



Reference # SDC4.2 - Previously SDC1

Author

Sarah Dalrymple

Michael Dalrymple 2018 06, 2021 05, 2022 01 2024 03 2026 03

Ali Sim 2025 01

Melanie Macvicar 2026 01

### QMS Systems Master file

#### **What is this document for ?**

This document describes the SDC-Learn policy and procedure with respect to the Assessment of Modern Apprentices as they function in the workplace. Assessment is the process of evaluating an individual's learning and SDC-Learn is committed to providing students with the best possible opportunity to succeed in assessment within the Vocational standards set by their SVQ's.

The Assessment and Appeals Procedure should be read in conjunction with document SDC1.1 Complaints & SDC1.4 Appeals Procedure. These documents are designed to provide support and guidance on:

- how to plan and conduct assessment to meet awarding body standards
- the process to follow if a student wishes to appeal an assessment decision

This procedure is an important element of SDC-Learn's quality management system and complements the company's Internal Verification Procedure which is designed to ensure that all students entered for the same qualification are assessed consistently to the specified standard by ensuring that assessment decisions are valid, reliable, equitable and fair.

#### **How does it work?**

It sets out the roles and responsibilities of those involved in planning and conducting assessments and making assessment decisions. It also sets out the procedure to be followed when a student wants to appeal an assessment decision and what SDC-Learn should do in the event of malpractice.

#### **What does it cover?**

The Assessment and Appeals Procedure covers the assessment of **all** QUALIFICATION SCOTLAND (SQA) qualifications (Higher National, National Certificate, Scottish Vocational Qualifications (SVQs), National Progression Awards and Professional Development Awards). Where there are additional requirements for SVQs, these are highlighted. If the programme being delivered is not an QUALIFICATION SCOTLAND (SQA) award, the Quality Support Officer should be consulted on the awarding body's requirements and regulations at the earliest possible opportunity.



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### Roles and Responsibilities in relation to assessment

<p><b>Candidate</b></p>	<p><b>All QUALIFICATION SCOTLAND (SQA) qualifications</b></p> <ul style="list-style-type: none"> <li>• Comply with SDC-Learn procedures in relation to assessment</li> <li>• Discuss alternative arrangements for assessments with the SDC-Learn assessor</li> <li>• Comply with SDC-Learn procedures in relation to malpractice</li> <li>• Comply with SC-Learn procedures in relation to remediation, re-assessment and re-enrolment</li> </ul> <p><b>Additional requirements for Scottish Vocational Qualifications</b></p> <ul style="list-style-type: none"> <li>• Collect sufficient valid and authentic evidence to prove competence that meets the standards</li> <li>• present evidence to prove competence by cross-referencing against the standards</li> <li>• complete assessment action plans provided by the assessor as appropriate</li> </ul>
<p><b>Assessors</b></p>	<ul style="list-style-type: none"> <li>• Hold a current assessor qualification or be working towards one (see Supporting Information 1)</li> <li>• Be competent in the subject/occupational area to a level appropriate to the qualification</li> <li>• Provide copies of all relevant certificates, to be stored by SDC-Learn and in the External Verifier (EV) folder</li> <li>• Work with Internal Verifiers to create and maintain EV folders for all units they are currently delivering.</li> <li>• Keep up-to-date evidence of continuous professional development (CPD) in assessment practice and current industry competency</li> <li>• Use current Arrangements Documents, Unit Specifications, and QUALIFICATION SCOTLAND (SQA) assessment support materials</li> <li>• Use QUALIFICATION SCOTLAND (SQA) assessment support materials where these are available Store QUALIFICATION SCOTLAND (SQA) assessment support materials securely (see Appendix 1)</li> <li>• Check that QUALIFICATION SCOTLAND (SQA) assessment exemplars being used are valid and relevant to the context in which the unit is delivered</li> <li>• Follow assessment guidelines set out in Unit Specifications, or for SVQs, meet the requirements laid out in their Sector's Assessment Strategy</li> <li>• Send all centre-devised assessments or amended assessment support materials to QUALIFICATION SCOTLAND (SQA) for prior verification</li> </ul>



