



Canadian
Supply Chain
Sector Council

Conseil canadien
sectoriel de la chaîne
d'approvisionnement

OCCUPATIONAL STANDARD

(For use in the development of supply chain related job descriptions, performance evaluations, career development plans, etc.)

Position:	REGULATORY/COMPLIANCE MANAGER
Description of Position (As defined by the CSCSC Stakeholder Community)	Regulatory/Compliance Managers direct everyday business operations making sure they are in accordance with the regulations established for the company's industry.
Position Development	Advancement to senior management positions is possible through progressively responsible positions and management experience.
Required Qualifications:	(Education, Training, Related Work Experience)
Education and Additional Requirements	A university degree or college diploma is usually required. A combination of related training and considerable industry related experience may be considered an equivalent.
Training	Individuals already have the required skills, knowledge, work-related experience, and/or training.
Related Work Experience	Several years of supervisory experience and on-the-job training is usually required.
Tasks:	
Regulatory/Compliance Managers perform some or all of the following tasks	<ul style="list-style-type: none"> • Coordinate and document internal regulatory processes, such as internal audits, inspections, license renewals, or registrations • Implement organization's policies and procedures to ensure that regulatory compliance is achieved, well documented, or enhanced • Direct the preparation and submission of regulatory agency applications, reports, or correspondence • Review regulatory agency submission materials to ensure timeliness, accuracy, and comprehensiveness • Prepare or direct the preparation of additional information or responses as requested by regulatory agencies • Communicate with regulatory agencies regarding pre-submission strategies, potential regulatory pathways, compliance test requirements, or clarification and follow-up of submissions under review

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	<ul style="list-style-type: none"> • Monitor emerging trends regarding industry regulations to determine potential impacts on organizational processes • Obtain and distribute updated information regarding domestic or international laws, guidelines, or standards • Compile and maintain regulatory documentation databases or systems • Develop risk management strategies to avoid non-compliance • Develop or conduct employee regulatory training • Establish regulatory priorities or budgets and allocate resources and workloads • Contribute to the development or implementation of strategic business and operating plans • Escort government inspectors during inspections and provide post-inspection follow-up information as requested
Tools and Technology:	
	<ul style="list-style-type: none"> • Computer hardware and associated software (i.e. specialized compliance software, database user interface and query, electronic mail, project management, spreadsheets, word processing, presentations) • Computers, notebooks, printers, fax machines, photocopiers, telephone
Required Competencies:	(Knowledge, Skills, Personal Attributes)
Knowledge	A Regulatory/Compliance Manager should have knowledge of public law and government, customer and personal services, administration and management, education and training, computers and electronics, English language, and other languages as required.
Skills	A Regulatory/Compliance Manager should have the following skill sets: system analysis, time management, critical thinking, active listening and learning, speaking, reading comprehension, writing, judgment and decision making.
Personal Attributes	(Abilities, Work Values, Work Styles)
Abilities	The following abilities are important to the role of Regulatory/Compliance Manager: oral expression and comprehension, written expression and comprehension, speech clarity and recognition, inductive and deductive reasoning, problem sensitivity, information ordering, task prioritization.
Work Values	Individuals who will succeed in this position: <ul style="list-style-type: none"> • are result oriented and lead by example and offer supportive

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	<p>management</p> <ul style="list-style-type: none"> • empower employees to work independently • empower employees to create a collaborative work environment
Work Styles	<p>The following work styles are attributable to a Regulatory/Compliance Manager: integrity, stress tolerance, attention to detail, dependability, leadership cooperation, initiative, persistence, adaptability/flexibility, and achievement/effort.</p>
Essential Skills Profile:	<p>Essential Skills are the skills needed for work, learning and life. They provide the foundation for learning all other skills and enable people to evolve with their jobs and adapt to workplace change. For more detailed essential skills profiles please refer to the ESDC website: http://www.esdc.gc.ca/eng/jobs/les/index.shtml</p> <p>The Employment and Social Development Canada (ESDC) Essential Skills Profiles focused on occupations requiring a secondary school diploma or less, and on-the-job training. As such a formal Essential Skills Profile for the occupation of Regulatory/Compliance Manager has not yet been created by ESDC.</p> <p>The following section contains essential skills information identified in existing occupational standards and classified using the nine Essential Skills categories. Note that the content is not associated with ESDC and the Essential Skills Profiles.</p>
Reading Text	<ul style="list-style-type: none"> • Frequently read text in both print and non-print media <ul style="list-style-type: none"> ✓ reports ✓ emails and memos ✓ newsletters ✓ instructions and best practice procedures ✓ meeting minutes • Read and interpret dense and complex texts, and have ability to make high-level inferences using specialized knowledge <ul style="list-style-type: none"> ✓ policies and procedures ✓ acts and regulations to clarify legal definitions and interpret legislation ✓ permit conditions ✓ enforcement reports ✓ international standards • Frequently read paragraph length text in charts, tables and graphs
Document Use	<ul style="list-style-type: none"> • Documents produced and/or used may include forms, graphs, charts, lists, tables, schematics, drawings, schedules, reports, labels, accounting and financial statements, in both print and non-print media • Must be able to read simple to complex documents in which

