

# CODE OF PRACTICE – TEACHING AND ASSESSMENT

<b>Date approved</b>	10 October 1997	<b>Date Policy will take effect</b>	On approval	<b>Date of Next Review</b>	December 2010
<b>Approved by</b>	University Council				
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<b>Supporting documents, procedures &amp; forms of this policy</b>	<a href="#">Schedule 1 : Subject Outline Checklist</a> <a href="#">Schedule 2 : Retention of Assessment Records</a>				
<b>References &amp; Legislation</b>	<a href="#">State Records Act 1998 (General Disposal Authority – University Records GDA23 and Committees GDA 2)</a> <a href="#">Privacy and Personal Information Protection Act 1998 (NSW)</a> <a href="#">Teaching and Assessment Policy</a> <a href="#">Code of Practice – Honours</a> <a href="#">Code of Practice – Students</a> <a href="#">Graduate Quality Policy</a> <a href="#">Academic Review Policy</a> <a href="#">Course Progress Policy</a> <a href="#">General Course Rules</a> <a href="#">Student Conduct Rules</a> <a href="#">University Examination Rules</a> <a href="#">Assessment Committee Standards</a> <a href="#">Assessment Guidelines – Scaling</a> <a href="#">Good Practice Assessment Guidelines</a> <a href="#">Delegations of Authority Policy</a> <a href="#">Disability Policy – Students</a> <a href="#">Respect for Diversity Policy</a> <a href="#">Student Academic Consideration Policy</a> <a href="#">Academic Grievance Policy (Coursework and Honours Students)</a> <a href="#">Records Management Policy</a> <a href="#">University Privacy Policy</a>				
<b>Audience</b>	Public : accessible to anyone				
<b>Expiry Date of Policy</b>	Not applicable				

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## 1 Purpose

1. This Code is a key document in implementing the University's Teaching and Assessment Policy and sets out the specific responsibilities of parties affected in relation to learning, teaching and assessment, as well as procedures for teaching staff.
2. The Teaching and Assessment Policy sets out the University of Wollongong's approach to effective learning, teaching and assessment and the principles underlying teaching and assessment practice. This Code is critical to the implementation of the Teaching and Assessment Policy.

## 2 Definitions

<b>Word/Term</b>	<b>Definition</b>
Academic unit	<i>Faculty, School, Unit, Program or Discipline.</i>
Assessment task	<i>Work which a student is required to complete to provide a basis for an official record of achievement or certification of competence in a subject (e.g. examination, test, take-home examination, quiz, assignment, essay, laboratory report, demonstration, folio of creative work, performance, tutorial presentation).</i>
Casual teaching employee	<i>A person engaged as such by the hour and paid on an hourly basis (UOW – Academic Staff Enterprise Agreement 2005).</i>
Course	<i>A course is a program of study that includes those courses leading to higher education awards and non-award courses. A course consists of a subject or combination of subjects and other requirements as specified in the course structure.</i>
Delegated authority	<i>A person given delegated authority under the Delegations of Authority Policy.</i>
Faculty examination	<i>Test, examination, quiz or in-class review conducted by an academic unit.</i>
Fractional teaching staff	<i>Employment less than full-time employment, for which all entitlements are paid on a pro-rata basis calculated by reference to full-time employment. Fractional employment may be either on a continuing or fixed-term basis (UOW -Academic Staff Enterprise Agreement 2005)</i>
Group work	<i>An assessment task which involves a group of students contributing to an assessment task.</i>
Head	<i>A member of academic staff who is ultimately responsible for the matters set out in 5.2 of this Code.</i>
In writing	<i>Written information delivered in hard copy or electronically.</i>
Reasonable adjustment	<i>An adjustment is reasonable in relation to a student with a disability if it balances the interests of all parties affected.</i>
Student	<i>A person registered for a course.</i>
Subject Coordinator	<i>Academic staff member with nominated responsibility for the subject.</i>
Subject Outline	<i>The document in hard copy or electronic format governing content,</i>

	<i>delivery and assessment of material for a subject.</i>
Teaching staff	<i>Any person who carries out teaching responsibilities under the authority of the Head of an academic unit.</i>
University examination	<i>A formal examination including a supplementary examination conducted by the Academic Registrar's Division.</i>

### 3 Application & Scope

1. This Code applies to teaching and assessment of all undergraduate and postgraduate coursework at the University of Wollongong, including coursework subjects where the primary or only assessment task is a research or creative project. This Code should be read in conjunction with other related policies.

