# DDO Complaint reporting user guide

# The purpose of this document is to provide you as distributor guidance on how to complete the Complaints CSV format reporting template in preparation for the submission of the report to MLC at the end of each reporting period. One report may be produced for multiple products and should include ‘Nil’ reporting as appropriate. The template has been created to align to the Financial Services Council (FSC) data standards and the table below has been sourced from the FSC data standards guide. One report may be produced for multiple products.

# Within the template there is guidance on which fields are:

# M – Mandatory,

# C – Conditional, or

# O – Optional.

# Please follow this guidance when populating the template.

Once completed either upload the file into the MLC portal (Under construction) as a .csv or email it to us.

| **#** | **Data Heading** | **Definition/description** | **Comment/coding** | **Mandatory/ optional/ conditional** |
| --- | --- | --- | --- | --- |
| Report header information | | | | |
| 6.1. | Version of standard | Version number of FSC data standard. | 1.3 | M |
| 6.2. | Formatted text encoding | To ensure correct transmission of free text, this field indicates how the text is represented. This format should be used for every free text field in this record. | 1 = Plain text | M |
| 6.3. | Report unique ID | Report ID – Your unique ID for your records only. Unique to distributor. Can be combined with distributor ID to have industry-wide unique ID. *If this is a replacement report, please provide ID from original report.* | Alpha-numeric | O |
| 6.4. | Report date | Date that complaints report was sent. | dd/mm/yyyy | M |
| 6.5. | Report Period Start | Period for which the report starts. Inclusive of day. | dd/mm/yyyy | M |
| 6.6. | Report Period End | Period for which the report ends. Inclusive of day. | dd/mm/yyyy | M |
| Reporting Entity – This can be an organisation or a personA platform, or a dealer group or even a single financial adviser are all entities. A single report may cover more than one entity. The relationship between entities is described elsewhere. (fields 4.1 to 4.4) | | | | |
| 2.  2.1. | Entity Name | Either the Licensee, platform or adviser name. | Plain text only | M |
| 2.2. | Entity Type | Identifies the type of the entity  If Adviser – FAR is primary ID  If AFSL (including Promoter) – AFSL is primary ID  If Credit licensee – ACL is primary ID  If Corporation with none of the above, then use ABN as primary ID  If Other – use other entity number as primary ID | Single choice of {Adviser / AFSL / credit licensee / Corporate / Other} | M |
| 2.3. | Entity FAR | If the entity type (field 2.2) is an individual financial advisor, then include here the Financial Advice Register number of the adviser. | Numeric | C |
| 2.4. | Entity ACL | Australian Credit License (ACL) number of entity. | Numeric | C |
| 2.5. | Entity AFSL | Entity AFSL. | Numeric | C |
| 2.6. | Entity ABN | Entity ABN. Must be used if reporting holds an ABN | Numeric | C |
| 2.7. | Other Entity Number | If Entity type = other | Alpha-numeric | C |
| Report contact details(who to contact if a receiver has a question about a data transmission) | | | | |
| 3.  3.1. | Contact name | Contact details for this report | Free text | M |
| 3.2. | Contact title | Contact position title (eg Senior Product Manager; Compliance Manager). | Free text | O |
| 3.3. | Contact phone | Phone number for contact person | Numeric | M |
| 3.4. | Contact email | Email for contact person | XXX@XXX | M |
| 3.5. | Contact address | Address for contact person | Free text | O |
| 3.6. | Contact company | The name of the company that this contact represents | Free text | M |
| Intermediaries / Distributors covered by this reportOnly include entities/distributors involved in transactions | | | | |
| 7.13 | Report on multiple entities? | Is the reporting entity reporting on one or more entities other than itself?  For example are you a Platform providing reporting on complaints received by multiple Licensees – if so the Platform is the Parent and the Licensee is the child. | Y/N | M |
