

TSC Category	Risk Management and Regulatory Compliance					
TSC	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	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6
				WST-RIM-4004-1.1	WST-RIM-5004-1.1	
Knowledge				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	
Abilities				<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • 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 	

SKILLS FRAMEWORK FOR WHOLESALE TRADE
TECHNICAL SKILLS & COMPETENCIES (TSC) REFERENCE DOCUMENT

				<p>to information format requirements</p> <ul style="list-style-type: none">• Formulate recommendations and obtain sign-offs for addressing areas of non-compliance with legal and other requirements	<ul style="list-style-type: none">• 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	
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