

Legal and Compliance > Compliance Evaluation and Reporting

Title	Coordinate with regulators to conduct regulatory examinations
Code	106672L5
Range	Handle different kinds of regulatory examinations. This applies to examinations in different aspects of the bank's operations.
Level	5
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <p>1. Liaise with regulators</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Project manage on-site inspection by regulatory to achieve good results • Liaise with law enforcement agencies or regulatory bodies to investigate suspicious transactions reported to prevent the bank from unnecessary losses <p>2. Supervise regulatory examinations</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Review the result of the findings and recommendations • Provide assistance to regulatory bodies in case of on-site examination • Supervise the carrying out of self-assessment exercises requested by regulatory authorities and follow up any non-compliance cases revealed in the exercise • Facilitate regulatory bodies to conduct regulatory examinations by providing required information and on-site support. • Follow-up and address issues raised by regulators
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Internal guidelines on code of conduct or banking practices based on the analysis of requirements and interests of different parties. • Supervision of the whole process of regulatory examinations to ensure successful completion of all requirements by regulatory bodies, including providing assistance, identifying non-compliance issues, facilitating regulatory bodies to conduct regulatory examinations by providing required information and on-site support, etc.
Remark	