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<ul style="list-style-type: none"><li>• Ensure all assessments used comply with SDC-Learn standardised format</li><li>• Inform students of assessment criteria and mode and format of assessments</li><li>• Provide induction on the assessment and appeals process</li><li>• Identify any additional student requirements and organise support via SDC-Learn</li><li>• Conduct appropriate diagnostic assessment to plan student learning programmes</li><li>• Conduct appropriate formative assessment (Assessment for Learning) to identify gaps in knowledge and understanding and use this information to plan future learning</li><li>• Provide timely, direct and constructive feedback (both verbal and written) that moves learning forward</li><li>• Conduct internal summative assessment under the conditions set out in Unit Specifications or equivalent. Where use of notes or reference material is allowed, this should be clearly explained by the assessor</li><li>• Judge student evidence</li><li>• Conduct internal assessment under the conditions set out in the Unit Specification or equivalent. Where use of notes or reference material is allowed, this should be clearly explained by the assessor</li><li>• Use approved checklists to record assessment decisions</li><li>• Comply with the SDC-Learn malpractice guidelines (see Candidate Induction Paperwork)</li><li>• Comply with SDC-Learn guidelines in relation to remediation, re-assessment and re-enrolment (see Candidate Induction Paperwork).</li><li>• Provide assessment evidence in line with the schedules for both internal and external verification</li><li>• Retain appropriate records and evidence of candidates' work for one year for QUALIFICATION SCOTLAND (SQA), or for other awarding bodies, in line with their requirements.</li><li>• Work with IVs to prepare for EV visits</li><li>• Contribute to addressing Action Points identified during External Verification (EV) visits</li><li>• All team members need to declare a conflict of interest with any assessment process, when conducting SDC-Learn business</li></ul> <p><b>Note 1</b> <b>Under no circumstances should QUALIFICATION SCOTLAND (SQA) assessment support materials be e-mailed or</b></p>
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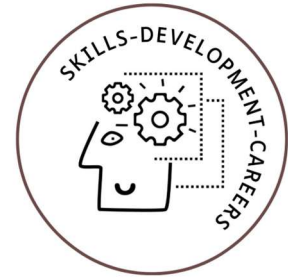
	<p><b>posted to candidates. Where assessment support materials have to be sent to external nominated invigilators, they must be posted by recorded delivery. (See Appendix 2) - Additional requirements for Scottish Vocational Qualifications</b></p> <p>Support candidates in collecting sufficient and valid evidence to prove competence that meets the standards</p> <ul style="list-style-type: none"> <li>• Support candidates in correctly presenting their evidence (including cross-referencing) to prove competence that meets the standards</li> <li>• Meet the requirements laid out in the Sector’s Assessment Strategy</li> <li>• Meet the CPD requirements set out in the Sector’s Assessment Strategy</li> <li>• Review candidate progress and agree an assessment action plan as appropriate</li> </ul>
<b>Internal Verifier</b>	<ul style="list-style-type: none"> <li>• Carry out SDC-Learn Internal Verification Procedure to ensure that valid, reliable, equitable and fair assessment decisions have been made</li> <li>• All team members need to declare a conflict of interest with any assessment process, when conducting SDC-Learn business</li> </ul>
<b>Quality Assurance /QUALIFICATION SCOTLAND (SQA) Co-ordinator</b>	<ul style="list-style-type: none"> <li>• Provide assessor training/support to ensure that staff are assessing to the correct standard</li> <li>• Support the use of e-assessment and e-portfolios</li> <li>• Provide copies of relevant assessment support materials from the QUALIFICATION SCOTLAND (SQA) Secure Site Ensure that candidate assessment results are transmitted to the awarding body Confirm student achievement</li> <li>• Oversee the development and implementation of all quality assurance procedures</li> <li>• To communicate details to QUALIFICATION SCOTLAND (SQA) relating to: change of premises, change of name of centre or business, change of contact details, change of head of centre, owner and/or QUALIFICATION SCOTLAND (SQA) Co-ordinator. (QUALIFICATION SCOTLAND (SQA) Connect.)</li> <li>• To inform QUALIFICATION SCOTLAND (SQA) in writing to the Business Development and Customer Support contact about the outcome of any relevant internal or external investigations – including malpractice and about removal of centre and/or qualification approval by another Awarding Body.</li> <li>• Inform QUALIFICATION SCOTLAND (SQA) in writing if there is a lack of appropriate assessors/verifiers to competently carry out the assessment and verification criteria</li> <li>• All team members need to declare a conflict of interest with any assessment</li> </ul>



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## SUPPORTING INFORMATION

### 1. Assessor Qualification Requirements

Assessors must either hold the appropriate assessor qualification or be working towards achieving it. The table below sets out assessor qualification requirements:

