

Legal and Compliance > Compliance Monitoring and Control

Title	Monitor staff behaviors to ensure compliance
Code	106669L4
Range	Monitor the professional standards of staff by monitoring the behaviors against the bank's internal guidelines, relevant regulations and code of conduct. This applies to all kinds of jobs-related tasks/behaviors.
Level	4
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> 1. Identify critical behaviors for monitoring <p>Be able to:</p> <ul style="list-style-type: none"> • Understand the requirements of compliance in order to identify behaviors that should be monitored • Identify major standards governing the professional standards of a banking practitioner • Identify high risks areas or common breaching behaviors in order to decide the focus of monitoring 2. Act accord to the standards <p>Be able to:</p> <ul style="list-style-type: none"> • Keep abreast of latest development or changes in laws, regulations, guidelines and codes of conduct, market news and customers demands and communicate new expectations to staff • Identify critical training needs on compliance of each employee and arrange staff to attend appropriate training • Evaluate staff's performance and provide suitable coaching to assist them to comply with the internal standards or external regulations 3. Monitor staff behaviors <p>Be able to:</p> <ul style="list-style-type: none"> • Observe staff's behaviors to ensure they have observed the professional standards • Identify suspicious cases and carry appropriate actions to verify whether non-compliance issues are present • Evaluate seriousness of the situations and take appropriate actions according to the bank's guidelines • Identify/Collect evidences to support the investigation
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Critical behaviors of staff are identified and monitored in order to prevent/deter non-compliance behaviors. • Provision of appropriate education / coaching to staff according to different performance / professional requirements • Handling non-compliance issues by taking appropriate actions after evaluating the situations.
Remark	