

Specification of Competency Standards
for the Testing, Inspection and Certification Industry
Unit of Competency

Functional Area - Certification Operations

Title	Investigate complaints and appeals on certification services
Code	105946L5
Range	This unit of competency (UoC) covers the abilities to investigate complaints and appeals on certification results by critically analysing audit activities and findings and taking appropriate actions in a timely manner.
Level	5
Credit	2 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Possess knowledge and skills of handling complaints and appeals on certification services</p> <ul style="list-style-type: none"> • Explain technical details of an audit programme including the audit objectives, criteria, scope, certification plan and activities, sampling programme, collection of evidence. • Establish the processes to receive, evaluate, investigate and make decisions in response to complaint / appeal case. • Command effective problem solving techniques and cause analysis skills appropriate to audit programmes. • Describe the procedures relating to customer service and communication protocols. <p>2. Investigate complaints and appeals on certification services</p> <ul style="list-style-type: none"> • Acknowledge the receipt of the complaint / appeal case. • Employ the complaint and appeal handling processes with effective communication, tracking of audit outcomes, acknowledgement, initial assessment, investigation and closure process. • Analyse the information / data obtained objectively and verify the record with reference to previous cases and applied requirements. • Evaluate complaints related to the certified client and inform the certified client in question at an appropriate time. • Initiate review of the certified management system to confirm effectiveness. • Carry out any appropriate corrections and corrective actions in a timely manner and take into account the results of previous similar appeals. • Report investigation outcomes and recommendations for improvement. • Explain investigation outcomes to the complainant / appellant clearly by appropriate communication means. • Record all complaints and related evidence as well as actions taken in compliance with the traceability requirements. <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> • Maintain confidentiality and handle the complaints and appeals in an unbiased and objective manner. • Identify improvement opportunities when handling complaints and appeals.
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> • investigate complaints and appeals by critically analysing unexpected certification results in a logical and efficient manner, • explain investigation outcomes and actions taken to the complainant / appellant clearly using appropriate communication means.
Remark	