

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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