

## ROLE REFERENCE SHEET

# Compliance Manager

## Compliance Manager · Compliance Program Management

The owner of the operating compliance program who turns regulatory obligations into policy, controls, monitoring, and training, and leads the team that runs it.

### WHAT THE ROLE OWNS

- Compliance program design
- Compliance risk assessment
- Monitoring and testing oversight
- Policy framework
- Training and awareness
- Investigations and issue management
- Examination management
- Compliance team leadership

### FRAMEWORKS

- Applicable industry regulations
- NIST CSF
- ISO/IEC 27001
- COSO

### TYPICAL CERTS

- CCEP · CRCM · CAMS
- CISA · CRISC · CGRC

**6–9+ yrs**

Experience

**Team lead**

Manages analysts

**Reports to CCO**

Director / GC


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