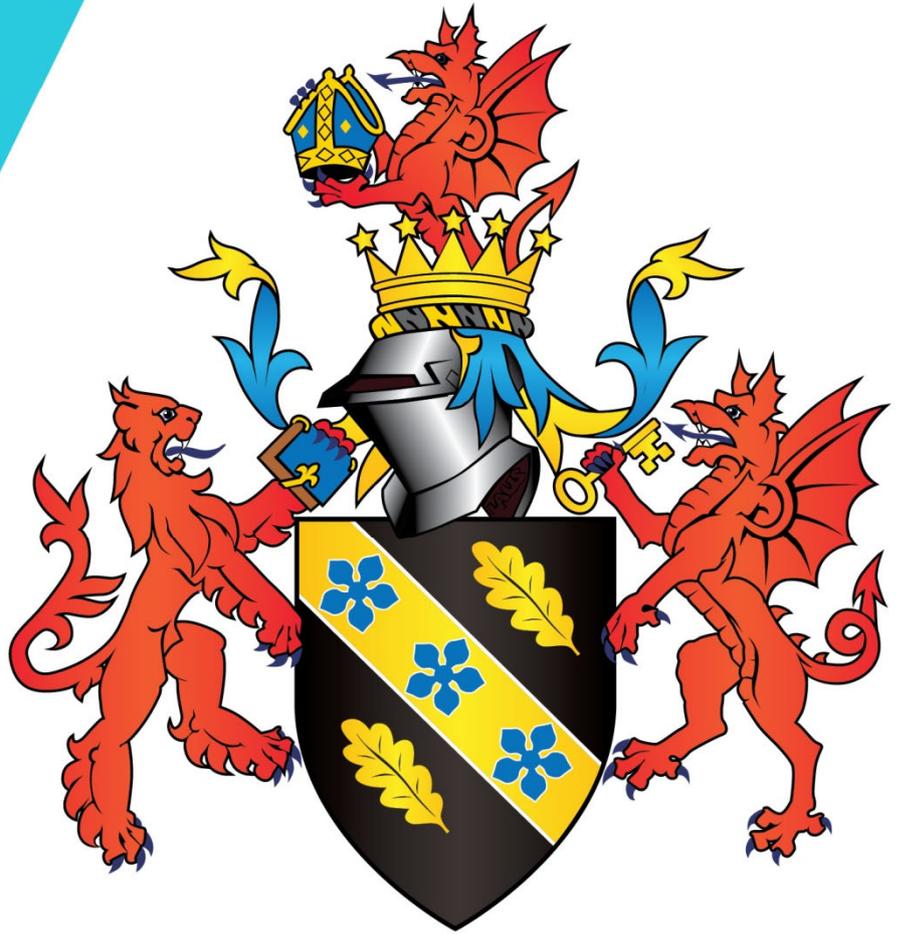




Prifysgol Cymru
Y Drindod Dewi Sant
University of Wales
Trinity Saint David



Academic Appeal Policy

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1. Introduction

- 1.1. This policy covers the University's procedures in relation to academic appeals.
- 1.2. The policy adopts the principles and good practice from a number of sector documents:
 - OIA: The Good Practice Framework: complaints and appeals (2022)
 - UK Quality Code for Higher Education: Advice and Guidance: Concerns, Complaints and Appeals (2018)
- 1.3. The University recognises that there may be occasions when a student considers that they have grounds to appeal against an academic decision or outcome (for example, where the University has a discretionary decision on a student's progression within, or completion of, a programme of study). As part of its commitment to a high-quality student experience from the time of application to graduation, the University seeks to resolve academic difficulties between students and the institution as fairly and effectively as possible. The University will normally seek to resolve matters of concern as close as possible to the level at which they arise. Only when such channels are closed will procedures be initiated to formalise and escalate academic appeals to a higher level.
- 1.4. An academic appeal is a request for a formal review of an academic decision submitted on limited grounds (these are clearly detailed below). An appeal is distinct from a complaint which seeks to raise concerns about the quality or delivery of service a student has received from any part of the University. Complaints, including those academic in nature (such as those relating to the quality of teaching, supervision or delivery of a programme of study), are considered under a separate Student Complaint Policy.

