is the student's responsibility to ensure that dictionaries or other approved books that they are permitted to bring into an examination room do not contain illicit material (see section 6.2.5).

b. *Dictionaries*

Except where proficiency in a language other than English is being assessed, or a special case has been made to the Standing Committee on Assessment on the basis of the learning outcomes of the module concerned, University Teaching Committee has agreed that candidates will not be permitted to bring individual dictionaries into examinations. If departments wish candidates to have access to a dictionary, this must be included in the examination rubric and the department must provide staff to distribute the dictionaries throughout the examinations.

c. Calculators

In addressing the difficulties arising from the use of calculators in University examinations, the Examinations Office has a standard calculator (Casio fx-85ES or fx-85GT) that is distributed to those students for whom a calculator is necessary in the completion of particular examination papers. Departments should advise the Examinations Office that they will require these calculators to be available to candidates at the time of submission of the relevant examination paper. Candidates will not normally be permitted to bring their own calculators into formal examinations except where departments make prior arrangements for this with the Examinations Office.

Departments should ensure that students are informed in good time of the model of calculator that will be provided so that they can familiarise themselves with its use before the examination. Details and instructions for the use of the calculators are available at www.york.ac.uk/students/studying/assessment-and-examination/taking-an-exam/what-to-bring and departments may wish to include this information in the relevant student handbooks.

Departments requiring candidates to use a calculator in a University examination, and wishing to provide a different model of calculator to their candidates must advise the Examinations Office in advance of the examination that they will be doing so. If the department is supplying substitute calculators to students under examination they must undertake to check in advance that these do not hold any additional information, nor could be subsequently programmed to do so.

If the use of students' own calculators is to be permitted in a formal University examination then departments must provide staff competent to check such calculators to ensure they do not hold any additional information, nor could be subsequently programmed to do so, in the period after the candidates have entered the examination room and before the examination begins.

Arrangements regarding calculators may differ slightly for distant examination centres; see section 5.12.

d. The use of electronic devices in examinations

Departments should be aware of the potential misuse by examination candidates of small data storage units capable of holding large quantities of text, as well as numerical and scientific data.

All departments should ensure their students are aware of and understand the current regulations relating to academic misconduct, in particular that failure to comply with the instructions regarding electronic devices constitutes academic misconduct.

Candidates are not permitted to bring mobile telephones, electronic diaries, electronic dictionaries, data-bank watches or other data storage units into formal examinations. An announcement to this effect must be made at the beginning of each examination session and reiterated in the "Notes to Invigilators" issued to each examination invigilator by the Examinations Office. Invigilators should

ensure that any such devices inadvertently carried into an examination room are made inaccessible to students during the examination session.

Exceptions to this requirement will be permitted only if formal approval has been sought from and granted by the Standing Committee on Assessment in advance of the examination session(s) in question.

5.10 Behaviour in examinations

a. Candidates should be allowed to leave the examination room only for good reason and should always be accompanied by an invigilator.

b. Any form of cheating or deception, including plagiarism, collusion and the fabrication of marks or data in relation to work submitted for assessment or examination at any stage of a student's programme, is academic misconduct, and will be treated as such.

Extracting pages from bound examination answer booklets is regarded as academic misconduct.

c. Candidates may not bring written or printed material or equipment, including calculators, into the examination room for an invigilated examination unless provision has been made for this and the items in question have been approved by the examiners (see sections 5.9 and 6.2.5).

d. Candidates found taking illicit material into closed examinations or possessing such material in a closed examination will, at a minimum, receive a mark of zero for the paper.

e. Candidates may use examination scripts or booklets for rough work but should be informed that it is their responsibility to cross out such rough work before handing in their paper.

f. Candidates may not communicate with anyone except the invigilator during an invigilated examination.

g. Candidates may enter the examination room up to half an hour after the start of the examination, and thereafter only in exceptional circumstances and with the permission of the invigilator. Except in exceptional circumstances such candidates should finish their examination at the scheduled time.

h. No candidate may leave the examination hall less than three-quarters of an hour after the start of the examination except with the permission of the invigilator. Candidates may not leave the examination hall during the last 15 minutes of an examination.

i. Smoking (including the use of electronic cigarettes) is not allowed during examinations.

5.11 Absence or illness from closed examinations

a. It is the responsibility of students to present themselves for examination as required by Regulation 5.5 (e).

b. A candidate taken ill prior to or during the period of an examinations must contact his or her medical practitioner immediately and obtain a medical certificate which should be forwarded without delay to the departmental administrator. This must happen before the examination results are considered by the appropriate Board of Examiners. The department will submit the evidence to the relevant mitigating circumstances committee to consider the claim.

c. Where candidates are taken ill during an invigilated examination, whether it is departmentally or centrally administered, the "Illness During Examinations" form (pads available from Registry Services) should be completed and a copy given to the candidate to take to the Medical Centre. Actions taken should be recorded on the Examination Information Sheet, or equivalent in the case of an examination administered within a department.

5.12 Conduct of distant examinations

The University's procedures for security, conduct and invigilation must be adhered to during examinations taking place at a distance.

a. Unless other arrangements are approved by the Standing Committee on Assessment in advance, the timing of formal examinations must ensure that all examinations for the same module, no matter in which country they are taking place, begin at the same time GMT. Where this is not practical (e.g. the same examination taking place in the UK, USA and India), then the candidates at one or more overseas locations must be chaperoned so they are unable to make any contact with individuals at a different site who are sitting the examination at a different time GMT.

b. Examiner availability during the distant examination is essential, even if the examination is conducted in a different time zone. A mechanism for immediate contact with York should queries arise during the examination must be established in advance.

c. All examination practices with regard to special arrangements, toilet supervision, arrangements for the treatment of candidates who arrive late or wish to leave early, and the use of calculators and dictionaries, should follow the guidelines in the Guide to Assessment for the current year. Where appropriate, the Standing Committee on Assessment may approve provision of a basic calculator (i.e. standard arithmetical operations only, and no memory retained at 'switch-off') in place of the standard University calculator.

d. Special arrangements involving computer or amanuensis support must be approved by the Standing Committee on Assessment in advance (see section 4.3), and an assurance received that proposed invigilators have been carefully selected and have received adequate training.

e. Appeals from all students (including distance learning students) are covered by the Special Cases Committee procedures. Students making appeals are always invited to submit a written statement and may be invited to attend a hearing in person, but where this is not practicable telephone or video-conferencing arrangements may be made. In every case a student may be accompanied by a registered student or employee of the University and/or either a Sabbatical Officer of the Students' Union or the SU Education and Welfare Support Co-ordinator or, for

postgraduate students, an officer of the Graduate Students' Association (see Regulation 2.8.4 (d) and 6.7.4 (c)).

6. Open Book Examinations

6.1 Purpose

Open book examinations (where students are allowed to bring certain specified papers / books into the exam) aim to reduce reliance on memorising information which in life is often very accessible eg formulae, law statutes. This allows more time in the exam for higher level tasks eg displaying understanding through using basic information available to solve problems; choosing and applying appropriate formulae to specific tasks. Open book examinations are more suitable where the aim is to test what students can do with the information to which they have access, rather than whether they can recall basic information.

6.2 Procedures

Where open book examinations are arranged as central examinations, the same procedures should be followed as for Closed Examinations (see Section 5) with the addition of the following:

6.2.1 Pre-exam information regarding open book materials

Students should have explicit information well before the exam about which materials they will be allowed to bring into the exam and about expectations for use of materials in the exam eg referencing.

Staff should take care to only specify materials to which all students will have access.

The materials allowed to be brought into an open book exam should be specified by the module leader clearly on the exam paper. Specifications should include:

- specific texts / book titles / editions, if required
- types of notes / formula sheets / revision sheets permitted
- technical equipment, if required.

6.2.2 Arrangements for the exam

Consideration should be given to accessibility issues such as a student's ability to handle multiple books / papers in an exam, suitability of exam room furniture, spacing and time allowances for students allowed extra time.

6.2.3 Failure to bring specified materials

It is the student's responsibility to bring the correct materials to the exam. If a student has not brought materials for an exam, they should be allowed to take the exam without the materials.

Module leaders may provide spare copies of texts, textbooks, books or technical materials if they wish. However, in order to maintain equity, notes or formula sheets should not be provided unless every student receives a copy.

6.2.4 Invigilation in open-book examinations

Invigilators should ensure that only those materials specified on the exam paper are allowed in the exam hall. Materials that are not specified on the exam paper must be left outside the exam hall.

Particular vigilance should be shown by invigilators during open book examinations to ensure that students have not concealed illicit material in approved materials eg pre-written paragraphs, possible answers, pages pasted into books.

6.2.5 Open book examinations and Academic Integrity

It is the student's responsibility to ensure that notebooks, texts or other approved books that they may be permitted in an examination room do not contain illicit material. Illicit material would include texts not specified on the exam paper, pre-written possible exam answers or formulae. Candidates found taking illicit material into closed examinations will, at a minimum, receive a mark of zero for the paper.

7. Open examinations (Take-home examinations)

Examples:

- a) students are given an assessment task to complete in a limited time (e.g. overnight or over one or two days) at home.
- b) an assessment in which students are given the assessment topic OR assessment material to research, consider, or read about before the exam. After the research period (eg overnight or over one or two days), the students are given a precise task to complete under exam conditions.

7.1. Purpose

Open examinations can be useful if the assessment aims to assess whether students have achieved learning outcomes which cannot normally be assessed in a limited time or under exam conditions.

Such outcomes could involve reading and referencing from multiple specific texts or the ability to synthesise information from a number of sources.

7.2 Examination requirements

In order for the exam to be run equitably for all students, information needs to be very clear about:

- when and where the exam question / research material / exam task can be picked up or accessed. For large cohorts it is important to ensure that such material is distributed as quickly and fairly as possible;
- which materials can be consulted or referenced or if there are particular limitations on resources to be used;
- how much time should be spent on the preparation as opposed to the task;
- word limits and how work needs to be presented or formatted for submission;
- the deadline by which the exam has to be handed in and penalties thereafter.

7.3 Open examinations and Academic Integrity

As students will have access to exam materials, open information and be outside a closed exam environment, consideration needs to be given to the dangers of collusion. It should be assumed that students on the same course will discuss released materials, topics and questions so assessment designers need to take this into account and design tasks and plan accordingly.

8. Cumulative Assessment – multiple tasks throughout a module

Examples: eg weekly class tests, lab reports or lab books, reflective journal entries or portfolio work.

8.1 Purpose

The intended purpose of multiple assessment tasks throughout a module should be clear for all staff and students beforehand. Purposes for such assessments may be:

- a. to aid engagement with work throughout the module;
- b. to aid reflection on learning throughout a module;
- c. to practise skills in order to improve performance;

Consideration needs to be given to how undertaking the tasks involved is linked to feedback / input on performance during the module.

8.2 Staff and student workload

Multiple assessments can be time-consuming. For students, time taken to complete multiple tasks to a high standard should not exceed the credit limit for the module. Module leaders also need to plan carefully for the marking load associated with multiple task assessment – both during a module and once the completed assessments have been submitted.

8.3 Cumulative assessment and Academic Integrity

Consideration needs to be given to how important it is that students undertake their own work. Where students cooperate during labs or to complete class problems, the boundaries between work that can be discussed and work that should be submitted as the student's own need to be clear.

8.4 Requirements for assessment

Staff and students should be clear:

- what is required to be submitted in order for the assessment to be considered complete. This may relate to how many individual tests or reports are required to be submitted, the word length of a complete journal or the number of completed items in a portfolio;
- what exactly will be assessed. This may mean all the submissions are assessed or a proportion of submissions are assessed. Whatever rules govern the body of work to be assessed, all students should understand this clearly beforehand;
- which elements are essential to meet the criteria for assessment. If certain elements of writing are necessary or certain types of approach then this should be made clear to students beforehand;
- when the work must be submitted, how submission will take place and what the penalties are for late submission.

8.5 Non-completion and reassessment

Consideration needs to be given to what happens if the requirements of the assessment are not met i.e. a student does not submit the required elements. If mitigating circumstances have prevented the student from completing all the tasks then the Mitigating Circumstances Policy can be applied. For Category 2 students, failure to complete or submit an assessment without mitigation will normally result in a zero for that assignment, with reassessment opportunities commensurate to those available in the event of any other failure on that assessment.

9. Essays (non-examination conditions)

9.1 Purpose

Purposes for assigning an essay (completed over time) may be to encourage students to:

- a. study a topic in greater depth through reading about and evaluating different viewpoints and perspectives;
- b. come to a better understanding of theories and concepts through internalising them in order to construct and sustain an academic argument;
- c. display the extent of their synoptic thinking and understanding of the module or a module topic;
- d. develop their ability to analyse and apply new ideas / theories to their experience and practice.

9.2 Staff and student workload

Consideration should be given to whether students are given opportunities for tutorials and / or feedback on drafts during the writing process. Such support has implications for staff time and for ensuring equity of input for students. To counter these issues, the amount and type of support offered to students can be outlined beforehand.

Consideration should also be given to how working on essays may distract students from other learning within the module. If students start to work on a module essay too early, this can mean that they ignore the rest of the module materials.

9.3 Module essays and Academic Integrity

As students are not under exam conditions, assessing via module essays can open the door to Academic Integrity questions. To avoid this and deter plagiarism, the following approaches can be helpful:

- ensuring students are asked to answer a very specific essay question rather than addressing vague topic areas;
- linking essay questions to current affairs / topical issues / specific cases or examples;
- avoiding providing the same titles to students year after year;
- having a draft or formative feedback stage to address integrity issues early;
- including submission of evidence of the research process in the final mark.

9.4 Requirements for assessment

Staff and students should be clear about:

- the standards criteria and/or weightings which will be used to assess the essays;
- the reference format which will be expected (this should be specified in the published criteria and consistently applied across markers);
- any other formatting requirements that are particular to the department or the assessment;
- when the work must be submitted, how extensions can be arranged, how submission will take place and what the penalties are for late submission.

9.5 Marking and feedback

Marking and providing feedback on essays can be time-consuming, especially if the essays are double-marked. In order to meet the expectation of marking and feedback turnaround in six weeks (see Feedback Policy, particularly Section 15.1.3) and providing students with feedback that is detailed enough to encourage learning, module leaders with larger cohorts should consider producing a clear marking schedule.

9.6 Resubmission and reassessment

In the criteria for marginal fail, clear guidance needs to be given concerning which parts of an essay can be developed for resubmission and which cannot. For reassessment, consideration needs to be given to how the same learning outcomes can be assessed in a shorter period.

10. Dissertations / Individual Projects / Independent Study Modules

10.1 Purpose

Writing a dissertation or undertaking a project provides taught students (including undergraduates and taught postgraduates) with the opportunity to undertake a piece of individual research / investigation and examine an aspect of the subject they have been studying in more depth. Such tasks can therefore assess such skills as the ability to:

- work independently;
- narrow / define / focus a research area of their choice;
- read widely and critically reflect on written research in an appropriate and thorough manner;

- think through varying methodological approaches and adopt the necessary approaches suitable to the topic being researched;
- conduct research;
- manage a challenging, extended piece of work.

10.2 Requirements

10.2.1 Clarity of expectations and criteria

As the project or dissertation may be a new assessment format for many students, expectations need to be made as clear as possible. Preparation modules or workshops need to ensure students know what an acceptable dissertation / project looks like. A useful activity, to familiarise students with expectations and criteria, is to provide students with an opportunity to mark a few dissertations / projects themselves and discuss the results. This can highlight common problem areas such as failing to sufficiently define a research question / inappropriate structure / failure to include enough theory or literature / “storytelling” / lack of critical analysis.

Students also need to receive clear information about submission procedures, formats and deadlines.

10.2.2 Choice of topic

As the choice of topic and / or narrowing of a topic can be the first major hurdle students face when completing their own research, consideration needs to be given to how much guidance students are given at this stage. Module leaders need to ensure students have equal opportunities in selecting their research themes and what mechanisms will be employed to ensure equity of projects available to students.

10.2.3 Supervision – staff and student workload

It is important that both students and staff are fully aware of their responsibilities in relation to the conduct of the work, the time management of the work and the degree of support and guidance to be offered. In this area, departments should aim for consistency of practice in the supervision of dissertations / projects. Care should be taken to avoid over-supervision and under-supervision. Supervision and feedback could be at various stages:

- Proposal / project focus stage
- Literature review
- First draft.

Allocating marks to parts of dissertations or projects needs careful consideration. Although this can ensure students stay on target with regard to managing their time, breaking up a large mark may mean the production of more criteria. Also, allocating numerous marks for numerous pieces of work at different stages can also lead to mark inflation if students automatically receive marks for handing in work.

10.3 Dissertations, projects and Academic Integrity

A project or dissertation may be the first piece of extended writing undergraduate students have undertaken for some time – especially in subject areas that are more reliant on examinations. Even for taught postgraduate students, this is often the first piece of independent primary research a student has undertaken, and almost certainly the longest piece of academic work they have been asked to produce. The pressure and stress this produces can make accidental or deliberate academic misconduct a real possibility.

To counter this danger, clear guidance needs to be given regarding what constitutes plagiarism, how students can manage their sources and how they should reference and cite clearly. Where primary research is expected, clear guidance should also be provided on appropriate research practice to help students to avoid other forms of academic misconduct.

The University policy on proof reading should be brought to the attention of such student from the start.

10.4 Marking and feedback of dissertations

10.4.1 Marking of Undergraduate dissertations

As dissertations and projects often warrant a high weighting (eg 80%) in high credit modules (eg 40 credits or more) in the final year of a programme (higher stage weighting for final stage marks), the marks for such assessments are extremely significant for a students' degree classification. As a result, extreme care needs to be taken with marking such significant pieces of assessment (see Appendix E). Establishing agreed standards between markers, double-blind marking and moderation should be considered.

Also, as students invest significant time and energy into these pieces of assessment, equal thought should be given to the quality of response and feedback provided.

10.4.2 Marking of Taught postgraduate dissertations

Dissertations for taught postgraduates often constitute around a third of a Master's student's work whilst they are studying with the University, and they are often handed in as the student leaves York. It remains of the utmost importance however, that students receive meaningful and timely feedback on their ISM projects. It is also important, given the weight of the work towards award marks, that care be taken with marking such significant pieces of assessment (see Appendix E).

Establishing agreed standards between markers, double-blind marking and moderation should be considered.

10.5 Submission, extensions and penalties

Students should be fully and clearly informed about:

- when their dissertations / projects have to be submitted (time / date). (See section 4.7.1);
- how their dissertation / project should be submitted – eg front cover / format / required pages / binding and presentation;
- where their dissertation / project should be submitted and to whom.

Procedures for granting extensions to submission dates and the procedures followed for late submission of projects / dissertations should be made as clear as possible to students. Such procedures should be outlined clearly in module information, briefings, on posters in departments and in supervision meetings.

10.6 Reassessment and resubmission

Reassessment through resubmission on Independent Study Modules is allowed under certain circumstances. For students on taught postgraduate courses or those on Integrated Masters Programmes (where the ISM is worth more than 40 credits), reassessment is only possible where the ISM receives a marginally failing grade (defined in Appendix N). In these cases, the credit value of the reassessment exceeds the normal reassessment limits. Students on Integrated Masters Programmes with ISMs worth up to or exactly 40 credits may be reassessed on ISMs, if the volume of reassessment is available to them within the normal reassessment and compensation rules. In each case, consideration should be given to what is realistically possible in terms of revising a sub-standard dissertation/ project within a limited time frame.

11. Posters and Presentations

11.1 Purpose of assessment

The purpose of assigning a poster or presentation as an assessment should be clear for staff and students beforehand. Purposes for assigning such assessment may be to encourage students to:

- a. analyse / synthesise information from a variety of sources;
- b. study / revise topics in depth to gain a firm grasp of key arguments and evidence, key themes, or key conclusions;

- c. consider a topic thoroughly in order to decide how best it can be summarised and presented interestingly to an audience – thereby making considered judgments about content, organisation and focus;
- d. develop their visual and oral communication skills;
- e. develop self-confidence and confidence as professional participants in their discipline;
- f. think more creatively about their subject area.

11.2 Logistics

The arrangements necessary for assessment via posters and presentations need considerable thought. In particular,

- Resources – material and technical resources necessary need to be ordered well in advance. It is advisable that limits on how students use resources should be made clear to ensure equity.
- Rooms / Space – suitable spaces for poster displays, concurrent presentations or performances need to be booked well ahead of time. Also, technical resources in rooms need to be checked.
- Timing – for presentations, a schedule is necessary and needs to be distributed well in advance. The schedule should, as far as possible, ensure equity for students ie presentations should not happen too far apart. The schedule should take account of how much time is needed to set-up each presentation, how much time is allowed for each presentation (including Q&A if called for) and how much time is needed for marking each presentation. The schedule should allow time for breaks to counter marker fatigue and be flexible enough to allow for some over-run of presentations.
- Markers – if presentations are to be joint marked, arrangements need to be made for enough markers to be available and to be ready to mark consistently.

11.3 Standards

It is important to provide clear sense of expectations as early as possible to students and markers. If possible, exemplar posters or videos of exemplar presentations should also be available for establishing standards between markers and orienting students about the expectations.

If criteria are used for assessment related to elements of communication such as “Pace / tone” in a presentation or “Graphic design” in a poster, it is reasonable for students to expect some input on these skills or some opportunity to practise the skills and receive feedback.

As presentations cannot be reviewed again (unless recorded) it is recommended that the number of criteria is limited. This allows markers to focus on a few agreed factors during the presentation.

11.4 Feedback and learning

In order for students to have an opportunity to develop skills and learn from the experience of producing posters and presentations, it is recommended that students receive feedback as quickly as possible and that they are allowed to keep their posters and record their presentations in order to have the opportunity to review their work after receiving feedback.

As the marking of posters and presentations is very immediate, it is important that markers have had the opportunity to use any criteria to mark samples and to discuss the standards expected for different marks beforehand.

11.5 Moderation and Marking

The presentation of work – either as a poster or presentation – does not allow for student anonymity. As a result, joint marking is recommended to ensure equity. To single mark performance-based assessment worth more than 10% of any module, a recording **MUST** be made to allow for later moderation.

Whilst marking, markers should be allowed enough time to make reasoned judgements, agree marks and to make written comments.

It would be advisable, for future moderation purposes, for a percentage of posters to be kept and a percentage of performances to be recorded each time the assessment is run.

11.6 Reassessment

Consideration needs to be given as to how a poster or presentation can be reassessed.

12. Group Projects

12.1 Purpose

It is very important that work assigned to group work actually needs to be accomplished by groups. Without a clear purpose for convening a group and working together, groups may produce several individual end products which do not work together. Therefore, the purpose of group projects should be clearly identified during module planning, including why it is appropriate for the assignment to be completed in groups and how the process and content of the project will help to achieve the stated learning objectives in the module. If group process skills (eg team-working, communication) are to be developed and assessed during the module then group process learning objectives and assessment criteria need to be clearly defined. This information should be explicitly communicated to students from the outset.

12.2 Clarity of information

Students, and all staff involved in the module, should receive information regarding the requirements for the assessment, including details of procedures relating to:

- the task to be undertaken;
- the necessity for group work to complete the task;
- the basis for group membership;
- rules that cover the operation of groups;
- task allocation within the group;
- what to do if a group loses a member, cannot continue to function as a group or needs to adjust/ adapt to events which arise in the group (i.e. mitigating circumstances). Guidance should include how the students can value and acknowledge this experience as part of their learning;
- the conduct of group meetings – expectations regarding frequency, timing and group contact outside scheduled class times;
- feedback stages during the assignment period to report group progress and final outcomes;
- the weighting of the assessment in the overall module;
- due dates for assessment completion;
- penalties for late submission etc.;
- the procedure and criteria for assessing the group;
- the procedure and criteria for assessing individual contributions, if such contributions are to be assessed;
- how marks will be allocated between the collaborative process (i.e. the way individuals collaborated during the project) and the collaborative product (i.e. the final group document and/or presentation);
- who will carry out the assessment (e.g., individual lecturers, panel of lecturers, peers);
- how the contribution of each member to the group project will be assessed (e.g. using individual process diaries, peer/external assessment of collaborative process and assignment content).

12.3 Group work and academic integrity

Module leaders should ensure that students understand the difference between legitimate co-operation through group work and collusion. This can be achieved using scenario activities to exemplify to students where grey areas can occur and delineating very clearly what is to be assessed – collaborative process elements, the products of group work or individual products – or all three.

12.4 Feedback on progress

In order for learning related to working in groups to occur, it is important that groups have an opportunity to reflect on the group processes they encounter as they encounter them. Formative

feedback and group monitoring can therefore be very valuable tools to reinforce essential learning points.

12.5 Assessing group projects

There are numerous ways to assess group projects. It is important that the assessment approach matches the stated learning outcomes. Here are some possible alternatives:

12.5.1 Group assessment

The work of the group (i.e. the product), can be assessed and then the same mark awarded to each member of the group. This rewards effective collaboration but more dedicated students may feel it is unfair if 'freeloaders' are similarly rewarded.

12.5.2 Divided group mark

The product can be awarded a single mark, and the group can then agree on the number of those marks gained by each individual. This allocation of marks to individuals is best done against previously agreed criteria. Use of a divided group mark can disproportionately reward assertiveness or negotiating skills, although the requirement that marks are justified (with evidence and with reference to criteria) reduces this danger.

12.5.3 Individual and group marks

Students can each receive the same mark for the product of the project and an individual mark for their contribution to the project. Their contribution can be assessed by observations of the group at work, and/or from a brief, individual critical reflection by each group member on the project and what they learned from it.

12.5.4 Individual interview

A short interview with each group member will provide a good idea of the nature and extent of each student's contribution to the work of the group. The mark for the project could then be moderated up or down by up to 10% on the basis of this interview.

12.5.5 Project exam

A short written exam can be set in which students are asked to describe and analyse specific aspects of the project process and their contribution to it. This exam mark can be used as an individual mark which moderates the group mark.

12.6 Methods for assessing individual contribution to group work

There are various ways to allocate individual marks for work conducted in groups – see Appendix C. These methods can mean that students learn to reflect on their contribution to the group product and students who have worked harder in a group have the opportunity to get the credit they deserve.

12.7 Criteria for assessing groups

It is advisable that if the group product and group process are both going to be assessed, each has a separate criteria. The criteria for the group product would most probably be similar to criteria for other assessment tasks (ie essay / report / presentation criteria). The criteria for group processes however may need more consideration but could include such areas as:

- meeting attendance;
- contribution to the task;
- degree of cooperative behaviour / ability to work with others;
- time and task management;
- efficiency at problem-solving;
- evidence of capacity to listen;
- responsiveness to criticism;
- contribution to group discussion;
- ability to organise own work vs degree of supervision needed;
- ability to motivate / guide others;
- adaptability to new situations.

12.8 Reassessment

Reassessment of a group-based product may be possible by an alternative assessment instrument as long as the alternative instrument assesses the same learning objectives.

As it will probably not be possible to recreate a group in order to reassess a student where the group process is part of the assessment, consideration needs to be given to how such aspects of assessment will be reassessed.

If the group processes constitute a significant part of the learning objectives and assessment for the module, making the assessment non-reassessable may be considered. However, departments should appreciate that such a decision could have serious consequences for students. To mitigate this risk, departments should consider how groups will be monitored throughout the original assessment to ensure all students are on track.

Where the group processes constitute a less significant part of the learning objectives and assessment, alternative assessment instruments may be possible for reassessment. This could include examining the student regarding their understanding and analysis of the group tasks and process that were undertaken during the original task. Where the reassessment instrument differs from the original, the reassessment instrument should be clearly stated in the module information.

12.9 Viva voce examinations in taught programmes

For the purposes of this guidance, 'a viva voce examination' is defined as 'one student being interactively examined by examiners'. These examinations may not be used in determining degree classifications but only as an assessment for a module where all students registered for the module are so examined.

Where the item of assessment contributes more than 10% of the total mark for the module the following applies:

- a. It must be conducted with at least two Internal Examiners present. External Examiners may or may not be present. The final decision on what questions should be asked rests with the Internal Examiners.
- b. The consequence of non-attendance is a mark of zero for that element of the assessment for the module.
- c. It must be audio/video recorded for two reasons:
 - i. The audio-recording will be used by further Internal Examiners not present at the examination in case the Internal Examiners present cannot agree a mark for it.
 - ii. The audio-recording may be used by the student to appeal against inappropriate bias in the viva. The audio-recording will be treated in just the same way as an examination paper and will be destroyed by the department confidentially after one year.

13. VLE and delivery of summative assessment

13.1 The University's centrally supported virtual learning environment, Yorkshare, is designed to support formative assessment activities through its assessment engine. In addition to this, it can also

support the submission of students' assignments for summative marking through its anonymous file submission tool, which is a resilient application.

