



The National Finance Institute

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RECOGNITION OF PRIOR LEARNING (RPL) FNS41815 Certificate IV in Financial Services

What is RPL

The National Finance Institute recognises the skills and knowledge gained through work experience and/or past study. With applicants' diverse backgrounds, sufficient experience and expertise may have been attained in the industry to exempt applicants from standard course requirements. The certificate issued by NFI is a nationally recognised qualification and accepted by industry bodies. Applicants for RPL must provide evidence that demonstrates competency in each unit of competency.

Which Qualification

Please confirm by ticking the box below that this is the qualification you are seeking to attain:

- FNS41815 Certificate IV in Financial Services**

RPL Procedure

Your submission should include the following items. It is envisaged but not mandatory that applicants will have a minimum of two (2) years' experience in their financial services role to qualify for RPL.

Once assembled, please tick below to confirm you have included these items.

- Print the attached **Competency Statement/Checklist** and complete it in conjunction with your chosen peer/superior or BDM.
- Provide a **detailed CV of the peer** or superior signing off the RPL application as verification of their qualification to sign off the application.
- Provide a **detailed CV** demonstrating your experience in the industry. This CV must be verified by a peer or superior. You should also highlight any educational qualifications you have achieved or courses you have completed. Evidence by way of Statements of Transcripts should be included.
- Include a **Portfolio** containing evidence of work history, prior training, skills and knowledge which will be assessed against the competencies as outlined in the Checklist. [This portfolio may form a part of your CV and evidence may include other course certificates/qualifications, accreditations, marketing material, personal references, samples of work, etc.] Higher qualifications in relevant topics require an outline of the topic/s completed as provided by the institution.
- Include a **Case Study** of one of your completed customer applications (if you have approval authorities) including your file notes. If you are involved in collections provide an outline of the process you would follow in a typical collections matter. Any case study should exclude a client's supporting docs and please ensure that information confidential to your client is "blacked out" eg. client name, address, contact details, etc.]. If you are in a back office or supervisory or managerial role that does not involve loan approval or collection work please provide a **detailed job description**.
- Please complete the page 3 of this document including the payment authorisation.

The Assessment Process

The documentation submitted by the applicant to NFI will be assessed against each unit of competency applied for. The evidence submitted will be assessed using the following criteria:

- Is the applicant's experience and/or prior study relevant to this qualification?
- Is the applicant's knowledge and skill current?
- Has the applicant's CV been verified as true and correct?
- Does the knowledge level and skills held by the applicant and proven through the applicant's submission prove a level of competency for each unit for which the applicant is applying?

The NFI assessor will then make one of three decisions:

- Accept the application and grant recognition for the qualification
- Request further information from the applicant because the assessor was unable to make a decision on the evidence provided
- Recommend that further assessment or training is undertaken to achieve one or more units of competence. The applicant will then be advised which subjects or assessments are required to be completed. If full RPL is not approved, any fee already paid for the RPL application may go towards the qualification for which the applicant was seeking RPL. Following advice of the outcome, the \$695 fee payable for the RPL review is non-refundable if the applicant determines that they no longer wish to pursue the qualification. A Statement of Attainment will be issued for any units that have been approved through RPL.

What Will I Receive

The assessment decision will be made within 2 to 3 weeks of submission. Documentation received by NFI will not be returned to the applicant as it is required to be retained for internal audit purposes. If the applicant is granted RPL for their chosen qualification they will receive by mail an original certificate and the transcript of competencies that form the qualification along with the receipt for payment. For some applicants the RPL assessor will make the determination that some units qualify under RPL and other units may require study. Credit Transfer may also play a part if prior study has occurred. If study of a unit is to be undertaken with NFI the fee is \$139 for online study or \$179 for online study with a printed manual provided. There is no GST component.

How to Submit your Application

Applicants can post or scan/email to NFI as below. Applications received by email will be assessed more quickly than those received by fax or mail.

Post: **RPL Coordinator**
The National Finance Institute
P O Box 1354, Capalaba Business Centre Qld 4157

Scan: **enquiries@financeinstitute.com.au**

The attached checklist must be completed. The checklist is verification by a third party that you are proficient in all areas of the industry core, sectoral core and select elective units. There is no pass or fail for the RPL process.

APPLICANT'S DETAILS

First Name: _____ Gender: Male Female

Middle Name (if applicable): _____ Date of birth: _____

Surname: _____

Address: _____

Contact details: Phone: _____ Mobile: _____

Email: _____

Additional information required below for education department purposes:

Country of birth: _____ City of birth: _____

Australian citizen: Yes No - if No, what is your country of citizenship: _____

Current employment status: Full time Part time Self-employed Not working/made redundant

Language spoken at home: _____ Proficiency in spoken English: Very well Well Poor

What year did you finish high school? _____

Highest level of education completed: Bachelor Diploma Certificate Year 12

Other: _____

Reason for seeking this qualification: Requirement of my job To get a job
 To try for a different career Self-development

What is your USI? _____ (A USI is essential)

If you don't have a USI (Unique Student Identifier) please create one at www.usi.gov.au

PAYMENT METHOD

PayPal - PayPal payment – please tick here and we will email you a PayPal link request for payment

Cheque - Payable to The National Finance Institute, P.O. Box 1354, Capalaba BC Qld 4157

Direct Deposit - The National Finance Institute, BSB 114 879, Account 003 139 833

Credit Card: _____

Expiry date: _____ **CCV:** _____

Name on Card: _____

Total Amount: \$ _____ \$695 Certificate IV by RPL only; or
 \$695 Part Certificate IV by RPL plus \$139 per unit for _____ study units

Please print or sign your name below to agree to NFI's terms and conditions:

_____ Today's Date: _____

By submission trainees agree to The National Finance Institute's terms and conditions available at www.financeinstitute.com.au

COMPETENCY STATEMENT / CHECKLIST

FOR RECOGNITION OF PRIOR LEARNING

To be completed and signed by a superior or peer of the applicant.

The person making this statement must be suitably qualified to answer the questions and provide a CV as evidence of the qualifications or experience to adjudicate the applicant.

The person making this statement must ensure that their responses are true and accurate and that they may be called upon to provide evidence if required in a court of law.

Details of Person Declaring (ie. the Applicant's peer / superior / BDM)

Name: _____

Company and Position (if applicable): _____

Address: _____

Contact details: Phone: _____ Mobile: _____

Email: _____

Signature: _____ Date: _____

Applicant's Details:

Name: _____

Address: _____

Contact details: Phone: _____ Mobile: _____

Email: _____

Applicant's name:

It is certified that the applicant has the following skills and knowledge and can demonstrate the following competencies.

