



# ASFA Learning 2023 Course Guide

Learn from the superannuation specialists

# Welcome to your next step as a super professional



“ ASFA Learning products are a great way of staying up to date with all of the compliance and regulatory changes that we see happening within the superannuation landscape. ”

ASFA has been operating since 1962 and is the peak policy, research and advocacy body for Australia’s superannuation industry. We have a large, broad-based membership with over 170 member organisations from all sectors of the superannuation industry including retail, industry, corporate and public-sector funds, as well as service providers to the superannuation industry.

ASFA Learning is ASFA’s education centre and a leading provider of superannuation courses and learning solutions. Working with some of the industry’s most respected organisations, we train their staff via online courses and CPD products, public and corporate workshops, and customised training solutions. As we’re immersed in superannuation, we’re close to the ‘action’ and can provide frontline insights as we teach.

Maintaining and enhancing knowledge in the super industry has never been more important and ASFA Learning products are a great way to stay up to date with all of the compliance and regulatory changes happening within the superannuation landscape.

We work with industry subject matter experts, the ASFA Policy team, and industry stakeholders such as regulators to ensure our learning products are designed to meet your unique needs as a professional requiring superannuation knowledge or expertise.

ASFA Learning programs are available online, on demand, to give you the flexibility to learn where and when you want to. If you’re an ASFA Member you can benefit from a substantial discount.

Whether you are new to the industry, looking to advance your career, or at the most senior level within the industry, ASFA Learning can support your next step as a super professional.

A handwritten signature in black ink that reads "Martin Fahy". The signature is written in a cursive, flowing style.

**Martin Fahy**  
ASFA CEO

# Contents

Who is ASFA?	5
Why study with ASFA Learning	6
How ASFA Learning can help your organisation	7
Choose the course	8
Learning formats that suit you	9
Courses	10

# Who is ASFA?

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The Association of Superannuation Funds of Australia (ASFA) is the peak policy, research and advocacy body for Australia's superannuation industry. We have been operating for over 60 years and represent all sectors of the industry – retail funds, industry funds, corporate funds, public offer funds and service providers to the industry.

As a not-for-profit, non-political organisation, ASFA is ideally positioned to work closely and credibly with politicians, regulators and the media.

We don't advocate one sector's interests over the other. Rather we analyse the system as a whole and focus on developing policy that enhances the financial security and retirement income of all Australians and builds the credibility of the industry as a whole.



## Our Purpose

- To help achieve the best retirement outcome for superannuation fund members through influencing and developing good public policy and driving excellence, collaboration and innovation across the broader superannuation industry



## Our Mission

- To continuously improve the system, so ASFA members can better help Australians have a dignified retirement