There is always some chance of system downtime, however, and the VLE team cannot always track system problems when they happen out of standard office hours, and cannot correct the system when outages happen out of hours until the following working day. For this reason, it is recommended that online submission deadlines follow the same guidelines as hard copy submissions in terms of timing: deadlines should be set during normal working hours, and early in the week to keep late submitting students from accumulating multiple penalty points over a weekend.

13.2 Use of the VLE for closed summative assessment (exams)

Yorkshare's assessment engine, which supports a range of short-answer and multiple choice question-types, has not been designed for use in 'live', that is, real-time, contexts for the delivery of high-stakes, summative assessment activities. However, the SCA recognises that it may be appropriate in some circumstances to use Yorkshare for this purpose. In general, the reasons against using Yorkshare for closed summative assessment are:

13.2.1 Performance risks and unavailability

Considerable effort and expense has been committed to supporting a robust and scalable virtual learning environment. However, due to the complexity of Yorkshare and its interactions with other systems and services, including the network, the VLE Service Group cannot guarantee 100% availability of the service. This means that there is a small and unquantifiable risk that Yorkshare will become unavailable in the middle of a scheduled examination, resulting in unpredictable outcomes, which might affect students who are submitting responses to the assessment engine, thereby impacting on their performance in the examination.

13.2.2 Security

A range of security risks may be associated with the use of Yorkshare to deliver real-time assessment activities, namely:

a. Access to inappropriate resources

Most personal computers, including those in general-access classrooms, support a very open computing environment, allowing considerable opportunities for collaboration, communication and discovery, for example, through the use of email and search engines such as Google, which also supports a range of collaborative tools. As such, they may be unsuitable for certain types of summative assessment activities. The Computing Service is investigating the possibility of providing a

'locked-down' computing environment, but no general-access classroom currently has this capability.

b. Impersonation

It is possible by simple exchange of username and password for one user to impersonate another.

c. Split sessions

Where an assessment needs to be split across time, for example, due to a lack of sufficient computer capacity to manage all assessment submissions across a cohort, there is a risk that information can be passed between groups.

Should a department wish to use Yorkshare for the delivery of closed summative assessment activities, it should make this request to the SCA in writing. The request should:

- give a rationale for the request;
- explain why the above reasons against using Yorkshare for summative assessment generally either do not apply in this case or are outweighed by other reasons for using the VLE in this case;
- include a response to the performance and security risks from the VLE Service Group;
- include a reply to the VLE Service Group's response.

13.3 Electronic Submissions of Assessments

Where departments allow or require electronic submission of assessments, the following principles will apply:

- a) Submission of correct file to the wrong module site, but within the deadline for submission will be treated as correctly submitted. If a student realises that they have made such an error, it is their responsibility to alert the department and to explain where the submission has been made.
- b) Departments should provide an alternative mode of submission (such as email to a central email account) for instances where technical difficulties prevent a student from submitting via the appropriate submission point. In order to use such a submission point, however, students must be able to provide evidence that it was not possible to submit in the normal way. Evidence will be verified by the ELDT and/or IT Services. Issues such as browser compatibility or file size, which could reasonably have been checked in advance, will not be accepted as grounds for alternative submissions. It is expected that only VLE downtime or very rare technical issues, such as blocking of the whole internet in a particular geographical region, would be accepted as grounds for alternative submissions.
- c) Submission deadlines must be set during normal working hours in order to ensure that technical support for submission points will be available.
- d) If an assessment setter wishes to stipulate that files submitted must be of a certain type

then Departments must configure submission points to restrict submissions to acceptable file types for the assessment in question. Any such restrictions should be advertised to students at the time of the issuing of the assessment, rather than only at the point of submission.

e) VLE submission points should normally be configured to allow multiple submissions of the same assignment. If more than one version is submitted, then the latest version before the deadline should be the one marked, unless no versions are submitted on time, in which case the first submission after the deadline should be marked. To be clear, if at least one submission is made before the deadline and another is made afterwards, then the last version before the deadline is the one accepted.

f) Standard lateness penalties should be applied, as for any other open assessment submission. The time returned on the receipt should be used to determine whether a submission is late, with no 'margin of error' at all.

14. Standards and Marking

14.1 Principles of standards and marking

Clear shared standards

- exemplify the expectations of particular disciplines and professions,
- are acknowledged by the national and international academic community,
- provide modules, programmes and degrees with legitimacy, and
- are the basis of professional judgement and confidence in such judgement.

As such, standards – and the marking practices which apply and uphold those standards – are the foundation of a fair and respected assessment system. As part of the assessment system of the University, the standards and marking practices implemented by departments should be consistent with University policy and abide by its principles of assessment: equity, openness, clarity and consistency.

14.2 Establishing standards

14.2.1 *Departmental responsibility*

It is the responsibility of the department to ensure that colleagues who teach and/or mark on the same programme have a shared understanding of the standards expected of students. This shared understanding should relate to expectations of student-achievement within modules and between levels. Departments should also be aware that they must be able to justify their procedures for establishing this shared understanding to University Teaching Committee and its representatives (eg at periodic review), to External Examiners, to external quality assurance agencies (including PSRBs, where relevant), and to possible appeals by students to the Office of the Independent Adjudicator for Higher Education.

In relation to embedding shared understanding of standards among colleagues, specific consideration needs to be given to postgraduates who teach (PGWTs). Whether these postgraduates are running tutorials, seminars, or labs, or marking formative work or summative work, they should have a clear understanding of the expectations of the department in terms of learning, assessment and achievement.

If postgraduates are involved in marking and providing feedback, it is especially important that they understand fully level-criteria and how to guide students toward improvement.

14.2.2 Assessment design

Departments should spend significant effort agreeing on ways in which learning will be assessed and the criteria which will be used for each form of assessment. Agreement should be reached on such areas as core criteria, level criteria and marking procedures for different assessment-formats. This process should be repeated regularly in order to review whether criteria are fit for purpose, to embed understanding of the criteria into practise and to educate new staff.

14.2.3 Reflection on practice

Following assessment and marking, Boards of Examiners should reflect on module results and identify modules that appear to have results that are consistently lower or higher than the departmental average for the level. The expectation should be that the academics and PGWTs involved in teaching / marking those modules meet to examine the calibration of their marking practices to those of the wider department.

14.3 Deciding on marking processes

It is the responsibility of the department to ensure that all of their marking practices and procedures follow the Standards and Marking Principles outlined above and the marking requirements outlined below (See 14.2.1).

In deciding how to arrange marking for each assessment in each module, departments should take account of the following aspects:

14.3.1 Balancing the impact of marks, the fairness of marking and the efficiency of marking

Departments should be aware that the methods used to ensure fairness and adherence to standards in marking will depend partly on the risk of error due to the nature of the assessment task (e.g. how complex the task, is how much interpretation is required of the marker, and how much evidence is available for later moderation) and the potential consequences of error. The higher the risk and potential consequence of error, the greater should be the degree of scrutiny.

For examples of balancing the impact of marks and the fairness of marking to decide on a marking approach, please see Appendix D.

14.3.2 Matching assessment formats to appropriate marking processes

In addition, the degree of scrutiny should also be balanced with considerations of the learning-value of the assessment with regard to providing students with timely marking and feedback. If factors such as the number of students, number of marking staff, type of assessment or time available for

marking impose particular restrictions, consideration should be given to which type of assessment format is most appropriate for the module and which marking process is the most appropriate to provide fair and meaningful marks and feedback.

For guidance on the types of marking process which can be used with different types of assessment formats, please see Appendix E.

14.4 Marking requirements

14.4.1 Ensuring equity and consistency in marking

Departments should state clearly in their Written Statements of Assessment how their procedures for marking ensure equity and consistency. In particular, all work contributing to progression decisions or a final award must be marked using a procedure which has in-built monitoring capabilities. Such procedures might include:

- standardised marking in which acceptable answers are discussed and agreed by markers before marking commences;
- moderated marking in which markers are monitored by an appointed moderator;
- second marking in which first markers mark papers and these are checked by second markers;
- blind double marking in which two markers both mark the assessed work independently then come together to agree on the final mark;
- joint marking in which two markers, working at the same time, mark live assessments;
- answer key marking in which assessed work is marked according to a specified answer key.

For guidance regarding which procedure is suitable for different types of assessment, please see Appendices D and E.

14.4.2 Anonymous marking

a. Anonymous marking is mandatory for all assessment contributing to a final award, except where unfeasible (e.g. in assessed practicals; weekly tutorials with associated written work; performance-based assessments; assessments not based on written or recorded work; projects) or unnecessarily cumbersome (e.g. in class tests). Departments should consider how best to deal with marks which contribute to progression but not an award. Attention should be paid to the weight of each assignment and weigh this against the value of personalised feedback at the earliest stages of a degree programme.

b. Students are allocated a random examination candidate number when they first enrol at the University. The number is shown on each student's University Card. Registry Services is responsible

for these arrangements. Candidate numbers should be used in place of names in all assessment that is marked anonymously.

c. Departments should devise schemes which ensure that, as far as is practicable, markers do not know which examination number corresponds to which candidate when assessments are marked. However, once marking is concluded, anonymity should not interfere with effective feedback to students.

d. Marks under consideration by a Board of Examiners should remain anonymous.

An individual's module marks contributing to a degree classification, progression decision, or final result may have been released during the course of a year but are provisional until recommendation has been confirmed by a Board of Studies.

e. Preserving the anonymity of a student's marks may not in fact preserve the anonymity of the student, especially in small departments and some smaller postgraduate programmes. Nevertheless, it is important that all departments attempt to preserve anonymity as far as possible by adopting the practice given above.

f. Departments should include in their student handbooks a section describing their own procedures for anonymous marking; they should also emphasise to students the importance of using the correct examination candidate number.

g. Members of staff having access to students' examination candidate numbers through the student records system should ensure that this information is treated in strict confidence.

14.4.3 *Blind, double marking*

Where departments practise blind, double marking, they should pay attention to the procedures necessary to ensure that markers arrive at their judgements independently of one another. This may require guidance to first markers on the nature of annotations that should be written on scripts before they are second marked.

14.4.4 *Marking to the Full Range*

Departments should pay particular attention to ensuring that their marking procedures and practice support the use of the full range of marks by markers. It is important that this matter is given due consideration as a limited mark allocation in a module can have a significant effect on a student's final degree classification. For further guidance, see Appendix O.

14.5 Supervisors

A student's supervisor may also be the first marker of their student's project or dissertation provided that the second marker is not involved in the supervision of the project or the dissertation at any point.

14.6 Resolving differences between markers

Departments should have guidelines, contained in their Written Statements of Assessment, on how differences in marks between markers are resolved, based on the following principles:

a. The margin of difference that is regarded as a significant discrepancy should be stated clearly. This margin might simply be the difference in the number of marks, or might occur whenever the markers assign a different class to the work, or be a combination of these factors. Departments may wish to give particular attention to critical borderlines eg pass/ fail or 2:1/2:2.

b. Where the difference between the two markers is not regarded as significant, an agreed mark can be returned by the markers without further documentation; this agreement might be obtained by negotiation between the markers or by a systematic process of taking the rounded mean.

c. In all cases where a significant discrepancy has occurred, the markers should engage in negotiation to attempt to determine an agreed mark. The rationale for any agreed mark should be documented, and be detailed sufficiently to permit scrutiny by the Board of Examiners and the External Examiner(s).

d. If the markers are unable to reach an agreement, a further internal marker or moderator should be appointed by the Board of Examiners. This individual should have access to the reports of the first two markers as well as the script and should determine the mark, documenting their rationale, which should be detailed sufficiently to permit scrutiny by the Board of Examiners and the External Examiner(s).

e. External Examiners should not be asked to adjudicate between internal markers. However, the process by which marks are resolved should be open to their scrutiny and comment. In particular, External Examiners should have access to the original marks of the markers.

14.7 Annotation of examination scripts

14.7.1 It is good practice for every page of an examination script to be initialled by at least one of the examiners. This practice can be useful if students query marks. University regulations do not permit the re-marking of scripts.

14.7.2 Examination scripts are exempt from data subject access under data protection legislation because they are statements from the students, not data about them. However, Examiners' (Internal and External) comments on the content of scripts or dissertations are disclosable, whether recorded

on the script or held separately. Students have the right of access to data consisting of the marks given, and any comments upon which they were based.

14.7.3 All comments committed to writing should be fair and defensible. It is recommended that they should relate to the script rather than the student. Minutes of Boards of Examiners Meetings are also disclosable under the Data Protection Act 1998 where they are mentioned by name or candidate number.

14.7.4 All material relating to assessment contributing to an award of the University should be kept for at least one year after the relevant examinations have been completed, that is to say, after the meeting of the Senate or relevant committee at which the results were confirmed.

14.7.5 Further information on the University's Data Protection Policy on Teaching and Examining may be found at: www.york.ac.uk/recordsmanagement/dpa/index.htm.

14.8 Examination scripts that deviate from the rubric

Departments should have clear guidance in their Written Statements of Assessment, publicised to both candidates and markers, on how scripts will be marked where the student has answered the wrong number of questions, or has (in some other way) failed to comply with the exam rubric.

14.9 Transcription of illegible scripts

14.9.1 As scribes (also called amanuenses) are specifically provided for students with a contemporary formal diagnosis of a relevant disability, such a service cannot be used for students with illegible handwriting who have no such diagnosis.

14.9.2 Basis for transcription request

Academic staff should not feel obliged to spend time deciphering an illegible examination script. If they are unable to read a script, they can request that it be transcribed.

14.9.3 Maintaining equity

Transcription needs to be carried out in such a way that students are not able to improve the quality of the answers they have given on the examination script; for this reason the transcription should be undertaken by an individual approved by the Standing Committee on Assessment. This procedure ensures that this process is undertaken in controlled conditions, is accurate and that the student gains no material advantage.

14.9.4 Costs

There are no resources available to provide this service and the student must cover the costs involved. At the current level of support this would be the current rate of pay per hour for an

assistant invigilator. This payment must be made before the transcribed script is released for marking.

14.9.5 Disputes

Any disputes between the transcriber and the student must be recorded by the transcriber and signed by the student.

Disputes will be referred to the Chair of the Board of Examiners (or Board of Studies if there is a conflict of interest) for resolution.

14.10 Mitigating circumstances

In order to ensure equity between students, marking should be conducted without regard to mitigating circumstances.

14.11 Deadline for releasing results and feedback

The maximum turnaround time for summative feedback and marks to students is six weeks. Where students are required to resit assessments, they must be given adequate time to prepare. Undergraduate students must be given at least 5 weeks between the notification of the need to resit and the resit itself. For Postgraduates, this period must be at least 3 weeks. For Category 1 students, this period is 4 weeks regardless of whether the student is postgraduate or undergraduate.

14.12 Recording results

All assessment marks that count towards an award, or a mark on an academic transcript, or a progression decision, must be recorded on the University's Student Record System (SITS).

15. Feedback

- is acknowledged as an essential part of the learning process and as a major element in the relationship between lecturer and student;
- is accepted as the purpose of assessment for learning (formative assessment) and a valued benefit of assessment of learning (summative assessment);
- is planned into the curriculum and is linked to clear paths of progression;
- is related clearly to the stated learning outcomes and specific assessment criteria;
- is provided in a way that ensures it is useful, adequate, fair and timely (see 15.1.3).

15.1 Feedback policy

15.1.1 Roles

An important factor to clarify regarding the learning process at University is that it involves an end to the basic “learner – teacher” relationship of secondary education. The relationship between the student and the lecturer is essentially different, just as the University environment is different. University students and lecturers are all part of a learning community in which individuals are assumed to have, or be developing, the ability and maturity to initiate and direct their own learning. In light of these differences, the University believes that both lecturers and students have certain responsibilities concerning learning and feedback.

A student’s responsibilities related to learning and feedback include:

- being a fully active participant in the learning dialogue between lecturer and student;
- planning their own learning, consciously reflecting on their needs as a learner and actively accessing the assistance they need to improve, as necessary;
- being aware that it is their responsibility to take full advantage of all the learning and feedback opportunities provided to them.

A lecturer’s responsibilities related to learning and feedback include:

- providing a challenging, active learning environment;
- planning their teaching such that it is clear what is expected of students and what assistance is available to students to address student needs and support their learning;
- providing the best quality, most timely feedback possible on students’ work.

15.1.2 Purposes and forms

To clarify terms for the benefit of students and lecturers, the University views “feedback” as any part of the learning process which is designed to guide student progress. This guidance can involve many different elements such as helping to clarify what is expected (goals, criteria, expected standards),

responding to learners' needs or providing guidance toward a deeper level of learning and understanding. Feedback is an essential part of the learning dialogue between student and lecturer and that this dialogue should help the student not only to reflect on their own learning but also to feel more clear about their progress.

The nature of the feedback can also vary depending on, for example, discipline, level of study, nature of delivery, student numbers and learning outcomes. For examples of possible forms of feedback, please see Appendix F: Forms of Feedback.

15.1.3 Principles underlying the meaningful provision of feedback

The university believes that in order for feedback to be effective as part of an on-going learning dialogue between student and lecturer, the following four basic principles need to be met.

Adequacy: Students should be provided with adequate feedback in order to facilitate improvement, and should not have to request it. Adequate feedback is understood to mean:

- more than a mark or mark indication;
- the provision of feedback, in some form, on both formative and summative assessments;
- the provision of opportunities for further follow-up guidance, if necessary.

Timeliness: Students should receive feedback within 6 weeks of submission of the assessment.

Timely feedback is understood to mean feedback that:

- is received soon enough to ensure that it is understood in the context of the learning activities;
- allows students sufficient time to improve their performance before next being assessed;
- is received by the published deadline.

Usefulness: Students should receive useful feedback.

Useful feedback is understood to mean feedback that:

- students can understand as relevant to their learning and progression;
- is provided in a format that is legible, focussed and relevant to the task;
- is supported by clear information and direction as to the standards of performance expected i.e. linked explicitly with assessment criteria and mark descriptors;

- provides clear information on the state of current achievement and indications of areas for improvement.

Fairness: Students should receive fair feedback. Fair feedback is understood to mean feedback:

- that is, as far as possible, unbiased and objective;
- that provides guidance on future learning to students, irrespective of the student's level of achievement;
- that relates to the specific assessment under consideration, not the student or the student's unrelated past work or achievements.

15.2 Procedures concerning feedback

15.2.1 Department Statements on Feedback

- a. Departments are responsible for providing feedback to students on all assessments in all modules.
- b. Each department, as a whole, should discuss and agree an approach to learning, assessment and feedback that is effectively integrated and how the four principles outlined above will be effectively implemented throughout the department.
- c. Once an agreement on an approach has been reached, departments should produce a clear Statement on Feedback which corresponds to the purposes, principles and good practice outlined in this document and makes clear what students can expect from the department. For a model framework, see Appendix G: Model for Statements on Feedback.
- d. Clear information about expectations can make all the difference for students and can significantly improve their understanding of the part assessment and feedback play in their learning. Therefore, consultation with students regarding the design and composition of the Statement on Feedback is recommended.
- e. The Statement on Feedback to students should be consistent with the departmental policies on assessment.
- f. Departments should be aware that feedback practices will be subject to a variety of legal rules or policies. For guidance relating to these policies, please see Appendix I: Legal Issues related to Feedback.
- g. The departmental statement should be published in departmental handbooks for staff, postgraduates who teach and students. Students should also be actively alerted to opportunities for feedback throughout their programme of study.

h. It is the responsibility of individual departments to arrange support for staff and students regarding feedback where necessary and undertake their own review of practice as part of their regular evaluation of programmes. The University Teaching Committee will monitor department practices through periodic review, Annual Programme Review and following up the outcomes of the NSS and other surveys.

i. The departmental statement should be updated in response to any changes in policy set out in future editions of the University Guide to Assessment.

15.2.2 Module Design and Feedback

During the design of new or adaptation of existing modules, consideration should be given to planning for effective feedback for learning. Consideration should be given to such factors as the:

- likely number of students taking the module;
- length of the module;
- level of the module;
- timing of assessment, marking and feedback periods;
- relationship of the module to other modules (i.e. learning connections);
- availability of teaching / learning support;
- possible use of technology (VLE);
- the balance of regular, low stakes opportunities to practise with feedback against sparing, rigorous, high stakes assessment and feedback opportunities.

The published information for each module should include clear indication of:

- the student's responsibilities in the feedback system;
- in what format students will receive feedback;
- exactly when students will receive feedback following assessments;
- on what basis (ie. criteria / mark descriptors) they will be assessed and given feedback.

15.2.3 Feedback on Formative Assessment (assessment that does not count toward the final module mark or degree classification)

a. Formative assessment and feedback are often dealt with by multiple staff members – module leaders; other lecturers; PGWT – therefore, it is important that there is clarity and coordination between staff members working on the same module regarding, for example, task objectives, how tasks relate to the module as a whole, how formative tasks relate to summative tasks, task criteria and agreed feedback approaches. This coordination is the responsibility of the module leader.

b. It is recognised that a wide range of summative assessment methods are used by departments, many of which may be new to students. It is therefore good practice for departments to use formative assessments to provide students with the opportunity to experience / practice any

given assessment method prior to its use towards summative assessment which contributes to the degree award, and to provide formative feedback on the exercise.

- c. Where seminar or tutorial performance constitutes a substantial part of the subject, departments should have mechanisms in place to give qualitative feedback on performance, although this need not involve an indicative mark.
- d. Where drafts of essays or stages in a process are used as formative assessment, clear information needs to be given about the degree and type of feedback available, especially relating to the responsibility of the student for their own work.
- e. Where problem sheets are used, departments should either provide students with a worked solution, or clarify to students on an individual or small group basis where they have made mistakes.
- f. Where practical work is being assessed, departments should provide students with sufficient feedback to enable them to reflect on and improve their performance.

15.2.4 Feedback on Summative Assessment – Non-exam based

In relation to extended essays, dissertations, performances and projects

- a. Departments should specify a minimum amount of opportunities for formative feedback to be given in support of coursework assessments and consider equity between students in this provision. For example, tutors may agree that each extended essay for a module can be submitted once for feedback during the preparation period.
- b. Feedback on drafts of assessments should be frank, constructive and not misleading ie writing “a great start” as a comment on a draft essay could lead the student to expect a good final mark.

Although staff commenting on such assessments may well refer to mark descriptors in the course of providing feedback on drafts, it is unwise to comment directly on the likely mark of a specific piece of work. Staff should clarify to students that they may not be an examiner or will not be the sole examiner. The member of staff can only offer feedback and advice, and cannot guarantee that following the advice will ensure success. The advice usually takes the form of general guidance, possibly with some detailed illustrative examples. It need not be exhaustive. The student’s ability to demonstrate that they have achieved the learning outcomes is being assessed, not the member of staff’s: the quality of the final piece is the responsibility of the student.

- c. Following marking, sufficient feedback should be made available to students in either oral or written form to fully communicate the rationale for the mark which has been awarded. See Principles above – Section 15.1.3.

15.2.5 Feedback on Summative Assessment – Examinations

- a. Departments need to clearly specify how feedback (over and above a mark) will be provided on their examinations. For suggestions of approaches to providing feedback on examinations, please see Appendix H: Improving Feedback on Closed examinations.
- b. Where closed examinations are made up of several distinct sections, as a minimum, marks for each section should be provided, in addition to overall feedback.
- c. Feedback to a cohort on general performance in an exam can be provided before double marking / collation / External Examiner procedures are finalised. This can be done online or in specific exam feedback sessions.
- d. Student access to marked examination scripts: Following successful pilots schemes which allowed students limited and supervised access to marked examination scripts, the Standing Committee on Assessment and the Chairs of Boards of Examiners forum recommends that all students are given access to marked progressional examination scripts, where departments can facilitate the process. This is particularly helpful for students on programmes which rely heavily on examination as an assessment format and are therefore often feedback-light.

Departments need to consider how to administer such access in a fair, efficient, economical and professional manner.

15.2.6 Marking procedures and feedback

- a. The marking procedures engaged in by departments should be arranged to balance the need for fairness with the need to support learning. This means that marking, collating marks and checking mark distribution should be arranged so that feedback is still timely and useful.
- b. Where single marking is used, it is especially important that marks and feedback are linked to explicit marking schemes or criteria.
- c. Where multiple markers are involved in marking assignments, it is important that feedback is fair and consistent across the cohort. Holding standardisation meetings, using agreed criteria and using standard feedback sheets can be helpful.
- d. Where second or double marking is used and feedback is provided, students should only be supplied with the mark and feedback as agreed by both markers.
- e. Provisional marks: Departments should, wherever possible and reasonable, provide students with feedback and provisional marks with a clear and appropriate proviso as to their marks being provisional only, prior to confirmation by the Board of Examiners. Provisional marks should be communicated to students as an integer on the appropriate University mark scale.
- f. Resits / capping marks: Marks achieved at resit examinations should be fed back to students – even though these marks might subsequently be capped in the case of Category 1 students, or won't count towards award marks or degree classifications for Category 2 students.

15.2.7 Supervisory feedback

Supervisions (i.e. meetings which take place between a student and their academic/personal supervisor, at least once per term) should provide students with the opportunity to discuss and reflect on their overall performance with reference to such feedback as is available to the supervisor and the student. Procedures which allow students time to consider performance reports and feedback before discussing these with the supervisor should be considered in order to make the meeting meaningful for both student and supervisor.

15.2.8 Taught Masters programmes

For taught Masters programmes, the principles and procedures above apply. Prompt and detailed feedback is particularly important due to the relatively short nature of taught Masters programmes. Modules should be arranged such that students have the opportunity to be involved in a useful and meaningful feedback process before the submission of another significant piece of assessment.

Examiners for Taught Programmes

16. Board of Examiners for Taught Programmes

16.1 Constitution of the Board of Examiners

16.1.1 *University Ordinances 1.4 and 6 are relevant to this section of the Guide.*

16.1.2 All teaching members of the Board of Studies are members of the Board of Examiners, as are the External Examiners; also any members of the academic and academic-related staff of the University who have assessed any of the students under consideration, and any other individuals recommended by the Board of Studies to, and approved by, the Standing Committee on Assessment may be members of the Board of Examiners. See also section 17 (Internal Examiners).

16.1.3 The quorum for a Board of Examiners for all taught programmes is a minimum of three, at least one of whom must be an External and one an Internal Examiner. For PGT progression boards only, the Board of Examiners may meet without the External Examiner, though quoracy remains three. Where an exit award is the automatic consequence of failure, the External Examiner's approval can be inferred from the signing of the previous progression list. Where there is no previous progression list (ie at the progression point in PGT programmes) the External can approve the award without needing to be present.

16.1.4 For combined programmes, the members of a Combined Board Executive Committee, together with an appropriate External Examiner, may consider and recommend degree classifications; to be quorate, the Board must include at least one representative of each department involved in offering the combined programme.

16.1.5 For procedures for the Board of Examiners for research students see section 25.

16.2 Role and powers of the Board of Examiners

16.2.1 University Ordinance 6 is relevant to this section of the guide.

16.2.2 The functions of the Board of Examiners include:

- ensuring the University's principles of assessment underpin assessment processes and decisions;
- taking an overview of the array of marks in relation to both performance of individual students and to mark distribution from individual modules, in the presence of the External Examiner(s) (see also sections 18.3.j and 20.1.2);
- ratifying provisional marks;

- making recommendations to the Board of Studies on progression and resits;
- ensuring documentation is completed;
- defining the borderlines for final year undergraduates on Category 1 programmes.

16.2.3 Boards of Examiners are required to convene formally at least once a year in order to make decisions about student progression (unless no students are registered on the programme) and in order to provide adequate opportunities for the External Examiner to interact with staff and, where appropriate, students.

16.2.4 Boards of Examiners are also required to convene at the end of each programme for which they are responsible in order to make award decisions. This meeting must be attended by at least one External Examiner (see sections, 16.1.3 and 18.3 (d), (j)). (In the case of transitional or Category 1 students in departments still using the pre-modular mitigating circumstances procedure for such students, mitigating circumstances should also be considered at this meeting.)

16.2.5 Minutes must be kept of meetings of the Board of Examiners, with particular attention to decisions relating to individual students. This also applies to meetings of the Board of Studies at which examination results are discussed.

16.2.6 Exam boards must be held in time for results to be entered into SITS in time for graduation and progression deadlines. For Category II Programmes, this requires that undergraduate boards meet by the end of Summer Week 10, and the postgraduate boards meet by the end of November at the latest.

16.3 Procedures of the Board of Examiners

Written Statements of Assessment should include a description of the procedures followed by the Board of Examiners at its meeting(s) and by any relevant sub-committee(s), and should outline what, if any, student work is to be available at meetings of assessment panels and Boards.

17. Internal Examiners

17.1 Permanent contract, limited contract and casual staff

17.1.1 A distinction should be drawn between those staff for whom the University can accept responsibility as Internal Examiners (ie continuing employees, whether on permanent or limited-term contracts) and those for whom it cannot (ie casual teaching staff, persons not employed by the University). Those in the latter category may be involved in assessing examination work and in advising an Internal Examiner on the mark to be awarded; in every such case, however, the Internal Examiners will be required to 'second mark' the work concerned and be formally responsible for the marks awarded.