FNS41815 Certificate IV in Financial Services RPL Checklist

The following competencies have been chosen for this RPL submission:

CORE (Please tick 1)

- FNSINC401 Apply principles of professional practice to work in the financial services industry

ELECTIVES (Please tick 12 only below)

- BSBWOR203 Work effectively with others
- FNSASIC301 Establish client relationship and analyse needs
- FNSASIC302 Develop, present and negotiate client solutions
- FNSACC412 Prepare operational budgets
- FNSACC413 Make decisions in a legal context
- FNSACC405 Maintain inventory records
- FNSTPB402 Establish and maintain payroll systems
- FNSCUS402 Resolve disputes
- FNSSAM402 Implement a sales plan
- BSBCUS403 Implement customer service standards
- FNSCRD401 Assess credit applications
- FNSCRD402 Establish and maintain appropriate security
- FNSCRD403 Manage and recover bad and doubtful debts
- FNSCRD404 Utilise the legal process to recover outstanding debt
- FNSCRD405 Manage overdue customer accounts
- BSBADM405 Organise meetings
- BSBCMM401 Make a presentation
- BSBCOM401 Organise and monitor the operation of compliance management system
- BSBCOM402 Implement processes for the management of a breach in compliance
- BSBCUE405 Survey stakeholders to gather and record information
- BSBCUS401 Coordinate implementation of customer service strategies
- BSBCUS402 Address customer needs
- BSBINM401 Implement workplace information systems
- BSBITU402 Develop and use complex spreadsheets
- BSBLDR402 Establish effective workplace relationships
- BSBLDR403 Lead team effectiveness
- BSBMGT401 Show leadership in the workplace
- BSBMGT403 Implement continuous improvement
- BSBMGT405 Provide personal leadership
- BSBREL402 Build client relationships and business networks
- BSBRES401 Analyse and present research information
- BSBRKG404 Monitor and maintain records in an online environment
- BSBRSK401 Identify risk and apply risk management processes
- BSBSMB407 Manage a small team
- BSBWOR404 Develop work priorities

Please complete below those units that match those chosen on the previous page. Indicate by ticking in this column

CORE

FNSINC401 Apply principles of professional practice to work in the financial services industry

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify scope, sectors and responsibilities of industry	1.1 Identify and consider external forces impacting on financial services industry while carrying out activities 1.2 Identify main sectors of financial services industry and interrelationship between sectors in carrying out activities 1.3 Identify roles and responsibilities of other participants in financial services industry in carrying out activities	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Identify and apply guidelines, procedures and legislation	2.1 Collect, apply and analyse information on relevant legislation, regulations and codes of practice as applied to financial services industry 2.2 Clarify own work practice and regularly refine in light of relevant legislation, regulations and codes of practice, and organisational policy, guidelines and procedures 2.3 Apply relevant codes of practice in an ethical approach to workplace practice and decisions	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Identify sustainability issues	3.1 Obtain and analyse information on sustainability policies, strategies and impacts on industry from a range of sources 3.2 Identify and promote environmental sustainability as an integral part of business planning and business opportunity 3.3 Incorporate and support triple bottom line principles in work planning	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Manage information	4.1. Read and discuss with appropriate persons relevant documents and reports that could impact on work effectiveness and compliance 4.2. Analyse, evaluate and check documents, reports, data and numerical calculations to meet customer and organisational requirements 4.3. Present information in format appropriate for audience	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Participate in and facilitate work team activities	5.1. Provide feedback to team members to encourage, value and reward individual and team efforts and contributions 5.2. Actively encourage team members to participate in and take responsibility for team activities and communication processes 5.3. Support team to identify and resolve problems which impede its performance 5.4. Ensure own work serves as role model for others and enhances organisation's image and financial services industry	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
6. Plan work to be completed	6.1. Determine tasks to be done and identify relevant conditions to work autonomously or in team environment 6.2. Plan work to manage resources, time and priorities 6.3. Contribute to organisational planning process as required to achieve service improvement 6.4. Adapt to changes in technology and work organisation in timely manner	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

7. Develop and maintain personal competency	7.1. Identify and review personal professional development needs and goals on regular basis 7.2. Clarify and comply with competency, authorisation and licensing requirements 7.3. Seek professional development opportunities that reflect needs and goals in agreed timeframe	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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ELECTIVES (Please complete only 12 topics from below)**BSBWOR203 Work effectively with others**

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Develop effective workplace relationships	1.1 Identify own <i>responsibilities and duties</i> in relation to <i>workgroup members</i> and undertake activities in a manner that promotes cooperation and good relationships 1.2 Take time and resource constraints into account in fulfilling work requirements of self and others 1.3 Encourage, acknowledge and act on constructive <i>feedback</i> provided by others in the workgroup	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Contribute to workgroup activities	2.1 Provide <i>support to team members</i> to ensure workgroup goals are met 2.2 Contribute constructively to workgroup goals and tasks according to organisational requirements 2.3 Share <i>information</i> relevant to work with workgroup to ensure designated goals are met 2.4 Identify and plan <i>strategies/opportunities for improvement</i> of workgroup in liaison with workgroup	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Deal effectively with issues, problems and conflict	3.1 Respect differences in personal values and beliefs and their importance in the development of relationships 3.2 Identify any linguistic and cultural differences in communication styles and respond appropriately 3.3 Identify issues, problems and conflict encountered in the workplace 3.4 Seek assistance from workgroup members when issues, problems and conflict arise and suggest possible ways of dealing with them as appropriate or refer them to the appropriate person	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSASIC301 Establish client relationship and analyse needs

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish relationship with client	1.1 Use range of communication and interpersonal skills to establish knowledge level of client 1.2 Respond to enquiries in relation to products and services by explaining range available and associated fee and charging schedule 1.3 Inform client of role of adviser and licensee or principal responsible for adviser's conduct, including procedures for complaints handling and circumstances in which they should be engaged	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Identify client objectives, needs and financial situation	2.1 Employ range of communication and interpersonal skills to gather client personal, financial and business details 2.2 Identify client's needs and product risk profile by encouraging expression of objectives and short-term, medium-term and long-term goals as relevant to product	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

	2.3 Establish and confirm client expectations of cash flow and relevant taxation obligations	
3. Analyse client objectives, needs, financial situation and risk profile	<p>3.1 Undertake assessment of client's needs, using all information gathered and taking into account client's product expectations and specific needs</p> <p>3.2 Consult client throughout analysis for further clarification where necessary</p> <p>3.3 Analyse need for specialist advice and refer client to appropriate adviser for higher level or specialist advice if required</p> <p>3.4 Complete product risk profile of client that demonstrates correct application of ASIC generic and specialist knowledge relevant to products being offered</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSASIC302 Develop, present and negotiate client solutions

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Develop appropriate strategies and solutions	<p>1.1 Determine appropriate strategy to provide for identified needs and outcomes by analysing products and client risk profile, and conducting assessment of client needs</p> <p>1.2 Conduct relevant research, analysis and product modelling, and draft appropriate solution, plan, policy or transaction for presentation to client demonstrating understanding of ASIC identified generic and specialist knowledge relevant to products being offered</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Present appropriate strategies and solutions to client	<p>2.1 Explain and discuss proposed transaction with client in clear and unambiguous way, demonstrating product knowledge appropriate for service or product offered</p> <p>2.2 Ensure that relevant details, terms and conditions of product or service are reinforced to client with impacts and possible risks of solution disclosed in clear and concise manner</p> <p>2.3 Provide client with written supporting documentation and guide client through key aspects of documentation</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Negotiate financial plan, policy or transaction with client	<p>3.1 Discuss and clarify any concerns or issues client has regarding proposed plan, policy or transaction</p> <p>3.2 Seek confirmation to ensure that client understands proposed plan, policy or transaction</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Coordinate implementation of agreed plan, policy or transaction	<p>4.1. Gain client's formal agreement to proposed plan, policy or transaction</p> <p>4.2. Clearly explain and confirm that client understands associated fees, cost structures and timeframes for execution and processing</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Complete and maintain necessary documentation	<p>5.1. Ensure that proposal and all other statutory and transactional documents are completed and signed off by client</p> <p>5.2. Confirm that signed agreement and all copies of appropriate documentation are exchanged</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
6. Provide ongoing service where requested by client	<p>6.1. Ensure that type and form of ongoing service, including reporting on performance and review of plan, policy or transaction, is understood by client</p> <p>6.2. Clearly explain fees and costs for any ongoing and specifically defined services and ensure client understands these expenses</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

