



FNSACC418

ASSESSOR GUIDE

Work effectively in the accounting and bookkeeping industry

Assessment 3 of 3

Project

Assessment Instructions

Task overview

This assessment requires you to complete six [6] tasks. Some tasks have multiple parts. Read each assessment task carefully before typing your response in the space provided.

To be assessed as competent, you must complete all tasks required.

Additional resources and supporting documents

To complete this assessment, you will need:

- Access to learning materials
- Access to a computer and the internet
- Access to Microsoft Word
- Assessment 3 Workbook
- ICB Prepayments Information Sheet
- New Employee Checklist
- Code of Conduct Policy Template



Assessment Information

Submission

You are entitled to three [3] attempts to complete this assessment satisfactorily. Incomplete assessments will not be marked and will count as one of your three attempts.

All questions must be responded to correctly to be assessed as satisfactory for this assessment.

Answers must be typed into the space provided and submitted electronically via the LMS. Hand-written assessments will not be accepted unless previously arranged with your assessor.

Reasonable adjustment

Students may request a reasonable adjustment for assessment tasks.

Reasonable adjustment usually involves varying:

- the processes for conducting the assessment [e.g. allowing additional time]
- the evidence gathering techniques [e.g. oral rather than written questioning, use of a scribe, modifications to equipment]

However, the evidence collected must allow the student to demonstrate all requirements of the unit.

Refer to the Student Handbook or contact your Trainer for further information.



Please consider the environment before printing this assessment.

Assessment 3

Student Instructions

This is an open-book written assessment – you can use your learning materials as a reference.

This assessment uses a simulated business called Brilliant Bookkeepers, a service-based business that provides bookkeeping services to clients. To complete the assessment tasks, you will need to access information, templates, policies, and procedures associated with Brilliant Bookkeepers. These additional resources and supporting documents can be downloaded from the learning platform under the Assessment 3 tab.

Terry is the owner of Brilliant Bookkeepers. He is also a registered BAS Agent. Brilliant Bookkeepers employs two accounts clerks to assist Terry with processing clients' bookkeeping requirements. Macey works full time, and Kane works three days per week, from Monday through to Wednesday. Brilliant Bookkeepers is currently reviewing the professional development of all staff members.

Assessor Instructions

Purpose of the Task

This assessment requires candidates to answer a set of written questions to demonstrate that they understand the skills and knowledge required for this unit.

Reassessment Arrangements

If candidates answer any questions in this assessment incorrectly, they must be given an appropriate time to resubmit. Candidates should only redo questions that are incorrect; however, they will need to resubmit the entire assessment.

Guidance to Assessors About this Task

Candidates can be given the opportunity to answer questions verbally if appropriate. Benchmark responses for each question have been provided.

Task 1

Engaging in regular professional development activities is a requirement to maintain BAS Agent registration with the Tax Practitioners Board. To complete a professional development activity, access the ICB Prepayments Information Sheet located in the Assessment 3 tab.

Read the information sheet to further your understanding of prepayments in accounting and bookkeeping. In the space below, summarise the article as evidence of your professional development.

(Word length: 250-350 words)

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Candidates are to read the ICB Prepayments Information Sheet and write a summary of the publication.

A benchmark answer is provided below.

Summary of prepayments in accounting and bookkeeping article

Prepayments are payments made in one reporting period that can be attributed to multiple reporting periods or for goods and/or services that will not be received until a future reporting period. Expenses that cover multiple reporting periods are often prepayments such as insurance renewal premiums and annual subscriptions, which are often paid annually but cover the full twelve reporting periods (month) of the financial year.

The liability for the prepayment is recognised in the period that the payment is made, and the GST is claimed within that reporting period. Small businesses with an annual turnover of less than \$10,000,000 can claim the entire amount immediately upon payment if the purchase is less than \$1,000 and the goods or services are received within the same financial year as the payment is made. Small businesses can also immediately claim the deductible expense if the prepaid expense is for something to be obtained over a period of twelve months or less, and the service period ends in the financial year following the year the expense was incurred. An example of this is a car insurance premium renewal.

When accounting for prepayments, a prepayments asset account needs to be created, which shows the balance of the prepayment on the balance sheet for each reporting period. The expense is expensed to the appropriate profit and loss account each financial period until the prepayment has been fully allocated. A monthly journal entry is credited to credit the prepayments account, thereby reducing the balance of the asset and debiting the expense account, thereby increasing the balance in the expense account.

Task 2

Terry is preparing to renew his registration as a BAS Agent with the Tax Practitioners Board (www.tpb.gov.au). Terry wishes to renew his registration for the standard three-year period.

Terry has asked you to research the continuing professional development requirements for maintaining BAS Agent registration and summarise the requirements in the space below. Your answer must include the following:

1. Number of hours
2. Types of professional development activities
3. Record-keeping
4. Reference your source/s

(Word length: 100-150 words)

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Candidates must outline the requirements for registration for BAS Agents as per the Tax Practitioners Board and must include the following:

1. Total professional development hours of 45 in a 3-year period, with a minimum of 5 per year
2. Reference at least one source
3. Types of professional development activities.

A benchmark answer is provided below.

Requirements for registration for BAS Agents as per the Tax Practitioners Board

Registered BAS Agents must complete forty-five [45] hours of continued professional education [CPE] throughout their three [3] year registration period, with a minimum of five [5] hours each year. If your registration period is different to this, the time must be pro rata.

Continued professional education activities can include:

- Seminars, workshops, lectures, and courses
- Structured in-house training, conferences, webinars and discussion groups
- Higher education and vocational education courses
- Up to 25% of technical and professional reading

You should maintain a record and evidence of any continued professional education activities that have been completed, including details of the activity, the date and the hours undertaken.

[Source: https://www.tpb.gov.au/sites/default/files/de-13308_cpe-factsheet_basagent.pdf?v=1575502583]

Task 3

Brilliant Bookkeepers has experienced a significant surge in client demand. Terry has offered you a bookkeeper position to accommodate the increased workload and maintain the high level of service they are known for. As a registered bookkeeper with the TPB, you are excited by this opportunity.

In the past, Terry has kept records of any professional development activities completed in a folder on his computer called PD [Year]. This system is not highly effective as no planning is done, and the hours for continuing professional education are not tracked effectively. Terry has developed a Continuing Professional Education Planner template to plan, track, and monitor staff professional development activities more systematically.

- a. Access the [MYOB Academy](#) learning dashboard.
Complete two [2] MYOB Course as part of your professional development. Use the snipping tool to capture a screen shot of the courses you have completed and paste the screen shot in the table below. The screenshot must include:
- Your name
 - The title of the course you completed
 - The status as completed
 - The completion date.

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a. Candidates must provide a screenshot as evidence they have completed two [2] MYOB courses as part of their own professional development. The screenshot **must include:**

- Candidates name (top right hand corner)
- The title of the course the candidate completed
- The status as completed
- The completion date.

A benchmark answer is provided below.

Learning Dashboard

Introduction to MYOB Advanced Certification

Click here to get certified!

Announcements

Got some questions about our Partner Program? [Check out this FAQs page to start.](#)

Represent more than one MYOB Partner business? Make sure that you link your accounts together!

Click the [Link/unlink my accounts](#) option under the Quick Links section below to make sure that

Current learning

View your list of current learning below.

Title	Status	Date
Setting up MYOB Business/MYOB Essentials (new)	Started	No due date set
MYOB Business Payroll Certification - AU	Not Started	No due date set
MYOB Business Certification	Not Started	No due date set
Bookkeeping 101: Get the lingo (recording)	Completed	Completed 5 Jun 2023

- b. Terry has asked you to complete the Continuing Professional Education Planner for the three [3] financial years 2022-2024 in compliance with the BAS Agent registration requirement of the Tax Practitioners Board (www.tpb.gov.au). You currently hold a Certificate IV in Accounting and Bookkeeping.

Candidates must complete the Continuing Professional Education Planner. Answers will vary, but candidates must:

- Plan for at least 5 hours of CPE per calendar year
- Plan for a total of 45 hours of CPE or more over the three-year period
- Include suitable professional development activities, as set by the Tax Practitioners Board (www.tpb.gov.au/sites/default/files/de-13308_cpe-factsheet_basagent.pdf?v=1575502583). A benchmark response is below.

