



CATAPULT

FNSINC301

Work effectively in the financial services industry

Table of Contents (Extract)

NOTE: This is a sample only. This cover page is not included in Catapult Smallprint's printed books.

This Table of Contents extract is taken from Catapult Smallprint's full hardcopy Trainer/Assessor Guide for the unit FNSINC301.

For more information, including using our enhanced online version of this unit in Catapult LMS, or to purchase the Learner or Trainer printed books, please see this unit on our website by clicking this link:

<https://catapultlearning.com.au/product/FNSINC301/>

Trainer/assessor guide

FNSINC301

Work effectively in the financial services industry

Welcome to this unit of study

This unit describes the skills and knowledge required to correctly interpret and apply industry and organisational procedures, guidelines, policies, ethical standards and sustainability requirements to day-to-day work in the financial services industry.

It applies to individuals with the fundamental skills required to work in the financial services industry and underpins other units used in all sectors of the industry.

Work functions in the occupational areas where this unit may be used are subject to regulatory requirements. Refer to the FNS Implementation Guide Companion Volume or the relevant regulator for specific guidance on requirements.

It may be undertaken as:

- » part of a formal qualification nationally recognised through the Australian Qualifications Framework (AQF)
- » a stand alone unit
- » part of a formal skill set

Contents

About this trainer/assessor guide	4
Learning resource	5
Topic 1: Work within industry guidelines, procedures and legislation	5
The financial services industry	5
Environmentally sustainable work practices.....	18
Carrying out work tasks	25
Organisational philosophy, values and objectives	29
Guidelines, procedures and legislation.....	37
Check your understanding	43
Topic 2: Communicate in the workplace	45
Listening and speaking skills	45
Responding to instructions or enquiries	53
Style, format and accuracy	55
Developing and maintaining relationships, trust and confidence.....	61
Check your understanding	65
Topic 3: Work safely	67
Safety procedures.....	67
Designated persons for safety in the workplace	70
Eliminating workplace hazards and reducing risk.....	72
Responding to emergencies.....	75
Check your understanding	77
Topic 4: Use workplace technology.....	79
Information management systems.....	79
Using software effectively.....	84
Check your understanding	89
Topic 5: Work in a team environment	91
Supporting team members to ensure goals are met.....	91
Contributing to work group goals and tasks	93
Sharing information relevant to group work activities	95
Sharing opportunities for improvement of group activity	96
Check your understanding	99
References.....	101
Assessment workbook	103
Unit information.....	105
What is competency-based assessment?.....	106
How will my competency be assessed?.....	107
Assessment agreement.....	108
Foundation skills checklist.....	109

Skills recognition	110
Topic 1: Work within industry guidelines, procedures and legislation	111
Topic 2: Communicate in the workplace	112
Topic 3: Work safely	113
Topic 4: Use workplace technology.....	114
Topic 5: Work in a team environment	115
Knowledge questions	116
Topic 1: Work within industry guidelines, procedures and legislation	117
Topic 2: Communicate in the workplace	127
Topic 3: Work safely	133
Topic 4: Use workplace technology.....	139
Topic 5: Work in a team environment	142
Performance tasks	149
Third party evidence collection agreement	150
Topic 1: Work within industry guidelines, procedures and legislation	151
Topic 2: Communicate in the workplace	154
Topic 3: Work safely	157
Topic 4: Use workplace technology.....	160
Topic 5: Work in a team environment	162
Completion record	164
Unit mapping and assessment checklist	165
Trainer/ assessor user instructions	169

About this trainer/assessor guide

Learning resource

The learning resource is divided into the following topics:

- » Work within industry guidelines, procedures and legislation
- » Communicate in the workplace
- » Work safely
- » Use workplace technology
- » Work in a team environment

Each topic provides information to help you gain the skills and knowledge required to perform the work tasks to which they refer. Read the information and practise the skills described. You should also take the opportunity to undertake additional independent research. Your trainer/assessor may also provide supplementary information including interpretation of the contents of this resource.

At the end of each topic is:

- » a set of true or false questions
- » a set of multiple choice questions

These questions provide an opportunity to check your understanding and progress. They are self-marking and do not form part of the assessment for the unit.

Assessment workbook

To have this unit recognised as a formal qualification you need to have your skills and knowledge assessed. The assessment workbook provides:

- » information on competency-based assessment
- » instructions on how you will be assessed
- » assessment tools to assess your competence
- » instructions on how to complete the assessment tasks within each assessment tool

To be assessed as competent you need to provide evidence that you have the skills and knowledge to undertake the requirements of this unit. This assessment of competency is made by a qualified trainer/assessor from a registered training organisation. You must complete all the assessments as directed by your trainer/assessor to the required standard. It is not necessary to work through the guide in the order in which it is written. However this is at the discretion of your trainer/assessor.

Disclaimer

Information contained in this resource is drawn from sources believed to be reliable. The firm, its employees, agents and contractors do not warrant the correctness of the sources used and accept no responsibility to any person for any errors or omissions or for any loss or damage howsoever caused from the use of this resource.
