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# Example of Compliance Services Job Description

Our innovative and growing company is looking to fill the role of compliance services. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for compliance services

* Provide SME (Subject Matter Expert) input to Compliance Risk Assessment Framework
* Execution of thematic reviews to ensure that the business is operating within their regulatory risk appetite
* Contributes to the collation of Compliance MI
* Provides timely and accurate advice on regulatory implications on new/existing products, business strategies and activities
* Liaise and network with peers in other organisations, attend and actively participate in regulatory focus groups
* Responsibility for managing own workload
* Escalation of issues to The Head of Regulatory Assurance or the Head of Compliance as they arise
* Ensure that all allocated Compliance policies and procedures are regularly reviewed to ensure they remain in line with Metier and UK Territory requirements and business needs
* Attendance at governance meetings including business line Risk Committees and Monthly Business Review Committees
* Plays an integral role in design and execution of strategy related to benefits compliance function (including and not limited to medical and workers’ compensation premiums, 401(k), defined benefit plan, deferred compensation plan, and ACA)

## Qualifications for compliance services

* Ability to work autonomously and manage multiple priorities
* Ideally indepth understanding of retail banking and/or mortgages - inparticular, a detailed grasp of Australian financial services regulations including NCCP and Responsible Lending would be advantageous
* Technical knowledge and experience in Midrange Operating System platforms (Unix, AIX, Linux, Windows)
* CRCM or CIPP
* Willingness to pursue compliance certifications if not already certified
* 5 years of financial services consumer compliance monitoring experience, or 5 years of auditing experience, or 5 years of compliance testing experience, specifically within Home Lending