Brilliant Bookkeepers Continuing Professional Education Planner				
Name	Candidates Name	Period	July 2022- June 2024	
Current Qualifications	Certificate IV in Accounting and Bookkeeping			
CPE Activity	Provided by / Resource	When	Hours	
Attend ABN Coffee Club	www.austbook.net	July 2022	1.5	
Reading: ICB monthly newsletter	www.icb.org.au	September 2022	1.5	
Attend International Conference on Finance and Accounting	www.waset.org	2-3 December 2022	15	
Reading: ICB monthly newsletter	www.icb.org.au	January 2023	1.5	
Attend ATO webinar	www.ato.gov.au	March 2023	1	
MYOB Training Get ready for End of Financial Year	www.myob.com.au	June 2023	1	
Reading: ICB monthly newsletter	www.icb.org.au	June 2023	1.5	
Attend payroll tax seminar	www.revenue.nse.gov.au	September 2023	2	
Complete Tax Law for Tax Agents Skill Set	www.ssbtt.edu.au	November 2023	80	
Attend ATO webinar	www.ato.gov.au	March 2024	1	
Attend FBT seminar	www.ntaacom.au	March 2024	6.5	
Reading: ICB monthly newsletter	www.icb.org.au	June 2024	1.5	

Task 4

While working at Brilliant Bookkeepers, Macey and Kane have not participated in any professional development plan or staff training. To ensure staff remain current and up to date with industry changes, Terry has decided to implement the new professional development plan for all his staff.

Over the past few months, Brilliant Bookkeepers has had an increasing number of questions about cloud-based accounting software from clients. Because of this emerging trend, Terry would like Macey and Kane to become Certified Xero Advisors. They will need to complete the Xero adviser certification course [<https://central.xero.com/s/training-track/a4F1N000000uS7RUAU/xero-advisor-certification>] as their first professional development activity.

Terry has asked you to compose an email advising Macey and Kane of the following:

- Implementation of the new professional development planner
- Discuss reviewing and amending the plan, if necessary, every six months
- Brilliant Bookkeepers' commitment to staff training
- Emerging trends in bookkeeping to cloud-based solutions
- Details of the Xero adviser certification course
- Advise that they must both complete the training within the next 30 days and send the Certification for record-keeping

Your email must be professionally composed with your communication style adapted to show respect for the values, beliefs and cultural expectations of others.

[Word length: 150-250 words].

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Candidates must compose an email to Macey and Kane and include the following:

- Implementation of the new professional development planner
- Discuss reviewing and amending the plan, if necessary, every six months
- Brilliant Bookkeeper's commitment to staff training
- Emerging trends in bookkeeping to cloud-based solutions
- Details of the Xero adviser certification course
- Advise that they must both complete the training within the next 30 days and send the Certification for record-keeping

The email must be professionally composed with a communication style adapted to show respect for the values, beliefs and cultural expectations of others.

A benchmark answer is provided below.

Email Template

EMAIL:

To: Kane and Macey

From: *Students Name*

Subject: *Professional Development*

Dear Kane and Macey,

Thank you for the efforts you both put into your roles. It is much appreciated. I know Brilliant Bookkeepers has not provided any staff training, which we need to change.

I have developed a Continued Professional Education Planner (see attached) so we can plan your professional development activities and regularly track your progress. We will complete a plan for each of you and review the plan every six (6) months, adjusting as necessary.

Due to emerging trends in the accounting and bookkeeping industry, we are getting an increased number of enquiries from clients about cloud-based accounting solutions. Because of this, the first activity in your professional development plans will be to become Xero Accredited Advisors. To gain this certification, you will need to complete the Xero accreditor certification training (<https://central.xero.com/s/training-track/a4F1N000000uS7RUAU/xero-advisor-certification>). The training takes you through several webinars and short knowledge and skills tests, taking approximately 5 hours. Please schedule time over the next 30 days to complete this training. It can be done in stages and does not need to be completed all at once. Please send through the completed certificate for our records.

Kind regards,
Students Name

Task 5a Role Play

This is a role-play activity between Terry, Macey, and Kane.

Macey and Kane have recently completed their Xero accredited advisor training and have become Certificated Xero Advisors. Terry wants to meet with them to acknowledge and reward their hard work and dedication to Brilliant Bookkeepers. Additionally, Terry wants to ensure he fully understands the training process and provide an opportunity for Macey and Kane to share their feedback.

Role play instructions

The meeting must include at least three (3) participant/s, must not exceed ten minutes duration and must address all requirements listed under Key Observation Criteria.

Key Observation Criteria

During the role play, you will be required to:

- Follow accepted communication practices by welcoming participants
- Use active listening skills
- Use questioning techniques to clarify understanding and elicit feedback
- Use a communication style that shows respect for the values, beliefs and cultural expectations of others
- Support team members.

Participant information

During the role play, you will demonstrate your skills in interacting with two other persons. Participants in your role play may be:

1. friends or family members; or
2. Fellow student/s who will play the role of a team member.

Option 1: Friend/s or family member/s

Should you complete this task with friends or family members, you must fully brief each participant, providing them with the context of the role play, a role outline to play and the 'Key Observation Criteria' so that they can prepare for the recording.

