



JOB DESCRIPTION TEMPLATE

Compliance Manager

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

Department	Compliance / Legal & Regulatory Affairs
Reports to	Director of Compliance / Chief Compliance Officer / General Counsel
Location	Remote / Hybrid / On-site
Employment type	Full-time
Experience	6 to 9+ years

POSITION OVERVIEW

The Compliance Manager leads the operating compliance program at the organization, translating regulatory obligations into practical policies, controls, monitoring, and training. The role owns program execution and manages the analysts and specialists who carry it out.

The Compliance Manager partners with legal, risk, operations, and business leaders to set the compliance agenda, resolve issues, and prepare for examinations and audits. As regulators address AI and automated decision systems, this role builds those obligations into the program rather than treating them as an exception.

This is a people-leading role for a seasoned compliance professional who can balance regulatory rigor with practical business judgment.

KEY RESPONSIBILITIES

PROGRAM OWNERSHIP

- Own the design and operation of the compliance program.
- Set the compliance calendar, priorities, and risk-based plan.
- Maintain the compliance risk assessment and program metrics.
- Report program status to senior leadership and committees.

REGULATORY STRATEGY

Turn regulatory obligations into an actionable program:

- Track regulatory change and assess business impact.
- Translate requirements into policies, controls, and procedures.
- Advise business leaders on regulatory implications of new initiatives.
- Build AI and automated-decision obligations into the program.

MONITORING AND TESTING

- Oversee compliance monitoring and testing programs.
- Review findings, root causes, and remediation plans.
- Escalate significant issues and track them to closure.
- Strengthen controls based on testing results and trends.

TEAM LEADERSHIP

Lead, coach, and develop compliance analysts and specialists, set clear priorities and standards, and manage workload across monitoring, policy, and investigation work.

POLICY AND TRAINING

- Own the policy framework and review cycle.
- Direct the compliance training and awareness program.
- Maintain approvals, exceptions, and attestations.
- Keep policies current with new laws and AI-related obligations.

INVESTIGATIONS AND ISSUE MANAGEMENT

Oversee intake, investigation, and resolution of compliance issues, ensure corrective actions are effective, and manage regulatory reporting obligations.

EXAMS AND AUDITS

Serve as a primary point of contact for internal audits, external examinations, and regulatory requests, and coordinate evidence, responses, and remediation.

REQUIRED QUALIFICATIONS

- Bachelor's degree in Business, Finance, Law, Accounting, or a related field. Advanced degree or JD a plus.
- 6 to 9+ years of compliance, audit, or regulatory experience, including program or people leadership.
- Deep knowledge of the regulations governing the organization's industry.
- Experience owning compliance monitoring, testing, and policy programs.
- Track record managing examinations, audits, and regulatory relationships.
- Strong leadership, communication, and stakeholder-management skills.

PREFERRED CERTIFICATIONS

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

TECHNICAL KNOWLEDGE

Compliance program management, regulatory strategy, compliance risk assessment, monitoring and testing oversight, policy governance, investigations, examination management, controls remediation, and AI and automated-decision compliance.

ESSENTIAL COMPETENCIES

People leadership, regulatory interpretation, risk-based decision making, stakeholder influence, executive communication, program management, and sound business judgment.

SUCCESS MEASURES: FIRST 12 MONTHS

- Establish or refresh the compliance risk assessment and program plan.
- Implement a risk-based monitoring and testing schedule.
- Strengthen the policy framework and review cycle.
- Stand up or improve compliance metrics and leadership reporting.
- Close priority remediation items and reduce open findings.
- Build AI and automated-decision obligations into the program.
- Develop the compliance team's skills and coverage.
- Improve readiness for examinations and audits.

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