



# FSCA Complaints Management Industry Review Survey 2022

## Introduction

1. The purpose of this FSCA survey on Complaints Management is to obtain an understanding of the effectiveness, timeliness and accessibility of complaints management by financial institutions, in particular the intermediaries (Category I FSPs), retirement funds and retirement fund administrators.
2. The data that is being collected is for the period January to December 2021.
3. All collected information will be kept confidential and secure, and processed in line with the FSCA's Privacy Policy which can be found on <https://www.fsca.co.za/Pages/Privacy-Policy.aspx> (<https://www.fsca.co.za/Pages/Privacy-Policy.aspx>).
4. The questionnaire must be submitted on or before 08 April 2022.
5. By participating in the survey, you acknowledge that you have read and understand the explanation above.

**Queries relating to the survey should be sent to Koko Kubelo at [CMmarketstudy@fsca.co.za](mailto:CMmarketstudy@fsca.co.za) (<mailto:CMmarketstudy@fsca.co.za>).**

\* Required

## Background information

1. Name of the person completing the survey \*

2. Job title of the person completing the survey \*

3. Name of the regulated entity \*

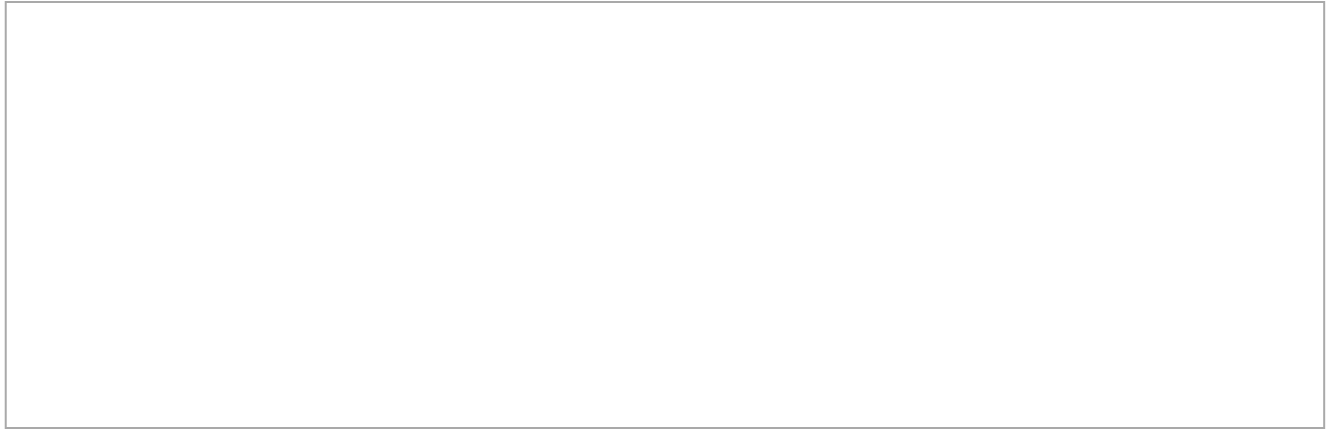
4. Type of entity \*

Category I FSP (Intermediary)

5. What is the number of clients of the entity? \*

The value must be a number

6. What type of financial products does the Intermediary provide? \*

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## Complaints handling process

**NB\* Please ensure the total number of complaints per category tallies with the total number of complaints received**

7. What is the total number of queries received from January to December 2021? \*

The value must be a number

8. What is the total number of complaints received from January to December 2021? \*

The value must be a number

9. Has the entity received complaints relating to a financial product or financial service, including the fees, premiums or other charges related to that financial product or financial service? \*

Yes

No

10. Has the entity received complaints relating to information provided to clients? \*

Yes

No

11. Has the entity received complaints relating to advice? \*

Yes

No

12. Has the entity received complaints relating to the performance of a financial product or financial service ? \*

Yes

No

13. Has the entity received complaints relating to the lapsing of a financial product(e.g. death benefit, insured benefit, etc.)? \*

Yes

No

14. Has the entity received complaints relating to how it handles complaints? \*

Yes

No

15. Has the entity received complaints relating to Insurance risk claims, including non-payment of claims? \*

Yes

No

16. Has the entity received complaints relating to "other" categories of complaints? \*

Yes

No

17. Please list the "other" categories \*

18. What is the total number of complaints received in relation to a financial product or financial service, including the fees, premiums or other charges related to that financial product or financial service? \*

The value must be a number

19. What is the total number of complaints resolved in relation to a financial product or financial service, including the fees, premiums or other charges related to that financial product or financial service? \*