2. Guiding Principles

- 2.1. The policy aims to ensure that appeal procedures are conducted in a fair and transparent manner, ensuring that any cases are dealt with in timely manner by appropriately independent staff, with outcomes proportional to the case.
- 2.2. Remedies normally aim to return the student to the position that they would normally have been in, had the failing identified in the appeal not occurred.
- 2.3. The standard of proof to be applied is balance of probabilities.

3. Scope

- 3.1. This policy applies to all students, at any level of study, registered for a University of Wales Trinity Saint David's award.
- 3.2. This policy may be applied to former students of the University of Wales Trinity Saint David within 21 days after formal notification of a decision made in relation to progression, assessment and award.¹
- 3.3. Appeals which question the academic judgement shall not be admissible.
- 3.4. Appeals against informal assessments of the student's work shall not be admissible.
- 3.5. In the case of student enrolled on programmes leading to professional body accreditation, appeals that question the requirements associated with accrediting

¹ Formal notification of a decision made in relation to progression, assessment and award = the date on the correspondence from the University.

professional body will not normally be considered. In the case where the appeal relates to external assessment by a Professional, Statutory or Regulatory Body (PSRB), students are required to follow the appeals procedures of the relevant PSRB.

- 3.6. Appeals where the grounds concern the inadequacy of supervision or other academic arrangements during the period of study shall not be admissible; such complaints should be pursued as soon as they arise, in accordance with the Student Complaint Policy.

4. Grounds for appeal

- 4.1. Students are entitled to submit an Academic Appeal only on one or more of the following grounds:
- 4.1.1. there has been an arithmetical or other factual error in the results published by the University;
 - 4.1.2. there were mitigating circumstances where for good reason the academic body was not made aware of the significant factor relating to the assessment of a student when it made its original decision and there is independent evidence to show compelling reasons why the University was not made aware of these in a timely manner;²
 - 4.1.3. there were defects or irregularities in the conduct of the assessment or in written instructions or in advice relating thereto, where there is a prima facie case that such defects, irregularities or advice could have had an adverse effect on the student's performance.
- 4.2. The following are NOT considered valid grounds for requesting a review of an academic decision and appeals based on such reasons will be rejected:
- 4.2.1. disagreement with the academic judgment of the examiners on grounds other than the above ('academic judgement' includes the assessment mark or the pass / fail decision awarded by the markers of the piece of work);
 - 4.2.2. marginal failure to attain progression or a higher class of award (especially where such classifications are non-discretionary and made according to published arithmetic formulae);
 - 4.2.3. the retrospective reporting of extenuating personal circumstances that might have been reasonably made known at the time;
 - 4.2.4. lack of awareness of the relevant University procedures or regulations;
 - 4.2.5. complaints relating to the quality of teaching or supervision or other circumstances that relate to the delivery of a programme of study (such issues should be properly raised as they arise, and prior to assessment or examination, via the University's Student Complaint Policy);
 - 4.2.6. issues related to allegations of harassment, bullying or discrimination, for which separate University procedures apply.
- 4.3. In clarification, the University will NOT pursue an appeal that does nothing more than question the academic judgement exercised. For example, a student cannot appeal using these procedures simply because they are unhappy or disagree with a mark given to assessed work. Academic judgement is a matter solely for the relevant Institutes and Examiners and not subject to subsequent appeal via this Policy.

² Please see the Mitigating Circumstances Policy for examples of what is and is not permissible as a mitigating circumstance.