	6.3. Provide ongoing services as required	
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FNSACC412 Prepare operational budgets

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare budget	1.1 Confirm budget objectives are consistent with organisational aims, projects and forecasts 1.2 Define cash, expenditure and revenue items and ensure they are relevant to budget 1.3 Discuss and clarify identified budget information with stakeholders according to organisational procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Set budget timeframe	2.1 Identify, confirm and include milestones and performance indicators in budget 2.2 Break down annual budgets into seasonal periods according to organisational operating procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Document budget	3.1 Present data in a clear format appropriate to budget reporting 3.2 Complete and distribute reports for specified periods and projects within agreed timeframes 3.3 Monitor budget variance and seek direction from client or designated person to address variance as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSACC413 Make decisions in a legal context

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Examine legal context of financial services work	1.1 Identify key features of Australian legal systems and processes relating to own role 1.2 Identify functions of courts and other regulatory bodies relating to own role 1.3 Analyse implications of related legislation, regulations and legal precedents for operational decisions, and apply findings in decision-making process 1.4 Seek advice and guidance to evaluate and moderate decision-making processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Identify compliance requirements of financial services work	2.1 Interpret compliance requirements of own financial services work, and confirm interpretation with authoritative source relating to own role 2.2 Review legislative and regulatory sources of information to identify changes to compliance requirements 2.3 Analyse impact of changes to compliance requirements on business operations, policies and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Develop compliance procedures	3.1 Develop procedures in consultation with others to address compliance requirements 3.2 Establish timeframes to meet compliance requirements to align with statutory deadlines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSACC405 Maintain inventory records

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Process inventory purchase	1.1 Record purchase of inventory from appropriate documentation in subsidiary ledger 1.2 Maintain periodic and perpetual records of inventory	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Record inventory flows	2.1 Apply inventory flow assumptions as appropriate 2.2 Value inventory using appropriate valuation rules	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Reconcile inventory records to general ledgers	3.1 Reconcile all inventory records to accounts in accordance with organisational policy, procedures and practices 3.2 Identify and action discrepancies according to organisational policy, procedures and practices	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Prepare inventory schedules and ad hoc reports	4.1 Develop and document schedules of inventory turnover and other procedures 4.2 Prepare spreadsheets and ad hoc reports on inventory status as required or requested	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSTPB402 Establish and maintain payroll systems

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish payroll requirements	1.1 Assess scope of payroll services that a business activity statement (BAS) agent can provide, and identify need for independent expert advice 1.2 Apply knowledge of legislation in relation to National Employment Standards, and legislative requirements in regard to payroll payments 1.3 Research and identify relevant state and modern awards, and employment agreements, regarding details to be set up in payroll system for individual employees	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Record payroll data	2.1 Configure payroll system with complete data provided by employee and employer 2.2 Review payroll data and clarify discrepancies with designated persons 2.3 Enter employee pay period details in payroll system in line with source data	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Prepare and process payroll	3.1 Conduct payroll preparation within designated timeframes and according to organisational policy and procedures 3.2 Use employee source data to calculate, record and reconcile payroll according to legislative requirements 3.3 Reconcile total payments for pay period, and review and correct irregularities or refer them to designated persons for resolution 3.4 Obtain authorisation of payroll and make arrangements for individuals' payments in line with organisational requirements 3.5 Distribute individual pay advice according to organisational and legislative requirements 3.6 Identify legislative and organisational requirements relevant to employment termination processes and payment, and seek advice to interpret requirements as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

	3.7 Produce, review and store payroll records according to organisational policy and security procedures	
4. Handle payroll enquiries	4.1 Respond to payroll enquiries according to organisational and legislative requirements 4.2 Provide information according to organisational and legislative requirements 4.3 Refer enquiries outside area of responsibility or knowledge to designated persons for resolution 4.4 Provide additional information or complete follow-up action within designated timeframes and according to organisational policy and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Maintain payroll	5.1 Maintain information and record keeping relating to payroll function according to current legislative and regulatory requirements 5.2 Prepare and reconcile month-end and year-end payroll records to ensure compliance with legislative and management deadlines 5.3 Update records and systems in line with salary reviews and other changes in employment status 5.4 Establish back-up and disaster recovery systems 5.5 Generate and distribute payroll reports in line with organisational policy 5.6 Extract and apply BAS and instalment activity statement (IAS) data according to legislative and regulatory requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSCUS402 Resolve disputes

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Establish that dispute exists	1.1 Identify all information relating to original problem and clarify grounds for dispute 1.2 Contact all parties to identify and clarify disputed issues and confirm that customer has a legitimate dispute, or that initial complaint has not already been settled to customer's satisfaction 1.3 Ensure that organisational operating procedures have been followed and all information relevant to dispute resolution process is provided to customer 1.4 Obtain additional information from relevant parties as required and manage information exchange appropriately 1.5 Inform customer of organisation's obligations, procedures and timeframes where existence of genuine dispute is established	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Investigate dispute and determine action to be taken	2.1 Collect all information from prior dealings with customer and undertake further investigations if necessary 2.2 Inform customer of progress and advise of any delays 2.3 Determine resolution action with consideration of facts, legislation, organisational policy and procedures and industry codes of practice, and inform appropriate personnel of action to be taken	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Negotiate and resolve dispute	3.1 Inform customer of decision, including reasons if appropriate, and negotiate with claimant or representative if required 3.2 Resolve dispute effectively and in a timely manner, aiming to reduce need for litigation or formal conciliation services 3.3 Respect rights of customer in all dispute settlement procedures and refer any unresolved disputes to formal conciliation services	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

4. Finalise dispute	<p>4.1. Record dispute resolution process outcomes and advise all parties affected by the decision clearly and promptly on the outcome and their rights to review of the decision</p> <p>4.2. Prepare relevant documentation for unresolved disputes which have been referred to formal conciliation services according to legislation, regulations and codes of practice</p> <p>4.3. Act on decisions of external dispute resolution as required</p> <p>4.4. Complete all documentation in accordance with legislation and organisational procedures</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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FNSSAM402 Implement a sales plan