| *The following field groups (2.1-2.7 and 4.1-4.4) can have multiple subrecords – one subrecord per distributor that is included in this report* | | |  |  |
| 2.1-2.7 | Distributor entity details (see above) | Complete if field 7.13 = Y., Include all relevant sub type records, using ‘entity type’ from *See Common Data Items fields 2.1 to 2.7* |  | C |
| 4.1-4.4 | Parent-child relationships **(see below)** | Complete if field 7.13 = Y. This field explains how the distributor(s) are related to the reporting entity. See Common Data Items fields 4.1 to 4.4 |  | C |
| Parent-child relationships Describing relationships between entities | | | | |
| 4.1. | Parent ID type | ‘entity type’ for relevant entity (see field 2.2) | ‘entity type’ value | C |
| 4.2 | Parent unique ID | as per ‘entity type’ above (field 2.3 to 2.7) |  | C |
| 4.3 | Child ID type | ‘entity type’ for relevant entity (see field 2.2) | ‘entity type’ value | C |
| 4.4 | Child unique ID | as per ‘entity type’ above (field 2.3 to 2.7) |  | C |
| Prod**u**ct to which the complaint relates to | | | | |
| 1.1. | Primary product identifier type | Which of the following types of IDs has been determined to be the primary ID of the product. The primary ID is used in the rest of the report to identify the product uniquely. | Single choice of {APIR/Exchange code/ISIN/USI/Issuer code} | M |
| 1.2. | Product APIR code | The product’s APIR code. Should include if available | Alpha-numeric | M |
| 1.3. | Listing exchange | Code of exchange the product is listed on, using ISO Market Identifier Code (MIC). Should include if product is listed.  If a product is listed in Australia and another country, use the Australian listing. | ISO MIC – 4 character alpha | C |
| 1.4. | Product exchange code | The product’s exchange code (for listed products). Must include if “listing exchange” is completed. | Numeric | C |
| 1.5. | Product ISIN code | The product’s ISIN code. Should include if available | Numeric | C |
| 1.6. | USI | For super funds: 9 digit APIR code or 14 digit numeric code | Numeric | C |
| 1.7. | Issuer product code | Issuer determined product code – should be the type of last resort.  Don’t reuse industry wide codes in this field.  For products without industry wide codes, can use this field, plus code for issuer, to set an industry-wide code. | Free text | C |
| 1.8. | Product name | Financial instrument (Product) name. | Free text | M |
| 1.9. | Product ARSN | Product ARSN. Must include if available.  Do not use this field as primary product identifier | Numeric | M if available |
| 6.10 | Number of Complaints | Total number of complaints received in the reporting period for the product. | Numeric | M |
| Complaint details if reporting on individual complaints | | | | |
| 6.12. | Complaint ID | The internal code used by the reporting entity for this complaint. Where available this complaint ID should be consistent with the ID required under RG271. | Numeric. | O |
| 6.13. | Client ID | Client account number (internal number used by the reporting entity) | Numeric | O |
| 6.14. | AFSL of distributor | AFSL of distributor who did the dealing to which the complaint relates. | AFSL # | O |
| 6.15. | Principal product involved in complaint | The primary product ID of the principal product involved in complaint. Must be the primary product ID used earlier in the field “product details” fields (1.1-1.9 in this record).**(See Below)** |  | O |
| *The following field (6.16) can be multivalued* | | | | |
| 6.16. | Other products involved in complaint | For any other products involved in complaint other than the principal product, state in this field the primary product ID of the other products included in the complaint. Must be the primary product ID used earlier in the field “product details” of this record (fields 1.1-1.9). |  | O |
| 6.17. | Is the complaint about the authorised representative of an AFS licensee or an authorised credit representative? (DD8) | Is the complaint about an authorised representative or a credit representative?  RG271 complaint references can be found in the data dictionary (DD) reference table at  <https://download.asic.gov.au/media/5895243/attachment-2-to-20-327mr-published-16-december-2020.pdf> | 1 = Yes  2 = No  3 = Unknown | C |
