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# Example of Audit Compliance Job Description

Our innovative and growing company is looking for an audit compliance. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for audit compliance

* Assisting with proposals for new business opportunities in the areas of outsourced internal audit, regulatory compliance and consulting services (ACH, BSA, SAFE, UIGEA, FACT, ) training, and related special projects
* Complete investigations of agents that may be involved in the submission of fraudulent new business applications
* Plan, perform, and lead Compliance audits at the enterprise level other diverse lines of business and specialty areas
* Develops and executes audit programs for the purpose of auditing and assessing controls for IT assets, systems and/or processes related to the FEP Program, including developing criteria, reviewing and analyzing evidence
* Evaluates the adequacy, effectiveness and efficiency of specified Software Development Life Cycle (SDLC) processes and procedures and IT controls
* Serves as a consultant to management on risk mitigation factors in all FEP related technology areas and serves as a key interface on technology risk related issues
* Drive the development and execution of the annual audit plan including evaluation of risk, scope of testing and required resources
* Take a lead role in the development of value-added services
* Assist in the preparation of audit reports for review by senior management
* Assist in external audits and examinations by regulatory bodies, conduit banks and securitization parties

## Qualifications for audit compliance

* CPA, CIA, CISA or any other relevant certifications
* Fluency in French, Spanish, Portuguese, German, Italian, Japanese, Korean, or Chinese
* Potentially you may be a compliance professional (assurance, testing etc) considering a move into the third line of defence, or possibly working in a regulatory consulting position with banking clients looking to move to an in-house role
* Have a strong understanding of legal and compliance concerns within a banking or more general financial services environment
* IT experience in Governance, Risk and Compliance (GRC) domain with strong focus
* Certifications such as CISSP, CISA, CISM, ISO 27001 Lead auditor, CEH, preferred