



## APPLICATION FORM

for

### Recognition of Prior Learning (RPL)

in the

### Certificate III in Financial Services

FNS30107

### Qualification

All correspondence to: **PO Box 489 ~ DARLINGHURST NSW 1300**  
Level 1 ~ 13-15 Wentworth Avenue ~ SYDNEY NSW 2000

Tel: **02 9283 5999** ~ Fax: **02 9283 5999** ~ e-mail: **IFSoffice@ifs-inc.com.au** ~ Website: **www.ifs-inc.com.au**  
ABN: 98 697 095 230

---

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

---

### **Who is the Institute of Financial Services (IFS)?**

The Institute of Financial Services Inc. was established in 1955 as a professional 'not for profit' association. It is a government Registered Training Organisation (RTO) delivering training and qualifications to the financial services industry. See our web site for more information: [www.ifs-inc.com.au](http://www.ifs-inc.com.au).

### **What is Recognition of Prior Learning (RPL)?**

**RPL** is an assessment process that recognises competencies you currently have, regardless of how, when or where the learning occurred. This includes competencies attained through any combination of formal or informal training and education, work experience or general life experience.

In order to apply for RPL, you must provide evidence that addresses and meets the requirements for each unit of competency.

Credit transfers recognise any formal qualifications you have achieved through a Registered Training Organisation or higher education institution eg a TAFE or a university. You will need to provide a JP (or equivalent) certified copy of the qualification/s and a list of the units of competency achieved. These must match the units you are seeking exemptions for.

An IFS trainer/assessor may need to contact you to discuss your application for RPL or to obtain further information from you, to be able to accurately assess your submitted evidence.

To be able to grant RPL, the assessor must be confident that you are currently competent against all elements of the competency/ies and must ensure that submitted evidence is authentic, valid, reliable, current and sufficient.

### **How does the RPL process work?**

Evidence that is presented by the applicant is assessed against each unit of competency applied for. The evidence is assessed using the following criteria:

- Is the prior learning relevant to the course?
- Is the knowledge and skill current?
- Is it authentic and can it be verified?
- Is the knowledge and skill appropriate to Diploma level of competency?

### **How long will it take to be informed of the outcome of my application?**

You will be notified of the outcome within 2-4 weeks of the RPL application being received by us.

### **How much will my RPL application cost?**

The fee for an application for RPL for the full qualification is **\$1,200**.

---

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

---

**Applicant's Contact Details**

**Surname:** \_\_\_\_\_ **Sex:**  Male  Female

**Given Names:** \_\_\_\_\_ **Date of Birth:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Employer:** \_\_\_\_\_

**Business Address:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Daytime Telephone:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**Email Address:** \_\_\_\_\_

**I am paying the \$1,200 fee by Credit Card:**

Please tick if a receipt is required

My Credit Card details are as follows:

Deduct \$1,200 for RPL fee from:

MASTERCARD  VISA

--	--	--	--	--

--	--	--	--	--

--	--	--	--	--

--	--	--	--	--

Expiry: \_\_\_\_ / \_\_\_\_

**Signature:** \_\_\_\_\_ **Cardholder's Name:** \_\_\_\_\_

I declare that the information/evidence that I am submitting with this RPL application is truthful and all copies of documents have been certified by a Justice of the Peace.

I understand that if I am required to undertake some training and assessment to complete any skill/s gap/s identified in the RPL process, that additional fees will apply.

