

Children's Rights and Wellbeing Impact Assessment: National Qualifications: Appeals and Examination Exceptional Circumstances Consideration Service (EECCS)

Section 1: Background and context

Approach to impact assessment

This document summarises the evidence that SQA has reviewed on EECCS and Appeals for National Courses that relates to impacts on children's rights and wellbeing. SQA supports lifelong learning, and awards qualifications to learners of all ages, but many learners taking SQA graded National Courses are aged 15–17 and in the category of children.

SQA reviewed the range of available evidence to inform its decisions in the context of its duties as the statutory national awarding body in Scotland for qualifications other than degrees. These duties are set out in the Education (Scotland) Act 1996, as amended.

In October 2022 when the current approach was created, the National Qualifications Policy Team engaged with learners, parents and carers, practitioners, SQA qualification teams, National Qualification Support Teams, SQA's Advisory Council, SQA's Qualifications Committee, the NQ2023 Working Group and the NQ2023 Strategic Group. The NQ2023 Working Group and NQ2023 Strategic Group included representation from: the Association of Directors of Education in Scotland (ADES), Colleges Scotland, Education Scotland, the Educational Institute of Scotland (EIS), School Leaders Scotland (SLS), the Scottish Council of Independent Schools (SCIS), the Scottish Qualifications Authority (SQA), the Scottish Government, the National Parent Forum of Scotland, and the Scottish Youth Parliament.

When the Appeals and EECCS policies were reviewed in 2024, the NQ Policy Team engaged with the NQ24 Working Group, NQ24 Strategic Group and Qualifications Committee, all of which are stakeholder groups.

Section 4 sets out the assessment of the impact of the Appeals and EECCS for National Courses in relation to children and young people's rights and wellbeing.

Section 2: CRWIA Stage 1 screening: key questions

1. Name the policies and describe their overall aims.

Examination Exceptional Circumstances Service (EECCS)

The EECCS supports children and young people who have been unable to attend an exam, or whose performance in the exam may have been affected by a personal circumstance, examination circumstance, or an unplanned incident on the day. There is no charge for this service, and it is available for all exam on the exam timetable. Exceptional circumstances are circumstances that are unplanned and affect the ability of children and young people to attend or perform on the day in an exam.

Appeals service

The Appeals service provides children and young people with the opportunity to request a review of their SQA-marked assessment components. They can request a marking review of the materials that were submitted to SQA for marking if they have concerns about their final grade for National 5, Higher or Advanced Higher Courses.

2. What aspects of these services will affect children and young people up to the age of 18?

SQA supports lifelong learning, and awards qualifications to learners of all ages, but most learners taking SQA graded National Courses are aged 15–17 and in the category of children. As such, the EECCS and the Appeals service have the potential to affect those children and young people taking SQA graded National Courses.

3. What likely impact — direct or indirect — will the services have on children and young people?

The arrangements for assessing National Qualifications will enable children and young people to complete their selected National Courses and to be awarded grades that reflect their achievement. They will be able to celebrate their attainment and progress to continued education, training or employment where entry relies on SQA grades.

4. Which groups of children and young people will be affected?

SQA understands that 'child' means every human being below the age of 18. We also understand that our corporate parenting responsibilities under the Children and Young People (Scotland) Act 2014 not only apply to children who are looked after by local authorities, but also to young people up to the age of 26 who were looked after at age 16 or later.

5. Will this require a CRWIA?

Yes. As above, SQA recognises that the EECCS and the Appeals service will impact on children and young people entered for National Qualifications Courses.

Section 3: The CRWIA: United Nations Convention on the Rights of the Child

SQA considers that the following articles are particularly relevant to arrangements for assessing National Courses:

- ♦ Article 2: non-discrimination
- Article 3: best interests of the child
- Article 12: respect for the views of the child
- Article 17: access to information from the media
- Article 23: children with a disability
- ♦ Article 28: right to education
- ♦ Article 29: goals of education

The United Nations Children's Fund (UNICEF) child-friendly descriptors have been set out below.

Article 2: non-discrimination

Children should not be discriminated against in the enjoyment of their rights. No child should be discriminated against because of the situation or status of their parent/carer(s).

