

## Job Description

<b>Job Title:</b>	Manager Internal Control and Business Continuity Management	<b>Reports to:</b>	Head Technology, Operations & Enterprise Projects
<b>Department:</b>	Internal Controls and Business Continuity Management	<b>Division:</b>	Technology, Operations & Enterprise Projects
<b>Grade:</b>		<b>Date:</b>	
<b>Job holder:</b>		<b>Supervisor:</b>	
<b>Signature:</b>		<b>Signature:</b>	

**Job Purpose Statement**

To create and sustain a sound internal control environment and a cohesive culture and approach to Business Continuity Management (BCM) through proactive identification, review and monitoring of key control processes and procedures as well as identifying and reporting any gaps in controls and Business Continuity plans. The role is responsible for monitoring and providing assurance on the bank's ability to adapt, recover or mitigate the impact of significant incidents on its business, customers, employees, shareholders and other stakeholders.

**Key Accountabilities (Duties and Responsibilities)**

<b>Perspective</b>	<b>% Weighting</b> <i>(to add up to 100%)</i>	<b>Output</b>
<b>Financials</b>	10%	<ul style="list-style-type: none"> <li>• Monitor systems to minimise BCM loss events</li> <li>• Protect shareholders value through an improved control environment.</li> <li>• Identify potential areas of income leakage and recommend action plan to block them.</li> <li>• Reduce costs (Expense, Waste and Fraud) by ensuring an effective and efficient control environment.</li> <li>• Keep alert to potential treats such as fraud, theft, embezzlement, defalcation and misappropriation of assets.</li> </ul>
<b>Internal business processes</b>	65%	<ul style="list-style-type: none"> <li>• Participate in the formulation and implement the strategic roadmap for Internal Control and BCM.</li> <li>• Perform scheduled reviews and detect control failures with suitable Root Cause Analysis (RCA) and issue timely exception reports with recommendations for required action. Oversee and provide quality control of internal audits within the bank and ensure goals are achieved and professional standards maintained.</li> <li>• Present any relevant board papers in furtherance of improvement of audit department continuously challenging methodology and mode of operation.</li> </ul>

		<ul style="list-style-type: none"> <li>• Establish Control Assurance Program metrics to measure ongoing quality of business processes and controls.</li> <li>• Support the execution of the Bank's risk assessment and scoping activities to ensure proper risk identification, process mapping and controls linkage for a sustainable internal control framework</li> <li>• Evaluate the design of internal controls and make recommendations for improvement and mitigation of control breaches.</li> <li>• Closely follow up and ensure timely closure of internal and external audit findings.</li> <li>• Develop and maintain a live BCM program for all departments that is in line with regulatory requirements and best practice.</li> <li>• Ascertain that appropriate BCM capability, including Technology is put in place to support the business continuity requirements.</li> <li>• Conduct routine review audits of physical security over assets and computer facilities; evaluate the adequacy of logical security access and environmental controls to assure continuity of operations.</li> <li>• Coordinate and guide the formulation of functional BCPs and Business Impact Assessments (BIA) and conduct annual and periodic reviews.</li> <li>• Implement BCM operational plans, programs and procedures and ascertain that the results reported are consistent with established objectives in line the policy.</li> <li>• Review Work Papers to ensure adequacy of testing and coverage, appropriateness of conclusions and the quality of documentation.</li> <li>• Ensure that operational policies, processes and procedures are current and up-to-date and where applicable, propose recommendations for amendments.</li> <li>• Establish a formal reporting and feedback process to provide findings to internal and external stakeholders</li> <li>• Conduct training and awareness sessions to cultivate and maintain a strong internal controls and BCM culture.</li> <li>• Perform other assigned duties and tasks allocated from time to time by the Department Head.</li> </ul>
<b>Customer</b>	15%	<ul style="list-style-type: none"> <li>• Develop and agree service levels (SLA) with internal customers.</li> <li>• Drive customer satisfaction through ensuring timely implementation of business continuity plans established to support business SLA's and provide prompt feedback on internal customer queries.</li> </ul>

