FNS41815 CERTIFICATE IV IN FINANCIAL SERVICES

This qualification is designed to provide a flexible general purpose pathway in the financial services industry. It is intended to meet the training needs of employees with roles that involve working across a range of duties in the financial services sector where a specialist qualification is not the most suitable qualification to meet their training needs. Individuals in these roles apply theoretical and technical knowledge and skills to work autonomously and exercise judgement in completing routine and non-routine activities.

The job roles that this qualification is likely to address are:

- Generalist financial services roles where a varied skill base is required
- Retail financial services officer in a small branch or organisation
- Retail or wholesale financial services administration staff
- Leading/supervising a team
- Performing duties of a first line supervisor

ENTRY REQUIREMENTS / EXISTING SKILLS & KNOWLEDGE

There are no formal entry requirements to enrol into this qualification. This qualification would suit, although not mandatory:

- Existing workers who have had at least 6 months experience in their role in the financial services industry.
- Existing workers who may have worked previously in another financial services business
- Existing workers who wish to have their current skills and knowledge recognised
- Existing workers who may have had time off from work, for example to have a baby, or due to sickness or overseas travel. The learner now needs to update their knowledge and skills specific to their industry.

LICENSE/REGULATORY REQUIREMENTS

Work functions in the occupational areas where this qualification may be used are subject to regulatory requirements. Licensing Requirements for units within this qualification include BAS and IAS requirements, including: time requirements, cash versus accrual reporting requirements, GST Act and related public rulings, determinations and regulations, income tax legislation,
privacy legislation, tax agent services legislation, TPB conduct requirements and industry associations recognised by the TPB.

OCCUPATIONAL NAMES

Job roles and titles vary across different industry sectors. Possible job titles relevant to this qualification include:

- Personal assistant to Chief Financial Officer
- Administration Assistant
- Payroll Clerk

PATHWAY

This qualification would provide a pathway into any Diploma level qualification in the Financial Services Training Package, based upon the electives chosen.

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SKILLS RECOGNITION

If you already have some training, work or life experience in management, team leader role or coordinator, you may be eligible to have your existing skills and knowledge recognised and apply for advanced stan ding for one or more units. Processes for recognition include:

- Credit transfer
- Mutual recognition
- Recognition by assessment

COURSE OUTCOMES

Gain the skills required to:

- Accessing professional networks
- Preparing and presenting routine and complex
- Questioning, listening and clarifying client's requirements
- Coordinating professional development activities and seeking peer reviews
- Refer matters to nominated person as required
- Receiving feedback on performance
- Seeking feedback on research findings
- Collecting, comparing and contrasting data in order to create reports
- Identifying and resolving inconsistencies in data
- Continually reviewing and applying emerging industry trends to product and service knowledge
- Researching alternative options for clients' needs
- Acting as a role model for others
- Taking to management, concerns with own level of responsibility
- Working ethically and complying with all industry codes of practice and legislative requirements
- Developing and maintaining professional competency
- Following workplace safety procedures
- Using research data devices and telecommunication devices and equipment
- Conducting web searches and using corporate templates
- Using business technology to access, organise and monitor information
- Applying learning to develop improved practices
- Planning own work schedule and monitoring and evaluating own work performance

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DELIVERY ARRANGEMENTS

The Certificate IV program is delivered over a 12 month period using a blend of on and off the job approaches. We combine group learning sessions with self-directed reading, summative assessment projects and research activities that combined we have allowed up to 600 hours as appropriate for Certificate IV level. We recommend a minimum of 24 hours of face-to-face group training sessions for Certificate IV, except in the case of distance arrangements where it may be difficult. Skype is recommended in this instance.

DELIVERY METHODS

This qualification can be completed via any of these pathways as follows. We offer flexibility with this qualification.

RPL: If you have skills and experience to meet all the competencies of any unit/s, and can demonstrate/document that competency, then you may apply for RPL (recognise prior learning). Please contact our office for more details of this assessment-only process and an application form. Learners should allow 600 total volume of learning hours to complete the qualification in this format, however, this is assuming that they are able to provide sufficient and current evidence.

Group Sessions: There may be a number of people in your organisation that can come together for a series of training sessions in your workplace, or an agreed alternate location. We have a 12 session x 2 hrs ideal structure, however the amount of time face-to-face can be discussed and agreed depending on the current competencies of the participants and viability of them coming together. This involves a combination of summative assessments that include research, written tasks and demonstration activities.

Flexible: It may not be possible or preferential to co-ordinate face-to-face sessions so we can also assist you through the qualification via post, email and phone support. Learners should allow up to 600 hours regardless.

Blended Approach: You may prefer a combination of face-to-face sessions supported by email support and telephone conferencing. We can structure a program by incorporating all of these options.

ASSESSMENT METHODS

Demonstration/Practical Skills – A range of observation techniques have been included in the assessment tools to help identify the students' ability to demonstrate their competence against the performance criteria and assessment conditions. This gives the student the opportunity to demonstrate their skills applicable to their job role and workplace.