Article 2 also deals with discrimination based on most of the protected characteristics covered by the Equality Act (2010), but it is not identical. For example, it deals with discrimination based on the characteristics and political opinions of a child's parents and guardians and on 'activities' and 'property'.

Article 3: best interests of the child

Every decision and action taken relating to a child must be in their best interests. Governments must take all appropriate legislative and administrative measures to ensure that children have the protection and care necessary for their wellbeing — and that the institutions, services and facilities responsible for their care and protection conform to established standards.

Article 12: respect for the views of the child

Children have the right to give their opinions freely on issues that affect them. Adults should listen and take children seriously.

Article 17: right to information

Every child has access to information and material from a diversity of national and international sources, especially those aimed at the promotion of their social, spiritual and moral wellbeing and physical and mental health. The article is principally about the mass media but SQA recognises that the information it produces contributes to the fulfilment of article 17.

Article 23: children with disabilities

Every child with a disability should enjoy the best possible life in society. Governments should remove all obstacles for children with disabilities to become independent and to participate actively in the community.

Article 28: right to education

Every child has the right to education no matter who they are: regardless of race, gender, or disability; if they are in detention; or if they are a refugee. While SQA does not determine the right to education in Scotland, it does have a responsibility to provide assessment and certification of SQA qualifications for learners.

Article 29: aims of education

Children's education should help them fully develop their personalities, talents and abilities. It should teach them to understand their own rights, and to respect other people's rights, cultures and differences. It should help them to live peacefully and protect the environment.

Section 4: Assessment of impact and mitigations

Key elements

This part of the impact assessment further examines the key elements related to the provision of the EECCS and Appeals service, in line with the relevant UNCRC Articles as outlined in the previous section and considers:

- whether the arrangements may have different impacts on different groups of children and young people
- what mitigating actions might be adopted if a potential negative impact was identified for any area of rights or any group of children and young people
- where the arrangements for the EECCS and the Appeals service for National Qualifications can contribute to the wellbeing of children and young people in Scotland

Potential impacts on children and young people EECCS

The EECCS supports children and young people who have been unable to attend an exam, or whose performance in the exam may have been affected by personal circumstances, examination circumstances or an unplanned incident on the day. There is no charge for this service, and it is available for all exams on SQA's exam timetable. Exceptional circumstances are circumstances that are unplanned and affect the ability of children and young people to attend or perform on the day in an exam. Examination arrangement related exceptional circumstances include, for example, situations where the learner's centre fails to correctly implement a pre-agreed assessment arrangement for disabled learners or those with additional support needs. From diet 2024–25, this also includes situations where a learner has an exam time greater than 6 hours in one day, as the result of extra time given due to an assessment arrangement or where they have English as an additional language (EAL). Examination circumstances also relate to instances where children and young people have been affected during the exam by a disruption, or other exam circumstance, reported by the chief invigilator.

This service supports children and young people who may, for example, be affected by a medical condition at the time of exam or bereavement (which could occur before the exam), or particular domestic circumstances. As current public health advice in Scotland does not require a period of COVID-19 self-isolation, disruption at the time of exam, caused by COVID-19 or related COVID-19 conditions, is recorded as a medical condition. It is important to note that centres are not required to specify the nature of the medical condition when submitting a request, but they must hold documentation such as a letter or statement from the head of centre confirming that it affected the child or young person.

Centre-accessed service

We recognise that reliance on centres to submit a request for the EECCS on the child or young person's behalf may lead to a potential negative impact. Appropriate and clear guidance and support materials have been published for schools, colleges and training providers to refer to, but SQA cannot effectively mitigate any potential inequity in how this service is being used.

When the current EECCS process was first considered in 2022–23, SQA set up an external advisory group with a wide range of representatives, including school and parent groups drawn from the National Qualifications Working Group 2022. This group agreed that all requests were to come via the head of centre in the interests of fairness to learners. This approach was also supported by the National Qualifications Strategic Group. In the interest of maintaining fairness to all children and young people across Scotland, SQA has continued with this approach. Children and young people do not have direct access to the EECCS, which could result in bias or barriers to accessing the service. Responsibility for determining eligibility to use the service lies with the head of centre or their representative.

