

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

Functional Area - 10. General Management  
(Key Function – 10.2 Human Resources Management)

Title	Execute disciplinary actions
Code	109552L4
Range	Execution of disciplinary actions. This refers to disciplinary actions of different kinds which apply to employees of different ranks, job families and positions.
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 different kinds of professional guidelines / codes of conduct hence to treat them as a backbone to execute HR actions;</li> <li>• Possess comprehensive knowledge of the bank's policies on staff discipline in order to execute appropriate disciplinary action effectively.</li> </ul> <p>2. Applications</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Consider suitable penalties such as verbal warning, monetary penalty, demotion, compulsory retirement or dismissal depending on the seriousness of the misconduct;</li> <li>• Ensure disciplinary actions are taken into effect when employee is failing to observe the regulations and official instructions of the bank or misconduct themselves in any manner;</li> <li>• Execute informal disciplinary action for minor and isolated cases of misconduct such as lateness for duty by giving verbal / written warning;</li> <li>• Coordinate with the responsible managers for the purposes of planning and progress of the disciplinary actions; hence to share the responsibility in the implementation of corrective actions.</li> </ul> <p>3. Professional Behaviour and Attitude</p> <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Document disciplinary actions taken and update employee's personal record;</li> <li>• Oversee the progress of coaching / counselling provided to the misbehaved employee or provide advice to the responsible managers if appropriate;</li> <li>• Follow cases of disciplinary action to help involved employee to get improvement; review the situation after coaching / counselling or give advice to the responsible managers for further follow-up actions if appropriate.</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Execution of appropriate disciplinary actions according to the seriousness of the misconduct and monitor the consequences of corrective actions taken.</li> </ul>
Remark	