2. In conjunction with this code, coursework subjects worth 24cp or more where the primary or only assessment task is a research or creative project should apply the Code of Practice – Honours for aspects such as supervision of students and the assessment of the task. This does not preclude subjects worth less than 24cp where the primary or only assessment task is a research or creative project from also applying the Code of Practice – Honours.

### 4 Policy Principles

1. The University has an overriding responsibility to provide a quality learning environment for students in accordance with its Strategic Plan and Teaching and Assessment Policy.
2. The University values good teaching and assessment practice and is committed to providing an effective learning environment for its students. To this end, the University has in place quality assurance processes and procedures to support effective teaching and fair assessment practices. Underlying these processes and procedures are the principles of equity, consistency, transparency and collegiality.

### 5 Responsibilities

#### Faculty

1. The Faculty is responsible for monitoring and ensuring the quality of its educational policy, practice and procedure through the Faculty Education Committee. These specific responsibilities include:
  - a. ensuring that University procedures for the approval of new courses and new subjects are followed (see the Course Approval and Management Procedures);
  - b. applying appropriate documented quality control mechanisms to approve new and amended courses and subjects with clear delegation for approval and appropriate record management;
  - c. ensuring that courses or subjects promote the development of Faculty/discipline Graduate Qualities prepared in accordance with the Graduate Qualities Policy;
  - d. ensuring that courses and subjects are systematically reviewed in accordance with the University's Academic Review Policy, and improvements to individual subjects are communicated to students through the Subject Outlines;
  - e. identifying subjects where the primary or only assessment task is a research or creative project, and ensuring that these are offered in accordance with clause 5.4;
  - f. ensuring that all examinations and tests conducted by the Academic Registrar's Division meet the stated learning outcomes of the subject, are appropriate to the level of the subject, are clearly set out and free from error and are of a duration appropriate to the demands of the examination paper's content. Procedures must include an appropriate process of review;

- g. establishing documented procedures for conducting Faculty examinations;
- h. ensuring that the requirements of the University's Assessment Committee Standards are met;
- i. ensuring the establishment of criteria for the assessment of class participation, where appropriate;
- j. providing advice for students enrolled in single and double degrees controlled by the Faculty both at enrolment and during their course of study;
- k. drawing students' attention to their procedural and substantive rights and responsibilities contained in this Code and in the Code of Practice – Students;
- l. ensuring that a copy of all current Subject Outlines, for the session in which they are on offer are held in a central location and are freely available for academic staff, general staff, staff from the Academic Services Division and students;
- m. ensuring that a copy of all Subject Outlines are provided in a timely manner to the Faculty Librarian;
- n. ensuring reasonable adjustment within the teaching environment for students with a disability in accordance with the Disability Policy - Students;
- o. responding to any grievances or complaints initiated by students in accordance with the Academic Grievance Policy (Coursework and Honours Students);
- p. ensuring that allegations of academic misconduct by students undertaking coursework are investigated in accordance with the Student Conduct Rules and associated procedures; and
- q. nominating a Course Progress Advisor to provide academic advice in accordance with the Course Progress Policy.

### **Head of Academic Unit**

2. The Head of Academic Unit is responsible for ensuring that academic staff are familiar and comply with procedures relevant to Teaching and Assessment as set out in Section 5.1 of this Code. These specific responsibilities include:
  - a. ensuring that a Subject Outline is prepared by Subject Coordinators for each subject offered by the academic unit, that it meets the requirements of Schedule 1 of this Code ('Subject Outline Checklist') and is signed off as satisfying Faculty procedures;
  - b. ensuring that a copy of all current Subject Outlines, for the session in which they are on offer, and any amendments, are forwarded to a central location within the academic unit and are freely available for teaching staff, general staff, staff from the Academic Services Division and students;
  - c. ensuring that quality assessment methods and practices are applied throughout the academic unit and that assessment is carried out fairly, objectively and consistently;
  - d. ensuring that teaching staff are available to students for consultation in accordance with 5.4 of this Code;
  - e. ensuring every subject has an assigned Subject Coordinator specified in the subject data base;
  - f. ensuring that all applications for special consideration are dealt with according to the provisions of the Student Academic Consideration Policy;
  - g. ensuring that the academic unit complies with the requirements of the Assessment Committee Standards;
  - h. participating, where required, in investigations of alleged academic misconduct by a student undertaking coursework in accordance with the Student Conduct Rules and associated procedures;

- i. attending each meeting of the Faculty Assessment Committee or appointing a nominee from the academic staff to attend in their absence; and
- j. ensuring that Faculty examinations meet the requirements set down by the Faculty.

