

Document 1 - Tech Skills International Complaints and Appeal Policies and Procedures

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1 Introduction

The objective of this Policy & Procedure (P&P) is to ensure that all complaints and appeals are dealt with in a constructive and timely manner in Tech Skills International (TSI). It outlines the procedures to deal with any appeal and complaint raised by other party.

2 Declaration

TSI declares that submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

3 Scope

The objective of this document is to provide guidance on the receipt, review and resolution of complaints and appeals received by TSI.

4 Advice to Applicant

TSI provides, in print or through referral to an electronic copy, current and accurate information that enables the applicants to make informed decisions about undertaking assessments/audit with TSI, with the intention of reducing the likelihood of receiving complaints or appeals and at a minimum includes the following content:

- the applicant rights
- location of the exam/audit
- duration of the exam/audit
- resources required and resources provided
- details of the complaints and appeals process, if any

5 Receipt of Complaints

This policy and procedure assists in managing and dealing with allegations involving the conduct of:

1. its assessors or other staff;
2. a third party providing services on the TSI's behalf, if applicable, its trainers, assessors, auditors or other staff; or
3. complaint of lack of information provided
4. complaint of lack of resources provided
5. between the examiner and the candidates

TSI ensures the principles of natural justice and procedural fairness are adopted at every stage of the complaint and appeal process;

1. are publicly available, e.g. website;
2. facilitate the procedure for making a complaint or an appeal;
3. ensure complaints and appeals are acknowledged in writing and finalised as soon as practicable;
4. try to address any appeal and complaint within 30 days;
5. Where the TSI considers more than 30 calendar days are required to process and finalise the complaint or appeal, TSI shall

- informs the complainant or appellant in writing, including reasons why more than 30 calendar days are required; and
- Regularly updates the complainant or appellant on the progress of the matter

6 Additional Appeals Process

A candidate may appeal against an assessment outcome within 30 days of receiving notification of their results.

The grounds for an appeal are:

- The judgement as to whether competence has been achieved and demonstrated was made incorrectly.
- The examination plan is not flexible or fair.
- Judgement was not made in line with the examination criteria.
- The examination does not address the collection of evidence sufficiently.
- Or any other matters directly relating to the assessment process.

The Service facility applicant can seek the following procedures in IECEX 01-S – Clause 15.

Appeals concerning decisions taken by an ExCB shall be first addressed in accordance with the appeal procedures of that ExCB.

Where the appellant is not satisfied with the outcome of the appeal process of the ExCB or for disputes regarding a decision of the ExMC, the IECEX Executive and Chairman shall attempt to resolve the issue, however if this is not possible then a formal appeal may be lodged in accordance with IEC CA 01 – Annex B.

Appeals concerning decisions taken by the ExMC shall be referred to the IECEX Executive for mediation and a proposed outcome for both ExMC and the appellant to consider. Where the appellant is not satisfied with the outcome then a formal appeal may be lodged in accordance with IEC CA 01 – Annex B. IEC CA01 document can be downloaded from IECEX website.

7 Records

TSI administrator shall securely maintain records of all complaints and appeals and their outcomes; and identifies potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.

8 Confidentiality

All complaints-handling process shall be subject to the requirement for confidentiality.

All complaints will be kept confidential as far as practicable subject to the constraints of the various Acts that relate to local government.

All information provided by a complainant is to be treated as confidential. Care must be taken not to pass on any information to other persons who are not involved in the matter. Complainants may need reassurance that information provided will be treated confidentially.

All complaints/allegations will be treated as confidential and will ensure that the principles of “natural justice” and “procedural fairness” are followed at all times.

9 Substantiated Complaint

TSI Review Group is responsible to investigate substantiated complaint about a person certified by TSI. Any substantiated complaint about a certified person shall be referred by TSI to the certified person in question within 10 days after receiving a complaint. The following procedure shall apply.

