Receive and resolve customer complaints

D1.HRS.CL1.15

Assessor Manual

Australian Aid
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William Angliss Institute
Specialist centre for foods, tourism & hospitality

Receive and resolve customer complaints

D1.HRS.CL1.15

Assessor Manual

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The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967. The Member States of the Association are Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand and Viet Nam.

The ASEAN Secretariat is based in Jakarta, Indonesia.

General Information on ASEAN appears online at the ASEAN Website: www.asean.org.

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Competency Based Assessment (CBA) – An introduction for assessors

Assessment is the process of identifying a participant's current knowledge, skills and attitudes sets against all elements of competency within a unit of competency.

Suggested assessment methods

For each unit of competency a number of assessment tools have been identified including:

- Work Projects
- Oral Questions
- Written Questions
- Third Party Statements
- Observation Checklists.

Instructions and Evidence Recording Sheets have been identified in this Assessment Manual for use by Assessors.

Alternative assessment methods

Whilst the above mentioned assessment methods are suggested assessment methods, the assessor may use an alternate method of assessment taking into account:

a) The nature of the unit
b) The strengths of participants
c) The number of participants in the class
d) Time required to complete assessments
e) Time dedicated to assessment
f) Equipment and resources required.

Alternate assessment methods include:

- Practical demonstrations
- Practical demonstrations in simulated work conditions
- Problem solving
- Portfolios of evidence
- Critical incident reports
- Journals
- Oral presentations
- Interviews
- Videos
- Visuals/slides/audiotapes
- Log books

- Projects and Role plays
- Group projects
- Recognition of Prior Learning.

Whilst there is no specific instruction or evidence collection documents for all the alternative assessment methods, assessors can record competency in the ‘Other’ section within the ‘Competency Recording Sheet’.

Selection of assessment methods

Each assessor will determine the combination of Assessment Methods to be used to determine Competency for each Competency Unit on a student by student basis.

‘Sufficient’ evidence to support the ‘Pass Competent’/’Not Yet Competent’ decision must be captured.

In practice this means a minimum of 2 – 3 Assessment Methods for each candidate for each Competency Element is suggested.

At least one method should provide evidence of practical demonstration of competence.

The following assessment methods deemed to provide evidence of practical demonstration of competence include:

- Practical Work Projects
- Third Party Statement
- Observation Checklist.

Assessing competency

Competency based assessment does not award grades, but simply identifies if the participant has the knowledge, skills and attitudes to undertake the required task to the specified standard.

Therefore, when assessing competency, an assessor has two possible results that can be awarded:

- ‘Pass Competent’ (PC)
- ‘Not Yet Competent’ (NYC).

Pass Competent (PC)

If the participant is able to successfully answer or demonstrate what is required, to the expected standards of the performance criteria, they will be deemed as ‘Pass Competent’ (PC).

The assessor will award a ‘Pass Competent’ (PC) if they feel the participant has the necessary knowledge, skills and attitudes in all assessment tasks for a unit.

Not Yet Competent' (NYC)

If the participant is unable to answer or demonstrate competency to the desired standard, they will be deemed to be 'Not Yet Competent' (NYC).

This does not mean the participant will need to complete all the assessment tasks again. The focus will be on the specific assessment tasks that were not performed to the expected standards.

The participant may be required to:

a) Undertake further training or instruction

b) Undertake the assessment task again until they are deemed to be 'Pass Competent'.

Regional Qualifications Framework and Skills Recognition System

The 'Regional Qualifications Framework and Skills Recognition System', also known as the 'RQFSRS' is the overriding educational framework for the ASEAN region.

The purpose of this framework is to provide:

- A standardised teaching and assessment framework
- Mutual recognition of participant achievement across the ASEAN region. This includes achievement in individual Units of Competency or qualifications as a whole.

The role of the 'RQFSRS' is to provide, ensure and maintain 'quality assurance' across all countries and educational providers across the ASEAN region.

Recognition of Prior Learning (RPL)

Recognition of Prior Learning is the process that gives current industry professionals who do not have a formal qualification, the opportunity to benchmark their extensive skills and experience against the standards set out in each unit of competency/subject.

This process is a learning and assessment pathway which encompasses:

- Recognition of Current Competencies (RCC)
- Skills auditing
- Gap analysis and training
- Credit transfer.

Code of practice for assessors

This Code of Practice provides:

- Assessors with direction on the standard of practice expected of them
- Candidates with assurance of the standards of practice expected of assessors
- Employers with assurance of the standards maintained in the conduct of assessment.

The Code detailed below is based on the International Code of Ethics and Practice (The National Council for Measurement in Education [NCME]):

- The differing needs and requirements of the person being assessed, the local enterprise and/or industry are identified and handled with sensitivity
- Potential forms of conflict of interest in the assessment process and/or outcomes are identified and appropriate referrals are made, if necessary

- All forms of harassment are avoided throughout the planning, conducting, reviewing and reporting of the assessment outcomes
- The rights of the candidate are protected during and after the assessment
- Personal and interpersonal factors that are not relevant to the assessment of competency must not influence the assessment outcomes
- The candidate is made aware of rights and process of appeal
- Evidence that is gathered during the assessment is verified for validity, reliability, authenticity, sufficiency and currency
- Assessment decisions are based on available evidence that can be produced and verified by another assessor
- Assessments are conducted within the boundaries of the assessment system policies and procedures
- Formal agreement is obtained from both the candidate and the assessor that the assessment was carried out in accordance with agreed procedures
- The candidate is informed of all assessment reporting processes prior to the assessment
- The candidate is informed of all known potential consequences of decisions arising from an assessment, prior to the assessment
- Confidentiality is maintained regarding assessment results
- The assessment results are used consistently with the purposes explained to the candidate
- Opportunities are created for technical assistance in planning, conducting and reviewing assessment procedures and outcomes.

Instructions and checklist for assessors

Instructions

General instructions for the assessment:

- Assessment should be conducted at a scheduled time that has been notified to the candidate
- Facilitators must ensure participants are made aware of the need to complete assessments and attend assessment sessions
- If a participant is unable to attend a scheduled session, they must make arrangements with the Assessor to undertake the assessment at an alternative time
- At the end of the assessment the Assessor must give feedback and advise the participant on their PC/NYC status
- Complete the relevant documentation and submit to the appropriate department.

Preparation

- Gain familiarity with the Unit of Competency, Elements of Competency and the Performance Criteria expected
- Study details assessment documentation and requirements
- Brief candidate regarding all assessment criteria and requirements.

Briefing checklist

- Begin the assessment by implementing the following checklist and then invite the candidate to proceed with assessment.

Checklist for Assessors

	Tick (✓)	Remarks
Prior to the assessment I have:		
Ensured the candidate is informed about the venue and schedule of assessment.		
Received current copies of the performance criteria to be assessed, assessment plan, evidence gathering plan, assessment checklist, appeal form and the company's standard operating procedures (SOP).		
Reviewed the performance criteria and evidence plan to ensure I clearly understood the instructions and the requirements of the assessment process.		
Identified and accommodated any special needs of the candidate.		
Checked the set-up and resources for the assessment.		
During the assessment I have:		
Introduced myself and confirmed identities of candidates.		
Put candidates at ease by being friendly and helpful.		
Explained to candidates the purpose, context and benefits of the assessment.		
Ensured candidates understood the assessment process and all attendant procedures.		
Provided candidates with an overview of performance criteria to be assessed.		
Explained the results reporting procedure.		
Encouraged candidates to seek clarifications if in doubt.		
Asked candidates for feedback on the assessment.		
Explained legal, safety and ethical issues, if applicable.		

	Tick (✓)	Remarks
After the assessment I have:		
Ensured candidate is given constructive feedback.		
Completed and signed the assessment record.		
Thanked candidate for participating in the assessment.		

Instructions for recording competency

Specifications for recording competency

The following specifications apply to the preparation of Evidence Gathering Plans:

- A Competency Recording Sheet must be prepared for each candidate to ensure and demonstrate all Performance Criteria and Competency Elements are appropriately assessed. This Sheet indicates how the Assessor will gather evidence during their assessment of each candidate
- This Competency Recording Sheet is located at the end of the Assessment Plan
- It is the overriding document to record competency
- The Assessor may vary the Competency Recording Sheet to accommodate practical and individual candidate and/or workplace needs
- Assessor must place a tick (✓) in the 'Assessment Method' columns to identify the methods of assessment to be used for each candidate
- Multiple Competency Elements/Performance Criteria may be assessed at the one time, where appropriate
- The assessor and participant should sign and date the Competency Recording Sheet, when all forms of evidence and assessment have been completed
- The assessor may provide and feedback or clarify questions which the participant may have in regards to the assessment grade or findings
- All documents used to capture evidence must be retained, and attached to the Competency Recording Sheet for each candidate for each Competency Unit.

Instructions for different assessment methods

Specifications for work project assessment

These guidelines concern the use of work projects.

The work projects identified in the Training Manuals involve a range of tasks, to be performed at the discretion of the Assessor.

Work project tasks can be completed through any form of assessment as identified in the Trainer and Trainee Manuals and stated at the start of this section.

Assessors should follow these guidelines:

- Review the Work Projects at the end of each 'Element of Competency' in the Trainee Manual to ensure you understand the content and what is expected

- Prepare sufficient resources for the completion of work activities including:
  - Time – whether in scheduled delivery hours or suggested time participants to spend outside of class hours
  - Resources – this may involve technical equipment, computer, internet access, stationery and other supplementary materials and documents
- Prepare assessment location (if done in class) making it conducive to assessment
- Explain Work Projects assessment to candidate, at the start of each Element of Competency. This ensures that participants are aware of what is expected and can collate information as delivery takes place
- Assessors can use the following phrase as a guide (where an 'X' is identified, please input appropriate information):

  "At the end of each Element of Competency there are Work Projects which must be completed. These projects require different tasks that must be completed.