### **Subject Coordinator**

3. The Subject Coordinator is responsible for the academic integrity of subjects taught. Specific responsibilities include:
  - a. the preparation and distribution of a Subject Outline for each subject taught in accordance with the requirements of the Code as set out in 5.2(a) and 5.2(b) and Schedule 1 of this Code;
  - b. ensuring that subject material is at an appropriate standard for both its level and the course in which it is offered;
  - c. providing opportunities for students to develop Faculty/Discipline Graduate Qualities relevant to the subject (contributing to the UOW Graduate Qualities);
  - d. where content has been changed, or a new subject is being offered, ensuring that the Faculty Librarian receives notification of new reading materials in a timely manner;
  - e. where more than one member of staff is teaching a subject, to set up procedures that ensure consistency in terms of subject objectives, assessment and other quality control matters;
  - f. examining allegations of, and if appropriate, undertaking investigations of alleged academic misconduct by a student undertaking coursework in accordance with the Student Conduct Rules and associated procedures;
  - g. submitting subject marks to, and attending, the relevant Assessment Committee according to Faculty procedures; and
  - h. responding to special consideration applications in accordance with the Student Academic Consideration Policy.
  - i. ensuring that students at risk of subject failure, consistent with the Course Progress Policy, are reminded of the learning support services available.

### **Supervisor (Research or Creative Projects)**

4. For subjects where the primary or only assessment task is a research or creative project, a supervisor must be identified for each student undertaking the subject. This role may be undertaken by the Subject Coordinator, or where necessary, other members of the teaching staff may be allocated as supervisor. The overriding responsibility of a supervisor is to provide continuing support to students under their supervision in researching and/or producing a research or creative project to the best of the student's ability. Specific responsibilities include:
  - a. assisting students to develop a plan for completing the research or creative project within an appropriate timeframe;
  - b. maintaining regular contact with students in order to monitor their progress;
  - c. providing timely and helpful written feedback to students on any submissions and to assist them to develop solutions as problems are identified;
  - d. advising students and the subject coordinator of inadequate progress or work below the standard generally required and to suggest appropriate action (including referral to learning development where required);

### **Teaching Staff**

5. Teaching staff are responsible for assessing students' work fairly, objectively and consistently. Specific responsibilities include:

- a. providing students with adequate and timely feedback on performance taking into account the Good Practice Assessment Guidelines (refer to Section 7 of this Code);
- b. implementing learning and teaching strategies that foster the development of Faculty/discipline Graduate Qualities relevant to the subject (contributing to the UOW Graduate Qualities);
- c. communicating with Subject Coordinator and students on academic consideration issues;
- d. identifying and acting upon possible cases of academic misconduct by a student undertaking coursework in accordance with the Student Conduct Rules and associated procedures;
- e. being available for consultation with students during session, the times being publicly displayed in the academic unit and notified in the Subject Outline:
  - i. full time staff being available at least four hours a week over two days; and
  - ii. casual or fractional teaching staff being available as determined by the Head of the Academic Unit.
- f. recognising and accommodating diversity within student learning where appropriate;
- g. maintaining the principles set out in the University's Privacy Policy regarding the confidentiality of personal information including marks;
- h. referring students, where appropriate, to the relevant support services within the University;
- i. before departing on any granted leave, ensure that all assessment work and other commitments have been completed, marks have been forwarded to the relevant Assessment Committees and arrangements have been made for another member of teaching staff to answer any enquiries about subject results; and
- j. notifying the Head of Unit, or the Dean, as appropriate, of potential or actual conflicts of interest which could unduly advantage, or disadvantage, a student in accordance with the Conflict of Interest Policy.

### **Casual Teaching Employees and Fractional Teaching Staff Coordinating Subjects**

6. Casual teaching employees and fractional staff appointed as Subject Coordinators are expected to meet the general requirements and responsibilities set out in 5.3 and 5.4 of this Code as determined by the Head of Academic Unit.
7. If a casual teaching employee or fractional staff member is unable to carry out the responsibilities set out in 5.3 and 5.4 of this Code, it is the responsibility of the Head of Academic Unit to delegate these responsibilities to another member of the teaching staff.

