

GLOBAL JOB PROFILE



Personal Details		
Job Title: SOX Manager	Division: Risk Management	Department: Operational Risk Management
Job Holder:	Grade/Level: Vice President	Location: St Louis
Reporting Structure: (Functional) Name: Title:	Reporting Structure: (Hierarchical) Name: Shannon Hagrman Title: Regional Head – 2LOD control testing	No. of Reports: Direct: 0 Indirect: 0
Version Number:	Date: March 28 th ,2018	Full or Part-time Status: Full

Job and Context
<p>Job Overview/Purpose:</p> <p>The Integrated 2nd Line of defence (2LOD) control testing team is responsible for the independent 2nd line testing of operating effectiveness of key-controls within the Risk Control Framework across the various non-financial risk oversight areas. The results of the 2nd line testing activity will be made available to risk and control owners and the relevant second line monitoring oversight functions (Compliance, Operational Risk, Finance & Control, Tax and Legal) for them to follow up on the testing results.</p> <p>The SOX Manager is a part of the integrated North America 2LOD control testing team and has responsibility for the SOX testwork (Design and Operating effectiveness testing). The SOX Manager is expected to work closely with the Global SOX team in the Netherlands, internal and external auditors, and all stakeholders to ensure a strong control environment. The SOX Manager may be required to participate in other (non-SOX related) 2LOD control testing when needed.</p> <p>The stakeholders and departments that the North America 2LOD control testing team supports and interacts with, are in St. Louis and New York. In order to ensure adequate coverage, this position requires travel (approximately 30%).</p>
<p>Context of Job:</p> <p>The Integrated 2nd Line control testing team is part of the Operational Risk Department and globally part of the Wholesale Rural and Retail (WRR) Integrated 2nd Line control testing function.</p> <p>The global Integrated 2nd Line control testing team is envisaged to grow over the next two years to an international team with staff both in Head Office and on location in the respective regional teams. The team provides an independent assessment of the control effectiveness of the key-controls and to support the improvement of the risk position worldwide for WRR. In the next year(s) the team will also have an important role in the implementation of the Risk Control Framework (RCF) and ARCHER with regard to integrated 2nd LoD testing.</p> <p>Due to the nature of the activities conducted within the function, employees from the Integrated 2nd Line control testing team have frequent interaction with employees in all Business units, 2nd Line Oversight functions and Audit.</p> <p>The SOX Manager will mainly be responsible for the SOX program and will help with the overall 2LOD control testing program.</p>

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Authorisation/Sign-Off Levels:

N/A

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<p>Job Requirements</p>
<p>Key Responsibilities and Accountabilities:</p> <ul style="list-style-type: none"> • Support management with strengthening the control environment • Risk & control identification and assessment • Monitoring of key indicators and analysis • Process and control mapping • Design Effectiveness Testing – including walkthroughs, talkthroughs, deficiency identification • Operating Effectiveness Testing – including testwork / documentation of test scripts, and deficiency identification • Work closely with Global SOX team, Internal Audit, and business line to ensure the timely resolution of exceptions and remediation plans •
<p>Key Relationships:</p> <ul style="list-style-type: none"> • Internally: working with stakeholders from business lines and support departments that are deemed to be in scope for SOX • Externally: liaising with the Global SOX team and consultants retained for SOX audit, as well as coordinate with management self testing of key controls. • Globally: with our SOX peers in Head Office and other regions
<p>Key Performance Indicators:</p> <ul style="list-style-type: none"> • Advice to management and internal stakeholders regarding risks and controls. • Successful completion of process walkthroughs and test scripts • Meet established deadlines for DET/OET testing and reporting • Stay within SOX testing budget • Maintain strong internal and external relationships

<p>Job Specifications</p>	
<p>Core Competencies:</p> <ul style="list-style-type: none"> • Ability to communicate (both verbally and written) to senior management, HO, auditors, and business / line managers across the organization • Team Player • Hands on management of processes • Time Management and Organization Skills • Relationship Management and building consensus across the organization • Ability to identify risks and their mitigating controls across processes • Strategic thinking related to process improvement 	<p>Job Skills and Knowledge:</p> <p>Essential:</p> <ul style="list-style-type: none"> • Experience with managing SOX programs • Knowledge of bank lending/trading processes • Must be able to analyze and document a product / process in detail and logically identify the most significant risks and controls • Clear and effective communication (written and verbal) • Ability to work independently with minimum oversight • Usage of Excel, Word, Powerpoint • Project Management <p>Desirable:</p> <ul style="list-style-type: none"> • Internal Audit • Visio
<p>Development Value:</p> <ul style="list-style-type: none"> • Ability to effectively manage SOX, and possess the abilities/skill sets to eventually 	<p>Qualifications:</p> <p>Essential:</p> <ul style="list-style-type: none"> • Minimum of 5 years working experience in the financial sector.

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<p>manage the more broader Operational Risk program.</p> <ul style="list-style-type: none">• To act on a consultative capacity by providing risk management expertise and recommendations for control improvements across the organization.	<ul style="list-style-type: none">• Minimum Bachelor's degree, preferably in a business related concentration <p>Desirable: CPA or equivalent</p>
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