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# Example of Controls & Compliance Job Description

Our company is growing rapidly and is looking to fill the role of controls & compliance. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don’t fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for controls & compliance

* Ensure compliance with SOX and NFCM including the CLC, SoD, SAR, FRS/IAS and Novartis Accounting Manual (NAM) through in-depth review of control self-assessments, re-performing walk-throughs as necessary to confirm the self-assessment accuracy, reviewing and validating or developing robust NFCM, IA and FCCR remediation plans/timelines, ensuring internal controls are fully operational and effective, risks are fully mitigated, and remediation results sustainable
* Manage the development of key reporting and metrics related to critical CCB Compliance and Business related activities
* Providing support in the areas of Controls, Compliance, Metrics, and Business Continuity Planning across financial/transactional cycles Operational requirements
* Examines moderate to high-risk control and supervision processes of internal business
* May serve as a “team lead” for Compliance Consultants including potentially assisting in the talent selection process
* General audit support including document retrieval and review research
* Compile, analyze, review and research Finance Operations data for issues resolution to support business process improvements assignments
* Reporting to management on identified issues, and assisting the businesses in devising remediation plans and validating remediation actions
* Ensuring that all issues raised in MCT’s reviews and branch office visits are tracked and escalated promptly and appropriately with relevant documentation being provided on a timely basis
* Working with non-hub Compliance teams to ensure the implementation of effective Compliance monitoring that meets both BaFin and local regulatory requirements, including training and workshop on MCT methodology and reviews planning as required

## Qualifications for controls & compliance

* ORegulatory compliance in a financial services or consulting firm with knowledge of SEC and other regulatory requirements relating to investment adviser, investment company and alternative products
* Ability to work as part of a team and independently in a fast paced, dynamic business environment
* Minimum of 3 years of experience in a large corporation
* 7+ years of Accounting / Finance experience in Public Accounting and/or a large Publicly Traded company
* Proven experience of creating procedural documentation or mapping business processes
* A strong understanding of process flows and how documentation runs through systems