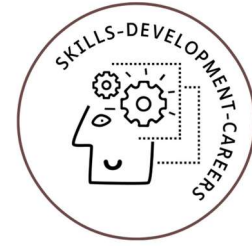
Award you are assessing	Acceptable Assessor qualifications	Additional information
SVQs/units and QUALIFICATION SCOTLAND (SQA) qualifications assessed in the workplace	<ul style="list-style-type: none"> <li>• L&amp;D9Di: Assess Workplace Competence Using Direct and Indirect Methods</li> <li>• A1 or A2 plus CPD in line with current L&amp;D9Di standards</li> <li>• D32 or D33 plus CPD in line with current L&amp;D9Di standards</li> </ul>	If you hold A1 or D32/D33, you must attend an update session to ensure you are up-to-date with additional requirements in L&D9Di.
Non-workplace qualifications awarded by the QUALIFICATION SCOTLAND (SQA) (e.g. HNs, NQs, NCs, NPAs, non-workplace PDAs, Skills for Work, PC Passport, Core Skills)	<ul style="list-style-type: none"> <li>• L&amp;D9Di</li> <li>• D32 or D33 plus CPD in line with current L&amp;D9Di standards</li> <li>• TQF/SE plus CPD in line with current L&amp;D9Di standards</li> <li>• Conduct the Assessment Process</li> </ul>	<p>If you hold A1 or D32/D33, you must attend a College update session to ensure you are up-to-date with additional requirements in L&amp;D9Di.</p> <p>If you hold only TQF/SE, you must ensure you maintain your CPD to meet the QUALIFICATION SCOTLAND (SQA) toolkit criteria to ensure you are up-to-date with additional requirements in L&amp;D9Di</p>



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## 2. Malpractice

Malpractice means any act, default or practice (whether deliberate or resulting from neglect or default) which is a breach of QUALIFICATION SCOTLAND (SQA) requirements including any act, default or practice which:

- Compromises, attempts to compromise or may compromise the process of assessment, the integrity of any QUALIFICATION SCOTLAND (SQA) qualification, the validity of a result or certificate; and/ or
- Damages the authority, reputation or credibility of QUALIFICATION SCOTLAND (SQA) or any officer, employee or agent of QUALIFICATION SCOTLAND (SQA).

Malpractice can arise for a variety of reasons:

- Some incidents are intentional and aim to give an unfair advantage or disadvantage in an examination or assessment (deliberate non-compliance);
- Some incidents arise due to ignorance of QUALIFICATION SCOTLAND (SQA) requirements, carelessness or neglect in applying the requirements (maladministration).

Malpractice can include both deliberate non-compliance with QUALIFICATION SCOTLAND (SQA) requirements and maladministration in the assessment and delivery of QUALIFICATION SCOTLAND (SQA) qualifications. It is necessary to investigate any suspected instances of malpractice, whether they are intentional or not, to protect the integrity of the qualification and to identify any wider lessons to be learned.

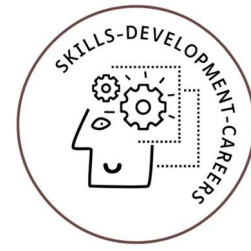
Examples — candidate malpractice:

- breaching the security of assessment materials in a way which threatens the integrity of any exam or assessment — including the early and unauthorised removal of a question paper or answer booklet from the examination room;
- breaching the defined conditions of an assessment (e.g. completing work outside of controlled conditions);
- collusion — working collaboratively with other candidates beyond what is permitted;
- copying from another candidate;
- frivolous content — producing content that is unrelated to the assessment;
- misconduct — inappropriate behaviour in an assessment room that is disruptive and/or disrespectful to others. This includes talking, shouting and/or aggressive behaviour or language in the examination room.
- Offensive content — content in assessment materials that includes vulgarity and swearing



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that is out with the context of the assessment, or any material that is discriminatory in nature (including discrimination in relation to the protected characteristics identified in the Equality Act 2010). This should not be read as inhibiting candidates' rights to freedom of expression;

- Personation — assuming the identity of another candidate, or a candidate having someone assume their identity during an assessment;
- Plagiarism — failure to acknowledge sources properly and/or the submission of another person's work as if it were the candidate's own;
- Prohibited items — possessing items that candidates must not have with them at their allocated seat in the examination room because they can give an unfair advantage, including (but not restricted to): mobile phones; electronic devices such as an MP3 player, iPod, tablet, smartwatch or any other device that is web-enabled or stores information; books, notes, sketches or paper; pencil case; calculator case; calculator or dictionary (except in specified assessments) — unless approved by QUALIFICATION SCOTLAND (SQA) as part of an assessment Arrangement