Eligibility for the EECCS is determined by the school, college or training provider based on guidance provided by SQA and authorised by the head of centre or their representative, who is responsible for determining eligibility. In other words, centres access the service to help support fairness of access — there is no direct access for children and young people. This is important as it is the schools, colleges and training providers that can judge the particular circumstances objectively and professionally, and so it is appropriate that they make these decisions in collaboration with their learners through developing an understanding of their circumstances and the associated impacts. Also, centres are better placed to understand the specific requirements related to the submission of an EECCS request, and as such, can better support children and young people in deciding whether a request should be made. SQA has trust in the head of centre to ensure that use of the service is as legitimate, consistent and fair as possible. Children and young people are required to give their consent to ensure they agree with a request being submitted on their behalf.

Appeals

The current Appeals service and EECCS were developed after gathering extensive stakeholder feedback. This included learner, parent and carer, practitioner, school, college, local authority, and teacher and lecturer union representatives on the National Qualifications 2023 Group and SQA's Advisory Council. We carried out an extensive evaluation of awarding in 2022, including the Appeals service, with more than 3,500 learners, teachers, lecturers, parents and carers giving their views and reflecting on their experiences in 2022. We identified a number of emerging themes:

- There was evidence that the alternative evidence approach led to an increase in the overall amount of assessment for children and young people.
- ♦ The system led to perceptions of unfairness, as it was not clear to practitioners or learners why evidence submitted to SQA did not lead to an improved grade. Similarly, only learners who had received an estimate higher than their certificated grade were eligible to appeal.
- Stakeholders and participants in the evaluation suggested the previous post-results service could be 'enhanced' to address some of the concerns raised in the past about access, by making it free and giving children and young people direct access. Participants highlighted that the exceptional circumstances service could continue to provide an alternative evidence route for children and young people facing extenuating circumstances who required that option.

In SQA's 2022 National Qualifications Evaluation research project, the majority of children and young people who participated in the survey indicated that they were not satisfied with the Appeals service in 2022 and felt that it was unfair. Those who responded to the survey

and those in SQA's Learner Panel also fed back that the information in SQA's guidance and communications was unclear and that the language used needed to be easier to understand and more user-friendly. SQA had also received a number of enquiries and complaints from children and young people who were keen to use the Appeals service in 2022 but believed it did not meet their needs as there was no opportunity for their exam scripts to be reviewed.

Fairness was also an overarching theme from all audience groups. Children and young people felt that the Appeals service in 2022 was misleading, that there were inconsistencies in how evidence was reviewed between subjects, and that greater transparency on how marks were allocated was needed. They also expressed that it was important for them to be able to submit a request directly to SQA without going through their school, college or training provider, in order to eliminate any potential teacher or lecturer bias. Additionally, they found it unfair that only learners who had received an estimate higher than their certificated grade were eligible to appeal.

On 25 January 2023, SQA's Board of Management approved, based on presented evidence, that SQA should adopt a post-result marking review service in 2023, accompanied by an EECCS that provides support for learners who facing exceptional circumstances.

The decisions taken were based on the following principles:

- fairness to all learners
- safe and secure certification of qualifications
- maintaining the integrity and credibility of learners' qualifications.

After significant consultation with the partner communication group, SQA's post-results service in 2023 was titled 'Appeals 2023' and comprised a marking review (including a clerical check, where appropriate).

The Appeals service delivered in 2023 was based largely on SQA's 2019 post-results services (PRS), a long-standing service delivered from 2014 to 2019, which offered a marking review service and a clerical check service. This is a similar service to what is provided by other awarding bodies across the rest of the UK. Additional enhancements were made to this model in 2023, which related to:

- learners having the right to request an appeal directly from SQA if they have concerns about their final grade for National 5, Higher or Advanced Higher Courses
- the introduction of a free of charge marking review service, which will include a clerical check where appropriate

The move away from an appeals system that uses alternative evidence was based on perceptions of unfairness, varying standards and over-assessment of learners. This rationale provided the evidence base for the move to a system in the form of marking review, as implemented in 2023, and still holds for the current service. This approach also brings SQA into line with the approaches used in other awarding bodies in the rest of the UK. The enhancements made in 2023 in enabling learner direct access and offering the service free of charge, will remain. These enhancements removed barriers children and young people may have otherwise faced accessing the services. They also eliminated any potential teacher or lecturer bias in deciding whether to submit an appeals request.

