

Chief Compliance Officer Job Description

- Manage and execute policies and procedures which govern an organizations compliance program
- Monitor and test policies and procedures to ensure they can result in compliance
- Keep an eye on the performance of the compliance program, carry out risk assessments and compliance reviews to ensure policies and procedures are being followed
- Liaise with legal and regulatory bodies on compliance-related issues
- Ensure that the organization complies with existing and developing federal and state laws and regulations
- Responsible for the creation and update of the Compliance and Ethics Program Plan and ensure its execution
- Responsible for establishing and setting the tone of compliance throughout the organization
- Recommend the initiation of investigative procedures in response to alleged violations of rules, regulations, policies, procedures, and the Code of Conduct
- Carry out periodic evaluation of the compliance Programs and make appropriate changes and improvements
- Preside over and direct the work of the Compliance Committee
- Govern the responsibility to report misconduct and noncompliance, the path for reporting, and protection from retaliation
- Provide guidance on the effective response to detected problems and proffer recommendations for corrective action as appropriate.