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	<p>considerable inference may be required</p> <ul style="list-style-type: none"> • Must be able to read/interpret, and write/complete/produce documents • Specialized knowledge of the content of the document may be required; multiple pieces of information from multiple sources are synthesized; the quality of information may be evaluated for accuracy and omissions
Writing Skills	<ul style="list-style-type: none"> • Write communications to co-workers and supervisors to inform about matters such as upcoming training and changes to regulations, policies and procedures • Write detailed reports • Write a variety of business letters • Write comprehensive work procedures • Write regulatory agency submission materials • Make a written record of correspondence, telephone calls and conversations
Numeracy	<ul style="list-style-type: none"> • Apply financial math/money math • Apply scheduling, budgeting and accounting math • Apply measurement and calculation math • Apply data analysis math • Utilize numerical estimation
Oral Communication	<ul style="list-style-type: none"> • Provide clear and concise direction and instructions to staff and other departments • Professional communications with government agencies, enforcement officers, staff, and colleagues using a variety of communications devices and media • Exchange information with other managers and senior management • Conduct staff meetings and make presentations
Thinking Skills	(Problem Solving, Decision Making, Job Task Planning and Organizing, Significant Use of Memory, Finding Information)
Problem Solving	<ul style="list-style-type: none"> • Ability to identify compliance problems that call for formal attention • Discover discrepancies and omissions in application forms or regulatory reports • Ability to respond quickly in order to meet regulatory reporting deadlines • Identify equipment faults and computer malfunctions that impede their work progress
Decision Making	<ul style="list-style-type: none"> • Evaluate the completeness of applications, regulatory reports and other documents

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	<ul style="list-style-type: none"> • Make decisions consistent with compliance management
Job Task Planning and Organizing	<ul style="list-style-type: none"> • Liaison with employees and other management is needed to coordinate the regulatory/compliance management activities
Significant Use of Memory	<ul style="list-style-type: none"> • Remember policies and procedures relevant to compliance • Remember applicable regulatory requirements • May remember sections of acts and regulations to quickly apply them to particular situations and to reference sections of Acts in reports and other documents and correspondence
Finding Information	<ul style="list-style-type: none"> • Search computer databases to make sure information entered into the system is accurate and updated • Obtain information by speaking with staff, making phone calls, reading correspondence, and conducting database searches • Obtain information on legislation and regulations that may impact management decisions • Find information for budgeting purposes
Working with Others	Regulatory/Compliance Managers are generally self-directed and work as part of a broader team. They provide encouragement and support to team members and assist them in achieving their personal work objectives, the team work objectives, providing recognition when objectives have been achieved. They must often consult with relevant colleagues for their views, concerns and issues related to compliance management. They should consider third party help to recognize non-compliance objectively and third party employee training to ensure employee co-operation and assistance.
Continuous Learning	Enhanced learning may be acquired as part of regular work activity, through training offered in-house, with third party help to ensure employee co-operation and assistance and to discover areas of non-compliance that may not be easily recognized, through reading or other forms of self-study, or through off-site training. Ongoing learning occurs through participation in professional organizations, seminars, formal courses, conferences. In addition, skills may be upgraded by taking management classes through educational institutions.
Additional Information	(Physical Aspects, Attitudes)
Physical Aspects	A Regulatory/Compliance Manager works extensively in an office environment (e.g. sitting for long periods of time, and repetitive computer and telephone use). Typically there is no bending or stooping required, however, Regulatory/Compliance Manager may be required to move around facilities in order to satisfy visual management functions.
Attitudes	Attitudes of a Regulatory/Compliance Manager include a strong

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	commitment to leadership, customer service, and people management. A Regulatory/Compliance Manager should have excellent interpersonal skills, as well as planning and organizational abilities.
Future Trends Affecting Essential Skills:	All essential skills are affected by the introduction of technology in the workplace. Ability to adapt to new technologies is strongly related to skill levels across the essential skills, including reading, writing, thinking and communication skills. Technologies are transforming the ways in which Regulatory/Compliance Manager obtain, process, and communicate information, and the types of skills needed to perform.

Government of Canada Defined - Related NOC Code & Description	<p>0114 Other administrative services managers</p> <p>This unit group includes managers who plan, organize, direct, control and evaluate departments responsible for corporate governance and regulatory compliance, records management, security services, admissions and other administrative services not elsewhere classified. Also included in this unit group are managers responsible for departments involved in two or more of the following activities: finance, human resources, purchasing or administrative services. Managers in this unit group are employed throughout the public and private sector.</p>
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Document Management:				
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***Activity Types:**

- ✓ Document Created
- ✓ Document Modified (Minor Corrections & Editorial Changes)
- ✓ Document Updated (Complete Review)
- ✓ Document Finalized
- ✓ Document Retired

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