



**Australian Government**

# **FNSSUP501 Supervise complaints procedures**

**Release: 1**

## FNSSUP501 Supervise complaints procedures

### Modification History

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

### Application

This unit describes the skills and knowledge required to supervise the implementation of internal and external complaints procedures, ensuring compliance with complaint procedures and Superannuation Complaints Tribunal (SCT) decisions.

It applies to individuals who have responsibility for ensuring quality practices and industry requirements are effectively implemented, maintained and communicated to all personnel.

Work functions in the occupational areas where this unit may be used are subject to regulatory requirements. Refer to the FNS Implementation Guide Companion Volume or the relevant regulator for specific guidance on requirements.

### Unit Sector

Superannuation

### Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Assess internal complaints procedures	1.1 Review workplace implementation of procedures for registering and handling complaints 1.2 Assess implementation of procedures for efficiency in attaining organisational goals 1.3 Identify areas for improvement in procedure and make recommendations to appropriate personnel
2. Ensure complaints procedures are communicated to staff, members and clients	2.1 Provide documentation of complaints procedures to relevant staff, members or clients 2.2 Inform staff, members or clients of internal complaints

<b>ELEMENT</b>	<b>PERFORMANCE CRITERIA</b>
	<p>procedure</p> <p>2.3 Inform staff, members or clients of external complaints procedure</p> <p>2.4 Refer member or client complaints to internal complaints procedure</p>
<p>3. Monitor and support internal complaints procedure</p>	<p>3.1 Review documentation of complaints for accuracy, authenticity and completion</p> <p>3.2 Initiate follow up when further information or documentation is required</p> <p>3.3 Communicate with staff, members or clients as necessary to ensure procedure is correctly documented</p> <p>3.4 Communicate with staff, members or clients as necessary to ensure procedure is understood</p> <p>3.5 Use conflict resolution methods to resolve complex complaints and/or situations when possible or make referral to appropriate personnel</p> <p>3.6 Support staff, members or clients through complaints process</p> <p>3.7 Undertake training of staff as required to ensure complaints are handled in accordance with organisational objectives</p>
<p>4. Supervise management of unresolved disputes</p>	<p>4.1 Review outcomes from internal complaints procedure and investigate if required</p> <p>4.2 Identify unresolved complaints or disputes and process according to organisational guidelines</p> <p>4.3 Inform complainants of SCT or any other external dispute body procedure, and provide with information for pursuing formal procedures</p> <p>4.4 Check complaints documentation for completion and prepare for submission to external dispute bodies as required</p> <p>4.5 Provide documentation and representation for external proceedings as required</p>
<p>5. Ensure compliance with complaints procedures</p>	<p>5.1 Identify compliance requirements for complaints procedures</p> <p>5.2 Monitor internal procedures for compliance</p> <p>5.3 Rectify non-compliance practices according to organisational guidelines</p> <p>5.4 Ensure documentation of complaints meets compliance requirements</p>

<b>ELEMENT</b>	<b>PERFORMANCE CRITERIA</b>
6. Ensure compliance with SCT decision	6.1 Disseminate information received from SCT to trustee 6.2 Implement SCT decisions 6.3 Review supporting organisational procedures to incorporate required changes

## Foundation Skills

*This section describes language, literacy, numeracy and employment skills incorporated in the performance criteria that are required for competent performance.*

<b>Skill</b>	<b>Performance Criteria</b>	<b>Description</b>
Learning	3.7	<ul style="list-style-type: none"> <li>Actively maintains currency of industry knowledge through training and mentoring of others</li> </ul>
Reading	1.1, 3.1, 4.1, 4.2, 4.4, 5.1, 6.3	<ul style="list-style-type: none"> <li>Critically analyses documentation from a variety of sources and records and consolidates information to determine requirements</li> </ul>
Writing	1.3, 2.1-2.4, 3.3-3.5, 4.3, 4.4, 5.4, 6.1	<ul style="list-style-type: none"> <li>Writes, edits and proofreads documents to ensure clarity of meaning, and accuracy and consistency of information</li> <li>Prepares a range of textual information appropriate for the audience and for informal and formal purposes</li> </ul>
Oral Communication	1.3, 2.2-2.4, 3.3-3.6, 4.3, 6.1	<ul style="list-style-type: none"> <li>Uses collaborative and inclusive techniques, including active listening and questioning, to convey and clarify information and to confirm understanding</li> <li>Uses clear language and concepts, and tone and pace appropriate for the audience and purpose</li> </ul>
Numeracy	1.2	<ul style="list-style-type: none"> <li>Interprets and manipulates numerical information relating to targets and timelines</li> </ul>
Navigate the world of work	1.1-1.3, 3.7, 4.2, 5.1, 5.2, 5.4, 6.3	<ul style="list-style-type: none"> <li>Researches and analyses documentation in regard to superannuation to ensure compliance with relevant emerging legislation and industry developments</li> <li>Modifies or develops organisational policy and procedures to comply with legislative requirements and organisational goals</li> <li>Carries out activities while complying with organisational and statutory regulations</li> </ul>
Interact with others	2.1, 2.2, 2.3, 2.4, 3.3, 3.4, 3.5, 3.6, 4.3	<ul style="list-style-type: none"> <li>Liaises and shares information with customers and others, taking into consideration language and</li> </ul>

		<p>diversity of groups</p> <ul style="list-style-type: none"> <li>• Implements strategies for a diverse range of colleagues and clients to build rapport and foster strong relationships</li> <li>• Collaborates with others, sharing information to build strong work groups, and avoids behaviours that are not conducive to a productive environment</li> <li>• Draws on a range of strategies for dealing with conflict, including moderating own responses</li> </ul>
Get the work done	1.1, 1.2, 1.3, 2.1, 3.1, 3.2, 4.1, 4.2, 4.4, 4.5, 5.2, 5.3, 6.1	<ul style="list-style-type: none"> <li>• Accepts responsibility for planning and sequencing complex tasks and workload, negotiating key aspects with others and taking into account capabilities, efficiencies and effectiveness</li> <li>• Makes critical decisions quickly and intuitively in complex situations, taking into consideration a range of variables including the outcomes of previous decisions</li> <li>• Anticipates and addresses less predictable problems, applying problem-solving processes to determine a solution</li> <li>• Monitors and reviews performance outcomes and modifies them to meet new demands and priorities</li> <li>• Uses a range of digitally based technologies to enter, access or update information to achieve required outcomes</li> </ul>

## Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FNSSUP501 Supervise complaints procedures	FNSSUP501A Supervise complaints procedures	Updated to meet Standards for Training Packages	Equivalent unit

## Links

Companion Volume implementation guides are found in VETNet -

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