

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	Comply with the bank's compliance standard during job execution
Code	109329L3
Range	Maintaining high professional standards in work by observing the bank's internal guidelines, relevant regulations and code of conduct. This applies to all kinds of job-related tasks / behaviours.
Level	3
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"> • Understand the banking environment and the relevant banking regulations (e.g. anti-money laundering, KYC) to ensure compliance; • Understand the bank's internal guidelines and code of conduct governing the investment behaviours, corruption, conflict of interests, etc. to ensure compliance; • Understand the professional standards of the bank thus the expectations on their behaviour and act accordingly. <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Identify how the internal standards or external regulations may affect the execution of tasks; • Attend relevant training to ensure compliance with the bank's guidelines. <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Act according to the stated guidelines of the bank and report to supervisors whenever there is doubt; • Always upkeep the professional ethical standards of a banking practitioner throughout job execution.
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Demonstrate knowledge in banking related regulations, internal guidelines and code of conduct and their application to responsible job roles; • Observance to all relevant regulations, internal guidelines and code of conduct without any breaching behaviours.
Remark	