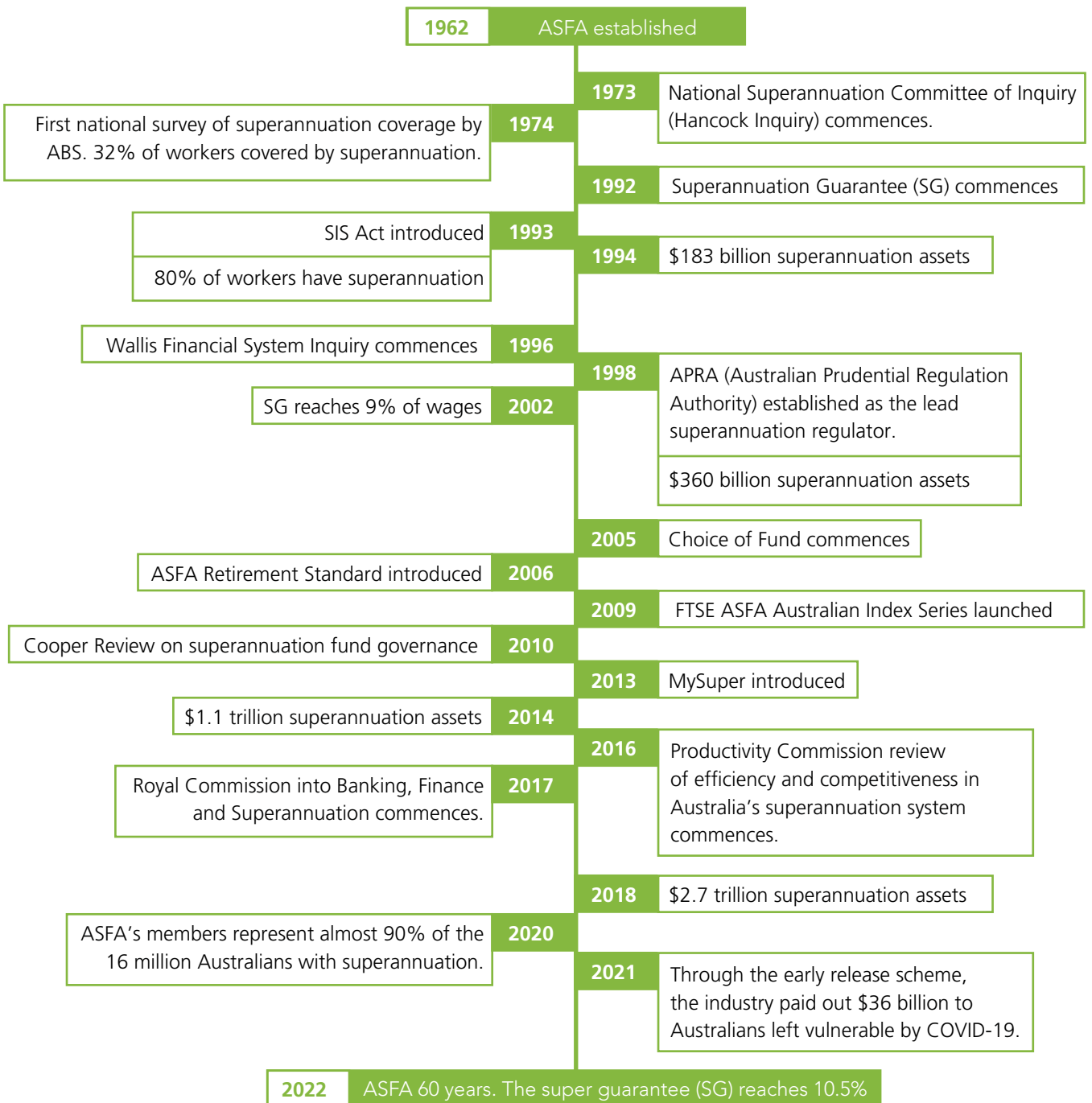


## Our Vision

- To ensure all Australians are financially confident and have a dignified retirement

# Supporting the superannuation industry for over 60 years

ASFA has been operating since 1962 as the peak policy, research and advocacy body for Australia’s superannuation industry.



**Who are ASFA’s Members?**

# Why study with ASFA Learning

ASFA Learning is a leading provider of nationally recognised superannuation training and a Registered Training Organisation (RTO). Courses range from the basics of super, right through to advanced governance and trustee courses. Most courses are offered in a variety of formats including flexible online, virtual workshops, or face-to-face workshops. Customised training solutions are also available, allowing member organisations to design training that suits their unique needs. ASFA Learning works with some of the industry's most respected organisations to train their staff via corporate workshops and customised training solutions.

Decades of experience in superannuation, training, education, and compliance, as well as a strong strategic focus developing agile digital products, allows ASFA Learning to provide a best-in-class learning experience. ASFA's policy and research teams alone bring over 250 years' experience in superannuation, policy-making, investment, financial services, SMSFs, taxation and regulation.



**Superannuation specialists**



**Interactive eLearning**



**ASFA Policy Team knowledge**



**Multiple learning formats - online, workshops or blended**



**Industry leading workshops and courses**

## Learning Key stats 2021/2022



**3160+**

superannuation professionals provided with world-class superannuation education via workshops, courses, or *SuperCPD*

**1620+**  
people attended a workshop



**900+**  
active *SuperCPD* subscribers

**250+**  
organisations engaged ASFA Learning

# How ASFA Learning can help your organisation

ASFA Learning is dedicated to keeping your staff motivated, informed and knowledgeable.

## Online learning – study anywhere, anytime

Online eLearning is a great way to maintain and enhance knowledge especially in circumstances that restrict normal routines, such as protracted periods of remote work. The majority of ASFA Learning’s super courses and CPD solutions are available in eLearning formats. This puts training from the industry’s leading superannuation educator at your fingertips anywhere, anytime and on any device.