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Implement promotional strategy	<p>1.1 Analyse sales plan to clarify strategy and sales targets</p> <p>1.2 Create promotional package to meet requirements of sales plan, enhance business corporate image and satisfy all relevant legislation, regulations and codes of practice</p> <p>1.3 Implement promotional strategy within budget and in timeframes specified</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Prepare distribution channels	<p>2.1 Identify distribution channels and reach agreements for selling products and/or services</p> <p>2.2 Train personnel to develop product and service knowledge and ensure quality client service is maximised</p> <p>2.3 Distribute promotional materials to salespeople through established distribution channels within appropriate timeframes</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Monitor and review sales plan implementation	<p>3.1 Establish criteria to measure effectiveness of promotional strategy and performance criteria for sales staff and distribution channels, and monitor attainment of forecast sales target</p> <p>3.2 Make adjustments to promotional strategy or product and service distribution, as necessary, to ensure required result is being obtained</p> <p>3.3 Contribute feedback on implementation of sales plan and promotional strategy to sales planning process</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBCUS403 Implement customer service standards

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Contribute to quality customer service standards	<p>1.1 Access, interpret, apply and monitor customer service standards in the workplace according to organisational standards, policies and procedures</p> <p>1.2 Make contributions to the development, refinement and improvement of customer service standards, policies and processes</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Implement customer service systems	<p>2.1 Encourage all personnel to consistently implement customer service systems</p> <p>2.2 Review customer feedback in consultation with appropriate personnel and analyse when improving work practices</p> <p>2.3 Identify customer service problems and make adjustments to ensure continued service quality</p> <p>2.4 Communicate adjustments in service delivery to all those involved, within appropriate timeframes</p> <p>2.5 Coordinate and manage delivery of services and products to ensure they effectively and efficiently meet agreed quality standards</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Implement team customer service standards	3.1 Plan and implement team and work activities to meet customer needs and expectations, and to minimise inconvenience 3.2 Identify resources required to undertake team tasks while meeting required customer service levels	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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FNSCRD401 Assess credit applications

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Satisfy initial enquiry	1.1 Respond to initial customer enquiries on type, range and availability of credit and provide information with courtesy, respect and recognition of special needs of customers 1.2 Provide basic information, such as terms and conditions and interest rate, and determine potential securitisation needs in accordance with credit policy and legislative requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Assess and verify credit information	2.1 Verify credit applications and documentation in accordance with organisational policy and procedures to maintain accuracy of credit database information 2.2 Analyse credit information to establish that sufficient evidence of accurate information has been provided 2.3 Maintain liaison with customers and relevant internal and external personnel to ensure information is kept up to date and disseminated appropriately	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Assess risk	3.1 Identify and evaluate possible risks to determine overall level of risk associated with application 3.2 Identify need to take security, minimise risk exposure and provide protection against risk in accordance with organisational risk management policy 3.3 Document risk assessment in accordance with organisational procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Establish credit terms and limits	4.1 Make decision on how to proceed with credit application based on assessed information and in accordance with organisational risk management policy 4.2 Determine credit terms and limits within organisational credit policy guidelines and advise customers of credit decisions promptly and courteously 4.3 Complete credit account administration according to organisational credit policy and timelines, and legislative requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSCRD402 Establish and maintain appropriate security

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Assess requirement for security	1.1 Undertake risk analysis of credit applications in accordance with organisational credit policy and guidelines to determine requirements for security 1.2 Determine customers' level of risk and identify security requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Identify available security options and suitability of available securities	2.1 Explain requirements for security to customers, considering any special needs of customers 2.2 Identify range of securities available and determine which are appropriate to type of credit facility 2.3 Negotiate with customers to determine security arrangements as required within organisational guidelines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Apply appropriate security	3.1 Analyse assets and conduct valuations to confirm value of security 3.2 Register security interest in accordance with legislative requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Monitor and review effectiveness of security arrangement	4.1 Maintain knowledge of current conditions in market and keep updated on any changes in organisation's credit policy and guidelines 4.2 Monitor customer accounts to confirm appropriateness of security arrangements 4.3 Amend security arrangement documentation to reflect changes in customers' relationships or circumstances where necessary	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSCRD403 Manage and recover bad and doubtful debts

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Implement appropriate course of action to recover outstanding debt	1.1 Review account history and determine appropriate recovery action based on account history 1.2 Advise customers promptly of possible implications of outstanding debts and deal with any objections according to organisational guidelines and legislative requirements 1.3 Document agreed payment arrangements accurately according to organisational system requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Monitor and review effectiveness of recovery action	2.1 Review customer accounts for their adherence to agreed payment arrangements 2.2 Identify customers' non-compliance with agreed arrangements and manage in accordance with organisational guidelines 2.3 Involve internal stakeholders in review and monitoring process as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Re-assess account to determine eligibility for write-off	3.1 Re-assess account to determine if it is appropriate for write-off as agreed payment arrangements have not been met 3.2 Document recommendations for write-off and account closure, complying with legislation and organisational guidelines, that authorised personnel can action	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

FNSCRD404 Utilise the legal process to recover outstanding debt

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Review appropriateness of legal recovery	1.1 Review account history and previous attempts at debt recovery to determine status 1.2 Analyse all documentation to confirm it is accurate and complete	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Instigate legal process	2.1 Confirm within level of delegated authority the appropriate debt recovery action 2.2 Complete all necessary documentation accurately and in accordance with organisational policy and procedures to commence legal proceedings 2.3 Provide advice as required on estimated timeframes for progress of legal proceedings 2.4 Monitor written and verbal reports from service providers and maintain accurate records to reflect progress of legal action	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Implement actions arising from legal process	3.1 Record outcomes of legal proceedings in accordance with the decision and relevant legislation 3.2 Refer matters to authorised personnel for further action where appropriate 3.3 Inform all stakeholders fully of outcomes of legal proceedings	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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FNSCRD405 Manage overdue customer accounts

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify customers requiring collection activity	1.1 Monitor organisational reporting system regularly for possible overdue accounts 1.2 Access relevant customer information and retrieve records 1.3 Review overdue accounts and customer credit histories in accordance with organisational policy and procedures, and relevant legislation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Establish contact with customers and attempt to resolve outstanding payment matters	2.1 Determine proposed communication with customers to collect outstanding payments 2.2 Obtain approval to initiate communication with customers from authorised personnel in the organisation and inform other relevant external parties 2.3 Establish rapport with customers and ensure all communication complies with relevant legislation and organisational policy and procedures 2.4 Advise purpose of contact clearly and comprehensively to customers in accordance with legislative requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Negotiate resolution of outstanding payments	3.1 Advise customers of possibility of legal action and any other implications if outstanding payments are not resolved 3.2 Use appropriate techniques to achieve resolution and record negotiation outcomes accurately 3.3 Schedule further action to be undertaken in relation to outstanding payment matters	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Monitor agreements to ensure adherence	4.1 Review accounts regularly to ensure that payments are received in accordance with negotiated arrangements 4.2 Address breaches of agreements in accordance with organisational policy and procedures, and legislative requirements 4.3 Refer outstanding payment matters to appropriate personnel as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBADM405 Organise meetings

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Make meeting arrangements	1.1 Identify the type of meeting being organised and its purpose 1.2 Identify and comply with any legal or ethical requirements 1.3 Identify requirements of the meeting and its participants 1.4 Make meeting arrangements in accordance with meeting and participants requirements 1.5 Advise participants of meeting details	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Prepare and distribute documentation for meetings	2.1 Prepare notice of meeting, agenda and meeting papers in accordance with meeting requirements 2.2 Check documentation for accuracy and correct any errors 2.3 Distribute documentation to participants within designated timelines 2.4 Prepare spare sets of documents	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Record and produce minutes of meeting	<p>3.1 Take notes with the required speed and accuracy to ensure an accurate record of the meeting</p> <p>3.2 Produce minutes that reflect a true and accurate account of the meeting</p> <p>3.3 Check minutes for accuracy and submit for approval by the nominated person</p> <p>3.4 Dispatch copies of minutes within designated timelines</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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BSBCMM401 Make a presentation

