

QUALITY ASSURANCE MODEL FOR SCQFP APPROVED CREDIT RATING BODIES

SECTION 8 Appeals



Section 8

Appeals

This Quality Assurance Model (QAM) applies specifically to those SCQFP Approved CRBs but for ease of reading the term Credit Rating Body or CRB will be used in this document

Following an adverse decision on approval or period review, or following suspension or removal of credit rating authority, the organisation/CRB will be:

- Notified of the decision
- Informed that it has a right to appeal
- Sent information about how to appeal and the timescales for the process

The organisation/CRB will have the right to ask for information or clarification and it may also supply evidence which it ought to have submitted during the approval or review process but did not. However, it will need to explain why such evidence was not made available originally and the SCQFP Executive Team, in discussion with the SCQFP Quality Committee, may choose to reject the evidence. Should the discussion (and/or additional evidence if allowed) not resolve the issue, the organisation/CRB will have the right to appeal.

An organisation or CRB can appeal a decision only on the grounds that the SCQFP Board, Quality Committee, SCQFP Executive Team or a member of an Approval/Review Team did not conform to due process and this had a demonstrable negative impact on the organization/CRB.

Appeals can be made against:

- Approval decisions
- Annual Monitoring decisions
- Periodic Review decisions
- Decisions to suspend credit rating authority
- Decisions to remove credit rating authority

For the original decision to be modified, the organisation/CRB would need to satisfy the appeal committee that there was maladministration or a material breach of procedural requirements

Appeals should be made in writing to appeals@scqf.org.uk by the organisation/CRB stating clearly why the SCQF Committee and/or Board should not have reached the decision which it did and providing evidence to support this. This will then be forwarded to the Chair of the SCQF Board.

If the appeal concerns the conduct of the Board and/or the Chair of the Board, the independent member will chair the Appeals Committee.

Appeals Committee

The Chair of the Board will set up a separate Appeals Committee to hear any formal appeals. The Appeals Committee will include:

The Chair of the SCQF Board (act as Committee Chair)

1 member from the SCQF Quality Committee (not involved in the review activity)

1 independent member

1 SCQFP Officer (not involved in the review activity in question)

The Appeals Committee will set a date to meet to review the documentation, to consider brief oral submissions by the two parties and to consider both the processes by which the decision in question was reached and the decision itself i.e. was this the right decision to take in light of the evidence that was considered. The material supplied to the Appeals Committee will include:

- The original report
- Evidence from the appellant
- Evidence from the SCQF Partnership

The Appeals Committee will come to its decision in light of the evidence before it. The Appeals Committee can decide that the original decision should be confirmed or that it should be amended.

The decision will be notified to the appellant and the SCQF Partnership together with the reasons underpinning the decision. The decision of the Appeals Committee is final.