Examples — centre malpractice :

- Managers or others exerting undue pressure on staff to pass candidates who have not met the requirements for an award;
- Deliberate falsification of records in order to claim certificates;
- Excessive direction from assessors to candidates on how to meet national standards;
- Failure to assess internally assessed unit or course assessment work fairly, consistently and in line with national standards;
- failure to comply with QUALIFICATION SCOTLAND (SQA) requirements in the preparation, quality assurance and submission of estimated grade information;
- failure to apply specified QUALIFICATION SCOTLAND (SQA) assessment conditions in assessments, such as limits on resources or time available to candidates to complete their assessments, including any amendments to permitted conditions;
- misuse of assessments, including repeated re-assessment contrary to requirements, or inappropriate adjustments to assessment decisions;
- failure to recognise and apply appropriate measures to manage potential conflict of interest in assessment or quality assurance;
- Failure to apply appropriate processes to ensure fairness in the provision of assessment arrangements;



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- Failure to comply with QUALIFICATION SCOTLAND (SQA) requirements in relation to appeals processes;
- Insecure storage, transmission or use of assessment instruments, materials and marking instructions, resulting in a breach of assessment security;
- Failure to comply with requirements for safe retention of candidate evidence, and safe and accurate maintenance of assessment and internal verification records;
- Failure to comply with QUALIFICATION SCOTLAND (SQA)'s procedures for managing and transferring accurate candidate data;
- Failing to register candidates within a qualification's accreditation period;
- Making late registrations to the awarding body for qualifications in their lapsing period;
- Requesting late certification of learners after the certification end date;
- For all QUALIFICATION SCOTLAND (SQA) qualifications, failure by a centre to promptly notify, investigate and report concerns of potential centre malpractice to QUALIFICATION SCOTLAND (SQA);
- Failure to promptly notify QUALIFICATION SCOTLAND (SQA) of a finding of centre malpractice, maladministration or an equivalent or similar finding by another awarding organisation;
- Withholding information about circumstances that may compromise the integrity of any QUALIFICATION SCOTLAND (SQA) qualification or the credibility of QUALIFICATION SCOTLAND (SQA);
- Failure to notify QUALIFICATION SCOTLAND (SQA) promptly if another awarding body removes approval from the centre, regardless of the reason given for this withdrawal;
- Failure to take action required by QUALIFICATION SCOTLAND (SQA) or to co-operate with an QUALIFICATION SCOTLAND (SQA) investigation into concerns of malpractice;
- For qualifications subject to regulation by QUALIFICATION SCOTLAND (SQA) Accreditation, Ofqual or Qualifications Wales, failure by a centre to notify, investigate and report to QUALIFICATION SCOTLAND (SQA) concerns of potential candidate malpractice

Reporting of malpractice:

Staff and Candidates should report suspected malpractice by either candidates or members of staff to a minimum of 2 company directors of SDC-Learn by email.



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#### Investigating possible malpractice:

SDC-Learn will take all concerns of possible malpractice seriously, and any investigation will be fair, robust and in proportion to the nature of the concern. SDC-Learn notes that *QUALIFICATION SCOTLAND (SQA) Malpractice: Information for Centres* includes Standards for Devolved Investigations which explain the QUALIFICATION SCOTLAND (SQA)'s expectations of centres when carrying out investigations.

- 1) Investigations will be carried out by a company director and the QUALIFICATION SCOTLAND (SQA) Centre Co-ordinator as follows:
- 2) Investigations will be conducted by a combination of the following activity:
  - a. reviewing assessment evidence and records, and
  - b. seeking a second opinion from an IV,
  - c. interviewing other candidates or members of staff if appropriate?

#### Communicating the outcome of the investigation

The outcome of an investigation will be communicated as follows:

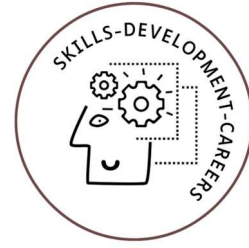
- The outcome to the candidate or member of staff under investigation will be communicated in writing within a 14 day period unless otherwise notified.
- Other interested and affected parties will be similarly notified within a further 7 days after notifying the candidate or member of staff.