  These work projects are part of the formal assessment for the unit of competency titled X:

  - You are required to complete these activities:

    a) *Using the 'X' method of assessment*

    b) *At 'X' location*

    c) *You will have 'X time period' for this assessment*
  - You are required to compile information in a format that you feel is appropriate to the assessment
  - Do you have any questions about this assessment?"
- Commence Work Project assessment:
  - The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
  - Participants complete work projects in the most appropriate format
  - Participants must submit Work Project evidence to the assessor before the scheduled due date
- Assessor must assess the participant's evidence against the competency standards specified in each Element of Competency and their own understanding. The assessor can determine if the participant has provided evidence to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Oral Question Assessment

These guidelines concern the use of oral questioning.

Assessors should follow these guidelines.

- Prepare Assessment Record for Oral Questioning. One record for each candidate:
  - Enter Student name

  - Enter Assessor name
  - Enter Location
- Familiarise self with Questions to be asked
- Prepare assessment location (table and chairs) making it conducive to assessment
- Explain Oral Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):

  "These oral questions are part of the formal assessment for the unit of competency titled X.

  There are X questions and you are required to answer all of them to the best of your ability and I will record whether or not you have answered correctly.

  We have 60 minutes for this assessment.

  - I will give you feedback at the end of the assessment
  - Do you have any questions about this assessment?"
- Commence Oral Questioning assessment:
  - Complete Assessment Record for the Oral Questioning by:

    a) Ticking PC or NYC, as appropriate

    b) Entering 'Remarks' as required

    c) Completing Oral Questioning within 60 minutes
- Complete Oral Questioning and provide feedback to candidate
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Written Question Assessment

These guidelines concern the use of written questioning.

Assessors should follow these guidelines:

- Familiarise self with Questions and Answers provided
- Print and distribute copies of 'Written Questions' for participants. Ideally this should take place with adequate time for participants to answer all questions before the expected due date
- Explain Written Questioning assessment to candidate, using the following phrase as a guide (where a 'X' is identified, please input appropriate information):

  "These written questions are part of the formal assessment for the unit of competency titled X.

  There are X questions and you are required to answer all of them to the best of your ability.

  You may refer to your subject materials, however where possible try to utilise your existing knowledge when answering questions.

  Where you are unsure of questions, please ask the Assessor for further instruction. This may be answering the question orally or asking the assessor to redefine the question.

We have X time for this assessment:

- The due date for completion of this assessment is X
- On this date you must forward the completed questions to the assessor by X time on the date of X
- Do you have any questions about this assessment?"

- The assessor may give time for participants to review the questions at this time to ensure they understand the nature of the questions. The assessor may need to clarify questions
- Participants may record written answers (where possible)
- Participants must submit the written answers to the assessor before the scheduled due date
- Assessor must assess the participant's written answers against the model answers provided as a guide, or their own understanding. The assessor can determine if the participant has answered the questions to a 'competent' standard
- Transcribe results/details to Competency Recording Sheet
- Forward/file assessment record.

Specifications for Observation Checklist

These specifications apply to the use of the Observation Checklist in determining competency for candidates.

Only an approved assessor is authorised to complete the Observation Checklist.

The assessor is required to observe the participant, ideally in a simulated environment or their practical workplace setting and record their performance (or otherwise) of the competencies listed on the Observation Checklist for the Competency Unit.

To complete the Observation Checklist the Assessor must:

- Insert name of candidate
- Insert assessor name
- Insert identify of location where observations are being undertaken
- Insert date/s of observations – may be single date or multiple dates
- Place a tick in either the 'Yes' or 'No' box for each listed Performance Criteria to indicate the candidate has demonstrated/not demonstrated that skill
- Provide written (and verbal) feedback to candidate – as/if appropriate
- Sign and date the form
- Present form to candidate for them to sign and date
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Observation Checklist.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the participant.

Specifications for Third Party Statement

These specifications relate to the use of a relevant workplace person to assist in determining competency for candidates.

The Third Party Statement is to be supplied by the assessor to a person in the workplace who supervises and/or works closely with the participant.

This may be their Supervisor, the venue manager, the Department Manager or similar.

The Third Party Statement asks the Supervisor to record what they believe to be the competencies of the participant based on their workplace experience of the participant. This experience may be gained through observation of their workplace performance, feedback from others, inspection of candidate's work etc.

A meeting must take place between the Assessor and the Third Party to explain and demonstrate the use of the Third Party Statement.

To complete the Third Party Verification Statement the Assessor must:

- Insert candidate name
- Insert name and contact details of the Third Party
- Tick the box to indicate the relationship of the Third Party to the candidate
- Present the partially completed form to the Third Party for them to finalise
- Collect the completed form from the Third Party
- Transcribe results/details to Competency Recording Sheet for candidate
- Forward/file Third Party Statement.

The Third Party must:

- Record their belief regarding candidate ability/competency as either:
  - Pass Competent = Yes
  - Not Yet Competent = No
  - Unsure about whether candidate is competent or not = Not Sure
- Meet briefly with the assessor to discuss and/or clarify the form.

This source of evidence combines with other forms of assessment to assist in determining the 'Pass Competent' or 'Not Yet Competent' decision for the candidate.

A separate Third Party Statement is required for each Competency Unit undertaken by the candidate.

Competency Standard

<table>
<tr><td colspan="2">UNIT TITLE: RECEIVE AND RESOLVE CUSTOMER COMPLAINTS</td><td>NOMINAL HOURS: 25</td></tr>
<tr><td colspan="3">UNIT NUMBER: D1.HRS.CL1.15</td></tr>
<tr><td colspan="3">UNIT DESCRIPTOR: This unit deals with the skills and knowledge required to receive and resolve customer complaints in a range of settings within the in the hotel industry workplace context</td></tr>
<tr><td>ELEMENTS AND PERFORMANCE CRITERIA</td><td colspan="2">UNIT VARIABLE AND ASSESSMENT GUIDE</td></tr>
<tr><td>Element 1: Identify and analyse the complaint
1.1 Receive and accurately record a verbal complaint using active listening and empathy techniques
1.2 Identify through appropriate communication techniques the exact nature of the customer complaint
1.3 Maintain register or complaint file/s in accordance with the requirements of the enterprise information system
Element 2: Respond to complaints
2.1 Process complaints in accordance with organisational standards, policies and procedures
2.2 Obtain and review documentation in relation to complaints
2.3 Update register of complaints/disputes</td><td colspan="2">Unit Variables
The Unit Variables provide advice to interpret the scope and context of this unit of competence, allowing for differences between enterprises and workplaces. It relates to the unit as a whole and facilitates holistic assessment
This unit applies to complaints received by the food production and food and beverage outlets within the labour divisions of the hotel and travel industries and may include:
1. Food Production
2. Food and Beverage Service
Complaint may be related to:
• Any expression of dissatisfaction with food and beverage products or food service by a customer
and will include:
• Written complaints, e.g. Letter, email, complaint and/or feedback form
• Verbal, face-to-face, complaints
• Verbal complaints over the telephone.</td></tr>
</table>

Element 3: Determine and agree upon appropriate action to resolve complaint **3.1** Identify and review *options* to resolve the complaint within enterprise policy, procedures and guidelines **3.2** Agree and confirm action to resolve the complaint with the customer **3.3** Demonstrate a commitment to the customer to resolve the complaint **3.4** *Inform customer of outcome* of investigation of complaint **Element 4: Refer complaints** **4.1** Identify complaints that require referral to other personnel or external bodies **4.2** Refer complaint to appropriate personnel for follow-up in accordance with individual level of responsibility **4.3** Forward all necessary documentation including investigation reports to appropriate personnel **4.4** Refer complaints which cannot be resolved to an *appropriate person*	*Appropriate communication techniques* may be related to: • The use of active listening • The use of both open and closed questions • Speaking clearly and concisely • Using appropriate language and tone of voice • Giving customers full attention • Maintaining eye contact in face-to face interactions • Appropriate non-verbal communication in face-to-face interactions, e.g. Body language, attention and personal presentation. and should include: • Conflict resolution techniques • Anger management techniques • Observation of personal safety. *Organisational standards, policies and procedures* may include: • Complaints procedures • Organisational standard report forms • Job descriptions • Code of ethics • Quality systems, standards and guidelines • Insurance/liabilities policies. *Documentation* may include: • Letters of complaint

	• Customer feedback forms outlining complaints, such as paper-based customer satisfaction questionnaires, internet-based customer satisfaction questionnaires • Complaint emails. *Options* may include: • Options that satisfy the customer • Options that partially satisfy the customer • Options that do not satisfy the customer. and should include: • Options that reflect enterprise policy, procedures and guidelines. *Inform customer of outcome* may include: • Providing documentation and/or evidence that supports customer complaint • Providing documentation and/or evidence that does not support customer complaint. and should include: • Information (verbal or written) that directly relates to the complaint being investigated • Information (verbal or written) that is presented in a calm and accurate manner. *Appropriate person* may include: • Immediate superior within the organisational hierarchy • Specialist customer service staff • External bodies. **Assessment Guide** The following skills and knowledge must be assessed as part of this unit: • Ability to apply the principles of effective communication skills

	• Ability to use active listening, anger management techniques and conflict resolution techniques to resolve customer complaints • Ability to identify the need(s) and concerns of a customer • Ability to process a complaint in accordance with the enterprise's policies and procedures in regard to receiving and resolving customer complaints • Ability to recommend appropriate action arising from a complaint • Ability to communicate effectively with all relevant people throughout the complaint resolution process • Ability to respond appropriately to both face-to-face and written complaints • Ability to maintain all necessary workplace records and documentation. **Linkages To Other Units** • Communicate on the telephone • Manage and resolve conflict situations. **Critical Aspects of Assessment** Evidence of the following is essential: • Demonstrated ability to apply anger management techniques • Demonstrated ability to apply conflict resolution techniques • Demonstrated ability to use effective communication skills to accurately determine the nature of complaints • Demonstrated ability to obtain written and verbal information relevant to the complaint • Demonstrated ability to working with enterprise policies and procedures to resolve customer complaints • Demonstrated ability to initiate escalation procedures at an appropriate time within the complaint resolution process • Demonstrated ability to maintain effective communication lines with customers, other personnel and management in order to resolve customer complaints quickly.

	Context of Assessment This unit may be assessed on or off the job: • Assessment should include practical demonstration of complaint resolution processes either in the workplace or through a simulation activity, supported by a range of methods to assess underpinning knowledge • Assessment must relate to the individual's work area or area of responsibility. **Resource Implications** Training and assessment to include access to a real or simulated workplace; and access to workplace customer service standards, procedures, policies, guidelines, tools and equipment and in particular those procedures, policies and guidelines that guide effective complaint resolution. **Assessment Methods** The following methods may be used to assess competency for this unit: • Case studies • Observation of practical candidate performance • Oral and written questions • Portfolio evidence • Problem solving • Role plays • Third party reports completed by a supervisor • Project and assignment work.

	Key Competencies in this Unit *Level 1 = competence to undertake tasks effectively* *Level 2 = competence to manage tasks* *Level 3 = competence to use concepts for evaluating*		
	Key Competencies	**Level**	**Examples**
	Collecting, organising and analysing information	2	Collect documentation and/or evidence that supports customer complaint; collect documentation and/or evidence that does not support customer complaint
	Communicating ideas and information	2	Use positive communication to encourage speedy resolution to customer complaints
	Planning and organising activities	2	Identify the most appropriate way to deal with a customer complaint
	Working with others and in teams	2	Negotiate options with customers
	Using mathematical ideas and techniques	-	
	Solving problems	3	Apply conflict resolution and communication skills to resolve customer complaints
	Using technology	-	

Oral Questions

Student name	
Assessor name	
Location/venue	
Unit of competency	Receive and resolve customer complaints D1.HRS.CL1.15
Instructions	1. Ask student questions from the attached list to confirm knowledge, as necessary 2. Place tick in boxes to reflect student achievement (Pass Competent 'PC' or Not Yet Competent 'NYC') 3. Write short-form student answer in the space provided for each question.

Questions	**Response**	
	PC	**NYC**
1. Describe the interpersonal and communication skills you use when receiving a customer complaint explaining why these are necessary.	❑	❑
2. What techniques do you use to determine the exact reason for a customer complaint?	❑	❑

Questions	Response	
	PC	NYC
3. What information should be contained in an internal complaint file or register?	❑	❑
4. What organisational standards, policies or procedures apply in your workplace to the processing and resolution of customer complaints?	❑	❑
5. A customer has made a complaint about one aspect of their account, either in relation to food, drink or accommodation. Select one type of account and identify the support documentation you might refer to in order to address and resolve this complaint.	❑	❑

Questions	Response	
	PC	NYC
6. Give me an example of the information you would enter into a complaint register to reflect a customer complaint or dispute.	❑	❑
7. What enterprise policies, procedures or guidelines apply at your workplace regarding the resolution of customer complaints?	❑	❑
8. Why is it important to gain agreement from the customer regarding a proposed solution for their complaint before the resolution is implemented?	❑	❑

Questions	Response	
	PC	NYC
9. How do you demonstrate your commitment to the customer when seeking to resolve a customer complaint?	❑	❑
10. Why is it important to inform customers about the outcome of an investigation into their complaint?	❑	❑
11. Explain the types of complaints you would refer to another person within the workplace.	❑	❑

Questions	Response	
	PC	NYC
12. Explain how you might refer a complaint to another person. Provide an example of what you would say and do.	❑	❑
13. Why is it important to forward relevant documentation when referring a complaint to another person?	❑	❑
14. Who within your workplace would you refer a customer complaint to if you were unable to resolve it?	❑	❑

Written Questions

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Student Name: ____

Answer all the following questions and submit to your Trainer.

1. Why should complaints be seen as a positive thing?

____
____
____
____
____
____

2. What are common types of complaints in the hospitality industry?

____
____
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3. When listening to a customer explain a complaint what are you trying to understand?

____
____
____
____
____
____

4. Why is asking questions important when handling customer complaints?

5. When recording details of a complaint, what information would you obtain?

6. What are the benefits of having written documentation when recording complaints?

7. What is a 'Code of Ethics' and what will it aim to achieve in relation to the handling of customer complaints?

8. What is a 'Scope of authority' and what does it detail?

9. Problems leading to complaints normally come from one of three areas. What are these areas?

10. What are different types of evidence that can be collected to help understand a complaint?

11. Why is it important to have updated information in a complaint file/folio?

12. What information is normally included in a file in relation to a complaint?

13. What is the aim when trying to find a suitable resolution to a complaint?

14. What factors need to be taken into consideration when considering possible solutions to a complaint?

15. Why is there a need to gain agreement concerning the solution?

16. What information should be documented when defining an agreed solution to a complaint?

17. In many cases, the manager may not implement the solution themselves. What responsibilities will they have when getting others to implement a solution?

18. Why is it important to keep the customer informed of the progress of a solution being implemented?

19. Why is it important to follow up with the customer after the solution has been implemented?

20. What are common problems that lead to complaints?

21. What are common types of complaints that are usually referred to others?

22. What is important to remember when you understand a complaint needs to be referred to another person?

23. Which internal people would you refer complaints to?

24. Which external people would you refer complaints to?

25. When referring a complaint to another person what are the benefits of conducting a personal handover with them?

26. When you refer a complaint to another person, does this mean you should not follow up the progress of the complaint resolution?

27. What are two examples of an ‘escalated complaint’?

28. Should all customer complaints be taken seriously?

Answers to Written Questions

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The following are model answers only – Trainers/Assessors must use discretion when determining whether or not an answer provided by a Student is acceptable or not.

1. Why should complaints be seen as a positive thing?

It is important to remember that any complaint really is an opportunity to rectify a problem, or make a long-lasting customer, provided they are dealt with quickly, properly and fully.

It enables an establishment to make amends for a problem to the satisfaction of the customer.

2. What are common types of complaints in the hospitality industry?

- Rude staff and management
- Difficult or demanding customers
- Lack of service or poor service
- Expectations not being met
- Dissatisfaction with the accommodation
- Services are poor
- Unhygienic conditions
- Low comfort levels
- Rowdy and unacceptable behaviour displayed by other customers
- A mistake with an account
- Error in the reservation or booking not found
- Special requests not being adhered to
- Limited or no rooms/tables available
- Requirement to guarantee a reservation
- Inflexibility of methods of payment
- Hidden charges
- Ejection from the premises.

3. When listening to a customer explain a complaint what are you trying to understand?

At this time the most important thing to do is to listen so you can:

- Identify the main points of the complaint
- Separate the actual aspects of the complaint from the emotion.

4. Why is asking questions important when handling customer complaints?

Asking questions enables you to:

- Acquire more accurate information
- Identify what the other person wants in order to solve the complaint
- Demonstrate you are actively and genuinely interested in resolving the complaint
- Clarify ambiguities
- Better understand contexts.

5. When recording details of a complaint, what information would you obtain?

- Names of those involved
- Details of times, dates, figures, amounts
- Identification of exact service or products that failed to live up to promises or expectations, including how they failed to deliver on quality or expectations
- The factual details, as far as can be determined, as to what was done or said and by whom
- Actions or inactions taken (or not taken) by staff or other people.

6. What are the benefits of having written documentation when recording complaints?

There are many benefits to having written documentation in relation to complaints including:

- Establishes a clear record of facts relating to a complaint
- Identifies any communication or action taken place to date
- Keeps facts of a complaint accurate and impartial
- Is helpful for additional internal and external parties who may later become involved in the complaint resolution process
- Can be used as a reference for similar complaints in the future
- Acts as an evidence source if additional costs are incurred
- Acts as a tool to identify common problems which are to be investigated.

7. What is a 'Code of Ethics' and what will it aim to achieve in relation to the handling of customer complaints?

A code of ethics, also referred to as a code of conduct, outlines how it will handle various issues including customer complaints.

The code of ethics in relation to customer complaints may focus on ensuring:

- Complaints can be submitted easily
- All complaints are taken seriously
- Timely responses are given in a prompt and polite manner

- All action will be communicated in a timely manner
- Complaints will be investigated and where possible, learnt from
- All complaints will remain confidential or to protect the privacy of parties.

8. What is a 'Scope of authority' and what does it detail?

All staff are under a legal obligation to only act within their specifically assigned scope of authority.

All staff and management are given guidelines as to what action they can take in the workplace without having to get special permission from higher management.

This is referred to as their 'scope of authority'.

The scope of authority may relate to:

- Their ability to act on behalf of the venue
- Their authority to spend money on behalf of the venue
- Their authority to act in given situations.

9. Problems leading to complaints normally come from one of three areas. What are these areas?

- Employee problems
- Employer problems
- Customer problems.

10. What are different types of evidence that can be collected to help understand a complaint?

- Invoices
- Discussions with staff
- Discussions with other customers
- Reviewing of surveillance equipment
- Cashiering discrepancy reports
- Observations
- Findings from external investigations.

11. Why is it important to have updated information in a complaint file/folio?

By having an updated and accurate file or folio that contains all the relevant information in relation to a customer complaint, appropriate parties, whether internal or external organisations, can have access to accurate information.

12. What information is normally included in a file in relation to a complaint?

- Details of the person making the complaint
- Details of the complaint
- Chronological order of events

- Summary of discussions or activities taken
- Record of persons involved
- Evidence collected
- Recommendations.