The value must be a number

20. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to a financial product or financial service, including the fees, premiums or other charges related to that financial product or financial service? \*

The value must be a number

21. What is the total number of complaints received in relation to information provided to clients? \*

The value must be a number

22. What is the total number of complaints resolved in relation to information provided to clients? \*

The value must be a number

23. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to information provided to clients? \*

The value must be a number

24. What is the total number of complaints received in relation to advice? \*

The value must be a number

25. What is the total number of complaints resolved in relation to advice? \*

The value must be a number

26. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to advice? \*

The value must be a number

27. What is the total number of complaints received in relation to the performance of a financial product or financial service? \*

The value must be a number

28. What is the total number of complaints resolved in relation to the performance of a financial product or financial service? \*

The value must be a number

29. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to the performance of a financial product or financial service? \*

The value must be a number

30. What is the total number of complaints received in relation to the lapsing of a financial product(e.g. death benefit, insured benefit, etc.)? \*

The value must be a number

31. What is the total number of complaints resolved in relation to the lapsing of a financial product(e.g. death benefit, insured benefit, etc.)? \*

The value must be a number

32. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to the lapsing of a financial product(e.g. death benefit, insured benefit, etc.)? \*

The value must be a number

33. What is the total number of complaints relating to financial product accessibility, changes or switches, including complaints relating to redemptions of investments? \*

The value must be a number

34. What is the total number of complaints resolved relating to financial product accessibility, changes or switches, including complaints relating to redemptions of investments? \*

The value must be a number

35. What is the total number of complaints escalated by complainants to the internal complaints' escalation process relating to financial product accessibility, changes or switches, including complaints relating to redemptions of investments? \*

The value must be a number

36. What is the total number of complaints received in relation to complaints handling? \*

The value must be a number

37. What is the total number of complaints resolved in relation to complaints handling? \*

The value must be a number

38. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to complaints handling? \*

The value must be a number

39. What is the total number of complaints received in relation to Insurance risk claims, including non-payment of claims? \*

The value must be a number

40. What is the total number of complaints resolved in relation to Insurance risk claims, including non-payment of claims? \*

The value must be a number

41. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to Insurance risk claims, including non-payment of claims? \*

The value must be a number

42. What is the total number of complaints received in relation to "other" categories? \*

The value must be a number

43. What is the total number of complaints resolved in relation to "other" categories? \*

The value must be a number

44. What is the total number of complaints escalated by complainants through the internal complaints' escalation process relating to "other" categories? \*

The value must be a number

45. Does the entity have a documented timeline (maximum number of calendar days) for dealing with complaints? \*

Yes

No

46. Please specify the maximum number of calendar days \*

The value must be a number

47. How many internal levels of complaints escalation does the entity have? \*

1

2

3

4

48. What are the activities at level 1? \*

49. State the job title of a responsible employee at level 1? \*

50. What % of total cases were resolved at level 1? \*

Number must be between 0 ~ 100

51. What is the average turnaround time for complaints (calendar days) at level 1? \*

The value must be a number

52. What are the activities at level 1? \*

53. What are the activities at level 2? \*

54. State the job title of the responsible employee at level 1? \*

55. State the job title of the responsible employee at level 2? \*

56. What % of total cases were resolved at level 1? \*

Number must be between 0 ~ 100

57. What % of total cases were resolved at level 2? \*

Number must be between 0 ~ 100

58. What is the average turnaround time for complaints (calendar days) at level 1? \*

The value must be a number

59. What is the average turnaround time for complaints (calendar days) at level 2? \*

The value must be a number

60. What are the activities at level 1? \*

61. What are the activities at level 2? \*

62. What are the activities at level 3? \*

63. State the job title of the responsible employee at level 1? \*

64. State the job title of the responsible employee at level 2? \*

65. State the job title of the responsible employee at level 3? \*

66. What % of total cases were resolved at level 1? \*

Number must be between 0 ~ 100

67. What % of total cases were resolved at level 2? \*

Number must be between 0 ~ 100

68. What % of total cases were resolved at level 3? \*

Number must be between 0 ~ 100

69. What is the average turnaround time for complaints (calendar days) at level 1? \*

The value must be a number

70. What is the average turnaround time for complaints (calendar days) at level 2? \*

The value must be a number

71. What is the average turnaround time for complaints (calendar days) at level 3? \*

The value must be a number

72. What are the activities at level 1? \*

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73. What are the activities at level 2? \*

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74. What are the activities at level 3? \*

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75. What are the activities at level 4? \*

