SCAN FOR THE TEMPLATE

JOB DESCRIPTION TEMPLATE

Compliance Analyst

The analyst who tracks regulatory obligations, tests compliance controls, maintains policies, and prepares the reporting that keeps the organization examination-ready.

Department	Compliance / Legal & Regulatory Affairs
Reports to	Compliance Manager / Director of Compliance / Chief Compliance Officer
Location	Remote / Hybrid / On-site
Employment type	Full-time
Experience	2 to 4+ years

POSITION OVERVIEW

The Compliance Analyst supports the organization's compliance program by monitoring regulatory requirements, testing compliance controls, maintaining policies and procedures, and preparing reporting for leadership and regulators. The role keeps the organization aligned with the laws, rules, and standards that govern its business.

The Compliance Analyst partners with legal, risk, operations, and business teams to translate regulatory requirements into practical controls, investigate potential issues, and support examinations and audits. As regulators address AI and automated decisions, the analyst helps track and apply those emerging obligations.

This role suits a detail-driven early to mid-career professional who reads regulation carefully, documents thoroughly, and communicates clearly across the business.

KEY RESPONSIBILITIES

REGULATORY MONITORING

- Track applicable laws, rules, and regulatory changes.
- Assess the impact of new requirements on the business.
- Summarize obligations for stakeholders in plain language.
- Maintain a regulatory inventory and change log.

COMPLIANCE MONITORING AND TESTING

Test whether controls and processes meet regulatory and policy requirements:

- Perform compliance testing and transaction reviews on a set cadence.
- Document findings, root causes, and corrective actions.
- Track remediation with process owners to closure.
- Maintain testing workpapers and monitoring records.

POLICY AND PROCEDURE SUPPORT

- Draft and maintain policies, procedures, and standards.
- Track policy review cycles and approvals.
- Support employee questions on policy and requirements.
- Help align policies with AI and data-use obligations where relevant.

INVESTIGATIONS AND ISSUE MANAGEMENT

Support intake and investigation of potential compliance issues, document findings, and track corrective actions and reporting obligations to resolution.

TRAINING AND AWARENESS

Help develop and track compliance training, maintain completion records, and support awareness on high-risk topics across the business.

REPORTING AND EXAMS

Prepare compliance metrics and reports for leadership, and support internal audits, external examinations, and regulatory requests with evidence and documentation.

REQUIRED QUALIFICATIONS

- Bachelor's degree in Business, Finance, Law, Accounting, or a related field, or equivalent experience.
- 2 to 4+ years of experience in compliance, audit, risk, or a regulatory function.
- Working knowledge of applicable regulations for the organization's industry.

- Experience with compliance monitoring, testing, or policy management.
- Strong analytical, documentation, and written communication skills.
- Ability to read and interpret regulatory text accurately.

PREFERRED CERTIFICATIONS

One or more of: CRCM, CCEP, CAMS, CISA, CGRC, depending on industry and program focus.

TECHNICAL KNOWLEDGE

Regulatory compliance, compliance monitoring and testing, policy and procedure management, issue and investigation management, regulatory change tracking, controls documentation, exam and audit support, and awareness of AI and automated-decision compliance obligations.
