



Australian Government

Assessment Requirements for FNSINC411 Conduct work according to professional practices in the financial services industry

Release: 1

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Modification History

Release	Comments
Release 1	This version first released with FNS Financial Services Training Package Version 4.0.

Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- complete at least two work tasks according to professional practices in the financial services industry.

In the course of the above, candidate must:

- interpret and comply with organisational, legislative, and regulatory requirements.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- key features of documents related to own job role required to produce the performance evidence including:
 - organisational policies and procedures
 - guidelines
 - legislation
 - regulation
- industry codes of practice required to produce the performance evidence
- ethical considerations pertaining to own job role
- industry, organisational and community expectations of dealing with products, services and clients in the financial services industry
- communication pathways within financial services organisations
- key professional development opportunities in the financial services industry.

Assessment Conditions

Skills in this unit must be demonstrated in a workplace or simulated environment where the conditions are typical of those in a working environment in this industry.

This includes access to:

- organisational policies, procedures, legislation, regulation and codes of practice
- common office equipment, technology, software and consumables.

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

Links

Companion Volume Implementation Guide is found on VETNet -

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