



Appeals and Grievance Procedure and Application Form

PLASA aims to ensure that all its assessment/training and assessment/training results are fair, consistent and based on valid judgments. In order to support a query or concern from a Centre or candidate/trainee on whether this has been achieved we have developed a procedure on how the appeals process can be implemented.

What is an Appeal?

An appeal is a formal request by a candidate/trainee or a named representative from an approved Centre to the PLASA to undertake an investigation.

Grounds for Appeal

An appeal can be made to PLASA by a candidate/trainee or Centre only when the Centre's systems and procedures have not resolved the appeal. There are three potential grounds for appeal.

1. Malpractice and misconduct. This is defined by PLASA as being improper, illegal or negligent professional activity or treatment.
2. Decisions around assessment/training. This is specifically in relation to Assessor/trainer decisions.
3. Decisions around External Verification/Moderation. This is specifically for Centres to appeal the decision of the External Verifier.

All appeals will be judged on the individual merits of the submission made. A clear outline of the facts should be presented, along with any evidence to substantiate these.

Access to the Appeals Process

The full appeals procedure is available on the PLASA Skills website (Policies), and all Centres will provide candidate/trainees with full details of the appeals process on commencement of their assessment/training programme. All Centres and Assessors/trainers are issued a copy of the appeals process in their respective procedure manuals.

Stages in the Appeals Process

There are three stages in the appeals process:

Stage 1	Follow internal Centre appeals procedure	→ Resolved
	Not Resolved	
Stage 2	Review of Appeal - PLASA Qualifications Team	→ Resolved
	Not Resolved	
Stage 3	Appeals Panel Investigation	→ FINAL DECISION

Procedures for Appeals

Stage 1 - The Centre Appeals Process

Where practical, the candidate/trainee should discuss his/her objection regarding the assessment/training decision with the assessor/trainer prior to making a formal appeal. The assessor/trainer will be open-minded to the points raised by the candidate/trainee, discuss the matter with his/her internal verifier and seek a solution which makes an appeal unnecessary.

If this cannot be achieved, the candidate/trainee will be advised of his/her right to appeal.

1. Appeals must be made in writing by the candidate/trainee, to the Centre Manager, within 14 days of the candidate/trainee being notified of the assessment/training decision against which the appeal is being made.
2. The written appeal will be copied by the Centre Manager to the Assessor/trainer who made the decision and to the IV responsible for the Assessor/trainer.
3. The Centre Manager will invite a member of the PLASA Qualifications team to evaluate the evidence and give judgment (the 'Appeals Adjudicator')
4. The Appeals Adjudicator will report back to the Centre Manager who will make a judgment on the appeal.
5. The adjudicator's judgment will be communicated to the candidate/trainee by the Centre Manager in writing, within 21 days of the written appeal being received.
6. This communication will be copied to the Assessor/trainer against whom the appeal was raised, his/her IV and the Appeal Adjudicator.
7. The Centre Manager will retain full details of the appeal within the Centre file for a period not less than 5 years.
8. If the appeal finds in favour of the candidate/trainee, the Centre Manager will identify the specific failure in the Centre's assessment/training regime and implement corrective actions.
9. If the appeal finds against the candidate/trainee, and they wish to pursue, they must write PLASA within 10 working days of receiving the adjudicator's judgment and follow the next stage of the procedure.

Note

- The Centre manager must inform PLASA of any written appeals and grievances and they are at liberty to seek guidance from the External Verifier on any aspect of the appeals process.
- A successful appeal is not a reversal of the original assessment/training outcome: to establish this, the candidate/trainee may need to be re-assessed.
- The timescales quoted in these procedures are normal maximums. In extreme cases, the timescales may need to be longer, in which case the reasons for the longer timescales are to be documented.



Stage 2 - Review of Appeal

If the appeal is not resolved at the Centre or if anyone involved with the delivery of PLASA Certifications wishes to appeal about an issue then this should be made in writing within 10 working days to the Head of Certification at PLASA, containing the following:

- Name of person making the appeal
- Name of candidate/trainee/Centre involved
- Name of Certification and level
- Clear description of the chain of events, dates and grounds for appeal
- Evidence in support of the Appeal

The appeal will be acknowledged within 5 working days of receiving it and a report drawn up within 30 days of receiving the written appeal, following an investigation. This will be presented to the individual who made the appeal to see if the appeal is now resolved. If not resolved the individual will inform the Head of Certification within 10 working days of receiving the report and the next stage of appeal is actioned.

Stage 3 - Appeals Panel Investigation

An appeals panel is set up to review the report and all the evidence presented. The appeals panel consists of three members - two members of the PLASA Board, and one independent member who has had no involvement in the last 7 years with the PLASA Executive Committee, Quality Assurance Panel, employee, or any committee. They may ask to visit the Centre or interview those involved if necessary.

They will present their findings and any actions to the individual, the timings depend on the nature and complexity of the appeal. The review will take no more than 20 working days. The final decision is made by the Appeals panel, this decision is final. The individual will be informed within 10 working days of this decision being made.

If the appeal identifies a situation where other candidate/trainees results are called into question, a full investigation of a sample of those candidate/trainees implicated will be carried out to ensure the interests and integrity of the certification/ certificate/ award is maintained.

Appeals and Grievance Form

DETAILS OF PERSON LODGING APPEAL			
Forename:		Surname:	
Address:			
		Postcode:	
Email:			
Telephone:		Date:	

The nature of this appeal is (choose one or more):

- Malpractice and misconduct
- Decisions around assessment/training
- Decisions around External Verification/Moderation

CIRCUMSTANCES OF APPEAL

Sequence of events

Detail of Appeal

Please use an extra page if necessary, and note any evidence supplied in support

How would you like your appeal to be resolved?

Appellant Signature:

Office use only:

Date received:

Date Actioned:

Initials:

Evidence attached: