



Australian Government

Assessment Requirements for FNSSUP501 Supervise complaints procedures

Release: 1

Assessment Requirements for FNSSUP501 Supervise complaints procedures

Modification History

Release	Comments
Release 1	This version first released with FNS Financial Services Training Package Version 1.0.

Performance Evidence

Evidence of the ability to:

- assess internal complaints procedures, demonstrating knowledge of the Superannuation Complaints Tribunal (SCT) and other external dispute body procedures
- complete required complaint documentation
- monitor internal procedures for complaint handling
- maintain and supervise documentation systems according to compliance requirements, including documentation and reports for the SCT
- demonstrate communication and training techniques.

Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.

Knowledge Evidence

To complete the unit requirements safely and effectively, the individual must:

- describe the key features and compliance and reporting requirements of superannuation legislation
- outline the timeframe requirements for compliance in complaints procedures
- identify compliance responsibilities for complaints documentation
- identify and describe organisational goals, standards and guidelines for handling complaints
- explain the legal implications of non-compliance in complaints procedures
- outline the Australian Securities and Investments Commission (ASIC) guidelines for providing information
- explain the privacy legislation obligations when dealing with complaints
- describe the key features of organisational information, documentation and communication systems.

Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the superannuation field of work and include access to:

- common office equipment, technology, software and consumables
- organisational financial records
- organisational policy and procedures.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=c7200cc8-0566-4f04-b76f-e89fd6f102fe>