

JOB DESCRIPTION TEMPLATE

Regulatory Compliance Manager

Runs the day-to-day compliance program, turning regulatory obligations into policies, controls, and monitoring across the business.

Department	Compliance / Legal / Risk
Reports to	Chief Compliance Officer / VP Compliance / General Counsel
Location	Remote / Hybrid / On-site
Employment type	Full-time
Experience	6 to 10 years

POSITION OVERVIEW

The Regulatory Compliance Manager leads the organization's compliance program, ensuring the organization meets its legal and regulatory obligations across all applicable jurisdictions. This role owns regulatory change management, policy development, compliance monitoring, and the relationship with regulators and examiners.

Working across legal, risk, operations, and business lines, the Regulatory Compliance Manager builds practical controls, delivers training, investigates issues, and reports on compliance health to senior leadership. The role balances regulatory rigor with commercial understanding so the business can grow within the rules.

This is a hands-on leadership role that suits a compliance professional who can interpret regulation, operationalize it, and keep the program current as rules evolve.

KEY RESPONSIBILITIES

REGULATORY CHANGE MANAGEMENT

- Monitor legislative and regulatory developments across applicable jurisdictions.
- Assess the impact of new and amended rules on the business.
- Translate regulatory requirements into policies, procedures, and controls.
- Maintain a regulatory inventory and obligations register.
- Communicate changes to affected stakeholders and track implementation.

COMPLIANCE PROGRAM MANAGEMENT

- Develop, maintain, and enforce compliance policies and standards.
- Operate the compliance risk assessment and testing calendar.
- Maintain the policy library and attestation processes.
- Coordinate compliance activities across business units.

MONITORING AND TESTING

Design and run compliance monitoring and testing to confirm controls are operating as intended. Track exceptions, root causes, and remediation.

- Build monitoring plans tied to key regulatory obligations.
- Perform periodic control testing and thematic reviews.
- Document findings and drive corrective action to closure.

REGULATORY EXAMINATIONS AND REPORTING

Serve as a primary point of contact for regulators and examiners. Prepare examination materials, coordinate responses, and manage regulatory filings and reporting deadlines.

TRAINING AND ADVISORY

- Deliver compliance training to employees and business leaders.
- Advise business teams on regulatory questions and new initiatives.
- Promote a strong compliance culture across the organization.

INVESTIGATIONS AND ISSUE MANAGEMENT

Investigate compliance concerns, potential violations, and complaints. Document findings, recommend remediation, and escalate significant matters to leadership.

REQUIRED QUALIFICATIONS

- Bachelor's degree in Business, Finance, Law, Accounting, or a related discipline. Advanced degree a plus.

- 6 to 10 years of progressive compliance experience in a regulated industry.
- Strong knowledge of the regulatory environment applicable to the organization.
- Experience building and running compliance monitoring or testing programs.
- Demonstrated ability to interpret regulation and translate it into operational controls.
- Experience managing regulatory examinations or audits.

PREFERRED CERTIFICATIONS

One or more of: CCEP, CRCM, CAMS, CIA, or equivalent compliance certification.

TECHNICAL KNOWLEDGE

Regulatory change management, compliance risk assessment, policy and procedure development, compliance monitoring and testing, examination management, regulatory reporting, complaint and issue management, controls design, and GRC platforms.

ESSENTIAL COMPETENCIES

Sound judgment, clear written and verbal communication, stakeholder influence, attention to detail, program management, and the ability to explain regulation to non-specialist audiences.

SUCCESS MEASURES: FIRST 12 MONTHS

- Establish a current regulatory obligations inventory.
- Refresh core compliance policies and procedures.
- Stand up a compliance monitoring and testing calendar.
- Complete a compliance risk assessment across business lines.
- Close open regulatory findings and remediation items.
- Deliver a baseline compliance training program.
- Prepare the organization for its next regulatory examination.
- Improve compliance reporting to senior leadership.

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