5. Relationship and interface with other policies and procedures

- 5.1. There are a number of policies and procedures that are connected to the Academic Appeal Policy, including:
 - Academic Misconduct Policy
 - Dignity at Work procedure
 - Fitness to Practise Policy
 - Support for Study Policy
 - Mitigating Circumstances Policy
 - Professional Relationship Policy
 - Strategic Equality Plan
 - Student Complaint Policy
- 5.2. As part of the initial assessment of any case, the University will consider which policy/ies is/are the most appropriate to be used
- 5.3. The University will reassess this as appropriate and may change or add procedures as appropriate. It may be the case that two policies are run in parallel or it could be the case that one procedure follows the other where a case contains elements belonging to more than one policy (e.g. an appeal contains elements of a complaint).
- 5.4. Where two or more policies or procedures are applicable at the same time, normally one policy will be the primary policy in terms of process.
- 5.5. Students will be informed which policy, policies and /or procedures are used in their case and in which order.
- 5.6. Where a student submits an Academic Appeal on reasons more appropriately considered under a separate process, the University will normally defer consideration of the Academic Appeal until the other process is fully concluded, with a resultant impact on the timeframes stated in this Policy. Such decisions are made on a case-by case basis and will be clearly communicated to the student. The formal outcome of any other separate process or investigation, if relevant, will normally be taken into account in the consideration of the Academic Appeal.

6. Responsibilities

- 6.1. University Responsibilities:
 - 6.1.1. Academic Appeals are overseen by Senate.
 - 6.1.2. The policy and procedural framework are overseen on behalf of Senate by the an appropriate Pro Vice-Chancellor.
 - 6.1.3. Case Officers fulfil a range of roles in relation to an academic appeal, including undertaking an initial assessment, undertaking an investigation, and determining an outcome. A case may have more than one Case Officer, each with a specific role in relation to the case.
 - 6.1.4. A Senior Officer, not involved at any previous stage, will undertake the review of an appeal.
 - 6.1.5. Deans of Institutes and Directors / Heads of Professional Units are responsible for ensuring that the procedures outlined in this policy are used appropriately, particularly in relation to any cases at an informal stage.

6.1.6. Programme Managers are responsible for dealing appropriately and in line with the policy with informal concerns.

6.2. Student Responsibilities

6.2.1. Students are responsible for:

6.2.1.1. Submitting the appeal on the appropriate form.

6.2.1.2. Submitting the appeal to the appropriate University Office within the timeframe.

6.2.1.3. Providing any supporting evidence relating to their appeal case.

6.2.1.4. Awareness of University regulations.

6.2.1.5. Regularly checking their University email and the information provided through the student portal or equivalent at Collaborative Partnership Institutions.

7. Definitions

7.1. With regard to Academic Appeals the following definitions are used:

7.1.1. **“Academic Appeal”** - a request for the review of a decision that has implications for a student’s progression, assessment and award.

7.1.2. **“Student”** - any person enrolled or registered to follow a Programme of Study or module(s) offered by the University.

7.1.3. **“Assessment”** - any assessment leading to credit and marks which counts towards a student’s module and overall result.

7.1.4. All students are allowed to nominate a named representative, e.g. to accompany them to any meetings or in relation to communication about their case. Legal representation is only allowed in exceptional circumstances.

8. Reasonable adjustments

8.1. If you have a registered a disability or learning difficulty with the University, then you may find it beneficial to receive additional support to help you with the process. If so, please contact Student Services or equivalent at the Collaborative Partnership Institutions at which you are studying, which is a useful source of advice and can assist with supplying the relevant documentation in an alternative format.

8.2. If you expect to find it difficult to meet the deadlines expressed in this Policy because of a registered disability or learning difficulty, you should inform the University of this, ideally before the relevant deadline elapses. Additional time may be granted for submissions that meet these grounds.

8.3. Where students have not already formally declared a disability to the University prior to the start of an appeals process, they are advised to make such a declaration as soon as possible during the formal processes so that it is possible to make reasonable adjustments as appropriate.

8.4. The Student Services Department or equivalent at Collaborative Partnership Institutions will make the decision in relation to the exact nature of any reasonable adjustments needed, in consultation with the student and ensuring external advice is taken as appropriate. The appeal process may be suspended until reasonable adjustments have been put in place.

- 8.5. Reasonable adjustments will be made as appropriate in relation to the appeal process and communicating the outcome for all students who have a declared disability or other health issues.
- 8.6. All students will have the right to be accompanied by a person of their choosing at any meeting associated with the appeals process and is required to inform the University in writing in advance of any meeting or hearing whether they intend to be accompanied. Legal representation is only allowed in exceptional circumstances. Such a request for legal representation needs to be made in writing to the Office of the appropriate Pro Vice-Chancellor. The accompanying person shall not normally contribute to the discussions.