The departmental Examinations Secretary or other person appointed by the Board of Studies should be given formal responsibility for ensuring that appropriate marking procedures have been properly carried out.

17.1.2 For the purpose of Ordinance 6.4 'academic staff' includes not only teaching, but also research, library and computing staff with appropriate levels of expertise and training. Staff who are also students of the University are eligible to be Internal Examiners provided they are on permanent or limited-term contracts with the University as outlined in section 17.1.1 above.

17.2 Responsibilities

Staff nominated to act as Internal Examiners of the University may be required to take responsibility for the marking processes within single-subject or combined programmes, or taught postgraduate programmes.

17.3 Internal examiner lists

Departments will be asked to confirm lists of Internal Examiners annually for approval by the Standing Committee on Assessment. These should also indicate separately, for information, the names and status of persons covered by Section 17.1.2.

18. External Examiners

The following guidelines have been formulated on the basis of advice given in the CVCP document 'Academic Standards in Universities' (1989), the HEQC's 'Guidelines on Quality Assurance' (1996) and the QAA's UK Quality Code for Higher Education: Chapter B7. External examiners must be appointed for all provision that leads to an award of the University, including collaborative provision and all undergraduate material.

18.1 Purpose

The purpose of the University's external examining system is:

- a. to ensure that its assessment policies and procedures are fair and fairly operated, and that the principles of clarity, equity, consistency and openness are observed;
- b. to ensure that assessment methods are appropriate;
- c. to ensure that the structure and content of programmes of study are appropriate;

d. to ensure comparability of standards with other similar institutions. Ordinance 6 outlines the University's formal position on External Examiners.

18.2 Nomination and appointment

a. The Examinations Office is responsible for notifying departments that an External Examiner's period of appointment is nearing its end and that a replacement examiner needs to be nominated.

Departments are asked to provide details of nominations on a standard form issued by the Examinations Office, or available at www.york.ac.uk/about/departments/support-and-admin/registry-services/exams/examiners. Nominations are approved by the Standing Committee on Assessment on behalf of Senate.

b. Departments should provide a CV for the nominee indicating that they meet the required person specification. External examiners must be able to show appropriate evidence of the following:

- i. knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality
- ii. competence and experience in the fields covered by the programme of study, or parts thereof
- iii. relevant academic and/or professional qualifications to at least the level of the qualification being externally examined, and/or extensive practitioner experience where appropriate
- iv. competence and experience relating to designing and operating a variety of assessment tasks appropriate to the subject and operating assessment procedures
- v. sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic peers and, where appropriate, professional peers
- vi. familiarity with the standard to be expected of students to achieve the award that is to be assessed
- vii. fluency in English and where programmes are delivered and assessed in languages other than English, fluency in the relevant language(s) (unless other secure arrangements are in place to ensure that external examiners are provided with the information to make their judgements)
- viii. meeting applicable criteria set by professional, statutory or regulatory bodies
- ix. awareness of current developments in the design and delivery of relevant curricula
- x. competence and experience relating to the enhancement of the student learning experience

c. Departments should not nominate as external examiners anyone in the following categories or circumstances:

- i. A member of a governing body or committee of the appointing institution or one of its collaborative partners, or a current employee of the appointing institution or its collaborative partners
- ii. Anyone with a close professional, contractual or personal relationship with a member of staff or student involved with the programme of study
- iii. Anyone required to assess colleagues who are recruited as students to the programme of study
- iv. Anyone who is, or knows that they will be, in a position to influence significantly the future of students on the programme of study
- v. Anyone significantly involved in recent or current substantive collaborative research activities with a member of staff closely involved in the delivery, management or assessment of the programme(s) or modules in question
- vi. Former staff or students of the institution unless a period of five year has elapsed and all students taught by or with the external examiner have completed their programme(s)
- vii. A reciprocal arrangement involving cognate programmes at another institution
- viii. The succession of an external examiner by a colleague from the examiner's home department and institution
- ix. The appointment of more than one external examiner from the same department of the same institution

Where an examiner does not meet one or more of the criteria under sections 18.1.b or 18.1.c, the department must include an explanation of the ways in which the proposed examiner does not meet the required criteria and a justification for the appointment on the nomination form for consideration by the SCA.

d. Nominees should not normally hold more than one other concurrent substantial External Examinership during the relevant period

e. Former External Examiners may not normally be appointed for a further period until an intervening period of at least five years has elapsed.

f. Appointments are normally made for a period of four years. Appointments may be extended for a further year to ensure continuity, subject to the notification of the Examinations Office in Registry Services. The extensions will then be reported to the Standing Committee on Assessment.

Once approved, the Examinations Office confirms appointments in writing to the nominee.

The contract of an External Examiner may be terminated prior to the normal expiry date of the appointment if the External Examiner fails to fulfil his/her obligations to the University, or if a conflict of interest arises which cannot be satisfactorily resolved. A written request for such a termination should be submitted to the Standing Committee on Assessment for approval.

Departments are sent copies of all official University correspondence with External Examiners. Letters of appointment include details of the term of office and rates of payment of fees and expenses. External Examiners are sent copies of this document, an annual report form and an expenses claim form on appointment and annually thereafter.

18.3 The role of External Examiners

In broad terms, External Examiners are asked to:

- a. comment and give advice on programme content, balance and structure;
- b. review, evaluate and moderate examinations and other forms of assessment and assessment practices (including assessment of work-based learning, where relevant), particularly in relation to any work which contributes to progression decisions or to the final award;
- c. assist in the ongoing calibration of academic standards through the review and evaluation of the outcomes of the assessment process. For Category I programmes, External Examiners will also moderate at pass/fail and classification boundaries;
- d. be a member of, and attend, Boards of Examiners, where their signature is required to support the Board's recommendations for awards and recommendations of failure to progress, and ensure fairness and consistency in the decision-making process;
- e. submit a written report on an annual basis to the Vice-Chancellor including commentary and judgments on the validity, reliability and integrity of the assessment process and the standards of student attainment.

More specifically, this will normally include the following:

- f. Comment on draft examination papers and other forms of assessment.
- g. Scrutiny of examination scripts.

External Examiners have the right to see all examination scripts. Where a selection of scripts is scrutinised, the principles for selection should be agreed in advance. These principles should ensure

that External Examiners see a sample of scripts from the top, middle and bottom of the range and have enough evidence to determine that internal marking and classifications are of an appropriate standard and are consistent. External Examiners should normally be asked to scrutinise the scripts of borderline candidates, those of candidates assessed internally as first class or as failures.

External Examiners cannot change marks agreed by the Board of Examiners for an individual piece of work under any circumstances, but can make recommendations that marks be changed to the Board of Examiners, who are free to accept the recommendation or not. If the recommendation to change a mark is not accepted, both the recommendation and the reasons for its refusal should be minuted in the Board of Examiners minutes. If External Examiners are asked to advise on changes to marks on individual scripts, they should do it in the context of the full range of marks from all the scripts in the cohort. External Examiners for taught programmes should not act as markers under any circumstances.

Where a student undertakes a module as an elective or option in a department other than their 'home' department, the Board of Examiners and its External Examiner for the module is responsible for the mark awarded to the student for that module, within the cohort of students studying the module. The Board of Examiners and the External Examiner of the 'home' department is responsible for the incorporation of that mark into the mark profile of the student and approval of the student's overall degree classification.

h. Scrutiny of other assessed work.

All written or recorded work contributing to progression decisions or to the final award should be available for external examination or comment. External Examiners should also have access to evidence relating to other work which contributes to the final award, eg Internal Examiners' comments on oral performance in seminars.

i. Viva Voce examinations for taught students may only be used as an assessment method for entire modules or cohorts. They cannot be used to determine the degree classifications for borderline students.

j. Attendance at meetings of Boards of Examiners.

The role of the External Examiner at meetings of Boards of Examiners is particularly important in the event of disagreement on the mark to be awarded for a particular piece of assessment, or, in the case of Category I students, on the classification to be derived from the array of marks of a particular candidate. Meetings also provide a valuable opportunity for External Examiners to offer comments and advice on any aspect of the assessment process.

k. External Examiners are expected to attend meetings of the Board of Examiners when their signature is required to support recommendations for awards or progression. If, for good reason, an External Examiner cannot attend a Board of Examiners meeting in person, participation by video or telephone conferencing (with the approval of the Standing Committee on Assessment) is an

acceptable alternative. The External Examiner must have access to all relevant paperwork in order to be able to fully participate in such a meeting.

Where the award of a qualification (ie, an exit award) is an automatic consequence of a failure, an external examiner should be able to approve such an award without the need to be physically present at, or otherwise participate in, a Board of Examiners.

l. Provide an oral report on their main findings which is minuted at the Board of Examiners meeting, and which can be used for the Annual Programme Review.

m. Declare any conflicts of interest to the Chair of the Board Examiners at the earliest opportunity (see see 18.2.c).

18.4 The responsibilities of the department

Departments are responsible for ensuring that External Examiners are provided with all necessary information for the effective fulfilment of their role as outlined above, and that they are consulted at appropriate stages of the assessment process. This will include providing External Examiners with detailed syllabus and programme structure information and liaising with them on arrangements for meetings of Boards of Examiners. External Examiners should also be provided with a copy of the Annual Programme Review each year as it is submitted to University Teaching Committee. It is also considered to be good practice for the latest Annual Programme Review report, including the reports of outgoing and continuing External Examiners, to be sent to newly-appointed External Examiners. Departments should ensure that they check with new External Examiners if they have any special needs. Departments may also wish to consider ways in which Examiners might have an opportunity to meet with students on the programmes they are examining, so that they might reflect on the student experience of the provision in their reports.

Departments must document their procedures for considering the performance of Category I students near borderlines to enable them to apply the University's principles of equity, clarity, consistency and openness, and should ensure that these procedures are covered in the induction briefings and documentation provided to their External Examiners. This must be included in the programme's Written Statement of Assessment.

Individual departments are responsible for providing External Examiners with a Written Statements of Assessment policies and procedures. Departments must have published a Written Statements of Assessment in accordance with the policy outlined in Appendix A of this booklet.

When planning assessment schemes and schedules departments should ensure that they are not overloading External Examiners, but also take into account the need for effective moderation by External Examiners.

Departments are responsible for ensuring that all written or recorded work contributing to the final award or to progression decisions is available for external examination or comment. Where such work has been returned to students, students are responsible for retaining it in a portfolio for

possible future external scrutiny and departments are responsible for alerting students to this requirement.

Departments should include the name, position and institution of their external examiners in module or programme information provided to students. Departments should caveat this information however with a statement indicating that “it is inappropriate for students to make direct contact with external examiners, in particular regarding their individual performance in assessment. There are appropriate mechanisms available to students, such as appeal or complaint”. Any External Examiners who are contacted directly should forward the relevant communication directly to the Chair of Board of Studies without replying to the student.

18.5 Reporting

Examiners are asked, in their expert judgement, to report upon:

- i. whether the academic standards set for the University’s awards, or part thereof, are appropriate;
- ii. the extent to which the assessment processes are rigorous, ensure equity of treatment for students and have been fairly conducted within the University’s regulations and guidance;
- iii. the standards of student performance in the programmes or parts of programmes that they have been appointed to examine;
- iv. where appropriate, the comparability of standards and student achievements with those in some other higher education institutions;
- v. good practice they have identified.

a. Procedure

The University requires each External Examiner to submit a written annual report to the Vice-Chancellor within two months of completion of the annual examining process. At the end of a period of office, the report should be extended to cover the entire examining period.

The standard report form provided should be completed and submitted direct to the Vice-Chancellor in the pre-paid envelope supplied, or returned electronically to the Examinations Office in Registry Services.

Fees are only authorised for payment upon receipt of a signed report.

Departments are responsible for ensuring that, within a reasonable time, External Examiners are provided with a response to their comments and recommendations, including information on the

detailed consideration of their reports, and an indication of any action taken as a result of the report, or clear reasons for not accepting any recommendations or suggestions.

b. Review

External Examiners' reports are considered at meetings of Boards of Studies. In addition, the University requires all departments to carry out an Annual Programme Review of their each department's taught (and research) provision, which includes reflection on external examiners' comments and reports (where available), and to report to University Teaching Committee on the outcomes of the review. Details of Annual Programme Review are available at: www.york.ac.uk/staff/teaching/monitoring-and-review/apr.

Each department must also submit a log of issues raised by External Examiners, and the actions taken in response to the Academic Support Office. The logs should include actions taken, and an indication of any written acknowledgement sent to External Examiners of recommendations not taken forward along with the reason that these recommendations could or should not be implemented. These logs will be reviewed in Autumn for undergraduate programmes and in spring for postgraduate programmes, in order to ensure that departments are responding to External Examiners feedback in a timely and appropriate manner.

The annual programme review report is normally submitted to the University Teaching Committee by the end of November, in time for consideration at a University Teaching Committee meeting in December.

All External Examiners' reports are also scrutinised by the Chair of the University Teaching Committee, the Standing Committee on Assessment and the University Teaching Committee who takes forward any major University-wide issues of significant concern.

c. Confidential matters

The reports of External Examiners are normally available for discussion widely within the University (see section (b) above). In particular External Examiners' reports will be shared with student representatives, so it should not be possible to identify individuals (and particularly individual students) in these reports. Exceptionally, an additional, separate and confidential report may be submitted to the Vice-Chancellor if an External Examiner considers this to be appropriate (for example, on highly confidential matters related to individual candidates). Such reports will be dealt with outside the normal committee procedures.

d. Content

External Examiners are asked to comment, as appropriate, on the following:

- i. the appropriateness of programme structure and content, including the appropriateness of the learning outcomes of the programme (and all its elements) to its educational aims and those of the students;
- ii. for Foundation Degrees, the extent to which the programme meets the defining characteristics of such an award (namely, employer involvement, accessibility, articulation and progression, flexibility and partnership, as set out in the QAA Foundation Degree benchmark statement at www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/Foundation-degree-qualification-benchmark.pdf, and the appropriateness of work-based learning elements;
- iii. teaching quality and methods as revealed in examination scripts;
- iv. assessment methods, coverage of learning outcomes and whether the assessment processes and marking schemes applied by Internal Examiners are appropriate and appropriately used;
- v. the administration of all assessed work by Internal Examiners, including the time available for marking and the impartiality with which the assessments were conducted;
- vi. the standard of students' performances in terms of their knowledge, skills and understanding and comparison with those of students on similar programmes elsewhere;
- vii. the standard of particular degree classifications awarded and comparison with similar awards at other institutions;
- viii. the procedures followed by the Board of Examiners and the adequacy of the level of participation by External Examiners in the assessment process;
- ix. whether disability issues have been adequately addressed in processes;
- x. the procedures for induction and preparation for their role and the time available to perform it.

18.6 Fees and expenses

Fees for External Examiners for taught programmes are calculated on the basis of an annual fee as detailed in the letter of appointment, plus a capitation fee based on the number of students examined. Fees are paid upon receipt of a signed report. In addition, the University will reimburse travelling expenses and any other reasonable expenses necessarily incurred. Claim forms for expenses are issued to External Examiners annually by the Examinations Office.

Rules for Assessment, Progression and Award

19. Introduction

19.1 This section sets out the rules relating to assessment, progression and award under the undergraduate, graduate and taught postgraduate modular scheme. The rules apply to all undergraduate programmes (including Integrated Masters) commencing in or after academic year 2010/11, Graduate Programmes from 2012/13 and any postgraduate programmes commencing in or after 2011/12 (with the exception of programmes in the electronics department, which adopted modularisation in 2012/13).

Sections follow which outline the specific requirements for Undergraduate (U), Graduate (G) and Taught Postgraduate (P) programmes.

19.2 Details of the scheme's award, stage and module requirements for those involved in programme design, approval and review are available at www.york.ac.uk/staff/teaching/programme-development/programmes/programme-design.

19.3 A glossary of terms can be found in Appendix B.

20. Overview of the Modular Scheme

20.1 The University operates a modular scheme for taught programmes. The modular scheme requires academic programmes to comprise of modules, which are allocated a certain credit value based on notional student workload, and are assigned to levels based on their academic content and outcomes.

To be eligible for an award of the University of York a student must undertake an approved programme of study, obtain a specified number of credits (at a specified level(s)), and meet any other requirements of the award as specified in the Award Regulations and Programme Specifications, and other University regulations (eg payment of fees). Credit will be awarded upon passing a module's assessment(s). Some credit may be awarded where failure has been compensated by achievement in other modules. Some opportunities for reassessment are available.

20.2 A student must satisfy the requirements for each stage of his/her programme (a stage is equivalent to a year's full-time study) before progressing to the next stage. If a student does not meet the stage requirements s/he will be required to leave the University; s/he may be eligible for a lower volume award. Students undertaking an integrated masters who do not meet the stage requirements, may be eligible to transfer to the related bachelor's programme. Students who undertake study abroad or a work placement as 'additional' credit and do not achieve that credit, will transfer to the relevant variant of the programme.

20.3 Exceptions to the award regulations are permitted in order to meet non-negotiable requirements of Professional, Statutory and Regulatory Bodies (PSRBs). Exceptions require University Teaching Committee approval and are recorded in the Programme Specifications.

20.4 Individual student cases of mitigating circumstances are dealt with by the appropriate departmental and University committees.

20.4.1 Multi-cohort modules

20.4.1a. There must be a clear statement of learning outcomes for each cohort of students where there are students from two (or more) different years of study in the same module. These learning outcomes may or may not be different for different years of study but, either way, the assessment and mark descriptors need to be appropriate for the learning outcomes.

- a. If the learning outcomes are the same for the two cohorts then work should be marked to the same criteria and without reference to the cohort in which an individual student may lie.
- b. If the learning outcomes differ for the cohorts then there will be different assessments and/or mark descriptors for each cohort.
- c. Agreed marks need to be subject to analysis by cohort. Where there is evidence for cohort-related performance differences, marks should be moderated to ensure equitable treatment of students from different cohorts, and the assumptions of equity underlying the multi-cohort teaching will need to be re-examined.

20.4.1b Sometimes it may be academically appropriate for combined programme students to attend a module in one of their disciplines (i.e. not an elective) that is aimed at single-subject students from an earlier year. Modules should not be shared between first-year undergraduate students and students from other years without the approval of University Teaching Committee, except where they have been chosen as electives. The Chair of the Board of Studies has the responsibility of approving, or otherwise, students' choices of elective modules. Explicit approval of the University Teaching Committee is required for taught postgraduate programmes to share modules with undergraduate programmes. Weightings for the individual student should be determined by the cohort to which they belong.

20.4.1c. Where the programme specification permits it, and a student elects to take a Languages for All (LFA) module as an elective, they may do so at a lower level than their stage would normally permit, so long as the total weight of the lower-level module does not exceed 20 credits. This would allow a student to begin language study without previous experience, or further develop language skills for use after university or during a period of study abroad. Any lower level study of this nature will be reflected on the student's transcript as pass/fail only, and marks achieved will not impact on degree classifications.

21. Completion of Degrees

21.1 Recommendations from Boards of Studies for undergraduate awards are submitted to the Standing Committee on Assessment for approval on behalf of Senate. Special Cases Committee normally holds two meetings at about this time to deal with recommendations from Boards of Studies (for example, to consider recommendations for classified degrees where students have special circumstances) and possible student appeals. It is essential that departments complete the official results lists supplied by the Examinations Office and return these, with the signatures of the Chair of the Board of Studies and the External Examiner(s), immediately after their Board of Studies has approved the results. Full details of the deadline dates and procedures are circulated annually to departments by the Examinations Office.

21.2 Recommendations from Boards of Studies for the award of taught postgraduate and research degrees are submitted to the Standing Committee on Assessment who approve the awards on behalf of Senate. Departments should complete and return appropriate results lists to Registry Services, signed by the Chair of the Board of Studies and the External Examiner(s), as soon as possible after their Board has approved the results.

21.3 Results should be conveyed to students stating clearly that they are provisional until ratified by the Standing Committee on Assessment on behalf of Senate.

21.4 Parchments or other certificates are issued when enrolment is terminated at the end of a qualification. If a student subsequently re-registers for a higher stage of a programme (eg from Certificate to Diploma-level) there is no requirement to surrender the previous award document.

21.5 The role of Senate

Senate delegates the authority to the Standing Committee on Assessment, to ratify the recommendations of Boards of Studies or Graduate School Boards. Ordinance 6.7 provides additional information.

21.6 Academic Misconduct penalties under the current policy are applied at the component level. Failure of components or modules resulting from caps applied in response to academic misconduct will be treated the same way as any other failure. This may result in failure of the intended programme. Final penalties arising from academic misconduct under the policy prior to the academic year 2014/15 are subtracted at the point of award; it is recognised that a student may meet the award requirements but nonetheless fail the award for this reason.

22. University Award Requirements

Award	Minimum Credit Volume	Credit levels	Maximum elective credit volume	Combined degree: credit distribution	
				Main/Subsidiary (A with B)	Equal Combinations (A and B)
Master's Degree	180	At least 150 credits at level 7 (M)			
Postgraduate Diploma	120	At least 90 credits at level 7 (M)			
Postgraduate Certificate	60	At least 40 credits at level 7 (M)			
Integrated Master's Degree ²	480	At least 120 credits at level 7 (M) taken over stages 3 and 4	80	Variation permitted between 360:120 and 310:170	240:240 regarded as the norm, but with variation permitted up to 290:190
Bachelor's Degree with Honours	360	At least 100 credits at level 6 (H)	60	Variation permitted between 270:90 and 230:130	180:180 regarded as the norm, but with variation permitted up to 220:140
Ordinary Degree	300	At least 60 credits at level 6 (H) (over stages 2 and 3)	60		
Senior Status LLB ³	240	At least 100 credits at level 6 with no more than 100 at level 4	0		
Foundation Degree ⁴⁵	240	At least 90 credits at level 5 (I) or higher	60		
Diploma of Higher Education (DipHE)	240	At least 90 credits at level 5 (I) or higher	60		
Certificate of Higher Education (CertHE)	120	At least 90 credits at level 4 (C) or higher	40		
University Certificate of Lifelong Learning ⁶	60	60 Credits at level 4 (C) or higher	n/a		

² Students may be awarded these qualifications with a higher credit volume (for example, where study abroad or work placements are undertaken as additional credit or further credit is required to accommodate PSRB practice requirements.

³ Not available as an early exit award

⁴ Students who have successfully completed a Foundation Year (Stage 0) as part of their programme will have achieved an additional 120 credits at level 3/ HE level 0

⁵ Not available as an early exit award

⁶ Not available as an early exit award

Undergraduate Programmes

U1. Marking Scheme for Undergraduate Programmes

U1.1 Every module should be summatively assessed in order to obtain an indication of a student's success in meeting the assessment criteria used to gauge the intended learning outcomes of a module or programme. Credit will be awarded upon passing a module's assessment(s).

U1.2 Each module should carry one numerical mark rounded to the nearest integer on the relevant University mark scale, unless the module is designated as pass/fail.

Where a module assessment is made up from a number of components, the normal expectation is that the fixed weightings to be applied to each component mark should be specified in advance and made known to the students. Module marks are then calculated as the weighted mean of the component marks. Departments who would like to apply an alternative approach must obtain the permission of the Chair of the SCA, and should expect to undertake any non-standard administration associated with the alternative.

U1.3 i. The University mark scale applied at undergraduate level (for modules level 3/HE level 0 to level 6 (H)) is as follows:

- First-class Honours 70-100
- Upper second-class Honours 60-69
- Lower second-class Honours 50-59
- Third-class Honours 40-49
- Fail 0-39*

* Note that a fail mark of 30-39 is potentially compensatable (see below), and marks of 0-29 and fails on pass/fail modules are outright fails.

ii. The University mark scale applied for masters level modules used in undergraduate programmes, including integrated master's programmes (level 7/M) is as follows:

- | | |
|---|--------|
| • Distinguished performance at postgraduate level | 70-100 |
| • Good performance at postgraduate level | 60-69 |
| • Satisfactory performance at postgraduate level | 50-59 |
| • Fail | 0-49* |

* Note that a fail mark of 40-49 is potentially compensatable (see below), and marks of 0-39 and fail marks on pass/fail modules are outright fails.

U1.4 Where a Board of Examiners has reason to believe that the raw marks arising from a particular module do not provide an adequate reflection of student performance on the appropriate

University scale, the marks should be recalibrated to the University scale, either by remarking or by a rescaling procedure. If rescaling is undertaken it must be performed in the following way.

A number of points of correspondence between the original marking scale and the University scale should be identified. In particular the minimum and maximum marks on the original scale should be placed in correspondence with 0 and 100 respectively on the University scale. Points of correspondence should be located using academic judgement, bearing in mind any relevant descriptors. A sample calculation is presented in Appendix K. The same principle is to be followed, pro rata, if only part of a module assessment is affected.

It is important that the marks of all students taking the module are rescaled in the same way. If the module is shared between programmes the department taking formal responsibility for the module should take the lead in the process. The External Examiners should be informed of any rescaling and the process and its outcome(s) must be formally documented.

Any rescaling must be completed before the reports are produced for the final Board of Examiners Meeting.

U1.5 The pass mark for a given module will be determined by the standard of the module, rather than by the programme on which the student is enrolled. The pass mark for any Masters-level modules is 50, and Honours-level modules is 40, regardless of the programme to which it is contributing or the year in which they are taken.

U1.6 Modules may only be marked on a pass/fail basis with the permission of University Teaching Committee. Approval of such modules will only be granted where there is a convincing rationale for this approach (for example, competency based modules in professional/vocational subjects). Such modules will not contribute to the calculation of the final degree classification and failure in these modules cannot be compensated (see sections on Compensation below).

U1.7 In exceptional circumstances (eg, relating to PSRB requirements) a case may be made to University Teaching Committee for modules to be denoted as non-compensatable and/or for which reassessment opportunities cannot be provided. The risks related to such modules, and possible alternatives must be fully considered (see the Framework for Programme Design).

U1.8 Every stage of a programme generates, alongside the profile of module marks, a credit-weighted total mark that is carried forward to degree classification, as appropriate (see Section U3 below). This process occurs only if a student has met the progression requirements for each stage (see Section U2 below).

U2. Progression in Undergraduate Programmes⁷

U2.1 To progress from one stage to the next a student must achieve 120 credits as specified for their registered programme at the appropriate level(s) for the stage (see the relevant programme specification and the Framework for Programme Design). These credits can be obtained by passing modules, by compensating failure in a limited number of modules with marks between 30 and 40% (see “Compensation”) or by reassessment in a limited number of modules.

U2.1.1 The progression processes are run in the following order: assessment, compensation, reassessment, compensation. If a student achieves 120 credits after any one of these processes, they will progress to the following stage. If however, they fail to qualify for compensation or reassessment after failure due to the high load of failed credits, or due to not meeting the compensation rules even after reassessment, they will be deemed to have failed the stage.

U2.1.2 In addition, any supplementary progression requirements specified for their registered programme must be met.

U2.1.2a. Progression at the end of stages 2 and 3 of integrated master’s programmes requires that students meet a stage average higher than the pass mark for the modules contained in the stage. This stage average must be attained as the average of first attempt module marks, and is set at 55. Students who do not meet this progression requirement will be considered for transfer to non-integrated masters programmes, subject to them having met the progression requirements for the Bachelor’s alternative.

U2.1.2b Programmes subject to accreditation by Professional Standards and Regulatory Bodies may have additional requirements, such as higher pass marks and lower thresholds of compensation. Programme documentation should make it clear what the consequences are if a student meets normal UoY progression rules but fails to meet the PSRB requirements. These consequences may include transfer to a non-accredited programme of study or termination of the student’s study.

U2.1.3 A student should only be considered for transfer to a different programme, if s/he has met the progression requirements plus any additional programme requirements relating to the new programme of study. This may entail having made particular module selections to meet PSRB or later pre-requisite requirements, where these are essential to meet the overall programme learning outcomes. Requests to transfer must be approved by the receiving department and by the Special Cases Committee.

U2.1.4 A student may only register for additional credit (more than 120 credits per year for UG and 180 for PGT) where this is expressly approved as part of the programme specification, or with explicit permission from the Special Cases Committee. Where additional credit is taken, it cannot be

⁷ Appendix M provides an overview of progression for undergraduate awards and integrated masters.

included in the calculation of any progression decisions or degree classifications, and as such it must be clear to both the student and the department which credit is additional and which is core.

U2.2 Compensation

In defined circumstances credit may be awarded for failed module(s) where the failure is compensated by achievement in other module(s). The rounded credit weighted mean in each case will be calculated based on first attempt marks in the first instance, but will be calculated based on the lesser of the resit mark and the pass mark should the student be successful at resit. Please note: Modules which are marked as pass/fail cannot be compensated.

U2.2.1 Compensation in foundation years (stage 0)

a. If a student fails one or more modules (ie, achieves a module mark below 40) in stage 0 s/he may still receive the credit for the failed module(s) and progress to stage 1 of the programme provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and
- iii. the rounded credit-weighted mean over all modules taken in stage 0 (including the failed module(s)) is at least 40.

