



Australian Government

FNSCUS402 Resolve disputes

Release: 1

FNSCUS402 Resolve disputes

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 investigate, negotiate and resolve disputes between financial services customers and organisations.

It applies to individuals in any sector of the financial services industry who work with others as part of a formal internal dispute resolution process.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Unit Sector

Customer service

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. Establish that dispute exists	1.1 Identify all information relating to original problem and clarify grounds for dispute 1.2 Contact all parties to identify and clarify disputed issues and confirm that customer has a legitimate dispute, or that initial complaint has not already been settled to customer's satisfaction 1.3 Ensure that organisational operating procedures have been followed and all information relevant to dispute resolution process is provided to customer 1.4 Obtain additional information from relevant parties as required and manage information exchange appropriately 1.5 Inform customer of organisation's obligations, procedures and timeframes where existence of genuine dispute is established

ELEMENT	PERFORMANCE CRITERIA
2. Investigate dispute and determine action to be taken	2.1 Collect all information from prior dealings with customer and undertake further investigations if necessary 2.2 Inform customer of progress and advise of any delays 2.3 Determine resolution action with consideration of facts, legislation, organisational policy and procedures and industry codes of practice, and inform appropriate personnel of action to be taken
3. Negotiate and resolve dispute	3.1 Inform customer of decision, including reasons if appropriate, and negotiate with claimant or representative if required 3.2 Resolve dispute effectively and in a timely manner, aiming to reduce need for litigation or formal conciliation services 3.3 Respect rights of customer in all dispute settlement procedures and refer any unresolved disputes to formal conciliation services
4. Finalise dispute	4.1 Record dispute resolution process outcomes and advise all parties affected by the decision clearly and promptly on the outcome and their rights to review of the decision 4.2 Prepare relevant documentation for unresolved disputes which have been referred to formal conciliation services according to legislation, regulations and codes of practice 4.3 Act on decisions of external dispute resolution as required 4.4 Complete all documentation in accordance with legislation and organisational procedures

Foundation Skills

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

Skill	Performance Criteria	Description
Reading	1.1, 1.3, 2.3	Interprets, analyses and assesses a range of textual information from a variety of sources to ensure fully informed and compliant actions
Writing	1.1-1.5, 2.2, 2.3, 3.1, 3.3, 4.1, 4.2	Prepares specific, relevant information which clearly informs customer and relevant others of organisation's action and obligations consistent with regulatory requirements and timeframes

		• Uses logical, organised structures to document decisions and outcomes which comply with legislative and organisational requirements
Oral Communication	1.1-1.5, 2.2, 2.3, 3.1, 3.2, 3.3	• Engages in complex verbal interactions considering aspects of context, purpose and audience • Uses clear and direct language to clarify process, decisions and required actions to customer and others • Uses careful listening and questioning techniques to clarify understanding and elicit all relevant information
Numeracy	1.1, 1.3	• Extracts, interprets and evaluates numerical information relevant to disputes
Navigate the world of work	1.3, 1.5, 2.3, 3.3, 4.2, 4.4	• Takes personal responsibility for following explicit and implicit policies, procedures and legislative requirements
Interact with others	1.1-1.5, 2.2, 2.3, 3.1, 3.2, 3.3, 4.1	• Selects and uses appropriate conventions and protocols when communicating with internal and external stakeholders involved in disputes • Collaborates and negotiates with others to achieve agreeable outcomes, playing an active role in facilitating consensus in contentious situations • Recognises behaviours and triggers that contribute to conflict and implements strategies to moderate conflict
Get the work done	1.1-1.5, 2.1-2.3, 3.1-3.3, 4.1-4.4	• Organises, plans and sequences own workload • Accesses, interprets and manages dispute documentation and related information • Applies problem-solving processes to address negotiation and related dispute resolution issues • Uses decision-making processes to form recommendations in operational situations • Uses the main features and functions of digital tools to complete work tasks and access information

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FNSCUS402 Resolve disputes	FNSCUS402A Resolve disputes	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>

Assessment Requirements for FNSCUS402 Resolve disputes

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Performance Evidence

Evidence of the ability to:

- identify, investigate and obtain all relevant information relating to the dispute
- apply dispute resolution and negotiation techniques effectively
- settle disputes in the financial services industry in line with organisational policy and procedures, and relevant industry and legislative requirements.

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:

- outline the possible grounds for dispute
- explain current industry compliance requirements and dispute settling procedures and requirements
- describe current organisational policy and procedures
- identify and explain key requirements of legislation relevant to dispute resolution
- explain effective negotiation principles and dispute resolution practices
- outline the role and process for referring disputes to formal conciliation.

Assessment Conditions

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

- common office equipment, technology, software and consumables
- financial services product information
- information about workplace disputes.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

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