



Example of Principal Auditor Job Description

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Our company is searching for experienced candidates for the position of principal auditor. To join our growing team, please review the list of responsibilities and qualifications.

Responsibilities for principal auditor

- You will be required to proactively develop and maintain professional working relationships with colleagues, the business and respective support areas
- Whilst the majority of the audit work is based in the US, the team is also responsible for coverage in certain overseas locations
- Leading a team on individual assignments assisting in the scheduling and staffing of audit engagements
- Documenting activity flows of processes to be reviewed, identifying risks and the key actual controls in place to mitigate the identified risks, attending meetings with internal stakeholders when required
- Independent in judgment, with the ability to be challenged
- Educated to Degree level, with relevant professional qualifications or equivalent
- Able to interface with business units and stakeholders
- Significant exposure to investment banking clients and a robust knowledge of capital markets processing, with demonstrable experience of IT auditing in an investment banking context , audits of automated business controls
- Strong organisational skills to take ownership of agreed targets, to enable the efficient completion of audit projects
- A natural role model and reference point for your peer group

Qualifications for principal auditor

- Able to multi-task assignments and prioritise workload, deliver to deadlines

- Leading audits of controls over individual benchmarks and benchmark related activities across a broad spectrum of businesses and all asset classes
- Undertaking audit assignments, draft audit issues and reports for review by audit management, facilitating issue tracking and validating closure of issue
- Executing audit fieldwork in line with the agreed audit approach, for example documenting activity flows, identification of key risks and testing of key controls to determine whether they are properly designed and are operating effectively and documenting work in accordance with GA standards
- Providing input to the risk assessments and approaches across Global Markets (GM) and Corporate and Investment Banking (CIB) in relation to financial benchmark related topics
- Partnering across GM and CIB and other audit teams globally, particularly product audit teams, market risk, compliance and technology audit teams, to ensure comprehensive audit coverage and an integrated approach to key risk topics