Compensation in foundation degrees

b. In stage 1, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and
- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.

c. In stage 2, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress to award provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and

- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.

U2.2.2 Compensation in a University Certificate of Lifelong Learning

a. If a student fails one or more modules (i.e., achieves a module mark below 40) s/he may still receive the credit for the failed module(s) and progress to the Certificate of HE 'top-up', or to award, provided that:

- i. s/he has failed no more than 20 credits, and
- ii. no module marks are lower than 30, and
- iii. the rounded credit-weighted mean over all 60 credits (including the failed module(s)) is at least 40.

U2.2.3 Compensation in Bachelors Programmes⁸

a. In stage 1, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and
- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.

b. In stage 2, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and
- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.

⁸ For students registered on a Certificate of Higher Education the stage 1 rules apply. For students registered on a Diploma of Higher Education the stage 1 and stage 2 rules apply. Centre for Lifelong Learning students who have undertaken a University Certificate of Lifelong Learning and are 'topping-up' to a Certificate of Higher Education are subject to the same overall rules for a Certificate of Higher Education but the rules will be applied in stages. A maximum of 20 credits-worth of compensation is permitted for the 60 credits of the University Certificate of Lifelong Learning (see above) and 20 credits-worth may be permitted (subject to meeting the other criteria) on the 60 credits of the Certificate of Higher Education 'top-up'.

c. In stage 3, if a student fails one or more modules s/he may still receive the credit and progress to classification provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module mark falls below the threshold for compensation appropriate for its level⁹, and
- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.

d. In the event that a student fails more than 40 credits in Stage 3 of a Bachelor's programme, they may still be considered for the award of an Ordinary degree, in which case they will be eligible for compensation in a maximum of 20 credits provided that:

- i. They have passed a minimum of 40 credits without compensation
- ii. The rounded credit-weighted mean of the 60 credits taken in the stage with the highest module marks is at least 40
- iii. No stage three module mark being counted towards the award falls below the threshold for compensation appropriate for its level⁹.

U2.2.4 Compensation in integrated masters programmes

a. In stage 1, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and
- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.

b. In stage 2, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no module marks are lower than 30, and

- iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 55.

Where a student has not met the criteria for stage 2 of the integrated masters programme but has met the criteria for the Bachelors programme, the student will be transferred to the Bachelors programme for continuing study.

- c. In stage 3, if a student fails one or more modules s/he may still receive the credit and progress provided that:
 - i. s/he has failed no more than 40 credits, and
 - ii. no module mark falls below the threshold for compensation appropriate for its level⁹, and
 - iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40, and
 - iv. the rounded credit-weighted mean over all modules taken in stages 2 and 3 (including the failed module(s)) is at least 50

Where a student has not met the criteria for stage 3 of the integrated master's programme but has met the criteria for the Bachelors programme, the student will be eligible for the award of a Bachelor's degree on the basis of their results in stages 1 to 3.

- d. In stage 4, if a student fails one or more non-ISM modules or an ISM module worth up to 40 credits, s/he may still receive the credit and progress to classification provided that:
 - i. s/he has failed no more than 40 credits, and
 - ii. no module mark falls below the threshold for compensation appropriate for its level⁹, and
 - iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 50.

⁹ For level C/4, I/5 and H/6 modules, the threshold for compensation is 30. For level M/7 modules, the threshold is 40.

Where a student has not met the above criteria for the award of an integrated masters, students will be eligible for the award of a Bachelor's degree on the basis of their results in stages 1 – 3.

U2.3 Reassessment

Reassessment is an opportunity for students to redeem failure for the award of credit to meet progression or award requirements. It should be noted that failure in pass/fail modules are always counted as outright fails and cannot be compensated, and consequently any fails of pass/fail modules must be redeemed by reassessment if the student is to progress.

U2.3.1 A student may only be reassessed in a particular module on one occasion. If a student elects not to take a reassessment opportunity when it is offered, the original module mark will be carried forward into the progression calculation at that time. It is not possible subsequently to choose to take the reassessment at a later date.

U2.3.2 Any modules for which reassessment opportunities cannot be provided should be clearly identified in the Programme Specifications and approved by University Teaching Committee. Departments may determine whether to reassess a module at the module level or at the component level in light of the nature of the assessment(s) but must make clear to the students in the module specification what the parameters of reassessment are, including whether there are any circumstances in which a student might be permitted to be reassessed on a passed component of a failed module. (This is expected normally only to be permitted in cases where the failed component is non-reassessable).

U2.3.3 The following conditions should apply to the treatment of marks after reassessment:

- a. progression decisions following reassessment should be made using the better of the original and reassessment marks for each failed module;
- b. following progression, however, where the original credit-weighted mean did not meet the progression requirement, the credit-weighted total mark for the stage should be capped to the lowest value consistent with the mean mark criterion for that stage;
- c. following progression, where the original credit-weighted mean has already met the progression requirement, the original credit-weighted total mark for the stage should be allowed to stand;
- d. Original 'first sit' marks, rather than resit marks, will be used in degree classification calculations. Resit marks will appear, uncapped, on transcripts, but will not be used in degree calculations. In the event that the credit weighted mean of first attempt marks does not meet the minimum requirement for the award, but all credits were awarded through reassessment or compensation, the award mark will be set at the lowest value consistent with passing the award.¹⁰

¹⁰ For more information on the calculation of degrees, see Section U.3

e. for stages 2, 3 and 4 of integrated masters programmes, the original stage total mark stands after progression onto the next stage within the integrated masters programme.¹¹

U2.3.4 Where a student is not permitted a reassessment opportunity (ie, cannot meet the specified progression requirements through reassessment as defined above) and there are no mitigating circumstances the student's registration will be discontinued. S/he may be eligible for a lower credit-volume award (see Section F).

U2.3.5 Resit examinations and other assessments likely to affect an undergraduate student's progress to the next year of a programme are held no later than the end of the University's resit week Monday 10th to Friday 15th August 2015, with notification to students of results and recommendations of Boards of Studies as soon as possible thereafter, but in any case no later than by the end of the third week of September.

A reassessment outside the August resit period is permissible provided that all the following conditions are met:

- students taking the reassessment have an outright fail for the module for which they are being reassessed
- it is in the interest of the student's learning not to be reassessed in the August resit period and for no other reason
- the reassessment does not impinge on teaching and other assessments
- the student is given five-weeks notice of reassessment
- the reassessment does not require a University administered examination

U2.3.6 All candidates are normally expected to attend resit examinations in York on the scheduled dates. Departments may be given the opportunity, however, to make a special case for overseas students to take resit examinations at a later date than other candidates, provided they are prepared to produce special question papers for the late resits and provided the arrangements are approved in advance by the Chair of the Standing Committee on Assessment.

U2.4 Thresholds for Reassessment

U2.4.1 Reassessment in foundation years (stage 0)

a. Where a student fails modules and the progression requirement for stage 0 cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of

¹¹ Note that this condition does not include the application of stage weighting. If the marks from stages 2 and 3 are such that stage weighting is significant when degree classification occurs, then the borderline rules will allow consideration of alternative weightings, including 1:1:1

90 credits-worth of failed modules provided that they have failed no more than 90 credits with no more than 50 credits worth of outright fail marks (ie, module marks less than 30) in that stage.

b. Reassessment in foundation degrees (stages 1,2,3)

In each stage, where a student fails modules and the progression or award requirements for the stage cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 90 credits worth of failed modules (per stage) provided that they have failed no more than 90 credits in that stage with no more than 50 credits-worth of outright fail marks (ie, module marks less than 30) in that stage.

U2.4.2 Reassessment in a University Certificate of Lifelong Learning

Where a student fails modules and the progression (to the Certificate of Higher Education ‘top-up’) and/or award requirement cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 50 credits-worth of failed modules provided that they have failed no more than 50 credits with no more than 30 credits-worth of outright fail marks (ie, module marks less than 30) in that stage.

U2.4.3 Reassessment in bachelors programmes¹²

a. In stages 1 and 2, where a student fails modules and the progression requirement for the stage cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 90 credits-worth of failed modules (per stage) provided that they have failed no more than 90 credits in that stage with no more than 50 credits-worth of outright fail marks (ie module marks less than 30) in that stage.

b. In stage 3, where a student fails modules and the award requirements for the stage cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 40 credits-worth of failed modules provided that they have failed no more than 40 credits. A student who has failed more than 40 credits can be considered for an Ordinary Degree, but is not eligible for reassessment to obtain this award.

¹² For students registered on a Certificate of Higher Education the stage 1 rules apply. For students registered on a Diploma of Higher Education the stage 1 and stage 2 rules apply. Centre for Lifelong Learning students who have undertaken a University Certificate of Lifelong Learning and are ‘topping-up’ to a Certificate of Higher Education are subject to the same overall reassessment rules for a Certificate of Higher Education but the rules will be applied in stages. See above regarding the rules relating to the 60 credits of the University Certificate of Lifelong Learning. For the 60 credits of the Certificate of Higher Education ‘top-up’ a student is entitled to reassessment in a maximum of 40 credits worth of failed modules provided that they have failed no more than 40 credits with no more than 20 credits-worth of outright fail marks (ie, module marks less than 30).

c. If, following the application of the compensation rules, a student has not met the overall progression or award requirements then they may be reassessed in modules for which potentially compensatable marks¹³ have already been achieved. This will simply be an opportunity, not a requirement.

U2.4.4 Reassessment in integrated masters programmes

a. In stage 1, where a student fails modules and the progression requirement for the stage cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 90 credits-worth of failed modules provided that they have failed no more than 90 credits with no more than 50 credits-worth of outright fail marks in that stage (ie, module marks less than 30).

b. In stage 2, where a student has met the required stage average, the student is entitled to reassessment in a maximum of 90 credits-worth of failed modules provided that they have failed no more than 90 credits with no more than 50 credits-worth of outright fail marks (ie, module marks less than 30). Where a student has not achieved the stage average for progression on the integrated master's programme, reassessment opportunities will only be provided for continuation on the bachelors programme.

c. In stages 3 and 4, where a student has met the required stage average for progression or award, reassessment opportunities will be limited to 40 credits, except in the case of a marginal failure of an ISM worth more than 40 credits in Stage 4. For stage 3, where a student has not achieved the stage average for progression on the integrated master's programme, reassessment opportunities will only be provided for award of a bachelor's degree.

Independent Study Modules in Integrated Masters Programmes¹⁴

d. Where a student has failed an ISM worth more than 40 credits on an integrated master's programme with a mark below 40, there will be no opportunity for reassessment. However, where a student has been awarded a 'marginal fail' mark of between 40 and 49 they will have an opportunity to make amendments which would enable a passing threshold to be reached. The mark after resubmission will be capped at 50. See Appendix N for guidance in relation to the criteria for awarding a marginal fail.

¹³ By potentially compensatable marks we mean marks between 30-39 (for level C/4, I/5 and H/6 modules) or 40-49 (for level M/7 modules), which could be compensated if, following reassessment, a student's profile of marks indicates the compensation criteria could be applied.

¹⁴ Reassessment opportunities within integrated masters programmes at stages 2, 3 and 4 are limited to students who have achieved the required stage average (see D.24 and D.25 above). Thus reassessment within integrated masters programmes is purely an opportunity to satisfy the credit criteria.

U3. Degree Classification (for Undergraduate Awards)

U3.1 The Bachelors with Honours and Integrated Masters awards are classified degrees.

U3.2 The mechanism for calculating degree classifications is as follows:

- Stage 1 (and stage 0 if applicable) marks are excluded from the classification calculation;
- Stage averages are calculated based on the credit-weighted mean of the first attempt marks. Only where the credit weighted mean of first attempt marks would not have met the progression criteria for the stage, the stage average will be calculated based on the credit weighted mean of best attempts and capped at the lowest value consistent with progression at that level. In this case, the lowest value consistent with progression will be used in place of the “credit weighted total” in all following processes.
- For Bachelors Programmes, the mark, rounded to the nearest integer, is computed with the credit-weighted total marks for stages 2 and 3 weighted in the ratio of 2:3;
- For Integrated Masters Programmes, the mark, rounded to the nearest integer, is computed with the credit-weighted total marks for stages 2, 3 and 4 weighted in the ratio 2:3:3;
- For all programmes, classification will be determined by the position of this mark on the University scale unless it lies in the borderline region, defined as the two points below a classification boundary;
- In borderline cases, the next higher classification will be awarded if, and only if, the mark, rounded to the nearest integer, with the credit-weighted total marks for stages 2 and 3 weighted in the ratio 1:1 OR 1:2 (for Bachelors Programmes) and 1:1:1 OR 1:2:2 (for Integrated Masters Programmes) lies in a higher classification band. No further second order conditions will be applied;
- Final penalties arising from academic misconduct investigated prior to the implementation of the 2014/15 misconduct policy are subtracted at the point of degree classification; it is recognised that a student may meet the progression requirements for all stages but nonetheless fail the award for this reason.

U3.3 Pass/fail marks do not contribute to the degree classification.

U3.4 Ordinary degrees, Certificates and Diplomas of Higher Education are not classified.

U3.5 Foundation degrees are awarded on a pass/fail basis, and the final result is calculated on marks from stage 2 modules only. The final degree classification of a student who progresses to a University of York Bachelors with Honours programme, from a Foundation degree programme, is based solely on marks from stage 3 modules.

U3.6 Boards of Examiners, when establishing final degree classifications, are entitled to give special consideration to the award of first-class Honours degrees with distinction (“starred firsts”) and to establish criteria in line with their own marking schemes to allow them to do so.

The following basic requirements for the award of first-class Honours degrees with distinction should be adhered to by all Boards of Studies:

- i. award of a distinction requires the explicit approval of External Examiners;
- ii. criteria must be expressed in terms of the University mark scale;
- iii. criteria must be specific (phrases such as ‘the great majority’ or ‘substantial’ should not be used) and state with precision what the criteria are and how they should be applied.

Candidates being considered for a first-class degree with distinction must meet the criteria for a first class degree under the Modular Scheme award rules. The criteria used to calculate distinctions should follow one of the following models:

- a. a minimum overall weighted average (usually 80%, but certainly over 70%) in all marks contributing to the final award, or
- b. a specified weighted proportion of marks over a minimum mark, and a maximum of 12.5% of the weighted contribution to the award below 65%, based on the University mark scale.

U3.6.1 Any Board of Studies wishing to recommend the award of a first-class Honours degree with distinction should submit a supporting statement together with the programme’s published criteria for such awards, to the Examinations Office for submission to the Standing Committee on Assessment/Senate. These recommendations must be submitted attached to the standard pass list, which should also indicate the recommendation of a distinction for the candidates affected.

U4. Study Abroad and industrial placements

U4.1 For the purposes of establishing the weighting in degree classifications only, study abroad and work placements should be designated as part of a stage within a programme. The study abroad or work placement should contribute to the degree classification in accordance with the formula specified for that stage, based on a credit-weighted mean.

Illustrations:

Example 1: a student take a year in Europe as 120 additional credits (lengthening a full-time bachelor’s degree to four years), designated as part of stage 2. The mark derived for stage 2 would be the credit-weighted mean across 240 credits, giving the year away a value of 20% in the overall degree classification (based on the 2:3 weighting for marks from stages 2 and 3; note that this gives equal weighting to the additional credit in relation to the ‘normal’ stage 2 for the bachelors programme).

Example 2: a student takes a year in industry as 120 additional credits (again, lengthening a full-time bachelor’s degree to four years), designated as part of stage 2. The industrial placement is marked on a pass fail basis. The mark derived for stage 2 would still be based on the credit-weighted mean across 240 credits, but would of necessity exclude the pass/fail element, giving the year in industry a

zero weighting in the overall degree classification (although whether it is passed or failed would be reflected in the final programme title awarded).

Example 3: A student takes a year in industry for which assessment is divided into two parts: the placement itself, worth 60 credits, and designated as pass/fail, and 60 credits-worth of assessed material including reflective logs and an essay. In this case, the mark for stage 2 would still be based on the credit weighted mean of the two years with the pass/fail material necessarily removed, meaning that the additional year has half the weight of the year at York.

U4.2 Study abroad and work placements should be incorporated into programmes as either 'replacement' or 'additional' credit. Where it is 'additional', this will lengthen the normal period of study required for an award.

U4.3 Where study abroad or work placements are taken as 'replacement' credit, these should usually be given marks on the University mark scale.

U4.4 Where study abroad or work placements are taken as 'additional' credit, Boards of Studies should give consideration to whether, or what proportion of, the credit should be designated as pass/fail or given a mark on the University mark scale (see the Framework for Programme Design).

U4.5 Students should be made aware that reassessment opportunities in relation to study abroad or work placements are not normally available. The nature of any reassessment opportunities should be set-out in the module description/ Programme Information. There is no University limit on the credit volume that can be reassessed in an additional year but departments must set out the details of reassessment opportunities in advance in programme information (including the credit volume that can be reassessed and the nature of the reassessment task). Reassessment is only available where it is available at the host institution, and no work should be reassessed or remarked out of context upon the student's return to York, as the home department will not have access to the teaching materials or the work of the rest of the cohort.

U4.6 Progression decisions should take place prior to a student embarking on any period of study abroad or work placement. Students who fail the preceding or 'normal' credit-load stage (taking into account the outcome of any reassessment) will not be allowed to embark on study abroad or work placement. This should be reflected in student work placement contracts.

U4.7 Students taking study abroad or work placements as additional credit will receive the credit if:

- a all pass/fail components in the additional credit are passed, and
- b the credit-weighted mean mark of any numerical marks on the University scale meets the mean mark criterion for the stage in which the additional credit is situated (eg, for additional credit designated as part of stage 2 a mean mark of 40 is required).

U4.8 Students who do not meet the above criteria may be eligible for reassessment in the failed components of the additional credit for which reassessment is available (see E.5 above).

U4.9 After reassessment, if the above criteria (E.7) are met, the student receives the additional credit and a capped total mark for the additional credit given by the lowest mark consistent with a passing credit-weighted mean (appropriate to the stage). In other cases, the student will transfer to a variant of the programme that does not include the additional credit. Marks for the failed credit will appear on the student's academic transcript but will not contribute to the calculation of the final award.

U4.10 Marks from Student Exchange Programmes

University Teaching Committee has confirmed that an important principle of the University's exchange agreements and Boards of Studies' agreement to permit students to participate in these schemes was an acceptance of the academic content of programmes, workload and assessment methods operated at the partner institution. Work produced whilst on exchange should not be assessed outside the context within which it has been produced.

- a. University Teaching Committee has noted that departmental practices must be standardised regarding the conversion of worldwide marks, to ensure parity for students across departments. Conversion tables, approved by the Standing Committee on Assessment, are provided by the Centre for Global Programmes online. These tables provide single integer mark equivalencies for each national grade or classification. Marks above the top integer can only be awarded where the Department can justify this with additional evidence beyond the transcript of study.
- b. Only in exceptional circumstances should work completed whilst on exchange be re-marked, and then only with the explicit approval of the Special Cases Committee.
- c. Departmental examinations officers must use the approved conversion tables to convert grades provided on official exchange institution transcripts in line with the department's procedure for dealing with study abroad marks. The same procedure must be applied to all students in an outgoing cohort from that department. Departments should provide External Examiners with a clear statement of how worldwide marks have been treated.
- d. Departments may use their discretion when awarding marks above the top integer in a table for students who receive the top available mark in the local grading system. Tables should be used in conjunction with other information available from the partner university to ensure that discretionary marks are justified and evidence. Evidence could include rankings in class, tutor reports, assessment sheets or other evidence, and should be reviewed on a case by case basis by the examinations officers in the department. The Centre for Global Programmes will continue to provide course evaluation forms for students to collect additional information whilst they are abroad and will advise students to keep evidence (e.g. papers and test marks) during their studies abroad.
- e. A range of marks is possible for fail grades. The minimum passing grade at a partner institution must be converted to a passing mark at York. If the partner institution has a range

of failing grades, Departments should use their discretion to award an equivalent grade between 0% and 39%.

f. Departments may appeal to the Standing Committee on Assessment to make amendments to a specific conversion table in advance of student departure should they feel that it does not provide a fair representation of student performance. Evidence should be provided as to why the amendment is required, as well as an updated conversion table for review.

g. Study Abroad marks should be converted into the largest module possible which aligns with the student's time abroad. For example, if a student has been on a full-year placement, their marks should be averaged into a single 120 credit module. For a student studying abroad for one term, their marks should be averaged into a 40 credit module. Students on joint degrees will have two marks—appropriate to the proportion of studies taken into each subject during the time abroad. For example, History/English (equal) students would have two 60 credits modules if studying abroad for the full academic year.

h. Departments are responsible for ensuring that meaningful study abroad modules are set up within SITS to input converted marks for each student.

i. Departments may choose to calculate a student's study abroad mark from the full credit load shown on the transcript or by discounting a proportion of the credit up to a maximum of 25%. For example, if the full credit load was 16 credits per semester, making 32 for the full year, taken in eight four credit modules, then two whole modules could be discounted. However, if the full credit load was 15 credits per semester, making a total of 30 for the full year, taken in six five credit module, only one module may be discounted, as two would exceed 25% of the total credits taken. Departments can decide the circumstances in which marks will be discounted (including whether they will only discount failed modules, or will discount lowest passing marks in some or all circumstances) but must ensure that a fair and consistent approach is taken when choosing to award grades based on discounted marks including consideration of joint honours students and students studying abroad for less than a full year. This policy must be advertised to student in advance and be clearly explained during the completion of each students' grade conversion checklist.

j. All departments are required to ensure that students embarking on an exchange have been informed of how their marks will be treated on returning to York, before the student departs. The Centre for Global Programmes will provide each student with a grade conversion checklist that should be used for this purpose. It is recommend that departments keep a signed copy of this checklist, along with any additional information discussed in order to respond to student queries about their grade conversions.

k. Wherever possible, marks from exchanges should be converted and available in time to meet the normal progression deadlines for returning students. Where this is not possible, for example, when students are on placements of 12 months duration, marks must be converted and student progression completed by the beginning of the autumn term.

Graduate Modular Scheme¹⁵

G1. Module requirements and marking schemes

G1.1 Every module should be summatively assessed in order to obtain an indication of a student's success in meeting the assessment criteria used to gauge the intended learning outcomes of a module or programme.

G1.2 Each module should carry one numerical mark on the relevant University mark scale, unless the module is designated as pass/fail (see below).

Where a module assessment is made up from a number of components, the normal expectation is that the fixed weightings to be applied to each component mark should be specified in advance and made known to the students. Module marks are then calculated as the weighted mean of the component marks. Departments who would like to apply an alternative approach must obtain the permission of the Chair of the SCA, and should expect to undertake any non-standard administration associated with the alternative.

G1.3 The University mark scale applied at graduate level is as follows:

- | | |
|-----------------------------|--------|
| • Distinguished performance | 70-100 |
| • Good performance | 50-69 |
| • Satisfactory performance | 40-49 |
| • Fail | 0-39* |

* Module marks of 0-29 are 'outright fails'. Module marks of 30-39 are potentially compensatable (see Section G2).

G1.4 Standards of attainment on the graduate mark scale should notionally be equivalent to those of undergraduate awards.

G1.5 Where there are good pedagogic arguments, graduate programmes may exceptionally include a maximum of 20 credits-worth of level-7 (M) modules. The use of level-7 (M) credit must be approved by University Teaching Committee and will be recorded by the University and departments. Any Masters-level modules taken as part of a graduate programme are subject to the taught postgraduate mark scale (pass mark is 50).

G1.6 Modules may only be marked on a pass/fail basis with the permission of University Teaching Committee. Approval of such modules will only be granted where there is a clear and convincing

¹⁵ Graduate programmes (Graduate Certificates and Graduate Diplomas) are those usually undertaken by students who have completed a Bachelor's degree but wish to pursue further studies that are not necessarily at a higher level (i.e. the programmes are at Honours level (like a Bachelors) not Masters level (like a Masters or Postgraduate Certificate or Diploma).

rationale for this approach (for example, competency based modules in professional/vocational subjects). Such modules cannot be compensated.

G1.7 Departments should give thought to the possibility of designating some modules in Graduate Certificates as non-compensatable,¹⁶ given their small credit volume, to ensure that it is not possible for Graduate Certificates to be awarded to students who have achieved failing marks in key components of the discipline reflected in the intended outcomes for the award. The risks related to such modules, and possible alternatives must be fully considered (see Undergraduate Modular Scheme: Framework for Programme Design, Appendix VIII). The use of non-compensatable modules must be approved by University Teaching Committee and will be recorded by the University and departments.

G1.8 Where a Board of Examiners has reason to believe that the raw marks arising from a particular module do not provide an adequate reflection of student performance on the appropriate University scale, the marks should be recalibrated to the University scale, either by remarking or by a rescaling procedure. If rescaling is undertaken it must be performed in the following way. A number of points of correspondence between the original marking scale and the University scale should be identified. In particular the minimum and maximum marks on the original scale should be placed in correspondence with 0 and 100 respectively on the University scale. Points of correspondence should be located using academic judgement, bearing in mind any relevant descriptors. A sample calculation is presented in Appendix K. The same principle is to be followed, pro rata, if only part of a module assessment is affected.

It is important that the marks of all students taking the module are rescaled in the same way. If the module is shared between programmes the department taking formal responsibility for the module should take the lead in the process. The External Examiners should be informed of any rescaling and the process and its outcome(s) must be formally documented.

G2. Compensation and reassessment

G2.1 Compensation

In defined circumstances credit may be awarded for failed module(s) where the failure is compensated by achievement in other module(s).

G2.1.1 Compensation in Graduate Certificates

If a student fails one or more modules s/he may still receive the credit provided that:

- i. s/he has failed no more than 20 credits, and

¹⁶ Departments should note that, in any case, pass/fail modules are non-compensatable by definition

ii. no module marks fall below the threshold for compensation appropriate for its level,¹⁷ and

iii. the rounded credit-weighted mean over all modules taken in the programme (including the failed modules) is at least 40.

G2.1.2 Compensation in Graduate Diplomas

If a student fails one or more modules s/he may still receive the credit provided that:

i. s/he has failed no more than 40 credits, and

ii. no module mark falls below the threshold for compensation appropriate for its level,¹⁸ and

iii. the rounded credit-weighted mean over all modules taken in the programme (including the failed modules) is at least 40.

G2.2 Reassessment

Reassessment is an opportunity for students to redeem failure for the award of credit to meet award requirements. It should be noted that failure in pass/fail modules are always classified as outright fails and cannot be compensated, and consequently any fails of pass/fail modules must be redeemed by reassessment if the student is to progress.

G2.2.1 Reassessment in Graduate Certificates

Where a student fails taught modules and the award requirements cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 20 credits-worth of failed modules provided that they have failed no more than 30 credits, with no more than 20 credits-worth of outright fail (ie module marks less than 30 (or 40 for a level-7 (M) module)).

G2.2.2 Reassessment in Graduate Diplomas

Where a student fails modules and the award requirements cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 40 credits-worth of failed modules provided they have failed no more than 60 credits, with no more than 40 credits-worth of outright fail (ie module marks less than 30 (or 40 for a level-7 (M) module)).

G2.2.3 If, following the application of the compensation rules, a student has not met the overall progression or award requirements then they may be reassessed in modules for which potentially

¹⁷ For level-6 (H) modules, the threshold for compensation is 30. For level-7 (M) modules, the threshold is 40.

¹⁸ For level-6 (H) modules, the threshold for compensation is 30. For level-7 (M) modules, the threshold is 40.

compensatable¹⁹ marks have already been achieved. This will simply be an opportunity (not a requirement).

G2.3 All programmes

A student may only be reassessed in a particular module on one occasion.

G2.4 Whilst reassessments need to be appropriate to measure the learning outcomes, they do not necessarily have to follow the same format as the first assessment. No assessment instruments with which students are unfamiliar should be introduced at the reassessment stage, however.

G2.5 Any modules for which reassessment opportunities cannot be provided should be clearly identified in the programme specification and approved by University Teaching Committee.

G2.6 Where a student is not permitted a reassessment opportunity (ie, cannot meet the specified award requirements through reassessment as defined above) and there are no mitigating circumstances s/he may be eligible for a lower volume award (see Section C above).

G3 Awards

G3.1 Graduate Certificates and Graduate Diplomas are not classified. However, a distinction could be awarded for a Graduate Diploma (see criteria below).

Distinctions (Graduate Diplomas only)

G3.2 To be recommended to Senate for the award of a Graduate Diploma with distinction a student must achieve the following at the first attempt:

- i. a rounded credit-weighted mean of at least 70 over all modules, and
- ii. no failed modules.

G4. Module requirements and marking scheme for Graduate Senior Status Bachelors Programmes

¹⁹ By potentially compensatable marks we mean marks between 30-39 for level-H (6) modules and between 40-49 for level-M (7) modules, which could be compensated if, following reassessment, a student's profile of marks means the compensation criteria could be applied.