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare a presentation	<p>1.1 Plan and document presentation approach and intended outcomes</p> <p>1.2 Choose presentation strategies, format and delivery methods that match the characteristics of the target audience, location, resources and personnel needed</p> <p>1.3 Select presentation aids, materials and techniques that suit the format and purpose of the presentation, and will enhance audience understanding of key concepts and central ideas</p> <p>1.4 Brief others involved in the presentation on their roles/responsibilities within the presentation</p> <p>1.5 Select techniques to evaluate presentation effectiveness</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Deliver a presentation	<p>2.1 Explain and discuss desired outcomes of the presentation with the target audience</p> <p>2.2 Use presentation aids, materials and examples to support target audience understanding of key concepts and central ideas</p> <p>2.3 Monitor non-verbal and verbal communication of participants to promote attainment of presentation outcomes</p> <p>2.4 Use persuasive communication techniques to secure audience interest</p> <p>2.5 Provide opportunities for participants to seek clarification on central ideas and concepts, and adjust the presentation to meet participant needs and preferences</p> <p>2.6 Summarise key concepts and ideas at strategic points to facilitate participant understanding</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Review the presentation	<p>3.1 Implement techniques to review the effectiveness of the presentation</p> <p>3.2 Seek and discuss reactions to the presentation from participants or from key personnel involved in the presentation</p> <p>3.3 Utilise feedback from the audience or from key personnel involved in the presentation to make changes to central ideas presented</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBCOM401 Organise and monitor the operation of compliance management system

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify compliance roles and responsibilities	<p>1.1 Confirm and interpret the compliance requirements applicable to the organisation</p> <p>1.2 Examine the structure of the organisation to determine the roles, accountabilities and responsibilities of managers and operational staff in maintaining compliance within the organisation's planned compliance program/management system</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

2. Organise the operation of the compliance program/management system	<p>2.1 Confirm the components of the planned compliance program/management system and clarify the proposed structures, procedures and budgetary arrangements for their implementation</p> <p>2.2 Develop an implementation strategy and schedule for the establishment of the planned compliance program/management system in accordance with relevant Australian and international standards</p> <p>2.3 Assign or acquire resources for the planned compliance program/management system in accordance with organisational procedures and policies</p> <p>2.4 Arrange appropriate briefings and training to ensure relevant managers and operations staff are aware of their roles and responsibilities</p> <p>2.5 Launch the compliance program/management system in accordance with organisation's plan</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Monitor the operation of the compliance program/management system	<p>3.1 Gather information on the operation of the compliance program/management system from appropriate sources</p> <p>3.2 Review feedback and performance indicators on the operation of the compliance program/management system in terms of agreed criteria</p> <p>3.3 Identify problems in the operation of the compliance program/management system and in particular any breach of compliance requirements and take appropriate action to address problems</p> <p>3.4 Provide detailed compliance requirements in the case of breaches, initiate specific timely action and inform all relevant internal and external personnel through the established reporting systems</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Document the operation and monitoring of the compliance program/management system	<p>4.1 Prepare and disseminate information on the operation of the compliance program/management system to relevant internal and external personnel in accordance with the communication strategy for the compliance program/management system</p> <p>4.2 Prepare and disseminate periodic reports on the operation of the compliance program/management system, identify any operational problems and take any related action to relevant internal and external personnel</p> <p>4.3 Prepare and disseminate reports on any identified breaches of compliance requirements and take any related action to relevant internal and external personnel</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBCOM402 Implement processes for the management of a breach in compliance requirements

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify a breach in compliance requirements	<p>1.1 Monitor fulfilment of compliance requirements in operations within areas of responsibility in accordance with the organisation's established compliance program/management system</p> <p>1.2 Promptly identify, classify, and report any breaches of compliance requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Develop and implement an action plan for	2.1 Investigate identified breach of compliance requirements to determine the cause in accordance with the organisation's compliance program/management system	<input type="checkbox"/> Yes <input type="checkbox"/> No

investigation and rectification of a breach	2.2 Develop an appropriate action plan for managing and rectifying an identified breach in accordance with the established breach management procedures and relevant Australian and international standards 2.3 Take prompt action to rectify a breach as per the plan 2.4 Document and report action taken as required	<input type="checkbox"/> Unsure
3. Liaise with relevant internal and external personnel	3.1 Maintain appropriate liaison with all relevant internal personnel, and external personnel and organisations on the nature of the breach and the action being taken 3.2 Inform internal and external personnel of progress in rectifying the breach 3.3 Take advice and direction from relevant internal and external personnel on the management and rectification of the breach in accordance with the organisation's compliance program/management system 3.4 Apply effective interpersonal skills	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Monitor the rectification of a breach	4.1 Closely monitor progress in the rectification of a breach of compliance requirements in accordance with the organisation's compliance program/management system 4.2 Identify problem/s which may arise in breach rectification and take appropriate action to deal with the problem/s and report to appropriate personnel on its management 4.3 Notify all relevant personnel when the identified breach has been successfully rectified	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Document breach and subsequent rectification	5.1 Prepare and submit all required reports on identified breach and subsequent rectification action to relevant internal and external personnel 5.2 Report systemic and recurring problems of non-compliance to those with sufficient authority to correct them 5.3 Complete records of breach, action taken and the outcomes of rectification processes and file in accordance with the organisation's compliance program/management system	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBCUE405 Survey stakeholders to gather and record information

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Obtain, record and analyse information	1.1 Identify information sources 1.2 Collect and document information according to organisational procedures and legislative and policy requirements 1.3 Collate, sort and analyse information collected in relation to purpose for which it is being obtained 1.4 Ensure contents of recording forms and reports are in line with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Take and compile statements	2.1 Take comprehensive statements from sources appropriate to the matter being investigated according to organisational procedures and legislative and policy requirements 2.2 Use active listening when taking accurate statements from people	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Conduct interviews	3.1 Plan, manage and conduct interviews to gather maximum amount of information relevant to the matter being examined 3.2 Treat all interviewees fairly and equitably 3.3 Conduct and record interviews according to legislation, policy and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

4. Use information and database systems	4.1 Enter information into database, adhering to data entry security procedures 4.2 Identify and use appropriate sources of information when recording data 4.3 Access and store information according to legislation, policy and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Use interview and evidence recording equipment	5.1 Operate recording equipment according to legislation, policy and procedures 5.2 Produce records according to organisational requirements and procedures 5.3 Maintain equipment and usage logs in good order	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
6. Conduct follow-up activities	6.1 Identify and use communication links within organisation to exchange information 6.2 Assess the relevance of information received in terms of its intended purpose 6.3 Dispose of irrelevant information according to legislation, policy and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBCUS401 Coordinate implementation of customer service strategies

