R-0000191814 Associate Director - Operational Excellence - Client Lifecycle Management (CLM)

Requisition	R0000193281
Employer	Royal Bank of Canada
Canadian locations	Toronto (Ontario, Canada)
Primary address	600 QUEENS PLATE DR, TORONTO, ON M9W 0A4, Canada
Posted	November 20, 2026
Last day to apply	December 11, 2026
Posted deadline	December 12, 2026
Business area	CAPITAL MARKETS
Employment status	Regular
Work schedule	Full time · 37.5 h per week
Pay type	Salaried

The position

The Operational Excellence Associate Director drives execution of audit remediation activities and operational excellence initiatives within the Client Lifecycle Management pillar. This role serves as a primary "doer" embedded within CLM operations, responsible for executing audit responses, managing action plans, and implementing control improvements. Unlike a governance function, this role maintains accountability into CLM Pillar heads for work execution and prioritization, ensuring audit requirements translate into concrete operational improvements.

The Associate Director coordinates audit responses across regulatory examinations, manages compliance-related documentation, and ensures sustainability of implemented controls. This position bridges the centralized Audit Engagement team and day-to-day CLM operations, ensuring timely resolution of identified issues while preventing recurring deficiencies.

Responsibilities

Audit Response Planning & Execution

- Coordinate with 1st, 2nd line and 3rd line groups on review & exam scheduling and work planning
- Participate in quarterly advance planning sessions to plan for regulatory review cycles
- Support centralized input management by providing resources and capacity at the pillar level
- Maintain the inventory of work and prioritize activities in line with internal review and external regulatory schedules
- Serve as the primary point of contact for assigned audit areas; coordinate directly with CLM Pillar heads & Head of Operational Excellence on work scope and priorities
- Develop detailed descriptions of audit responses with supporting documentation, process maps and data samples
- Track and manage audit action plans from initiation through completion and validation
- Maintain audit-ready documentation with clear evidence of effective control and condition of remediation
- Respond to auditors' requests for information and follow-up within the agreed time frames

Control Assessment, Design & Governance

- Identify control gaps and design preventive or detective controls that meet operational and regulatory risk expectations
- Recommend process improvements to CLM Pillar heads with supporting business cases
- Participate in self-identified issues management (EIM) to document and remediate deficiencies

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- Support RCSA (Risk Control Self-Assessment) reviews and attestation processes
- Chairing and Coordination of CLM Monthly Risk and Control Forum.
- Perform periodic analysis of OREs, Breaches & Complaints to drive strategic remediation
- Coordinate with 1LODb & 2LOD teams to review CLM specific training requirements

Regulatory and Compliance Knowledge

- Maintain current knowledge of regulatory expectations in regulatory exams, KYC/AML requirements
- Work with the CLM Leadership & Head of Operational Excellence to translate regulatory findings into operational remediation activities
- Support privacy impact assessments, business resilience reviews, BIA/BCP plan updates, and intra-group outsourcing documentation
- Ensure compliance with protocols and regulatory review schedules
- Escalate emerging regulatory trends or examination focus areas to CLM leadership

Issue Management and Sustainability

- Ensure complete documentation of identified problems, root causes and remediation plans
- Assess the viability of the controls implemented and recommend improvements
- Monitor the detection of double problems and coordinate resolution with the central audit team
- Track remediation metrics and provide status updates to CLM Pillar heads
- Identify systemic risks requiring structural or process change

Decision Making

- Determines scope of audit response work and required supporting documentation; prioritizes remediation activities in consultation with CLM Pillar heads and central audit team
- Evaluate the design and effectiveness of controls; recommend improvements to improved control processes and procedures
- Makes go/no-go decisions on completeness and accuracy of audit response documentation before submission
- Escalates emerging regulatory expectations or examination risks to Head of Operational Excellence and CLM Pillar heads
- Priority of work activities based on regulatory review timelines and operational capacity of the pillar

Execution

- Recommends specific remediation actions and control enhancements to CLM Pillar heads and process owners
- Advises on regulatory examination preparation and required evidence packages
- Proposes process improvements to reduce audit findings and control deficiencies
- Recommends resource allocation and timeline adjustments based on examination complexity and scope

Qualifications

Requirements

- At least 3-7 years in the response to the regulatory review, KYC/AML compliance or client due diligence functions
- Bachelor of Finance, Law, Compliance, Business Administration or Related Fields
- Direct experience in regulatory reviews (National Association of Futures Companies, FINRA, SEC or OCC) or equivalent international regulatory frameworks
- Strong understanding of AML/KYC processes, client data governance, and regulatory requirements
- Demonstrated ability to interpret regulatory expectations and translate into operational remediation activities
- Proven execution track record in completing audit responses and remediation activities

Assets

- Prior experience in 1st or 2nd line compliance, risk, or audit functions
- Compliance, anti-money laundering or financial regulatory certifications (AML, KYC, CAMS, CIP or equivalent)

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- Exposure to operational resilience frameworks, BIA/BCP, or privacy impact assessment processes
- Experience in process improvement, control design or operational risk management
- Familiarity with trading operations, customer boarding or KYC platforms
- Microsoft Office Advanced Suite (Excel, PowerPoint, Word, Visio); Data Management and Reconciliation
- Strong written and verbal communication; ability to explain complex controls designs to auditors and operational teams
- Understanding details with the ability to manage overlapping multiple audit requirements and time frames
- Problem-solving mindset with focus on practical, sustainable solutions
- Ability to work in collaboration with Pillar Leaders, Risk Managers, Compliance and Auditors
- Time management and ability to balance audit response demands with BAU operational activities

Pay and benefits

RBC teams aim to grow by working together, thinking ahead and giving dependable advice that helps clients and communities prosper. They support one another, develop their potential and strive for outcomes that benefit the communities they serve as well as the bank.

- A comprehensive total premium program including flexible premiums and benefits, competitive pay
- Managers who coach employees and help them find opportunities to develop.
- Join a collaborative team that works at a high standard and looks for new ways to improve.
- Opportunities to do challenging work
- Flexible work/life balance options

Job Skills

Adaptability, Operational Evaluations, Business Process Design, Decision Making, Effectiveness Measurement, Interpersonal Relationship Management, Long-Term Planning, Business Delivery, Organizational Change Management, Process Management

RBC accepts applications until 11:59 p.m. on the day before the posted deadline.

Our Employment Opportunities

RBC works as One RBC and follows five shared values: putting clients first, integrity, collaboration, respect and excellence. As one of the world’s largest and most successful banks, it sees inclusion and different perspectives as important to continued growth. RBC supports staff in doing their best work, working together, innovating and developing professionally. Its policies and programs foster respect, belonging and opportunities for everyone to create value for clients and communities.

Talent community

People who join RBC’s talent community can receive new postings, career advice and recruitment event updates tailored to their interests.

RBC’s careers portal shares information about career paths and how its teams contribute to client and community well-being.

Search for requisition R0000193281 on the RBC careers portal.

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