



# APPEALS POLICY

SCCU LIMITED  
VERSION 3.0

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## Version Control

| VERSION | REVIEWER NAME        | DATE       | NEXT REVIEW | COMMENTS       |
|---------|----------------------|------------|-------------|----------------|
| 1.0     | Liam Morrissey       | 13/09/2021 | 13/09/2022  | Comments here. |
| 2.0     | Liam Morrissey       | 13/09/2022 | 03/07/2023  |                |
| 3.0     | Katrina Greenshields | 05/09/2023 | 04/09/2024  |                |

## Introduction

1. SCCU are committed to helping learners fulfil their potential and obtain the desired examination and assessment results.
2. Assessment is an essential part of learning and is used to provide recognition of achievement. It also provides information that assists both tutors and learners in the ongoing improvement and development of the learning and teaching process.
3. It is essential that an assessment:
  - Is fair and ensures parity of treatment and comparable assessment demands in subjects of equal level and credit.
  - Is reliable, ensuring that assessment decisions are made consistently.
  - Is valid, by ensuring that each assessment relates to the intended outcomes of the relevant awarding organisation.
  - Is transparent, in that it is clear to SCCU, our learners, and external auditors the criteria and methods by which learners' work is being judged and the consistency and fairness in marking.
  - Considers learner needs and reasonable adjustments.
4. Unfortunately, there may be occasions where learners fail to obtain the marks to pass a course or learning module and wish to appeal their assessment result, and we are committed to providing fair and transparent assessment and appeal opportunities to all learners.
5. This policy is intended to outline:
  - What the basis of an appeal are; and
  - The informal and formal processes of appealing assessment results or attainment grades; and
  - How SCCU manages appeals; and
  - Examples of the outcome of the expected appeal; and
  - Any other avenues student learners can take if their appeal is unsuccessful.

## Scope

6. This policy applies to all learners of SCCU. All learners must be informed of our Appeals Policy at the start of their course. This policy should also be read by all SCCU employees.

## Roles and Responsibilities

7. SCCU learners are responsible for:
  - Fully engaging with SCCU's course and assessment requirements; and
  - Informing us in good time of any additional learning support required; and
  - Logging appeals in the specified timeframes via the appeals procedures outlined below.
8. The employees of SCCU are responsible for:
  - Passing on appeals to the relevant Internal Quality Assurer within two working days.
  - Assisting the Internal Quality Assurer where required.
9. The Internal Quality Assurer is responsible for:
  - Conducting informal discussions with learners to seek a speedy resolution where appropriate.
  - If informal resolution is not achieved, conducting a review of the assessment and course or module for which the results are being appealed.
  - Conducting or organising, where required re-assessment, re-submission or second marking.
  - Liaising with the awarding organisation where required.
  - Providing feedback in writing to the learner as to the outcome of the review and outlining the next steps clients may take.
  - Providing feedback to the assessor and/or trainer and/or supporting staff where necessary.

## Policy

### Reasonable Adjustments

10. Learners identified as having particular assessment requirements will be supported during the assessment, where the awarding organisation has agreed on the necessary reasonable adjustments.
11. Such adjustments will be solely to support the individuals to show how they meet the required standards and SCCU will ensure that adapted assessments are conducted with the rigour as those of mainstream learners.
12. All such adaptations and reasonable adjustments must be communicated to SCCU in good time so that we can agree on the adapted assessment with the awarding organisation and arrange for the necessary resources.

### Basis of Appeals

13. Learners have the right to appeal against any assessment, and SCCU understands that the basis of an appeal may be varied and that learners may appeal for a variety of reasons.
14. In general, SCCU acknowledges that the following may form a basis for an appeal, however, this list is not exhaustive:
  - The assessment criteria were not made clear.
  - The course did not provide the opportunity to meet the assessment criteria.
  - The assessment did not provide the opportunity to meet the assessment criteria.
  - The assessment was improperly managed/undertaken.
  - The marking was not in line with the assessment criteria.
15. Learners may not appeal against:
  - Assessment criteria or course material provided by the awarding organisation.
  - The assessment result where the learner did not get the additional support needed, but failed to inform us/apprenticeship provider of the required support in good time.

