



Australian Government

FNSSUP511 Manage customer complaints in superannuation

Release: 1

FNSSUP511 Manage customer complaints in superannuation

Modification History

Release	Comments
Release 1	This version first released with FNS Financial Services Training Package Version 5.0.

Application

This unit describes the skills and knowledge required to internally manage superannuation complaints procedures initiated by customers. It also includes communicating and training staff on superannuation complaint procedures.

The unit applies to those responsible for ensuring that quality practices and industry requirements are effectively implemented, maintained and communicated to required personnel.

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

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. Identify and assess internal complaints procedures and communicate to staff	1.1 Identify workplace procedures for registering and handling superannuation complaints 1.2 Assess implementation of procedures and identify areas requiring improvement 1.3 Communicate complaints procedures to staff and provide associated documentation to required stakeholders according to organisational policies and procedures

ELEMENT	PERFORMANCE CRITERIA
2. Monitor and assist to resolve complaints	2.1 Review customer complaints according to organisational policies and procedures 2.2 Initiate follow-up where further information or documentation is required 2.3 Assess and resolve complex complaints and situations within limits of own authority or refer to required personnel 2.4 Provide training and development on superannuation complaints to support staff as required and according to organisational objectives
3. Manage unresolved disputes	3.1 Review outcomes from internal complaints procedure and investigate, if required 3.2 Identify unresolved complaints or disputes and process according to organisational policies and procedures 3.3 Provide required information regarding pursuing formal procedures where required

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

SKILL	DESCRIPTION
Numeracy	Interprets and manipulates numerical information relating to targets and timelines
Oral communication	- Uses active listening and questioning techniques to convey and clarify information and confirm understanding - Uses language, concepts, tone and pace appropriate to audience and purpose
Reading	Critically analyses documentation from a variety of sources
Writing	- Writes, edits and proofreads documents to ensure clarity of meaning and consistency of information - Prepares a range of text information appropriate to audience and formal and informal purposes
Initiative and enterprise	- Anticipates and addresses less predictable problems, applying problem-solving processes to determine a solution - Draws on a range of strategies for dealing with conflict, including moderating own responses
Planning and	Accepts responsibility for planning and sequencing complex tasks

SKILL	DESCRIPTION
organising	and workload, negotiating key aspects with others and taking into account capabilities, efficiencies and effectiveness
Problem solving	• Makes critical decisions effectively in complex situations, taking into consideration a range of variables, including the outcomes of previous decisions
Self-management	• Researches and analyses documentation regarding superannuation to ensure compliance with relevant legislation and emerging industry developments
Teamwork	• 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
Technology	• Uses digitally based technologies to enter, access or update information to achieve required outcomes

Unit Mapping Information

No equivalent unit. Supersedes and is not equivalent to FNSSUP501 Supervise complaints procedures.

Links

Companion Volume Implementation Guide is found on VETNet -

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

Assessment Requirements for FNSSUP511 Manage customer complaints in superannuation

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Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- manage at least three customer complaints in superannuation.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- legislative and regulatory compliance and reporting requirements relating to managing complaints of superannuation clients, including:
 - obligations under privacy and data protection legislation when dealing with complaints
- Australian Securities and Investments Commission (ASIC) guidelines for providing information
- organisational policies and procedures and applicable legislative requirements relating to managing complaints of superannuation clients, including:
 - required preparation and documentation for external dispute bodies
 - organisational quality assurance
 - for accessing specialist personnel in escalations
- organisational information, documentation and communication systems
- timeframe and documentation requirements for compliance in complaints procedures
- legal implications of non-compliance in complaints procedures
- training and development on managing superannuation complaints
- monitoring tools for assessing internal compliance and process.

Assessment Conditions

Skills in this unit must be demonstrated in a workplace or simulated environment where the conditions are typical of those in a working environment in this industry.

This includes access to:

- organisational equipment, technology, software and consumables
- organisational policies and procedures.

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

Links

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