| 6.18. | Authorised representative or credit representative identifier number (DD9) | The unique identifier ASIC issued for the authorised representative or credit representative. A response is required if previous field (6.17) equals 1 (Yes). | Number | C |
| 6.19. | Complaint status (DD10) | The status of the complaint at the time of reporting  Use 1 (Open) if the complaint has been opened for the first time and its resolution is in progress.  Use 2 (Re-opened) if the complaint has been re-opened (e.g. if a complaint has been referred back from the Australian Financial Complaints Authority (AFCA) or additional information has become available).  Use 3 (Withdrawn) if the complaint was withdrawn by the complainant or contact with the complainant has been lost.  Use 4 (Closed) if the complaint has been resolved or the entity has provided a **final response** to the complainant.  It is at the reporting entity’s discretion as to which statuses are used.  Distributors only need to report once to issuers on each complaint using this report – this data standard should not be used to provide updates on changes in the complaint status. Updates on complaint status may be dealt with via other mechanisms outside of this DDO data standard. | 1 = Open  2 = Re-opened  3 = Withdrawn  4 = Closed | C |
| 6.20. | Date received (DD11) | The date the entity first received the complaint | Date. | C |
| 6.21. | AFCA Status (DD15) | Is the complaint currently, or has it ever previously been, at AFCA? | 1 = Yes 2 = No | O |
| 6.22. | AFCA reference number or case unique identifier | AFCA reference number or case unique identifier, where known.  Conditional field A response is required if previous field (6.21) equals 1 (Yes). If the AFCA reference number or case unique identifier is not known or unavailable, state ‘Unknown’. |  | C |
| 6.23. | Complaint Issue (DD19) | The issue raised by the complainant. If the complaint involves more than one issue, input up to three codes separated by commas (e.g. ‘6,48,60’).  [Use Table 13 from RG 271 data dictionary. https://download.asic.gov.au/media/5895243/attachment-2-to-20-327mr-published-16-december-2020.pdf](https://download.asic.gov.au/media/5895243/attachment-2-to-20-327mr-published-16-december-2020.pdf) |  | O |
| 6.24. | Complaint content | This should include all the relevant details so that the issuer can understand the nature of the complaint. Include any ‘distributor’ product(s) such as a platform if relevant. ***Remove any personal information*** | Free text | C |
| 6.25. | Complaint outcome(s) (DD23) | [Based on DD23. Can include multiple codes. https://download.asic.gov.au/media/5895243/attachment-2-to-20-327mr-published-16-december-2020.pdf](file://\\aur.national.com.au\hobo_data\WealthManagement\NSW\MLCFM\Secure\Platform%20Development\MK%20Development\Product%20Team\Mary%20OHearn\DDO\Requirements\DDO%20Portal\Based%20on%20DD23.%20Can%20include%20multiple%20codes.%20https:\download.asic.gov.au\media\5895243\attachment-2-to-20-327mr-published-16-december-2020.pdf)  1 = No outcome provided  2 = Apology  3 = Full/partial waiver of debt/ interest/fees  4 = Capitalisation of arrears  5 = Repayment arrangement  6 = Timeframe for refinance  7 = Timeframe for sale/surrender of asset  8 = Hardship superannuation release  9 = Policy/contract altered/voided/cancelled  10 = Other product, service or resolution provided  11= Monetary compensation  12 = other, please describe | See description | O |
| 6.26. | Monetary compensation | Amount of monetary compensation provided | Number | C if complaint outcome (field 6.25) includes 11 |
| Validation Footer/Check sums – not multivalued | | | | |
| 6.27. | Number of nil reports | Total number of nil complaint records included in this file. Must equal the number of occurrences of field 6.10 where value in the field is zero. | Number | M |
| 6.28. | Number of complaints | Total number of complaint records included in this file. Must equal the count of the number of complaints in field 6.10 and following. | Number | M |