

## Complaints Management

Record and manage internal and customer raised complaints.

Alignment with ASIC RG271

### Functionality

- ✓ Ability to capture internal or customer complaint details.
  - ✓ Ability to capture complaint dates and resolution dates.
  - ✓ Ability to store customer related details.
  - ✓ Ability to assign the complaint to a different assignee.
  - ✓ Ability to take a raised Complaint through an approval and review process.
  - ✓ Ability to associate a complaint to a department or business unit.
  - ✓ Ability to link a Complaint to an Incident.
  - ✓ Ability to capture activity or change history of the complaint.
  - ✓ Ability to document resolutions or compensations in response to the complaint.
  - ✓ Ability to log any issues that might be relevant for a given complaint and assign separate ownership to those issues.
  - ✓ Ability to attach documents or other evidences to support the complaint resolution or remediation.
  - ✓ Ability to create an Action or Task to help resolve or address the complaint.
  - ✓ Ability to record investigation details on a complaint and capture Root Cause Analysis.
  - ✓ Ability to track email/ phone call and communications with customer regarding the complaint.
  - ✓ Ability to configure necessary reminders or alerts to stakeholders (owner, reporter, business unit, etc.)
  - ✓ Ability to configure necessary reminders or alerts to action or task owners to ensure timely closure.
  - ✓ Ability to report on Complaints by their Type, category, Severity and Status.
  - ✓ Ability to produce a snapshot of the Complaint detail into MS Word.
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- ✓ Demographic information and complaint trends
  - ✓ Status of complaint (open/closed/re-opened/cancelled)
  - ✓ Systemic issues and root cause analysis
  - ✓ Desired resolution outcomes
  - ✓ Financial compensation
  - ✓ Time open and resolution time taken

## Security Roles

<b>Complaints Manager</b>	Full access (Create, Read, Update and Delete) to all Complaints including Incident, Action, Issue, Opportunity, and communications.
<b>Complaints User</b>	Create, view and edit their own Complaint where complaint is pending with them. Work on assigned complaints.
<b>Administrator</b>	Administration access to all objects and ability to make configuration changes