**Applicant's Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Please send all documents to:**

**RPL Applications  
IFS  
PO Box 489  
DARLINGHURST NSW 1300**

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICIND301B – Work in the financial services industry	Evidence
<ul style="list-style-type: none"> <li>• <b>Work within financial services industry guidelines procedures and legislation</b></li> <li>• <b>Work in accordance with company policy, guidelines, and procedures</b></li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>knowledge of industry and company policies and procedures</i></li> <li>• <i>knowledge of relevant legislation and statutory requirements</i></li> <li>• <i>relevant knowledge of industry codes of practice including Consumer Credit Code, Privacy Act, Credit Act</i></li> <li>• <i>basic communication techniques such as questioning/listening techniques</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>literacy skills in regard to written documentation</i></li> <li>• <i>basic interpersonal and communication skills (including listening and questioning, receiving feedback)</i></li> <li>• <i>basic administrative and organisational skills such as meeting timelines and prioritising</i></li> <li>• <i>using business technology such as photocopiers and applying word processing, spreadsheet and database skills to produce workplace documents</i></li> <li>• <i>ability to recognise limitations and ask for help</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICGEN302B – Use technology in the workplace	Evidence
<ul style="list-style-type: none"> <li>• Clarifying the function the equipment fulfilled</li> <li>• Accessing and entering information from/into the computer</li> <li>• Saving files/data and producing computer reports</li> <li>• Using manuals to outline help to solve computing problems</li> <li>• Undertaking routine maintenance of computers and associated devices</li> <li>• Using and maintaining general workplace equipment</li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>Available technology and its uses</i></li> <li>• <i>Operating instructions and how to access relevant manuals and operating procedures</i></li> <li>• <i>Security procedures required by the organisation or legislation</i></li> <li>• <i>Appropriate software including custom built software for a particular company and computer applications including internet and email</i></li> <li>• <i>Company Policy relating to use and maintenance of computers and other equipment</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>Interpersonal and communication skills</i></li> <li>• <i>Computing skills</i></li> <li>• <i>Use of software programs, including email and internet programs and custom built computer programs</i></li> <li>• <i>Referral skills (knowing when to seek assistance)</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

<b>Unit of Competency: FNSICGEN304B – Apply health and safety practices in the workplace</b>	<b>Evidence</b>
<ul style="list-style-type: none"><li>• <b>Follow workplace safety procedures</b></li><li>• <b>Contribute to occupational health and safety at work</b></li><li>• <b>Identify and follow workplace procedure for hazard control and other emergency situations</b></li></ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"><li>• <i>Health and safety legislation and responsibilities of employees and employers</i></li><li>• <i>Safe working practices especially working with screen based equipment</i></li><li>• <i>Understanding of hazard signs and safety symbols</i></li><li>• <i>Emergency procedures including procedures for fire, accident and risk control</i></li><li>• <i>Communication techniques</i></li></ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"><li>• <i>Using equipment</i></li><li>• <i>Literacy and skills in interpretation of signs and symbols</i></li><li>• <i>Working identifying hazards and referring them to appropriate personnel</i></li><li>• <i>Communication skills</i></li></ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICGEN301B – Communicate in the workplace	Evidence
<ul style="list-style-type: none"> <li>• Using a range of techniques to gain workplace information</li> <li>• Effectively communicating information to others using a range of techniques</li> <li>• Interacting with others to achieve workplace outcomes</li> <li>• Recording workplace information as required</li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>Company policies and procedures in regard to customer service, communication, correspondence, recording of information and messages and administration</i></li> <li>• <i>Effective communication techniques</i></li> <li>• <i>Types of correspondence used in the workplace</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>Advanced listening and questioning techniques</i></li> <li>• <i>Effective telephone techniques</i></li> <li>• <i>Speaking clearly and directly</i></li> <li>• <i>Use of basic software</i></li> <li>• <i>Interpersonal skills</i></li> <li>• <i>Negotiation skills</i></li> <li>• <i>Calculation skills</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