## Public workshops

ASFA Learning runs regular face-to-face workshops around Australia for RG 146 Superannuation, as well as Superannuation Governance Masterclasses on key governance issues. Expert trainers use practical case scenarios and real-life examples to provide you (and your team) with relevant takeaways to implement at work immediately.

## Corporate workshops

If you have a number of students that you want to enrol in an ASFA Learning course, why not consider a cost-effective

corporate workshop? We can deliver any of our courses as a corporate workshop and they can be delivered whenever and wherever suits your organisation.

## Bespoke professional development

Looking for training that fulfils your specific training requirements? The content, duration and delivery format of our courses can be tailored to meet your goals. We can even incorporate organisation-specific examples into the training to make it a perfect fit for you. Throughout the training program, we ensure your staff can relate the course content to their job. Customised training programs allow you to:

- target specific work challenges, projects and groups of staff
- adapt quickly and efficiently to changing market conditions
- train key staff in the areas of most value to your business.

## Consultancy services

We can partner with your organisation to implement best-practice professional development solutions that suit you.

Here are some ways we’ve helped organisations recently:



Provided content and eLearning for call centre induction programs



Delivered virtual workshops based on CPD content



Conducted AFSL audits on member-facing representatives



Run professional development sessions for in-house conferences



Developed custom designed eLearning modules

# Choose the course that is right for you or your team

## Step 1: Identify your learning level

LEVEL		
Strategic	Execution	Support
<p><b>Role:</b> Sets the strategy and direction of the organisation.</p> <p><b>Who:</b> Trustees, Directors, Alternate Directors.</p>	<p><b>Role:</b> Implement strategy, leads the organisation, functional managers.</p> <p><b>Who:</b> CEO, Senior Management, Risk and compliance, Product Managers, those who support the board/trustee function, Legal.</p>	<p><b>Role:</b> Support the organisation and members.</p> <p><b>Who:</b> Member-facing, Administration, Complaints handling teams, Marketing and communications, Sales, Operations, IT, Relationship Managers.</p>

## Step 2: Choose your course

COURSE	Strategic	Execution	Support	
			Member-facing	Admin functions
Superannuation Governance Masterclass	✓	✓		
SuperCPD Trustee	✓	✓		
Super Industry Update	✓	✓	✓	✓
Super Professional	✓	✓		
RG 146 Superannuation			✓	✓
RG 146 Superannuation Refresher			✓	✓
SuperCPD			✓	✓
General Advice Skills Program			✓	
Factual information vs financial product advice			✓	
RG 271 Member-Focused Complaints Handling Program			✓	
Super Essentials	✓	✓	✓	✓
Certificate IV in Superannuation				✓
AFSL Audits			✓	



# Learning formats that suit you

ASFA Learning’s courses are delivered in a range of formats to suit any learning needs and allow you to choose your preferred learning style.



### Flexible online

Online learning that can be accessed on any device that has internet access, so you can study in the office, at home, or while traveling to and from work at a time and pace that suits you.



### Virtual workshops

An ASFA virtual workshop is an interactive live learning experience. Participants can engage with expert industry-leading presenters, together with their peers, just like they would at an ASFA face-to-face workshop. It is a unique opportunity to workshop ideas and concepts in a collaborative online environment facilitated by experts. A limit of 30 participants allows for discussion, and ensures that participants have ample opportunity to ask presenters questions.



### Public workshop – face-to-face

An ASFA face-to-face workshop is for those who prefer to learn face-to-face with expert trainers and network with industry peers. Classroom learners receive comprehensive supplementary notes, factsheets, videos, and reference material for each course.



### Corporate workshop (in-house) – face-to-face or virtual

Private delivery in a location that suits you. Led by industry leading facilitators with relevant expertise and tailored to your business.



### Blended learning

For corporate groups only – ASFA’s courses are flexible enough to be delivered in a blended format with a combination of face-to-face or virtual workshop complemented by interactive eLearning modules.

**Contact ASFA Learning for further information on blended learning solutions.**

## Learning support All learners can get assistance via:



Interaction with trainers and fellow learners via ASFA online forums



Student advisors available Monday to Friday 9am-5pm



Comprehensive support from trainers via phone and email



Access to course materials online

# Superannuation Governance Masterclass

## Managing governance in practice.

A series of intensive, classroom-style masterclasses designed to help the leaders of the superannuation industry to achieve governance best practice.

