

**Specification of Competency Standards**  
**for the Banking Industry**  
**Unit of Competency**

Functional Area - 4. Risk Management  
(Key Function – 4.2 Risk Monitoring and Reporting)

Title	Report on the results of risk tracking
Code	109303L4
Range	Reporting of risk levels in different business / operation of banks according to user requests in accordance with the bank's standard procedures and templates. This applies to different types of risks faced by the bank and reports provided to different parties.
Level	4
Credit	3 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Knowledge in the Subject Area</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Understand the basic concepts of risk management and apply it to fulfil the job scope and requirements;</li> <li>• Understand the processes in risk management in order to carry out the job effectively.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Collect information regarding the risks status, e.g. categories of identified risks, risks responses plans, results of risk mitigation strategies, etc. according to the stated operational procedures;</li> <li>• Document and record the details of methodologies adopted (e.g. assumptions, models) and measurement processes in accordance with the templates provided;</li> <li>• Produce the timeliness, accuracy and reliability of reports to the management and other relevant parties.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Produce report on excessive exposures or policy exceptions to management or other relevant parties in a timely manner for taking necessary actions;</li> <li>• Generate different types of report by selecting a suitable template according to user requests and provide relevant and useful information for different parties in the bank.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Recording of risk data in accordance with the bank's guidelines and ensure accuracy and timeliness of the data;</li> <li>• Generation of reports on risk data by adopting the suitable template and in accordance with the bank's guidelines.</li> </ul>
Remark	