



## Senior Audit Manager

Compass is a world class IT Audit and Security company headquartered in North Providence, Rhode Island. Formerly part of Lighthouse IT Compliance Group and founded in 2003 we became an independent company in 2010. Our goal then and still today is to offer the most experienced certified IT auditors with a focus on offering cost effective auditing and security support services.

Compass offers a range of IT governance and compliance services across a range of industries in all stages of growth that includes Financial Institution Compliance, Business Continuity Program Development, IT Governance and Policy Development, IT Audit and Risk Assessment, Security Program Assessment and Development, Payment Card Industry (PCI) Risk Assessment and Audit, HIPAA/HITECH Security Assessment, and SSAE16 Readiness. Details on any of our services can be found on our web site at <http://www.compassitc.com>.

The Compass Senior Audit Manager is a self-motivated, adaptive, quick learner who can independently run and prioritize an evolving workload in a dynamic environment. You will develop relationships throughout the company as well as with the co-sourced team to facilitate the risk assessment process and to effectively perform internal and external audits. You will also help to identify innovative methods and tools to bring efficiencies to the audit process, and lead their implementation. In addition, you will help to continuously monitor the business for changes that may affect the risk environment and, therefore, require revisions to the internal audit plan or to the scope of a planned internal audit. You'd report to directly to Managing Partners.

### Job Description:

- Work individually or as part of a team to lead and perform integrated audits in accordance with standards and expectations set forth in the Internal Audit Charter, Manual and Methodology.
- Execute and supervise the activities throughout the internal audit process, including:
  - perform research, planning and scoping;
  - conduct interviews and walkthroughs;
  - identify key risks and controls;
  - draft flowcharts and/or narratives, gather evidence and perform testing;
  - prepare and review audit work papers;
  - discuss and clearly articulate findings, observations and related risks with auditees throughout the process.
- Draft thoughtful and persuasive written internal audit reports and memos that clearly articulate the scope, objectives, issues, risk, root cause, and recommendations for remediation.
- Identify opportunities to utilize data analytics techniques where appropriate to evaluate large and complex populations of data.
- Assist with issue follow-up through check-ins with the business on progress and validate effective remediation through testing.
- As needed, assist with pre- and post- implementation system reviews, and perform internal readiness assessments.

- Commit to continuous skills and knowledge development regarding industry trends, emerging risks, and internal audit tools and techniques.
- Provide mentoring to other team members, as needed.
- Anticipate and manage obstacles, and formulate effective solutions.
- Build, develop, and maintain strong business relationships with business and technology partners, acting as a trusted advisor.
- Strive to build institutional knowledge of specific products, systems, and processes to become a subject matter resource.
- Support the strategy of the company by providing assurance to third parties and potential investors.

#### **Requirements/Qualifications:**

- Bachelor's degree in Accounting, Finance, or related preferred.
- CIA and/or CPA highly preferred.
- CISA would be a plus.
- Minimum 5-7 years of Internal Audit, Compliance, Risk Management or related experience, that includes 2-3 years of project and people management experience.
- Big 4 and/or financial services industry experience a plus.
- Experience with SSAE 16 SOC 1 and AT 101 SOC 2 process.
- Experience working in a co-sourced environment a plus.
- Knowledge and experience evaluating the design, effectiveness and regulatory compliance of processes and controls within a bank, broker-dealer, or related financial institution a plus.
- Able to work on multiple assignments simultaneously and prioritize accordingly.
- Excellent analytical, verbal and written communication, exceptional interpersonal, and relationship building skills.
- Able to collaborate with business partners, and identify and address business needs through building solid relationships.
- Ability to work in a rapidly changing environment and adaptive to change very quickly with minimal supervision.
- Demonstrate a balance of skills with common-sense and an excellent ability to communicate both verbally and in writing.

Salary: \$90k - \$120k/year

Questions?

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