LEVEL	CPD POINTS	DURATION
Strategic   Execution	3	3 hours



Public workshop



Corporate workshop

### Learning outcomes

Masterclass is a unique opportunity to workshop obligations and implementation issues in a collaborative environment facilitated by experts. At each Masterclass, a team of industry experts will dissect a different area of the framework, or a key governance issue, and use case scenarios and real-life examples to demonstrate how it should best be put into practice, managed and progressed to become 'business as usual'.

### Suitable for

Masterclass is for the leaders of the superannuation industry:

- trustees and directors
- CEOs, and senior management staff
- governance
- compliance and risk professionals
- those who support the board/trustee function.

### Fees and charges\*

	MEMBER	NON-MEMBER
Public workshop	\$880	\$1,025

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA's Fees and Refunds Policy and Procedure which outlines ASFA's approach to managing fees and refunds.

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#### PREVIOUS DELIVERY PARTNERS



# SuperCPD Trustee

**ASFA's new online continuing professional development (CPD) solution purpose-built for superannuation trustees.**

SuperCPD Trustee is designed and delivered by leading industry experts, and the only structured online CPD solution designed specifically for superannuation trustees.

LEVEL	CPD POINTS	DURATION
Strategic   Execution	Up to 20 annually	12-month subscription



### Flexible online

### Learning outcomes

Learning outcomes will vary across topics per edition. SuperCPD Trustee is a simple way for trustees to satisfy APRA's "fit and proper" obligations. It is an online professional development solution that allows trustees to stay up to date with the latest industry developments and earn up to 20 CPD points a year, with access to around 20 hours of content annually.

### Suitable for

SuperCPD Trustee is purpose-built and designed for superannuation trustees and alternate trustees/directors. It addresses the specific obligations of superannuation trustees and provides knowledge and skills to meet those obligations. It is also suitable for responsible managers under an AFSL and responsible officers under an RSE licence, as well as CEOs, Managing Directors, Business Heads, and those supporting the trustee function.

### Fees and charges\*

**Pricing for a 12-month subscription:**

	MEMBER	NON-MEMBER
Flexible online	\$495	\$570

\* The above prices are inclusive of GST. Please refer to ASFA's Fees and Refunds Policy and Procedure which outlines ASFA's approach to managing fees and refunds.

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# Super Industry Update

A live and interactive virtual workshop that provides an update of recent important legislation and changes that have impacted the super industry, along with insight into what is on the horizon.

Whether you have specific questions around what has recently changed or are after a succinct overview of the current industry landscape, this fully interactive one-hour virtual workshop will bring your industry knowledge up to date.

LEVEL	CPD POINTS	DURATION
Strategic   Execution   Support	1	1 hour



Virtual workshop



Corporate workshop

### Learning outcomes

The superannuation industry is constantly changing and evolving. This concise virtual workshop—featuring a live presenter and opportunities to interact with fellow learners—provides an overview of the current super landscape including:

- key topical issues occurring in super
- recent and pending legislation changes
- updates to regulatory policies and standards
- latest economic and financial developments
- what’s on the horizon – bills before Parliament and pending obligations.

### Suitable for

Super Industry Update is ideal for super industry professionals working in any of the following areas:

- executive team and board of directors
- senior management
- risk and compliance
- administration
- member facing staff
- operations
- financial planning
- marketing and communications
- HR/Professional Development.

### Fees and charges\*

	MEMBER	NON-MEMBER
Virtual workshop	\$195	\$250

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA’s Fees and Refunds Policy and Procedure which outlines ASFA’s approach to managing fees and refunds.

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# Super Professional

**Super training to help you get ahead.**

Presented by leading industry experts, these engaging and practical virtual workshops will keep you abreast of current issues and new legislation.

LEVEL	CPD POINTS	DURATION
Strategic   Execution	1	1 hour



**Virtual workshop**



**Corporate workshop**

### Learning outcomes

Super Professional is a series of 1-hour virtual workshops that allow functional managers and leaders to quickly enhance their personal effectiveness, become a subject matter expert and be seen as an ‘up and comer’ in their organisation. It provides participants with the practical skills and knowledge to excel in their chosen areas of technical expertise by delivering topical, practical, expert-led learning.

### Suitable for

Super Professional is for functional managers and leaders of the superannuation industry:

- trustees and directors
- CEOs, and senior management staff
- business heads
- governance
- compliance and risk professionals
- those who support the board/trustee function.

### Fees and charges\*

	MEMBER	NON-MEMBER
Public workshop	\$195	\$250

**Corporate workshop prices upon application.**

\* The above prices are inclusive of GST. Please refer to ASFA’s Fees and Refunds Policy and Procedure which outlines ASFA’s approach to managing fees and refunds.

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# RG 146 Superannuation

The super industry's premier compliance course.

Designed specifically for the superannuation industry, RG 146 Superannuation satisfies the ASIC requirements for the provision of general advice in superannuation.

“ ASFA RG 146 provides us with the ability to easily skill our people in the necessary legislative requirements for the work they do... [and the] new flexible eLearning program has allowed us to segment our training to fit around internal requirements. ”

- Manager of Org Capability Talent & Engagement, Sunsuper

LEVEL	CPD POINTS	DURATION
Support	20	Approx 20 hours



**Flexible online**



**Virtual workshop**



**Public workshop**



**Corporate workshop**



**Blended learning**

### Learning outcomes

ASFA's RG 146 Superannuation has recently been redesigned with convenience, speed and relevance in mind to give you, or your organisation, the leading edge – now in less time than it did previously. The newly upgraded course features a streamlined course structure, more targeted content and clearer explanations of key concepts. It comprises nine modules covering:

- what makes up the super industry and how it operates
- governance, legislation and regulation of the super industry and the responsibilities of trustees
- types of contributions
- how super is invested and the trustees' role in investing
- insurance in super
- super benefits and when they can be paid
- member communications, types of advice, and internal and external dispute resolution requirements
- the main types of financial markets in Australia and the impact of economic factors and government policies
- planning for retirement and the Age Pension.

### Suitable for

ASFA's RG 146 Superannuation is ideal for experienced industry professionals wanting to build on their technical knowledge or those needing to engage directly with super fund members.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$799	\$925
Virtual workshop	\$1,200	\$1,480
Public workshop	\$1,499	\$1,735

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA's Fees and Refunds Policy and Procedure which outlines ASFA's approach to managing fees and refunds.

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# RG 146 Superannuation Refresher

**Refresh your industry knowledge.**

A quick, convenient way to keep up to date with the latest changes to the super industry and help maintain your RG 146 compliance in super.

LEVEL	CPD POINTS	DURATION
Support	3	Approx 3 hours



**Flexible online**



**Virtual workshop**



**Corporate workshop**

### Learning outcomes

ASFA’s RG 146 Superannuation Refresher recaps the key points from RG 146 and provides an update of any new legislation or industry changes. By completing this course, you will get an update on any changes that impact the RG 146 superannuation specialist knowledge areas including:

- operation and management of the superannuation industry
- taxation
- legal environment – disclosure and compliance.

### Suitable for

RG 146 Superannuation Refresher has been developed specifically for people who are already RG 146 compliant in super. It is also suitable for anyone in need of a super industry refresher course.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$395	\$455
Virtual workshop	\$395	\$455

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA’s Fees and Refunds Policy and Procedure which outlines ASFA’s approach to managing fees and refunds.

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# SuperCPD

**ASFA's  
flagship online  
continuing  
professional  
development  
(CPD) product.**

Published quarterly, SuperCPD offers an engaging learning experience through a combination of text and video content, featuring commentary from some of the industry's leading experts.

LEVEL	CPD POINTS	DURATION
Support	Up to 20 annually	12-month subscription



**Flexible online**

### Learning outcomes

Learning outcomes will vary across topics per edition. SuperCPD is a simple way to stay up to date with the latest super industry developments. It offers the opportunity to earn at least 20 CPD points a year, making it easier to maintain compliance.

### Suitable for

SuperCPD is suitable for all superannuation professionals, from administration to management level. It is especially ideal for:

- anyone who needs to maintain their RG 146 compliance
- middle operational management, call centre staff and administrators
- responsible managers under an AFSL and responsible officers under an RSE licence.

### Fees and charges\*

**Pricing for a 12-month subscription:**

	MEMBER	NON-MEMBER
Flexible online	\$495	\$570

\* The above prices are inclusive of GST. Please refer to ASFA's Fees and Refunds Policy and Procedure which outlines ASFA's approach to managing fees and refunds.

