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| **TSC Category** | Risk Management, Governance and Regulatory Compliance | | | | | |
| **TSC Title** | Risk Compliance and Governance | | | | | |
| **TSC Description** | Enforce corporate governance and risk compliance within the organisation through the establishment of policies, compliance programmes and management systems. | | | | | |
| **TSC Proficiency Description** | **Level 1** | **Level 2** | **Level 3** | **Level 4** | **Level 5** | **Level 6** |
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|  |  |  | Evaluate and review compliance with applicable legislation and regulations on enterprise risk for the business unit | Establish processes for the management of non-compliance to governance requirements | Endorse the principles of corporate governance and compliance in the organisation |
| **Knowledge** |  |  |  | * Relevant legislation and regulations applicable to the industry * Types and sources of information on internal and external compliance requirements * Methodologies for internal and external monitoring and evaluation * Relevant stakeholders for corporate governance * Implications of non-compliance with relevant legislation and regulations | * Forms of non-compliance to governance requirements * Relevant legislative and regulatory requirements * Corporate governance compliance programmes and management systems * Relevant stakeholders to seek advice from on the management of non-compliances * Appropriate responses to address non-compliances * Operational performance indicators of compliance programmes and management systems in identifying non-compliances | * Regulatory frameworks, organisation and global leading practices applicable to corporate governance * Roles, accountabilities and responsibilities of company directors, functions, and committees in corporate governance * Processes for operationalising corporate governance policies * Corporate governance principles * Internal and external corporate governance controls * Operational plans for monitoring and internalising corporate governance in the organisation |
| **Abilities** |  |  |  | * Interpret relevant legislation and regulations, legal documents, standards, and codes of practice relevant to the business unit to identify possible areas of non-compliance * Evaluate and report data on compliance according to information format requirements * Formulate recommendations and obtain signoffs for addressing areas of non-compliance with legal and other requirements | * Identify legislative and regulatory requirements relevant to the organisation’s risk and corporate governance * Propose and evaluate appropriate compliance programmes and management systems in consultation with management * Identify non-compliances based on relevant legislative and regulatory requirements * Determine appropriate responses to address non-compliances within scope of relevant legislative and regulatory requirements | * Establish roles, accountabilities and responsibilities of company directors, functions, and various committees in complying with corporate governance policies * Provide guidance in operationalising the organisation’s corporate governance policies * Provide feedback to management on overall compliance with corporate governance policies * Evaluate operational plans to monitor and internalise corporate governance in the organisation |
| **Range of Application** | N/A | | | | | |