

Legal and Compliance > Compliance Monitoring and Control

Title	Conduct investigation on incidents of breaches
Code	106666L5
Range	Conducting investigations to find out the causes of breaches. This applies to breaches of different regulations related to the bank and activities conducted in different areas of the bank
Level	5
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <p>1. Develop the scope of investigation                      Be able to:</p> <ul style="list-style-type: none"> <li>• Analyze the relevant regulatory requirements in order to understand the incidents of breaches and develop appropriate actions</li> <li>• Evaluate common types of non-compliance in order to determine the direction and critical areas of investigation</li> </ul> <p>2. Develop methods for data collection                      Be able to:</p> <ul style="list-style-type: none"> <li>• Develop the investigation framework, plan and data collection methods in order to collect useful information for investigation</li> <li>• Review different operations and procedures of the bank in order to identify vulnerable areas for breaches of regulations</li> <li>• Identify possible sources of information in order to conduct investigation by collecting and consolidating data obtained from different sources</li> <li>• Coordinate with different parties to plan for investigation and obtain the required information</li> </ul> <p>3. Analyze information collected                      Be able to:</p> <ul style="list-style-type: none"> <li>• Interpret the data and describe the possible scenarios of the incidents according to analysis</li> <li>• Identify possible causes and development course of the incidents</li> <li>• Develop responses in a timely manner to minimize negative impacts on the reputation and legal position of the bank</li> </ul>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Investigation of the non-compliance incidents to identify possible causes and course of development. These should be based on analysis collected from different methods and validated against different sources.</li> </ul>
Remark	