- G4.1** Every module should be summatively assessed in order to obtain an indication of a student's success in meeting the assessment criteria used to gauge the intended learning outcomes of a module or programme. Credit will be awarded upon passing a module's assessment(s).
- G4.2** Each module should carry one numerical mark rounded to the nearest integer on the relevant University mark scale, unless the module is designated as pass/fail.
- G4.3** The University mark scale applied at Graduate Senior Status Bachelor Level (HE level 4 to level 6 (H)) is as follows:

- First-class Honours 70-100
- Upper second-class Honours 60-69
- Lower second-class Honours 50-59
- Third-class Honours 40-49
- Fail 0-39*

* Note that a fail mark of 30-39 is potentially compensatable (see below), and marks of 0-29 and fails on pass/fail modules are outright fails.

- G4.4** Where a Board of Examiners has reason to believe that the raw marks arising from a particular module do not provide an adequate reflection of student performance on the appropriate University scale, the marks should be recalibrated to the University scale, either by remarking or by a rescaling procedure. If rescaling is undertaken it must be performed in the following way.

A number of points of correspondence between the original marking scale and the University scale should be identified. In particular the minimum and maximum marks on the original scale should be placed in correspondence with 0 and 100 respectively on the University scale. Points of correspondence should be located using academic judgement, bearing in mind any relevant descriptors. A sample calculation is presented in Appendix K. The same principle is to be followed, pro rata, if only part of a module assessment is affected.

It is important that the marks of all students taking the module are rescaled in the same way. If the module is shared between programmes the department taking formal responsibility for the module should take the lead in the process. The External Examiners should be informed of any rescaling and the process and its outcome(s) must be formally documented.

Any rescaling must be completed before the reports are produced for the final Board of Examiners Meeting.

- G4.5** The pass mark for any Masters-level modules taken as part of a Graduate Senior Status Bachelors Programme is 50.
- G4.6** Modules may only be marked on a pass/fail basis with the permission of University Teaching Committee. Approval of such modules will only be granted where there is a convincing rationale for this approach (for example, competency based modules in

professional/vocational subjects). Such modules will not contribute to the calculation of the final degree classification and failure in these modules cannot be compensated (see sections on Compensation below).

- G4.7** In exceptional circumstances (eg, relating to PSRB requirements) a case may be made to University Teaching Committee for modules to be denoted as non-compensatable and/or for which reassessment opportunities cannot be provided. The risks related to such modules, and possible alternatives must be fully considered (see the Framework for Programme Design).
- G4.8** Every stage of a programme generates, alongside the profile of module marks, a credit-weighted total mark that is carried forward to degree classification, as appropriate (see Section G6 below). This process occurs only if a student has met the progression requirements for each stage (see Section G5 below).

G5. Progression in Graduate Senior Status Bachelors Programmes

- G5.1** To progress from one stage to the next a student must achieve 120 credits as specified for their registered programme at the appropriate level(s) for the stage (see the relevant programme specification and the *Framework for Programme Design*). These credits can be obtained by passing modules, by compensating failure in a limited number of modules with marks between 30 and 40% (see “Compensation”) or by reassessment in a limited number of modules.
- G5.1.1** The progression processes are run in the following order: assessment, compensation, reassessment, compensation. If a student achieves 120 credits after any one of these processes, they will progress to the following stage. If however, they fail to qualify for compensation or reassessment after failure due to the high load of failed credits, or due to not meeting the compensation rules even after reassessment, they will be deemed to have failed the stage.
- G5.1.2** In addition, any supplementary progression requirements specified for their registered programme must be met.
- G5.1.3** Programmes subject to accreditation by Professional Standards and Regulatory Bodies may have additional requirements, such as higher pass marks and lower thresholds of compensation. Programme documentation should make it clear what the consequences are if a student meets normal UoY progression rules but fails to meet the PSRB requirements. These consequences may include transfer to a non-accredited programme of study or termination of the student’s study.
- G5.1.4** A student should only be considered for transfer to a different programme, if s/he has met the progression requirements plus any additional programme requirements relating to the new programme of study. This may entail having made particular module selections to meet PSRB or later pre-requisite requirements, where these are essential to meet the overall programme learning outcomes. Requests to

transfer must be approved by the receiving department and by the Special Cases Committee.

G5.1.5 A student may only register for additional credit (more than 120 credits per year) where this is expressly approved as part of the programme specification, or with explicit permission from the Special Cases Committee. Where additional credit is taken, it cannot be included in the calculation of any progression decisions or degree classifications, and as such it must be clear to both the student and the department which credit is additional and which is core.

G5.2 Compensation

In defined circumstances credit may be awarded for failed module(s) where the failure is compensated by achievement in other module(s). The rounded credit weighted mean in each case will be calculated based on first attempt marks in the first instance, but will be calculated based on the lesser of the resit mark and the pass mark should the student be successful at resit. Please note: Modules which are marked as pass/fail cannot be compensated.

G5.2.1 Compensation in Graduate Senior Status Bachelors Programmes

- a. In stage 1, if a student fails one or more modules (ie, achieves a module mark below 40) in the stage s/he may still receive the credit for the failed module(s) and progress provided that:
 - i. s/he has failed no more than 40 credits, and
 - ii. no module marks are lower than 30, and
 - iii. the rounded credit-weighted mean over all modules taken in the stage (including the failed module(s)) is at least 40.
- b. In stage 2, if a student fails one or more modules s/he may still receive the credit and progress to classification provided that:
 - i. s/he has failed no more than 40 credits, and
 - ii. no module mark falls below the threshold for compensation appropriate for its level²⁰, and
 - iii. the rounded credit-weighted mean over all modules taken in the stage(including the failed module(s)) is at least 40.

G5.3 Reassessment

Reassessment is an opportunity for students to redeem failure for the award of credit to meet progression or award requirements. It should be noted that failure in pass/fail modules

²⁰ For level C/4, I/5 and H/6 modules, the threshold for compensation is 30.

are always counted as outright fails and cannot be compensated, and consequently any fails of pass/fail modules must be redeemed by reassessment if the student is to progress.

G5.3.1 A student may only be reassessed in a particular module on one occasion. If a student elects not to take a reassessment opportunity when it is offered, the original module mark will be carried forward into the progression calculation at that time. It is not possible subsequently to choose to take the reassessment at a later date.

G5.3.2 Any modules for which reassessment opportunities cannot be provided should be clearly identified in the Programme Specifications and approved by University Teaching Committee. Departments may determine whether to reassess a module at the module level or at the component level in light of the nature of the assessment(s) but must make clear to the students in the module specification what the parameters of reassessment are, including whether there are any circumstances in which a student might be permitted to be reassessed on a passed component of a failed module. (This is expected normally only to be permitted in cases where the failed component is non-reassessable).

G5.3.3 The following conditions should apply to the treatment of marks after reassessment:

- a. progression decisions following reassessment should be made using the better of the original and reassessment marks for each failed module;
- b. following progression, however, where the original credit-weighted mean did not meet the progression requirement, the credit-weighted total mark for the stage should be capped to the lowest value consistent with the mean mark criterion for that stage;
- c. following progression, where the original credit-weighted mean has already met the progression requirement, the original credit-weighted total mark for the stage should be allowed to stand.

G5.3.4 Where a student is not permitted a reassessment opportunity (i.e., cannot meet the specified progression requirements through reassessment as defined above) and there are no mitigating circumstances the student's registration will be discontinued. S/he may be eligible for a lower credit-volume award.

G5.3.5 Resit examinations and other assessments likely to affect an graduate student's progress to the next year of a programme are held no later than the end of the University's resit week Monday ??th to Friday ??th August 2016, with notification to students of results and recommendations of Boards of Studies as soon as possible thereafter, but in any case no later than by the end of the third week of September.

A reassessment outside the August resit period is permissible provided that all the following conditions are met:

- students taking the reassessment have an outright fail for the module for which they are being reassessed

- it is in the interest of the student's learning not to be reassessed in the August resit period and for no other reason
- the reassessment does not impinge on teaching and other assessments
- the student is given five weeks notice of reassessment
- the reassessment does not require a University administered examination

G5.3.6 All candidates are normally expected to attend resit examinations in York on the scheduled dates. Departments may be given the opportunity, however, to make a special case for overseas students to take resit examinations at a later date than other candidates, provided they are prepared to produce special question papers for the late resits and provided the arrangements are approved in advance by the Chair of the Standing Committee on Assessment.

G5.4 Thresholds for Reassessment in Graduate Senior Status Bachelors programmes

- a. In stage 1, where a student fails modules and the progression requirement for the stage cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 90 credits-worth of failed modules (per stage) provided that they have failed no more than 90 credits in that stage with no more than 50 credits-worth of outright fail marks (ie module marks less than 30) in that stage.
- b. In stage 2, where a student fails modules and the award requirements for the stage cannot be met by application of the compensation rules, the student is entitled to reassessment in a maximum of 40 credits-worth of failed modules provided that they have failed no more than 40 credits.
- c. If, following the application of the compensation rules, a student has not met the overall progression or award requirements then they may be reassessed in modules for which potentially compensatable marks²¹ have already been achieved. This will simply be an opportunity, not a requirement.

G6. Degree Classification for Graduate Senior Status Bachelor's Degree Awards

G6.1 The Graduate Senior Status Bachelors award is a classified degree.

G6.2 The mechanism for calculating degree classification is as follows:

- Stage averages are calculated based on the credit-weighted mean of the first attempt marks. Only where the credit weighted mean of first attempt marks would not have met the progression criteria for the stage, the stage average will be calculated based on the

²¹ By potentially compensatable marks we mean marks between 30-39 (for level C/4, I/5 and H/6 modules), which could be compensated if, following reassessment, a student's profile of marks indicates the compensation criteria could be applied.

credit weighted mean of best attempts and capped at the lowest value consistent with progression at that level. In this case, the lowest value consistent with progression will be used in place of the “credit weighted total” in all following processes.

- For Graduate Senior Status Bachelors Programmes, the mark, rounded to the nearest integer, is computed with the credit-weighted total marks for stages 1 and 2 weighted in the ratio of 2:3;
- The classification will be determined by the position of this mark on the University scale unless it lies in the borderline region, defined as the two points below a classification boundary;
- In borderline cases, the next higher classification will be awarded if, and only if, the mark, rounded to the nearest integer, with the credit-weighted total marks for stages 1 and 2 weighted in the ratio 1:1 OR 1:2 lies in a higher classification band. No further second order conditions will be applied;
- Final penalties arising from academic misconduct are subtracted at the point of degree classification; it is recognised that a student may meet the progression requirements for all stages but nonetheless fail the award for this reason.

G6.3 Pass/fail marks do not contribute to the degree classification.

G6.4 Boards of Examiners, when establishing final degree classifications, are entitled to give special consideration to the award of first-class degrees with distinction (“starred firsts”) and to establish criteria in line with their own marking schemes to allow them to do so.

The following basic requirements for the award of first-class degrees with distinction should be adhered to by all Boards of Studies:

- i. award of a distinction requires the explicit approval of External Examiners;
- ii. criteria must be expressed in terms of the University mark scale;
- iii. criteria must be specific (phrases such as ‘the great majority’ or ‘substantial’ should not be used) and state with precision what the criteria are and how they should be applied.

Candidates being considered for a first-class degree with distinction must meet the criteria for a first class degree under the Modular Scheme award rules. The criteria used to calculate distinctions should follow one of the following models:

- a. a minimum overall weighted average (usually 80%, but certainly over 70%) in all marks contributing to the final award, or
- b. a specified weighted proportion of marks over a minimum mark, and a maximum of 12.5% of the weighted contribution to the award below 65%, based on the University mark scale.

G6.4.1 Any Board of Studies wishing to recommend the award of a first-class Honours degree with distinction should submit a supporting statement together with the programme’s published

criteria for such awards, to the Examinations Office for submission to the Standing Committee on Assessment/Senate. These recommendations must be submitted attached to the standard pass list, which should also indicate the recommendation of a distinction for the candidates affected.

Postgraduate Programmes

P1. Marking Schemes for Taught Postgraduate Programmes

P1.1 Every module shall be summatively assessed in order to obtain an indication of a student's success in meeting the assessment criteria used to gauge the intended learning outcomes of a module or programme.

P1.2 Each module should carry one numerical mark, unless the module is designated as pass/fail (see below). The pass mark for level 7 (M) modules is 50.

Where a module assessment is made up from a number of components, the normal expectation is that the fixed weightings to be applied to each component mark should be specified in advance and made known to the students. Module marks are then calculated as the weighted mean of the component marks. Departments who would like to apply an alternative approach must obtain the permission of the Chair of the SCA, and should expect to undertake any non-standard administration associated with the alternative.

P1.3 i. The University mark scale applied at taught postgraduate level (level 7 (M) modules) is as follows:

- | | |
|---|--------|
| • Distinguished performance at postgraduate level | 70-100 |
| • Good performance at postgraduate level | 60-69 |
| • Satisfactory performance at postgraduate level | 50-59 |
| • Fail | 0-49* |

* Note that a fail mark of 40-49 is potentially compensatable (see below), and marks of 0-39 and fail marks on pass/fail modules are outright fails.

ii. The University mark scale applied for components in H level modules included in taught postgraduate programmes is as follows:

- First-class Honours 70-100
- Upper second-class Honours 60-69
- Lower second-class Honours 50-59
- Third-class Honours 40-49
- Fail 0-39*

* Note that components on H level modules taught as part of taught postgraduate programmes will be combined into a single integer mark. This mark will be converted into a pass/fail mark, where marks greater than or equal to 40 will represent a pass.

P1.4 In order to be awarded a postgraduate award, a student must achieve an award mark of at least 50% in one of two ways:

- As a credit weighted mean of all first attempt taught module marks and any ISM
- Where a student does not achieve at least 50% as the credit weighted mean of all first attempts, the credit weighted mean of all best attempts will be used, and this mean will be capped at 50%

P1.5 Level 7 (M) modules may only be marked on a pass/fail basis with the permission of University Teaching Committee. Approval of such modules will only be granted where there is a convincing rationale for this approach (for example, competency based modules in professional/vocational subjects or where students are being introduced to a wide variety of techniques as part of an interdisciplinary programme). Such modules cannot be compensated, though reassessment is possible where credit loads permit.

P1.6 All level 6 (H) modules taken as part of a postgraduate programme must be marked on a pass/fail basis. Compensation is not possible on these modules, though reassessment is possible where credit loads permit.

P1.7 Boards should also give thought to the possibility of designating some modules as non-compensatable, particularly within Postgraduate Certificate programmes given their small credit volume, to ensure that it is not possible for Postgraduate Certificates to be awarded to students who have achieved failing marks in key components of the discipline reflected in the intended learning outcomes for the award. The designation of modules as non-compensatable and/or not available for reassessment requires specific approval from UTC. The risks related to such modules, and possible alternatives must be fully considered (for more information, see the Taught Postgraduate Modular Scheme: Framework for Programme Design [www.york.ac.uk/media/staffhome/learningandteaching/documents/programmedevelopment/framework%20-%20PGT%20-FINAL.pdf]).

P1.8 Where a Board of Examiners has reason to believe that the raw marks arising from a particular module do not provide an adequate reflection of student performance on the appropriate University scale, the marks should be recalibrated to the University scale, either by remarking or by a rescaling procedure. If rescaling is undertaken it must be performed in the following way.

A number of points of correspondence between the original marking scale and the University scale should be identified. In particular the minimum and maximum marks on the original scale should be placed in correspondence with 0 and 100 respectively on the University scale. Points of correspondence should be located using academic judgement, bearing in mind any relevant descriptors. A sample calculation is presented in Appendix K. The same principle is to be followed, pro rata, if only part of a module assessment is affected.

It is important that the marks of all students taking the module are rescaled in the same way. If the module is shared between programmes the department taking formal responsibility for the module

should take the lead in the process. The External Examiners should be informed of any rescaling and the process and its outcome(s) must be formally documented.

P2. Progression requirements in Taught Postgraduate Awards

P2.1 Each taught master's degree will have a progression point at the end of the taught section of the programme. In order to progress, students must have been awarded all credits for the taught section either by passing the original assessments, by compensation or by passing the reassessments in line with the compensation and reassessment rules below.

The progression processes will be run in the following order: assessment, compensation, reassessment, compensation.

P2.2 Progression Boards

Progression Boards must take place for all Masters Programmes as soon as possible after all taught elements are marked. Decisions about reassessment, compensation and early exit awards will be made at the progression board. External Examiners must be involved in these meetings, either in person or by teleconference or email, and must have access to students completed and marked scripts prior to any meeting.

P2.3 Staged programmes

Where a staged approach is taken to a programme (ie, students register for a Certificate before progressing to a Diploma, etc.), the assessment rules are cumulative. So, for example, if a student undertakes 20 credits of reassessment during the 60 credits of the Certificate stage, they will only have 20 credits of reassessment available to them during the 60 credits of the Diploma stage. This is to ensure that all students who are awarded a Diploma or Masters have been subject to the same rules.

P2.4 Optional Additional Credit

Students may only take more credit than is required by their programme with the explicit permission of the Special Cases Committee. In the event that additional credit is approved, it will not contribute to progression or award requirements, and as such, additional credit must be distinguished from credit for award at the outset of the module.

P.2.5 Compensation

In defined circumstances credit may be awarded where a fail mark(s) has been compensated for by achievement in other module(s); provided that it can be demonstrated that the programme's learning outcomes can still be achieved.

Modules that are marked on a pass/fail basis cannot be compensated. Any other modules that are non-compensatable must receive explicit approval from University Teaching Committee and must be recorded in the Programme Specifications.

P2.5.1 Compensation in Masters²²

If a student fails one or more non-Independent Study Modules (ISM) (ie, achieves a mark below 50) s/he may still receive credit for the failed module(s) provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no marks are lower than 40, and
- iii. the rounded credit-weighted mean over all non-ISM modules (including the failed module(s)) is at least 50. (This will be calculated based on first attempt marks in the first instance, but will be calculated based on the lesser of the resit mark and the pass mark should the student be successful at resit.)

Independent Study Module(s) cannot be compensated.

P2.5.2 Compensation in Postgraduate Diplomas²³

If a student fails one or more modules (ie, achieves a mark below 50) s/ he may still receive credit for the failed module(s) provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no marks are lower than 40, and
- iii. the rounded credit-weighted mean over all modules (including the failed module(s)) is at least 50.

P2.5.3 Compensation in Postgraduate Certificates

If a student fails one or more modules (ie, achieves a mark below 50) s/ he may still receive the credit for the failed module(s) provided that:

- i. s/he has failed no more than 20 credits, and
- ii. no marks are lower than 40, and

²² Applied at the end of the 'taught' component of the programme

²³ Where a staged approach is taken to a programme (eg students register for a Certificate before progressing to a Diploma), the assessment rules are cumulative. So, for example, if a student undertakes 20 credits of reassessment during the 60 credits at the certificate stage, they will only have 20 credits of reassessment available to them during the 60 credits of the diploma stage.

iii. the rounded credit-weighted mean over all modules (including the failed module(s)) is at least 50.

P2.6 Reassessment²⁴

P2.6.1 A student may only be reassessed in a particular module on one occasion. If a student elects not to take a reassessment opportunity when it is offered, the original module mark will be carried forward into the progression calculation at that time. It is not possible subsequently to choose to take the reassessment at a later date.

P2.6.2 Any modules for which reassessment opportunities cannot be provided should be clearly identified in the Programme Specifications and approved by University Teaching Committee.

The following conditions should apply to the treatment of marks after reassessment:

- a. progression decisions following reassessment should be made using the better of the original and reassessment marks for each failed module;
- b. following progression, however, where the original credit-weighted mean did not meet the progression requirement, the credit-weighted total mark for the stage should be capped to the lowest value consistent with the mean mark criterion for that stage;
- c. following progression, where the original credit-weighted mean has already met the progression requirement, the original credit-weighted total mark for the stage should be allowed to stand;
- d. Original 'first sit' marks, rather than resit marks, will be used in calculations of award marks, and for merits and distinctions. Resit marks will appear, uncapped, on transcripts, but will not be used in degree calculations. In the event that the credit weighted mean of first attempt marks does not meet the minimum requirement for the award, but all credits were awarded through reassessment or compensation, the award mark will be set at the lowest value consistent with passing the award.²⁵

P2.6.3 Where a student is not permitted a reassessment opportunity (ie, cannot meet the specified progression requirements through reassessment as defined above) and there are no mitigating circumstances the student's registration will be discontinued. S/he may be eligible for a lower credit-volume award.

P2.6.4 If, following the application of the compensation rules, a student has not met the overall progression or award requirements then they may be reassessed in modules for which potentially

²⁴ Information about the timing of reassessments is included in www.york.ac.uk/media/staffhome/learningandteaching/documents/programmedevelopment/framework%20-%20PGT%20-FINAL.pdf

²⁵ For more information on the calculation of degrees, see Section P4

compensatable marks have already been achieved. This will simply be an opportunity (not a requirement).

P2.6.5 If it is not possible for a student to achieve the credit required for her/ his intended award by reassessment, s/he is entitled to be reassessed for a lower credit volume award, as appropriate. The number of credits in which s/he is entitled to be reassessed will be capped at the number permitted for the lower credit volume award.

P2.6.6 For non-ISM modules, marks obtained following reassessment will not be capped. The reassessment mark will appear on the transcript but it will clearly indicate where marks have been achieved at first attempt and at reassessment.

P2.6.7 Reassessment is an opportunity for students to redeem failure for the award of credit to meet award requirements. Students on taught postgraduate programmes must be informed of reassessment opportunities at least three weeks prior to the deadline or examination in order for them to prepare.

P2.6.8

Masters: non-ISM modules

a. Where a student has failed modules and the award requirements cannot be met by application of the compensation criteria, s/he is entitled to reassessment in a maximum of 40 credits-worth of failed modules provided that they have failed no more than 60 credits with no more than 40 credits-worth of outright fail (ie. Module marks less than 40).

Masters: independent study module (ISM)

b. Where a student has failed a Masters' ISM with a mark below 40 there will be no opportunity for reassessment. However, where a student has been awarded a 'marginal fail' mark of between 40 and 49 they will have an opportunity to make amendments which would enable a passing threshold to be reached. The mark after resubmission will be capped at 50. See Appendix N for guidance in relation to the criteria for the awarding of a 'marginal fail'.

P2.6.9 Postgraduate Diploma²⁶

Where a student has failed modules and the award requirements cannot be met by application of the compensation criteria, s/he is entitled to reassessment in a maximum of 40 credits-worth of

²⁶ Module marks of 0-39 and fails on pass/fail modules are 'outright fails'. Module marks of 40-49 are potentially compensatable (see Section P2.5).

failed modules provided that they have failed no more than 60 credits with no more than 40 credits-worth of outright fail (ie Module marks less than 40).

2.6.10 Postgraduate Certificate

Where a student has failed modules and the award requirements cannot be met by application of the compensation criteria, s/he is entitled to reassessment in a maximum of 20 credits-worth of failed modules provided that they have failed no more than 30 credits with no more than 20 credits-worth of outright fail (ie Module marks less than 40).

P3 Assessment rules for Masters that consist of 240 or more academic credits

Note that the following rules do not apply to the MA in Social Work. Where a Masters consists of 240 or more academic credits and, as a consequence, exceeds one academic year when taken on a full-time basis, the compensation and reassessment rules will be applied at the end of the first and second year of the programme.

Specifically,

P3.1 At the end of the first year a progression board is held and the following rules are applied to the modules taken in year 1:

Compensation in Masters of 240 Credits or more

If a student fails one or more non-ISM modules (ie, achieves a mark below 50)

- i. s/he may still receive credit for the failed module(s) provided that:
- ii. s/he has failed no more than 40 credits, and
- iii. no marks are lower than 40, and
- iv. the rounded credit-weighted mean over all non-ISM modules (including the failed module(s)) is at least 50.

Reassessment in Masters of 240 Credits or more

Where a student has failed modules and the award requirements cannot be met by application of the compensation criteria, s/he is entitled to reassessment in a maximum of 40 credits-worth of failed modules provided that they have failed no more than 40 credits.

P3.2 At the end of the second year a final examination board is held and the following rules are applied to the modules taken in year 2:

Compensation in Masters

If a student fails one or more non-ISM modules (i.e., achieves a mark below 50) s/he may still receive credit for the failed module(s) provided that:

- i. s/he has failed no more than 40 credits, and
- ii. no marks are lower than 40, and
- iii. the rounded credit-weighted mean over all non-ISM modules (including the failed module(s)) is at least 50.

P4 Merits and Distinctions for Postgraduate Degrees

P4.1 Postgraduate degrees are not classified, so undergraduate classification terminology should not be used to describe achievement at this level (eg. 2:1, First). The awards of Masters will, however, be marked out with Merit or Distinction where the student meets the appropriate criteria. The Postgraduate Diploma will also be marked out with a Merit or Distinction where the student meets the appropriate criteria, regardless of whether the award is achieved as an intended award, an early exit award, or as the result of a failed ISM.

P4.2 The award of Postgraduate Certificate is not eligible for Merit or Distinction, regardless of whether it is achieved as an intended award or an early exit route.

Merits***Masters***

P4.3 To be recommended to Senate for the award of a Master's degree with merit a student must achieve the following at first attempt:

- i. a rounded credit weighted mean of at least 60 over all modules, and
- ii. a rounded credit weighted mean of at least 60 in the Independent Study Module(s) taken, and
- iii. no more than 20 credits of failed modules, with no module marks below 40.

Postgraduate Diplomas

P4.4 To be recommended to Senate for the award of a Postgraduate Diploma with merit a student must achieve the following at first attempt:

- i. a rounded credit weighted mean of at least 60 over all modules, and

- ii. no more than 20 credits of failed modules, with no outright failures module marks below 40.

Distinctions Masters

P4.5 To be recommended to Senate for the award of a Master's degree with distinction a student must achieve the following at first attempt:

- i. a rounded credit weighted mean of at least 70 over all modules, and
- ii. a rounded credit weighted mean of at least 70 in the Independent Study Module(s) taken, and
- iii. no failed modules.

Postgraduate Diplomas

P4.6 To be recommended to Senate for the award of a Postgraduate Diploma with distinction a student must achieve the following at first attempt:

- i. a rounded credit weighted mean of at least 70 over all modules, and
- ii. no failed modules.

Mitigating Circumstances

The Mitigating Circumstances Policy applies to all Category 2 students and must be used in all such cases.

Many departments are using this Policy for cases arising among Category 1 students – ie those enrolled on programmes which are not operating under the new modular scheme – but it is not mandatory to do so. Mitigating circumstances must be treated under either this policy or pre-modularisation mitigating circumstances policies for entire cohorts within each department and the two systems cannot be used interchangeably.

For forms and student guidance related to mitigating circumstances, contact department administrators or Student Support Services.

23. Mitigating Circumstances

23.1 Principles

The University defines mitigating circumstances as problems that students have encountered which go beyond the normal difficulties experienced in life and which have affected their academic performance adversely during the assessment period for which they are claiming.

- i. Where assessments are affected by mitigating circumstances the normal time-scale for completion of the programme should be adhered to as far as possible.

This principle applies to situations where assessments have been affected by mitigating circumstances rather than to situations where attendance/ receipt of teaching has been affected. Where a student has not received teaching or met attendance requirements as a result of mitigating circumstances leave of absence/ repeat study, which will extend the normal length of the programme, might be needed.

- ii. Mitigating circumstances should normally be considered and any action decided and applied before the end of the stage of the programme during which they occur.

Consideration of mitigating circumstances should take place more frequently than annually and ideally termly. This is in order to provide opportunities throughout the year to enable students to rectify damaged²⁷ assessments, particularly where these relate to professional and / or progression requirements or lab working. As far as possible, approval of arrangements to alter the deadline for completion of module assessment (whether coursework submission or formal examination) must be made in advance of the deadline.

²⁷ A 'damaged' assessment is one where the outcome is likely to have been affected by relevant mitigating circumstances for which acceptable evidence has been provided. The assessment may have been missed or failed or passed.

iii. Approval of recommendations from the Mitigating Circumstances Committee (MCC) should be at Board of Studies level with appeals to the University's Special Cases Committee (SCC).

Consideration of mitigating circumstances for students on combined programmes should be by the Combined MCC even where the affected module 'belongs' to one of the departments.

iv. The External Examiner must not be involved in the mitigating circumstances procedure.

v. The usual means of compensating for mitigating circumstances affecting an assessment should be the opportunity to take the assessment 'as if for the first time'.

vi. The opportunity of taking the assessment 'as if for the first time' should apply at all stages including the final year.

It is expected that all normal re-assessments and attempts 'as if for the first time' will be taken or will have a hand-in date during the third week of August. Marking of assessments will be completed by the end of August each year.

vii. Where a student is taking an assessment 'as if for the first time' the new mark will stand. The original mark cannot be used except with the approval of SCC on a case-by-case basis.

