Portal profile setup – Contact and role type permissions

afca
Australian Financial Complaints Authority

Overview

The new member portal introduces individual accounts and role types to give each person the level of access they need to do their job. It also ensures each complaint is associated with a single contact at each stage of the AFCA process.

Unique email addresses

Each member contact must register for a member portal account with a unique (individual) email address. Each email address is the unique identifier for each account. Once an email address is used by a contact to create an account record, it cannot be used by any other person.

Role-based access

Different roles have different levels of access to cases and other information. Roles such as Administrator, EDR Manager, and Team Manager have access to view all complaints and the ability to assign cases to case workers. Case workers can only view the cases assigned to them.

The following roles can be assigned as the case contact:

EDR Manager	Team Manager	Case worker

If you would like to assign a complaint to an Administrator contact, you will need to give this contact an additional Case Worker or Team Manager role in the portal.

Managing access to multiple memberships

An individual's login **can be added to multiple memberships**, with multiple role permissions.

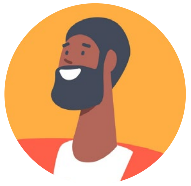
This would allow a contact to be a Team Manager across multiple memberships (e.g., larger firms with subsidiaries).

When establishing these contacts for each membership, it will be **based on the person’s unique email address.** To view multiple entities from one account, you must use the same unique email across all memberships

If you are a contact on multiple memberships, you will see all associated memberships on the homepage after logging in. You can then choose which membership to access.

AFCA member portal – contacts and role types

Mandatory contact !

Role type	Administrator	Billing contact	EDR Manager	Systemic & Reportable Matters	Reporting contact
Description	**This role has full access. It must be named / created on every Membership Account and must be nominated as part of the Member Registration request. A Member Registration request cannot proceed without this role. This should be the main portal administrator.**	**This role t has access to all finance related services, case reporting, case management, and certificates.**	**This role is the point of contact for new financial complaints at referral. When a complaint is raised this role will be notified and initially be assigned the complaint.**	**This role is the point of contact for any Systemic Issues and Reportable Matters (SARM) that may arise. This role has access to case management for current complaints and access to case reporting data.**	**This role is an additional point of contact for AFCA reporting or review of upcoming reports (such as Datacube releases).**
No. of contacts per role type	Can have more than one contact (however, a primary administrator contact must be selected)	Only one contact can be assigned	Only one contact can be assigned	Only one contact can be assigned	Only one contact can be assigned

Mandatory
if subscriber

Role type	Code Compliance	Team Manager	Case worker	CEO	Executive Assistant
Description	**This role is a mandatory contact for any financial firm that subscribes to any of the five Codes of Conduct.**	**This role is a team manager / leader role. It can add new case worker contacts and can see their team members' cases and outstanding requests.**	**This role is a general case worker and can only view cases assigned to the them.**	**This role is an optional contact for a member's CEO related correspondence. Same access and permissions as Admin contacts.**	**This role is an additional optional contact for a member's CEO related correspondence.**
No. of contacts per role type	Only one contact can be assigned	Can have more than one contact	Can have more than one contact	Only one contact can be assigned	Only one contact can be assigned

Role type access and functionality

**One Admin contact must be nominated as the Primary Admin if more than one Admin contact is desired. The Primary Admin will be the point of contacts for AFCA member communications and escalations.*