#### Available measures for proven malpractice

If malpractice, for both candidates and staff is proven, a range of potential actions are possible from a re-sit of one assessment to exclusion from a course. It may be appropriate to move to candidate or staff disciplinary procedures at this stage at the discretion of the company director. Candidates involved in an investigation of malpractice (whether candidate or centre malpractice) must not be resulted for the assessments in question until the investigation is completed, the outcome decided, and any appeal concluded.

#### Actions taken in cases of proven malpractice

Any actions to be taken as a result of malpractice being proven through investigation will be specified clearly in the written feedback on the outcome of the investigation.



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#### Appeals against malpractice decisions

Candidates or staff have the right to appeal any malpractice decision made against them within the centre and can appeal a malpractice decision (internally and to QUALIFICATION SCOTLAND (SQA)) in writing to a company director in the first instance within 2 weeks of receipt of the outcome.

Receipt of an appeal will be acknowledged by the Company Director and responded to within a further 2 weeks. In addition, where malpractice is investigated by QUALIFICATION SCOTLAND (SQA), decisions can be appealed. SDC-Learn has the right to appeal a decision where a case of reported malpractice by our centre has been confirmed through investigation by QUALIFICATION SCOTLAND (SQA). We also have the right to appeal a decision in the case of suspected malpractice by a candidate reported by our centre to QUALIFICATION SCOTLAND (SQA).

Candidates have the right to appeal to QUALIFICATION SCOTLAND (SQA) where:

- QUALIFICATION SCOTLAND (SQA) has conducted an investigation and the candidate disagrees with the decision
- SDC-Learn has conducted an investigation, the candidate disagrees with the outcome and has exhausted our centre's appeals process,
- QUALIFICATION SCOTLAND (SQA) has asked our centre to conduct an investigation and the candidate disagrees with the outcome and has exhausted our centre's appeals process, and For regulated qualifications only:
- SDC-Learn and our candidates have the right to request a review by the appropriate regulator (QUALIFICATION SCOTLAND (SQA) Accreditation, Ofqual or Qualifications Wales) of the awarding body's process in reaching a decision in an appeal of a malpractice decision.

Please refer to: [The Appeals Process: Information for Centres](#)

#### Recording malpractice

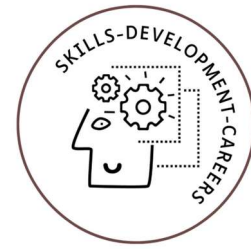
Records of all investigation and correspondence will be kept on SDC-Learn files for a minimum of 6 years. Where an investigation of suspected malpractice is carried out, we will retain related records and documentation for three years for non-regulated qualifications and six years for regulated qualifications. Records will include any work of the candidate, and assessment or verification records relevant to the investigation. In the case of an appeal to QUALIFICATION SCOTLAND (SQA) against the outcome of a malpractice investigation, assessment records will be retained for six years.



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In an investigation involving a potential criminal prosecution or civil claim, records and documentation will be retained for six years after the case and any appeal has been heard. If there is any doubt about whether criminal or civil proceedings will take place, we will keep records for the full six year period.

Reporting to QUALIFICATION SCOTLAND (SQA) (if appropriate via REHIS)

SDC-Learn will report suspected malpractice to QUALIFICATION SCOTLAND (SQA). Any suspected cases of centre malpractice must be reported to QUALIFICATION SCOTLAND (SQA) as soon as we have carried out an initial screening exercise to establish the nature of the concern. This includes any concerns where we take the view that no further action is necessary.

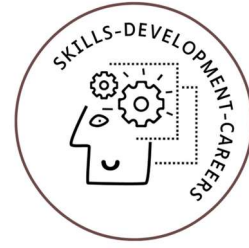
SDC-Learn will inform QUALIFICATION SCOTLAND (SQA) of any investigation carried out by an awarding body, industry body, funding agency or regulator which may or may not affect the delivery of QUALIFICATION SCOTLAND (SQA) qualifications. We will also promptly bring to QUALIFICATION SCOTLAND (SQA)'s attention any findings of centre malpractice or maladministration communicated to us by another awarding or industry body. We must notify QUALIFICATION SCOTLAND (SQA) promptly if another awarding body removes approval from our centre, regardless of the reason given for this withdrawal.

SDC-Learn will bring candidate malpractice concerns for internal assessments to their attention only if:

- the concern came to our centre's attention after submission of internal assessment marks;
- the concern relates to candidate malpractice for a qualification regulated by QUALIFICATION SCOTLAND (SQA) Accreditation, Ofqual or Qualifications Wales;
- a candidate affected by a malpractice decision, who has exhausted their right of appeal within our centre, wishes to exercise their right of appeal to QUALIFICATION SCOTLAND (SQA); or
- There are other exceptional circumstances, eg we believe that the malpractice case involves a criminal act (if the malpractice involves a criminal act the matter must also be reported to the police).