13. What is the aim when trying to find a suitable resolution to a complaint?

Your aim must be to find a resolution that is:

- Quick, easy and practical to implement
- Satisfies those involved
- Meets the limitations imposed on you by the law and organisational requirements
- Frequently the best solution for the customer is not the best option for the venue and vice versa.

14. What factors need to be taken into consideration when considering possible solutions to a complaint?

When proposing possible solutions there are a number of things to take into consideration. These include:

- What the customer wants
- Taking into account all points of view
- Organisational policies
- Pre-programmed decisions
- None programmed decisions.

15. Why is there a need to gain agreement concerning the solution?

- Implementation of that solution will bring an end to the problem
- Both parties involved need to understand that any further action on the issue will be discussed
- If this agreement cannot be obtained, implementation of a solution should be postponed until such agreement is forthcoming.

16. What information should be documented when defining an agreed solution to a complaint?

- Actions or activities to take place
- Who is responsible for ensuring action takes place
- Who will undertake action
- Timelines
- Agreed standard of actions.

17. In many cases, the manager may not implement the solution themselves. What responsibilities will they have when getting others to implement a solution?

- Explains the complaint to the correct individual
- Ensures it is being completed within the specified time frame
- Keeps the customer informed of the progress of the resolution
- Ensures the complaint has been resolved in accordance with the agreement and to the customer's satisfaction.

18. Why is it important to keep the customer informed of the progress of a solution being implemented?

- It is essential that the manager or the person responsible for undertaking agreed actions to resolve the complaint, keeps the customer informed of the progress towards the desired outcomes
- This also helps to show that the organisation's commitment and focus has not faltered.

19. Why is it important to follow up with the customer after the solution has been implemented?

- To show you care
- To ensure the solution has been carried out to their satisfaction.

20. What are common problems that lead to complaints?

- Human error
- Cultural or language misunderstanding
- Communication error
- Problem with machinery
- Simple procedural error
- Uncontrollable event
- Something out of the control of the organization, like a power cut or internet was slow.

21. What are common types of complaints that are usually referred to others?

- Those of a serious nature – such as death, assault, theft etc.
- Where specialist skills, knowledge and equipment is needed to determine evidence such as financial statements and records from banks or security surveillance equipment
- Where criminal activity has taken place
- Where scope of authority is exceeded.

22. What is important to remember when you understand a complaint needs to be referred to another person?

- A key to referring complaints is to do it quickly.

23. Which internal people would you refer your complaints to?

- A co-worker who has more experience than you
- Higher manager
- Security.

24. Which external people would you refer your complaints to?

- Police – in the event of any activity that is breaking the law or likely to increase the risk of harm to all patrons and staff
- Fire – if there appears to be a likelihood of fire
- Ambulance – in the event a person requires medical assistance.

25. When referring a complaint to another person what are the benefits of conducting a personal handover with them?

- Background information can be summarised
- Key points can be highlighted
- A firsthand account of activities can be explained, including reasoning for specific actions
- Sensitive or confidential information can be identified and explained
- Any queries can be clarified
- Any further information or questions that others may have can be answered.

26. When you refer a complaint to another person, does this mean you should not follow up the progress of the complaint resolution?

You should still take an interest in the resolution process.

27. What are two examples of an 'escalated complaint'?

An escalated complaint may be seen as one where one or more of the following applies:

- The organisational policies specifically call for the complaint to be handled by management or some other nominated person
- Every genuine effort on your part to resolve the issue has been unsuccessful
- A situation where the customer is becoming agitated and you believe there is a chance the situation could further deteriorate into a physical confrontation
- A situation where the customer is swearing, making threats or drawing substantial attention from other customers or members of the public
- The customer is alleging impropriety, dishonesty or other fraudulent activity on behalf of a staff member

- A situation where the customer states they intend taking legal action in relation to the complaint
- A situation where the customer mentions they intend referring the complaint to the authorities including government agencies such as liquor licensing, health, gaming, other agencies
- A situation where the customer mentions they intend taking the issue to the media.

28. Should all customer complaints be taken seriously?

Yes.

Observation Checklist

Student name	
Assessor name	
Location/venue	
Unit of competency	Receive and resolve customer complaints D1.HRS.CL1.15
Dates of observation	
Instructions	1. Over a period of time observe the student completing each of the following tasks: a) Identify and analyse the complaint b) Respond to complaints c) Determine and agree upon appropriate action to resolve complaint d) Refer complaints 2. Enter the date on which the tasks were undertaken 3. Place a tick in the box to show they completed each aspect of the task to the standard expected in the enterprise 4. Complete the feedback sections of the form, if required.