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# General Advice Skills Program

Take your general advice from good to great.

If you are already RG 146 compliant and certified to provide general advice in superannuation, the General Advice Skills Program is designed to give you everything you need to deliver effective general advice in super; the knowledge, the skills and the confidence. For those not yet RG 146 compliant and certified to provide general advice in super, you should first complete ASFA's RG 146 Superannuation course.

LEVEL	CPD POINTS	DURATION
Support	6	Approx 6 hours



**Flexible online**



**Virtual workshop**



**Corporate workshop**

### Learning outcomes

By completing this course, it is expected that learners will be able to display a knowledge and understanding of the following areas:

- the differences between personal advice, general advice and factual information
- the Australian Financial Services Licence requirements for providing advice
- how to comply with conduct and disclosure obligations
- how to provide useful, relevant and accurate general advice in super
- general advice boundaries and how to minimise risks and avoid compliance breaches when providing advice
- how to select and use effective communication strategies when dealing with clients
- how to confidently speak to clients and members using active listening and effective questioning skills
- strategies for retaining members
- the importance of propriety and professionalism when providing advice.

### Suitable for

General Advice Skills Program has been specifically designed for front-facing staff who provide information or financial product advice directly to clients, such as:

- contact centre staff
- relationship managers, or other staff responsible for running educational seminars for super fund members
- sales and marketing team members.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$495	\$570
Virtual workshop	\$495	\$570

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA's Fees and Refunds Policy and Procedure which outlines ASFA's approach to managing fees and refunds.

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# Factual Information vs Financial Product Advice

An interactive and engaging online course on how to provide useful, relevant and accurate factual information without crossing the line.

Good quality factual information can often be useful for members wishing to better understand the financial products or strategies available to them.

LEVEL	CPD POINTS	DURATION
Support	1	Approx 1 hour



**Flexible online**



**Virtual workshop**



**Corporate workshop**

### Learning outcomes

By completing this course, it is expected that learners will be able to display a knowledge and understanding of the following areas:

- factual information and financial product advice, and the differences between them
- the differences between general and personal financial product advice
- how to provide useful, relevant and accurate factual information whilst avoiding providing financial product advice when you are not licensed to do so
- factual information boundaries and how to minimise risks and avoid compliance breaches.

### Suitable for

This course will suit anyone who wants to learn what it takes to deliver effective factual information without breaching AFSL requirements by providing financial product advice when not authorised to do so. It is designed specifically for front-facing support staff who provide information directly to members, such as:

- contact centre staff
- relationship managers
- staff responsible for running educational seminars for super fund members
- sales and marketing team members.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$195	\$250
Virtual workshop	\$195	\$250

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA’s Fees and Refunds Policy and Procedure which outlines ASFA’s approach to managing fees and refunds.

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# RG 271 Member-Focused Complaints Handling program

**Fairly and effectively handle member complaints.**

An interactive and engaging blended learning program designed to train front-facing staff on fairly and effectively handling member complaints, and to satisfy ASICs requirements to *“provide targeted induction and ongoing training to staff who handle complaints”* (RG 271.150).

LEVEL	CPD POINTS	DURATION
Support	3	Approx 3 hours



**Flexible online**



**Virtual workshop**



**Corporate workshop**

### Learning outcomes

ASFA’s RG 271 Member-Focused Complaints Handling program is delivered in a blended format featuring an interactive online e-Learning module covering the theory and legislative requirements of RG 271, together with an engaging 2-hour workshop that ‘goes beyond the technical’ to provide practical guidance and tips, including active listening and effective communication, tips for identifying vulnerable complainants and dealing with conflict, as well as opportunities to practice the learnings in small break out groups. A final online quiz confirms staff understanding of the learnings from the program.

### Suitable for

This course will suit all staff within superannuation funds or service providers to the superannuation industry as per ASIC’s RG 271 requirement of “providing training to all staff, not just complaints management staff, about the IDR process” (RG 271.132). It is especially designed for:

- front line complaints handling staff
- staff dealing with escalated complaints.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$295	\$350

\* The above prices are inclusive of GST. Please refer to ASFA’s Fees and Refunds Policy and Procedure which outlines ASFA’s approach to managing fees and refunds.

