

Unit of Study Monitoring and Grade Ratification Policy

Section 1 - Purpose

(1) This Policy supports the assurance, enhancement and improvement (QAE&I) of the quality, integrity and relevance of the University's suite of units of study ('units').

(2) This Policy is part of Stage 4 Monitoring of the Curriculum Lifecycle Framework and should be read in conjunction with all policies and procedures specific to this Stage and in particular the [Assessment Policy](#) and [Student Survey Policy](#).

Scope

(3) This Policy applies to all units that are available for credit.

(4) The Policy does not apply to learning products that are not available for credit.

(5) This Policy also applies to the Bachelor of Philosophy / Master of Research but does not apply to other Graduate Research Degrees.

Section 2 - Policy

(6) Unit of study monitoring and grade ratification assists the University to meet its commitment to providing its students with an exceptional academic experience that meets their needs and those of the course.

(7) Unit of study monitoring and grade ratification builds a meaningful body of data which can be called upon to support the [Unit of Study Review Policy](#) process.

(8) Unit of study monitoring and grade ratification is designed to ensure that all units offered for credit:

- a. are subject to regular and rigorous review throughout the period in which they are warranted by the University;
- b. remain fit for purpose and continue to meet the required levels of quality as set against agreed institutional standards and policies; and
- c. can be the subject of targeted intervention if a risk to the quality of the unit is identified.

(9) Unit of Study grade ratification is designed to ensure that all units offered for credit:

- a. produce final student results that are fair, transparent, and objective;
- b. are subject to systematic, rigorous, and reliable inspection and finalisation of grades; and
- c. produce reporting that can assist Faculty Boards in ratifying results with high levels of confidence.

(10) Unit monitoring and grade ratification is informed by:

- a. transparent and coherent institutional processes;

- b. institutionally agreed and independently compiled data points;
- c. a risk-based approach to decision making and escalation of action;
- d. the feedback of students;
- e. the judgements of academic staff; and
- f. the [Assessment Policy](#), and adheres to the principles of assessment expressed in that Policy.

(11) A unit will be subject to monitoring and grade ratification after every offering.

(12) Unit Monitoring and Grade Ratification meetings will be organised for specific jurisdictions. Faculties or other approving bodies will determine such jurisdictions. A jurisdiction may contain:

- a. all units appearing in the specification of the structure of a course;
- b. the units offered within a specific course component;
- c. the units offered by a specific discipline;
- d. the units offered by an academic Department or School.

Section 3 - Procedures

Part A - Unit Monitoring and Grade Ratification Process

(13) Part A specifies the unit monitoring and grade ratification process for all units offered for credit with the exception of units within Year 2 of the Bachelor of Philosophy / Master of Research, which is specified in Part B of this Policy.

(14) The unit monitoring and grade ratification process will be conducted through approved University processes including, where applicable, the approved templates and proformas.

(15) The Unit Monitoring and Grade Ratification meeting is conducted at the end of the study period in which the unit was offered or, if the unit was not offered in a prescribed study period, at the earliest opportunity and before the scheduled meeting of the Faculty Board/Macquarie University College Board (as relevant) or other approving authority, at which results are ratified.

(16) For units offered in a prescribed study period, the Office of the Pro Vice-Chancellor (Education) will conduct a standard learner experience of unit student survey (LEUS) for the unit during the study period unless the unit is about to undertake a review (see [Unit of Study Review Policy](#)).

(17) The Office of the Pro Vice-Chancellor (Education) will finalise student feedback and engagement data for the unit.

(18) The Unit Monitoring and Grade Ratification meeting Coordinator will be appointed from the staff who support the administration of units in that jurisdiction.

(19) The Unit Convenor will finalise their grades in the approved University system.

(20) The Unit Monitoring and Grade Ratification meeting Coordinator will ensure that all grades for units in their jurisdiction are entered into the approved University Student Management System.