Such approval is expected to be very exceptional. It might, for example, occur if the sit 'as if for the first time' is itself separately damaged and there is a reason why it is not appropriate for the student to take leave of absence in order to attempt the assessment again.

Students are permitted to decline the opportunity for a sit 'as if for the first time', and in such cases the original 'damaged' mark will stand. This allows a student whose circumstances have affected more than one assessment to choose to take some but not all of the 'damaged' assessments 'as if for the first time'. Students should not be deterred from submitting legitimate mitigating circumstances because they fear that doing so may require them to take the assessment again, particularly if they passed the original assessment in spite of their circumstances. Students should be made aware of their original mark, if available, at the time of being offered a 'sit as if for the first time' as an outcome of submission of mitigating circumstances. Students will not be able to choose between marks gained at the first and second attempt. The original mark will become void when the second attempt takes place. Failure to attend or submit for assessment 'as if for the first time' will be treated as declining the opportunity to do so. Departments should set a date by which students must inform them of their decision to accept or decline the sit(s) 'as if for the first time'.

viii. Consideration of mitigating circumstances with a view to promotion to a higher class of degree will no longer be possible. Mitigating circumstances will have received consideration throughout the programme so should not be re-visited at the end.

In exceptional cases a recommendation for a higher class of degree can be made to SCC. Such a recommendation might be appropriate where it has not been possible for mitigating circumstances to be submitted and considered before the end of the stage of the programme during which they occurred. It is not expected, however, that the award of a higher class of degree would be recommended without full and formal consideration of the individual circumstances of any such case.

Example: A student is diagnosed with a disability which is of an ongoing nature, eg dyslexia, during their third year. Adjustments are made for that academic year, an improvement in academic performance is noted and the student's final mark is borderline. Assessments in previous years when no adjustments were made are likely to have been affected by the disability.

In the event that such a recommendation is accepted by the Special Cases Committee, the following ratios will be applied to the credit weighted stage averages in order to determine whether the student reaches the required average for the higher degree classification:

	2 nd Year Affected	3 rd Year Affected	4 th Year Affected
Bachelor's Degree	1:3	N/A	N/A
Integrated Masters	1:3:3	4:3:8	N/A
	2:3:8		N/A

Please note: any mitigating circumstances which affected the final year of study should be addressed using the provisions in the other sections of this policy, including extensions and sittings as if for the first time.

The consideration of such a case does not require that the student be in a 'borderline' before the alternate weighting, and should the recommendation be approved, the award mark which is shown on the student transcript will remain the traditional 2:3 or 2:3:3 ratio. Only the degree classification would change.

- ix. Mitigating circumstances should not be considered at MCC/Board-of-Studies level without completion of the University's standard form and provision of satisfactory evidence.
- x. Consideration of mitigating circumstances must always take place prior to consideration of the assessment result by the Board of Examiners/Board of Studies.

If the MCC has been notified of mitigating circumstances at the appropriate time but the evidence has not been supplied, it may make a decision if the following conditions are met:

- a. The student has stated the nature of the evidence;
- b. The student has stated why it is not currently available and the MCC accepts the reason(s);
- c. The student has stated when the evidence will be available;

- d. The evidence is subsequently submitted as stated.

Example: A student has an accident close to the time of assessment and medical evidence has been requested but not supplied by the doctor in time for MCC consideration.

Where notification of mitigating circumstances is submitted after the relevant meeting of the MCC, or the above conditions relating to evidence are not met, the student must follow the procedure for academic appeals through SCC.

- xi. Mitigating Circumstances Policy and Academic Misconduct Policy

Circumstances which might be acceptable as mitigating under this policy will not normally be acceptable as mitigation against the award of penalties in relation to academic misconduct. For the definition of mitigating circumstances with respect to academic misconduct, please refer to the Academic Misconduct Policy.

Example: The death of a close relative is a mitigating circumstance against the award of a particular mark for a module, since the death adversely affected the student's performance on the assessment for which that mark was awarded, but this death is not a mitigating circumstance against the award of penalties for having committed academic misconduct on an assessment.

- xii. Mitigating Circumstances Policy and Equality

The Policy should be applied in accordance with the University's equality policies, which are located at www.york.ac.uk/admin/eo/policies/index.htm

23.2 Procedure for the consideration of mitigating circumstances

This procedure applies to the treatment of any assessment undertaken on any taught programme whether these are examinations administered by Academic Registry or other forms of assessment administered by departments.

23.2.1 Students with Disabilities

This procedure does not apply to recommendations for individual arrangements in assessments on the grounds of disability which should continue to be made to the Standing Committee on Assessment.

Where a student has a disability and reasonable adjustments are in place to accommodate that disability then the disability is not regarded as mitigating circumstances.

Consideration of disability as mitigating circumstances may be appropriate for periods of the programme during which reasonable adjustments were not in place either because of late diagnosis or delays in receiving support, or where such arrangements have broken down. The Mitigating

Circumstances Committee (MCC) will need to consider issues of timing and responsibility in such cases. Students who present mitigating circumstances on the basis of such delays would be expected to produce evidence of the reasons for the delay.

Consideration of disability as mitigating circumstances may also be appropriate where evidence is provided that an abnormal or unforeseeable temporary change or increase in severity of the disability has occurred. The MCC would need to consider whether the student had the experience or time to manage the situation.

If a student who is known to have a disability presents mitigating circumstances the MCC should be made aware of the student's disability status.

23.2.2 Composition of the Mitigating Circumstances committee (MCC)

i. Mitigating circumstances must be considered by a 'Mitigating Circumstances Committee' (MCC) which must be a sub-committee of the Board of Studies. This includes consideration of mitigating circumstances arising during an assessment. There is to be one MCC for each Board of Studies (a single-subject MCC) covering all programmes within the remit of that BoS and one MCC for each Combined BoS (a Combined MCC) covering all programmes within the remit of that Combined BoS.

ii. *Single-subject membership of MCC:*

A single-subject MCC must consist of five members of academic staff selected by, but not including, the Chair of the Board of Studies in consultation with the Head of Department. The quorum for meetings of the MCC is three, and an MCC meeting must not take place unless it is quorate. The term of office for members of the MCC should normally be three years. In exceptional circumstances, the Chair of the BoS in consultation with the Head of Department can extend the period of office for a member to four years.

iii. *Combined-subject membership of MCC*

A Combined MCC must consist of four members of academic staff selected by, but not including, the Chair of the Combined Board of Studies in consultation with the Heads of Department. If a Combined MCC cannot agree on the acceptability of mitigating circumstances in an individual case, the Chair of Combined MCC shall have a casting vote. The quorum for meetings is three with at least one member from each department, and an MCC meeting must not take place unless it is quorate. The term of office for members of the MCC should normally be three years. In exceptional circumstances, the Chair of the BoS in consultation with the Head of Department can extend the period of office for a member to four years.

iv. *Chair and administrator of MCC*

The Chair of the BoS/Chair of the Combined BoS in consultation with the Head(s) of Department should recommend for appointment by SCC a fixed Chair of the MCC/ Combined MCC from its members. (Combined) MCC meetings should be serviced by an administrator, and all decisions must be recorded.

v. Students are not permitted to attend the (Combined) MCC meetings

vi. *Conflict of interest*

In cases where a formal complaint has been lodged against a member of the (Combined) MCC by a student making a claim of mitigating circumstances, or there is an evidenced conflict of interests for a member of the (Combined) MCC, that member should exclude themselves from consideration of the relevant case(s). If, as a result of such exclusions, the (Combined) MCC has insufficient members to conduct its business, then the Chair of the (Combined) MCC may propose to SCC that alternative members should be co-opted.

23.2.3 Responsibilities related to (Combined) MCC

i. *Deadlines for submission of mitigating circumstances*

It is the responsibility of the Board of Studies /Combined Board of Studies to set and publish the deadlines for submission of mitigating circumstances in relation to particular assessments, taking into account the time needed to assemble paperwork for the (Combined) MCC meetings. The deadline should be stated on the Mitigating Circumstances Claim Form, and, wherever possible, it should be set to ensure that the application is received and any extension approved before the normal deadline for completion of the assessment.

When students are incapacitated they must complete the University's Mitigating Circumstances Claim Form within a week of the normal deadline for completion of the assessment, though they may be accepted later where there are exceptional circumstances, and the claim form is accompanied by compelling evidence detailing the reasons for late submission. Claims of mitigating circumstances must not be considered at the (Combined) MCC level without completion of the above-named form and provision of supporting evidence (see also section 26.1.x). Third party applications for consideration of mitigating circumstances should not be accepted unless the submitter has power of attorney for the student concerned.

Mitigating circumstances submitted during an assessment with appropriate evidence should be considered by the Chair of the (Combined) MCC and one other member of the (Combined) MCC, who together have the power to grant an extension to the deadline for the assessment. Any such decisions should be reported with the evidence to the next full meeting of the (Combined) MCC.

ii. *Timing of meetings*

The (Combined) MCC must meet at the conclusion of each Common Assessment Period, and more frequently when required. The meeting must be held in sufficient time to allow its recommendations to be input into the student record system (SITS), that is, at least three working days prior to any relevant Board of Examiners meeting in order that these recommendations may appear on the relevant reports. It is understood that Boards of Examiners may sometimes meet without an External Examiner present and release provisional results.

iii. *Confidentiality*

Consideration of mitigating circumstances cannot be anonymous but should, however, remain confidential. Discussions and decisions should not normally be disclosed outside the (Combined) MCC and the recording of decisions. It should be noted, however, that in cases where a student makes an appeal or complaint against a decision of the (Combined) MCC, the documentation may need to be seen by the Chair of the (Combined) BoS for comment if requested by the SCC in its investigation of a complaint or appeal.

iv. Where the student is offered an attempt 'as if for the first time', the options which will be available if that attempt is failed must be explained to the student before the attempt takes place. Where a student fails an assessment taken 'as if for the first time' during the third week of August, or where the assessment is itself 'damaged', a leave of absence or suspension of enrolment may be needed to accommodate any further (re-) assessment.

v. Any requests for consideration of mitigating circumstances which fall outside this procedure should be submitted to Special Cases Committee for consideration.

vi. The student must be informed in writing of the decision as soon as possible. Notification from a University email address to the student's University email address is acceptable.

vii. When the procedure has been completed, the Mitigating Circumstances Claim Form and supporting evidence should be retained on the student's departmental file in a sealed envelope or in a password protected electronic file which states that the envelope should be opened only by a member of the (combined) MCC or the Chair of the (Combined) BoS in the event that SCC request their comment as part of an appeal/complaint being investigated.

viii. Where a decision relating to acceptance of mitigating circumstances is taken outside a meeting of the (Combined) MCC, a report of such decisions should be made to the next meeting of the (Combined) MCC, whether that is the scheduled meeting or an interim meeting called by the Chair of the (Combined) MCC, and thereby recommended to the SCC. The student record system (SITS) should be updated with the decision as soon as possible and, in any case, within a week of each formal meeting.

ix. Where mitigation is claimed against a module delivered outside of a student’s home department(s), students may be offered extensions, or sits as if for the first time at the next available opportunity. Any additional or alternative assessments can only be offered with the agreement of the host department, and where pedagogic and practical concerns make them practicable.

23.3 Acceptability or otherwise of circumstances

Please note that the MCC can make recommendations to Special Cases Committee in relation to mitigating circumstances which it wishes to accept but which are not covered below.

Section A: Reasons for non-acceptance of mitigating circumstances

The following examples are indicative but not exhaustive.

1. The full information required by the mitigating circumstances form is incomplete;
2. No independent documentary evidence has been supplied to support the request (letters from family, fellow students or academic supervisors are not normally sufficient on their own – see below for acceptable evidence);
3. The timing of the circumstances cited would not have adversely affected the assessment(s);
4. The nature of the circumstances cited is not over and above the normal difficulties experienced in life;
5. The evidence submitted does not support the student’s claim that the nature of the circumstances was over and above the normal difficulties;
6. The mitigating circumstances form was not submitted by the department deadline as stated on the form and the mitigating circumstances would not have prevented the student making a claim by the departmental deadline;
7. Sufficient mitigation has already been made for the same circumstances;
8. The mitigation is a disability for which reasonable adjustments have been made (see the guidance in the Procedure document).

Section B: Circumstances normally accepted and types of acceptable evidence

Circumstances Normally Accepted	Examples of evidence that would support a claim based on this circumstance
Compassionate Grounds	A letter from the Open Door Team, a counsellor or a relevant independent third-party explaining that, in their professional opinion,

	the circumstances have had a serious impact on your ability to engage with academic work effectively during the assessment period in question
Exceptional Personal Circumstances²⁸	A letter from a relevant independent third-party (such as the Open Door Team, a counsellor, or a GP) explaining that, in their professional opinion, the circumstances have had a serious impact on your ability to engage with academic work effectively during the assessment period in question
Close Bereavement²⁹	A death certificate
Victim of a Serious Crime	A crime report and number
Disabilities for which reasonable adjustment are not yet in place and where the delay is not due to the student	A letter from Disability Services
Serious and Unforeseeable Transport Difficulties	A letter from the relevant transport company or evidence of a major road incident
Interviews for placement or for employment	Evidence showing that the interview date cannot be rearranged
Legal Proceedings requiring attendance	A letter from a solicitor or a court

For part time student and research student in their continuation period:

Paid work commitment or unexpected constraints arising from paid employment	Evidence of employment explaining that the circumstances have had a serious impact on your ability to engage with academic work effectively during the assessment period in question
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NB: The timing and nature of the above circumstances should have adversely affected the assessment. Where the timing and nature has affected longer periods, leave of absence should be considered.

Section C: Circumstances never accepted

1. Loss of work not backed-up on disk or printing problems.
2. Misreading of the examination timetable.

²⁸ For example, the illness of a dependent or the repossession of your accommodation.

²⁹ The following relatives are accepted as 'close' without further evidence: spouse, civil partner, child, parent, sibling, grandparent, and grandchild. For other bereavements, evidence of closeness in the form of a statement from a third party should also be provided. Additional evidence should be provided where mitigation is claimed for an extended period where the bereavement is not close, for example, for more than a fortnight following the death of the relevant person.

3. Accidental submission of an incorrect document (eg. An assignment from another module or an incomplete earlier draft of the assignment)
4. In the event of electronic submission, the following will not be accepted as mitigation:
 - The student submits the wrong file type or a corrupted file
 - The student begins their upload after the deadline has passed
 - A claim of technical issues on behalf of the University with no proof of an error message/ system failure on either the VLE or the University network.

Section D: Circumstances not normally accepted

1. Paid work commitments or constraints arising from paid employment for full-time students;
2. Minor illnesses eg those for which only self-certification under the University scheme is available;
3. Disabilities for which reasonable adjustments have been made or where the student has experience or time to manage the situation;
4. Long-standing minor medical conditions such as hay fever;
5. Over-sleeping;
6. Holidays;
7. Minor everyday surmountable obstacles eg disruption to normal domestic routine (it being reasonable to expect the student to alter such routines to accommodate known arrangements for assessment);
8. English being a second language;
9. Moving house;
10. Deadlines for work being set close together;
11. Planned health appointments;
12. Financial difficulties;
13. Breakdown of personal relationships unless leading to compassionate circumstances as described above;
14. Weddings;
15. Unavailability of course books/resources;

16. Attending or taking part in sporting or social events;
17. Voluntary work;
18. Refusal to return for assessments scheduled in the August resit period as required by Regulation 5.6. Attendance on placements or internships that run across the resit period, being on holiday outside the UK, or living somewhere a long way from York are not acceptable circumstances for not attending;
19. Mitigating circumstances that affect an individual in relation to group assessed work cannot be claimed by other members of the group.

23.4 Options available in response to mitigating circumstances

NB. These options are available in response to damage to assessments. The assessment may or may not have been taken/failed outright.

1. The opportunity to take/submit 'as if for the first time' the assessment during the third week of August.
2. The opportunity to attempt 'as if for the first time' at another suitable opportunity during the same academic year. In recommending this option, the (Combined) MCC would be expected to take into account the additional workload for the student and the need to advise the student accordingly. NB: If a second attempt is also damaged and the (Combined) MCC wants the original mark to stand, this will require the approval of SCC.
3. An extension to the deadline for an attempt 'as if for the first time' of the assessment. In the case of finalists, permission to complete the assessment after the end of the programme will result in a postponement of graduation. The deadline for such extensions in other years should not be later than the end of August. If an extension beyond the end of August is necessary, a leave of absence may be appropriate.
4. The opportunity to take 'as if for the first time' a different form of assessment to that with which the student is familiar. This will usually be for practical reasons, eg so that the assessment can take place in time for the next stage of the programme.
5. Additional work to complete the original learning outcomes of the module, eg where practical work has been only partially completed.
6. Repeat of some or all elements of previous study.
7. Recommendations to SCC for the award of an undergraduate aegrotat degree where all of the following apply:
 - The student is in his/her final year;
 - 300 credits have been completed successfully;

- There is clear evidence that the student was achieving at honours level;
- The mitigating circumstances are such that there is no or very little prospect that the student will be able to resume study in the foreseeable future;

Recommendations for the award of a postgraduate aegrotat degree for a taught programme should also be made to SCC.

8. If a single module mark is created from a number of marks from assessments testing the same learning outcomes, the following rule may apply. The (Combined) MCC can, in order to produce a module mark, recommend to the (Combined) BoS waiving no more than 20% of the overall module mark. This is providing the learning outcomes for the module have been met by the remaining assessments for that module.

Where the various elements of a module are intended to test different learning outcomes, such waiving of marks is not permissible. This procedure may be followed for up to a maximum of 40 credits per stage, provided that the learning outcomes for the module(s) have been achieved.

9. If a module has been agreed by UTC to be non-re-assessable, a revised submission (referral) of work already submitted may be permitted.

The following are never permitted:

Substitution of marks; Changing of marks.

The following is only permitted with the approval of Special Cases Committee:

Waiving or pro-rating of marks beyond that permitted above.

23.5 Policy on Granting Extensions

A (Combined) Mitigating Circumstances Committee can extend the deadline for the submission of an assessment subject to the following conditions.

The Mitigating Circumstances Claim Form should normally be submitted prior to the original submission deadline. However, depending on the mitigating circumstances, if accepted, departments may wish to accept late submission without penalty or allow for an attempt 'as if for the first time' in August.

- The intention in granting an extension is to compensate for the time lost through mitigating circumstances.
- The student's overall workload should be taken into consideration when granting a new deadline.
- Extensions are granted for whole days.

- Where an extension goes beyond the Board of Examiners' end-of-year meeting, students must be advised of the consequences for reassessment should they fail.
- Students must be advised that the granting of an extension cannot subsequently be regarded as mitigation for failure in that or other assessments.
- Approval or refusal should be given and communicated to the student in writing, either conditionally, if all the evidence is not immediately available, or unconditionally, if all the evidence is immediately available. Third-party applications for consideration of mitigating circumstances should not be considered, except in instances where the third party has the relevant power of attorney.

23.6 Policy on Aegrotat Degrees

In the event that a student is rendered, or can be reasonably judged to have become, permanently unable to complete their studies as the result of documented medical, personal or compassionate circumstances, the Board of examiners may propose that a student be awarded an aegrotat award.

23.6.1 Any aegrotat proposal should be for the next exit point after the student's most recent progression. In order to support such a proposal, the Board of Examiners must present evidence that the student is likely to have met any programme level learning outcomes, and to show that the student was achieving at the appropriate level for the award in question. In order to be considered, the student will normally have been enrolled for more than half of the teaching or research period between the exit award for which the student is already eligible and the progression or award point for the level of award being proposed.

23.6.2 For research degree and the ISM stage of Taught Postgraduate degrees, the Boards of Examiners must present a statement from the supervisor indicating the scope of the project, and evidence that the student was likely to achieve the standard of research appropriate for the award. The proposal must also be supported by at least one piece of written work which indicates that the student is capable of producing work at the appropriate level (potentially produced during the taught portion of the degree). Where appropriate, the supervisor's report should point the external examiner and the SCC to the salient points of the written submission.

23.6.3 Successful completion of a confirmation of study examination for a research student is not necessarily an indication that such a student should be considered for an aegrotat PhD rather than an MPhil, but rather any proposal for an aegrotat research degree should be based on the extent and quality of the research completed (whilst making allowances for its incomplete nature), and measured against the standards of the award in question without the benefit of a viva.

23.6.3a The recommendation of an aegrotat award of the MPhil should be made if the examiners are of the view that the available sections of the thesis are of good presentation and style and with the supervisor's report shows evidence of the student's proficiency in the methods and techniques of research, demonstrating an adequate knowledge and discussion of the literature in a specific field of study. It must show initiative, independence of thought and must be a distinct contribution to scholarship

23.6.3b The recommendation of an aegrotat award of the PhD degree should be made if the examiners are of the view that the available sections of the thesis are of good presentation and style and with the supervisor' report shows evidence of being a significant contribution to knowledge and of the student's capacity to pursue further research without supervision. The thesis must contain a significant amount of material worthy of publication.

23.6.4 Thought aegrotat awards will not be classified, they will be named awards, thought he equivalent award may not be.

23.6.5 All proposals for aegrotat awards must have the approval of an external examiner before being put to the Special Cases Committee. This includes research degrees, where an external examiner may need to be appointed through the normal processes.

Old Modular Scheme – Category 1 Students – Rules for Assessment, Progression and Award

Undergraduate students who enrolled at the University prior to Autumn 2010 and taught postgraduate students who enrolled prior to Autumn 2011 are Category 1 students (also called transitional students) and are not subject to all of the current assessment, progression and award rules. Category 1 students, who are studying on programmes in the previous assessment scheme, have module codes (eg 2010015) that carry a 35% pass mark. Programme specifications for these programmes are available from the relevant departments.

Details of the Rules for Assessment, Progression and Awards for these programmes are available in the 2014/15 Guide to Assessment, Standards, Marking and Feedback.

Appendices

Appendix A

Departmental Policy on Assessment

The University policies on assessment, progression and awards define the majority of practice with regards to student assessment in order to ensure consistency across the institution. There is some allowable variation between disciplines and departments, however, and where institutional policies are not defined, departments are responsible for clearly publishing any policies and practices which affect its students.

Departmental policies must be presented in a durable format (such as a PDF) which forms part of the contract with the students, and which makes clear how assessments will be treated for all students on a given programme. This can take the form of a department or programme handbook, module specifications, or can exist as a stand-alone statement on assessment. These policies should be made easily available to students, and be stored until one year after all students from the affected cohort have completed their programme with the University. Departments are responsible for drawing students' attention to these policies as part of their induction process, and at relevant points in the programme (such as when an unfamiliar assessment format is encountered for the first time, or in the run-up to an assessment period).

Departments are encouraged to include explicit statements documenting the treatment of the following:

- a. An overview of the different types of assessment used in each component of the programme (diagnostic, procedural, formative and summative), their timing, and how they contribute to progression requirements and/or the final award. Any attendance requirements should be stipulated. Approaches to assessment should be explained, particularly if a variety of styles is not used. It is not necessary to include detailed module-by-module descriptions of assessment where these are covered in handbooks or module synopses that are available to students before they embark on each module.
- b. If applicable, a description of how the department will treat assessment of study away from York within the University's study abroad rules.
- c. A description of the marking procedures used by the department, including:
 - i. any assessment which is not based on written or recorded work;
 - ii. arrangements for any non-anonymous marking

- iii. procedures for double marking, or for alternative arrangements (for example, single marking against specimen answers);
- iv. arrangements for blind double marking where this is practised;
- v. other relevant instructions and guidance to markers; including the treatment of scripts that deviate from the rubric;
- vi. an explanation of how differences in marks between first and second markers are resolved;
- vii. the weightings for different components within modules;
- viii. moderation procedures for individual assessments or modules;
- ix. the involvement of External Examiners in the setting, vetting or approving of marks of individual assessments;

d. Conventions governing feedback to students on performance (including timing and nature of feedback) and the release of provisional marks. Where work is returned to students, this should be indicated together with procedures for ensuring its future availability to External Examiners. Where specimen assessments and answers are available to students, information should be given in the Written Statement. Where students are allowed supervised access to closed examination scripts details of departmental procedures should be given.

e. Class descriptors (where appropriate) of expected standards of student attainment for each type of assessment, presented as positive achievements in the framework of intended learning outcomes (including transferable skills). It assists markers to use the full range of the scale if separate descriptors are included for marks in the 70s, 80s and 90s, and similarly for the low end of the scale. Levels of achievement should be calibrated, where appropriate, against Benchmark Statements and/or the FHEQ. Note that undergraduate criteria (eg upper second) must not be used to describe postgraduate performance standards. Differentiation by outcome in the context of appropriate assessment criteria may be necessary where undergraduates and postgraduates are taught and assessed together.

f. The criteria for the recommendation of starred firsts

i

g. A description of examination procedures, including:

- i. guidance for students who seek special arrangements (eg dyslexia, medical, disability or other personal reasons);
- ii. procedures for publishing deadlines for submissions;

- iii. procedures for students submitting assessments and for departments issuing receipts;
- iv. policies on penalties (eg exceeding word-limits) etc;
- v. arrangements for assessments administered by departments;
- vi. mitigating circumstances procedure.

Departments should also draw student's attention to the relevant university policies regarding assessments, progression, awards, and mitigating circumstances, including the existence of this guide, which also forms part of the student contract.

Appendix B: Glossary

Anonymous marking: the practise of marking a piece of work without knowledge of the identity of the student concerned.

Answer key: A previously agreed list of all the possible correct answers for an exam. To be used by single markers to guide marking.

Assessment and degree classification policies: the general basis and principles upon which a department assesses the performance of its students and determines degree classification.

Assessment and degree classification practices: the general means by which a department assesses the performance of its students and determines degree classification.

Assessment criteria: descriptions of the knowledge, skills and attributes that the learner is expected to demonstrate in order to confirm that learning outcomes have been achieved.

Assessment method: the means of assessing student performance in a component of a programme of study.

Blind marking: the practise of marking a piece of work without knowledge of the mark already assigned to it by another marker.

Credit: A quantified means of expressing equivalence of learning. Credit is awarded to a learner in recognition of the verified achievement of designated learning outcomes at a specified level. One credit corresponds to a notional workload of 10 hours (including all classes, private study and assessment). Definition taken (or modified) from Credit and HE Qualifications: Credit guidelines for HE qualifications in England, Wales and Northern Ireland (November 2001).

Credit Level: Indicates the module's relative intellectual demand, complexity and depth of learning and of learner autonomy. Definition taken (or modified) from Credit and HE Qualifications: Credit guidelines for HE qualifications in England, Wales and Northern Ireland (November 2001) University guidance on level descriptors is available at: [www.york.ac.uk/media/staffhome/learningandteaching/documents/programme development/Guidance%20on%20Credit%20Level%20Descriptors.PDF](http://www.york.ac.uk/media/staffhome/learningandteaching/documents/programme%20development/Guidance%20on%20Credit%20Level%20Descriptors.PDF)

Compensation: the process by which an assessment board, in consideration of a student's overall performance, recommends that credit be awarded for part of a programme in which a student has failed to satisfy the assessment criteria, on the grounds that positive aspects of the overall performance outweigh the area of failure.

Condonation: the process by which an assessment board, in consideration of a student's performance, recommends that failure in part of the programme does not need to be redeemed in order for the student to progress or to gain the award for which s/he is registered.

Continuous assessment: the practice of assessing students on the basis of programme work undertaken while a module is in progress.

Closed examination: a timed, invigilated examination conducted under traditional examination conditions.

Departmental assessment: assessment administered at departmental level that does not contribute to the final award or to progression from one stage to the next of a programme (see also University assessment).

Diagnostic assessment: is used to show a learner's preparedness for a module or programme and identifies, for the learner and the teacher, any strengths and potential gaps in knowledge, understanding and skills expected at the start of the programme, or other possible problems. Particular strengths may lead to a formal consideration of accreditation of prior learning.

Double marking: the practice of two examiners marking the same piece of work.

FHEQ: the QAA Framework for Higher Education Qualifications (see: www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/FHEQ08.pdf).

Formative assessment: has a developmental purpose and is designed to help learners learn more effectively by giving them feedback on their performance and on how it can be improved and/or maintained. Reflective practice by students sometimes contributes to formative assessment.

Foundation Degree: These are programmes designed to be of two years duration full-time or the equivalent part-time, created with an employer's needs in mind and led in conjunction with employers.

Learning outcomes: statements of the knowledge, skills and attributes that a learner is expected to have acquired after completion of a process of learning.

Marking scale: the numerical, alphabetical or other scale used by a department to assign a mark to student work.

Mitigating circumstances: unexpected or disruptive events which are beyond a student's control and are significant enough to adversely affect their academic performance during module work or an examination period.

Module: A self-contained, formally structured, learning opportunity with a coherent and explicit set of learning outcomes and assessment criteria. A module may comprise elements taught by different departments and its function may vary from one programme to another.

