

Risk Management and Audit > Audit

Title	Conduct business risk management or audit review reporting
Code	106721L4
Range	Report business risk management or audit review results. This applies to different kinds of business risk management or audit review programme adopted in different areas of the bank.
Level	4
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <p>1. Organize audit results</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Oversee records, entries and audit trail to ensure accuracy of information • Liaise with assigned reviewers on compliance review assignment; provide them with information and review their documents to ensure that proper and accurate documentation is in accordance with internal compliance standards and external regulations • Summarize audit result to facilitate the development of improvement plan <p>2. Report business risk management or audit review results</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Report incidents, risks areas and suspicious cases through business risk management or audit review reports or related correspondence • Prepare business risk management or audit review report and other relevant information and present to management alongside with recommendations in a timely and accurate manner • Report on business risk management or audit review portfolio which indicate status of the bank for management to make decision • Meet with external auditors or regulators to discuss findings and recommendations on compliance review, if necessary
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> • Accurate business risk management or audit review reports produced with objective and valid opinions provided in accord to internal audit standards and external regulations.
Remark	