Written Questioning – The student will be asked to complete a series of written short answer questions based on their knowledge of the unit. Their assessor will ask them a series of verbal questions to confirm their written responses. This usually occurs during an on-site observation/demonstration, where students explain their knowledge based on workplace application.

Written Project – A written assessment tool is provided to the student to gather evidence using a range of methods, these could include research and evidence gathering before documenting the project. The project is normally scenario-based or specific to the learner's workplace. In some cases, the student is required to collect a portfolio of evidence to demonstrate their competency against the relevant units.

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Observation and Third Party Reports – a Third Party Report is provided to a supervisor or employer to gather evidence of the students' competency on the job. This Report is then reviewed and signed off by the Assessor.

A language/literacy/numeracy test is carried out prior to commencement of your course to ensure that every student is capable of completing the course in which they have enrolled. The LLN test also helps us to identify those students who may need additional support during their learning journey.

COURSE FEES

RPL: There is an RPL fee of $220 plus GST per unit.

Group sessions: Two hour training sessions are $1200 plus GST for up to 20 people. The cost of the qualification is $2500 per person.

Flexible Work Based: $2500 inclusive of all learning materials, assessment tasks, communication with trainer/assessor and issuing of qualification upon successful completion.

REFUND POLICY:

In the case of cancellations, Target Training will refund full amount paid if 14 days notice [before work is due to commence] is provided, otherwise a cancellation fee of $500.00 will apply.

COURSE FEES, PAYMENTS, REFUNDS AND CERTIFICATION:

This information is found in a separate document. Contact us for more details.

MONEY BACK GUARANTEE

Target Training offers a full money back guarantee on all services, if you are not fully satisfied.

COURSE STRUCTURE

To complete this qualification, there are **13 units** that must be achieved; **1 core unit** and **12 elective units.**

8 elective units must be selected from the elective units listed below; a minimum of **6 of these units** must be FNS coded units. The remaining **4 elective units** may be selected from the electives units listed below, any endorsed Training Package or accredited course at Certificate IV or Diploma level. **2 of these elective units** may be chosen at Certificate III level.

Elective units must be relevant to work outcome, local industry requirements and the qualification level.

CORE UNIT

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

ELECTIVE UNITS

BSBADM405	Organise meetings
BSBCUE405	Survey Stakeholders to gather and record information
BSBCMM401	Make a presentation
BSBCUS401	Coordinate implementation of customer service strategies
BSBCUS402	Address customer needs
BSBCUS403	Implement customer service standards
BSBINM401	Implement workplace information system
BSBITS401	Maintain business technology
BSBITU402	Develop and use complex spreadsheets

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BSBLDR402	Lead 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
BSBRSK401	Identify risk and apply risk management processes
BSBSMB407	Manage a small team
BSBWHS201	Contribute to health and safety of self and others
BSBWOR203	Work effectively with others
BSBWOR204	Use business technology
BSBWOR404	Develop work priorities
FNSACC412	Prepare operational budgets
FNSACC405	Maintain inventory records
FNSASIC301	Establish client relationship and analyse needs**
FNSASIC302	Develop, present and negotiate client solutions**
FNSTPB402	Establish and maintain payroll systems
FNSBNK503	Provide business advisory services within a financial services context
FNSFMK505	Comply with financial services legislation and industry codes of practice
FNSINC402	Develop and maintain in-depth knowledge of products and services used by an organisation or sector
FNSTPB401	Complete business activity and instalment activity statements

**** ASIC Units**

LEARNING OUTCOMES

Here is a selection of units below.

CORE UNIT

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

1. Identify the scope, sectors and responsibilities of the industry
2. Identify & apply financial services industry guidelines, procedures & legislation
3. Identify sustainability issues for the financial services industry
4. Manage information
5. Participate in and facilitate work team activities
6. Plan work to be completed taking into consideration time, resources and other constraints
7. Develop and maintain personal competency

ELECTIVE UNITS

FNSASIC302 Develop, present and negotiate client solutions

1. Develop appropriate strategies and solutions
2. Present appropriate strategies and solutions to client
3. Negotiate financial plan, policy or transaction with client
4. Coordinate implementation of agreed plan, policy or transaction
5. Complete and maintain necessary documentation
6. Provide ongoing service where requested by client

FNSASIC301 Establish client relationships and analyse needs

1. Establish relationship with client
2. Identify client' objectives, needs and financial situation
3. Analyse client's objectives, needs, financial situation and risk profile

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FNSACC412 Prepare operational budgets

1. Prepare the budget
2. Set the budget timeframe
3. Document the budget

FNSACC405 Maintain inventory records

1. Process inventory purchase
2. Record inventory flows
3. Reconcile inventory records to general ledgers
4. Prepare inventory schedules and ad hoc reports

FNSTPB401 Complete business activity and instalment activity statements

1. Identify compliance and other requirements applicable to business activity
2. Analyse and apply industry codes of conduct associated with work activities
3. Review and apply goods and services tax (GST) implications and code transactions
4. Report on payroll activities and amounts withheld
5. Reconcile and prepare activity statement
6. Lodge activity statement