9. Support

- 9.1. Students are able to approach their Programme Manager to discuss informally any concerns that they have in relation to a decision made about assessment, progression and award.
- 9.2. Once an appeal has been submitted formally, advice and guidance can be sought from an Academic Quality Officer.
- 9.3. In addition, the Students' Union offers students help and support in navigating University policies and procedures, and resolving issues and problems.
- 9.4. Students are also able to seek support from the Student Services Department or equivalent at Collaborative Partnership Institutions throughout the process.
- 9.5. Support in terms of advice and guidance for the student through the process will not be provided by the same member of staff that makes a judgement in the case.

10. Equality & Diversity / Student Confidentiality

- 10.1. The University is committed to promoting equality and diversity in all its activities. In particular, this Policy should be read in conjunction with the University's statements and policies in relation to Equality & Diversity and Student Confidentiality. Students who submit an appeal will not suffer any disadvantage as a result of doing so and the student's privacy and confidentiality will be respected at all stages of the process. In submitting an appeal, however, students must accept that limited disclosure of all or part of their submission will be required to enable investigation of their case to proceed.
- 10.2. Students have the right to expect that everyone who responds to, investigates, or adjudicates upon an appeal will do so impartially. No individual, including assessors, will be permitted to act in any manner in a case in which they have a material interest or in which any actual or potential conflict of interest may arise.

11. Processes for raising an informal concern

- 11.1. Academic appeals may not be readily amenable to early resolution because academic judgement will not be open to challenge. Students are advised to seek advice in the first instance from an appropriate member of staff (e.g. Programme Manager, Director of Studies) following the notification of an assessment outcome before submitting a formal appeal. This may include a meeting to discuss the concerns, seek clarification, and allow for assessment processes to be explained.
- 11.2. Where there has been a clear factual or arithmetical error, raising the concern immediately informally will allow for early resolution without the need to take a case

through formal appeal procedures, but the Examining Board will be required to reconsider its decision.

- 11.3. Members of staff in the Institutes or Professional Services are able to seek advice and guidance from Academic Office in relation to appeal processes.

12. Procedures: general principles

- 12.1. All appeals will be handled by an appropriately independent member of the University.
- 12.2. References in this policy to steps or actions by specific University post holders shall be read as including reference to their nominees. In addition, in order to avoid delays or potential conflicts of responsibilities, other staff members may undertake tasks allocated to specific post holders.
- 12.3. Procedures for appeals, outlined in this policy, describe the University's internal processes. Whilst seeking to ensure consistency of approach and application, the University reserves the right to vary the precise details of the procedure applied to the circumstances of a particular case.
- 12.4. The University will wherever possible seek to adhere to the time limits outlined within these procedures, but in cases where there are special circumstances which require variance from specified time limits, the student will be advised of the reasons for this.
- 12.5. During the application of this policy the University reserves the right to adjourn any appeal investigation or hearing and reconvene at a later date.
- 12.6. It is expected that students, their representatives and staff will act reasonably and fairly towards each other and will treat the appeal process with respect. Where students contravene Dignity at Work principles, the University may take disciplinary action.
- 12.7. Appeal processes normally do not include meetings that require the presence of the student. Where a student is invited to a meeting, the University reserves the right to proceed with such a meeting in the absence of the student, subject to the student having been properly notified of the date and time of the meeting. Where the student decides to leave any meeting associated with the appeal process the University reserves the right to continue with such a meeting.
- 12.8. Meetings required for appeal processes will normally be conducted electronically.
- 12.9. Where the appeal process includes a meeting with the student, the student will be invited to such a meeting, normally at least two days before the meeting.
- 12.10. Where the student has communicated in response to a meeting notification that they are not able to attend a meeting for a good reason, the University will normally rearrange the date of such a meeting.
- 12.11. The student will have the right to be accompanied by a person of his/her choosing at any meeting associated with the appeal process and is required to inform the University in writing in advance of any meeting or hearing whether they intend to be accompanied. Legal representation is only allowed in exceptional circumstances. Such a request for legal representation needs to be made in writing to the Academic Office (secases@uwtsd.ac.uk). The accompanying person shall not normally contribute to the discussions.
- 12.12. No meetings will be recorded and the University does not allow for any meetings to be recorded covertly. Notes or minutes will be provided for each meeting held.

