

#23

COMPLETE

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Q1 Overall, do you agree or disagree with [standard 1] and proposed commentary? **Agree**

Q2 Please provide any comments on [standard 1] and the proposed commentary.

Under usually includes there should be reference to being aware of and eliminating biases towards any client/client groups

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Q3 Overall, do you agree or disagree with [standard 2] and proposed commentary? **Agree**

Q4 Please provide any comments on [standard 2] and the proposed commentary.

Integrity also requires being open to being questioned, having processes examined and being responsive to questions and complaints.

it also requires being competent/current and appropriately qualified to conduct the area/s of work they undertake

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Q5 Overall, do you agree or disagree with [standard 3] and proposed commentary? **Agree**

Q6 Please provide any comments on [standard 3] and the proposed commentary.

It is not only actual conflicts, but perceived conflicts and also being aware of future conflicts that might arise

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Q7 Overall, do you agree or disagree with [standard 4] and proposed commentary? **Agree**

Q8 Please provide any comments on [standard 4] and the proposed commentary.

To do this appropriately client's also need to be given time & opportunity to think about, consider and seek further advice

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Q9 Overall, do you agree or disagree with [standard 5] and proposed commentary? **Don't know**

Q10 Please provide any comments on [standard 5] and the proposed commentary.

It is a fine balance between having to provide appropriate advice to each specific client, and between needing to inquire too much information from a client in order to be able to select options.

A range of potentially appropriate options with pros and cons outlined maybe another approach

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Q11 Overall, do you agree or disagree with [standard 6] and proposed commentary? **Agree**

Q12 Please provide any comments on [standard 6] and the proposed commentary.

Yes. Particularly where the client may be vulnerable or at risk.

Client's should be fully informed of what, where, why information about them is recorded and held

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Q13 Overall, do you agree or disagree with [standard 7] and proposed commentary? **Agree**

Q14 Please provide any comments on [standard 7] and the proposed commentary.

Client's raising complaints need to know in advance about who and how any issues raised will be managed.

There needs to be clear time frames and clients should be kept fully informed on where their complaint is at.

There needs to be clear guidance of supports available throughout the process, the options of confidentiality/anonymity, and potential remedies

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Q15 Overall, do you agree or disagree with [standard 8] and proposed commentary? **Agree**

Q16 Please provide any comments on [standard 8] and the proposed commentary.

The reputation of the industry will ultimately rely on the experience that clients have with it. The power of social media allows any one instance to gain quick and wide positive or negative profile which can affect the entire sector

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Q17 Overall, do you agree or disagree with [standard 9] and proposed commentary? **Don't know**

Q18 Please provide any comments on [standard 9] and the proposed commentary.

I think these standards should be bench-marked internationally and against similar sectors such as Licensed Immigration Advisers

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Q19 Overall, do you agree or disagree with [standard 10] and proposed commentary? **Neither agree nor disagree**

Q20 Please provide any comments on [standard 10] and the proposed comentary.

Whilst I agree to requiring this standard I do not think the way it is written will achieve that. There needs to be a set level [time and intensity] of what constitutes continued competence

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Q21 Overall, do you agree or disagree with [standard 11] and proposed commentary? **Agree**

Q22 Please provide any comments on [standard 11] and the proposed commentary. **Respondent skipped this question**

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Q23 Overall, do you agree or disagree with [standard 12] and proposed commentary? **Agree**

Q24 Please provide any comments on [standard 12] and the proposed commentary. **Respondent skipped this question**

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Q25 Is there anything missing from the draft Code? **Yes**

Q26 If you answered yes, what is missing?

Reference to being mindful of different ethnic, gender, social economic, and age groups.
Reference to the importance of a bi-cultural framework

Q27 Do you have any feedback on the examples, or suggestions on other examples that should be included in the draft Code? **Respondent skipped this question**

Q28 Is there anything else you want to say? **Respondent skipped this question**

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Q29 Name

Pip Jamieson

Q30 Your role or professional title

Individual

Q31 Individual or organisational submission

This is an individual submission and not on behalf of an organisation

Q32 If you give financial advice...

I am not an AFA, RFA or QFE adviser

Q33 My organisation or I give the following types of advice...

My organisation or I do not give financial advice

Q34 Organisation Name

Respondent skipped this question

Q35 Type of organisation

Respondent skipped this question

Q36 Size of organisation

Respondent skipped this question

Q37 If there are other things we should know about you or your business that would provide context to your answers, please provide details below.

Respondent skipped this question

Q38 Please indicate whether your submission contains any information that is confidential or whether you do not wish your name or any other personal information to be included in a summary of submissions.

Respondent skipped this question

Q39 Please provide your contact details (email and/or phone number) This is the only question that requires an answer. This information would not be released publicly. We may get in touch with you in order to help us understand particular points from your submission.

s 9(2)(a)

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