(21) The Course Authority for the jurisdiction will examine the grade data, student feedback and engagement data, and the Unit Monitoring Report to determine whether they will recommend that an Action Plan be completed for a unit.

(22) The Unit Monitoring Reports (Form A) and any trends or observations across the unit suite of the jurisdiction will be discussed at the Unit Monitoring and Grade Ratification meeting.

- (23) The Unit Monitoring and Grade Ratification meeting may also identify units that require an Action Plan.
- (24) The Unit Monitoring and Grade Ratification meeting will ratify the final grades for all units in its jurisdiction.
- (25) In exceptional circumstances the Unit Monitoring and Grade Ratification meeting may act to consider whether a cohort of students or all students have been disadvantaged by the unit's assessment-based moderation activities or another external factor (Unit Grade Investigation). Such an investigation may recommend to the Faculty Board or other approving authority an adjustment to the marks tabled at the Unit Monitoring and Grade Ratification meeting.
- (26) The Unit Monitoring and Grade Ratification meeting Coordinator will submit the outcomes of the meeting for their jurisdiction to the Faculty Board or other approving authority.
- (27) The Faculty Board or other approving authority will review the results and reports of each jurisdiction and certify the final grades.
- (28) A unit has a significant number of holding grades if there are ten (10) or more in units with 200 or less enrolments or 5% or more in units with 200 or more enrolments. For a unit that has a significant number of holding grades, all grades can be ratified by the Faculty Board however the final unit monitoring report must be approved by the Faculty Board after a sufficient number of holding grades have been finalised (refer to Appendix A: [Assessment Policy](#) for descriptors of holding grades).
- (29) The Faculty Board may refer a unit back to the Course Authority for an Action Plan if, in its judgement, such a decision is justified.
- (30) The Unit Convenor will complete the Action Plan supported by designated colleagues and with the assistance of either the Course or Faculty Authority or unit moderator.
- (31) Upon the implementation of the Action Plan a final report will be completed.
- (32) Based on the Final Report the Course Authority will make a recommendation. This recommendation will:
- a. endorse the final report; or
 - b. return the final report for further action; or
 - c. call for a full Periodic Unit Review.
- (33) The Faculty Authority or other approving authority will endorse the recommendation of the Course Authority for submission of the final report to the Faculty Board or other approving authority.
- (34) The Faculty Board or other approving authority will:
- a. approve the final report, or
 - b. return the recommendation, or
 - c. call for a full Periodic Unit Review.
- (35) For units offered through the Macquarie University College, the Macquarie University College Board will approve the recommendation, and the ASQC will endorse the Macquarie University College decision.
- (36) The Office of the Pro Vice-Chancellor (Education) will conduct an Extended LEU at the next offering of the Unit after the Faculty Board or approving authority has approved the final report.
- (37) Faculty decisions will be considered to ensure institutional consistency and identify any issues that may be deserving of recommendation to Academic Senate for thematic review. This function is undertaken by:

- a. the Research Degree Subcommittee (RDSC) for units of study within the Bachelor of Philosophy/MRes Year 1; and
- b. the Academic Standards and Quality Committee for all other units of study.

Part B - Unit Monitoring Process for Research Assessment Components - Year 2 Bachelor Philosophy/Master of Research

(38) The unit convenor (MRes Advisor) of Year 2 of the Bachelor of Philosophy/Master of Research will provide the results of compulsory assessment results, excluding externally marked theses, in a report to the MRes Director twice a year.

(39) The MRes Director will collate and complete a Faculty report on the compulsory assessment results, excluding externally marked theses, of Year 2 of the degree for submission to the Candidature Co-ordinator (Graduate Research).

(40) The Research Degree Subcommittee (RDSC) will review the compulsory assessment result reports, in addition to the thesis result reports, for each Faculty offering of Year 2 of the Bachelor of Philosophy/Master of Research, twice a year or, more often as needed. Review recommendations for Year 2 of the Bachelor of Philosophy/Master of Research will be submitted to the RRTC as an annual course report. In accordance with the [Master of Research Thesis Preparation, Submission and Examination Procedure](#), individual compulsory assessment marks will be reviewed at the same time as individual thesis marks, on a rolling basis to determine an individual students final grade.

