

Risk Management and Audit > Fraud Risk Management

Title	Investigate related to internal and external fraud risk
Code	106708L5
Range	Conducting investigation on different types of financial crime due to external parties or internal staff fraud by using different methods. This applies to financial crime occurred in different activities of the bank as well as those external to the bank
Level	5
Credit	4 (for reference only)
Competency	<p>Performance Requirements</p> <ol style="list-style-type: none"> <li>1. Understand methods in conducting investigation                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Evaluate different types of surveillance methods in financial crime in order to develop a suitable plan for investigations</li> <li>• Differentiate key features of business / procedures across different areas of the bank in order to investigate financial crimes</li> </ul> </li> <li>2. Develop investigation plan                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Plan for the investigation tactics and develop the operational plan for conducting the investigation (e.g. time, resources, tools, etc.) in accordance with the bank's guidelines and regulatory requirements</li> <li>• Review information related to the suspicious activities to identify and prioritize different lines of enquiry</li> <li>• Identify and liaise with relevant parties which may provide useful information on the case in order to conduct the enquiry</li> </ul> </li> <li>3. Collect and review information for analysis                             <p>Be able to:</p> <ul style="list-style-type: none"> <li>• Outline missing information for reorganizing the cases and employ suitable methods (e.g. interview, observation, record searching) to obtain the required data</li> <li>• Ensure all relevant information are collected and conduct analyses to identify possible scenarios of the cases</li> <li>• Maintain the integrity of evidence by systematic documentation and preserving the scenes for financial crime if necessary</li> <li>• Document and organize all the actions, decisions and findings during the course in a systematic manner to facilitate investigation and reporting</li> </ul> </li> </ol>
Assessment Criteria	<p>The integral outcome requirements of this UoC are:</p> <ul style="list-style-type: none"> <li>• Reorganization of the cases by obtaining information across various sources and employing a wide range of different investigation methods.</li> <li>• Production of report for management and/or external parties by summarizing findings from investigation and analyzing information collected.</li> </ul>
Remark	