Each friend or family member participant will need to state their name and the role they are playing at the start of the recording to provide their consent.

Option 2: Fellow student/s participant

Please contact your fellow student/s via the Discussion Forum and coordinate your role play with them directly.

Fellow student/s participating in the recording must be provided with context to their role and responsibilities in the session and have reviewed the assessment activity with the 'Key Observation Criteria' so that they can prepare for the recording.

Student/s will need to state their name and the role they are playing at the meeting at the start of the recording to provide consent.

Participants' briefing instructions

Participant 1 – Terry [role played by the student]

You will play the role of Terry, the owner of Brilliant Bookkeepers. Terry is a registered BAS Agent. Brilliant Bookkeepers employs two accounts clerks to assist Terry with processing clients' bookkeeping requirements. Macey who works full-time, and Kane works three days per week. Macey and Kane have recently completed their Xero accredited advisor training and have become Certificated Xero Advisors. You have requested a meeting with them to gather feedback on the course.

You must ask both Macey and Kane for feedback on the Certified Xero Advisers course and their readiness to apply their knowledge to client work. You must also support the ongoing professional development of your team.

Participant 2 – Macey

You must participate in a role-play meeting with two other participants, Kane, a part time employee of Brilliant Bookkeepers and Terry the owner of Brilliant Bookkeepers and also a registered BAS Agent.

Macey is a full time employee who has just completed Xero Adviser training and is now a Certified Xero Adviser. When asked you must provide the following feedback to Terry on the training you completed.

'The training went smoothly for me, and I completed it within the specified timeframes set by Xero. While I didn't find the training particularly challenging, it served as a valuable refresher for my knowledge and skills in using the Xero software'.

When asked about your readiness to apply your knowledge to clients you must respond,

'I'm eager to dive into using Xero to its full potential at Brilliant Bookkeepers and help our existing clients and grow our client base'.

Participant 3 – Kane

You must participate in a role-play meeting with two other participants, Macey, a full time employee of Brilliant Bookkeepers and Terry the owner of Brilliant Bookkeepers and also a registered BAS Agent.

Kane is a part time employee who has just completed Xero Adviser training and is now a Certified Xero Adviser. When asked you must provide the following feedback to Terry on the training you completed.

'I'm feeling a lot more confident using the software. I completed the course however, due to my limited experience using Xero, I did need some help from Macey'.

When asked about your readiness to apply your knowledge to clients you must respond,

'I do feel prepared to apply the knowledge I've gained to assist our clients. While I did require some guidance from Macey during the course, I now feel confident in my understanding of the software. I am enthusiastic about using my newfound skills to provide bookkeeping solutions to our clients'.

Recording instructions

Your role play must be recorded with all participant/s captured in a virtual room using an application such as Zoom, Skype or Teams.

Consent to participate in the recording must be captured for all participant/s at the start of the meeting. This is achieved by the student reading the following statement at the start of the recording, followed by all participants replying with their names and the roles they are playing to provide their consent.

“This session is being recorded for assessment purposes for my course with Colab. This session will be recorded and submitted through my course online learning platform to my Assessor for grading. All participant/s in this session indicate their consent to be included in this recording by stating their name and the role they are going to play.”

The time taken to capture consent at the start of the recording does not count towards the recording time limit.

Save the video recording using the following naming convention, ***FNSACC418_StudentName_yymmdd_03_Role Play***. Include this recording as part of your assessment submission

Assessor Instructions

This is a role-play meeting between Terry the owner of Brilliant Bookkeepers and two of his employees, Macey and Kane. Macey and Kane have recently completed their Xero accredited advisor training and have become Certificated Xero Advisors. Terry is meeting with them to acknowledge and reward their hard work and dedication to Brilliant Bookkeepers. Additionally, Terry wants to ensure he fully understands the training process and provide an opportunity for Macey and Kane to share their feedback.

Candidates must submit a video recording of the role-play meeting between themselves and the [2] participants. The candidate assumes the role of Terry, owner of Brilliant Bookkeepers, and a friend, family member or fellow student assumes the roles of Macey and Kane, employees of Brilliant Bookkeepers. The meeting must be approx ten [10] minutes in duration, assesses the foundation skill Oral Communication and must address all elements of the Observation Checklist below.

Use the following Observation Checklist to record your observations while you watch the video. Where all criteria are demonstrated, write a general comment in the Student Assessment Feedback Form. Where one or more criteria are not demonstrated to a satisfactory standard, make a specific comment for each criterion requiring re-submission, including constructive feedback in the Student Assessment Feedback Form.