## **6 Subject Outlines**

1. Subject Outlines must be developed for each undergraduate and postgraduate coursework subject offered by the University.
2. Subject Outlines must reflect the objectives of the course in which they are offered and the Learning and Teaching Strategic Plan.
3. Subject Outlines must include information prescribed in Schedule 1 of this Code and any other special requirements demanded by the subject.
4. Subject Outlines must outline which Faculty or discipline Capabilities are addressed in the subject, and briefly state that they contribute to the development of the UOW Graduate Qualities.
5. Subject Outlines must be distributed in either hard or electronic copy (where appropriate) to students by the end of the first week of session or, where assessment methods and practices are finalised after consultation with students enrolled in the subject, no later than the second week of formal session.

6. Teaching and assessment in the subject must be conducted as specified in the Subject Outline.
7. After distribution of the Subject Outlines to students (refer to 6.5 of this Code), any changes to the Subject Outlines which adversely affects students must only be made in exceptional circumstances. The following procedures must be undertaken prior to making the changes:
  - a. approval in writing must be obtained from the Head of Unit and counter signed by the Deputy Vice Chancellor (Academic and International);
  - b. all students enrolled in the subject must be consulted and have the opportunity to provide feedback; and
  - c. relevant teaching staff have been notified of the change.
8. Services and resources to support student learning must be included in the Subject Outline.

## **7 Assessment Practice**

### **Assessment Methods and Tasks**

1. Assessment methods must be appropriate for the intended learning outcomes for a subject and/or course.
2. Assessment methods may require reasonable adjustment for students with a disability.
3. Clear criteria must be developed for marking all assessment tasks in a subject and details of the criteria must be communicated to students in the Subject Outline.
4. No single assessment task will count for more than 70% of the final mark for the subject, except in subjects designated as research or creative projects.
5. At least one assessment task for each subject must require students to produce written work (e.g. essay, problem solving exercise, short answer exercise).
6. Group work must be assessed by means which allow the real contribution of each member of the group to be determined, taking into account the Good Practice – Assessment Guidelines. Group work must not constitute more than 50% of assessment for a subject unless approved by the Faculty.
7. Where attendance requirements are set for a subject, attendance records must be kept. Marks cannot be awarded for attendance per se.
8. Where class participation is used for assessment a record must be kept by the academic staff member conducting the class taking into account the Good Practice – Assessment Guidelines and retained in accordance with Schedule 2 of this Code.
9. Where scaling is used in a subject, the method of scaling must be clearly stated in the Subject Outline and it must preserve the rank order within a cohort (refer to the Assessment Guidelines - Scaling). Once marks have been officially released to students neither they, nor any of their component parts, can be scaled down.
10. Due dates for assessment tasks cannot be set during study recess period, except with the prior approval of the Head of Academic Unit.

### **Feedback to Students**

11. Appropriate and useful feedback on performance in each assessment task (with the exception of a final examination) must be provided to students, taking into account the Good Practice – Assessment Guidelines.
12. Feedback on at least one assessment task must be provided in time to enable students to improve their performance in areas of knowledge or skill development before further assessment or, withdraw from the subject without academic penalty.
13. Assessment tasks, with the exception of a final examination must be marked and made available for collection within three weeks of the submission date unless otherwise specified in the Subject Outline.

14. Assessment tasks that are relevant for a final examination in a subject must be marked and made available for collection prior to the start of the examination period.
15. Except in subjects which use pass/fail or satisfactory/unsatisfactory as part of their grading system, assessment tasks must be awarded a numerical mark.
16. Students have the right to obtain their final examination marks from the Subject Coordinator and to view and discuss the paper with the Subject Coordinator or, if not available, the Head of Academic Unit or nominee.

### **Procedures for Managing Submission and Return of Written Assessment Tasks**

17. Each academic unit must have written procedures, as specified in Schedule 1 of this Code, for the submission and return of written assessment tasks that provide safeguards against claims of non-receipt and non-return.
18. Where assessment tasks are submitted electronically, an appropriate system for receipting must be used.
19. Dates and times for submission of assessment tasks must be specified in the Subject Outline for each subject.
20. Students who do not meet the specified deadline for an assessment task will be penalised as set out in the Subject Outline.
21. Extensions may be given to students only in accordance with the Student Academic Consideration Policy.

### **Faculty Examinations**

22. The Faculty is responsible for setting the procedures and supervising the Faculty examinations taking into account the requirements set out in this Code, and the following University policies:
  - a. Occupational Health and Safety Policy,
  - b. Disability Policy – Students and
  - c. Respect for Diversity Policy.

Refer to the Good Practice Assessment Guidelines – In-session Tests.

