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Internal Auditor – Compliance

Description

The **Internal Compliance Auditor** is responsible for improving company operation through auditing risk management, operations, and compliance functions. Responsible for preparing and auditing operational reports for adherence to regulatory and legal requirements, assisting in the designing and implementation of methods and industry best practices for analyzing company data, and work with business partners on risk management, compliance, and regulatory requirement tasks to improve risk rating and compliance adherence throughout company.

ESSENTIAL DUTIES & RESPONSIBILITIES

Risk Management Reporting

- Propose, create, refine, and manage risk reports allowing company to track information in ways to mitigate risk, ensure regulatory and legal compliance.
- Create and Manage Data Trend reports for adherence to rules, policies, and procedures.
- Work with VP of Legal and Compliance to analyzing existing risk reports and creating new risk reports (as needed) to make recommendations to reduce risk and ensure risk tolerances are not breached.

Process Auditing

- Create or revise audit reports to track and capture new data or existing data in new ways to improve business function.
- Conduct compliance and operational audits, including the examination and evaluation of the adequacy of internal controls.
- Review practicality of existing audit reports; propose process improvement; propose elimination of non-useful audit reports.
- Independently execute audit scope, objectives, and work plans. Assesses risk and controls, performs testing of key controls, and documents results, including deficiencies.

Audit Issuing, Tracking, Resolving

- Identify unacceptable variance occurrence in daily audit report, issue audit to responsible unit, detail steps to resolve audit; track audit resolution; collaborate with responsible unit to resolve any issues with audit.
- Create trend reports on issued audits and responsible units.

Internal Auditing Program

- Create universal guideline for company-wide auditing; increase efficiency and functionality and improve responses to audits for audit program.

Other Responsibilities and Duties

- Assist with tracking findings, remedial actions, and matter requiring attention for documentation purposes and for providing updates to

Hiring organization

United Consumer Financial
Services

Employment Type

Full-time

Duration of employment

Permanent Position

Industry

Financial Services

Job Location

44145, Westlake

Date posted

December 2, 2021

Valid through

02.02.2022

examining entities, as needed.

SKILLS & ABILITIES

- Ability to analyze reports to identify issue, trends, risks, tolerance breaches, etc. and make recommendations on how to solve.
- Ability to multi-task in a busy environment.
- Ability to communicate effectively, via telephone, video calls, and in-person up to 8 hours per day, and to receive, transmit, and accurately interpret information.
- Ability to work effectively with UCFS employees and customers.
- Ability to read, write and perform mid-level mathematical calculations.
- Ability to attend to detail; accurate.
- Ability to understand and follow UCFS policies, procedures and guidelines.
- Ability to utilize tools, techniques and processes for gathering and reporting data.
- Excellent problem solving and organizational skills.
- Knowledge of internal audit processes, practices, and methods.
- Proficiency with a computer, standard office equipment and computer programs, including but not limited to Microsoft Office Suite (Outlook, Excel, Word, PowerPoint) and AS400 up to 8 hours per day. *Must have advanced Excel skills.*

MINIMUM QUALIFICATIONS

- Bachelor's degree or higher. In lieu of degree, additional years of experience can be substituted.
- 2+ years audit experience in risk management; compliance experience highly desirable.