

Position Specification

Financial Institution Audit Senior Manager

The Company

Our client is one of the nation's premier financial institutions providing a wide range of products and services to customers.

The Position

Location

Southwest United States

Overview

The Audit Senior Manager is responsible for helping to ensure the integrity of the Bank's operations and financial information. This role will lead and execute various types of audits for the Bank. These audits include, but are not limited to financial, regulatory and operational audits. The Audit Senior Manager will also be responsible for quality assurance of the Bank's audits, budget planning for the department, audit planning, assessment of overall risk and attending audit committee meetings. Also, this position will be responsible for the day-to-day completion of audit work and for the development of the audit staff and will be responsible for completion of audit reviews and special projects.

Reporting Relationship

The Audit Senior Manager reports to the Executive Vice President of Internal Audit. Reporting to the Audit Senior Manager will be various audit staff and audit management members assigned to the Audit Senior Manager's audits, projects and departmental responsibilities. This person will help to lead the audit staff and audit management through the oversight of internal audits and will be responsible for developing strong relationships with management throughout the organization. The Audit Senior Manager will work across all the functional areas and levels of the Bank, as well as, the Bank's various management committees. Additionally, the Audit Senior Manager will represent the Bank to outside Stakeholders, including, but not limited to customers, vendors (including external auditors) and the various communities the Bank serves.

Responsibilities

- Provides input into strategy setting and policy development impacting Internal Audit.
- Assists the EVP in managing internal audit staff and in the planning, organizing, directing, and monitoring of internal audit operations, including assisting in hiring, training, and evaluating staff, and taking effective actions to address performance matters.

- Ensuring overall quality, consistency, risk management and adherence to department and professional standards for audits, and identifying opportunities for audit process improvement through an ongoing Quality Assurance and Improvement Process (QAIP) program including documentation support.
- Manage complex engagements and actively participate in the completion of fieldwork.
- Drive use of risk-based audit methodologies and computer assisted auditing techniques to test compliance with laws and regulations, other non-regulatory requirements and, Bank policy and procedures.
- Provide guidance to audit staff in identifying root causes, and documenting effective audit findings and recommendations related to the effectiveness or efficiency of internal controls.
- Draft audit reports and communicate results to executive sponsors and process owners.
- Lead the preparation of the annual risk assessment and audit plan.
- Participate in the development and presentation of reports and audit updates for audit committee meetings and bank committees.
- Administer the development and continuous updating of audit methodologies, including audit programs and control self-assessment questionnaires.
- Provide staff performance evaluation, coaching and counseling.
- Maintain current knowledge of changes in bank laws and regulations.
- Extensive understanding of accounting and audit standards including GAAP and GAAS.

Travel

- Day travel to Bank locations (periodically) or overnight (approximately 5%).

The Candidate

Education

- College degree in accounting, finance, business, or other applicable field.
- Master's Degree in business-related discipline is preferred but not required.

Professional Qualifications

- Minimum of seven years' experience working in a bank or financial services internal audit capacity. Previous public accounting or financial regulatory experience would be a plus but not a must.
- Audit Certification Required – Certified Internal Auditor (CIA), Certified Public Accountant (CPA), or Certified Information System Auditor (CISA).
- Good understanding of the Standards and Guidance established by the Institute of Internal Auditors and ability to apply in performing audit duties.
- Strong ability to understand business processes and assess internal controls.
- Excellent verbal and written communication skills including ability to interact with all levels of management and the board of directors.
- Advanced understanding of Microsoft Excel, PowerPoint, Word, and Visio.
- Effective leadership skills to supervise, lead, and develop others.
- Proven track record of success in managing and training an audit team.
- A history of developing/driving improvements.
- Previous experience in managing a team of professionals.

- Must possess personal and business integrity with an energetic style demonstrated by a positive attitude and a strong work ethic.
- Assertive, self-directed and proactive with political wisdom and discerning judgment.
- Superior planning and organizational skills with a strong aptitude for detail. This should be coupled with a polished presentation style.
- Ability to earn the trust of others, be non-political and can couple this with the ability to stand their ground in a positive manner on important matters.
- Strong interpersonal and analytical skills, coupled with the ability to remain independent and be tactful in dealing with conflicts.
- Must have strong planning and organizing skills and must be able to achieve desired business results, facilitate change and lead the audit team in demanding and sometimes challenging situations.
- Personal qualities of integrity, honesty, optimism, confidentiality, discretion, flexibility, adaptability, leadership and patience.

To learn more about this opportunity or provide a confidential referral, please contact:

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Please use this reference code in the subject line of your response:

Reference Code: 274-05_Audit-Sr-Manager_PPI

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