23. The dates and times for Faculty examinations must be set out in the Subject Outline in accordance with Schedule 1 of this Code. Alternative arrangements for students who are unable to attend Faculty examinations must be made in accordance with the Student Academic Consideration Policy.
24. Student Support Advisers are responsible for making arrangements for students with special needs to ensure that the University's requirements for reasonable adjustment are met.

### **Determination of Final Results**

25. The Faculty and, where relevant, the academic unit must follow the processes for determining and declaring students' marks and grades as stipulated in the Assessment Committee Standards.
26. The roles of the Faculty Assessment Committee and the Academic Unit Assessment Committee are set out in their respective terms of reference.
27. A mark and an approved grade of performance will be determined and declared for each subject in which a student is enrolled, and released in accordance with the General Course Rules. A withheld result may be granted in a subject in accordance with the General Course Rules. A withheld result must be declared ten weeks after the release of results date in accordance with the General Course Rules.
28. Unless otherwise approved, the final assessment mark for each student in a subject shall be determined on the scale of 0 to 100% by the methods set out in the Subject Outline.

29. Where an incorrect grade or mark has been declared as a result of an administrative error, the amended result(s) must be approved as per the Assessment Committee Standards for late or amended results.
30. The approved grades of performance for undergraduate subjects, honours programs and postgraduate subjects are set out in the General Course Rules.

## 8 Retention of Assessment Records

1. Schedule 2 to this Code – the Retention of Assessment Records sets out the procedures by which academic staff, academic units and Faculties and the Academic Registrar's Division are required to retain assessment documents in order to meet the University's obligations under the State Records Act 1998.
2. It is the academic or business unit's responsibility to ensure physical retention and disposal of documents (any format, including electronic) is consistent with the State Records Act 1998 and the University's Records Management Policy.
3. Assessment records must be retained as prescribed by Schedule 2 of this Code.

## 9 Student Grievances

1. A student who has a complaint regarding adherence to any of the requirements in this Code should be referred to the grievance resolution procedures contained in the [Academic Grievance Policy \(Coursework and Honours Students\)](#) and the procedures of the Faculty responsible for the subject.

## 10 Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
1	10 October 1997	University Council	Amendments to code to provide for students to have at least a 7 day study break before exams.
2	24 November 1999	Academic Senate	Amendments to provide for email submission of assignments
3	18 August 2000	University Council	Amendments to obligations relating to periods for retention of assessment items.
4	18 October 2000	Academic Senate	Amendments to Section 1.2
5	1 January 2004	Academic Senate	Amendments to sections 5.4.1, 5.4.2 and 8.4
6	11 February 2005	University Council	Amendments to Schedule 2
7	9 November 2005	Academic Senate	Amendments to Schedule 2 relating to retention of records
8	8 March 2006	Academic Senate	Amendments to Schedule 3 in order to comply with records management legislation.
9	1 January 2008	University Council	Consequential amendments on the approval of the Graduate Qualities Policy
10	1 November 2007 (Schedule 1)	University Council	Major review and revision triggered by changes to Student Conduct Rules and Assessment Committee Standards. New Schedule 1 Subject

	and Autumn Session 2008		Outline Checklist.
11	December 2007	Vice Principal (Administration)	Minor amendments: References to Student Academic Consideration Policy replacing Special Consideration Policy; references to Rules for Student Conduct & Discipline replaced by Student Conduct Rules and accompanying procedures.
12	5 February 2009	Deputy Vice-Chancellor (Academic)	Migrated to UOW Policy Template as per Policy Directory Refresh
13	19 June 2009	University Council	Minor amendments to clauses 3.1, 3.2, 5.1, and 5.4 to clarify requirements when offering subjects where the primary or only assessment task is a research or creative project.
14	13 August 2009	Deputy Vice-Chancellor (Academic)	Minor amendment to replace reference to SEDLOs with reference to Student Support Advisers.
15	9 March 2010	Vice-Principal (Administration)	Future review date identified in accordance with Standard on UOW Policy

## Schedule 1 – Subject Outline Checklist

1. It is University policy that a Subject Outline must be developed for every undergraduate and postgraduate coursework subject (refer to 6.1 of this Code). All commitments and requirements of staff and students stipulated in a Subject Outline must be adhered to.
2. Subject Outlines must be approved in accordance with this Code.
3. The information in the Checklist below must be included in the Subject Outline as a minimum requirement (refer to 6.3).

### Checklist

#### Section A - General Information

The following information must be included in each Subject Outline.