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Advise on customer service needs	1.1 Clarify and accurately assess customer needs using appropriate communication techniques 1.2 Diagnose problems matching service delivery to customers and develop options for improved service within organisational requirements 1.3 Provide relevant and constructive advice to promote the improvement of customer service delivery 1.4 Use business technology and/or online services to structure and present information on customer service needs	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Support implementation of customer service strategies	2.1 Ensure customer service strategies and opportunities are promoted to designated individuals and groups 2.2 Identify and allocate available budget resources to fulfil customer service objectives 2.3 Promptly action procedures to resolve customer difficulties and complaints within organisational requirements 2.4 Ensure that decisions to implement strategies are taken in consultation with designated individuals and groups	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Evaluate and report on customer service	3.1 Review client satisfaction with service delivery using verifiable data in accordance with organisational requirements 3.2 Identify and report changes necessary to maintain service standards to designated individuals and groups 3.3 Prepare conclusions and recommendations from verifiable evidence and provide constructive advice on future directions of client service strategies 3.4 Maintain systems, records and reporting procedures to compare changes in customer satisfaction	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBCUS402 Address customer needs

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Assist customer to articulate needs	1.1 Ensure customer needs are fully explored, understood and agreed 1.2 Explain and match available services and products to customer needs 1.3 Identify and communicate rights and responsibilities of customers to the customer as appropriate	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Satisfy complex customer needs	2.1 Explain possibilities for meeting customer needs 2.2 Assist customers to evaluate service and/or product options to satisfy their needs 2.3 Determine and prioritise preferred actions 2.4 Identify potential areas of difficulty in customer service delivery and take appropriate actions in a positive manner	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Manage networks to ensure customer needs are addressed	3.1 Establish effective regular communication with customers 3.2 Establish, maintain and expand relevant networks to ensure appropriate referral of customers to products and services from within and outside the organisation 3.3 Ensure procedures are in place to ensure that decisions about targeting of customer services are based on up-to-date information about the customer and the products and services available 3.4 Ensure procedures are put in place to ensure that referrals are based on the matching of the assessment of customer needs and availability of products and services 3.5 Maintain records of customer interaction in accordance with organisational procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBINM401 Implement workplace information system

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify and source information needs	1.1 Determine and locate information required by teams 1.2 Acquire and review information held by the organisation to determine suitability, accessibility, currency and reliability according to organisational policies	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Collect, analyse and report information	2.1 Collect information, which is adequate and relevant to the needs of teams, in a timely manner 2.2 Ensure information is in a format suitable for analysis, interpretation and dissemination 2.3 Analyse information to identify and report relevant trends and developments in terms of the needs for which it was acquired	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Implement information systems	3.1 Implement management information systems effectively to store, retrieve and regularly review data for decision making purposes 3.2 Use technology available in the work area to manage information effectively 3.3 Submit recommendations for improving the information system to designated persons and/or groups	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

4. Prepare for information system changes	<p>4.1 Collect information about information system future needs in consultation with colleagues, including those who have a specialist role in resource management</p> <p>4.2 Ensure estimates of information system future needs reflect the organisation's business plans, and customer and supplier requirements</p> <p>4.3 Support proposals to secure resources by clearly presenting submissions that describe realistic options, benefits, costs and outcomes</p> <p>4.4 Prepare team members to work with new technology and information system changes</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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BSBITU402 Develop and use complex spreadsheets

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Prepare to develop spreadsheet	<p>1.1 Organise personal work environment in accordance with ergonomic requirements</p> <p>1.2 Analyse task and determine specifications for spreadsheets</p> <p>1.3 Identify organisational and task requirements of data entry, storage, output, reporting and presentation requirements</p> <p>1.4 Apply work organisation strategies and energy and resource conservation techniques to plan work activities</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Develop a linked spreadsheet solution	<p>2.1 Utilise spreadsheet design software functions and formulae to meet identified requirements</p> <p>2.2 Link spreadsheets in accordance with software procedures</p> <p>2.3 Format cells and use data attributes assigned with relative and/or absolute cell references, in accordance with task specifications</p> <p>2.4 Test formulae to confirm output meets task requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Automate and standardise spreadsheet operation	<p>3.1 Evaluate tasks to identify those where automation would increase efficiency</p> <p>3.2 Create, use and edit macros to fulfil requirements of task and automate spreadsheet operation</p> <p>3.3 Develop, edit and use templates to ensure consistency of design and layout for forms and reports, in accordance with organisational requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Use spreadsheets	<p>4.1 Enter, check and amend data in accordance with organisational and task requirements</p> <p>4.2 Import and export data between compatible spreadsheets and adjust host documents, in accordance with software and system procedures</p> <p>4.3 Use manuals, user documentation and online help to overcome problems with spreadsheet design and production</p> <p>4.4 Preview, adjust and print spreadsheet in accordance with organisational and task requirements</p> <p>4.5 Name and store spreadsheet in accordance with organisational requirements and exit application without data loss or damage</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Represent numerical data in graphic form	<p>5.1 Determine style of graph to meet specified requirements and manipulate spreadsheet data if necessary to suit graph requirements</p> <p>5.2 Create graphs with labels and titles from numerical data contained in a spreadsheet file</p> <p>5.3 Save, view and print graph within designated timelines</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBLDR402 Lead effective workplace relationships

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Collect, analyse and communicate information and ideas	1.1 Collect relevant information from appropriate sources and analyse and share with the work team to improve work performance 1.2 Communicate ideas and information in a manner which is appropriate and sensitive to the cultural and social diversity of the audience and any specific needs 1.3 Lead consultation processes to encourage employees to contribute to issues related to their work, and promptly relay feedback to the work team in regard to outcomes 1.4 Seek and value contributions from internal and external sources in developing and refining new ideas and approaches 1.5 Implement processes to ensure that issues raised are resolved promptly or referred to relevant personnel as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Develop trust and confidence as Leader	2.1 Treat all internal and external contacts with integrity, respect and empathy 2.2 Use the organisation's social , ethical and business standards to develop and maintain effective relationships 2.3 Gain and maintain the trust and confidence of colleagues , customers and suppliers through competent performance 2.4 Adjust interpersonal styles and methods to meet organisation's social and cultural environment 2.5 Lead and encourage other members of the work team to follow examples set according to organisation's policies and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Develop and maintain networks and relationships	3.1 Use networks to identify and build relationships 3.2 Use networks and other work relationships to provide identifiable benefits for the team and organisation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Manage difficulties into positive outcomes	4.1 Identify and analyse difficulties, and take action to rectify the situation within the requirements of the organisation and relevant legislation 4.2 Guide and support colleagues to resolve work difficulties 4.3 Regularly review and improve workplace outcomes in consultation with relevant personnel 4.4 Manage poor work performance within the organisation's processes 4.5 Manage conflict constructively within the organisation's processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBLDR403 Lead team effectiveness

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Plan to achieve team outcomes	1.1 Lead the team to identify, establish and document team purpose, roles, responsibilities, goals, plans and objectives in consultation with team members 1.2 Engage team members to incorporate innovation and productivity measures in work plans 1.3 Lead and support team members in meeting expected outcomes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

