



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

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

ELEMENT	PERFORMANCE CRITERIA
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.

Skill	Performance Criteria	Description
Learning	3.7	Actively maintains currency of industry knowledge through training and mentoring of others
Reading	1.1, 3.1, 4.1, 4.2, 4.4, 5.1, 6.3	Critically analyses documentation from a variety of sources and records and consolidates information to determine requirements
Writing	1.3, 2.1-2.4, 3.3-3.5, 4.3, 4.4, 5.4, 6.1	- Writes, edits and proofreads documents to ensure clarity of meaning, and accuracy and consistency of information - Prepares a range of textual information appropriate for the audience and for informal and formal purposes
Oral Communication	1.3, 2.2-2.4, 3.3-3.6, 4.3, 6.1	- Uses collaborative and inclusive techniques, including active listening and questioning, to convey and clarify information and to confirm understanding - Uses clear language and concepts, and tone and pace appropriate for the audience and purpose
Numeracy	1.2	Interprets and manipulates numerical information relating to targets and timelines
Navigate the world of work	1.1-1.3, 3.7, 4.2, 5.1, 5.2, 5.4, 6.3	- Researches and analyses documentation in regard to superannuation to ensure compliance with relevant emerging legislation and industry developments - Modifies or develops organisational policy and procedures to comply with legislative requirements and organisational goals - Carries out activities while complying with organisational and statutory regulations
Interact with others	2.1, 2.2, 2.3, 2.4, 3.3, 3.4, 3.5, 3.6, 4.3	Liaises and shares information with customers and others, taking into consideration language and

		diversity of groups • Implements strategies for a diverse range of colleagues and clients to build rapport and foster strong relationships • Collaborates with others, sharing information to build strong work groups, and avoids behaviours that are not conducive to a productive environment • Draws on a range of strategies for dealing with conflict, including moderating own responses
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	• Accepts responsibility for planning and sequencing complex tasks and workload, negotiating key aspects with others and taking into account capabilities, efficiencies and effectiveness • Makes critical decisions quickly and intuitively in complex situations, taking into consideration a range of variables including the outcomes of previous decisions • Anticipates and addresses less predictable problems, applying problem-solving processes to determine a solution • Monitors and reviews performance outcomes and modifies them to meet new demands and priorities • Uses a range of digitally based technologies to enter, access or update information to achieve required outcomes

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>

Assessment Requirements for FNSSUP501 Supervise complaints procedures

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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

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