

Specification of Competency Standards
for the Retail Industry
Unit of Competency

Functional Area - Human Resource Management & Development

Title	Implement “clean” business practices, good controls and integrity management
Code	111380L3
Range	This unit of competency (UoC) is applicable to managerial / supervisory staff of a retail business. Practitioners have the ability to implement “clean” business practices, proper controls and good integrity management in day-to-day operations, and helping their companies adopt and put in place relevant practices and measures.
Level	3
Credit	3 (For Reference Only)
Competency	<p>Performance Requirements</p> <p>1. Understand the knowledge of anti-bribery legislation, risk areas in the industry and basic principles of “clean” business practices, internal control and good integrity management</p> <ul style="list-style-type: none"> • Understand the key legal requirements of the Prevention of Bribery Ordinance (Cap. 201) • Understand the professional standards and/or regulatory requirements where applicable • Understand the company’s code of conduct and house rules • Make sure company staff understand the above requirements and the “clean” business practices in line with the requirements • Understand and be aware of the importance of staff integrity issues in relation to the company business, and manage them effectively • Understand the importance of avoiding, declaring and managing conflict of interest • Understand the key elements of a good integrity management programme for an organisation and how to implement it • Be aware of the risks of corruption/malpractice in various common functions / processes in the industry • Understand the principles of good internal control and preventive measures, and their application to common functions / processes • Understand the role and duty of a supervisor in respect of managing staff integrity, exercising proper supervisory controls and ensuring “clean” business practices in day-to-day operations <p>2. Implement “clean” business practices, good controls and integrity management</p> <ul style="list-style-type: none"> • Advise and assist top/senior management to adopt, and assist the company to implement, “clean” business practices, internal controls and integrity management programme (e.g. company code of conduct and house rules) • Assess the comprehensiveness of the company code of conduct to ensure inclusion of the essential integrity requirements (e.g. prohibition of bribery, disallowing acceptance, solicitation and offer of advantage, avoidance and declaration of conflict of interest, confidentiality, reporting of suspected corruption and criminal offences, etc.) • Make the subordinates and other staff well understand the company’s code of conduct and house rules • Devise measures for effective implementation of the company code of conduct and house rules (e.g. procedures for managing conflict of interest, proper channels for reporting breaches of integrity requirements and other malpractices) • Exercise effective supervision over their staff and day-to-day operations (in respect of ensuring integrity and “clean” business practices) • Respond to integrity issues and challenges, and provide guidance/advice to subordinates/management, and/or assist the company, in managing such issues

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	<ul style="list-style-type: none"> • Inspire upon and set examples for subordinates and other staff on integrity and “clean” business practices • Provide training for staff to enhance staff awareness of integrity issue and clean business practices • Establish and implement effective and adequate control measures (e.g. clear work procedures and guidelines, checks and balances) to mitigate the risks of corruption/malpractice in the key retail business operations • Understand the concept of supervisory accountability and perform the duties accordingly <p>3. Exhibit professionalism</p> <ul style="list-style-type: none"> • Implement integrity management, raise staff awareness of the anti-bribery law and integrity issues, guide and educate them on such matters • Adopt and implement “clean” business practices and suitable internal controls in various common functions / processes
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> • Be capable of understanding / applying knowledge in the basic legal requirements of anti-bribery law; • Be capable of assisting the company in implementing good integrity management; and • Be capable of assisting the company in adopting and implementing “clean” business practices and basic/key internal controls to mitigate the risks of corruption/malpractice in the retail industry and its key business functions.
Remark	This UoC is adopted from 105752L3.