<b>Unit of Competency: FNSICGEN303B – Work with others</b>	<b>Evidence</b>
<ul style="list-style-type: none"><li>• <b>Interact with others to achieve workplace outcomes</b></li><li>• <b>Contribute to group decision making processes</b></li><li>• <b>Overcome workplace problems</b></li><li>• <b>Manage self</b></li><li>• <b>Support and adapt to change in the workplace environment</b></li></ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"><li>• <i>basic knowledge of communication principles</i></li><li>• <i>basic knowledge of conflict resolution principles</i></li><li>• <i>knowledge of time management principles</i></li><li>• <i>basic knowledge of principles of effective teamwork</i></li><li>• <i>basic understanding of reasons for organisational change</i></li></ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"><li>• <i>interpersonal and communication skills</i></li><li>• <i>teamwork participation skills</i></li><li>• <i>time management skills</i></li><li>• <i>planning skills</i></li><li>• <i>referral skills</i></li><li>• <i>basic conflict resolution skills</i></li><li>• <i>resource management skills</i></li></ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSASIC301B – Establish client relationship and analyse needs	Evidence
<ul style="list-style-type: none"> <li>• Establish relationship with client</li> <li>• Identify clients objectives, needs and financial situation</li> <li>• Analyse client objective, needs, financial situation and risk profile</li> </ul> <p><b>Knowledge Required (Generic)</b></p> <ul style="list-style-type: none"> <li>• <i>generic knowledge about the economic environment, the characteristics and impact of economic and business cycles, including interest rates, exchange rates, inflation, and government monetary and fiscal policies</i></li> <li>• <i>generic knowledge about the operation of financial markets, the roles played by intermediaries and issuers, structure and inter-relationships within the financial markets, and inter-relationship between industry sectors</i></li> <li>• <i>generic knowledge about financial products, including the concept of a financial product, general definition, specific inclusions and exclusions, types of financial investment products, types of financial risk products</i></li> <li>• <i>generic knowledge about the taxation issues in relation to the products and markets in which they operate</i></li> <li>• <i>generic knowledge about advisory functions, the role of the representative/adviser, participants in the advisory services market, range of services provided, profile and financial information of the client, appropriateness of a risk assessment</i></li> <li>• <i>generic knowledge about the legal environment and disclosure and compliance, the role of the representative/adviser, relevant legal principles (eg Corporations Act, Financial Services Reform Act (FSRA), Trade Practices Act etc.), the relationship between ethics and regulatory requirements (eg good faith, utmost good faith, full disclosure of remuneration/fees and any other conflicts of interest which may influence the adviser's recommendation)</i></li> <li>• <i>knowledge of relevant industry codes of practice and conduct</i></li> <li>• <i>knowledge of complaints resolution procedures (internal and external)</i></li> <li>• <i>knowledge of regulators guidelines including the requirements of ASIC's policy statement 146</i></li> </ul>	

---

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

---

**Knowledge Required (Specialist)**

- *specialist knowledge of the specific industry or product in which they are operating. For general insurance products this includes:*
- *types of general insurance products/policies*
- *standard cover (and deviations)*
- *policy wordings*
- *taxes and charges*
- *insurance claims*
- *premium rating/risk selection*
- *reporting*
- *product development*
- *underwriting*
- *for deposit products and non-cash payment facilities this includes:*
- *types of products/facilities*
- *product/facility characteristics*

**Skills Required**

- *ability to perform completed needs analysis*
- *analytical skills*
- *ability to use databases and computerised equipment*
- *presentation skills*
- *customer negotiation skills*
- *ability to analyse information and products to ensure appropriateness to client needs, currency and accuracy*
- *effective interpersonal and communication skills*

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

<b>Unit of Competency:</b> <b>FNSRETA301B – Provide customer service in a retail agency</b>	<b>Evidence</b>
<ul style="list-style-type: none"><li>• <b>Represent the financial services institution</b></li><li>• <b>Identify customer's financial services needs</b></li><li>• <b>Process customer transactions</b></li></ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"><li>• <i>company policies, procedures and protocols</i></li><li>• <i>scope of capacity to offer advice within the requirements of the Financial Services Reform Act (FSRA)</i></li><li>• <i>financial products and services and their benefits and applications</i></li></ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"><li>• <i>customer service</i></li><li>• <i>communications skills</i></li><li>• <i>problem solving</i></li><li>• <i>selling skills</i></li></ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSASIC302B – Develop, present and negotiate client solutions	Evidence
<ul style="list-style-type: none"> <li>• <b>Develop appropriate strategies and solutions</b></li> <li>• <b>Present appropriate strategies and solutions to the client</b></li> <li>• <b>Negotiate financial plan/policy/transaction with client</b></li> <li>• <b>Co-ordinate implementation of agreed plan/policy/transaction</b></li> <li>• <b>Complete and maintain necessary documentation</b></li> <li>• <b>Provide ongoing service where requested by client</b></li> </ul> <p><b>Knowledge Required (Generic)</b></p> <ul style="list-style-type: none"> <li>• <i>generic knowledge about the economic environment, the characteristics and impact of economic and business cycles, including interest rates, exchange rates, inflation, and government monetary and fiscal policies</i></li> <li>• <i>generic knowledge about the operation of financial markets, the roles played by intermediaries and issuers, structure and inter-relationships within the financial markets, and inter-relationship between industry sectors</i></li> <li>• <i>generic knowledge about financial products, including the concept of a financial product, general definition, specific inclusions and exclusions, types of financial investment products, types of financial risk products</i></li> <li>• <i>generic knowledge about the taxation issues in relation to the products and markets in which they operate</i></li> <li>• <i>generic knowledge about advisory functions, the role of the representative/adviser, participants in the advisory services market, range of services provided, profile and financial information of the client, appropriateness of a risk assessment</i></li> <li>• <i>generic knowledge about the legal environment and disclosure and compliance, the role of the representative/adviser, relevant legal principles (eg Corporations Act, Financial Services Reform Act (FSRA), Trade Practices Act etc.), the relationship between ethics and regulatory requirements (eg good faith, utmost good faith, full disclosure of remuneration/fees and any other conflicts of interest which may influence the adviser's recommendation)</i></li> <li>• <i>knowledge of relevant industry codes of practice and conduct</i></li> <li>• <i>knowledge of complaints resolution procedures (internal and external)</i></li> <li>• <i>knowledge of regulators guidelines including the requirements of ASIC policy statement 146</i></li> </ul>	