		<ul style="list-style-type: none"> <li>Act as an escalation point for complex queries and assist customers resolve problems within the set service levels.</li> <li>Ensure continuous independent performance assessment of all internal service level agreements (SLAs) between Operations, IT Function &amp; Enterprise Projects units and internal customers (business and other operational units) and other key customer service delivery standards providing timely input for improvement</li> </ul>
<b>Learning and growth</b>	10%	<ul style="list-style-type: none"> <li>Develop and agree on an annual basis, individual and team performance objectives, standards and targets</li> <li>Train, coach and mentor talent to develop capacity to adequately and effectively perform Internal Controls &amp; Business Continuity management activities/tasks.</li> <li>Ensure achievement of at least 40 hours of learning/training for both self and direct report through E-learning, Internal &amp; External training activities.</li> </ul>

**Job Dimensions**

<b>Reporting Relationships: jobs that report to this position directly and indirectly</b>	
Direct Reports	1
Indirect Reports	N/A

<b>Stakeholder Management: key stakeholders that the position holder will need to liaise/work with to be successful in this role.</b>	
<b>Internal</b> <ul style="list-style-type: none"> <li>All other Departments</li> <li>Other bank staff (internal customers)</li> </ul>	<b>External</b> <ul style="list-style-type: none"> <li>Regulatory Authorities</li> <li>External Auditors</li> <li>Uganda Bankers Association</li> </ul>

<b>Decision Making Authority /Mandates/Constraints: the decisions the position holder is empowered to make</b> <i>(Indicate if it is Operational, Managerial or Strategic). Please also highlight any budgetary control responsibility if applicable for the role.</i>
Managerial <ul style="list-style-type: none"> <li>Methodology and procedures for Control reviews and BCM</li> <li>Reporting of BCM risks and Control gaps to management</li> <li>Follow up with management to complete BCP tests and control gaps identified</li> </ul>

**Work cycle and impact: time horizon and nature of impact (Planning)**

(e.g. Less than 1 week, 2 weeks, 2 weeks – 1 month, 1month – 3 months, 3-6 months, 6-12 months, above 1 year)

- Carry out periodic Quality Assurance reviews. (Daily, Weekly, Monthly, Quarterly and annually.
- Review and testing of bank systems

**Ideal Job Specifications**

Academic:

- A Bachelor's Degree in a relevant field
- Relevant Business Continuity Management Certification. Professional:

Desired work experience:

- At least four (4) years' working experience in Internal Controls, BCM or related field.
- Over 5 years' experience in Banking.

**Role-holder must have exposure in: -**

- Operations preferably at a Central Operations Unit level
- General Banking Operations
- Experience of a service environment
- A good understanding of all core processes and knowledge of regulatory and statutory requirements
- Prior experience in developing and monitoring achievement of Service Level Agreements
- Previous handling of Operational risk issues
- Previous experience in leading a team with proven record of achievement of targets, goals and objectives
- Practical Knowledge of BOU guidelines on BCM and best practice standards

**Ideal Job competencies**

<b>Technical Competencies</b>	
<b>Operations Management Skills</b>	Excellent Knowledge of Banking Operations & Procedures and a good understanding of best practices in an Operations environment. Technical skills to effectively perform and/or guide performance of Business Continuity management activities/tasks in a manner that consistently achieves high quality standards or benchmarks.
<b>Technology Skills</b>	Computer literate with proficiency in MS office applications
<b>Industry knowledge</b>	Excellent knowledge of UBA/BOU rules and regulations. Manager Internal Controls and Business Continuity Management

<b>Behavioural Competencies</b>	
<b>Problem Solving Skills</b>	Ability to handle and resolve problems of an operations nature. Knowledge and experience in modern Business Continuity management practices to initiate and implement tactical changes to support business performance.
<b>Personal Ethics</b>	Must operate and practice within the professional code of conduct, be honest, with self and colleagues.
<b>Communication Skills</b>	Good written and verbal communication and presentation skills
<b>Interpersonal Skills</b>	Must be able to effectively communicate with and manage customer expectations (internal and external), and other stakeholders who impact performance.
<b>Goal Driven and Results Oriented</b>	Enjoys being measured, and being judged by performance results Self-empowerment to enable development of open communication, teamwork and trust that are needed to support performance and customer-service oriented culture.