Observation Checklist (to be completed by the Assessor)	
Use this checklist while reviewing the recorded role play:	
Did the candidate ...	Satisfactory/Not Yet Satisfactory
Follow accepted communication practices by welcoming participants. The candidate must: <ul style="list-style-type: none"> open the meeting by welcoming all participants, such as ‘Good morning all, thank you for attending this meeting’. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not Yet Satisfactory

<p>Use active listening skills.</p> <p>The candidate must:</p> <ul style="list-style-type: none"> • Use verbal and non verbal cues. For example: <ul style="list-style-type: none"> ○ provide verbal affirmations such as, I see, That makes sense, or I understand to show that you're actively processing the information. ○ Nodding occasionally and using appropriate facial expressions demonstrate your attentiveness and understanding. • Allow participants to finish their thoughts without interrupting. • Be Patient especially when the speaker needs time to gather their thoughts or express themselves fully. 	<p style="text-align: center;"> <input type="checkbox"/>Satisfactory <input type="checkbox"/>Not Yet Satisfactory </p>
<p>Use questioning techniques to clarify understanding and elicit feedback.</p> <p>The candidate must:</p> <ul style="list-style-type: none"> • Ask both Macey and Kane for feedback on the Certified Xero Advisers course and their rediness to apply their knowledge to client work. • Paraphrase and Summarise. For example: o Repeat back what they have heard in own words to confirm understanding and to show that they are actively processing the information. • Ask clarifying questions. For example: o If something is unclear, ask openended questions to gain a better understanding of the speaker's viewpoint. • Clarify any ambiguity. 	<p style="text-align: center;"> <input type="checkbox"/>Satisfactory <input type="checkbox"/>Not Yet Satisfactory </p>

<p>Use a communication style that shows respect for the values, beliefs and cultural expectations of others.</p> <p>The candidate must demonstrate a communication style that respects the values, beliefs, and cultural expectations of others. For example:</p> <ul style="list-style-type: none"> • Show genuine interest in what Macey and Kane have to say and give them their full attention. • Avoid interrupting and listen without judgment. • Be mindful of the language they use to ensure it's inclusive and respectful of diversity. • Be flexible in their communication style to accommodate cultural differences. This may involve adjusting their tone, body language, and choice of words to ensure they align with the cultural expectations of the other participants. • If misunderstandings occur, address them respectfully. Clarify any misconceptions and seek common ground for mutual understanding. 	<p><input type="checkbox"/>Satisfactory</p> <p><input type="checkbox"/>Not Yet Satisfactory</p>
<p>Support team members</p> <p>The candidate must actively support Macey and Kane. This can be demonstrated by:</p> <ul style="list-style-type: none"> • Soliciting Feedback • By inviting Macey and Kane to share their feedback openly • Providing a platform for Macey and Kane to express any concerns • Encouraging ongoing professional development • Expressing gratitude, reinforcing a positive and supportive work culture. 	<p><input type="checkbox"/>Satisfactory</p> <p><input type="checkbox"/>Not Yet Satisfactory</p>
<p>Assessors Name:</p>	
<p>Date:</p>	

Task 5b

Review and analyse the implemented Continuing Professional Education Planner and suggest three (3) ways the new plan could be improved to enhance the planner, make it more versatile, make it more user friendly and/or make it more informative.

[Word length: 25-50 words]

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Candidates must suggest three (3) ways the Continuous Professional Education Planner can be improved. Candidates responses will vary and need to suggest improvements that would enhance the planner, making it more versatile, user friendly, and/or informative.

A benchmark answer is provided below.

Ways the Continuing Professional Education Planner could be improved	
1.	Include an area on the planner for staff members and the manager to sign in agreement of the plan.
2.	Include a column for 'completed' that can be filled in after completing each task.
3.	Develop a standard operating procedure to support the planner.

Task 6

Brilliant Bookkeepers employees have recently received inquiries from several clients about the information they should provide new employees during onboarding. Recognising the need for a comprehensive resource, Terry agreed that creating a new employee checklist and providing links to documents new employees need to complete would be a valuable offering for their clients. He has asked you to manage this task.

Download a copy of Brilliant Bookkeepers' New Employee Checklist. Update the checklist by providing links to the forms, factsheets and information statements listed in the checklist.

a. Prepare an email to Macey, Kane and Terry in the space provided. Your email must:

- Outline the reason you have created the New Employee Checklist
- Include a copy of the resource in the body of the email
- Organise a workshop between Terry, Macey and Kane for 25th May for the team to discuss the checklist and the need for employers to provide employees with a safe workplace.