- 12.13. Students will be supplied with a copy of this policy and procedures and will be made aware of the identity of the Case Officer(s).
- 12.14. The University will ensure that all written records related to the case are clear, accurate, and appropriate and will be stored in accordance with relevant data protection legislation.

13. Submitting a Formal Appeal

- 13.1. The appeal shall be sent to the Academic Office on the University's Academic Appeal Form within 21 days after the official notification of results.
- 13.2. Simple notice of appeal given in writing by a student within the above deadline shall not be deemed to constitute an appeal and shall not be accepted.
- 13.3. Appeals received after 21 days will be deemed to be out of time and will not be considered unless students have provided independent evidence to show compelling reasons as to why the appeal was not submitted within the appropriate timeframe.
- 13.4. The University will not consider any appeal submitted more than 12 months after the formal notification of a decision made in relation to progression, assessment and award under any circumstances.

14. Appeals involving two or more students

- 14.1. Where more than one student submits an academic appeal on essentially identical matters and on essentially identical grounds, in the interests of achieving a timely resolution of the matter, the Case Officers have the right to consider the submissions collectively.

15. Initial evaluation, investigation and outcomes

- 15.1. On receipt of an appeal, a Case Officer shall be appointed.
- 15.2. Care will be taken to ensure that the Case Officer appointed is impartial and not implicated. The Case Officer is normally a member of University staff, but could, in exceptional circumstances, be external to the University.
- 15.3. If there are any concerns in relation to the Case Officer, parties are asked to express those concerns in writing to the appropriate Pro Vice-Chancellor at secases@uwtsd.ac.uk who will consider any such concerns.
- 15.4. The Case Officer shall undertake an initial evaluation to check that the academic appeal:
 - 15.4.1. is submitted under the correct procedures;
 - 15.4.2. falls within the grounds upon which an appeal can be made;
 - 15.4.3. is submitted within any deadline;
 - 15.4.4. is in the required format;
 - 15.4.5. In addition, the Case Officer will assess whether the case requires particularly swift action.
- 15.5. As a result of the initial evaluation, the Case Officer will make a determination as to whether there is a clear case for appeal, or if the appeal falls under another procedure or multiple procedures.

- 15.6. If there is not a case for appeal that should not be considered under another procedure, the Case Officer will disallow the appeal, normally within 28 days of its receipt. The student shall be informed that the appeal has been disallowed by means of an Appeal Outcome Letter.
- 15.7. Where an appeal is deemed out of time, the University will issue a Completion of Procedures Letter on request, noting the reason why the appeal was not considered and advising the student that they may be able to take their complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.
- 15.8. Where the case proceeds to investigation, the Case Officer ensures that the facts of the case are verified and, where appropriate, may request clarification from relevant members of staff or the student.
- 15.9. Where a case officer requests additional evidence from the appellant, and it is not provided within 7 days, the case officer will proceed with the investigation on the assumption that the requested evidence does not exist.
- 15.10. the Case Officer is required:
 - 15.10.1. To consider the evidence submitted in relation to the Academic Appeal;
 - 15.10.2. To determine whether the original Exam Board (including Postgraduate Research Progress Review Boards) decision was appropriate in light of the evidence provided in the Appeal;
 - 15.10.3. To determine an appropriate outcome.
- 15.11. The Case Officer shall be empowered to take one of the following decisions:
 - 15.11.1. to reject the appeal and uphold the original decision that has implications for a student's progression, assessment and award;
 - 15.11.2. to uphold the appeal and to instruct that appropriate action be taken to remedy the situation;
 - 15.11.3. to partially uphold the appeal, if aspects of the appeal are not made on permissible grounds, and to instruct that appropriate action be taken to remedy the situation.
 - 15.11.4. The Case Officer may also refer the case to a Formal Panel.
- 15.12. Remedies include:
 - 15.12.1. Apology;
 - 15.12.2. Referring the student's profile back to an examination board with new information (e.g. a newly reported and approved extenuating circumstances outcome through the appeals process);
 - 15.12.3. Correcting factual or arithmetical errors;
 - 15.12.4. Offering the student an opportunity to attempt an assessment;
 - 15.12.5. Offering the student an opportunity to complete an alternative module;
 - 15.12.6. Offering the student the opportunity to repeat a level or module;
 - 15.12.7. Offer the student an (exit) award;
 - 15.12.8. Reinstate the student and allow them complete a level/module or assessment.
- 15.13. The student shall be informed by the Case Officer of the action being taken to remedy the situation by means of an Appeal Outcome Letter.