- Core module: a module required for a programme.
- Optional module: a module chosen from a prescribed list of modules within the approved programme (but see D.21).
- Elective module: a free-choice module chosen by a student from across the University and from outside their prescribed programme of study. The primary aim of

electives is to enable students to develop skills and knowledge outside their main area(s) of study.

- Pre-requisite module: a module which must be satisfactorily completed prior to embarking on another defined module.
- Co-requisite modules: module(s) which are mutually dependent. Both/all of which must be studied within a particular programme.
- Mutually exclusive modules: modules both/all of which cannot be studied within the same programme. Definitions taken (or modified) from.
- Credit and HE Qualifications: Credit guidelines for HE qualifications in England, Wales and Northern Ireland (November 2001).

Open assessment: the practice of assessing students through means other than closed examinations, eg through the writing of essays, reports and dissertations, or through non-written or non-recorded work.

PGWT: Postgraduates who teach.

Programme: The set of modules studied for a named award (this may include modules (core or optional) from outside the main department). These are set out in the Programme Specifications and approved by University Teaching Committee.

Programme Specification: Govern a programme of study as an approved pathway leading to a particular named award of the University (for example, BA in Archaeology, BSc in Biology, BA in English and Philosophy). They consist of a defined combination of modules, at an appropriate level, and set out the learning outcomes. These specifications are developed and maintained by Boards of Studies/Combined Boards of Studies/Graduate School Boards and approved by University Teaching Committee. A template /guidance on Programme Specifications will be available soon.

SCA: Standing Committee on Assessment (see: www.york.ac.uk/about/organisation/governance/sub-committees/sca).

SCC: Special Cases Committee (see: www.york.ac.uk/about/organisation/governance/sub-committees/special-cases).

Summative assessment: is used to indicate the extent of a learner's success in meeting the assessment criteria used to gauge the intended learning outcomes of a module or programme.

University assessment: assessment contributing to progression from one stage to the next of a programme or to the final award (see also Departmental assessment).

UTC: University Teaching Committee (see: www.york.ac.uk/about/organisation/governance/sub-committees/teaching-committee).

Weight: the proportional contribution of an assessment (irrespective of module credit rating) to the aggregate mark on which progression or an award is decided.

Appendix C

Assessing individual contributions to group work

Individual mark – based on records / observation of process

Each individual group member's contribution (as defined by pre-determined criteria) is assessed using evidence from:

- team log books
- minutes sheets and / or
- direct observation of process.

They are awarded an individual mark based on this evidence.

Individual mark – for paper analysing process

Marks are awarded for an individual paper from each student analysing the group process, including their own contribution and that of student colleagues.

Student distribution of a pool of marks

The lecturer/tutor awards a set number of marks and lets the group decide how to distribute them.

For example, the product is marked 80 (out of a possible 100) by the lecturer. There are four members of the group. $4 \times 80 = 240$ so there are 240 marks to distribute to the four members. No one student can be given less than zero or more than 100. If members decide that they all contributed equally to the product, then each member would receive a mark of 80. If they decided that some of the group had made a bigger contribution, then those members might get 85 or 90 marks and those who contributed less would get a lesser mark.

Students allocate individual weightings

The lecture/tutor gives a shared group mark, which is adjusted according to a peer assessment factor. The individual student's mark comes from the group mark multiplied by the peer assessment factor (eg $\times 0.5$ for 'half' contribution or $\times 1$ for 'full' contribution).

Peer Evaluation – average mark, using predetermined criteria

Students in a group individually evaluate each other's contribution using a predetermined list of criteria. The final mark is an average of all marks awarded by members of the group.

Appendix D

Definitions of Marking Processes

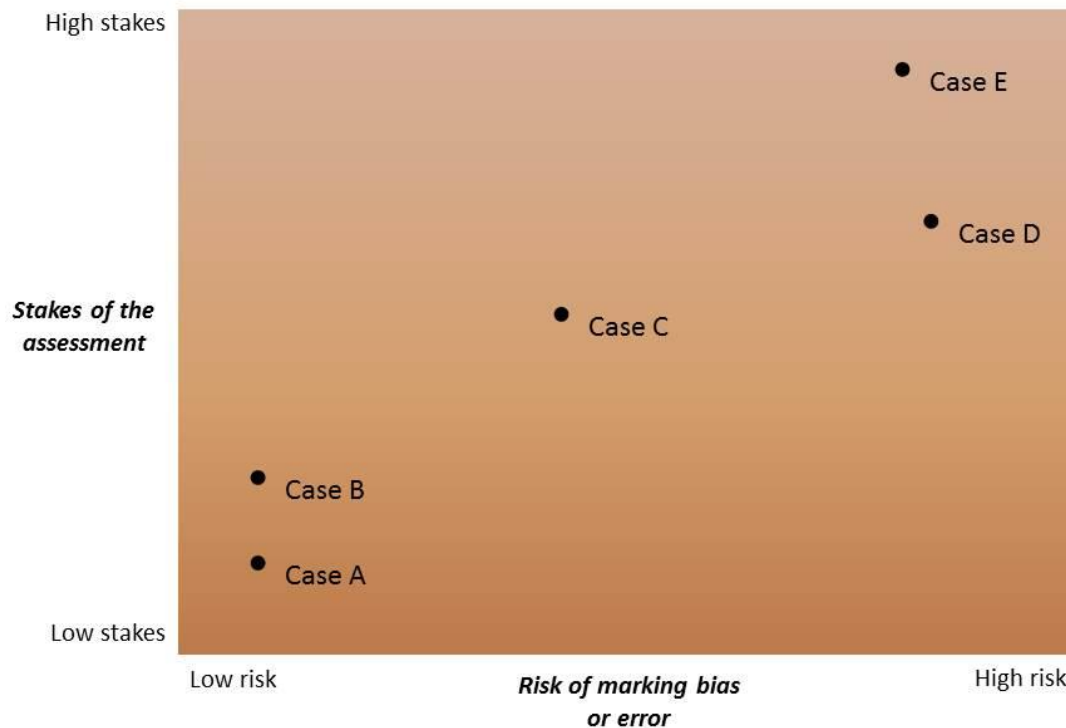
Process	Definition	Conditions
Single Marking	<ul style="list-style-type: none"> • Single marker marks to criteria/ key 	<ul style="list-style-type: none"> • Formative assessments- any level • Seminary performance- to specified criteria- any level
Electronic assessment and marking	<ul style="list-style-type: none"> • Absolute right/wrong item tests (true/false; matching; multiple choice) • Delivered and marked on the VLE 	<ul style="list-style-type: none"> • Formative assessments- any level • Small student group (dependent on the capacity of a computer lab) • VLE programme has been piloted and tested for reliability
Answer Key Marking	<ul style="list-style-type: none"> • Single marker or multiple single markers marking to a single specific answer key 	<ul style="list-style-type: none"> • Exam-type assessments where items lead to limited possible answers (eg. mathematics, facts, information) • Answer key has been piloted or used before • Moderator appointed to oversee marking procedures, address problems, update answer key and update the marking team
Standardised marking	<ul style="list-style-type: none"> • Marking is divided between a team of single markers following a standardisation session in which sample papers are marked and discussed to establish a shared understanding of acceptable answers/ unacceptable answers 	<ul style="list-style-type: none"> • Test-type assessment which involves answers which cannot be covered sufficiently by an answer key (eg. longer written answers to specific questions) • Moderator appointed to run standardisation session, oversee marking procedures, be available for consultation re: problematic answers • Marking is completed within a very limited time to ensure consistency
Moderated Marking	<ul style="list-style-type: none"> • Initial marking completed by experienced single markers, followed by sample marking by appointed moderator. Sample might include, for example, 10% of all marked papers including all failing papers and a cross section of other grade bands 	<ul style="list-style-type: none"> • Any form of assessment ask where a clear standard has been established through stringent assessment design, criteria design, departmental marking activities and sample building • If a particular set of marking is judged to be too harsh/ too

		lenient, the set must be checked and potentially remarked or scaled
Second Marking	<ul style="list-style-type: none"> 1st markers mark and comment/ 2nd markers see the marks and comments and confirm or challenge. Markers agree on a final mark based on criteria and reasoned discussion based on evidence 	<ul style="list-style-type: none"> Stage 2 or 3 medium to high stakes assessment where a clear standard has <i>not</i> been established or inexperienced markers are involved. Moderator, prior to marking commencing, has the responsibility for marking a sample of assessments. This sample should be used for a moderation meeting with all the markers (or all the inexperienced markers) to establish the standard that is expected/ acceptable Moderator deals with borderline of contentious cases and sample checks 10% of all new markers papers Samples of work at each criteria level are retained to provide an example of standards of subsequent offering so the module
Blind, double marking	<ul style="list-style-type: none"> Two markers mark the work without access to each other's marks or comments. Markers meet to discuss and agree on a final mark through reference to the criteria and reasoned argument based on evidence 	<ul style="list-style-type: none"> Very high stakes assessment where the anonymity of the student may be lost or the lecturer of the student has to be a marker (eg. Independent Study Modules) Very clear criteria are published beforehand to students and staff
Joint Marking	<ul style="list-style-type: none"> Marking is completed by two (or more) markers at the same time 	<ul style="list-style-type: none"> Particularly high-stakes performance based assessment where student anonymity is lost and a written or recorded record is kept Student and staff have a very clear criteria well beforehand Markers have time following each performance to make reasoned judgements with reference to the criteria All agreed marks and comments are recorded for

		<p>each performance within the same day</p> <ul style="list-style-type: none"> • A percentage of performance is always recorded for later standards development and moderation • To single mark performance based assessment, a recoding MUST be made to allow for later moderation
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Appendix E

The Implications vs Risk Graph – for deciding appropriate marking procedures



The X axis considers degree of risk of possible error. Areas which could contribute to increasing risk include:

- markers – the number of markers / ensuring consistency between markers / expertise or inexperience of markers;
- clarity of standards – availability of detailed criteria / agreed standard across markers / use of the answer key or criteria before;
- objectivity – the degree of anonymity of the student / the risk of possible bias / the degree of personal judgement involved;
- checking procedures – record kept of the assessment / checks in place.

The Y axis considers the implications of the mark for the student. This can range from the mark not affecting their module mark or degree award (eg formative assessment), to the mark having a significant effect on whether they pass their degree (ie due to the size of the module or the weighting given to a particular assessment task).

Case A = a VLE, multiple choice, formative language test for second year students. Very low degree of possible error + very low implication= machine marking acceptable.

Case B = a summative, first year Maths exam (run for the 10th time with 4 experienced markers). Low degree of possible error + low implication= single marking acceptable.

Case C = a summative second year Politics exam (50% of a 20 credit module – well established module with very clear criteria and several experienced markers). Medium degree of possible error + medium implication= moderated marking.

Case D = summative third year Management project presentation (50% of a 20 credit module – no anonymity – no record kept of presentation) High degree of possibility of error + medium implication = joint marking.

Case E = summative third year History dissertation (80% of a 40 credit module – questionable anonymity – high degree of judgement needed) High possibility of error + high implication = blind, double marking.

Appendix F

Forms of feedback and good practice

The form feedback takes can be very varied. For example:

Whole class / In class

- Discussion which includes responses to student input / queries;
- Provision of answers to formative exercises or discussion of formative exercises in class;
- Comments on areas that could be improved or that were particularly successful following a formative or summative assessment;
- Comments on presentations or on student participation;
- Outline or Model answers to exercises or examinations.

Individual – spoken

- Individual, face-to-face guidance (comments on work, discussion of exercises, comments on individual performance);
- Discussion in office hours.

Individual – written

- Written comments on individual formative work;
- Written corrections on exercises;
- Summative Assessment Feedback sheets (for examinations , essays, presentations);
- Supervised access to written comments on examinations.

Peer

- Feedback provided by students on each others' individual work;
- Feedback provided by seminar groups to an individual or other groups;
- Feedback provided by a whole class to each other via the VLE.

Web-based

- Answers provided or commentary given on completed on-line formative exercises;
- Email answers to individual queries;
- Comments in response to discussion in an electronic forum.

Audio

- comments on work spoken onto a recording device / computer and provided to students as a digital file.

Practices which support a better understanding of feedback

- Small, frequent assessment and feedback. Making assessment, and therefore feedback, an integral, regular part of a module from Day One can mean that students develop a better understanding of what is expected of them and how feedback connects to their learning progression.
- Clarity of Information. Students and staff should be very clear about how feedback is approached in the department. Information should be made available and discussed with students specifically. In addition, staff should consider if the written feedback that they provide is legible, clear and understandable.
- Working with criteria. Raising awareness of the assessment criteria being used in a module can help students to understand what is required and to identify where they can improve their performance. For example, allowing students to use the criteria to critique past student work / answers in lectures or seminars can be illuminating.
- Increasing student engagement with feedback. Students can be asked to fill in cover sheets for assignments on which they assess their own work according to criteria or on which they make specific requests for feedback on certain areas. Students can also be involved in peer feedback. For example, asking students to do small, frequent tasks that are shared and discussed in pairs or groups can help to increase student engagement and increase student understanding of expectations and standards.
- Turn feedback into feed forward: Students may pay less attention to feedback which only refers to an assignment or module which is considered finished. A student's major interest and need often relates more to what they can do next time to get better results. Feedback which points toward improvements and learning for the future may demand more of the students' attention.

This list is by no means definitive. If you would like to contribute other forms of feedback to be added to the list, please contact Cecilia Lowe at cecilia.lowe@york.ac.uk

Appendix G

Model for Departmental Statements on Feedback

A department's Statement on Feedback should be an explicit expression of the department's attitude toward learning and its students and should serve as a useful document for students. As such, the Statement should not be too long, should be easily readable, accessible to students and discussed by supervisors so that the ethos of the department can be understood.

Information that could be included in a 'Statement on Feedback' includes:

1. The University's principles underlying the provision of feedback and / or a statement of the department's commitment to those principles.
2. A brief statement outlining the department's approach to teaching, learning and assessment and how feedback relates to these. This statement could include a definition of feedback and an explanation of its role in effective academic learning. The statement could also include a description of the roles of academics and students in the learning process, their responsibilities relating to feedback and how their roles change as the degree progresses.
3. A timetable of assessments and feedback deadlines. A rationale should be included for feedback deadlines, especially ones longer than four weeks, in order to clarify procedures.
4. A statement clarifying the formative / summative assessment balance in the department and how this relates to student learning and the purposes of feedback.
5. An explanation of formative feedback methods – specifying the nature and extent of feedback that students can expect in class, in seminars, via websites and in relation to particular types and units of formative assessment. Any specific pro-formas or criteria to be used should be attached as appendices.
6. An explanation of summative feedback methods – specifying the nature and extent of feedback that students can expect following submissions of essays / projects / dissertations; following examinations; following presentations. Any specific pro-formas or criteria to be used should be attached as appendices.
7. A statement clearly specifying who is responsible for feedback and from whom the students will receive feedback for particular types and units of assessment eg GTAs, peers, module leaders, supervisors. The statement should clarify how students can find out when these people are available and clarify how students can find further guidance or support if necessary i.e websites / library / resources.

8. Statement clarifying constraints / requirements which relate to feedback – eg feedback and release of provisional marks; the future availability of work to External Examiners; degree of support available from tutors on coursework.
9. Appendices.

Appendix H

Improving feedback on closed examinations and final assessments

Providing useful feedback on closed examinations and final assessments is particularly important in departments / modules where the majority of the student mark is reliant on an exam or final assessment AND / OR formative assessments and summative assessments assess different skills.

Here are some suggestions about how feedback can be provided on closed examinations, final essays, dissertations or projects.

Cohort exam feedback – general feedback to a group or cohort providing correct or model answers, highlighting common misconceptions, errors and technical deficiencies and offering advice on how these may be remedied.

- make markers' / examiners' reports available on the department website;
- introduce a policy that all examinations submitted by the designer have a completed answer sheet / model answer sheet that can be published immediately after the exam;
- provision of answer sheets to students;
- provision of model answers to students;
- arranging cohort feedback meetings immediately after examinations, whilst marking is continuing, to give immediate impression of performance;
- feedback on exam performance to a cohort via a module VLE site following final examinations.

Individual feedback – personal feedback to an individual highlighting positive elements and areas for improvement.

- arranging feedback meetings for specific students ie developing a system whereby borderline and fail students are offered an individual consultation;
- arranging "surgeries" after marking for students to ask questions;
- provision of feedback coversheets with two good points and two areas for improvement;
- provision of feedback coversheets with grading according to criteria + comments;
- provision of opportunity for students to view their exam scripts under supervision.

Timely feedback

- investigate ways to shorten turnaround times for feedback on assessments to within four weeks;
- provide cohort feedback before marks are finalised.

Appendix I

Legal issues related to feedback

1. In relation to giving feedback on examinations, departments are reminded of the University's policy on the annotation of examination scripts and disclosure of examiners' comments under the Data Protection Act.
2. Where feedback is provided electronically (eg via email), departments should ensure that feedback which falls under the definition of personal data is secure. Departments should further note the University Teaching Committee's decision that departments should be encouraged to require their students and staff to use the internal email system or VLE as opposed to private email accounts (not Yahoo, Hotmail etc.) when communicating about formal academic matters.
3. Where feedback is provided electronically or in hard copy, academic staff are advised to keep copies until the year after the meeting of Senate at which the student's award is confirmed, in the event that the quality of feedback becomes an issue within the appeals procedure.
4. The University has adopted a policy of disclosure of assessment marks and marks, whether or not they are held in a 'relevant filing system' within the Data Protection Act. This information is the minimum feedback to students that should be provided by departments and it should not therefore be necessary for students to make formal access enquiries under the Act.
5. Boards of Examiners are encouraged to keep records of the reasons for their grading decisions and are required to do so in cases where special considerations have been applied.
6. Departments are responsible for ensuring that all written or recorded work contributing to the final award is available for external examination or comment. Where such work has been returned to students, students are responsible for retaining it in a portfolio for possible future external scrutiny and departments are responsible for alerting students to this requirement.

Appendix J

Increasing feedback to large groups

Providing regular feedback to large groups of students can prove difficult. To address such situations, the following approaches can be helpful.

1. Peer feedback

Involving students in assessment and feedback matters such as:

- defining criteria for assessment;
- discussing course standards and expectations;
- assessing past papers and peer assessments;
- providing feedback to each other on regular, formative work is an ideal way to engage students more fully in the learning. See
 - Gibbs G and Simpson C (2004) Conditions under which assessment supports student learning. *Learning and Teaching in Higher Education* 1, pp3-31.
 - Brown, S. Rust, C. and Gibbs, G. *Strategies for Diversifying Assessment in Higher Education* Oxford: Oxford Centre for Staff Development (1994).

2. Marking and providing feedback on samples of work:

For a large cohort in which regular (e.g. weekly) work is seen to be necessary for effective learning, students can be asked to produce several pieces of work during the module, however only a sample need be marked e.g.:

- a. Students produce 5 lab reports and they can choose their two best to be marked;
- b. A module requires students to complete three case studies, one of which will be chosen, at random, to be marked;
- c. Students keep a collection of work completed during the course and they choose what is to be included in a limited portfolio to be marked.

3. Group work

Group assessment may prove an effective means of ensuring that students learn from each other while at the same time reducing the amount of marking. Group work is no guarantee of a reduced assessment load, but it may save time if students work in groups and submit fewer pieces of work. The key considerations in planning group work assessment are:

- Deciding what is to be assessed – the process, the product, or both;
- Selecting criteria, particularly if the group process is to be assessed;

- Deciding who is to 'do' the assessing – staff, students or both; and
- Deciding how marks are to be assigned – collectively, individually, or a mixture.

The most obvious tension that can arise from group work assessment is the perception that some students are marked unfairly, due to "group" marks being given that do not reflect differences in individual student effort. For advice concerning addressing such tension and other matters related to group work and assessment, please see:

- Habeshaw S, Gibbs G & Habeshaw T (1992) *53 problems with large classes: making the best of a bad job* Bristol: Technical and Educational Services;
- Race P, Brown S & Smith B (2005) (2nd ed) *500 tips on assessment* London: Routledge Falmer;
- Rust C (2001) *A briefing on the assessment of large groups* York: LTSN Generic Centre.

This list is by no means definitive. If you would like to suggest other forms of feedback to be added to the list, please contact Cecilia Lowe at cecilia.lowe@york.ac.uk

Appendix K

An example to illustrate procedures for rescaling marks

This appendix illustrates the procedure for recalibrating marks when there is reason to believe that the raw marks do not adequately reflect performance on the University mark scale.

For the purposes of illustration we suppose that a taught postgraduate module, initially marked out of 100, has resulted in a set of marks which do not appear to be correctly calibrated to the taught postgraduate mark scale. The first step in the recalibration process is to identify a number of points of correspondence (at least three) between the original mark scale and the University mark scale. This is done by reference to descriptors, and using academic judgement. The lowest and highest marks on the two scales must be identified. For example, the following points of correspondence might be identified:

Original mark scale	University postgraduate mark scale
0	0
44.5	49.5
60.5	69.5
100	100

Effectively, this sets the borderline pass mark as 44.5 for this paper, and the borderline distinction mark at 60.5. More points might be needed if the distribution of original marks is particularly irregular.

Next, the points of correspondence are used to divide the two mark scales into intervals:

Original mark scale	University postgraduate mark scale
0 to 44.5	0 to 49.5
44.5 to 60.5	49.5 to 69.5
60.5 to 100	69.5 to 100

The rule for rescaling an original mark M depends on the interval in which it lies. If the lowest and highest values in the interval on the original mark scale are LO and HO , and the lowest and highest

values on the corresponding interval on the University scale are LU and HU then the rescaled mark (R) is given by

$$R = Lu + (M - Lo) \times \frac{Hu - Lu}{Ho - Lo}$$

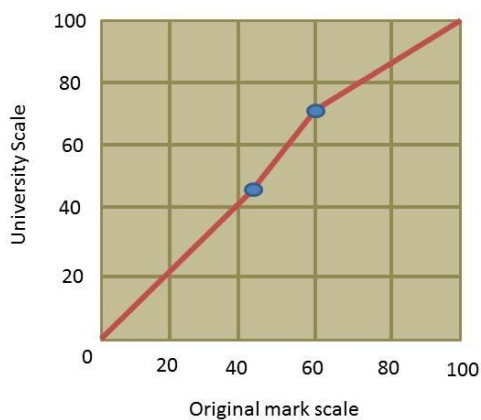
which divides the interval between LU and HU in the same ratio as M divides the interval between LO and HO. In our example, an original mark of 52 lies in the interval between 44.5 and 60.5, which corresponds to the interval between 49.5 and 69.5 on the University scale. Thus M = 52 is rescaled to

$$R = 49.5 + (52 - 44.5) \times \frac{69.5 - 49.5}{60.5 - 44.5} = 58.89$$

Similarly, an original mark of M = 75 is rescaled to

$$R = 69.5 + (75 - 60.5) \times \frac{100 - 69.5}{100 - 60.5} = 80.70$$

The mapping between the original mark scale and the University mark scale in the example may be represented by the following graph:



Important features of this procedure are that the rank ordering of original marks is maintained, that it preserves minimum and maximum marks, and that it maps the points mark of correspondence on the original University scale to their partners on the University mark scale. The procedure can also be automated, eg, using spreadsheets.

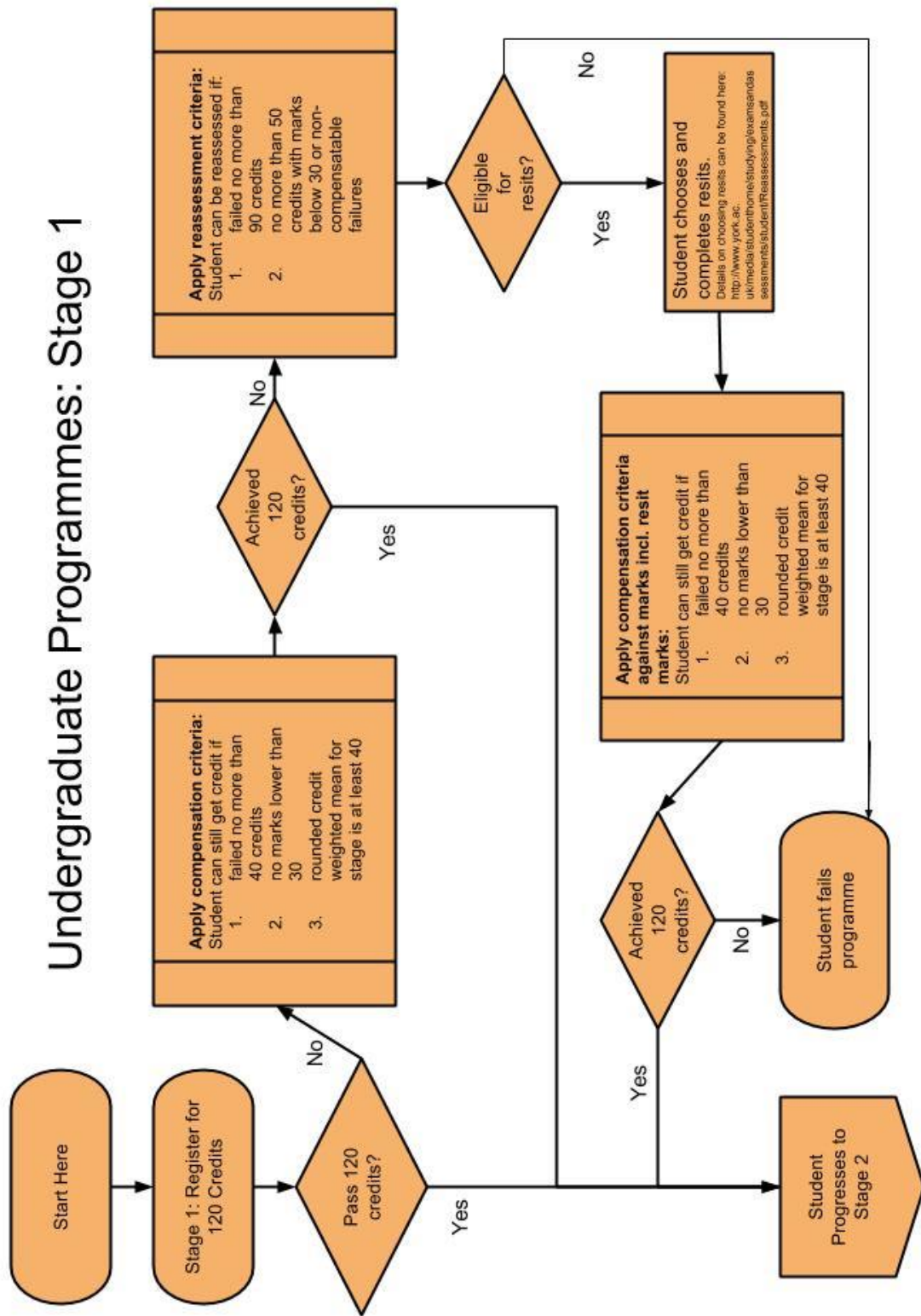
Appendix L

Writing clear examination instructions and questions

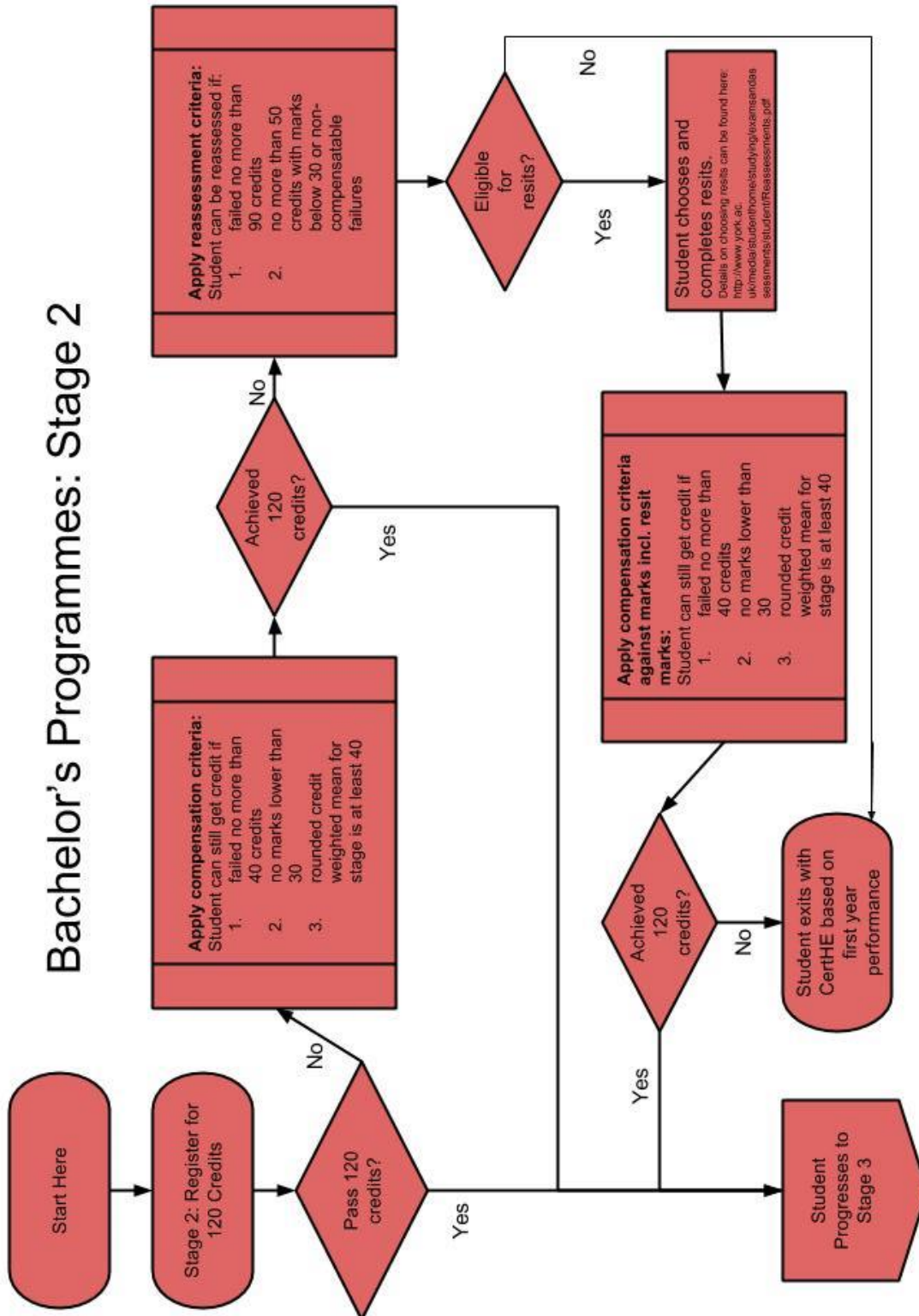
1. Keep instruction sentences short and to the point. Avoid overcomplicated or ambiguous instructions i.e. multiple clause or multiple part questions, unless absolutely necessary.
2. Express questions as precisely, clearly and simply as possible – extraneous material or sloppy construction of a question will only serve to hold up students, act as a distraction and possibly adversely affect student performance.
3. In writing questions, try to avoid
 - colloquialisms
 - slang
 - negative or double negative questions
 - highly specialist language (unless necessary to the assessment)
 - wording which has a national, regional or cultural bias.
4. Ask a colleague to proof-read all examination instructions and questions and highlight any punctuation errors, grammatical errors and any possible areas of confusion caused by language.
5. Following the examination, conduct basic item analysis – if more than the average number of students get an item wrong, review the design and wording of the item as well as considering possible problems with learning.