[Click to Enrol Now](#)

# Super Essentials

**For a concise overview of the Australian superannuation system anywhere, anytime.**

The technical jargon, constantly changing legislation, and the general complexity of the superannuation industry can be overwhelming. ASFA’s Super Essentials course demystifies super and is ideal for anyone working in the super industry or in any related field.

LEVEL	CPD POINTS	DURATION
Strategic   Execution   Support	3.5	Approx 3.5 hours



**Flexible online**



**Virtual workshop**



**Corporate workshop**

### Learning outcomes

Super Essentials provides an understanding of how super and the industry works. Upon completion it is expected learners will be able to display a knowledge and understanding of the following areas:

- the importance of superannuation and how the super system works
- the different types of super funds and industry structures
- the legislation and regulation governing the super industry
- the different types of super contributions
- how superannuation money is invested
- how insurance is provided through super
- types of benefits and conditions of release.

### Suitable for

Whether you’re new to the industry, needing to understand how super works, or in a senior role requiring a quick refresher, Super Essentials is a great resource. Anyone working in a superannuation role will benefit from learning about the industry, including client services/contact centres, administration, marketing and communications, HR and payroll, IT/operations and trustees.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$495	\$570
Virtual workshop	\$495	\$570

**Classroom corporate learning:** Corporate prices upon application.

\* The above prices are inclusive of GST. Please refer to ASFA’s Fees and Refunds Policy and Procedure which outlines ASFA’s approach to managing fees and refunds.

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# FNS40920 Certificate IV in Superannuation

The super industry's premier introductory course for over 20 years (formerly known as ASFA 100).

Provides a comprehensive introduction to the Australian super system.

LEVEL	CPD POINTS	DURATION
Support	24	12 months



**Flexible online**

### Learning outcomes

ASFA's Certificate IV in Superannuation (FNS40920) is a nationally recognised qualification that covers a range of administrative related topics such as assisting with meeting industry compliance requirements, administering income streams, processing contributions, establishing and maintaining employer accounts and processing benefits, claims and payments.

### Suitable for

This course will suit individuals in, or aspiring to work in, administrative or specialist roles within superannuation funds or service providers to the superannuation industry. It is also a great course for new employees in professional and management roles to undertake before they commence work in the super industry.

Designed for individuals who want to work in customer service and administration roles within superannuation such as:

- fund administrator
- superannuation contact centre administrator
- superannuation contact centre operator
- customer service officer
- member service consultant.

### Fees and charges\*

	MEMBER	NON-MEMBER
Flexible online	\$1,250	\$1,450

\* The above prices are inclusive of GST. Please refer to ASFA's Fees and Refunds Policy and Procedure which outlines ASFA's approach to managing fees and refunds.

### Enrolment

To enrol or for further information including entry requirements, units of competency, and how you'll be assessed, click the link below.

[Details & Enrollment](#)

# AFSL Audits

**Assurance that your member-facing representatives are complying with your Australian Financial Services (AFS) licence requirements.**

LEVEL	CPD POINTS	DURATION
Support	N/A	Approx 1 hour



**AFSL audit interviews can be conducted over the phone or in an online format via video conference.**

### What is an AFSL Audit?

Each AFSL Audit is conducted as a one-on-one interview between an adviser and a qualified ASFA assessor.

ASFA has pre-built technical interview templates which can be customised to a fund’s product or any other specific requirements. Interview questions cover the following topics:

- regulatory & licensing requirements
- provision of financial advice
- differences between factual information, general advice and personal advice
- current superannuation rates and thresholds
- conditions of release
- taxation of benefits
- insurance
- investment.

Upon completion of the audit interviews ASFA will provide a written report on each adviser highlighting any knowledge gaps, as well as an overall report for management (if more than one interview conducted), detailing any issues or trends discovered during the interview process. These reports can be a useful tool for tailoring professional development for advisers.

### Suitable for

ASFA’s AFSL Audits are ideal for experienced industry professionals who engage directly with super fund members.

ASFA’s AFSL Audits can provide funds and service providers with peace of mind and assist in determining whether representatives have a practical understanding of the difference between general and personal advice, as well as a working knowledge of relevant legislation and topical issues.

### Fees and charges\*

To discuss your AFSL Audit requirements and specific pricing please contact us.

[More Information](#)

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