Marking reviews are carried out by experienced markers and subject to quality assurance to ensure that they are in line with national standards. The marking review makes sure that:

- ♦ the marking is in line with the national standard
- all parts of the externally assessed course components have been marked
- the marks given for each answer have been totalled correctly
- the correct mark has been entered

The Appeals service is not a re-mark service. The key consideration is whether the marking of each component (and overall) has been carried out to national standards and within agreed tolerances.

Through the Appeals service, SQA seeks to reassure children and young people who believe an error was made in the initial marking process. SQA wants them to receive a qualification and grade which is a fair and accurate reflection of their knowledge, understanding and skills. A key point in developing the service was that the mechanism must be fair to all children and young people — not just those who access the service. The service should not advantage some children and young people at the expense of others.

Offering the Appeals service addresses the balance between the needs of the system for consistency (variable quality and volume of alternative academic evidence submitted by schools, colleges and training providers) and the needs of children and young people undertaking SQA National Qualifications (equity for all learners).

As the Appeals service involves a review of coursework and exams set by SQA, these will be marked and reviewed against national standards. This reduces the possibility of any potential teacher bias introduced through submitting internal assessments as in Appeals 2022. It ensures fairness for all children and young people as the quality of evidence will not differ across Scotland based on geographical area. The existing quality assurance processes in SQA's assessment process reduce any potential bias when marking assessments.

Grades can go up, go down or stay the same. Downgrades only happen when the marking review process or clerical check has clearly identified and demonstrated that the original certificated grade was made in error. SQA examiners undertake rigorous training to ensure they are clear on the marking process, and that these must meet national standards; however minor errors do occur. SQA acknowledges feedback from learners that downgrades will have a negative impact, but it is a difficult decision SQA must make to ensure the integrity of its qualifications.

A priority appeal can be requested if the child or young person requires a result to secure a conditional place at university, college, employment and/or training. A priority appeal is the same as a standard appeal and will consist of a marking review, including a clerical check, where appropriate. Priority appeals will be considered earlier and the outcome will be released earlier.

Children and young people can directly access SQA's Appeals service if they have a concern about the grade they have been awarded and they have attempted to discuss their concerns with their school, college or training provider but were unable to reach an

agreement. By ensuring directly access to the Appeals service even if their school, college or training provider are not supportive of their intention to do so, SQA acknowledges the rights of the child and young people, and provides them with an opportunity to be involved in a service that impacts their education (articles 2, 3, 12, 23, 28 and 29). Children and young people who do not feel comfortable submitting a request directly to SQA will be able to authorise a representative to do so on their behalf (articles 2, 3, 12 and 23).

Communications

SQA has maintained open communications through its social media channels and by publishing articles on SQA's website. This content is available to all children and young people and relates to developments with National Qualifications. SQA has considered feedback from children and young people about the need for clearer and user-friendly language. SQA will consult with children and young people to ensure any communications and publications issued for the Appeals service are age-appropriate and accessible to disabled children and young people and/or those with additional support needs (articles 2, 12, 17 and 23).

Steps taken by SQA to mitigate impacts

EECCS

The EECCS has been developed to provide greater support to children and young people who experience disruption at the time of the exam. This service aims to ensure that children and young people impacted by a disruption or exceptional circumstance are still able to receive a grade that reflects their demonstrated attainment (article 2), particularly children and young people with a disability or ASN (article 23), and to allow them to achieve a qualification that would provide them with the skills, knowledge and understanding to allow them to progress to further and higher education or a career pathway of their choosing (articles 3, 28 and 29).

The policy makes it clear that the EECCS is a service designed to support children and young people who have experienced disruption which impacts them on the day of the exam (articles 2, 3, 23, 28 and 29). This approach mitigates the real risk of the EECCS being seen as an alternative to taking the exam. Arrangements for assessing National Qualifications are based on the assumption that exams will take place.

Centre-accessed service

When the EECCS process was considered, SQA set up an external advisory group with a wide range of representatives including school and parent groups drawn from the National Qualifications Working Group 2022. This group agreed that all requests were to come via the head of centre in the interests of fairness to learners. This approach was also supported by the National Qualifications Strategic Group. In the interest of maintaining fairness to all children and young people across Scotland, SQA has continued with this approach. As children and young people do not have direct access to the service, this may be regarded as not meeting the spirit of respecting the view of the child (article 12).