- The assessment result where the learner has failed to meet the minimum standards of the course – e.g., poor attendance, not submitting coursework on time or not completing mandatory activities.

## Investigating Appeals

16. Where a learner has appealed an assessment, the Internal Quality Assurer should ensure that SCCU has satisfied the following criteria of fair assessment:

- The course material and recommended additional learning were complete and allowed the learner to gain the desired knowledge/skills; and
- The teaching delivery staff were competent in the course/module delivery; and
- Assessments were conducted in line with SCCU and awarding organisation's standards; and
- Assessments were marked consistently and fairly using the awarding organisation's criteria and standards; and
- The assessment format and method allowed the learner to meet the assessment criteria; and
- The assessment materials and/or guidance was consistent, presented in an appropriate format that was clear, unambiguous and considered non-discriminatory; and
- The assessment would give equal opportunity for all learners and will only differentiate based on knowledge, skills and understanding; and
- Where appropriate, the learner had the agreed reasonable adjustments granted; and
- The assessment was free from malpractice and maladministration.

## Possible Appeal Outcomes

17. Whilst the appeal outcome depends entirely on the situation, the following list is examples of possible appeal outcomes:

- The appeal is denied and the result is valid; or
- The appeal finds that the learner will have the opportunity to be re-assessed; or

- The appeal finds that the result should be adjusted but should be decreased; or
- The appeal is upheld and the result will be adjusted.

## Appeal Procedure

### Submitting an Appeal

#### Step 1: Informal Resolution Sought

18. Learners must contact SCCU within 28 days of the results being issued, by email or letter, stating the following information:
  - Their name, learner identification number, address, and telephone number.
  - The grounds/basis on which they are appealing.
  - The course or learning module the appeal relates to.
  - The date the assessment took place.
  - The date the results were issued.
19. Appeals should be addressed to either Liam Morrissey (Education Manager) or Katrina Greenshields (Quality Manager).
20. On immediate notification that a learner has appealed a result, a record of the appeal must be made. A case file will be opened and all relevant evidence and information about the appeal must be maintained within the file, ensuring all information is indexed and recorded.
21. The receiving appeal lead will conduct a cursory review, and where the appeal lead agrees with the assessment result, will contact the appellant to resolve the dispute and agree on the assessment result.
22. Where the appeal lead, after a cursory review, considers there may be grounds for appeal, the appeal will be escalated to the formal stage. In such circumstances, the appeal lead will contact the learner within 14 days to inform them of the escalation.
23. If the dispute cannot be resolved informally, the learner should submit a formal appeal.



## Stage 2: Formal Appeal

24. The appeal lead will conduct an in-depth investigation, collecting all relevant evidence and discussing their findings with the appropriate tutors/trainers/assessors.
25. The learner may also be asked to provide any additional supportive evidence to support their appeal.
26. The appeal lead may also consult directly with the relevant awarding organisation where additional guidance is required, or for the purposes of validating the findings of a formal appeal.
27. During the investigation, the appeal lead will refer to the investigation criteria below before making their recommendation.
28. Following the investigation, the appeal lead will discuss and agree their recommendations with the relevant Internal Quality Assurer and any other parties with a considered interest.
29. The details of the decision and any findings will be recorded in writing in the appeal file, and the decision will be communicated to the student learner within 5 working days for review.
30. Where the learner has requested a discussion following the decision, the appeal lead will contact them as soon as practicable to verbally communicate the decision and inform them of their findings in addition to the written communication.
31. The decision of the appeals lead is final and the appeal file will be closed by SCCU.
32. All appeal information is to be kept confidential and retained for a minimum of 7 years.

## Stage 3: Appealing to the Awarding Organisation

33. If Stage 1 and Stage 2 were unsuccessful, the learner should appeal directly to the relevant awarding organisation and SCCU will provide all required details to facilitate this.