



Compliance Managers ensure that a company adheres to all legal and ethical regulatory standards. They maintain documentation of compliance activities and investigations, direct and coordinate internal investigations of compliance issues, and report violations of compliance standards to the appropriate agencies. They manage a team of individuals by providing coaching and development opportunities and setting clear work expectations to be followed.

Example Positions

Compliance Engineer-Products, Compliance Manager, Compliance Officer, Compliance Review Officer, Corporate Operations Compliance Manager, Director of Compliance, Director, Global Ethics & Compliance and Assistant General Counsel, Internal Review and Audit Compliance

Competencies

Fact-Based Management – They view the organization as an open system, synthesize information from diverse sources, come to conclusions, and make decisions that are rational and based on sound evidence.

Compliance – Compliance Managers work to ensure that they, team members, other employees, contractors, strategic partners, and other relevant stakeholders act in accordance with all pertinent rules, regulations, policies, and best practices, and that behavior in the organization meets the company's standards of conduct.

Organizing and Documenting Information – Individuals who exhibit this competency produce thorough and well-organized documentation that meets government or organizational standards. They assess data quality and organize it coherently, and they document the required information accurately.

Communicating – They provide the information required by others in a concise, direct, and unambiguous way. They strive to ensure that the receiver clearly understands the specifics of their message and they are able to listen to, receive, and understand messages conveyed by others.

Process Management – Compliance Managers take a systematic approach to making the company's workflow more effective, efficient, and capable of adapting to an ever-changing environment.

Delegating – They display strong awareness of when, how, and to whom to delegate and will clearly communicate objectives, tasks, long-term benefits, and expectations for outcomes in order to empower others to take greater responsibility.

Driving Results – They motivate individuals to achieve and exceed goals by establishing accountabilities, clarifying performance expectations, agreeing to high standards and measures, monitoring and reviewing performance, and providing timely and relevant feedback.

Coaching and Developing Others – Compliance Managers provide quality time and planned commitment to direct reports as well as processes and opportunities for them to understand their strengths and limitations in relation to a range of high-quality and relevant Competencies.

Representative Behaviors

- Uses data and reporting to hold people accountable for meeting goals
- Investigates potential violations of rules, regulations, policies, and procedures
- Gathers all data needed to produce reports or answer questions
- Maintains a constructive, open dialogue with others
- Develops systems for designing and measuring work processes
- Defines, communicates, and clarifies expectations with employees
- Drives the execution of business plans
- Gives constructive feedback in a way that motivates the individual or team to improve



Compliance Manager Job Model

Leading	Active Communication	Interpersonal Dynamics	Making Decisions	Solving Problems	Managing Processes	Self-Management
Leadership Maturity	Influence and Persuasion	Interpersonal Sensitivity	Deliberative Decision Making	Creativity and Innovation	Quality Focus	Composure and Resiliency
Leadership Communication	Conflict Management	Helpfulness	Decisiveness	Analytical Thinking	Compliance	Generating and Expressing Enthusiasm
Driving Results	Negotiating	Service Focus	Strategic Thinking	Learning Agility	Response Orientation	Strength of Conviction
Leading Change	Active Listening	Relationship Building	Organizational Citizenship	Scientific Acumen	Safety Focus	Achievement Motivation and Perseverance
Managing Innovation	Communicating	Collaboration and Teamwork	Information Seeking	Business Acumen	Process Management	Self-Awareness
Managing Quality	Instructing	Organizational Savvy			Time Management	Adaptability
Team Building		Global Mindset			Planning and Priority Setting	Initiating Action
Coaching and Developing Others					Organizing and Documenting Information	Accountability
Delegating					Applying Standard Practices	Professionalism
Fact-Based Management						Continuous Learning
Strategic Talent Management						Extended Task Focus
Directing						Comfort with Ambiguity