76. State the job title of the responsible employee at level 1? \*

77. State the job title of the responsible employee at level 2? \*

78. State the job title of the responsible employee at level 3? \*

79. State the job title of the responsible employee at level 4? \*

80. What % of total cases were resolved at level 1? \*

Number must be between 0 ~ 100

81. What % of total cases were resolved at level 2? \*

Number must be between 0 ~ 100

82. What % of total cases were resolved at level 3? \*

Number must be between 0 ~ 100

83. What % of total cases were resolved at level 4? \*

Number must be between 0 ~ 100

84. What is the average turnaround time for complaints (calendar days) at level 1? \*

The value must be a number

85. What is the average turnaround time for complaints (calendar days) at level 2? \*

The value must be a number

86. What is the average turnaround time for complaints (calendar days) at level 3? \*

The value must be a number

87. What is the average turnaround time for complaints (calendar days) at level 4? \*

The value must be a number

88. What percentage of the total number of complaints that you receive are referrals from the Ombud schemes? \*

Number must be between 0 ~ 100

89. What percentage of the total number of complaints that you receive are referrals from a Regulator? \*

Number must be between 0 ~ 100

90. Do you deal with complaints referred to you by the Ombud schemes and the Regulator in the same manner as other complaints that are brought directly to the entity by the client? \*

Yes

No

91. Please explain \*

92. Indicate whether any of the following are in place with respect to complaints management \*

- Standard operating procedures
- Job aids and decision trees
- Reimbursement or compensation guides
- Investigation manuals
- Training modules
- Service level agreements
- Quality assurance processes
- Job mandates and performance management
- Compliance testing
- Audit reports
- Monitoring reports
- All of the above
- Other

93. If you answered "other", please specify

## Resourcing of complaints handling

94. Which department or committee is responsible for complaints management in your entity? Please specify \*

95. What is the total number of staff in the department dealing with complaints? \*

The value must be a number

96. What is the number of frontline staff in the complaints department? \*

The value must be a number

97. What is the number of supervisors in the complaints department? \*

The value must be a number

98. What is the number of managers (excluding supervisors) in the complaints department?

\*

The value must be a number

99. Please specify what training, if any, has been provided to staff that deal with complaints? \*

100. How often do staff members dealing with complaints attend training? \*

- Weekly
- Monthly
- Quarterly
- Bi-annually
- Annually

101. How does the entity monitor complaints? Please specify \*

102. How often does the entity monitor complaints? \*

- Weekly
- Monthly
- Quarterly
- Bi-annually
- Annually

103. What do you regard as the biggest barrier in the complaints management process at present? \*

104. What system is used to record and track complaints? \*

- Customer Relationship Management (CRM) system
- Case Management system
- Excel spreadsheet
- Other

105. If you answered "other", please specify

## Governance and culture

106. Which governance structure approves the complaints management process? \*

- Exco
- Board
- Other

107. Please specify \*

108. What is the most senior level in management where data on complaints is reported to?

\*

- Exco
- Board
- Other

109. Please specify \*

110. How often is complaints data reported to the most senior management level? \*

- Monthly
- Quarterly
- Annually
- Other

111. Please specify \*

## Client Engagement

112. How do you make your clients aware of recourse avenues available to them? \*

- Information brochure
- Website
- Notice at your office(s)
- Other

113. If you answered "other", please specify

114. Select the available SA languages for the recourse avenues \*

- Sepedi
- Sesotho
- siSwati
- Tshivenda
- Xitsonga
- Afrikaans
- English
- isiNdebele
- isiXhosa
- isiZulu
- Setswana

115. Are clients informed of the internal escalation process? \*

- Yes
- No

116. Please specify \*

117. Does your entity provide for any of the following channels for clients to lodge a complaint? \*

Telephone/Call Center

Email

Website

Physical Office

118. What % of total complaints were received through a telephone/call center channel? \*

Number must be between 0 ~ 100

119. What % of total complaints were received through an Email channel? \*

Number must be between 0 ~ 100

120. What % of total complaints were received through the Website channel? \*

Number must be between 0 ~ 100

121. What % of total complaints were received through the physical Office channel? \*

Number must be between 0 ~ 100

122. How often is feedback provided to a complainant when dealing with a complex complaint? \*

- Weekly
- Monthly
- Quarterly
- > Quarterly

123. In what manner is feedback mainly provided to a complainant? \*

- Email
- Letter
- Website
- Other

124. Please specify

125. Are complainants provided with reasons for the outcomes of their complaints? \*

- Yes
- No

126. Please explain \*

127. What is the most common reason for a delay in responding to or resolving a complaint? \*

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