[Word length: 175 - 225 words]

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Candidates must draft an email to Macey, Kane and Terry. The email must:

- Outline the reason you have created the New Employee Checklist
- Include a copy of the resource in the body of the email with links to the following:
- National Employment Standards fact sheet
- Tax file number declaration form
- Superannuation choice form
- Fair Work Information Statement
- Casual Employment Information Statement
- Organise a workshop between Terry, Macey and Kane for 25th May for the team to discuss the checklist and the need for employers to provide employees with a safe workplace

A benchmark answer is provided below.

Email Template

Task 6a EMAIL

To: Macey, Kane and Terry

From: [Candidates Name]

Subject: New Employee Checklist

Dear Macey, Kane, and Terry,

I hope this email finds you well. I wanted to address the recent inquiries you received from clients regarding the information they should provide to new employees during onboarding. Recognising the need for a comprehensive resource, I am pleased to share the New Employee Checklist with you.

This checklist has been structured to guide employers through onboarding new employees. It covers documents employers need to provide to new employees and other crucial information. By providing this checklist to our clients, we aim to offer them a valuable resource that streamlines their onboarding process and ensures compliance with necessary legal requirements.

I propose organising a workshop to discuss the checklist further and highlight the importance of employers providing a safe workplace for their employees. This workshop will be an excellent opportunity for us to address any questions or concerns regarding the checklist and delve into workplace safety. I suggest scheduling the workshop for the 25th of May.

Please let me know your availability for the workshop, and I will coordinate the logistics accordingly.

New Employee Checklist

This checklist has been created to help you in inducting new employees.

Before your employee starts work

Ensure you have:	Tick when completed
<ul style="list-style-type: none"> Told the employee where, when and who they should report to before their first day and whether they need to bring any tools or equipment. 	
<ul style="list-style-type: none"> Organised building, IT access, and any uniforms (if necessary). 	
<ul style="list-style-type: none"> A returned, signed copy of the letter of engagement or employment contract and a copy of the Introduction to the National Employment Standards fact sheet. Introduction to the NES fact sheet (fairwork.gov.au) 	
<ul style="list-style-type: none"> A completed Tax file number declaration form. PDFfiller - tax file declaration form.pdf 	
<ul style="list-style-type: none"> A completed Superannuation choice form Superannuation standard choice form (ato.gov.au) 	
<ul style="list-style-type: none"> The employee's bank account details 	
<ul style="list-style-type: none"> A copy of any licences held by the employee needed for the job, e.g., Drivers Licence, Forklift Licence 	
<ul style="list-style-type: none"> Give the employee a copy of the Fair Work Information Statement and a copy of the Casual Employment Information Statement if they are a casual employee. Fair Work Information Statement Casual Employment Information Statement (fairwork.gov.au) 	

On the first day (or soon after)

Orientation and housekeeping:	Tick when completed
<ul style="list-style-type: none"> Introduce the new employee to other staff. 	
<ul style="list-style-type: none"> Show the new employee the kitchen/meal, toilet facilities and where to store personal items (bags, jackets etc.) 	
<ul style="list-style-type: none"> Given the employee copies of relevant business policies or procedures, for example, codes of conduct and work health and safety policies or procedures 	
<ul style="list-style-type: none"> Discussed: <ul style="list-style-type: none"> the history of the business and its role who the employee reports to the employee's duties and what training will be provided performance expectations and when and how performance will be reviewed hours of work and the procedure for recording hours of work meal breaks the applicable award or enterprise agreement, and where to find a copy 	

<ul style="list-style-type: none"> ○ the payment method, first pay date and how payslips are distributed ○ any workplace policies and procedures, including: <ul style="list-style-type: none"> ▪ uniform or dress code (if any) ▪ procedure if the employee is sick or running late ▪ procedure for applying for leave. ▪ rules regarding personal calls, visitors and/or use of social media at work ▪ any bullying, harassment and anti-discrimination policies. 	
<ul style="list-style-type: none"> • Completed a workplace health and safety induction. <p>You need to provide your employees with a safe workplace. This can include discussing evacuation plans, pointing out first aid officers and emergency wardens and briefing staff on safety procedures.</p> <p>Visit your state or territory’s work health and safety body for information about these obligations. You can find their contact details at www.fairwork.gov.au/links</p>	

Kind regards,

Candidates Name

b. For each of the points listed in the table below, list one [1] approach you will take to support Macey, Kane and Terry in implementing the New Employee Checklist.

