Downloaded from <https://www.velvetjobs.com/job-descriptions/compliance-audit>

# Example of Compliance Audit Job Description

Our company is growing rapidly and is searching for experienced candidates for the position of compliance audit. 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 compliance audit

* Research the latest banking compliance trends and regulations
* Propose and execute testing plans
* Meet and interview personnel to understand processes and controls
* Communicate testing results in meetings and written reports
* Prepare written reports for senior management review
* Track and maintain corrective action program
* Work with global line of business Audit teams (Corporate & Investment Bank, Consumer & Community Banking, Commercial Bank, Asset Management, Technology, ) in identifying emerging compliance related control issues, and reporting them to line of business and audit management
* Participate in audits within Corporate Compliance and throughout the organization
* Work with key stakeholders within the business and audit management in planning, conducting the audit and providing value-added recommendations to the client
* Identify areas of risk and recognize whether the related controls are operating effectively

## Qualifications for compliance audit

* Coordinate all security/compliance initiatives for CMB Service Delivery and ensure key milestones are met
* Develop/update common IT security processes for adoption by CMB Service Delivery teams
* Monitor security mechanisms (audit trail, firewall, etc) for compliance to security policy and standards
* Knowledge of industry best practices in the information security arena
* Excellent analytical and problem-solving skills used to interpret contractual service agreements
* Knowledge of Compliance software and specifically AML/BSA systems (ie