

Legal and Compliance > Compliance Monitoring and Control

Title	Provide training and education on compliance
Code	106667L5
Range	Provide different kinds of learning activities in compliance and regulations to educate different types of employees relevant to their job roles. This covers compliance and regulations related to different business functions, internal operations and service delivery channels of the bank.
Level	5
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> 1. Identify training needs in compliance <ul style="list-style-type: none"> Be able to: <ul style="list-style-type: none"> • Evaluate compliance training needs for staff in different functional areas • Monitor profile of compliance skill sets of the bank by assessing staff’s knowledge and skills in enforcing the compliance standards • Develop clear objectives for each training and education activities 2. Act accord to the standards <ul style="list-style-type: none"> Be able to: <ul style="list-style-type: none"> • Develop documentations or reference guide book stating clearly the instructions on compliance policies to ensure staff involved are well versed in the procedures • Design activities to develop an effective internal compliance culture by promoting benefits of ethical business conducts • Design education and training programmes on compliance to help staff develop required skills and knowledge • Design relevant activities to promote a sense of compliance awareness in the bank • Design communication programmes on regulation and ordinance for staff in different functional areas • Ensure effectiveness of compliance training and education 3. Develop plan on evaluating effectiveness of compliance training and education <ul style="list-style-type: none"> Be able to: <ul style="list-style-type: none"> • Identify improvement measures for each training and education activities • Develop plan on evaluating effectiveness of training and education by measuring post-intervention learning outcomes • Design post-training compliance quiz or assessment program for testing staff’s compliance knowledge and skill
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Design mechanism for measuring learning effectiveness. The mechanism is able to collect data relevant to learning outcomes in a timely and accurate manner. • Design education activities on compliance. The design should be based on analysis of impacts on roles and duties of different employees brought by the regulations and training needs of different employees.
Remark	