asfa LEARNING

Capability Checklist

Assess capability across your team/organisation.

Rate each statement using:

3 = Strong 2 = Developing 1 = Gap N/A = Not applicable

A) UNDERSTAND - Superannuation knowledge

Assess the team's understanding of core super concepts, terminology and industry fundamentals.

Our people can...	3	2	1	N/A
Explain how Australia's superannuation system works	◯	◯	◯	◯
Explain the roles of funds, trustees, regulators and other industry participants	◯	◯	◯	◯
Understand the fundamentals of contributions and benefits	◯	◯	◯	◯
Understand key insurance, investment and retirement concepts	◯	◯	◯	◯
Apply superannuation terminology confidently and correctly	◯	◯	◯	◯

B) COMPLY - Compliance & professional practice

Assess how confidently and consistently your team applies regulatory and professional obligations.

Our people can...	3	2	1	N/A
Understand the boundaries between factual information, general advice and personal advice	◯	◯	◯	◯
Recognise and appropriately escalate potential breaches and incidents	◯	◯	◯	◯
Handle member information appropriately and protect privacy	◯	◯	◯	◯
Recognise fraud, scams and suspicious activity	◯	◯	◯	◯
Understand key AML/CTF responsibilities relevant to their role	◯	◯	◯	◯
Identify and manage conflicts of interest	◯	◯	◯	◯
Demonstrate appropriate ethical and professional conduct	◯	◯	◯	◯

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C) SERVE - Member experience

Assess your team's capability to manage member interactions with clarity, empathy and consistency.

Our people can...	3	2	1	N/A
Explain complex information in language members can understand	◯	◯	◯	◯
Navigate challenging or emotionally charged conversations	◯	◯	◯	◯
Identify when a member may be experiencing vulnerability	◯	◯	◯	◯
Adjust their approach to support different member needs	◯	◯	◯	◯
Recognise potential financial abuse and respond appropriately	◯	◯	◯	◯
Handle complaints confidently and constructively	◯	◯	◯	◯
Balance member needs with regulatory and organisational requirements	◯	◯	◯	◯

D) DEEPEN - Technical & role capability

Analyse complex issues and apply sound judgement to reach appropriate decisions.

Our people can...	3	2	1	N/A
Demonstrate the specialist technical knowledge required for their role	◯	◯	◯	◯
Apply technical knowledge to real-world scenarios	◯	◯	◯	◯
Understand how changes to legislation and regulation affect their work	◯	◯	◯	◯
Find reliable information when they are unsure	◯	◯	◯	◯
Make confident decisions within the scope of their role	◯	◯	◯	◯

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E) LEAD - Leadership & capability culture

Demonstrate strategic leadership and sound decision-making.
Understand and fulfil governance, risk and accountability duties.

Our people can...	3	2	1	N/A
Regularly coach employees rather than relying only on formal training	◯	◯	◯	◯
Identify knowledge and skill gaps within their teams	◯	◯	◯	◯
Give useful feedback that improves performance	◯	◯	◯	◯
Reinforce quality and member experience expectations	◯	◯	◯	◯
Encourage continuous learning and professional development	◯	◯	◯	◯
Create opportunities for employees to apply new learning	◯	◯	◯	◯

F) EVOLVE - Continuous professional development

Assess whether ongoing development is structured, relevant and linked to business and member outcomes.

Our people can...	3	2	1	N/A
Regularly refresh their technical and industry knowledge	◯	◯	◯	◯
Adapt learning to regulatory and industry change	◯	◯	◯	◯
Engage in meaningful CPD beyond simply meeting compliance requirements	◯	◯	◯	◯
Apply new knowledge and skills to improve their performance and effectiveness	◯	◯	◯	◯
Adapt to changing technologies, industry expectations and ways of working	◯	◯	◯	◯

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Capability Checklist

Build capability with confidence.

Use the checklist

Complete the checklist individually or with leaders to understand current capability levels.

Identify the gaps

Look for patterns in the ratings to highlight areas that need the greatest focus.

Prioritise action

Turn your insights into a targeted development plan for the next 6-12 months.

What to do next

If you mostly got:

3

Continue to build on your strengths. Focus on specialist development and continuous capability uplift.

2

Strengthen consistency. Targeted development can build greater confidence and consistency.

1

Prioritise the gaps. Focus first on areas with the greatest member, compliance or performance impact.

What did you discover?

Our strongest capability areas are:

Our three biggest capability gaps are:

The capability we most need to build in the next 6-12 months is: