

Senior Manager -Regulatory Compliance & Controls

Purpose

As a Regulatory Compliance & Controls Manager, you'll be responsible for implementation and monitoring of regulatory compliance change and controls for the Operational Business units. You will lead the controls testing team and collaborate across functions, connecting and partnering with internal and external stakeholders. You will be responsible for guiding the effective delivery of Regulatory Compliance projects and identifying gaps and areas for improvement.

Your role will range from understanding current state and designing future state risk and control management frameworks and assisting with the development of initiatives that push the boundaries of where our business can go. You will need to be both customer and delivery focused and possess a good understanding of compliance and regulatory obligations in financial services.

Role dimensions

- **Reports to:** Head of Risk Enablement and Assurance
- **Department:** Operational Excellence
- **Direct Reports:** 4+
- **Financial Authority:** Nil

Person specifications

- Minimum 7 years' experience delivering large scale regulatory change programs and initiatives
- 7+ years experience in financial services or Banking.
- Experienced in Risk and Compliance Governance framework assessment, risk identification, control development and management.
- Critical thinker with attention to detail while maintaining a holistic perspective
- The ability to thrive in a flexible and collaborative culture.
- Strong process modelling skills, Lean and 6 Sigma experience.
- Capable in Target Operating Model design and implementation
- Proven success in delivering first class outcomes while working across complex and multi-functional stakeholder groups.

Role specific areas of responsibility

- Leadership and guidance of the successful implementation of Regulatory Compliance and Control Management initiatives into the business, including:
- Coach, develop, motivate and performance manage the team to create a positive continuous improvement culture.
- The design and implementation of effective regulatory compliance and control management processes and solutions to adhere to Banks Regulatory obligations and enable ongoing effective risk management.
- Drive a consistent approach in implementing Regulatory change across the business, while evidencing effectiveness of solutions
- Assessment and diagnostic of processes and controls to identify compliance risk, gaps and adherence to policies and standards.
- Prepare comprehensive reports on control testing findings, trends and make recommendations to support business transformation initiatives, decision making, audit and regulatory requirements.
- Regulatory Change and Control Management training and implementation support.
- Supporting Continuous improvement initiatives in the risk and compliance space.
- Working with key stakeholders both internally and externally, including facilitating workshops and documenting outcomes and requirements, negotiating to resolve conflicting interests between key stakeholders, where required.
- Provide coaching and development to team members and peers by sharing your expert knowledge and collaborating with others, uplifting Regulatory Compliance and Control Management capability across the Bank

From time to time there may be additional activity not contained within this position description that the appointee is to complete in the interests of the appointment and their own personal development.

This position description provides a broad overview of responsibilities. The position description is a "living document" and the Bank reserves the right to amend from time to time as required.