However, centres access the service to help support fairness of access. Schools, colleges and training providers can judge the particular circumstances objectively and professionally, and so it is appropriate that they make these decisions in collaboration with their learners through developing an understanding of their circumstances and the associated impacts.

Also, centres are better placed to understand the specific requirements related to the submission of an EECCS request, and as such, can better support children and young people in deciding whether a request should be made (articles 3 and 17). Children and young people are required to give their consent to ensure they agree with a request being submitted on their behalf (article 12).

EECCS information for centres

Feedback from SQA's Learner Panel suggested that the scenarios in the previous EECCS guidance were open to interpretation and that this had the potential for bias from practitioners about what is defined as a 'disruption' or 'exceptional circumstance'. SQA acknowledged this feedback from children and young people on SQA's Learner Panel and from those children and young people who participated in SQA's 2022 National Qualifications Evaluation research project (articles 2, 3, 12, 23, 28 and 29).

Using this information, SQA produced supportive guidance for centres, with feedback from key stakeholders, which provides centres with a framework to operate the EECCS. This includes clearer guidance on the eligibility criteria for heads of centres to decide whether to submit a request for this service. The guidance acknowledges that it does not and cannot reflect every possible scenario but does include clearer examples of likely scenarios to help with decision making. This has the potential to address any negative impacts of teacher bias in deciding whether to submit a request on behalf of children and young people.

At the specific instruction of the Learner Panel, this information also highlights that personal exceptional circumstances can include situations where a learner has caring responsibilities that prevent their attendance at the exam or affect their performance (articles 3 and 12). SQA also produces a 'Your Exams' guidance document which provides children and young people with information on the EECCS to ensure that they are aware of this service (article 17).

Academic evidence

The EECCS relies on the academic evidence submitted by the school, college or training provider to assess and determine an appropriate grade. To mitigate potential negative impacts of this, schools, colleges and training providers are asked to ensure they keep children and young people informed as to what grade the evidence they produce throughout the year is assessed at, and this should match the centre estimate provided for them (articles 2, 3, 23, 28 and 29).

EECCS appeals

Heads of centre can appeal on a learner's behalf if they believe that SQA's decision to refuse an EECCS request is wrong. Appeals can also be submitted if they believe that there was a process or administrative error (procedural irregularity) made by SQA which contributed to a decision that is wrong.

This process is not the same as the Appeals service for National Qualifications at National 5, Higher and Advanced Higher. An appeal submitted for an EECCS request would be considered by an appeals panel consisting of SQA heads of service. If the panel upholds the appeal, the evidence may be reviewed by an experienced SQA examiner who was not involved in the original review, where this is appropriate. An outcome of this process is that a child or young person's grade could go up, go down or stay the same.

SQA has the responsibility to ensure that the integrity of its qualifications is maintained. For these to be seen as credible and robust, a child or young person's attainment must be based on demonstrated evidence. To mitigate the impact of such instances, SQA has produced guidance for teachers, lecturers and practitioners delivering National Courses. The guidance explains what estimates are and gives examples of the types of assessment evidence needed to ensure a robust estimate. SQA has also produced an online training course, delivered via SQA Academy, which assists teachers, lecturers and practitioners in producing estimates for National Courses, for gathering assessment evidence and applying national standards (articles 2, 3, 23, 28 and 29).

Evaluation

We undertook survey work with learners in 2023 regarding the EECCS approach. A summary of the results is provided below:

Overall, only a small proportion of the learners surveyed confirmed an EECCS request had been submitted on their behalf.

Understanding the EECCS process

Of those learners who confirmed that an EECCS request had been submitted on their behalf, 327 responded to this question. 45% of them agreed or strongly agreed that they understood the EECCS process; 35% neither agreed nor disagreed; and 20% disagreed or strongly disagreed.

Fairness of the EECCS process

Of those learners with an EECCS request submitted, 322 responded to this question. 41% of them agreed or strongly agreed that they thought the EECCS process was fair; 41% neither agreed nor disagreed; and 18% disagreed or strongly disagreed.

Satisfaction with the EECCS process

Of those learners with an EECCS request submitted, 326 responded to this question. 40.5% of them agreed or strongly agreed that they were satisfied with the EECCS process; 41% neither agreed nor disagreed; and 18.5% disagreed or strongly disagreed.