Did the candidate	**Yes**	**No**
Element 1: Identify and analyse the complaint		
Receive and accurately record a verbal complaint using active listening and empathy techniques	❑	❑
Identify through appropriate communication techniques the exact nature of the customer complaint	❑	❑
Maintain register or complaint file/s in accordance with the requirements of the enterprise information system	❑	❑
Element 2: Respond to complaints		
Process complaints in accordance with organisational standards, policies and procedures	❑	❑
Obtain and review documentation in relation to complaints	❑	❑
Maintain register of complaints/disputes	❑	❑

Element 3: Determine and agree upon appropriate action to resolve complaint		
Identify and review options to resolve the complaint within enterprise policy, procedures and guidelines	❑	❑
Agree and confirm action to resolve the complaint with the customer	❑	❑
Demonstrate a commitment to the customer to resolve the complaint	❑	❑
Inform customer of outcome of investigation of complaint	❑	❑
Element 4: Refer complaints		
Identify complaints that require referral to other personnel or external bodies	❑	❑
Refer complaint to appropriate personnel for follow-up in accordance with individual level of responsibility	❑	❑
Forward all necessary documentation including investigation reports to appropriate personnel	❑	❑
Refer escalated complaints which cannot be resolved to an appropriate person	❑	❑
Did the student's overall performance meet the standard?	❑	❑

Feedback to student and trainer/assessor
Strengths:

Improvements needed:			
General comments:			
Candidate signature		**Date**	
Assessor signature		**Date**	

Third Party Statement

Student name:			
Name of third party:		**Contact no**	
Relationship to student:	❑ Employer ❑ Supervisor ❑ Colleague ❑ Other *Please specify:____* *Please do not complete the form if you are a relative, close friend or have a conflict of interest]*		
Unit of competency:	Receive and resolve customer complaints D1.HRS.CL1.15		
The student is being assessed against industry competency standards and we are seeking your support in the judgement of their competence. Please answer these questions as a record of their performance while working with you. Thank you for your time.			

Do you believe the trainee has demonstrated the following skills? *(tick the correct response]*	**Yes**	**No**	**Not sure**
Element 1: Identify and analyse the complaint			
Receive and accurately record a verbal complaint using active listening and empathy techniques	❑	❑	❑
Identify through appropriate communication techniques the exact nature of the customer complaint	❑	❑	❑
Maintain register or complaint file/s in accordance with the requirements of the enterprise information system	❑	❑	❑
Element 2: Respond to complaints			
Process complaints in accordance with organisational standards, policies and procedures	❑	❑	❑
Obtain and review documentation in relation to complaints	❑	❑	❑
Maintain register of complaints/disputes	❑	❑	❑

Do you believe the trainee has demonstrated the following skills? *(tick the correct response]*	**Yes**	**No**	**Not sure**
Element 3: Determine and agree upon appropriate action to resolve complaint			
Identify and review options to resolve the complaint within enterprise policy, procedures and guidelines	❑	❑	❑
Agree and confirm action to resolve the complaint with the customer	❑	❑	❑
Demonstrate a commitment to the customer to resolve the complaint	❑	❑	❑
Inform customer of outcome of investigation of complaint	❑	❑	❑
Element 4: Refer complaints			
Identify complaints that require referral to other personnel or external bodies	❑	❑	❑
Refer complaint to appropriate personnel for follow-up in accordance with individual level of responsibility	❑	❑	❑
Forward all necessary documentation including investigation reports to appropriate personnel	❑	❑	❑
Refer escalated complaints which cannot be resolved to an appropriate person	❑	❑	❑
Third party signature:	**Date:**		
Send to:			

Competency Recording Sheet

Name of Student		
Name of Assessor/s		
Unit of Competency	Receive and resolve customer complaints	D1.HRS.CL1.15
Date assessment commenced		
Date assessment finalised		
Assessment decision	Pass Competent / Not Yet Competent (Circle one)	
Follow up action required (Insert additional work and assessment required to achieve competency)		
Comments/observations by assessor/s		

Place a tick (✓) in the column to reflect evidence obtained to determine Competency of the student for each Performance Criteria.

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 1: Identify and analyse the complaint						
Receive and accurately record a verbal complaint using active listening and empathy techniques						
Identify through appropriate communication techniques the exact nature of the customer complaint						
Maintain register or complaint file/s in accordance with the requirements of the enterprise information system						
Element 2: Respond to complaints						
Process complaints in accordance with organisational standards, policies and procedures						
Obtain and review documentation in relation to complaints						
Update register of complaints/disputes						

Place a tick (✓) in the column to reflect evidence obtained to determine Competency of the student for each Performance Criteria.

Element & Performance Criteria	Observation of skills	3rd Party Statement	Oral Questions	Written Questions	Work Projects	Other
Element 3: Determine and agree upon appropriate action to resolve complaint						
Identify and review options to resolve the complaint within enterprise policy, procedures and guidelines						
Agree and confirm action to resolve the complaint with the customer						
Demonstrate a commitment to the customer to resolve the complaint						
Inform customer of outcome of investigation of complaint						
Element 4: Refer complaints						
Identify complaints that require referral to other personnel or external bodies						
Refer complaint to appropriate personnel for follow-up in accordance with individual level of responsibility						
Forward all necessary documentation including investigation reports to appropriate personnel						
Refer complaints which cannot be resolved to an appropriate person						
Candidate signature			**Date**			
Assessor signature			**Date**			

William Angliss Institute

Specialist centre for foods, tourism & hospitality

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