1. Name of Faculty and academic unit
2. Subject code and title in full
3. Modes of delivery
4. Locations of delivery
5. The following details:
  - a. subject coordinator including name, telephone number, and consultation times (where possible);
  - b. where possible, lecturer/s and tutor/s, including names, telephone numbers, and consultation times.
6. Student learning outcomes
7. Brief outline of the Graduate Qualities addressed in the subject, and a brief statement that they contribute to the students' development of UOW Graduate Qualities.
8. Mandatory minimum attendance requirements, where relevant (in accordance with General Course Rule 8.8).
9. Tutorial/laboratory times, where possible
10. List of major texts
11. List of key references, including the statement (where relevant) that recommended readings are not intended as an exhaustive list and that students should use the Library catalogue and databases to locate additional resources.
12. Any materials that should be purchased
13. Where relevant, any recent improvements made to the subject, and the reason(s), such as feedback from student surveys or external reviews.

#### Section B - Assessment

The following information must be included in the Subject Outline.

1. Clear details of the assessment tasks to be used to assess the subject
2. Weight to be given to each assessment task in determining the final result
3. Details of criteria used to assess each assessment task or details of where the criteria can be found
4. Specific details of whether a student is required to perform to a specified level in an assessment task in order to gain a pass for the subject. A statement that students who do not meet the minimum performance level requirements as set out in the Subject Outline may be given a TF (Technical Fail) grade on their Academic Transcript.
5. Requirements on student contributions to tutorials and/or seminars and details of criteria for assessing such contributions

6. Where marks in a subject are routinely scaled, the method of scaling used must be included
7. Dates for submission or presentation of any assessment task and times where relevant
8. Clearly state penalties for late submission of assessment tasks
9. Information on availability of supplementary assessments, where relevant.
10. The details of the type of referencing system to be used for written work.
  - a. the Author-Date (Harvard) referencing system is the University's default referencing system to be used in the absence of a documented faculty/school preferred referencing styles. Include a link (Refer to the Library Referencing and Citing link); or
  - b. if a faculty/school preferred referencing style is to be used include this link (Refer to UOW Referencing Style Guides).
11. Use of internet resources and any restrictions placed on use of internet sources.
12. A reference to the University's policy on plagiarism, along with the statement below must be included:
  - a. "Students are responsible for submitting original work for assessment, without plagiarising or cheating, abiding by the University's policy on plagiarism as set out in the University Handbook under Universities Policy Directory and in Faculty Handbooks and subject guides. Plagiarism has led to the expulsion from the University."
13. If relevant, dates, time and location for in-session tests.
14. The following procedures for assessed work must be included in the Subject Outline
  - a. Method of submitting each assessment task (e.g. hard copy, online, email).
  - b. Arrangements for acknowledging submission of written work.
  - c. Procedures for the returning assessed materials.
  - d. Procedures for retention of written work.

### **Section C–Relevant University policies, procedures and students services**

1. References to the following University policies and relevant faculty procedures must be included with web links:
  - a. Code of Practice – Teaching and Assessment
  - b. Code of Practice – Honours
  - c. Code of Practice – Students
  - d. Code of Practice – Practical Placements
  - e. Acknowledgement Practice/ Plagiarism
  - f. Student Academic Consideration Policy
  - g. Course Progress Policy
  - h. Graduate Qualities Policy
  - i. Academic Grievance Policy (Coursework and Honours Students)
  - j. Policy and Guidelines on Non-Discriminatory Language Practice and Presentation
  - k. Occupational Health and Safety
  - l. Intellectual Property Policy
  - m. Policy on Ethical Objection by Students to the Use of Animal and Animal Products in Coursework Subjects, where relevant
  - n. Human Research Ethics Guidelines, where relevant
  - o. Animal Research Guidelines, where relevant

- p. Student Conduct Rules and accompanying Procedures
2. Reference to where students can access information on student support services and facilities.

## **Schedule 2 – Retention of Assessment Records**

### **Preamble**

1. The State Records Act 1998 and the University's Records Management Policy place specific restrictions on the release, retention and return of students' academic work (assessment and examinations) and the records and documents relating to the assessment of students' work. The assessment of student work is a public activity, and processes for the retention of assessment records should be conducted within the constraints provided by the University Privacy Policy and the Privacy and Personal Information Protection Act 1998.
2. This Schedule for Retention of Assessment Records sets out the procedures by which Academic staff, Academic Units and Faculties and the Academic Registrar's Division are required to retain assessment records in order to meet the University's obligations under the State Records Act 1998.
3. It is the academic or business unit's responsibility to ensure physical retention and disposal of documents (any format, including electronic) is consistent with the State Records Act 1998 and the University's Records Management Policy. For information on the physical retention and disposal of records contact the Records System Administrator on 4221 4374.

