



Australian Government

**Assessment Requirements for FNSORG401
Conduct individual work within a
compliance framework**

Release: 1

Assessment Requirements for FNSORG401 Conduct individual work within a compliance framework

Modification History

Release	Comments
Release 1	This version first released with FNS Financial Services Training Package Version 1.0.

Performance Evidence

Evidence of the ability to:

- map legislative and regulatory requirements to own work practices to demonstrate knowledge of compliance requirements
- maintain necessary organisational records in accordance with compliance requirements
- monitor and respond to changes in compliance requirements.

Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.

Knowledge Evidence

To complete the unit requirements safely and effectively, the individual must:

- identify and describe key features of relevant legislative and regulatory requirements relating to work practices
- describe key features of relevant codes of practice
- explain key compliance requirements of organisational policy and procedures
- provide a comprehensive explanation of individual work requirements and practices
- describe methods for obtaining information about interpreting or determining changes to compliance requirements.

Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the organisational skills field of work and include access to:

- common office equipment, technology, software and consumables
- financial services product information
- organisational policy and procedures information.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=c7200cc8-0566-4f04-b76f-e89fd6f102fe>