Sr. Technical Auditor

Job Description

PRIMARY PURPOSE OF THE POSITION

The Senior Technical Auditor develops and implements audit plans of internal business processes and controls, application systems, general controls, and technical infrastructure; develops recommendations to Business Unit(BU) management based on audit findings and root cause in order to enhance and improve operations, reports on audit findings and resolution to company senior management, and monitors the status of Corrective Action Plans(CAPS) to ensure they are being implemented to remediate control weaknesses and mitigate risk.

PRINCIPAL RESPONSIBILITIES
Execute Project Scope and Objectives:

- Interview and observe process owners to document the process and identify the key controls imbedded in the process
- Assist in the planning process in order to clearly understand the audit scope and objectives.
- Conduct appropriate background research for the assigned project
- Execute the audit program or project plan
- Conduct meetings
- Demonstrate a broad knowledge and understanding of the Information Security controls and processes.
- Identify Control gaps and demonstrate an understanding of the difference between control gaps and process improvements.
- Follow a standard internal audit methodology
- Create appropriately documented work papers
- Develop and execute comprehensive tests of controls using all available and appropriate tools (e.g. data mining, flow charts, etc.). Testing is always preferred over conversations/observations.
- Develop and document appropriate audit findings, conduct root cause analysis and impact analysis.
- Track the status of outstanding CAPS, work with business unit management to get updates and perform appropriate testing to confirm remediation.
- For assigned audits, effectively demonstrate an ability to understand business risks and the key controls implemented to mitigate those risks.
- Exhibit the ability to see the broader picture and not be lost in the details.

Project Management:

- For each assigned audit project, evaluate the proposed budget and timeline and propose any necessary changes.
- For each assigned audit project, demonstrate an ability to self-manage and complete the project within the assigned budget and agreed upon timeframe.
- Follow the established Audit Workflow of the department and proactively communicate the status of the project to BU and IAD(Internal Audit Department) management.

- Demonstrate an ability to effectively work with the business and internal audit management to ensure that all requirements are completed within the targeted timeline and budget.
- Handle multiple projects

Communication:

- Effectively and timely communicate the results of testing and identified issues to IAD management and BU management.
- Demonstrate an ability to effectively facilitate meetings with the process owner or SME's within the business.
- Deliver clear and concise written documents including audit reports, emails, and memos.
- Prepare logical and comprehensive workpapers that adequately support and document the planning and fieldwork executed as well as the conclusions reached.
- Prepare narratives and flowcharts to document business processes and controls.
- Prepare architecture diagrams of technical components that support the business processes and controls.
- Prepare draft report and audit findings documents as assigned
- Prepare and deliver project status update emails
- Articulate audit project status to IAD management
- Facilitate planning, kick off and close meetings with the business.

Department Initiatives:

- Be an active member of the team and department.
- Actively participate in team and department meetings and discussions.
- Develop and raise project ideas.
- Support and suggest department project initiatives
- Network with peers to strengthen IAD's reputation and understand the TRP business

QUALIFICATIONS
Required

- College degree and 2 years of related work experience, or
- Associate degree and 4 years related work experience, or
- High School diploma/equivalent and 6 years related work experience
- Excellent Project Management skills including the ability to deliver assignments on time and within budget
- Excellent written and oral communication skills
- Analytical skills and experience
- Excellent interpersonal skills

Preferred

- Bachelor's degree
- Financial Services Industry experience
- Detailed knowledge of audit techniques, theories and standards
- Full knowledge of IS or IT auditing techniques

- Full knowledge of how information systems and applications support business processes
- A professional designation (CPA/CIA/CISA/CISSP) with 2-4 year auditing experience
- Data Mining experience (e.g. ACL, IDEA, etc.)

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