

Specification of Competency Standards
for the Banking Industry
Unit of Competency

Functional Area - 5. Internal Control and Compliance
(Key Function – 5.1 Compliance Management)

Title	Manage training and education on compliance
Code	109326L5
Range	Provision and management of different kinds of learning activities in compliance and regulations to educate different groups 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 (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"> • Understand the business and regulations requirements on compliance education and based on that to evaluate compliance training needs for staff in different functional areas of the bank; • Possess knowledge in competency management and apply it to monitor profile of compliance skill sets of the bank by assessing staff's knowledge and skills in enforcing the compliance standards. <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Develop clear objectives for individual compliance training and education activities; • Develop documentations or reference guides specifying clearly the instructions on compliance policies to ensure staff involved are well versed in the procedures; • Design education and training programmes on compliance to help staff develop required skills and knowledge; • Design communication programmes on regulation and ordinance for staff and business partners in different functional areas; • Develop plan on evaluating effectiveness of training and education by measuring post-intervention learning outcomes. <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Identify improvement measures for each training and education activities; • Design post-training compliance quiz or assessment programmes to test employees and business partners' compliance knowledge and measure the effectiveness of the training; • Design activities to develop an effective internal compliance culture by promoting benefits of ethical business conducts; • Design relevant activities to promote a sense of compliance awareness in the bank.
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Development and management of different mechanisms to measure compliance learning effectiveness. The mechanism is able to collect data relevant to learning outcomes in a timely and accurate manner; • Design and implementation of communication and education programmes on compliance. The design should be based on an analysis of impacts of the regulations on the work of different employees and business partners.

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Remark	
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