---

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

---

**Knowledge Required (Specialist)**

- *specialist knowledge of the specific industry or product in which they are operating. For general insurance products this includes:*
- *types of general insurance products/policies*
- *standard cover (and deviations)*
- *policy wordings*
- *taxes and charges*
- *insurance claims*
- *premium rating/risk selection*
- *reporting*
- *product development*
- *underwriting*
- *for deposit products and non-cash payment facilities this includes:*
- *types of products/facilities*
- *product/facility characteristics*

**Skills Required**

- *ability to perform completed needs analysis*
- *analytical skills*
- *ability to use databases and computerised equipment*
- *presentation skills*
- *customer negotiation skills*
- *ability to analyse information and products to ensure appropriateness to client needs, currency and accuracy*
- *effective interpersonal and communication skills*

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICCUS301B – Respond to customer enquiries	Evidence
<ul style="list-style-type: none"> <li>• Obtain details of customer and nature of enquiry</li> <li>• Research the information relevant to the enquiry</li> <li>• Determine a suitable response to the enquiry</li> <li>• Communicate information to the customer</li> <li>• Update relevant records</li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>company policy, procedures and requirements</i></li> <li>• <i>financial strategies and solutions suitable for customer situations and profiles</i></li> <li>• <i>product/policy terms and conditions</i></li> <li>• <i>relevant legislation and industry</i></li> <li>• <i>dispute resolution process</i></li> <li>• <i>conflict resolution process</i></li> <li>• <i>customer service process</i></li> <li>• <i>privacy and confidentiality legislation and requirements</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>interpersonal</i></li> <li>• <i>listening</i></li> <li>• <i>letter writing</i></li> <li>• <i>analysis of data</i></li> <li>• <i>using telephone or computer technology, especially databases to record customer enquiries, information and response</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICCUS302B – Process customer complaints	Evidence
<ul style="list-style-type: none"> <li>• Identify customer complaint</li> <li>• Process complaint</li> <li>• Resolve or refer complaint</li> <li>• Document complaint</li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>policies and procedures in regards to customer service, staff supervision, and organisation appraisal system</i></li> <li>• <i>policies and procedures in regards to customer complaints</i></li> <li>• <i>organisation's products and services</i></li> <li>• <i>appropriate lines of communication to staff and management</i></li> <li>• <i>interpersonal communication techniques</i></li> <li>• <i>customer service procedures</i></li> <li>• <i>customer relations procedures</i></li> <li>• <i>financial services regulations and requirements</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>interpersonal skills</i></li> <li>• <i>analysis of data</i></li> <li>• <i>problem solving skills</i></li> <li>• <i>listening skills</i></li> <li>• <i>ability to prioritise tasks</i></li> <li>• <i>verbal and written communication skills</i></li> <li>• <i>referral skills</i></li> <li>• <i>basic computer skills</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