While a significant number of learners neither agreed nor disagreed with the questions they were asked, it is unclear from the evaluation why they selected this response. However, an almost equal proportion of learners (41%) agreed or strongly agreed that they understood EECCS, that the service was fair and that they were satisfied with the service.

Appeals

The Appeals service provides children and young people with the opportunity to request a review of their SQA-marked assessment components. They can request a marking review of the materials that were submitted to SQA for marking if they have concerns about their final grade for National 5, Higher or Advanced Higher Courses. The outcome of an appeal is final and can result in no change to a grade, an upgrade, or a downgrade.

Learner direct

Schools, colleges and training providers are required to support their children and young people to make an informed decision about whether an appeals request should be

submitted. To ensure fairness and equity to all children and young people, particularly for those with a range of protected characteristics, if they are unable to reach an agreement with their school, college or training provider on whether to submit an appeal request, they can still submit a request directly to SQA. Disabled learners and those with additional support needs, or those who do not feel confident in doing so independently, can authorise a representative to submit a request on their behalf (articles 2, 3, 12, and 23).

Free of charge

The previous marking review service offered in 2019 (PRS) charged fees which had the potential to affect children and young people by creating a barrier to access. Although SQA intended for the fee to be met by schools, colleges and training providers, SQA does not have evidence to determine whether this was the case or whether, in some instances, children and young people and their families were charged by the school, college and training provider to meet these costs. SQA acknowledges that to ensure the service is fair and accessible to all children and young people and to allow them to access the service directly, it must be free of charge (articles 2, 3, 12).

Evaluation

We undertook survey work with learners in 2023 regarding the appeals approach. A summary of the results is provided below:

Understanding the appeals process

Of those learners who submitted an appeal, 915 responded to this question. The majority (65%) agreed or strongly agreed that they understood the appeals process in 2023. 23% of learners disagreed or strongly disagreed.

Fairness of the appeals process

Of those learners who submitted an appeal, 913 responded to this question. 17% agreed or strongly agreed that the appeals process was fair. 63% of learners disagreed or strongly disagreed.

Satisfaction with the appeals process

Of those learners who submitted an appeal, 913 responded to this question. 15% agreed or strongly agreed that they were satisfied with the appeals process in 2023. 59% disagreed or strongly disagreed.

Analysis highlighted that a significant number of learners would prefer a return to an Appeals service for National Qualifications that includes the use of alternative academic evidence. Survey comments indicate that learners feel the use of alternative evidence would be fairer as the process takes into consideration their previous work. Some learners who expressed this said that they felt their learning was and continued to be impacted by the COVID-19 pandemic but that this was not taken into account by the 2023 Appeals service. Learners also said that the previous appeals process had made prelims and work throughout the year seem more worthwhile, and because of this the outcomes of this system better reflected the abilities of the candidate. Some learners also indicated that changing the system from year to year put them at a disadvantage and they would prefer a consistent approach.

The move away from an appeals system that uses alternative evidence was based on perceptions of unfairness, varying standards and over-assessment. The rationale provided the evidence base for the move to a system in the form of marking review, as implemented in 2023, and still holds for the current service, which remains unchanged to bring stability to the system. This also ensures a consistent approach and brings SQA into line with the approaches used in other awarding bodies in the rest of the UK.

The EECCS and Appeals services are designed to work together, to provide all children and young people with the fairest access to assessments. By delivering the same services that were originally implemented in 2023, SQA is aiming to provide stability for children and young people. The EECCS, developed to support children and young people who experience disruption at the time of the exam, aims to ensure that they can still receive a grade that reflects their demonstrated attainment. The Appeals service, following issuing of results, provides children and young people a direct route to challenge the grade they received, if they think it was awarded in error. Together, these services support articles 2, 3, 12, 23, 28, 29. These benefits are dependent upon SQA effectively communicating these services to children and young people and centres (Article 17).

This CRWIA demonstrates that SQA has taken reasonable steps, within a highly complex set of circumstances, to consider the needs of children and young people across Scotland, along with the requirement to ensure the integrity of National Qualifications. SQA will continue to carry out monitoring work to understand and evaluate the impacts of different arrangements on children and young people when determining the approach to these services.