2. Lead team to develop cohesion	<p>2.1 Provide opportunities for input of team members into planning, decision making and operational aspects of work team</p> <p>2.2 Encourage and support team members to take responsibility for own work and to assist each other in undertaking required roles and responsibilities</p> <p>2.3 Provide feedback to team members to encourage, value and reward individual and team efforts and contributions</p> <p>2.4 Recognise and address issues, concerns and problems identified by team members or refer to relevant persons as required</p> <p>2.5 Model expected behaviours and approaches</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Participate in and facilitate work team	<p>3.1 Actively encourage team members to participate in and take responsibility for team activities and communication processes</p> <p>3.2 Give the team support to identify and resolve problems which impede its performance</p> <p>3.3 Ensure own contribution to work team serves as a role model for others and enhances the organisation's image within the work team, the organisation and with clients/customers</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Liaise with management	<p>4.1 Maintain open communication with line manager/management at all times</p> <p>4.2 Communicate information from line manager/management to the team</p> <p>4.3 Communicate unresolved issues, concerns and problems raised by the team/team members to line manager/management and ensure follow-up action is taken</p> <p>4.4 Communicate unresolved issues, concerns and problems related to the team/team members raised by line managers/management to the team and ensure follow-up to action is taken</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBMGT401 Show leadership in the workplace

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Model high standards of management performance and behaviour	<p>1.1 Ensure management performance and behaviour meets the organisation's requirements</p> <p>1.2 Ensure management performance and behaviour serves as a positive role model for others</p> <p>1.3 Develop and implement performance plans in accordance with organisation's goals and objectives</p> <p>1.4 Establish and use key performance indicators to meet organisation's goals and objectives</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Enhance organisation's image	<p>2.1 Use organisation's standards and values in conducting business</p> <p>2.2 Question, through established communication channels, standards and values considered to be damaging to the organisation</p> <p>2.3 Ensure personal performance contributes to developing an organisation which has integrity and credibility</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Make informed decisions	<p>3.1 Gather and organise information relevant to the issue/s under consideration</p> <p>3.2 Facilitate individual's and team's active participation in decision-making processes</p> <p>3.3 Examine options and assess associated risks to determine preferred course/s of action</p> <p>3.4 Ensure decisions are timely and communicate them clearly to individuals and teams</p> <p>3.5 Prepare plans to implement decisions and ensure they are agreed by relevant individuals and teams</p> <p>3.6 Use feedback processes effectively to monitor the implementation and impact of decisions</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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BSBMGT403 Implement continuous improvement

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Implement continuous improvement systems and processes	<p>1.1 Implement systems to ensure that individuals and teams are actively encouraged and supported to participate in decision making processes, assume responsibility and exercise initiative</p> <p>1.2 Communicate the organisation's continuous improvement processes to individuals and teams, and obtain feedback</p> <p>1.3 Ensure effective mentoring and coaching allows individuals and teams to implement the organisation's continuous improvement processes</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Monitor and review performance	<p>2.1 Use the organisation's systems and technology to monitor and review progress and to identify ways in which planning and operations could be improved</p> <p>2.2 Improve customer service through continuous improvement techniques and processes</p> <p>2.3 Formulate and communicate recommendations for adjustments to those who have a role in their development and implementation</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Provide opportunities for further improvement	<p>3.1 Implement processes to ensure that team members are informed of savings and productivity/service improvements in achieving the business plan</p> <p>3.2 Document work performance to aid the identification of further opportunities for improvement</p> <p>3.3 Manage records, reports and recommendations for improvement within the organisation's systems and processes</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBMGT405 Provide personal leadership

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Influence individuals and teams in a positive manner	<p>1.1 Encourage, value and reward individual and team efforts and contributions</p> <p>1.2 Promote accountability of work undertaken by individuals/teams by communicating roles, responsibilities and expectations clearly</p> <p>1.3 Gain positive acceptance and support for information and ideas from the team</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

2. Make informed decisions	<p>2.1 Gather and organise information relevant to issue/s under consideration</p> <p>2.2 Invite individuals/teams to actively participate in decision-making processes</p> <p>2.3 Determine preferred course of action after risks and options are examined and assessed</p> <p>2.4 Communicate decisions to individuals/teams clearly and in a timely manner</p> <p>2.5 Prepare plans to implement decisions after agreement with relevant individuals/team</p> <p>2.6 Monitor implementation and impact of decision using reliable feedback processes</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Enhance image of the enterprise	<p>3.1 Conduct business consistent with enterprise standards and values</p> <p>3.2 Note and promptly discuss with appropriate persons, any inappropriate values and standards exhibited within the organisation, using established communication channels</p> <p>3.3 Consistently display a very high standard of personal presentation in line with organisational expectations and policies</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Demonstrate high standards of personal and management performance	<p>4.1 Contribute to developing a reputable organisation which has integrity and credibility, through personal performance and own behaviour</p> <p>4.2 Ensure standards of personal and management performance are consistent with enterprise requirements</p> <p>4.3 Provide a positive role model for others through personal and managerial performance</p> <p>4.4 Develop and implement plans in accordance with enterprise goals and objectives</p> <p>4.5 Develop, set and monitor key performance indicators and targets within team/enterprise business plans</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBREL402 Build client relationships and business networks

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Initiate interpersonal communication with clients	<p>1.1 Identify and use preferred client communication styles and methods</p> <p>1.2 Establish rapport with clients using verbal and non-verbal communication processes</p> <p>1.3 Investigate and act upon opportunities to offer positive feedback to clients</p> <p>1.4 Use open questions to promote two-way communication</p> <p>1.5 Identify and act upon potential barriers to effective communication with clients</p> <p>1.6 Initiate communication processes which relate to client needs, preferences and expectations</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Establish client relationship management strategies	<p>2.1 Develop client loyalty objectives focusing on the development of long term business partnerships</p> <p>2.2 Assess client profile information to determine approach</p> <p>2.3 Develop client loyalty strategies to attract and retain clients in accordance with the business strategy</p> <p>2.4 Identify and apply client care and client service standards</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Maintain and improve ongoing relationships with clients	3.1 Develop strategies to obtain ongoing feedback from clients to monitor satisfaction levels 3.2 Develop strategies to elicit feedback which provide information in a form that can be used to improve relationships with clients 3.3 Obtain feedback to develop and implement strategies which maintain and improve relationships with clients	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Build and maintain networks	4.1 Allocate time to establish and maintain business contacts 4.2 Participate in business associations and/or professional development activities to establish and maintain a network of support for the business and to enhance personal knowledge of the market 4.3 Establish communication channels to exchange information and ideas 4.4 Provide, seek and verify information to the network	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBRES401 Analyse and present research information

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Gather and organise information	1.1 Gather and organise information in a format suitable for analysis, interpretation and dissemination in accordance with organisational requirements 1.2 Access information held by the organisation ensuring accuracy and relevance in line with established organisational requirements 1.3 Ensure that methods of collecting information are reliable and make efficient use of resources in accordance with organisational requirements 1.4 Identify research requirements for combining online research with non-electronic sources of information 1.5 Use business technology to access, organise and monitor information in accordance with organisational requirements 1.6 Update, modify, maintain and store information, in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Research and analyse information	2.1 Clearly define objectives of research ensuring consistency with organisational requirements 2.2 Ensure that data and research strategies used are valid and relevant to the requirements of the research and make efficient use of available resources 2.3 Identify key words and phrases for use as part of any online search strategy, including the use of Boolean operators and other search tools 2.4 Use reliable methods of data analysis that are suitable to research purposes 2.5 Ensure that assumptions and conclusions used in analyses are clear, justified, supported by evidence and consistent with research and business objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Present information	<p>3.1 Present recommendations and issues in an appropriate format, style and structure using suitable business technology</p> <p>3.2 Structure and format reports in a clear manner that conforms to organisational requirements</p> <p>3.3 Report and distribute research findings in accordance with organisational requirements</p> <p>3.4 Obtain feedback and comments on suitability and sufficiency of findings in accordance with organisational requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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BSBRKG404 Monitor and maintain records in an online environment

