

FSPAMFPI07 – SQA Unit Code H5J8 04

Supervise mortgage and/or financial planning administrative systems and processes



Overview

You must be able to supervise systems and processes that enable mortgage and/or financial planning administration to run efficiently, effectively and profitably. As with many other aspects of mortgage and/or financial planning, compliance is an important aspect of performance, and in this instance the supervisor is expected to ensure that the systems facilitate compliant administration. Problem solving is also important, as the supervisor is expected to investigate and resolve problems in relation to administrative systems and processes. The supervisor is also expected to recommend changes and improvements as part of ongoing review processes. You will also need to pay attention to details that are critical to your work.

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Performance criteria

You must be able to:

- P1 Gather information about the applicability and efficiency of administrative systems from all relevant people
- P2 Monitor administrative systems for their continual ability to facilitate effective work outputs and maintain client satisfaction
- P3 Assess the understanding and competence of system users, and action development where necessary to rectify any shortfall
- P4 Identify and resolve problem areas relating to administrative systems and processes
- P5 Forewarn others promptly about problem areas when using specific systems
- P6 Ensure that records of problems relating to systems and processes are accurate and passed promptly to the appropriate person / department
- P7 Evaluate potential alternative administrative systems and processes against those currently used in your organisation and compare efficiency and cost-effectiveness
- P8 Specify changes that update the systems and processes to meet changing requirements
- P9 Seek feedback on recommendations for changes to administrative systems and processes from all relevant people
- P10 Prepare reports and statistical data in line with your organisation's requirements
- P11 Identify resourcing and staffing issues that impact on the performance of administrative systems, and take appropriate further action
- P12 Comply with legal requirements, industry regulations, organisational policies and professional codes
- P13 Comply with legal requirements, industry regulations, ethical standards, organisational policies and professional codes

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Knowledge and understanding

You need to know and understand:

- K1 The purpose of monitoring within the administrative system and process
- K2 The role of effective supervision in maintaining quality work outputs
- K3 Specifications of organisational administrative systems and processes
- K4 Organisational guidelines for monitoring and supervision
- K5 Compliance regulations relating to systems and processes
- K6 Reporting lines in relation to systems and process improvement
- K7 Sources of technical assistance and support within the organisation
- K8 Your organisation's requirements relating to the application of codes, laws and regulatory requirements, including ethical standards and health and safety as they impact on your activities
- K9 The regulatory framework within which your organisation operates

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Additional Information

Behaviours

1. You present information clearly and concisely
2. You look for more efficient ways of working
3. You respond quickly to potential problems

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