

RMBF51-15

Business fundamentals for integrated risk management

Workplace observation form — to be completed by the workplace observer

Background

As a component of Certificate IV in General Insurance, students should be able to apply appropriate business skills when working in an office environment.

This unit covers the following skills, which are regarded as essential in an office environment:

1. Apply principles of professional practice to work in the financial services industry (FNSINC401)
2. Contribute to WHS hazard identification, risk assessment and risk control (BSBWHS404)

Students need to be able to interpret and apply procedures to deal with situations as they occur in the workplace.

Instructions

Once students have successfully completed the online course component, they need to demonstrate that they have acquired the relevant skills. You need to observe them in the workplace as they carry out the specified tasks.

1. You should be a supervisor or manager with experience and/or knowledge in the skills/competencies/tasks being assessed.
2. If applicable, you will negotiate a suitable date, time and venue for the student to interact with a client while you observe. The client's permission should be requested before this observation takes place.
3. You will need to email, post or fax the completed and signed workplace observation to ANZIIF within six (6) weeks following the student's completion of the online component of this course.

Email: wpo@anziif.com

Post: Assessment Department, Level 7, 628 Bourke Street, Melbourne, Victoria 3000, Australia.

Fax: (+61 3) 9642 4166

The completed WPO will be processed within 2 weeks of being received and an outcome will be emailed to the sender. For further enquiries, please contact Customer Service on (+61 3) 9613 7280.

STUDENT	Name	
	Master ID	
	Unique student identifier (USI)	
	Organisation	

OBSERVER	Name	
	Job title	
	Phone number	
	Email address	
	Questions for the workplace observer	<input type="checkbox"/> Do you understand the purpose of this assessment? <input type="checkbox"/> Are you willing to be contacted should further verification be required? <input type="checkbox"/> Are you a supervisor or manager with experience and/or knowledge in the skills/competencies/tasks being assessed?

Workplace observations

Please record the date of each observation and place a check mark indicate the student has successfully performed the listed task to the required standard. You must record *three* successful observations to satisfy the requirement that the student performs these tasks on a consistent basis.

Does the student perform the following tasks to the required standard on a consistent basis? Refer to Appendix A for performance criteria.	Successful observations		
	Observation 1 date	Observation 2 date	Observation 3 date
	/ /	/ /	/ /
FNSINC401 Apply principles of professional practice to work in the financial services industry			
Identify the scope, sectors and responsibilities of the industry			
Identify and apply financial services industry guidelines, procedures and legislation			
Identify sustainability issues			
Manage information			
Participate in and facilitate work team activities			
Plan work to be completed			
Develop and maintain personal competency			
BSBWHS404 Contribute to WHS hazard identification, risk assessment and risk control			
Access information to identify hazards and assess and control risks			
Contribute to compliance and workplace requirements			
Contribute to workplace hazard identification			
Contribute to WHS risk assessment			
Contribute to the development, implementation and evaluation of risk control			

Employability skills

Please place a check mark to indicate the student has successfully acquired the following skills.

- | | |
|---|---|
| <input type="checkbox"/> Performs job tasks to industry standards | <input type="checkbox"/> Works well with others |
| <input type="checkbox"/> Manages job tasks effectively | <input type="checkbox"/> Adapts to new tasks |
| <input type="checkbox"/> Implements safe working practices | <input type="checkbox"/> Copes with unusual or non-routine situations |
| <input type="checkbox"/> Solves problems on-the-job | |

Terms of acceptance

I, the workplace observer for this workplace observation checklist, warrant the truthfulness of the information provided. I have conducted this observation/role play in accordance with ANZIIF's guidelines.

Signature _____ Full name _____ Date / /

- I understand that checking this box constitutes a legal signature confirming that I acknowledge and agree to the above Terms of Acceptance.

Appendix A: Observation performance criteria checklist

Ensure you consider the following performance criteria when undertaking your observation.

You do not need to submit this appendix as it is only a reference guide.

FNSINC401A Apply principles of professional practice to work in the financial services industry

Identify the scope, sectors and responsibilities of the industry

- Identify and consider external forces impacting on financial services industry while carrying out activities
- Identify main sectors of financial services industry and interrelationship between sectors in carrying out activities
- Identify roles and responsibilities of other participants in financial services industry in carrying out activities

Identify and apply financial services industry guidelines, procedures and legislation

- Collect, apply and analyse information on relevant legislation, regulations and codes of practice as applied to financial services industry
- Clarify own work practice and regularly refine in light of relevant legislation, regulations and codes of practice, and organisational policy, guidelines and procedures
- Apply relevant codes of practice in an ethical approach to workplace practice and decisions

Identify sustainability issues

- Obtain and analyse information on sustainability policies, strategies and impacts on industry from a range of sources
- Identify and promote environmental sustainability as an integral part of business planning and business opportunity
- Incorporate and support triple bottom line principles in work planning

Manage information

- Read and discuss with appropriate persons relevant documents and reports that could impact on work effectiveness and compliance
- Analyse, evaluate and check documents, reports, data and numerical calculations to meet customer and organisational requirements
- Present information in format appropriate for audience

Participate in and facilitate work team activities

- Provide feedback to team members to encourage, value and reward individual and team efforts, and contributions
- Actively encourage team members to participate in and take responsibility for team activities and communication processes
- Support team to identify and resolve problems which impede its performance
- Ensure own work serves as role model for others and enhances organisation's image and financial services industry

Plan work to be completed

- Determine tasks to be done and identify relevant conditions to work autonomously or in team environment
- Plan work to manage resources, time and priorities
- Contribute to organisational planning process as required to achieve service improvement
- Adapt to changes in technology and work organisation in timely manner

Develop and maintain personal competency

- Identify and review personal professional development needs and goals on regular basis
- Clarify and comply with competency, authorisation and licensing requirements
- Seek professional development opportunities that reflect needs and goals in agreed timeframe

BSBWHS404 Contribute to WHS hazard identification, risk assessment and risk control

Access information to identify hazards and assess and control risks

- Identify sources of information and data
- Obtain information and data to determine the nature and scope of workplace hazards, the range of harms they may cause and how these harms are caused
- Obtain information and data to determine the nature and scope of workplace risks and risk controls

Contribute to compliance and workplace requirements

- Contribute to identifying and complying with requirements of workplace policies, procedures, processes and systems for hazard identification, risk assessment and risk control activities
- Contribute to identifying and complying with requirements of WHS Acts, regulations, codes of practice and guidelines for hazard identification, risk assessment and risk control activities
- Identify duty holders and their range of duties

Contribute to workplace hazard identification

- Identify duty holders and their range of duties
- Apply knowledge of hazard identification to contribute to selecting techniques, tools and processes to identify workplace hazards
- Contribute to applying selected techniques, tools and processes
- Contribute to documenting hazard identification process and results

Contribute to WHS risk assessment

- Apply knowledge of risk assessment to contribute to selecting techniques, tools and processes for risk assessment of hazards
- Contribute to applying techniques, tools and processes to identified hazards
- Contribute to documenting the results of risk assessments

Contribute to the development, implementation and evaluation of risk control

- Apply knowledge of risk control to contribute to developing risk control options for identified hazards, using the results of risk assessments
- Contribute to developing and implementing a risk control plan
- Contribute to evaluating implemented risk controls