



# Example of Leader Compliance Job Description

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Our growing company is searching for experienced candidates for the position of leader compliance. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for leader compliance

- Maintain awareness of applicable regulations, and monitor activities related to changes to regulations
- Participate/support Product Stewardship Projects
- Participate in the Service Desk continuous improvement process
- Lead Canadian health care quality continuous improvement processes through best practice sharing, standardization, and effective tool deployment to include Lean, Six Sigma, SPC, PPU
- Develops the annual compliance monitoring and inspections program against corporate objectives and commensurate regulatory risk levels, the review and approval of inspection reports
- Assists the CCO and compliance department practice leaders in preparing communications to both senior leadership and BOD required quarterly reporting and key stakeholder updates
- Approves the strategy for each business unit inspection and ensures programs are updated / modified related to large scale business changes
- Monitors the regulatory environment and determines impact on programs at both the strategic and tactical execution level and partners with the legal department to analyze, respond and resolve required changes to programs
- Maintains a broad awareness of the investment industry, related regulatory and policy changes and is viewed as a technical expert on the potential impact they have to the organization
- Monitors overall project portfolio against expected progress and designated

## Qualifications for leader compliance

- Very strong analytical ability, identifying potential areas of concern
- Build, coach, and direct a group of Team Leaders into a highly responsive team that meets the required productivity performance standards
- Establish and maintain relationships with other managers and business units, and support functions throughout the organization
- Ability to recognize the need for change management initiatives, and the ability to lead these while maintaining and driving teammate engagement
- Ability to effectively balance company and customer needs to deliver against NPS targets and business goals
- Proficiency in external systems (Internet, Office Applications)