### **3. Extensions to submission of results/exceptional circumstances**

For units which contribute to a National Course, assessors must complete final results by the published deadline to avoid certification issues .



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All unit assessment must be complete by the end of the academic year unless the student can prove exceptional circumstances. Exceptional circumstances are:

- Bereavement
- Illness/medical condition (medical certificate required)
- Personal difficulties

All requests for an extension to the submission of results due to exceptional circumstances must be submitted in writing to the QUALIFICATION SCOTLAND (SQA) co-ordinator for authorisation.

#### **4. Remediation, re-assessment and re-enrolment**

Every student is entitled to re-assessment attempt if they do not meet the standard or do not submit work by the deadline, or do not attend for assessment. Remedial tuition may take place between the first attempt and the re-assessment attempt. Re-assessments should normally take place within the unit delivery time.

In the event of a student not reaching the required standard for the second time, the decision will be to fail the student.

In the case of a marginal fail on the second attempt or in exceptional circumstances (e.g. long-term illness, bereavement or similar personal issue), the assessor may decide to allow a further assessment attempt. This third assessment will only be allowed if no further tuition or remediation is required. If further tuition or remediation is required, the student must re-enrol for the unit.

A judgement must be made by the assessor/Internal Verifier if the student requires tuition.

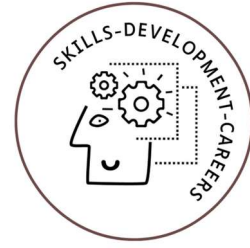
#### **5. Grounds for making an appeal against an assessment decision**

The only grounds for appeal to the Appeals Board will be:

- Personal circumstances not known to the assessor

Or

- Irregularities in assessment procedures which may have affected the student's results in a



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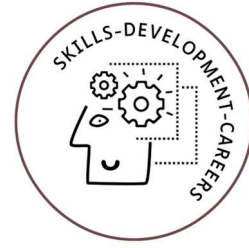
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An appeal must be lodged with the Head of Quality and Equalities, specifying any mitigating factors **within seven working days** of the notification of results.

A student making an appeal will have the right to put the case personally. Students enrolled on courses delivered by an awarding body have the right to escalate their appeal requests directly to that awarding body if they are dissatisfied with the outcome of SDC-Learn’s appeal process. If students remain dissatisfied with the outcome of their appeal to an awarding body, they have the right to bring their appeal, in the form of a complaint, directly to the Qualification Regulator.



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## APPENDIX 1

### Guidance on the secure storage of assessment support materials

(As a Scottish Qualifications Authority (QUALIFICATION SCOTLAND (SQA)) approved centre), SDC-Learn is required to comply with QUALIFICATION SCOTLAND (SQA) guidelines on the secure storage of all assessment support materials.

Assessment support materials are distributed to SDC-Learn through the QUALIFICATION SCOTLAND (SQA) secure website which can be accessed only by authorised personnel. SDC-Learn staff who require a copy of these support materials should first check if they are stored in the appropriate EV folder. If you wish to check the currency of the support materials, please go to: [http://www.QUALIFICATION SCOTLAND \(SQA\).org.uk/QUALIFICATION SCOTLAND \(SQA\)/46233.2824.html](http://www.QUALIFICATION SCOTLAND (SQA).org.uk/QUALIFICATION SCOTLAND (SQA)/46233.2824.html)

Once you have received the support materials, it is your responsibility to store these materials securely. Please follow the guidelines below to ensure the security and confidentiality of assessment materials.

#### WHAT TO DO

1. Store all assessment support materials electronically in the EV folder
2. Store paper copies of assessments in secure areas to which students have no access. If it is necessary to store assessments in classrooms or other areas to which students do have access, keep them in a locked cupboard. (The stockpiling of large quantities of assessments well in advance of assessment events is discouraged).
3. Securely dispose of assessment support materials

#### WHAT NOT TO DO

- Do not mail or e-mail assessment support materials to students
- Do not store assessment support materials on a memory stick or other portable storage device

The QUALIFICATION SCOTLAND (SQA) co-ordinator will check that assessments are stored in

