

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

Functional Area - 5. Internal Control and Compliance  
(Key Function – 5.6 Counter Financial Crimes)

Title	Conduct investigation on cases related to internal and external fraud
Code	109353L5
Range	Conducting investigation on different types of financial crime due to external parties or internal staff fraud by using different methods. This applies to financial crime occurred in different activities of the bank as well as those external to 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"> <li>• Understand different methods in conducting investigation and apply the knowledge to evaluate different types of surveillance methods in financial crime in order to develop a customized investigation plan for the bank;</li> <li>• Understand the key features of business / procedures across different areas of the bank in order to investigate financial crimes.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Plan for the investigation tactics and develop the operational plan for conducting the investigation (e.g. time, resources, tools, etc.) in accordance with the bank's guidelines and regulatory requirements;</li> <li>• Review information related to the suspicious activities to identify and prioritize different lines of enquiry;</li> <li>• Identify and liaise with relevant parties which may provide useful information on the case in order to conduct the enquiry.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Outline missing information for reorganizing the cases and employ suitable methods (e.g. interview, observation, record searching) to obtain the required data;</li> <li>• Follow up with relevant parties to ensure all relevant information are collected and based on that to conduct analysis to identify possible scenarios of the cases;</li> <li>• Maintain the integrity of evidence by systematic documentation and preserving the scenes for financial crime if necessary;</li> <li>• Document and organize all the actions, decisions and findings during the course in a systematic manner to facilitate investigation and reporting.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Reorganization of the cases by obtaining information across various sources and employing a wide range of different investigation methods;</li> <li>• Production of report for management and / or external parties by summarizing findings from investigation and analysing information collected.</li> </ul>
Remark	