<b>Unit of Competency: FNSICADV301B – Provide general advice on financial products and services</b>	<b>Evidence</b>
<ul style="list-style-type: none"><li>• <b>Establish relationship with client</b></li><li>• <b>Identify client needs</b></li><li>• <b>Identify general advice boundaries of product/service</b></li><li>• <b>Provide general advice to client</b></li></ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"><li>• <i>relevant legislation affecting the industry, particularly ASIC policy statement PS146</i></li><li>• <i>the role of different advisers within the company</i></li><li>• <i>overview of products available in the industry</i></li><li>• <i>company policy and guidelines related to the provision of advice</i></li><li>• <i>the processes of effective communication</i></li><li>• <i>characteristics and/or conditions of relevant products and services</i></li><li>• <i>details of relevant document, including brochures and fact sheets, on products and services</i></li></ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"><li>• <i>ability to identify differences between personal and general advice related to products and services</i></li><li>• <i>ability to use language that avoids unnecessary industry specific jargon</i></li><li>• <i>oral and written communication skills</i></li></ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICSAM301B – Identify opportunities for cross selling products and services	Evidence
<ul style="list-style-type: none"> <li>• Identify opportunities for cross selling of products and services</li> <li>• Promote sales of products and services</li> <li>• Refer sales/service to appropriate area</li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>product and service knowledge</i></li> <li>• <i>introductory knowledge of the finance industry, business communication and business law</i></li> <li>• <i>knowledge of customer relations</i></li> <li>• <i>customer service</i></li> <li>• <i>company's manner of dealing with complaints</i></li> <li>• <i>knowledge of relevant legislation and potential/actual impact on information requested or provided</i></li> <li>• <i>sales techniques</i></li> <li>• <i>knowledge of organisation's policies and procedures in regard to customer service and sales</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>communication skills</i></li> <li>• <i>interpersonal/relationship building skills</i></li> <li>• <i>negotiation skills</i></li> <li>• <i>referral skills</i></li> <li>• <i>recording skills</i></li> <li>• <i>problem solving skills</i></li> <li>• <i>selling skills (including listening, questioning, matching needs, confirming sale)</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSICGEN305B – Maintain daily financial/business records	Evidence
<ul style="list-style-type: none"> <li>• <b>Process financial forms and applications</b></li> <li>• <b>Prepare and process banking documents and petty cash documents</b></li> <li>• <b>Process petty cash transactions</b></li> <li>• <b>Prepare and process invoices for payment to creditors and for debtors</b></li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>the organisation's policies and procedures applying to financial documents</i></li> <li>• <i>relevant legislation and codes, relating to the operation of a business and to the tasks undertaken</i></li> <li>• <i>legislation relating to privacy and confidentiality</i></li> <li>• <i>procedures for handling cheques, vouchers and cash</i></li> <li>• <i>banking procedures and guidelines</i></li> <li>• <i>methods of calculating and presenting financial data</i></li> <li>• <i>the organisation's software and technology used to record and transmit financial information</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>calculation skills</i></li> <li>• <i>ability to check accuracy of information (words and numbers)</i></li> <li>• <i>attention to detail</i></li> <li>• <i>ability to read and interpret financial data</i></li> <li>• <i>communication skills</i></li> <li>• <i>ability to relate to people from a range of social, cultural and ethnic backgrounds</i></li> <li>• <i>ability to work to set timelines</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

<b>Unit of Competency: FNSICGEN403B – Collect, assess and use information</b>	<b>Evidence</b>
<ul style="list-style-type: none"><li>• Clarify the requirements for the information</li><li>• Collect and organise the information</li><li>• Analyse and draw conclusions, if necessary</li><li>• Present information in appropriate format</li></ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"><li>• <i>investigation methods</i></li><li>• <i>knowledge of company policies and procedures</i></li><li>• <i>knowledge of company products and services</i></li><li>• <i>knowledge of information technology and communication systems</i></li><li>• <i>knowledge of relevant legislative reporting requirements</i></li></ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"><li>• <i>use of computerised spreadsheets and databases</i></li><li>• <i>data collection, analysis and interpretation</i></li><li>• <i>appropriate data presentation skills (written/oral)</i></li><li>• <i>time management</i></li><li>• <i>file management and organisational skills</i></li><li>• <i>appropriate written and oral interpersonal skills</i></li></ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