	Administrator*	Billing contact	EDR Manager	Systemic & Reportable Matters	Reporting contact	Code Compliance	Team Manager	Case worker	CEO	Executive Assistant
> Can view, raise, and action requests on **all** financial complaints	✓		✓				✓		✓	
> Can view SARM referrals	✓			✓					✓	
> Can add or edit other contacts	✓		✓						✓	
> Can submit all membership request types including cancellation request	✓								✓	
> Can be assigned cases	✓						✓	✓	✓	
> Can assign cases to case workers	✓		✓				✓		✓	
> Can create case workers and add a ‘reports to’ relationship to a Team Manager	✓						✓		✓	
> Can only view, raise, and action cases assigned to them								✓		
> Can raise a general request query	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
> Can manage their own contact details	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
> Can allocate financial complaints	✓		✓				✓		✓	
> Can export a .csv file of all financial complaints data	✓	✓	✓				✓		✓	
> Can export a .csv file of financial complaints data on cases assigned to them								✓		
> Able to manage Credit Representatives	✓								✓	
> Point of contact for any invoicing or finance related notifications	✓	✓							✓	
> Point of contact for cases at referral (referral contact)			✓							
> Point of escalation for complaints at the Case Management stage	✓		✓						✓	
> Point of contact for any SARM complaint correspondence or notifications	✓			✓					✓	
> Point of contact for any Code related issues (if Code subscriber)	✓					✓			✓	
> Has access to invoices	✓	✓	✓						✓	
> Has access to case reporting data	✓	✓		✓	✓	✓			✓	
> Has read only access to financial complaints		✓								
> Has access to the membership certificate	✓	✓							✓	
> Dashboard view of their caseworkers' cases							✓			

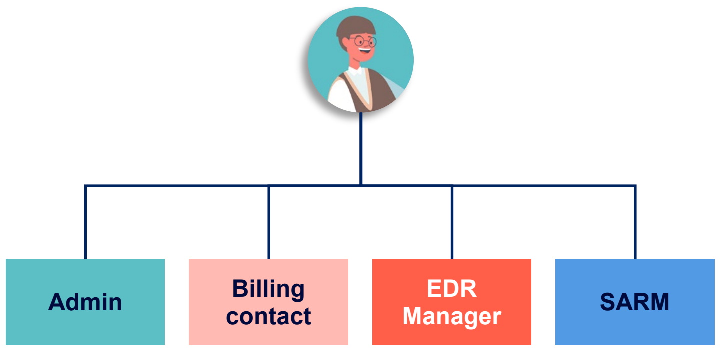
Example – roles and contacts setup

Each contact needs their own portal account using their own unique email address. One contact can hold multiple role types.

The below examples are for illustration only.

