

Senior Analyst, Technology Risk & Controls Management



Who are we?

Have you ever wondered what makes trading and settlement possible in Canada? It's Fundserv—the online ecosystem that ensures every fund transaction is processed timely, accurately and securely. We're an online hub that electronically connects manufacturers, distributors, and intermediaries, enabling them to buy, sell, and transfer investment funds.

Our Culture & Values

Fundserv is guided by our four core values: Collaboration, Adaptability, Integrity, and Respect. Because above all else, Fundserv CAIRs:

- Collaboration
- Adaptability
- Integrity
- Respect

Benefits & Perks

Fundserv provides a comprehensive benefits plan that includes the following:

- Health care spending account
- RRSP with employer match
- Annual performance pay
- Wellness reimbursements
- Employee discount program
- Charitable donation matching
- Flexible hours & remote work options

To better support our employees during Covid-19, we've expanded our benefits:

- Work from home stipend
- Virtual social events including escape rooms, online trivia & games
- Corporate-wide mental health days
- Wellness account for gym memberships, exercise/sports equipment, mental health apps, and more

Location:

Downtown Toronto (hybrid)

Reports to:

Manager, Risk and Internal Audit

Department:

Risk and Internal Audit

Fundserv is an equal opportunity employer. We welcome and encourage applications from individuals with disabilities. Accommodations are available on request – please let us know how we can meet your needs.

The Opportunity

The Senior Analyst, Technology Risk & Controls Management is responsible for assisting the Manager, Risk & Internal Audit in developing and executing Fundserv's audit plan and take a lead role in the day-to-day execution of internal audits. This role identifies risks associated with business objectives and evaluates the controls in place to mitigate those risks in order to improve the effectiveness of risk management, control, and governance processes. They provide value-added advice and support to business partners on the creation or modification of policies, procedures, processes, products or services to ensure an appropriate level of internal control and compliance is maintained. In this role, you will:

- Partner effectively with the IT operational teams to create awareness of and communicate IT risk, governance, and control requirements
- Attend Project Management Meetings for the purpose of understanding the business objectives and implications of projects, identifying risks and effective mitigating controls for implementation before project launch
- Perform moderate/complex audits including drafting audit reports, presenting issues to the business and discussing practical solutions
- Apply internal audit standards, policies, and regulations to provide timely audit assurance and influence audit scope
- Participate in opening meetings with various departments to explain the scope and objectives of the audit engagement and provide an overview of all steps in the audit process
- Develop a thorough understanding of business processes in scope for assigned audits and document the processes in flowcharts and/or process narratives. Identify and document inherent risks and controls within the business processes, and monitor, assess, and recommend solutions to emerging risks
- Develop a risk-based test plan by selecting appropriate audit approach, test procedures and sampling criteria based on professional judgment and departmentally defined internal audit methodology
- Perform audit tests and prepare working papers in accordance with Fundserv internal audit policy and procedures
- Evaluate the adequacy of process design and the effectiveness of controls in meeting business and control objectives. Identify and document control and process weaknesses and provide evidential support for findings
- Identify inconsistencies in audit data or results, define business issues and formulate recommendations on policies and procedures
- Assist in the preparation of a concise and informative audit report to effectively communicate the findings and recommendations to the department and management.
- Work with management to ensure that the appropriate findings/action plans are developed to address the identified control deficiencies, and to ensure that corrective actions are implemented in a timely manner.
- Must exercise independence of judgement and autonomy
- Appropriately assesses risk when business decisions are made
- Keep abreast of IT emerging issues, trends, and evolving regulatory requirements and assess potential impacts to Fundserv and audit approach
- Update IT Risk register and IT risk exemption forms
- Develops, tracks, and reports on Key Risk Indicators for information technology
- Participates in investigations of suspected internal fraud
- Provide consultative support to departments with regard to the adequate design and execution of risk management processes
- Conduct testing to assist Fundserv's external auditors with the annual controls reporting audit
- Assists the Manager, Risk & Internal Audit in the development of the annual internal audit plan

Why YOU are the person we're looking for

- Post-secondary education in Business, Accounting or Finance
- 5-7 years' relevant experience
- CISA certified designation
- A recognized professional designation in Accounting or Internal Auditing (CPA, CMA, CGA, CIA) preferred
- Solid working knowledge of performing IT audits
- Strong working knowledge of professional internal audit performance standards
- Solid understanding of risk and control concepts.

If this sounds like you, apply today at hr@fundserv.com.