<b>Unit of Competency: FNSICORG302B – Prepare reports for management</b>	<b>Evidence</b>
<ul style="list-style-type: none"><li>• <b>Develop report to specifications</b></li><li>• <b>Access report data</b></li><li>• <b>Analyse data</b></li><li>• <b>Prepare reports</b></li><li>• <b>Distribute reports</b></li></ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"><li>• <i>company policy and procedures</i></li><li>• <i>knowledge or awareness of relevant acts and regulations</i></li><li>• <i>legal systems and procedures</i></li><li>• <i>industry codes of practice</i></li><li>• <i>computer systems</i></li></ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"><li>• <i>computerised spreadsheet and database</i></li><li>• <i>data analysis and interpretation</i></li><li>• <i>analytical skills</i></li><li>• <i>interpersonal and communication</i></li><li>• <i>report writing</i></li></ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: FNSRETA308B – Prepare statistical and ad hoc reports	Evidence
<ul style="list-style-type: none"> <li>• <b>Determine report required</b></li> <li>• <b>Collect relevant information</b></li> <li>• <b>Analyse report and recommend changes</b></li> <li>• <b>Produce reports and make recommendations</b></li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>a complete understanding of user requirements</i></li> <li>• <i>knowledge of key result areas for evaluation of financial performance</i></li> <li>• <i>knowledge of risk management strategies including professional indemnity requirements</i></li> <li>• <i>knowledge of statistical and trend analysis</i></li> <li>• <i>knowledge of audit processes</i></li> <li>• <i>systems knowledge and familiarity</i></li> <li>• <i>knowledge of financial accounting principles and procedures</i></li> <li>• <i>introductory knowledge of the finance industry, business communication, business law and business accounting</i></li> <li>• <i>knowledge of working environment and information technology</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>planning skills</i></li> <li>• <i>organising skills</i></li> <li>• <i>risk management skills</i></li> <li>• <i>use of initiative in designing relevant reports</i></li> <li>• <i>researching, observing and analysing skills</i></li> <li>• <i>skills in identifying and evaluating business opportunities</i></li> <li>• <i>written and verbal communication skills</i></li> <li>• <i>reporting skills</i></li> </ul>	

**APPLICATION FORM**  
for  
**Recognition of Prior Learning (RPL)**  
in the  
**Certificate III in Financial Services – FNS30107**

Unit of Competency: BSBWOR301A – Organise personal work priorities and development	Evidence
<ul style="list-style-type: none"> <li>• <b>Organise and complete own work schedule</b></li> <li>• <b>Monitor own work performance</b></li> <li>• <b>Co-ordinate personal skill development and learning</b></li> </ul> <p><b>Knowledge Required</b></p> <ul style="list-style-type: none"> <li>• <i>key provisions of relevant legislation from all levels of government that may affect aspects of business operations, such as:</i> <ul style="list-style-type: none"> <li>○ <i>anti-discrimination legislation</i></li> <li>○ <i>ethical principles</i></li> <li>○ <i>codes of practice</i></li> <li>○ <i>privacy laws</i></li> <li>○ <i>occupational health and safety (OHS)</i></li> </ul> </li> <li>• <i>organisational policies, plans and procedures</i></li> <li>• <i>methods to elicit, analyse and interpret feedback</i></li> <li>• <i>principles and techniques of goal setting, measuring performance, time management and personal assessment</i></li> <li>• <i>competency standards and how to interpret them in relation to self</i></li> <li>• <i>methods to identify and prioritise personal learning needs.</i></li> </ul> <p><b>Skills Required</b></p> <ul style="list-style-type: none"> <li>• <i>literacy skills to read and understand the organisation's procedures, own work goals and objectives</i></li> <li>• <i>planning skills to organise work priorities and arrangements</i></li> <li>• <i>problem-solving skills to solve routine problems</i></li> <li>• <i>communication skills to give and receive constructive feedback relating to development needs.</i></li> </ul>	