



## UNION STATE BANK POSITION DESCRIPTION

**Position Title:** Director of Internal Audit  
**Reports To:** President/CEO & Board of Directors  
**Status:** Salary; Exempt

**Position Summary:** Responsible for the Bank's Internal Audit Program to ensure compliance with banking laws and regulations. Includes preparing, maintaining, and updating policies and internal audit procedures. This position is responsible for coordinating all the bank's audit functions with internal and external sources. This position will prepare reports for the Board of Directors and Risk Management Teams on internal audit and compliance issues and findings.

### Principal Responsibilities and Duties:

- Ensure that the bank's policies and procedures are in line with all bank rules and regulations.
- Research questions regarding banking rules and regulations and ensure that the institution does not break any laws.
- Perform audits of bank policy, procedures and internal controls to ensure compliance with all rules and regulations.
- Act as the liaison between external auditors and regulators during audits and exams.
- Provide management and oversight of the bank's internal audit programs and functions.
- Provide guidance to management on its risk management policy as it relates to safety and soundness, bank compliance regulations and internal controls.
- Review internal controls and procedures for new bank products and services.
- Understand and provide resources regarding public interest and consumer protection laws.
- Offer advice to the Risk Management Committee and management on compliance and audit issues.
- Assist the Board Audit & Risk Committee in fulfillment of its duties and responsibilities by providing timely reports.
- Audit the bank's departmental management to make sure all policies and procedures are being followed.
- Provide guidance to bank staff by acting in a "compliance help desk" capacity through support with the compliance officer.
- Provide regular training to banking staff and recommend training programs on the learning management system, particularly when any state or federal laws change.
- Initiate non-biased investigations when potential non-compliance incidents take place within the institution.
- Oversee and manage internal and external ACH, Fair Lending, Community Reinvestment Act, Bank Secrecy Act and other safety and soundness compliance and internal control.
- Provide support and assistance to outside auditors and examiners when necessary.
- Conduct follow-up reviews of financial, operational, or regulatory deficiencies noted during audits.
- Serve and participate on the Management Audit and Risk Committee, Leadership Committee and Technology Committee.
- Perform other duties as may be required or assigned.

**Supervisor Responsibilities:** Supervises Internal Audit Department

**Education and Experience Requirements:** Bachelor's degree in finance, economics, law or business or equivalent combination of experience and education. A minimum of five years bank audit experience required and/or Certified Internal Auditor (CIA) or Certified in Risk Management Assurance (CRMA) through the IIA required. Three to five years compliance experience and/or Certified Regulatory Compliance Manager (CRCM), Certified Bank Compliance Officer (CBCO), or Certified Regulatory and Compliance Professional (CRCP) is preferred.

**Specific Skills Required:** Ability to communicate, written and verbal, effectively with people both internally and externally. High degree of accuracy and attention to detail with the ability to handle multiple tasks and meet deadlines. Ability to identify and resolve problems. Organizational and time management skills. Ability to work well independently and with all levels within the organization. Basic computer skills to include proficiency in Microsoft Office products. Able to handle confidential information and positively represent the company.

**Competencies:** Problem solving, strategic thinking, critical thinking, decision making, and strong collaboration.

**System Accesses:** Fiserv Precision, Microsoft Office Suite, etc.

**Equipment Used:** Office equipment which includes computer, multi-line phone system, multi-function unit, etc.

**Working Conditions:** Work is performed in an office environment. Prolonged (90%) sitting and periodic (less than 10% of the time) physical exertion to manually move, lift, carry or push heavy objects or materials weighing up to 50 pounds; Constant and repetitive use of arms and hands below shoulder level for computer usage; This position exists in an office environment requiring the individual to perform normal activities including, but not limited to, lifting, filing, and retrieving, operating office equipment, etc. Frequent travel between locations will be required.

This job description describes the general nature and level of work performed by the employee assigned to this position. Responsibilities and duties describe those functions considered essential to the performance of the job. This description does not state or imply that these are the only duties and responsibilities assigned to the job. The employee may be required to perform other job-related duties as requested by their supervisor. All requirements are subject to change over time, at the discretion of your supervisor, and to possible modification to reasonably accommodate individuals with a disability.

*Union State Bank is an equal opportunity employer. All qualified applicants will receive consideration for employment without regard to race, religion, color, national origin, sex, sexual orientation, gender, identity, age, disability, or status as a protected veteran.*

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