- 15.14. The Case Officer may make recommendations for consideration through the University's committee structure as appropriate on any matter arising from the consideration of Appeals.

16. Formal Panels

- 16.1. Membership of running of Formal Panels is defined in SC15: Format and Membership of Formal Panels
- 16.2. Appeal Investigation Panels membership consists of all Exam Board Chairs and any other appropriately qualified and experienced staff from across the Institutes and Professional Services as identified by the Academic Office.
- 16.3. Terms of Reference for Formal Panels :
- 16.3.1. To consider the evidence submitted in relation to the Academic Appeal;
 - 16.3.2. To determine whether the original Exam Board (including Postgraduate Research Progress Review Boards) decision was appropriate in light of the evidence provided in the Appeal;
 - 16.3.3. To determine an appropriate outcome.
- 16.4. The Appeal Investigation Panel shall normally meet within 30 days of receipt of the appeal from the Case Officer. In the event that it takes longer to verify the facts to which the appeal refers, this period may be extended.
- 16.5. Formal Panels normally meet electronically.
- 16.6. The date of the meeting of the panel, membership, and format of the Formal Panel will be communicated to the student in advance of the proceedings, normally not less than ten days in advance of the meeting.
- 16.7. Any documentation for the meeting of the panel will be circulated to the members of the Formal Panel, the student and the Case Officer, normally not less than five days in advance of the meeting.
- 16.8. Following the meeting, the student will be formally notified of the outcome in writing within 14 days of the meeting of the Formal Panel.
- 16.9. The Chair shall have discretion to declare inadmissible any matter introduced by the student, or by any witness or person accompanying the student, if they deem it not directly related to the contents of the appeal previously lodged in writing within the stipulated deadline.
- 16.10. Where a Panel requires the advice of an expert to deal with a question of fact or special difficulty, such an expert may provide a written report in advance of the meeting and, where appropriate, may be invited to the meeting to provide expert evidence and advice to the Panel.

17. Outcomes of an Appeal Panel

- 17.1. The Panel shall be empowered to take one of the following decisions:
- 17.1.1. to reject the appeal and uphold the original decision that has implications for a student's progression, assessment and award;
 - 17.1.2. to uphold the appeal and to instruct that appropriate action be taken to remedy the situation;

- 17.1.3. to partially uphold the appeal, if aspects of the appeal are not made on permissible grounds, and to instruct that appropriate action be taken to remedy the situation.
- 17.2. Remedies include:
 - 17.2.1. Apology;
 - 17.2.2. Correcting factual or arithmetical errors;
 - 17.2.3. Offering the student an opportunity to attempt an assessment;
 - 17.2.4. Offering the student an opportunity to complete an alternative module;
 - 17.2.5. Offering the student the opportunity to repeat a level or module;
 - 17.2.6. Offer the student an (exit) award;
 - 17.2.7. Reinstate the student and allow them complete a level/module or assessment.
- 17.3. The Panel may make recommendations for consideration through the University's committee structure as appropriate on any matter arising from the consideration of Appeals.
- 17.4. The outcome of the appeal shall be communicated to the student by means of an Appeal Outcome Letter, normally within 14 days of the meeting of the Appeal Panel.