Appendix M

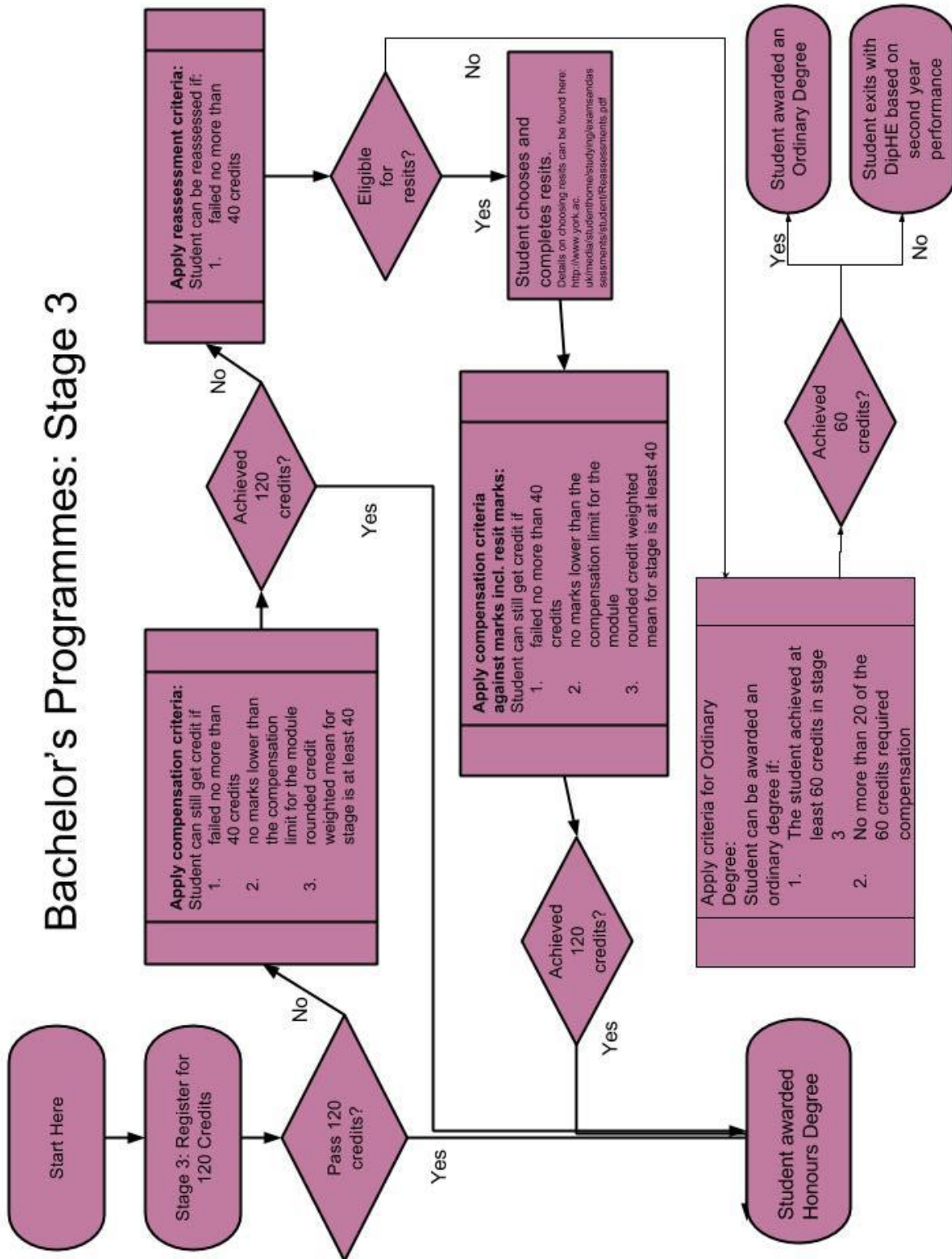
Progression flowchart: undergraduate awards



Bachelor's Programmes: Stage 2

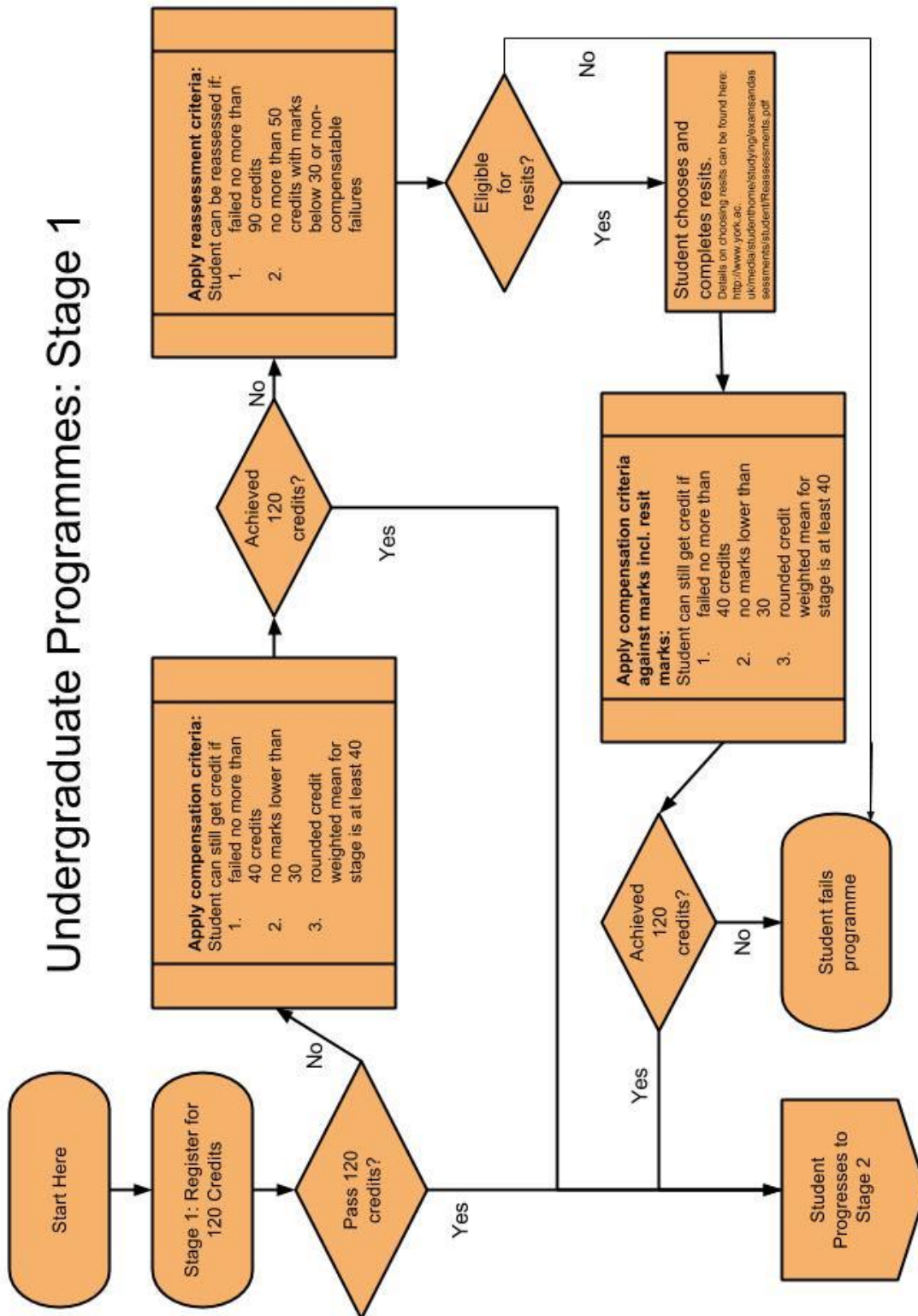


Bachelor's Programmes: Stage 3

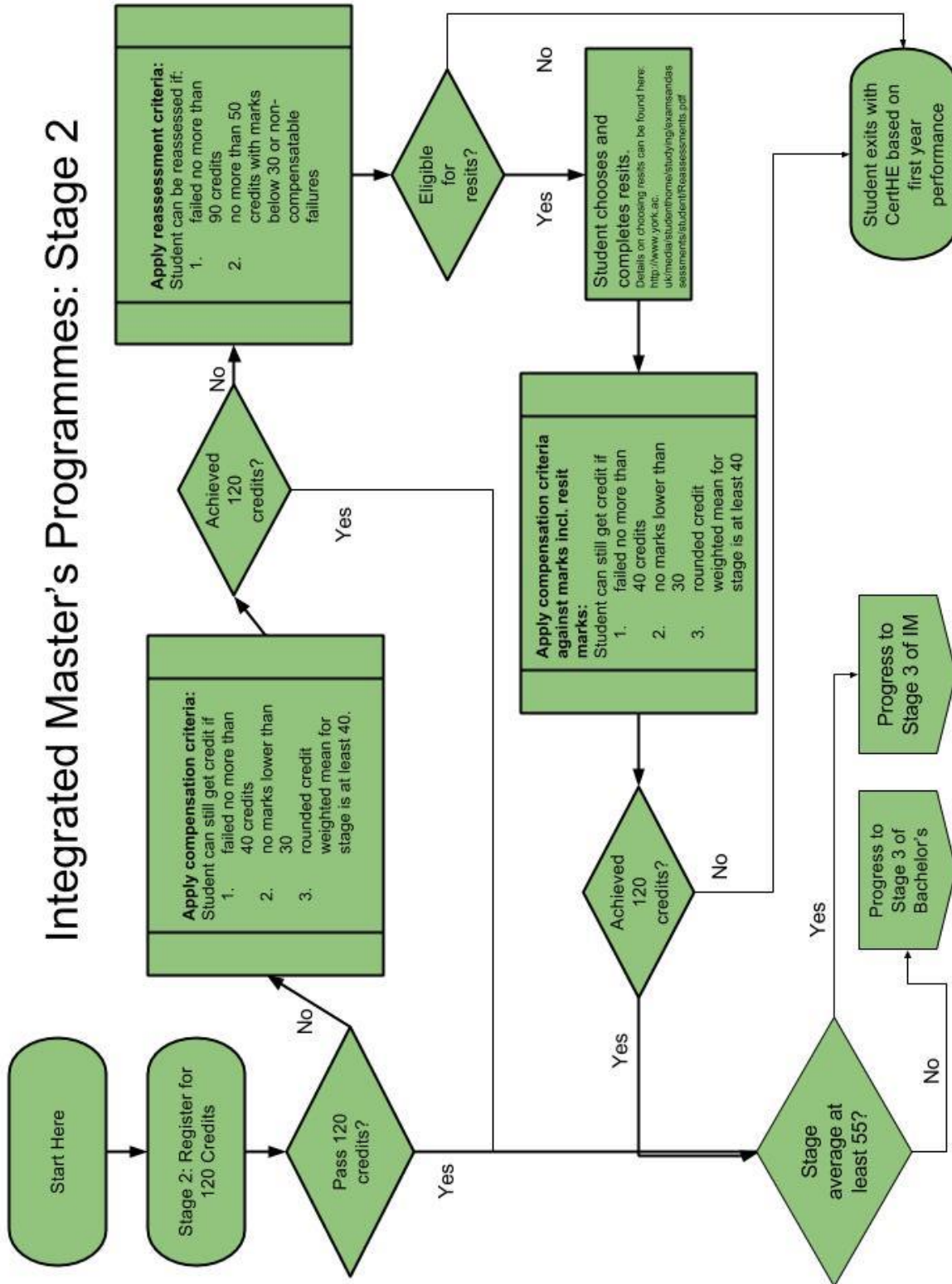


Progression flowchart: integrated masters

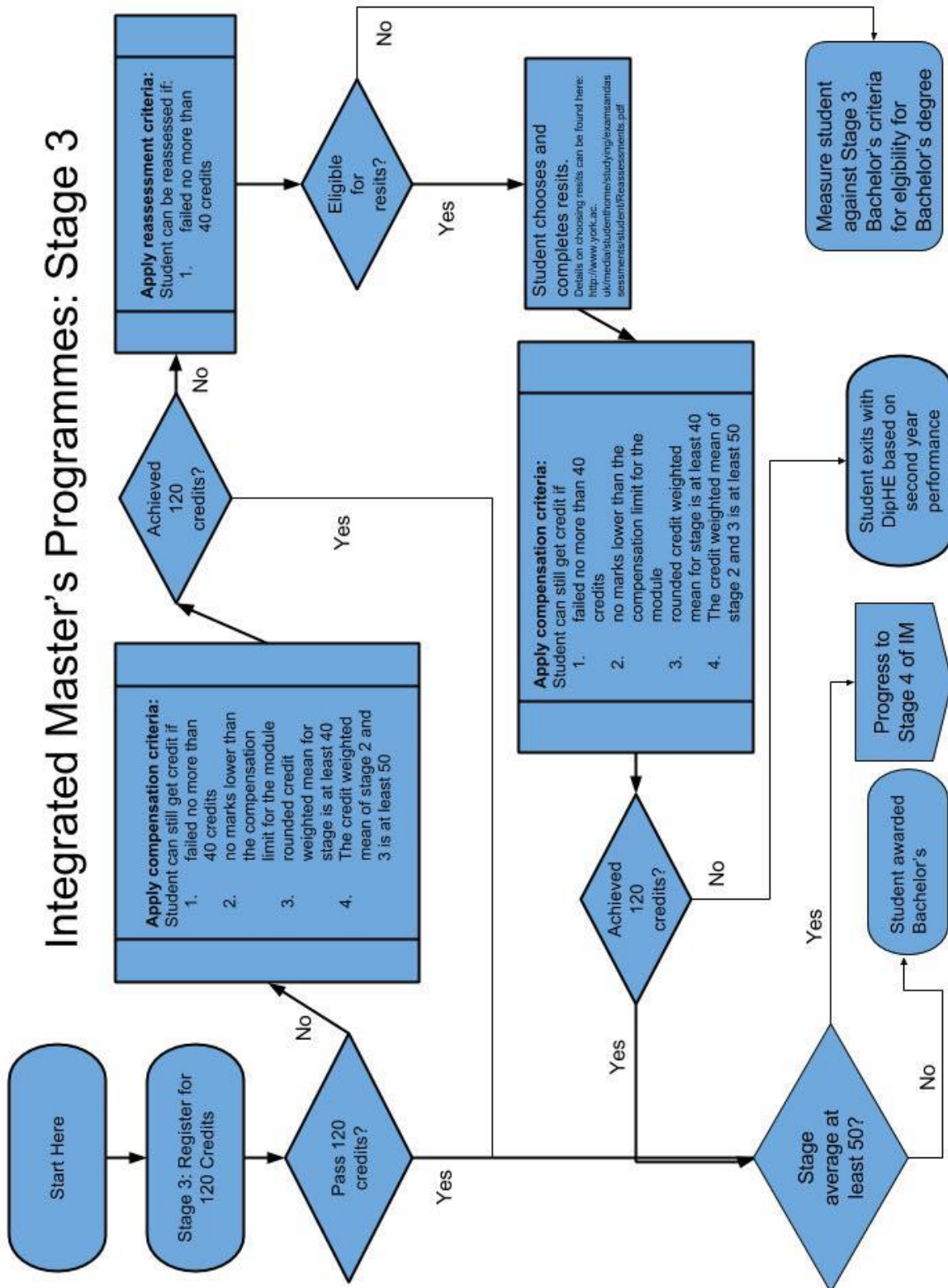
Undergraduate Programmes: Stage 1



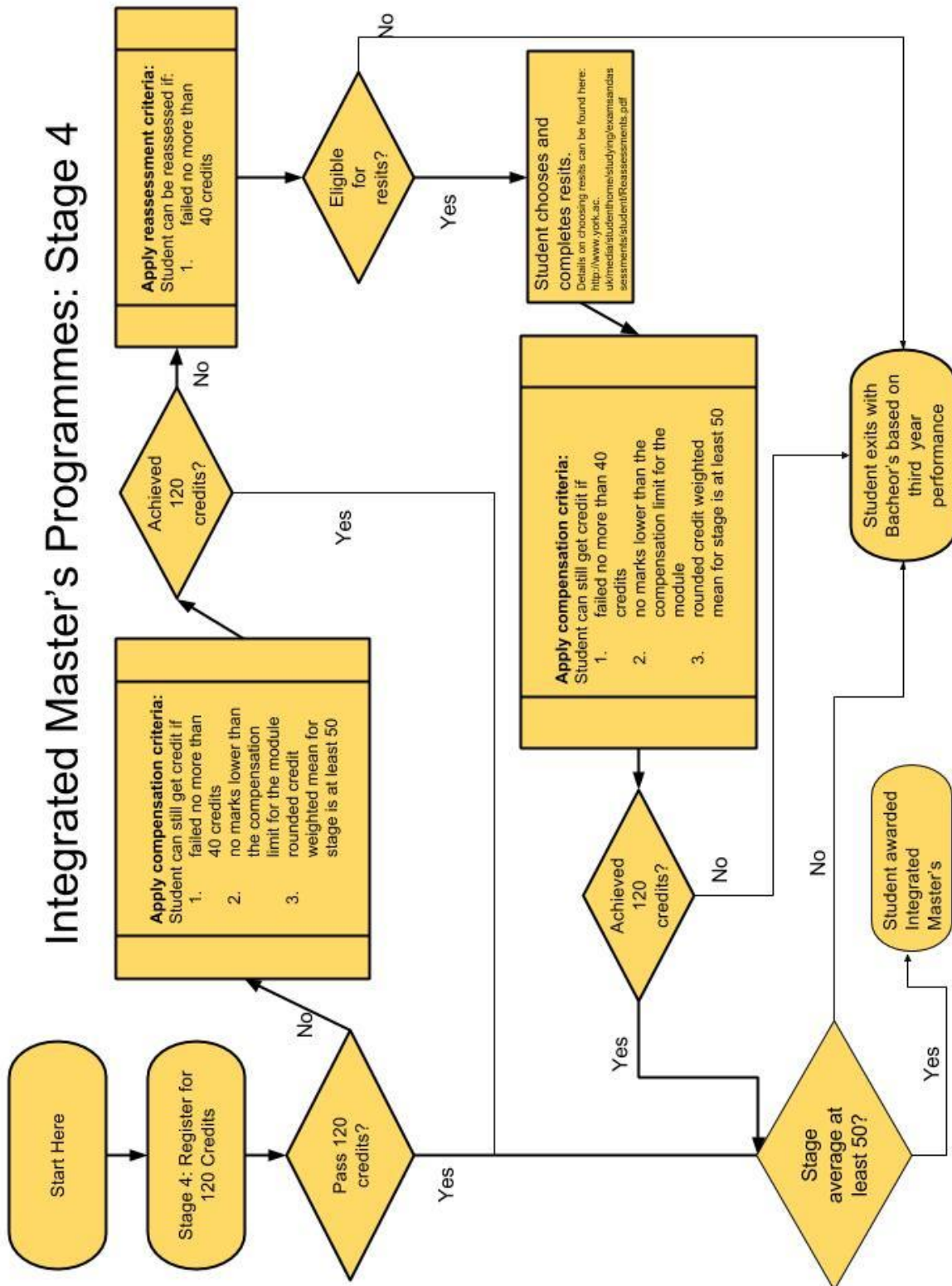
Integrated Master's Programmes: Stage 2



Integrated Master's Programmes: Stage 3



Integrated Master's Programmes: Stage 4



Appendix N

Independent study module (ISM): 'marginal fail'

Where a student has failed a Masters' ISM with a mark below 40 there will be no opportunity for reassessment. However, where a student has been awarded a 'marginal fail' mark of between 40 and 49 they will have an opportunity to make amendments which would enable a passing threshold to be reached. The overall mark after resubmission will be capped at 50.

When awarding a 'marginal fail', the guiding principle that markers should use is that the student should be able to undertake the work required to bring this up to pass level:

- without access to the University's physical facilities
- without further supervision
- with no more than two weeks full-time equivalent effort.

The sort of revisions that are likely to be considered suitable would include:

- a. editorial corrections, for example
 - i. use of English
 - ii. style
 - iii. spelling
 - iv. grammar
 - v. word limit
 - vi. restructuring
 - vii. referencing.
- b. further theoretical analysis/better argumentation
- c. better critical reflection on the work itself (eg research methods)
- d. better use of literature.

If it is thought that the work required to bring this up to a pass would require more time or support, taking into consideration the above requirements, then an outright fail should be awarded (ie a mark below 40).

In awarding a marginal fail there is no expectation that there will be further:

- a. data collection
- b. experiments
- c. extended literature reviews.

If a student is required to undertake any of the above in order to pass, then an outright fail should be awarded (ie a mark below 40).

For ISMs with component assessments, eg a dissertation, practical and viva, reassessment is only possible if the original mark for the dissertation is 40 or above. Only the dissertation component can be reassessed. The (uncapped) mark for the reassessed dissertation replaces the original mark for the dissertation and the ISM mark is re-calculated. If a pass is achieved, the overall module mark is capped at 50 as stated above.

When resubmitting their ISM students will be required to include a cover sheet detailing the changes they have made.

Departments should set a firm deadline for resubmission, taking into account the variation in personal circumstances. It is expected that no more than two weeks full time effort will be required, and all resubmissions should be submitted within two months at the latest. Students must be informed of the resubmission date when they receive their feedback.

Appendix 0

Marking to the Full Range

a. In examination-based assessments, marking to the full range is more evident where the examination is designed to allow for performance across a range of ability, ie parts of the exam include some very high level, challenging items (to allow student to perform at their best) and some more basic, straightforward items (to test core knowledge any standard student should have grasped). Such a mixture of items ensures an examination differentiates student performance more clearly and allows for a greater range of marks.

b. In open assessments (module essays, projects, presentations, posters, dissertations) using the full range of marks is more likely to occur where colleagues have a shared understanding of what candidates must produce to merit particular levels of achievement across the full range of performance. This agreed range of performance should also be clarified in published criteria and/or clear information regarding performance which is available to students.

To achieve a consistent level of shared understanding, programme or module teams could:

- make regular time to discuss expectations of student at different levels in a programme, review organisation of criteria/ descriptors and share experience of areas which may cause problems with marking high level and low level students
- compile a 'band book' for reference by new staff (this is a compilation of several 1sts/ 2:1s/ 2:2s/ 3rds/Fail assignments including the mark allocated and the reasoning for the mark). The process of putting such a guide together and maintaining it can promote valuable discussions within the department
- divide broad marking bands (1st/2:1/2:2/ 3rd/Fail) into sub-bands with clear descriptors
- engage in table marking (all markers marking the scripts for one assessment together in the same room- usually in one or two days). this type of exercise allows time for colleagues to discuss standards/ expectations
- agree to the moderation of all 3rd/fail assessments and all borderline 1st and 1st assignments by an agreed moderation who should confirm the marks allocated
- contact relevant colleagues (from departments with good practice, the Academic Support Office or the Standing Committee on Assessment) for assistance

Appendix P

Guidance on Proofreading and Editing

Preamble

The University acknowledges that students (from undergraduate to PhD) may access a variety of forms of support to help them in the preparation and production of written assessed work beyond that provided by their teachers or supervisors, such as:

- a) *peer support*: collaboration and mutual support between students on the same programme (group members of a project group, classmates in a particular module, higher level students supporting lower level students)
- b) *informal support*: friends and family checking a student's work for them, providing an audience's reaction, commenting on a piece of work
- c) *professional proof-reader* : an external, paid person or company employed by the student to proofread their work prior to submission

The purpose of this guidance is to set out, for students and staff, what is and is not acceptable support.

The default position is that this Guidance applies to all assessed work. However, departments may opt to specify that, for certain assessments, students should not be allowed any assistance at all in terms of proofreading or editing. This is permitted only if the purpose of the assessment is to determine students' abilities in linguistic areas such as grammar or syntax, making proofreading inappropriate. In this case, the rubric for the assessment should state clearly that this standard Guidance does not apply and that no proofreading assistance is permitted.

For students on taught programmes (undergraduate and postgraduate)

Acceptable support

The amount of support that is required or appropriate, from peers, friends and family or professionals, may vary in relation to the student's level of expertise and familiarity with academic conventions. However, regardless of level or familiarity, in the above situations the **University defines support which is acceptable as:**

The identification and correction of errors related to:

- Word usage (excluding specific terminology).

- Spelling, punctuation, capitalization, italics, abbreviations, headings, quotations, metrification, numbering, citations, referencing, tables, illustrations, footnotes and appendices.

*The identification (**but not correction**) of issues related to:*

- Grammar and syntax
- Clarity of expression
- Voice and tone
- Issues with logical sequencing and linkage between sentences and paragraphs
- Ambiguity
- Repetition

For students on postgraduate research programmes

Acceptable support

The amount of support that is required or appropriate, from peers, friends and family or professionals, may vary in relation to the student's level of expertise and familiarity with academic conventions. However, regardless of level or familiarity, in the above situations the **University defines support which is acceptable as:**

The identification and correction of errors related to:

- Word usage (excluding specific terminology)
- Spelling, punctuation, capitalization, italics, abbreviations, headings, quotations, metrification, numbering, citations, referencing, tables, illustrations, footnotes and appendices
- Grammar and syntax

*The identification (**but not correction**) of issues related to:*

- Clarity of expression
- Voice and tone
- Issues with logical sequencing and linkage between sentences and paragraphs
- Ambiguity
- Repetition

For issues listed above where identification but not correction by a third party is appropriate, students (taught or research) should be directed to correct these issues themselves following feedback. Self-correction will aid students in recognising their weaker areas and encourage more independence from the tutor.

Students with a contemporary formal diagnosis of relevant disabilities should consult Disability Services about appropriate support.

Unacceptable support for taught or research students

For summative work, undertaking the following tasks for a student is inappropriate.

- adding or re-writing any of the student's sentences or sections of work
- rearranging passages of text, sequences of code or sections of other material for the student
- reformatting the material for the student
- contributing additional material to the original
- checking calculations or formulae
- rewriting formulae, equations or computer code
- re-labelling figures or diagrams

Acknowledgement

If a student receives assistance with proofreading or editing, whether paid or not, an acknowledgement should be inserted in the final submission. This should explain the sort of person providing the assistance (for example, the name of professional proof-reader but not the name of a friend or family member which might lead to the breaking of anonymity), and a statement that the assistance has been in accordance with the University's Guidance on Proofreading and Editing. The student should also accept full responsibility for the authorship and standard of the submitted work.

University of York
Standing Committee on Assessment
November 2013

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