

FSPIO08 – SQA Unit Code H5GV 04

Supervise investment operations systems and processes



Overview

This unit relates to the role of supervising systems and processes that enable investment operations to run efficiently, effectively and profitably. Compliance is an important aspect of performance. In this instance, the supervisor is expected to ensure that the systems facilitate compliant operations. Problem solving is also important in the performance of this unit as the supervisor is expected to investigate and resolve problems in relation to systems and processes for investment operations. The supervisor is also expected to recommend changes and improvements as part of ongoing review processes and where problems and difficulties have been experienced during the implementation and operation of systems and processes. You will 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 investment operations systems and processes from all relevant people
- P2 Monitor investment operations systems and processes for their continuing ability to facilitate effective work outputs and maintain investor satisfaction
- P3 Assess the understanding and competence of investment operations system users and action development where necessary to rectify any shortfall
- P4 Identify and resolve problem areas relating to investment operations systems and processes
- P5 Forewarn individuals and teams about problem areas when using specific investment operations systems
- P6 Ensure details of problems relating to investment operations systems and processes are accurate and passed promptly to the appropriate people
- P7 Evaluate potential alternative investment operations systems and processes against the current systems and processes used in your organisation and compare efficiency and cost effectiveness
- P8 Specify changes that update the investment operations systems and processes to meet changing requirements
- P9 Present information about potential improvements to investment operations systems and processes, clearly stating the objectives, operational considerations and implementation costs
- P10 Seek feedback on recommendations for changes to investment operations systems and processes from all relevant people
- P11 Comply with legal requirements, industry regulations, including ethical standards and health and safety, 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 investment operations system and process
- K2 The regulatory framework and the requirements for monitoring and supervision
- K3 the role of effective supervision in maintaining quality work outputs
- K4 Specifications of organisational operations systems and processes
- K5 Organisational guidelines for monitoring and supervision
- K6 Compliance regulations relating to investment operations systems and processes
- K7 Reporting lines in relation to investment operations systems and process improvement
- K8 Sources of technical assistance and support within the organisation
- K9 How your organisation's requirements relating to the application of codes, laws and regulatory requirements, including ethical standards and health and safety impact on your activities

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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 display a curiosity to learn and try out new things
4. You respond quickly to potential problems

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