Step 1	TSI receives a complaint about a certified person by TSI
Step 2	TSI Review Group shall immediately organize a meeting to discuss and investigate the matter and assess the level of risk following Document 6 section 6
Step 3	Based on the risk assessment result, TSI Review Group make a decision on how to approach matter
Step 4	Start communicating with the certified person and make corrective actions to mitigate the risk.
Step 5	Review Group make a decision on the outcome. The outcome may be, but not limited to the followings: <ul style="list-style-type: none"> temporary suspension of the certification till the matter is addressed to the complainant's satisfaction cancellation of the certification if the level of risk cannot be reduced
Step 6	Inform the outcome to the party who made the complaint

10 Resolution

TSI Review Group will deal with any complaints or candidates' appeals in an effective and timely manner, typically resolving all complaints within 30 days.

- Each complaint or appeal and its outcomes will be recorded in writing.
- TSI will act upon any substantiated complaints or appeals.

TSI Review Group is responsible for managing the resolution of the complaints and appeals.

Where more than 30 calendar days are required to process and finalise the complaint or appeal, CEO:

- will inform the complainant or appellant in writing, including reasons why more than 30 calendar days are required, and
- Regularly updates the complainant or appellant on the progress of the matter.

Detailed Procedures for Candidates and Tools Used		
Complaint		
Initial Complaint	When a staff member is approached by a candidate about a complaint they should in the first instance attempt to resolve the issue themselves.	Tools & Templates Email
Output	Complaint resolved without intervention	
Responsibility	Who is responsible – the staff approached, e.g. the examiner/auditor	

<p>Receiving a Formal Complaint</p>	<p>If the above complaint cannot be resolved, the formal complaint may occur. The Certification Officer will provide related personnel with a copy of the Complaints Form and if required assist them to complete it.</p> <p>All complaints should be brought to the attention of the TSI Review Group on the day the complaint is made.</p> <p>TSI Review Group should respond in writing, proposing a solution or stating their current position on the relevant matter.</p> <p>Each complaint and its outcomes will be recorded in writing on the TSI Complaints & Appeals Register.</p>	<p>Tools & Templates TSI Template – Complaint Form TSI Complaints & Appeals Register</p>
<p>Output</p>	<p>Written Record of a complaint acknowledged.</p>	<p>Email</p>
<p>Resolution</p>	<p>TSI Review Group shall investigate the complaint and make a decision on the complaint</p> <p>The review, approval and decision of the complaint shall only be made by personnel who is not involved in the subject of the complaint.</p>	
<p>Outcome</p>	<p>Inform the complaint outcome to the candidate</p>	<p>Email</p>
<p>Appeal</p>		
<p>Assessment/Audit Appeals</p>	<p>Appeals against TSI decisions including, assessment outcome and certification decision, are to be submitted in writing on Appeals Form</p> <p>Is given a written statement of the appeals outcomes, including reasons for the decision.</p> <p>Each appeal and its outcomes will be recorded in writing on the TSI Complaints & Appeals Register.</p>	<p>Tools & Templates TSI Template – Appeal Form TSI Appeals & Complaints Register</p>
<p>Output</p>	<p>Written Response, e.g. email</p>	
<p>Responsibility</p>	<p>The TSI Review Group is responsible for managing the resolution of the appeal and will be able to supply and assist with the appeal form.</p>	
<p>Outcome 1: Appeal Successful</p>	<p>If an appeal is successful, TSI will correct the decision made for certification in a timely manner.</p> <p>The decision for candidates’ appeal shall only be made by personnel who is not involved in the subject of the matter.</p>	<p>Tools & Templates Re-assessment Questions</p>
<p>Output</p>	<p>Correct the wrong decision</p>	
<p>Outcome 2: Appeal not Successful</p>	<p>If the appeal is not successful and the candidate is not satisfied with the resolution of the appeal, the candidate</p>	

	may exercise the rights to seek resolution through IECEX. In this case, the candidate applies to the IECEX CA 01.	
Review		
Review	<p>All complaints and appeals are reviewed at the monthly management meeting and if appropriate will result in a continuous improvements action.</p> <p>TSI is to identify potential causes of complaints and appeals and takes appropriate corrective action to eliminate or mitigate the likelihood of reoccurrence.</p> <p>The review for candidates/service facility appeal shall only be made by personnel who is not involved in the subject of the matter.</p>	
Output	Continuous Improvement Action	
Effectiveness	The effectiveness of this Policies and Procedures will be measured by the number of appeals and complaint resolved.	