



Australian Government

Assessment Requirements for FNSSUP602 Manage official complaints procedures and proceedings

Release:

Assessment Requirements for FNSSUP602 Manage official complaints procedures and proceedings

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:

- audit internal complaints procedures and identify areas of non-compliance
- assess management of complaints procedures and proceedings
- provide conciliation in complaints disputes
- represent trustees in formal external proceedings and implement findings of external proceedings
- effectively work with the Superannuation Complaints Tribunal (SCT) and other external dispute bodies.

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, compliance and reporting requirements of the:
 - Superannuation (Resolution of Complaints) Act
 - Superannuation Industry (Supervision) (SIS) Act
- identify timeframe requirements for compliance in complaints procedures
- outline compliance responsibilities for complaints documentation
- describe key features of
 - organisational standards and guidelines for handling complaints
 - organisational information, documentation and communication systems
- discuss legal implications of non-compliance in complaints procedures
- describe key features of Australian Securities and Investments Commission (ASIC) guidelines for providing information
- describe the obligations of privacy legislation

- explain the procedure and requirements for SCT
- discuss risk management strategies.

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>