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Confirm requirements for recordkeeping in an online environment	<p>1.1 Identify and confirm system procedures for capturing and managing records</p> <p>1.2 Identify and verify organisational and risk management requirements for classifying and storing online information</p> <p>1.3 Identify legal, business, financial, socio-historical, and security requirements for recording online business transactions</p> <p>1.4 Prepare a checklist of organisational requirements to assess which electronic information should be captured, for how long and in what format</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Identify and assess records for storage	<p>2.1 Categorise incoming and outgoing records information in terms of key activities and responsible personnel</p> <p>2.2 Assess information against the organisational checklist and records identified for capture</p> <p>2.3 Dispose of information not to be stored, in accordance with organisational procedures</p> <p>2.4 Determine storage methods and media in accordance with retention requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Monitor and maintain business records in an online environment	<p>3.1 Classify, sentence and link records with other records in the system in accordance with system rules and organisational procedures</p> <p>3.2 Assign unique identifiers and register records into the recordkeeping system in accordance with system rules and organisational procedures</p> <p>3.3 Determine access and security status and disposal requirements of records and records in accordance with organisational procedures</p> <p>3.4 Store records on required media in accordance with organisational and record retention requirements</p> <p>3.5 Carry out migration of records from one medium to another in accordance with organisational procedures</p> <p>3.6 Action and record archiving or disposal of records in accordance with disposal schedule and organisational procedures</p> <p>3.7 Maintain records in a usable and accessible form in accordance with security conditions and legislative requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBRSK401 Identify risk and apply risk management processes

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Identify risks	1.1 Identify the context for risk management 1.2 Identify risks using tools, ensuring all reasonable steps have been taken to identify all risks 1.3 Document identified risks in accordance with relevant policies, procedures, legislation and standards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Analyse and evaluate risks	2.1 Analyse and document risks in consultation with relevant stakeholders 2.2 Undertake risk categorisation and determine level of risk 2.3 Document analysis processes and outcomes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Treat risks	3.1 Determine appropriate control measures for risks and assess for strengths and weaknesses 3.2 Identify control measures for all risks 3.3 Refer risks relevant to whole of organisation or having an impact beyond own work responsibilities and area of operation to others as per established policies and procedures 3.4 Choose and implement control measures for own area of operation and/or responsibilities 3.5 Prepare and implement treatment plans	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Monitor and review effectiveness of risk treatment/s	4.1 Regularly review implemented treatment/s against measures of success 4.2 Use review results to improve the treatment of risks 4.3 Provide assistance to auditing risk in own area of operation 4.4 Monitor and review management of risk in own area of operation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBSMB407 Manage a small team

ELEMENT	PERFORMANCE CRITERIA	Verification
1. Develop staffing plan	1.1 Determine staffing requirements to allow the business to run effectively, in accordance with requirements outlined in the business plan 1.2 Identify and compare existing skills/competencies of owner/s and staff with business requirements to identify any gaps 1.3 Develop policies and procedures for owner/s and staff, in accordance with the business plan	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Recruit, induct, train and retain team	2.1 Develop job or position descriptions, competencies required and selection criteria to meet business' needs 2.2 Judge information obtained from each candidate against specified selection criteria, and select according to business needs and legal requirements 2.3 Induct new staff members in accordance with policies and procedures of the business 2.4 Make team members aware of their responsibilities and performance requirements as soon as practicable, and take opportunities to coach team members who are unfamiliar with procedures of the business 2.5 Develop and implement a staff development program and career paths based on requirements of business and staff competencies 2.6 Advertise staff vacancies appropriately in accordance with staffing plan	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3. Comply with industrial relations obligations	3.1 Clarify workplace rights and obligations of employers and employees, in accordance with legal requirements and codes of practice 3.2 Counsel staff, if required, in a positive and constructive manner and record outcomes accurately	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Maintain staff records	4.1 Develop staff records system to provide timely and accurate information, in accordance with confidentiality, legal and taxation requirements 4.2 Monitor and accurately maintain system for recording and retrieving personnel and payroll information, and seek specialist advice where required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Manage staff	5.1 Regularly review contribution and skills of self and other team members to ensure performance is in line with agreed performance measures 5.2 Monitor and adjust staffing requirements to respond to any changes in tasks and functions required by the business 5.3 Support and encourage staff, and acknowledge and reward their contribution 5.4 Regularly provide opportunities for staff to discuss work related issues 5.5 Develop contingency plans to cope with unexpected or extreme situations and take appropriate corrective action as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
6. Review team performance	6.1 Develop positive and constructive relationships with and between team members 6.2 Review and update team objectives in support of business goals on a regular basis in consultation with team members 6.3 Identify strengths and weaknesses of team against current and expected work requirements 6.4 Schedule time, on a regular basis, for team members to review work operations to maintain and improve operational efficiency 6.5 Encourage team members to monitor their own performance, suggest improvements and identify professional development needs, in accordance with personal and business requirements 6.6 Monitor and review staff turnover rate	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

BSBWOR404 Develop work priorities
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ELEMENT	PERFORMANCE CRITERIA	Verification
1. Plan and complete own work schedule	1.1 Prepare workgroup plans which reflect consideration of resources, client needs and workgroup targets 1.2 Analyse and incorporate work objectives and priorities into personal schedules and responsibilities 1.3 Identify factors affecting the achievement of work objectives and establish contingencies and incorporate them into work plans 1.4 Efficiently and effectively use business technology to manage and monitor planning completion and scheduling of tasks	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

2. Monitor own work performance	2.1 Identify and analyse personal performance through self-assessment and feedback from others on the achievement of work objectives 2.2 Seek and evaluate feedback on performance from colleagues and clients in the context of individual and group requirements 2.3 Routinely identify and report on variations in the quality of service and performance in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Co-ordinate professional development	3.1 Assess personal knowledge and skills against organisational benchmarks to determine development needs and priorities 3.2 Research and identify sources and plan for opportunities for improvement in consultation with colleagues 3.3 Use feedback to identify and develop ways to improve competence within available opportunities 3.4 Identify, access and complete professional development activities to assist career development 3.5 Store and maintain records and documents relating to achievements and assessments in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

As summarised on page 1, in addition to the above checklist, applicants are to provide a portfolio of work history to the assessor to verify work experience.

In the case of a loan writer please provide a recent loan application completed.

In the case of people working in a back office/support situation please provide a detailed job description.

In the case of people working in consumer credit please provide a recent contract or credit application.

Note: With any contracts or client applications, please remove (black out) your client's personal identifiers such as names, telephone numbers, email addresses, etc.