18. Review of Appeal Outcome

- 18.1. If the student is dissatisfied with the outcome of the formal stage, they may be able to request a review.
 - 18.1.1. A request for a review may only be made on one or more of the following grounds:
 - 18.1.1.1. irregularities in the conduct of the academic appeals procedure, which are of such a nature as to cause reasonable doubt whether the same decision would have been reached had they not occurred;
 - 18.1.1.2. the existence of new material evidence which the student was unable, for compelling reasons, to provide earlier in the process;
 - 18.1.1.3. that evidence is available to show that the outcome reached at an earlier stage was unreasonable. In this context, unreasonable shall be taken to mean that the outcome was not a possible conclusion which a similar hearing or process of consideration might have reached.
- 18.2. A request for review of the appeal outcome must be received on the required form not later than 14 days after the notification of the appeal outcome.
- 18.3. Simple notice of a desire to request a review by a student within the above deadline shall not be deemed to constitute a formal request for review and shall not be accepted.
- 18.4. A request for review received after the above deadline will be deemed to be out of time and will not be considered unless there is independent evidence to show compelling reasons as to why the request for review was not submitted in a timely manner.

- 18.5. Where a request for review is deemed out of time, the University will issue a Completion of Procedures Letter on request, noting the reason why the request for review was not considered and advising the student that they may be able to take his/her complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.
- 18.6. If no request for review is received within 14 days, the University will assume that the student does not wish to request a review. Where the student subsequently requests a Completion of Procedures Letter, the University will issue a Completion of Procedures Letter, noting that the student did not engage with the request for review procedures in a timely manner and advising the student that they may be able to take his/her complaint to the Office of the Independent Adjudicator (OIA) for Higher Education
- 18.7. A suitable senior officer shall review the request to ascertain if the request has been made on permissible grounds and if a clear case has been made. They may refuse any request which is not based on the grounds stated above or in which it is apparent that no clear case to review the appeal outcome has been made. The student shall be informed by means of a Completion of Procedures Letter that the request for review has been rejected and that the original appeal outcome stands. The student will be advised that they may be able to take his/her complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.
- 18.8. If it is determined that the request has been made on permissible grounds and that a clear case for reviewing the appeal outcome has been made, the senior officer shall consider the request.
- 18.9. In reaching a decision, the senior officer shall base his/her decision on the evidence of the student's submission together with any further evidence which they consider relevant. This review stage will not usually consider the issues afresh or involve a further investigation. No appeal hearing will be held as part of the review process. A hearing can only be held if the matter has been referred back to the formal stage for reconsideration
 - 18.9.1. The senior officer shall be empowered to take one of the following decisions:
 - 18.9.1.1. to uphold the original appeal outcome;
 - 18.9.1.2. to reverse the appeal decision and uphold the original decision;
 - 18.9.1.3. to refer the appeal back to a Formal Panel;
 - 18.9.1.4. to instruct that appropriate action be taken to remedy the situation.
- 18.10. The decision of the senior officer shall be final, and the matter shall, therefore, be regarded as closed. There shall be no further discussion of the decision of the senior officer with the student or any other person. There shall be no right to request a further review of the appeal outcome.
- 18.11. The decision of the senior officer shall be communicated to the student, normally within 28 days of receipt of the request for review by a revised Appeal Outcome Letter. If the review of outcome is rejected, the student will be advised, by means of a Completion of Procedures letter, that they may be able to take their complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.
- 18.12. If on receipt of the revised Appeal Outcome Letter, if the student is dissatisfied with the outcome, the student may request a Completion of Procedures Letter be issued which will advise the student that they may be able to take their complaint to the Office of the Independent Adjudicator (OIA) for Higher Education.

19. Status of students who have submitted appeals

- 19.1. Where an appeal has been submitted, the original decision shall stand until the final outcome of the Academic Appeal procedure is known.

20. Completion of Procedures and Independent Review

- 20.1. Complaints to the Office of the Independent Adjudicator (OIA) for Higher Education must be made within 12 months of the effective date of the Completion of Procedures Letter. The effective date of a Completion of Procedures Letter will normally be the date on which it is issued. Where a request for review is deemed out of time or where a Completion of Procedures Letter is requested more than 25 clear working days after the notification of the final decision, the effective date of any Completion of Procedures Letter will normally be the date upon which the final decision was made. Full details of the procedure will be available from the OIA website: www.oiahe.org.uk.

