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| **Job Title:**  QA & Forensics; CASS Office | **Business:**  ?? | | | **Division:**  ?? |
| **Grade/Level:**  SVP | **Reporting to:**  CF10a, Sean O’Connor | | | **Location:**  London, Canary Wharf |
| Job Description | | | | |
| **Job Purpose:**  *To assist senior CASS Office stakeholders in ensuring the adequacy of oversight and governance arrangements for the Citi UK regulated entity’s compliance with the FCA Client Money and Asset rules (“CASS”)*  *To lead a team in carrying out Citi’s CASS quality assurance programme to ensure the adequacy and effectiveness of controls in place to ensure CASS compliance*  . | | **Job Background/context:**  The current CF10a Function has been re-structured as a Function dedicated to Citi’s three UK regulated entities’ compliance with CASS.  The CF10a Function has been realigned, effective as at 1 January 2013, to report directly to the Chief Administration Officer and to Citi’s Governance Committee/Audit Committee. As part of this realignment, a new CASS Office will be created to support the CF10a in the discharge of his responsibility for the UK regulated entities’ compliance with the FCA CASS requirements.  The CASS Office will consist of three teams, each led by a Director reporting to the CF10a. The three teams will be:   * CASS Advisory; * CASS MIS & Governance; and * CASS Quality and Assurance & Forensics   The SVP role(s) within the CASS QA& Forensics team of the CASS Office will be to:   * Assist the Director, QA & Forensics with the overall risk analysis of the business/functions leading to the development of the QA monitoring programme * Effect delivery of the CASS quality assurance programme; and * Investigate and report on the root cause and the CASS impact of BAU issues | | |
| **Key Responsibilities:**   * Role is to assist the Director, QA & Forensics with the overall risk analysis of the business/functions leading to the development of the QA monitoring programme and to investigate and report on the root cause and CASS impact of BAU issues identified * To evaluate Function and/or cross Functions to be reviewed and ensure that CASS risks are assessed and that QA plans and programs are developed that are best suited to the circumstances. The plans will highlight and define the various areas and / or processes that need to be reviewed and assessed, with the programs specifying in greater detail the approach and testing tools that will be used * To ensure the field work phase of the assignment is completed according to plan, that results are tabulated accurately that a well-written report is produced that states clearly the level and adequacy of CASS compliance of the reviewed areas, having taken into account how processes fit within and affect the business/Function/area as a whole. * To manage the work of the QA & Forensic team in the field and ensure work is performed to a professional standard * To support the Director in internal review planning, follow-up reporting and quality assessment * To ensure key controls of a given system are identified, assessed and tested as part of the QA programme and to report on the design and operating effectiveness of business and operational controls for the compliance with CASS requirements * Ensure results from QA testing are evaluated given consideration to the application of CASS rules to technical and operational controls; * To ensure sufficient evidential data is gathered analysed, and appraised as a basis for an informed, objective view on the adequacy and effectiveness of the system and controls for the compliance with CASS of the activities being reviewed * To provide assurance to the Director, CF10a and senior Citi management on the results of QA programme recommendations by tracking, documenting and reporting on the results of the Business/Function’s action plans * Review work of junior staff, ensuring quality in compliance with professional standards/requirements * Be enthusiastic in training, supervising and coaching staff in the CASS Office and in the Business on effective design of controls and application to CASS compliance * To promote the work of the QA & Forensics team, the CF10a role and the CASS Office * To engage fully with staff in the CASS office to ensure team members feel involved, committed and energised. * Have a clear understanding of the overall direction and objectives of the CASS Office and of the teams within including their job and where/how needed outcomes fit within the CASS Office and the wider Citi strategy * Work with the CF10a and CASS Office directors to develop an agreed common process for goal setting, evaluation, feedback, and accountability that lets CASS Office staff know how they are performing against clearly articulated expectations. This process must provide opportunities for continuing staff technical and personal development within the team and across teams * To keep abreast of developments in auditing techniques, good practices and changes in CASS rules | | | | |
| **Person Specification** | | | | |
| **Knowledge/Experience:**   * Minimum five years of experience in banking and/or operational risk & control * Good understanding and knowledge of the practical application of the rules set out in CASS * Minimum six years of audit experience in a Big 4 accounting firm | | | **Skills:**   * A good understanding of CASS rule requirements and their application to operational processes * Sound working knowledge of Investment Banking and Private Banking, both products and operational processes * Strong interpersonal and influencing skills, with the ability to establish credibility and strong partnership with senior business/compliance partners * Have good organisational skills with an ability to manage, prioritise, work under pressure and meet tight deadlines * Be comfortable interacting with, and presenting to, senior management in the CASS Office and other senior business management and control functions * Demonstrate clear and concise verbal and written skills * A proven track record in managing a team of individuals * Expect to travel to other location on occasion as required | |
| **Qualifications:**   * Educated to university degree level * Related certification required (CPA, ACA or similar) * Interntional work experience preferred * Exceptional candidates who do not meet these criteria may be considered for the role provided they have the necessary skills and experience | | | Competencies  * Be a team player, able to work with other team members across the CASS Office * A good communicator who can clearly articulate what needs to be done and the expected outcome | |