(41) The results of compulsory assessment and thesis components, as well as the final grades of individual students will be recommended to the Research and Research Training Committee (RRTC) for ratification on a rolling basis.

(42) The RRTC will consider recommendations from the RDSC based on the annual course report. Upon approval or emendation by the RRTC, the Academic Director, Graduate Research or Course Authority will compile a report for Faculty Boards and the ASQC outlining the recommendations.

(43) The ASQC will annually consider RDSC and RRTC recommendations to ensure institutional consistency and identify any issues that may be deserving of recommendation to the Academic Senate for thematic review.

Part C - Responsibilities

(44) Responsibilities related to these Procedures are as follows:

- a. Business Intelligence and Reporting is responsible for:
 - i. finalisation of results data and maintenance of the Monitoring and Grade Ratification Dashboard.
- b. the Office of the Pro Vice-Chancellor (Education) is responsible for:
 - i. conducting of student surveys (LEU) for all units for all offerings before Periodic Review;
 - ii. finalisation of student feedback and engagement data;
 - iii. providing support as required to the Unit Convenor in implementing a unit Action Plan; and
 - iv. conducting extended learner experience of unit student survey (LEUX) for a unit at the first offering after the implementation of an Action Plan.
- c. the Unit Convenor is responsible for:
 - i. finalising results;
 - ii. completing the [Unit Monitoring and Grade Ratification Report \(Form A\)](#) and submitting it to the Unit Monitoring and Grade Ratification meeting; and
 - iii. completing an Action Plan and final report if required.

- d. the Unit Convenor (MRes Advisor) of Year 2 of the Bachelor of Philosophy/Master of Research is responsible for providing the results of compulsory assessments, excluding the externally marked thesis results, in a report to the MRes Director twice a year.
- e. the Unit Monitoring and Grade Ratification meeting Coordinator is responsible for:
 - i. oversight of the entry of unit results into the designated university IT system;
 - ii. providing secretariat support for the conduct of the Unit Monitoring and Grade Ratification meetings; and
 - iii. ensuring grades are available for certification by Faculty Boards.
- f. the MRes Director is responsible for collating and completing a Faculty report on the compulsory assessment results, excluding the externally marked thesis results, of Year 2 of the degree and submitting this to the Candidature Co-Ordinator (Graduate Research).
- g. the relevant authorised Course Authority is responsible for:
 - i. identifying units requiring an Action Plan and recommending the results to the Unit Monitoring and Grade Ratification meeting;
 - ii. chairing the Unit Monitoring and Grade Ratification meeting;
 - iii. finalising the Action Plan with unit convenor(s) as appropriate;
 - iv. reviewing implementation of the Action Plan and the final report;
 - v. completing the [Unit Group Monitoring Report \(Form B\)](#) and submitting it to Faculty Board; and
 - vi. making recommendations to Faculty Board.
- h. the Unit Monitoring and Grade Ratification meeting is responsible for:
 - i. endorsing final grades for the units within its jurisdiction;
 - ii. conducting a cohort grade investigation, if required;
 - iii. examining unit moderation reports (Form A); and
 - iv. endorsing the Course Authority's identification of units requiring an Action Plan.
- i. the relevant authorised Faculty Authority is responsible for:
 - i. finalising the Action Plan with unit convenor(s) as appropriate;
 - ii. completing the [Faculty Unit Monitoring Report \(Form C\)](#) and submitting to the ASQC; and
 - iii. endorsing the Course Authority's final Action Plan report and recommendation.
- j. the Faculty Board or other approving authority is responsible for:
 - i. endorsing the [Unit Group Monitoring Report \(Form B\)](#);
 - ii. ratifying final results from ratified grades;
 - iii. approving unit Action Plan reports; and
 - iv. providing reports to the ASQC and the RDSC.
- k. a nominated meeting of the Macquarie University College Board serves as the Unit Monitoring and Grade Ratification meeting for the Macquarie University College and that Board is also responsible for ratifying results from grades ratified for units offered by the Macquarie University College.
- l. the Research Degree Subcommittee (RDSC) is responsible for:
 - i. reviewing the compulsory assessment result reports for each Faculty offering of Year 2 of the Bachelor of Philosophy / Master of Research twice a year or, more often as needed; and
 - ii. submitting review recommendations to the RRTC as an annual report.
- m. the Research and Research Training Committee (RRTC) is responsible for:
 - i. considering and approving or emending recommendations from the RDSC based on the annual course report; and
 - ii. providing a report to the ASQC on matters arising from its consideration of the Bachelor of Philosophy / Master of Research to ensure institutional consistency and to identify any issues that may be deserving of recommendation to the Academic Senate for thematic review.

