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# Example of Control & Compliance Job Description

Our company is hiring for a control & 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 control & compliance

* Coordinate/ Validate the year end KIIDs review for ManCo Clients
* Organisation of the day to day Oversight activities
* Set Partner objectives, monitor these and provide feedback through regular one to one meetings and team meetings
* Manage work allocation within the team
* Provide management and guidance to staff, fostering an environment which encourages employee participation, teamwork and communication
* Development, recruitment and appraisals of Partners
* Assist with process mapping and risk and control identification sessions held within the business to support development, and periodic confirmation of the adequacy of scope and content of horizontal Risk and Control Self-Assessments (RCSAs)
* Assist with the maintenance of the Force System
* May assist with the development and maintenance of RCSA related reporting
* May perform routine thematic data analysis

## Qualifications for control & compliance

* Maintains all Business BCP plans up to date and execute testing
* In depth understanding of risk management control concepts such as reconciliations, access management, information retention requirements, Capacity planning
* 3-5 years of relevant Control Room experience
* A focus on time sensitive market commentary and research review
* Equity and Fixed Income surveillance knowledge
* Familiarity with Equity Research Rules