### **Definitions**

4. The term 'assessment' used in this schedule is consistent with the definition in the State Records Act 1998 – "the process of testing knowledge and understanding of candidates for degrees, programs etc by examination and other techniques."

### **Related Legislation and Policies**

State Records Act 1998 (Refer to General Disposal Authority– University Records GDA23)

State Records Act 1998 (Refer to General Disposal Authority – Committees GDA2)

Privacy and Personal Information Protection Act, 1998 (NSW).

UOW Records Management Policy

University Privacy Policy

UOW Code of Practice – Teaching and Assessment

UOW Assessment Committee Standards

Activity	Retention requirement	Disposal/ Custody/ Transfer	Responsibility
<b>1 Assessment Policy and Procedures</b>			
1.1	Master set of policies	Retain 10 years after policy superseded.	Required as State Archives
1.2	Master set of procedures	Retain minimum 10 years after procedure superseded.	Then destroy
1.3	Records relating to the development and maintenance of policies and procedures.	Retain minimum 10 years after policy or procedure superseded.	Then destroy
<b>2 Assessment Committees - records and minutes</b>			
2.1	Master set of minutes, agenda and related papers.	Retain for minimum of 5 years after action completed or decision made.	Then destroy
<b>3 Subject resources and material used in course delivery</b>			
3.1	Including subject outlines, assignment lists, study guides etc.	Retain at least until no longer required for teaching or other purposes eg historical records and later student requests for Advanced Standing (10 years is recommended).	Then destroy
<b>4 Student Academic Misconduct</b>			
<p>All records and documents relating to student academic misconduct and particularly to misconduct which may affect academic grades or assessments such as plagiarism or cheating in exams. Includes investigations, appeals, reporting, notification, allegations, recommendations and disciplinary action taken.</p> <p>NB: ARD will continue to maintain the database on student academic misconduct.</p> <p>NB: See 4.5 for cases that involve abuse or neglect of children.</p>			
4.1	Records relating to disciplinary proceedings where a student is found to have committed a breach and serious disciplinary action is taken.	Retain for minimum of 6 years after date of graduation or discontinuation of course of study.	Then destroy
4.2	Records relating to disciplinary proceedings where a student is found to have committed a breach but minor or no disciplinary action is taken.	Retain for a minimum of 2 years after date of graduation or discontinuation of course or study.	Then destroy
4.3	Records relating to preliminary/fact finding investigations of misconduct that	Retain for minimum of 1 year after action completed.	Then destroy

	were not proceeded with and disciplinary matters where a student is found not to have committed a breach. This includes allegations found to be false, vexatious, unsubstantiated or misconceived or could not be proven.			
4.4	Meeting papers, including master set of minutes and agenda of student discipline and conduct committees	Retain for minimum of 10 years and action completed.	Then destroy	Faculties ARD
4.5	Records of cases involving suspected or proven abuse or neglect of children.	Retain for minimum of 99 years after action completed.	Then destroy	Faculties ARD
<b>5 Student Complaints &amp; Appeals/Academic Consideration Requests</b>				
<p>Appeals, grievances and complaints relating to examination/assessment results</p> <p>Requests from students that student academic consideration be given due to circumstances which affected their performance in an examination or assessment activity.</p>				
5.1	Records and documents relating to appeals, reassessment, academic consideration, grievances and complaints.	Retain for minimum of 5 years after that date of graduation or discontinuation of course of study.	Then destroy	ARD Faculties Dean of Students
<b>6 Student Assessment Tasks – assessment by written or oral examination, assignments, presentation, thesis, etc.</b>				
<p>This relates to students' assessment tasks which have been made available for collection but are unclaimed and remain in the custody of the Academic Unit or Faculty.</p> <p>Thesis refers to Research Paper worth at least 24 credit points.</p> <p>Minor Thesis refers to Research Paper worth less than 24 credit points.</p> <p>NB: This does not relate to the Libraries requirements on the retention of theses.</p>				
6.1	Assessment work with the exception of theses.	Retain at least until the end of the appeal period, with the exemption of theses (appeal period is 21 days after distribution of mark or release of final grade – refer to Academic Grievance Policy- Coursework & Honours Students).	Then destroy	Faculties
6.2	Theses submitted or completed by students for the purposes of assessment or evaluation.	Retain for minimum of 3 years after date of submission unless the faculty has a policy to retain theses.	Then destroy	Faculties
6.3	Exam answer papers	Retain for 1 year after end of the examination period.	Then destroy	Faculties
6.4	Practicums – administrative records for arrangements and	Retain for minimum of 1 year after	Then destroy	Faculties

