



## AZ Compliance and Risk Talent

Unexpected Careers.  
Boundless Opportunities.

### WORKFORCE COLLABORATIVE: COMPLIANCE AND RISK MANAGEMENT

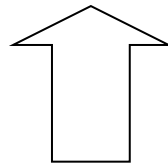
*BUILDING THE TALENT PIPELINE*

*CAREER PATHWAYS*

## Compliance

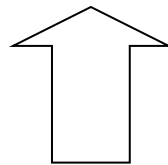
### Senior Management

Vice President of Compliance  
Vice President / Director of Safety or EHS  
Compliance Testing & Monitoring Manager  
Corporate Community Reinvestment Account Manager



### Mid-Level

F.I.U. Supervisor; Manager – Compliance  
Safety Manager, EHS Manager

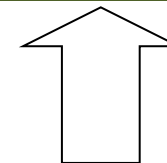


### Junior

## Risk Management

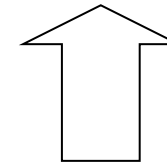
### Senior Management

Vice President of Risk Management  
Corporate Community Reinvestment Account Manager



### Mid-Level

Risk Administrator; Risk Manager



### Associate

***Developed by the Greater Phoenix Chamber Foundation Compliance and Risk Management Workforce Collaborative***

**Senior Compliance Management**

**Job Titles**

Compliance Testing & Monitoring Manager  
Corporate Community Reinvestment Account Manager  
Vice President of Compliance  
Vice President / Director of Safety or EHS  
Chief Compliance Officer

**Certifications**

Health Care: CHC, CHPC, CPHQ  
Finance: Series 7, 24, 63  
Insurance: CPCU, CIC, FCRA  
Safety: ASP, CSP, CIH  
Environmental: CHMM  
All: ARM, CCEP, CFE, CRCM, CAMS, CIPP and relevant industry licenses

**Competencies & Technical Skills**

Mid-Level Compliance Manager experience +  
Project and team management experience  
Familiarity with HIPAA and third party administration laws  
Knowledge of credentialing regulations and prompt pay laws  
Knowledge of OSHA, EPA and/or DOT regulations  
Familiarity with credentialing bodies  
Knowledge of provider agreements  
Compliance testing experience  
Compliance risk management experience  
Analytical and reporting skills  
Knowledge of relevant state laws, code and regulations  
Experience working with state and federal regulatory agencies  
Complex tax syndication experience  
Audit experience

**Education**

Bachelors required; Masters, MBA or JD preferred

**Experience**

8-10 years

**Senior Risk Management**

**Job Titles**

Risk Testing & Monitoring Manager  
Corporate Community Reinvestment Account Manager  
Vice President of Risk Management  
Chief Risk Officer

**Certifications**

Health Care: CPHRM  
Finance: Series 7, 24, 63  
Insurance: CPCU, CIC, FCRA  
All: CFE, CAMS, ARM and relevant industry licenses

**Competencies & Technical Skills**

Mid-Level Risk Management Manager experience +  
Project and team management experience  
Familiarity with HIPAA and third party administration laws  
Knowledge of credentialing regulations and prompt pay laws  
Familiarity with accrediting bodies  
Knowledge of provider agreements  
Compliance risk management experience  
Analytical and reporting skills  
Knowledgeable of relevant state laws, code and regulations  
Experience working with state and federal regulatory agencies  
Experience with a large and comprehensive bank CRA program  
Complex tax syndication experience  
Audit experience

**Education**

Bachelors required; MBA preferred

**Experience**

10 or more years

**Mid-Level Compliance Manager**

Job Titles  
F.I.U. Supervisor, Compliance Manager, Safety Manager, EHS Manager

Competencies and Technical Skills  
Compliance Associate experience +  
Legal, investment, finance, accounting or audit experience  
Knowledge of SEC, FINRA, OCC and MSRB  
Operational management experience  
Knowledge of regulatory compliance process and procedures  
Experience communicating and working with regulators  
AML/BSA experience  
General business knowledge and experience  
Knowledgeable of functional operations  
Knowledge of OSHA, EPA and/or DOT regulations  
Analytical and reporting skills  
Knowledge of relevant state laws, code and regulations

Education  
Bachelors required

Experience  
3-5 years

**Mid-Level Risk Management Manager**

Job Titles  
F.I.U. Supervisor, Risk Administrator, Risk Manager

Competencies & Technical Skills  
Risk Management Associate +  
Investment, finance, accounting, or audit experience  
Knowledge of SEC, FINRA, OCC and MSRB  
Risk management & assessment certifications and experience  
Knowledge of industry operations  
Operations and functional operations management experience  
General business knowledge and experience  
AML/BSA experience  
Understanding of legal frameworks  
Knowledge of regulatory compliance process & procedures  
Understanding of divisional business

Education  
Bachelors required

Experience  
3-5 years

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**Skills Required to Advance**

1. Bachelors degree | 2. Specialized certifications (ARM, CPCU)  
3. Leadership & management skills (e.g. persuasion, influence, etc.)

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**Junior**     **Associate**

Competencies and Technical Skills  
Competent in MS Office | Analytical skills | Internal systems experience | Communication skills (verbal and written)  
Stackable certificates of completion | Ability to complete one industry certification within one year

Qualities for Employment  
Initiative | Accountability | Results Oriented | Customer Service Skills

Education  
Associates required | Bachelors preferred

Experience  
0-2 Years