- n. the Academic Director, Graduate Research or Course Authority is responsible for compiling the [Unit Group Monitoring Report \(Form B\)](#) for Faculty Boards and the ASQC outlining the recommendations from the annual course report for the Bachelor of Philosophy/Master of Research (following approval by the RRTC).
- o. the Academic Standards and Quality Committee is responsible for:
 - i. receiving and considering the [Faculty Unit Monitoring Report \(Form C\)](#) supplied by the Faculties and the Macquarie University College;
 - ii. the ratification of grades and the ratification of results for a unit where neither a Faculty nor Macquarie University College is the designated custodian; and
 - iii. receiving and considering RDSC and RRTC recommendations relevant to the Bachelor of Philosophy / Master of Research to ensure institutional consistency and to identify any issues that may be deserving of recommendation to the Academic Senate for thematic review.

Section 4 - Guidelines

(45) Nil.

Section 5 - Definitions

(46) The following definitions apply for the purpose of this Policy:

- a. Action Plan means the plan developed by the authorised unit authority to address issues highlighted as a result of the unit monitoring or unit periodic review processes.
- b. Course Authority is the person assigned by a Faculty or equivalent to perform certain roles within the Curriculum Lifecycle processes at a course level, for example Course Director, Head of Department, Program Director.
- c. Curriculum Lifecycle Framework charts the journey of an award course, course component or unit from idea to disestablishment, including the processes and policies for their accreditation, revision, monitoring and review, and reaccreditation. It can also be applied to non-award educational products that still require institutional oversight such as short courses including not for credit micro-credentials.
- d. Faculty Authority is the person assigned by a Faculty or equivalent, to perform certain roles within the Curriculum Lifecycle processes at a Senior Leadership level, for example: Deputy Dean, Associate Dean, Associate Director.
- e. Final Report means the report created by the Unit Convenor or Course Authority outlining the outcomes of the implementation of an Action Plan or Success Plan.
- f. Grades are the ratified statement of a student's overall performance in meeting the learning outcomes of a unit.
- g. Recommendation means an action resulting from a review process where a panel or other authority provide a course of action based on the evaluation of the submission against domains, data and/or other supporting resources.
- h. Results are the collective name for a unit's grades as ratified by the Faculty Board or other approving authority.
- i. Unit Monitoring means the process through which the performance of a unit is assessed at the conclusion of each study period.
- j. Unit Monitoring and Grade Ratification meeting Coordinator is a professional staff member appointed by a Faculty or Department to coordinate the preparations for and conduct of the Unit Monitoring and Ratification meeting on behalf of the designated cohort, for example Department, Course, Course Component.
- k. Unit Monitoring Report means the information collated in the Unit Monitoring template in the [MQCMS](#) Review section as a result of the Unit Monitoring process.
- l. Unit Periodic Review means the process through which the performance of a unit is assessed at least once

during the Accreditation cycle of the Course for which it was designed and will usually be conducted in Years two (2), three (3) or four (4) of the Accreditation cycle according to the steps stipulated in the Curriculum Management System.

Status and Details

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