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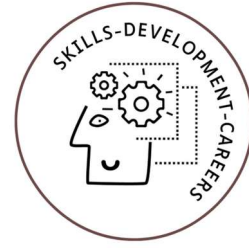


Sarah Dalrymple  
Michael Dalrymple 2018 06 and 2021 05  
Reference # SDC4.2 and 2022 01  
Author Ali Sim 2025 01  
Melanie Macvicar 2026 01

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**secure conditions and will keep a log of where assessments are stored.**

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                                 Melanie Macvicar 2026 01

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## **APPENDIX 2**

### **Guidance on the secure storage of assessment materials in the event of an appeal or complaint**

#### **Appeal on an Internal Assessment result:**

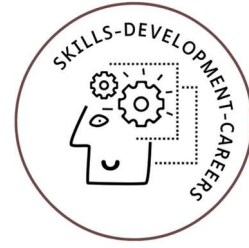
In the case of an appeal against an internal assessment result, the centre must retain records, including all materials and candidate evidence, until the appeal has been resolved. For appeals to QUALIFICATION SCOTLAND (SQA) against an internal assessment result in a regulated qualification - assessment and internal verification records for appeals cases should be retained for six years thereafter, unless there is a legitimate reason to retain records for a further period.

#### **Suspected malpractice:**

Where an investigation of suspected malpractice is carried out, the centre must retain related records and documentation for three years for non-regulated qualifications and six years for regulated qualifications. In the case of an appeal to QUALIFICATION SCOTLAND (SQA) against the outcome of a malpractice investigation, assessment records must be retained for six years.

#### **Potential criminal prosecution:**

In an investigation involving a potential criminal prosecution or civil claim, records and documentation should be retained for six years after the case and any appeal has been heard. If the centre is any doubt about whether criminal or civil proceedings will take place, it should keep records for the full six year period.



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### **APPENDIX 3**

#### **ARRANGEMENTS FOR RECORD AND EVIDENCE RETENTION POLICY**

##### **Part A: Candidate evidence**

Once certificated, all candidate evidence is returned to candidates as soon as is practicable after a period of three weeks after certification has lapsed, unless the evidence has been requested by the Qualification Verifier (QV), in which case all candidate evidence, from the point of QV notification of visit/event (certificated and non-certificated) will be retained until the visit/event has passed, whereupon certificated evidence is returned to candidates.

##### **Part B: Assessment and internal verification records**

The following records we will stored for **one calendar year** and will comprise:

- a list of candidates registered with QUALIFICATION SCOTLAND (SQA) for each qualification
- details of candidate assessment, including the name of assessor, location, date and outcome
- internal verification activity
- certificates claimed

Any of the above records will be made available to the QUALIFICATION SCOTLAND (SQA) Quality Assurance staff on request. Records will be stored securely and in a retrievable format.

##### **Part C: Retention of evidence and assessment/internal verification records in cases of appeal or suspected malpractice**

In the case of an appeal to QUALIFICATION SCOTLAND (SQA) in relation to an assessment result, we will retain records including all materials and candidate evidence until the appeal has been resolved. For appeals to QUALIFICATION SCOTLAND (SQA) against an internal assessment result in a regulated qualification – assessment and internal verification records for appeals cases will be retained for six years thereafter.

Where an investigation of suspected malpractice is carried out, the centre will retain related records and documentation for three years for non-regulated qualifications, and six years for regulated qualifications. In an investigation involving a criminal prosecution or civil claim, records and documentation will be retained for six years after the case and any appeal has been heard.

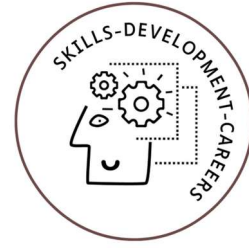
If there is any doubt about whether criminal or civil proceedings will take place, all records will be kept for the full six years.

##### **Part D: Covid-19 specific requirements**

There are Covid specific guidelines published by QUALIFICATION SCOTLAND (SQA) & SDS that require adherence. All completed records will be securely archived in accordance with these requirements and deleted if necessary to accord with GDPR



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## Appendix 4

### Glossary of assessment terminology

Approval as a centre: The process by which a centre is assessed against criteria for suitability as an QUALIFICATION SCOTLAND (SQA) approved centre.

Approval to offer a specific qualification: The process by which a centre's resources for offering a particular QUALIFICATION SCOTLAND (SQA) qualification are assessed against criteria for suitability to offer that qualification. Assessment: The process of evaluating how effectively learning is occurring. For QUALIFICATION SCOTLAND (SQA) qualifications the process of generating and collecting evidence of a candidate's attainment of knowledge, and skills and judging that evidence against defined standards for formal certification. QUALIFICATION SCOTLAND (SQA) assessment can be internal, or external, or a combination of both.

