



Australian Government

FNSSUP602 Manage official complaints procedures and proceedings

Release: 1

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.

Application

This unit describes the skills and knowledge required to conduct audits on internal complaints procedures, assess management of complaints procedures and proceedings, provide conciliation in complaints disputes, represent the trustee in formal proceedings and implement findings of external proceedings by the Superannuation Complaints Tribunal (SCT) or other external dispute bodies.

It applies to individuals who use specialised knowledge and skills and have responsibility for managing and implementing quality processes and practices internally and external to the organisation.

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. Audit internal complaints procedures	1.1 Assess current compliance requirements for complaints procedures 1.2 Assess performance of internal complaints procedure 1.3 Investigate and assess organisational compliance with current requirements 1.4 Identify areas of non-compliance or required change

ELEMENT	PERFORMANCE CRITERIA
	1.5 Implement process for establishment of and/or improvement to formal internal complaints procedure
2. Assess management of complaints procedures and processes	2.1 Confirm documentation and communication of complaints according to organisational standards and compliance requirements 2.2 Provide staff training to ensure complaints are handled according to organisational standards and legislative requirements 2.3 Implement system improvements according to findings of complaints audit 2.4 Communicate assessment of complaints procedure to trustee and complainant
3. Provide conciliation in complaints disputes	3.1 Investigate unresolved complaints according to organisational procedures 3.2 Check details of complaint 3.3 Initiate conciliation procedures and implement with complainant according to organisational guidelines 3.4 Implement conciliation outcomes if successful 3.5 Process unsuccessful complaints according to organisational guidelines
4. Represent trustee in formal external proceedings	4.1 Prepare case for external proceedings following organisational procedures 4.2 Prepare documentation thoroughly and accurately 4.3 Inform trustee and involve in proceedings as required 4.4 Represent trustee at external proceedings 4.5 Seek legal advice as required
5. Implement findings of external proceedings	5.1 Communicate outcomes of external proceedings to trustee 5.2 Implement findings of external proceedings as required 5.3 Pursue further assessment of complaint internally or externally to minimise possibility of repeat complaint

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	1.3, 1.4, 3.2	Critically analyses complex documentation from a variety of sources and consolidates information relating to specific criteria to determine requirements
Writing	2.1, 2.2, 2.4, 4.1-4.3, 5.1	- Prepares a range of textual information appropriate for the audience and for informal and formal purposes - Uses clear language and correct concepts and terminology to ensure clarity of meaning and accuracy of information
Oral Communication	2.1, 2.2, 2.4, 4.3, 4.4, 5.1	- Conveys and clarifies information effectively to a range of personnel using collaborative techniques including active listening and questioning - Presents complex information in formal situations using clear and convincing language, tone and pace appropriate for the audience and purpose
Numeracy	3.2	Performs mathematical calculations to check, interpret and confirm numerical information
Navigate the world of work	1.3-1.5, 2.1, 2.2, 3.1, 3.3, 3.5	- Develops and implements strategies that ensure organisational policy, procedures and regulatory requirements are being met - Identifies and resolves key business issues, processes and practices that may have legal implications - Monitors and reviews the organisation's policy, procedures and adherence to legislative requirements
Interact with others	2.2, 2.4, 3.3, 4.3-4.5, 5.1	- Selects, implements and manipulates communications systems, processes and practices for maximum impact - Uses a variety of relevant communication tools and strategies in building and maintaining effective relationships - Influences and fosters a collaborative culture, facilitating a sense of commitment and workplace cohesion - Shares knowledge, information and experience openly as an integral part of the working relationship
Get the work done	1.1-1.4, 2.1-2.3, 3.1, 3.3-3.5, 4.1, 5.2, 5.3	- Plans strategic priorities and outcomes within a flexible, efficient and effective context in a diverse environment exposed to competing demands - Gathers and analyses data and seeks feedback to improve plans and processes - Addresses complex problems involving multiple variables, using formal analytical and lateral thinking techniques, experience and knowledge - Uses a range of digitally based technologies to enter,

		access or update information to achieve required outcomes
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Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FNSSUP602 Manage official complaints procedures and proceedings	FNSSUP602A Manage official complaints procedures and proceedings	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 FNSSUP602 Manage official complaints procedures and proceedings

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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

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