[Approximated word count 30 – 40 words for each area]

MARKING GUIDE

Candidates must identify how they will support Macey, Kane and Terry in implementing the New Employee Checklist. The approach provided is an exemplar answer. The candidates' responses will vary and may include other approaches. However, an acceptable response must:

- be within the specified word limit
- support Macey, Kane and Terry to implement the New Employee Checklist.

Points to address	The approach you will take to support Brilliant Bookkeeping employees to implement the New Employee Checklist
Familiarisation	Encourage Macey, Kane and Terry to review the checklist thoroughly and understand each item, its purpose, and the required documents or forms. This will help them provide comprehensive guidance to their clients.



Document Storage	Create a centralised document repository to store all the necessary forms, factsheets, and information statements in the checklist. This repository will enable easy access, updating and retrieval of documents.
Training and Support	Offer training sessions or webinars to guide Macey, Kane, Terry and their clients through the checklist and its implementation. These sessions can address any questions or concerns the staff or their clients may have, ensuring they feel confident and capable of using the resource effectively.
Gather Feedback	Gathering client feedback will help identify areas for improvement, address any challenges they may face, and refine the resource over time. This will build rapport with clients and demonstrate their voices are heard and valued.

c. The New Employee Checklist has been implemented and is proving very popular with Brilliant Bookkeeping's clients. To ensure that the document remains current and relevant, Terry has asked you to develop a review process for the checklist. Your review process must include the following:

- Review schedule - how often the checklist will be reviewed
- Person Responsible - who will be responsible for conducting the review and updating the checklist
- Gather Feedback – two (2) ways of gathering feedback from relevant stakeholders regarding the effectiveness and completeness of the new employee checklist
- Review Checklist Components - list two (2) components of the checklist you would check in your review to assess their relevance and accuracy
- Communicate Changes – list two (2) ways you would communicate the changes to the new employee checklist to stakeholders.

MARKING GUIDE

Candidates must develop a review process for the New Employee Checklist.

The answer provided is an exemplar answer. The candidates' responses will vary and may include other examples. However, an acceptable response must include the following:

- Review schedule - how often the checklist will be reviewed
- Person Responsible - who will be responsible for conducting the review and updating the checklist
- Gather Feedback – two (2) ways of gathering feedback from relevant stakeholders regarding the effectiveness and completeness of the new employee checklist
- Review Checklist Components - two (2) components of the checklist that the candidate would check to assess their relevance and accuracy
- Communicate Changes –two (2) ways of communicating the changes to the new employee checklist to stakeholders.

	Time frame, person or procedure for completing the action
Review Schedule	<ul style="list-style-type: none"> • Quarterly • Biannually • Annually • In line with legislative changes

Person Responsible	<ul style="list-style-type: none"> • Macey • Kane • Terry • any other relevant personnel from Brilliant Bookkeeping. The person they nominate • must be an employee of Brilliant Bookkeeping.
Gather Feedback [(list two (2) ways)]	<ul style="list-style-type: none"> • Surveys • Interviews • Feedback forms • Incidental conversations • Focus groups
Review Checklist Components [(list two (2) components)]	<ul style="list-style-type: none"> • Check for broken links • Check links take you to the latest version of documents • Consider if any new items need to be added • Check the legislation referenced is still current
Ways of Communicating Changes [(list two (2) ways)]	<ul style="list-style-type: none"> • Webinar • Teams Meeting • Email to staff and Clients • Information on Website • Podcast

Task 7

With a significant increase in business at Brilliant Bookkeeping, Terry Jones the CEO and owner, recognises the importance of maintaining ethical standards, professionalism, and client confidentiality to ensure the company's integrity and reputation. He has asked you to draft a Code of Conduct policy based on the requirements set by the Tax Practitioners Board (TPB).

For this assessment task you must:

- Download the template [FNSACC418_03_Project_Code of Conduct Policy](#)
- Customise the template for Brilliant Bookkeeping's requirements
- Base the policy on the TPB Code of Professional Conduct
- Identify in the policy who in the organisation will implement any changes and who employees seek clarification from about the policy. (In this instance, it will be Terry Jones)
- Save the Code of Conduct Policy to your desktop using the naming convention, *Student name_ FNSACC418_03_Project_Code of Conduct Policy* and upload it with your completed assessment.

