



Australian Government

Department of Education, Employment and Workplace Relations

FNSSUP602A Manage official complaints procedures and proceedings

Revision Number: 1

FNSSUP602A Manage official complaints procedures and proceedings

Modification History

Not applicable.

Unit Descriptor

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

Application of the Unit

Application of the unit	This unit applies to complaint management job roles in the superannuation sector and may apply to formally designated complaints officers or teams.
--------------------------------	--

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
-----------------------------	--

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.
---	--

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Audit internal complaints procedures	1.1. Current compliance requirements for complaints procedures are assessed 1.2. Performance of internal complaints procedure is assessed 1.3. Organisation compliance with current requirements is investigated and assessed 1.4. Areas of non-compliance or required change are identified 1.5. Process for establishment of and/or improvement to formal internal complaints procedure is implemented
2. Assess management of complaints procedures and processes	2.1. Documentation and communication of complaints according to organisation standards and compliance requirements is confirmed 2.2. Staff training is provided to ensure complaints are handled according to organisation standards and legislative requirements 2.3. System improvements are implemented according to findings of complaints audit 2.4. Assessment of complaints procedure are communicated to trustee and complainant
3. Provide conciliation in complaints disputes	3.1. Unresolved complaints are investigated according to organisation procedures 3.2. Details of complaint are checked 3.3. Conciliation procedures are initiated and implemented with complainant according to organisation guidelines 3.4. If successful, conciliation outcomes are implemented 3.5. Unsuccessful complaints are processed according to organisation guidelines
4. Represent the trustee in formal external proceedings	4.1. Case for external proceedings is prepared 4.2. Documentation is prepared 4.3. Trustee is informed of and involved in proceedings as required 4.4. Trustee is represented at external proceedings 4.5. Legal advice is sought as required.
5. Implement findings of external proceedings	5.1. Outcomes of external proceedings are communicated to trustee 5.2. Findings of external proceedings are implemented as required

ELEMENT	PERFORMANCE CRITERIA
	5.3. Further assessment of complaint is pursued internally or externally to minimise possibility of repeat complaint

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- highly developed communication and negotiation 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:
 - access and use appropriate software such as word processors, spreadsheets and databases
 - use internet information
- well-developed literacy skills to read and interpret documentation from a variety of sources and record and consolidate related information
- interpersonal skills to relate effectively within a team environment
- organisation skills, including the ability to plan and sequence work
- complaints management skills
- high-level analytical and interpretative skills
- research and analysis for accessing, interpreting and managing complex information
 - interpreting documentation
 - coordinating tasks
- problem solving skills to address compliance and other issues
- learning skills to maintain knowledge of changes to products and relevant legislation
- judgement skills for forming recommendations in operational situations
- management skills for working effectively in a constantly changing environment
- coaching and mentoring skills

Required knowledge

- features, compliance and reporting requirements of the Superannuation (Resolution of Complaints) Act, as amended
- Superannuation Industry (Supervision) (SIS) Act
- 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

REQUIRED SKILLS AND KNOWLEDGE

- organisation information, documentation and communication systems
- procedure and requirements for SCT
- risk management strategies

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: • 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 SCT and other external dispute bodies.
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 <i>procedures</i> may include:	• best practice standards • codes of practice • documentation and filing procedures • internal communications • legislative requirements • regulatory requirements • system, computer procedures.
<i>Communication</i> may be by:	• electronic communication: • email • web-based • verbal interaction • by phone • in person • written documentation: • brochures • letters.
<i>Organisation standards</i> may include set objectives for:	• compliance • equity • minimal complaints • positive relationships with members • professional service.

Unit Sector(s)

Unit sector	Superannuation
-------------	----------------

Competency field

Competency field	
------------------	--

Co-requisite units

Co-requisite units		