

UKATA

Audit Appeals Policy

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Definitions

In this policy, unless the context otherwise requires:

Association means UK Asbestos Training Association Limited;

Audit means an objective examination and evaluation of an asbestos training course by an Auditor engaged by UKATA;

Auditor means an appointed individual responsible for evaluating the delivery and accuracy of an asbestos training course;

Board means the Board of Directors of the Association from time to time;

Business Day/s means any day (other than a Saturday, Sunday or public holiday in the United Kingdom) on which clearing banks in the City of London are generally open for business;

Chief Operating Officer means the Chief Operating Officer of the Association or any other person appointed to perform the duties of the Chief Operating Officer;

Director or Directors means the directors for the time being of the Association or (as the context shall require) any of them acting as the Board;

Guidance means codes of practice or other recommendation made by the Association which are supplemental to the Rules, but in the event of any conflict between the Guidance and the Rules, the Rules take precedence;

Member means an organisation, company, individual who has satisfied the criteria of membership;

Policy or Policies means a document which contains the Association's approach and requirements regarding the Rules;

Rules means these Rules of the Membership which govern membership;

Sanctions means the Sanctions which may be applied by the Association in the event of a breach of the Rules by a Member, which may include suspension from the Certificate Generator, suspension from membership or termination;

Specification Document means a formal document which sets out the compulsory requirements in terms of capabilities, appearance, and interactions with users for a product or service;

Syllabus or Syllabi means a document that communicates course information and defines expectations and responsibilities;

UKATA means UK Asbestos Training Association Limited;

Introduction

1. An Audit appeals process is available to all Members following the issue of an audit outcome determined by UKATA.
2. The purpose of this Policy is to provide a fair, transparent and consistent procedure for Members who wish to appeal an Audit decision.

What is an appeal?

3. An Audit appeal is a formal request for UKATA to review and, if appropriate, overturn or amend an audit outcome.
4. Members may appeal on one or more of the following grounds:
 - a) The Audit process or Auditor did not take full account of the evidence available;
 - b) The decision made by UKATA is considered unreasonable or disproportionate;
 - c) The Member can demonstrate corrective action sufficient to address the findings;
 - d) Any other reasonable grounds, provided these are supported by clear evidence.
5. Members accept that:
 - a) Events occurring after the Audit took place will not normally be considered relevant to the findings; and
 - b) Whilst post-audit improvement may be considered when reviewing sanctions or re-audit requirements, they will not alter the findings of the original audit.

Our commitment

6. We are committed to:
 - a) Handling all appeals fairly and impartially;
 - b) Following an open, evidence-based process;
 - c) Providing timely responses; and
 - d) Maintaining confidentiality and data protection compliance throughout the process.

Submitting an appeal

7. Members must submit their appeal in writing to the Chief Operating Officer within ten Business Days of notification of the audit outcome.
8. The appeal must include:
 - a) The member's name and membership number;
 - b) The date of the audit and name of the Auditor (if known);
 - c) The grounds for appeal (see section 3.4); and
 - d) Any supporting evidence or documentation.
9. Appeals should be sent to:

Chief Operating Officer
UK Asbestos Training Association
Markham Vale Environment Centre
Markham Lane, Markham Vale
Chesterfield, Derbyshire
S44 5HY

10. Appeals will only be accepted if submitted:
 - a) Within ten Business Days of UKATA communicating the audit outcome; and
 - b) Directly by the Member organisation.

How the appeal will be handled

11. Upon receipt, all appeals will be logged and assigned a reference number.
12. UKATA will acknowledge receipt of the appeal within three Business Days.
13. The appeal will be reviewed by a sub-committee of the Board of Directors, normally comprising three Directors with no prior involvement in the audit.
14. The sub-committee will:
 - a) Review the Member's appeal and all supporting documentation;
 - b) Review the Auditor's report and any relevant correspondence;
 - c) Consider whether the audit outcome and any applied sanctions were fair and proportionate.
15. The sub-committee will provide a written determination to the Chief Operating Officer within ten Business Days of the acknowledgement date.
16. The Chief Operating Officer will communicate the final outcome to the Member within two Business Days of receipt.

Final decision and further rights

17. The decision of the Board sub-committee shall be final and binding on both parties.
18. Activation of the appeals process will not prevent the Member from re-applying for membership once eligibility is restored.

Confidentiality

19. All information provided during the appeal process will be handled in accordance with UKATA's Data Protection and Confidentiality Policies and will only be shared with those directly involved in the review.