	liaison with placement providers.	action completed.		Deans
6.5	Practicums – summary records for courses of study where the number of hours completed and proof of satisfactory performance may be required for accreditation purposes (eg, nursing and teaching practicums).	Retain for 50 years after completion of course of study.	Then destroy	Deans Faculties
<b>7 Results</b>				
Grading/marking of individual assessment components of a subject or course such as assignments, essays, theses.				
NB This does not include the final grade of a subject or course or the actual assessment items				
7.1	Any records relating to the marking, or grading of individual assessment components of a subject or course eg class rolls, spreadsheet of results.  NB: These records need to be retained to allow students the opportunity to appeal.	Retain for minimum of 1 year after end of appeal period.	Then destroy	Faculties ARD
7.2	Records of determination of final results/grades	Retain for minimum of 1 year after end of appeal period.	Then destroy	Faculties ARD
7.3	Records relating to appeals of grades.	Retain for minimum of 1 year after action completed.	Then destroy	Faculties ARD
7.4	Records relating to changes to assessment results	Retain for minimum of 6 years after completion or discontinuation of course or program of study.	Then destroy	ARD Faculties
<b>8 Transcripts/final results</b>				
The official record of the marks/grades achieved by a student in the course of the degree or program undertaken.				
8.1	Student academic transcript/final results		Required as State Archives	ARD
8.2	Final grades of non-award courses.	Retain for minimum of 75 years after action completed.	Then destroy	ARD Faculties
8.3	Results of externally accredited courses (eg VETAB).	Retain for minimum of 30 years after action completed.	Then destroy	ARD Faculties
8.4	Paper records of student academic transcript/final results which have been converted to electronic format and records relating to requests for academic transcripts.	Retain until no longer required for reference purposes.	Then destroy	ARD

8.5	Records relating to requests for verification of qualifications or graduation status.	Retain for minimum of 1 year after action completed.	Then destroy	ARD
<p><b>9 Records and administrative arrangements for examinations and assessment activities eg classes, tutorials and laboratory sessions.</b></p> <p><b><i>Includes supervision, timetabling, eligibility lists, provision of materials, objections to taking part, special accommodation arrangements</i></b></p>				
9.1	Records relating to attendance eg, rolls, sick leave forms, medical certificates.	Retain for 1 year after end of the examination period	Then destroy	Faculties ARD
9.2	Records relating to attendance for practicums where students are working with children eg, nursing and education	Retain for minimum of 10 years after action completed.	Then destroy	Faculties
9.3	Records relating to administration of examinations and assessment activities	Retain until no longer required for reference use	Then destroy	Faculties ARD
9.4	Examinations – master set of question paper.		Required as State Archives	Faculties
<p><b>10 Records relating to assessment of students in order to identify those whose progression may require intervention eg, Minimum Rate of Progress.</b></p> <p><b><i>Includes decisions, requests from students to ‘show cause’, notification of exclusion and conditional enrolment, documentation from students, monitoring of student progress and appeals</i></b></p>				
10.1	Records relating to assessment of students in relation to minimum rate of progress.	Retain for minimum of 6 years after student has completed or discontinued course of study	Then destroy	Faculties ARD
10.2	Records of committees (including ad hoc committees) responsible for assessing student progression cases.	Retain for minimum of 6 years after action completed.	Then destroy	ARD Faculties
<p><b>11 Supervision of Higher Degree Research Students</b></p> <p><b><i>Supervision of higher degree students (eg, Masters &amp; PHD level students).</i></b></p>				
11.1	Records, policies and procedures relating to the supervision of Higher Degree Research Students, including advice and liaison between a supervisor and student.	Retain for 7 years after Higher Degree awarded.	Then destroy	Research Office
11.2	Records relating to appointment of examiner, assessors and supervisors.	Retain for 7 years after Higher Degree awarded.	Then destroy	Research Office
11.3	Examiners/assessors’ reports and related records.	Retain for 7 years after Higher Degree awarded.	Then destroy	Research Office
11.4	<i>Theses or other significant work.</i>	<i>Retain for 7 years after Higher</i>	<i>Copy</i>	Research Office

		<i>Degree awarded.</i>	<i>retained in Library</i>	
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