21. Confidentiality parameters

- 21.1. The University will be mindful of its obligations under relevant data protection regulations and the Equality Act 2010 in relation to any information shared about the appeal.
- 21.2. All parties will be reminded of the confidentiality associated with the procedures outlined above. Information associated with the case will be disclosed to as few people as possible.

22. Standard time-lines

- 22.1. Throughout the policy standard time-lines are mentioned for key stages of the process. The University will wherever possible seek to adhere to the time limits outlined within these procedures, but in cases where there are special circumstances which require variance from specified time limits, the student and any other relevant parties will be advised of the reasons for this. Processes may need to be suspended.

Key stage	Standard time-line
Invitation to meetings with Case Officers	Notice provided not less than 2 days
Completion of investigative process	Within 21 days
Information about the format of the formal panel, membership, date and venue	Notice provided not less than 10 days in advance of the meeting
Circulation of any documentation associated with the meeting of the panel	Notice provided not less than 5 days in advance of the meeting
Notification in writing of the appeal outcome following a Panel meeting	Within 14 days
Completion of the formal process	Within 40 days

Key stage	Standard time-line
Review of outcome request	Within 14 days of the date of the notification of the outcome
Completion of the review of outcome process	Within 28 days of the appeal being received

23. Monitoring

- 23.1. A student case overview report will be submitted annually to Senate and the relevant Council Committee by the appropriate Pro Vice-Chancellor. This report will also monitor the effectiveness of the policy.

24. Resource implications

Implication	Detail
Finance	<i>Training for all University members of staff involved in appeal procedures (e.g. Case Officers, Chairs and members of Appeals Panels, staff providing support to students, Senior Officers, minute takers)</i>
Staff	<i>No additional resource anticipated.</i>
Assets	<i>There are no identified asset costs.</i>
Partners	<i>Consideration will be given to the application of this policy across the dual-sector group.</i>
Timescales	<i>Once approved the policy will be implemented immediately. The policy will be regularly monitored to ensure ongoing compliance with relevant legislation.</i>
Leadership	<i>Pro Vice-Chancellor with responsibility for Academic Experience</i>

25. Impact Assessment

Implication	Impact considered (Yes/No)	Impact Identified
Legal		<i>The policy conforms with: Contract and consumer law The Human Rights Act 1998 The Equality Act 2010 Natural Justice (fairness) Data Protection Act 2018 (and GDPR)</i>
Contribution to the Strategic Plan		<i>The policy aligns with the values expressed in the Strategic Plan.</i>
Risk analysis		<i>Policy compliance mitigates against complaints to the OIA and complaints to the ICO.</i>
Equality		<i>The policy will ensure adherence to provisions of the Equality Act.</i>
Welsh language		<i>The policy aligns with principles expressed by the Welsh Language Act.</i>

Environmental and sustainability		<i>None identified.</i>
Communication / Media / Marketing		<i>The policy will be made available to staff and students via the Hwb/MyDay.</i>

26. Policy author:

26.1. Professor Mirjam Plantinga, Pro Vice-Chancellor

27. Document version control

Version No.	Reason for change	Author	Date of Change
0.1	Draft policy	MP	01.10.2019
0.2	Final approved policy	MP	16.10.2019
1.1	Annual Update	KE	19.08.2020
1.2	Annual Update	CP	15.09.2021
1.3	Annual Update	MO	19.08.2022
1.4	Mid-year Update	KE	20.01.2023

Current status of Policy: approved

Is the Policy applicable to: HE

Date ratified by Academic Standards Committee: 16/10/2019

Date effective from: 01/09/2019

Policy review date: 01/06/2022

For publication: on UWTSD website

Appendix 1:

The [Academic Appeal Form](#) is available online.

The questions on the form are copied below for reference. Students are required to submit evidence either via email or via the form's upload capacity.

Student Details

Date of Official Notification of Examination Board Results

What was the decision of the Examining Board as stated on the official notification of results?

Which part of this decision do you wish to appeal?

Please indicate the grounds on which you are appealing.

Please indicate the justification for your appeal and list any evidence that you will provide.

Do you wish a copy of your appeal to be forwarded to the Students' Union?