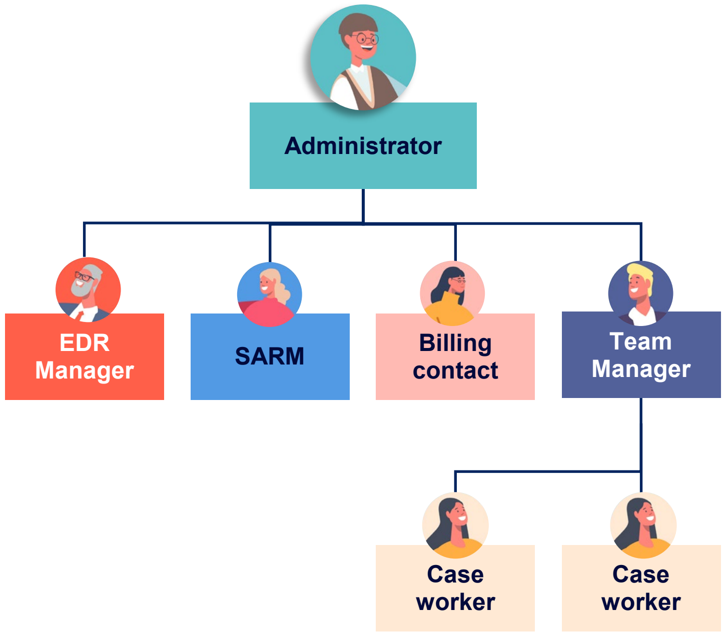
SMALL FIRM

1 contact



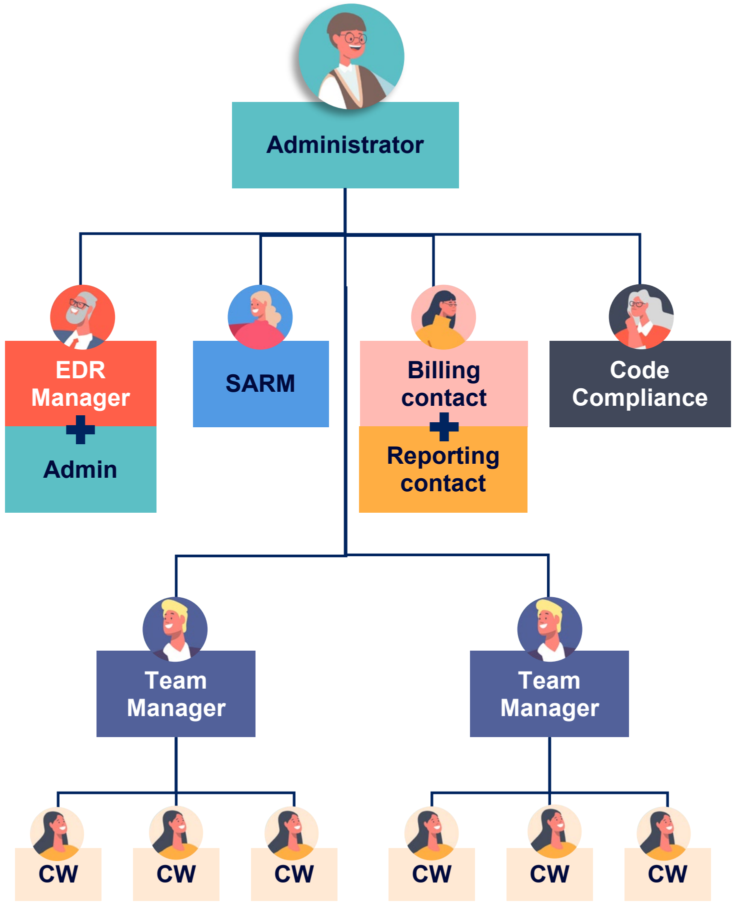
MEDIUM FIRM

More than 1 contact, less than 10



LARGE FIRM

More than 10 contacts

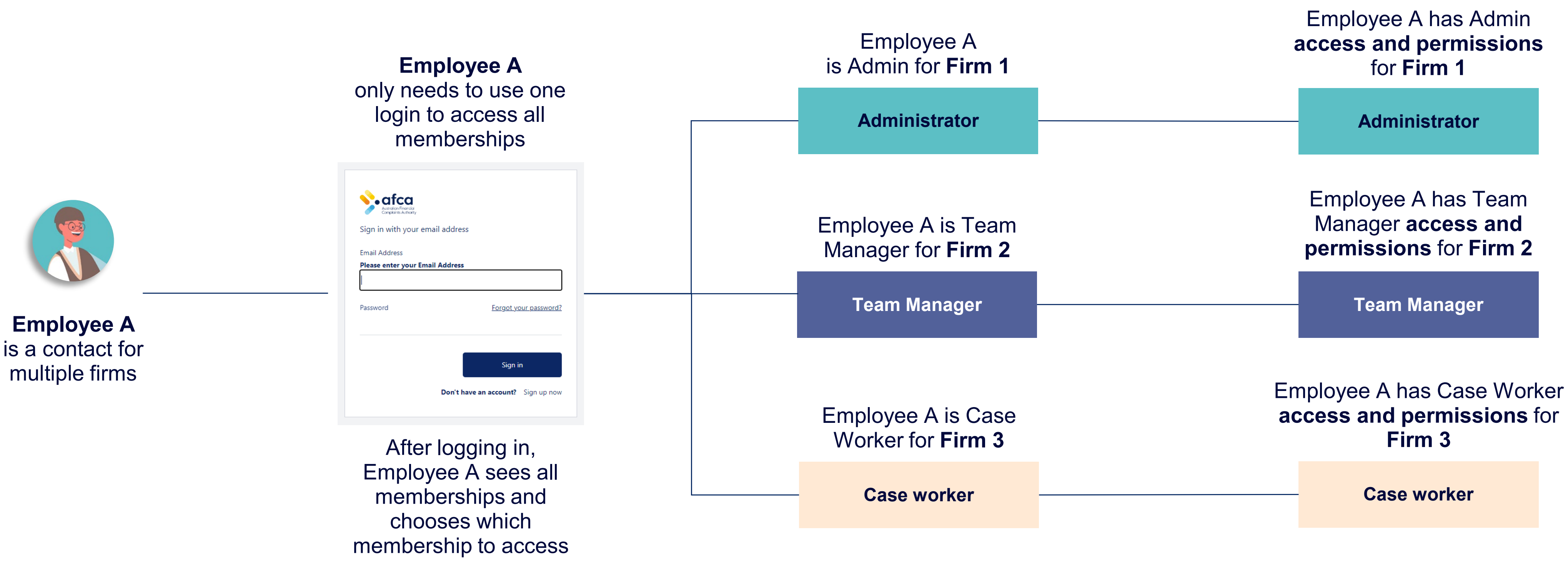


SARM = Systemic and Reportable Matters

Example – contacts associated with multiple memberships

An individual's login **can be added to multiple memberships**, with multiple role permissions. This would allow a contact to be a Team Manager for one membership, and an Admin contact for another. When establishing these contacts for each membership, it is **based on the person's unique email address.** To view multiple entities from one account, you must use the same unique email across all memberships. If you are a contact on multiple memberships, you will see all associated memberships on the homepage after logging in. You can then choose which membership to access.

MULTIPLE MEMBERSHIPS



AFCA member portal – contacts and role types

Migrating contacts to the new member portal

At go-live, AFCA migrated existing member contacts to the new member portal. The table below shows what the old contact types (Secure Services) have become in the new member portal, based on the new role types.

OLD CONTACT TYPE (Secure Services)	Change	NEW ROLE (new member portal)
> CEO > Managing Director > Company Secretary, or > Equivalent Contact	YES	**Admin contact**
> CEO Contact	NO	**CEO contact**
> Executive Assistant (EA) Contact	NO	**Executive Assistant contact**
> Executive General Manager (EGM) Contact	YES	**Admin contact** Note: this contact type no longer exists. At migration, existing EGM contacts were given the role of 'Admin'.
