



**Compliance Supervisors** direct and oversee a team of individuals in positions that require adherence to regulations and policies. They coordinate resources and manage conflict within the team, in addition to organizing and documenting compliance information.

#### Example Positions

*Business Practices Supervisor, Compliance Coordinator, Compliance Supervisor, Legal & Risk Compliance Supervisor, Compliance and Audit Supervisor, Compliance Team Lead*

## Competencies

**Directing** – Compliance Supervisors manage the contributions and performance of individuals and teams to ensure company objectives are achieved and standards are met. This involves communicating with others to make clear what is expected of them and conveying expectations about timeliness and quality.

**Planning and Priority Setting** – They identify priorities and develop detailed action plans that include objectives, accountabilities, time frames, standards, review stages, and contingencies.

**Compliance** – Compliance Supervisors 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.

**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.

**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.

**Conflict Management** – Compliance Supervisors address problems openly and objectively and bring substantial conflicts and disagreements into the open with the intention of resolving issues in an unemotional and constructive manner.

**Composure and Resiliency** – These individuals are able to deal effectively with pressure, maintain focus and intensity, and remain optimistic and persistent, even under adversity. They have the ability and propensity to recover quickly from setbacks, rejections, and conflicts and to maintain self-control in the face of hostility or provocation.

**Time Management** – They focus on completing all work tasks in a timely manner while remaining responsive enough to react to competing demands and shifting priorities. They are able to manage multiple responsibilities while being organized, keeping on top of important time-sensitive tasks, and performing all work accurately.

## Representative Behaviors

- Conveys expectations about quality and timeliness in a direct manner
- Thinks through what is needed to meet goals in terms of people and time frames
- Maintains appropriate documentation related to compliance, regulations, etc.
- Readily shares information with the appropriate people in a timely manner
- Reviews documentation for accuracy and compliance with standards
- Works to obtain a good understanding of the root causes of a conflict
- Stays composed in challenging interpersonal situations
- Manages time in a way that allows for responsiveness to shifting demands



## Compliance Supervisor 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