<table>
<thead>
<tr>
<th>TSC Category</th>
<th>Risk and Compliance Management</th>
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<tbody>
<tr>
<td>TSC</td>
<td>Legal Compliance Management</td>
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<tr>
<td>TSC Description</td>
<td>Manage organisation’s compliance with relevant legislative and regulatory requirements</td>
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<td>TSC Proficiency Description</td>
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<tr>
<th>TSC Proficiency Description</th>
<th>Level 1</th>
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<td>Demonstrate working knowledge to ensure adherence to relevant legislative and regulatory requirements when carrying out day-to-day work activities</td>
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<tr>
<td>Analyse and interpret information on relevant legislation and compliance requirements and facilitate integration of organisational policies and procedures to ensure compliance</td>
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<td>Manage compliance monitoring including liaising with regulatory agencies to acquire and keep licences and permits up-to-date</td>
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<td>Evaluate and review a business unit’s compliance with applicable legislative and regulatory requirements, including identifying and addressing areas of non-compliance</td>
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<td>Endorse organisation’s compliance programmes and oversee organisational compliance in accordance with relevant legislative and regulatory requirements</td>
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**Knowledge**

- Legislative and regulatory requirements for the industry and operating environment
- Objectives of legislative and regulatory compliance
- Information sources on legislative and regulatory requirements
- Legislative and regulatory requirements for the industry and operating environment
- Objectives of legislative and regulatory compliance
- Information sources on legislative and regulatory requirements
- Methodologies for compliance monitoring
- Data on compliance tracking
- Importance of liaising with regulatory agencies
- Importance of keeping licences and permits up-to-date
- Importance of complying with regulations
- Importance of keeping up with changes to relevant legislative requirements
- Relevant legislation and regulations applicable to industry
- Appropriate sources of information on internal and external compliance requirements
- Methodologies for both internal and external monitoring and evaluation
- Data on compliance tracking
- Relevant stakeholders
- Implications of non-compliance with relevant legislation and regulations
- Regulatory frameworks applicable to the organisation and global leading practices
- Roles, accountabilities and responsibilities of management team
- Processes for operationalising compliance policies
- Internal and external compliance controls
- Operational plans for monitoring and internalising compliance in the organisation

**Abilities**

- Comply with internal and regulatory organisations’ policies and procedures to ensure compliance when carrying out daily work
- Identify and document possible areas of non-compliance in business activities in accordance with information format requirements
- Seek clarifications on legislative and regulatory requirements
- Identify legislative and regulatory requirements applicable to the organisation
- Communicate key legislative and regulatory requirements and related management systems to relevant stakeholders to facilitate legislative compliance
- Assess internal policies and procedures to ensure compliance
- Liaise with regulatory agencies in accordance with organisational procedures
- Acquire licences and permits, in line with regulatory procedures
- Identify and apply regulations applicable to business operations
- Monitor compliance with regulations in accordance with legislative requirements
- Access appropriate sources of information to analyse relevant compliance requirements applicable to business units
- Interpret relevant legislation and regulations, legal documents, standards and codes of practice relevant to business units to identify possible areas of non-compliance
- Define roles, accountabilities and responsibilities of top management team in complying and monitoring compliance with relevant legislative and regulatory requirements
- Provide guidance for operationalising organisational compliance policies
- Evaluate operational plans to monitor and
| requirements when needed | • Identify and document possible areas of non-compliance in business activities in accordance with information format requirements to facilitate follow-up actions  
• Assist in the integration of procedures to ensure adherence to legislative and regulatory requirements in daily scope of work  
• Prepare management reports for follow-up actions  
• Assist in compliance reviews in accordance with organisational guidelines and policies to identify areas for improvement | • Identify new approaches and strategies to enhance legal compliance monitoring | • Evaluate and report data on compliance to relevant stakeholders according to information format requirements to ensure stakeholders are updated and consulted  
• Formulate recommendations and obtain sign-offs to address areas of non-compliance with legal and other requirements in consultation with relevant stakeholders | internalise compliance management in the organisation for endorsement |