FNSBNK503 Provide business advisory services within a financial services context

1. Contribute to identification of business opportunities
2. Provide advice about development of business plans and financing proposals
3. Provide high level and tailored business banking solutions and service

BSBADM405 Organise meetings

1. Make meeting arrangements
2. Prepare and distribute documentation for meetings
3. Record and produce minutes of meeting

BSBCUE405 Survey stakeholders to gather and record information

1. Obtain, record and analyse information
2. Take and compile statements
3. Conduct interviews
4. Use information and database systems
5. Use interview and evidence recording equipment
6. Conduct follow-up activities

BSBCMM401 Make a presentation

1. Prepare a presentation
2. Deliver a presentation
3. Review the presentation

BSBCUS401 Coordinate implementation of customer service strategies

1. Advise on customer service needs
2. Support implementation of customer service strategies
3. Evaluate and report on customer service

BSBCUS402 Address customer needs

1. Assist customer to articulate needs
2. Satisfy complex customer needs
3. Manage networks to ensure customer needs are addressed

BSBCUS403 Implement customer service standards

1. Contribute to quality customer service standards
2. Implement customer service systems
3. Implement team customer service standards

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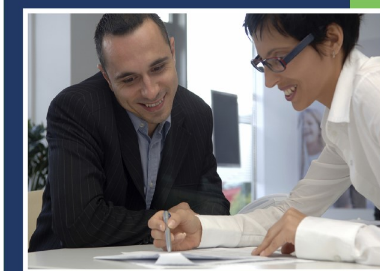

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FNSTPB402 Establish and maintain payroll systems

1. Establish payroll requirements
2. Record payroll data
3. Prepare and process payroll
4. Handle payroll enquiries
5. Maintain payroll

FNSFMK505 Comply with financial services legislation and industry codes of practice

1. Identify and apply organisational requirements of legal principles and regulatory obligations
2. Identify changes and implications of laws, regulations, rules and circulars
3. Comply with any relevant industry or professional codes
4. Maintain statutory records

FNSINC402 Develop and maintain in-depth knowledge of products and services used by an organization or sector

1. Identify the products and services the organisation uses
2. Identify compliance implications of product
3. Determine the appropriate users for products and services
4. Maintain product knowledge

BSBINM401 Implement workplace information system

1. Identify and source information needs
2. Collect, analyse and report information
3. Implement information systems
4. Prepare for information system changes

BSBITS401 Maintain business technology

1. Maintain performance of hardware and software
2. Provide basic system administration
3. Identify future technology requirements

BSBITU402 Develop and use complex spreadsheets

1. Prepare to develop spreadsheet
2. Develop a linked spreadsheet solution
3. Automate and standardise spreadsheet operation
4. Use spreadsheets
5. Represent numerical data in graphic form

BSBLDR402 Lead effective workplace relationships

1. Collect, analyse and communicate information and ideas
2. Develop trust and confidence as leader
3. Develop and maintain networks and relationships
4. Manage difficulties into positive outcomes

BSBLDR403 Lead team effectiveness

1. Plan to achieve team outcomes
2. Lead team to develop cohesion
3. Participate in and facilitate work team
4. Liaise with management

BSBMGT401 Show leadership in the workplace

1. Model high standards of management performance and behavior
2. Enhance organisation’s image
3. Make informed decisions

BSBMGT403 Implement continuous improvement

1. Implement continuous improvement systems and processes
2. Monitor and review performance
3. Provide opportunities for further improvement

BSBMGT405 **Provide personal leadership**

1. Influence individuals and teams in a positive manner
2. Make informed decisions
3. Enhance image of the enterprise
4. Demonstrate high standards of personal and management performance

BSBREL402 **Build client relationships and business networks**

1. Initiate interpersonal communication with clients
2. Establish client relationship management strategies
3. Maintain and improve ongoing relationships with clients
4. Build and maintain networks

BSBRES401 **Analyse and present research information**

1. Gather and organise information
2. Research and analyse information
3. Present information

BSBRSK401 **Identify risk and apply risk management processes**

1. Identify risks
2. Analyse and evaluate risks
3. Treat risks
4. Monitor and review effectiveness of risk treatment/s

BSBSMB407 **Manage a small team**

1. Develop staffing plan
2. Recruit, induct, train and retain team
3. Comply with industrial relations obligations
4. Maintain staff records
5. Manage staff
6. Review team performance

BSBWHS201 **Contribute to health and safety of self and others**

1. Work safely
2. Implement work safety requirements
3. Participate in WHS consultative processes

BSBWOR203 **Work effectively with others**

1. Develop effective workplace relationships
2. Contribute to workgroup activities
3. Deal effectively with issues, problems and conflict

BSBWOR204 **Use business technology**

1. Select and use technology
2. Process and organise data
3. Maintain technology

BSBWOR404 **Develop work priorities**

1. Plan and complete own work schedule
2. Monitor own work performance
3. Co-ordinate professional development