[Approximated word count 500 – 550 words for finished customised policy]

MARKING GUIDE

Candidates must customise the Code of Conduct Policy template to meet the requirements of Brilliant Bookkeeping. An acceptable response must:

- Be based on the TPB Code of Professional Conduct [Code of Professional Conduct | Tax Practitioners Board \[tpb.gov.au\]](#)
- Identify who in the organisation will implement any changes and who employees seek clarification from about the policy. (In this instance it will be Terry Jones)
- Be within the word limit

A benchmark answer is provided below.

Code of Conduct Policy

Purpose

This policy affirms **Brilliant Bookkeeping**'s belief in responsible social and ethical behaviour from all employees. This policy clarifies the standards of behaviour that **Brilliant Bookkeeping** expects of all employees.

Principles

Our employees contribute to the success of our organisation and that of our Clients. **Brilliant Bookkeeping** fully endorse that all employees are not deprived of their basic human rights.

Furthermore, our employees have an obligation to the Business, our Clients and themselves to observe high standards of integrity and fair dealing. Unlawful and unethical business practices undermine employee and Client trust.

Policy

Our Code of Conduct policy applies to all employees and provides the framework of principles for conducting business, dealing with other employees, clients and suppliers. The Code of Conduct does not replace legislation and if any part of it is in conflict, then legislation takes precedence.

This policy is based the TPB Code of Professional Conduct:

1. Honesty and integrity

- 1.1. You must act honestly and with integrity.
- 1.2. You must comply with the taxation laws in the conduct of your personal affairs.
- 1.3. If you:
 - receive money or other property from or on behalf of a client, and
 - hold the money or other property on trustyou must account to your client for the money or other property.

2. Independence

- 2.1. You must act lawfully in the best interests of your client.
- 2.2. You must have in place adequate arrangements for the management of conflicts of interest that may arise in relation to the activities that you undertake in the capacity of a registered tax agent.

3. Confidentiality

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- 3.1. Unless you have a legal duty to do so, you must not disclose any information relating to a client's affairs to a third party without your client's permission.

4. Competence

- 4.1. You must ensure that a tax agent service that you provide, or that is provided on your behalf, is provided competently.
- 4.2. You must maintain knowledge and skills relevant to the tax agent services that you provide.
- 4.3. You must take reasonable care in ascertaining a client's state of affairs, to the extent that ascertaining the state of those affairs is relevant to a statement you are making or a thing you are doing on behalf of a client.
- 4.4. You must take reasonable care to ensure that taxation laws are applied correctly to the circumstances in relation to which you are providing advice to a client.

5. Other responsibilities

- 5.1. You must not knowingly obstruct the proper administration of the taxation laws.
- 5.2. You must advise your client of the client's rights and obligations under the taxation laws that are materially related to the tax agent services you provide.
- 5.3. You must maintain the professional indemnity insurance that the Board requires you to maintain.
- 5.4. You must respond to requests and directions from the Board in a timely, responsible and reasonable manner.

From 1 January 2024

- 5.5. You must not employ, or use the services of, an entity to provide tax agent services on your behalf if:
 - you know, or ought reasonably to know, that the entity is a disqualified entity; and
 - the Board has not given you approval under section 45-5 to employ or use the services of the disqualified entity to provide tax agent services on your behalf.
- 5.6. You must not provide tax agent services in connection with an arrangement with an entity that you know, or ought reasonably to know, is a disqualified entity.
- 5.7. You must comply with any obligations determined under section 30-12. of the Tax Agent Services Act 2009 (TASA)

Brilliant Bookkeeping expects co-operation from all employees in conducting themselves in a professional, ethical and socially acceptable manner of the highest standards.

Any employee in breach of this policy may be subject to disciplinary action, including termination.

Should an employee have doubts about any aspect of the Code of Conduct, they must seek clarification from **Terry Jones**.

This policy will be regularly reviewed by **Brilliant Bookkeeping** and any necessary changes will be implemented by the **CEO**.

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Assessment Checklist

Students must have completed all seven (7) tasks within this assessment before submitting. This includes:

1	Written composition	<input type="checkbox"/>
2	Written composition	<input type="checkbox"/>
3	Completed Continuing Professional Education Planner template	<input type="checkbox"/>
4	Email composition	<input type="checkbox"/>
5a	Role play recording	<input type="checkbox"/>
5b	Written review	<input type="checkbox"/>
6a	Email composition, including New Employee Checklist	<input type="checkbox"/>
6b	Completed table	<input type="checkbox"/>
6c	Completed table	<input type="checkbox"/>
7	Code of Conduct Policy	<input type="checkbox"/>

Congratulations! You have reached the end of Assessment 3

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