Assessment criteria: What the student is expected to do during the assessment in order to demonstrate that a learning outcome has been achieved, whether that is for formative purposes or for defining the outcomes required for qualification.

Assessment for learning: The process of seeking and interpreting evidence of a learner's performance for use by students and their teachers to identify where the students are in their learning, where their next learning goals are, and what to do next to achieve them.

Assessment strategy: Method of ensuring external quality control for Vocational Qualifications.

Assessor: The person designated in a centre to be responsible for collecting evidence of candidates' competence, judging it and recording attainment.

Awarding body: An organisation or consortium which awards qualifications. Awarding bodies must meet the requirements of regulatory bodies.

Certification: The formal process of crediting candidates with a record of achievement

Competence: The ability to carry out specified activities to predetermined standards of performance.

Diagnostic assessment: Non-accredited assessment used to identify a student's strengths and weaknesses with a view to providing an appropriate learning programme.

Direct evidence: A term used to describe evidence of candidate performance that assessors have witnessed themselves. This can be performance of product evidence.

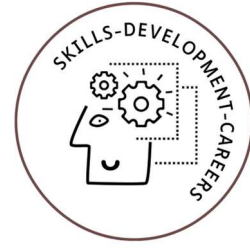
E-assessment: The use of electronic media in the assessment process.

E-portfolio: An electronic portfolio, which allows students to organise and store evidence and gives access to assessors and verifiers to assess and verify that evidence.

Evidence requirements: These state what candidates have to do, to what standard, and how much evidence they have to produce to demonstrate that they have achieved the outcome.



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Author Michael Dalrymple 2018 06 and 2021 05  
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                                    Melanie Macvicar 2026 01

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**External Assessment:** An assessment set and/or marked by examiners who are not associated with the organisation providing the candidate's learning.

**External verification:** The process of ensuring that national standards are being maintained consistently across all centres.

**External Verifier:** A person appointed by QUALIFICATION SCOTLAND (SQA) who is responsible for the quality assurance of a centre's provision and for ensuring that standards of assessment are applied uniformly and consistently across centres.

**Feedback:** Qualitative information about their performance given to students after an assessment. Unlike a grade, feedback is explicitly developmental, i.e. oriented towards further progress on the part of the student.

**Formative assessment:** Assessment that provides developmental feedback to a student so that they can adjust their plan for future learning. It is not recorded for external purposes. Formative assessment is often called 'Assessment for learning'.

**Holistic assessment:** An assessment process which integrates key subject knowledge and/or applied skills within a larger process or activity.

**Peer assessment:** Assessment of a student by a fellow student.

**Plagiarism:** Students using the work of others and passing it off as their own for assessment purposes.

**Practicability:** A measure of the feasibility or administrative efficiency of the assessment process. A valid and reliable assessment may not be practicable due to the cost or time required to carry it out.

**Reliability:** In assessment, the extent to which a test's results are repeatable and fair from one candidate to the next, and from one occasion to the next.

**Self-assessment:** A judgement a student makes about his or her work or level of attainment in relation to the stated learning outcomes for activity/programme. Self-assessment is generally used to develop the individual's ability to think critically about his or her learning.

**Standard:** The criteria for success at a particular level. A pre-determined national level of attainment for QUALIFICATION SCOTLAND (SQA) certification.

**Standardisation:** A process to check, adjust and ensure that assessment processes and criteria are applied consistently by assessors and verifiers so that comparisons of results can be made between groups.

**Summative assessment:** Assessment generally undertaken at the end of a learning activity or programme of learning, which is used to make a judgement on the student's overall attainment.

**Unit Specification:** The statement of standards and guidance that is the basis of certification for National Qualifications (NQs) and Higher National Qualifications (HNs)



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Validation: The process of checking that a qualification is coherent, meets the needs of users and that QUALIFICATION SCOTLAND (SQA) Units are technically well written.

Validity: The degree to which an assessment tests the actual abilities that it is supposed to test. The appropriateness of the interpretation and use of the results for any assessment instrument.

Verification: The process of ensuring that quality assurance systems are being maintained.



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**ASSESSMENT**

First attempt



Not yet meeting the standards

Feedback given to the student on areas to be improved



Second attempt  
reassessment