



Australian Government

Department of Education, Employment and Workplace Relations

FNSSUP501A Supervise complaints procedures

Revision Number: 1

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Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to supervise the implementation of internal and external complaints procedures. It encompasses assessing internal complaints procedures, ensuring complaint procedures are communicated to staff and members/clients, monitoring and supporting internal complaints procedures, supervising the management of unresolved disputes, ensuring compliance with compliant procedures and Superannuation Complaints Tribunal (SCT) decisions. This unit is applicable to individuals working within enterprises and job roles subject to licensing, legislative, regulatory or certification requirements including legislation administered by the Australian Securities and Investments Commission (ASIC).
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Application of the Unit

Application of the unit	This unit applies to job roles involving supervision of internal and external compliant procedures and has application to superannuation funds, trustees and services providers.
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
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Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Assess internal complaints procedure	1.1. Workplace implementation of procedures for registering and handling complaints is reviewed 1.2. Implementation of procedures is assessed for efficiency in attaining organisation goals 1.3. Areas for improvement in procedure are identified and recommendations made to appropriate personnel
2. Ensure complaints procedures are communicated to staff and members/clients	2.1. Documentation of complaints procedures is made available to staff and or members/clients 2.2. Staff and members/clients are informed of internal complaints procedure 2.3. Staff and members/clients are informed of external complaints procedure 2.4. All member/client complaints are referred to the internal complaints procedure
3. Monitor and support the internal complaints procedure	3.1. Documentation of complaints is reviewed for accuracy and completion 3.2. Follow-up is initiated when further information or documentation is required 3.3. Staff and/or member/client is communicated with as necessary to ensure procedure is correctly documented 3.4. Staff and/or member/client is communicated with as necessary to ensure procedure is understood 3.5. Conflict resolution methods are used to resolve complex complaints and/or situations when possible or referral is made to appropriate personnel 3.6. Staff and/or clients/members are supported through complaints procedures 3.7. Training of staff is undertaken as required to ensure complaints are handled in accordance with organisation objectives
4. Supervise management of unresolved disputes	4.1. Outcomes from internal complaints procedure are reviewed and investigated if required 4.2. Unresolved complaints or disputes are identified and processed according to organisation guidelines 4.3. Complainants are informed of SCT or any other external dispute body's procedure and provided with information for pursuing formal procedures 4.4. Complaints documentation is checked for completion and prepared for submission to external

ELEMENT	PERFORMANCE CRITERIA
	dispute bodies as required 4.5. Documentation and representation for external proceedings are provided as required
5. Ensure compliance of complaints procedures	5.1. Compliance requirements for complaints procedures are identified 5.2. Internal procedures are monitored for compliance 5.3. Non-compliance practices are rectified 5.4. Documentation of complaints meets compliance requirements
6. Ensure compliance with SCT decision	6.1. Information received from SCT is disseminated to trustee 6.2. SCT decisions are implemented 6.3. Supporting organisation procedures are reviewed

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

- Well-developed communication skills to:
 - liaise with others, share information, confirm work requirements, using questioning and active listening as required
 - use language and concepts appropriate to cultural differences
- numeracy and IT skills to:
 - perform calculations related to fund operations
 - access and update account records electronically
 - use internet information
- well-developed literacy skills to read and interpret documentation from a variety of sources and record and consolidate related information
- data analysis and interpretation skills
- interpersonal skills to relate effectively within a team environment
- organisation skills, including the ability to plan and sequence work
- supervisory and team building skills
- research and analysis for accessing, interpreting and managing complex information
 - interpreting documentation
 - coordinating tasks
- problem-solving skills to identify any issues that have the potential to impact on the superannuation complaints resolution process or outcome and to develop options to resolve these issues when they arise

Required knowledge

- features, compliance and reporting requirements of the Superannuation (Resolution of Complaints) Act 1993
- timeframe requirements for compliance in complaints procedures
- compliance responsibilities for complaints documentation
- organisation standards and guidelines for handling complaints
- legal implications of non-compliance in complaints procedures
- Australian Securities and Investments Commission (ASIC) guidelines for providing information
- Privacy Act
- organisation information, documentation and communication systems
- fraud prevention practices
- Corporations Act
- Superannuation Industry (Supervision) (SIS) Act

Evidence Guide

EVIDENCE GUIDE

The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the ability to:

- assess internal complaints procedures demonstrating knowledge of the Superannuation Complaints Tribunal (SCT) and other external dispute body's 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 SCT.

Context of and specific resources for assessment

Assessment must ensure:

- competency is demonstrated in the context of the work environment and conditions specified in the range statement either in a relevant workplace or a closely simulated work environment
- access to and the use of a range of common office equipment, technology, software and consumables
- access to organisation financial records
- access to organisation policies and procedures.

Method of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples, in combination, are appropriate for this unit:

- evaluating an integrated activity, which combines the elements of competency for the unit, or a cluster of related units of competency
- observing processes and procedures in workplaces
- verbal or written questioning on underpinning knowledge and skills
- evaluating samples of work
- accessing and validating third party reports
- setting and reviewing workplace business simulations or scenarios.

Guidance information for assessment

Range Statement

RANGE STATEMENT	
The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.	
Organisation goals may include:	• compliance • equity • minimal complaints • positive relationships with members • professional service.
Communication may be by:	• electronic communication • verbal interaction (by phone/in person) • written documentation (brochures/letter).
Appropriate personnel may include:	• formal complaints officer • fund secretary • senior management • trustee.
Organisation guidelines may include:	• best practice standards • codes of practice • documentation and filing procedures • internal communications • legislative requirements • regulatory requirements • system/computer procedures.

Unit Sector(s)

Unit sector	Superannuation
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Competency field

Competency field	
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Co-requisite units

Co-requisite units		