> EDR Manager Contact	NO	**EDR Manager contact**
> IDR Registration Contact	YES	**Case worker contact** Note: this contact type no longer exists. The EDR Manager contact is the contact at referral for all complaints. Existing IDR Registration contacts were given the role of 'Case worker'.
> Public Display Contact	YES	This contact type no longer exists. Publicly available contact information before lodgement (such as the 'find a financial firm' search) is linked to each members' organisation details. Organisation details are owned and managed by the '**Admin**' contact and include general information about your financial firm such as organisation name, ABN, address, phone and email.

OLD CONTACT TYPE (Secure Services)	Change	NEW ROLE (new member portal)
> Systemic Issues Contact	YES	**SARM (Systemic and Reportable Matters) contact**
> Comparative Reporting Contact	YES	**Reporting contact**
> Finance Contact	YES	**Billing contact**
> Dispute Contact	YES	**Case worker contact**
> ACR Liaison Contact	YES	This contact type no longer exists. ACRs will be managed by the '**Admin**' contact
> Code Compliance Contact	NO	**Code Compliance Contact**

NEW ROLE

Team Manager

The new member portal introduces a 'Team Manager' contact. This role can be assigned to individual portal users by the 'Admin' contact.

A Team Manager can create new member contacts with the role 'Case Worker' and add or update existing case workers with a 'reports to' field to connect a case worker with a specific team manager. This allows that Team Manager to easily see cases assigned within their team.