

Specification of Competency Standards for the Retail Banking

Unit of Competency

Compliance and Risk Management > 4.1 Compliance

Title	Manage training and education on compliance
Code	107390L5
Range	Provide different kinds of learning activities in compliance and regulations to educate different types of employees relevant to their job roles. This covers compliance and regulations related to different business trades, internal operations and service delivery channels of the bank
Level	5
Credit	4
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> 1. Identify training needs in compliance <ul style="list-style-type: none"> Be able to: <ul style="list-style-type: none"> • Evaluate compliance training needs for staff in different functional areas • Monitor profile of compliance skill sets of the bank by assessing staff's knowledge and skills in enforcing the compliance standards • Develop clear objectives for each training and education activities 2. Provide training and education on compliance <ul style="list-style-type: none"> Be able to: <ul style="list-style-type: none"> • Design clear instructions on compliance policies to ensure staff involved are well versed in the procedures • Design activities to develop an effective internal compliance culture by promoting benefits of ethical business conducts • Design education and training programmes on compliance to help staff develop required skills and knowledge • Design relevant activities to promote a sense of compliance awareness in the bank • Design communication programmes on regulation and ordinance for staff in different functional areas • Ensure effectiveness of compliance training and education 3. Develop plan on evaluating effectiveness of compliance training and education <ul style="list-style-type: none"> Be able to: <ul style="list-style-type: none"> • Identify improvement measures for each training and education activities to ensure all activities related to compliance implementation are professional conducted • Develop plan on evaluating effectiveness of training and education by measuring post-intervention learning outcomes • Design post-training compliance quiz or assessment programme for testing staff's compliance knowledge and skill
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Mechanism for measuring learning effectiveness are developed. The mechanism is able to collect data relevant to learning outcomes in a timely and accurate manner • Design education activities on compliance. The design should be based on analysis of impacts on works of different employees brought by the regulations and training needs of different employees
Remark	