



Job Title:	Audit Senior Associate	Reports to:	Senior Manager, Credit, Remedial and Legal Risk Audit
Unit:	Internal Audit Department	Department:	Group Corporate Governance
Grade:	Band 4 – Assistant Manager	Date:	
Job holder:		Supervisor:	
Signature:		Signature:	

Job Purpose Statement
The purpose of this role is to conduct audit assignments, with a view to assess adequacy of the internal control systems, regulatory requirements; and highlight any exceptions or violations.

Key Accountabilities (Duties and Responsibilities)		
Perspective	% Weighting <i>(to add up to 100%)</i>	Output
Audit Planning	10%	<ul style="list-style-type: none"> Participate and contribute in the risk assessment process for target audit areas and document results, as guided by the Senior Manager, Credit, Remedial and Legal Risk Audit. Plan, scope and budget individual allocated activities to ensure completion within agreed schedule, ensuring all risks in the assigned auditable areas are fully addressed.

Audit Management & Execution	60%	<ul style="list-style-type: none"> • Assist to manage and align assignment resources, efforts and goals; identify and remove barriers in order to achieve optimal results. • Prepare work papers in line with audit standards ensuring proper identification, development, and documentation of audit issues and recommendations using independent judgment. • Draft suitable reports on the areas audited that present findings, recommendations and management responses on key control weaknesses, non-compliance with procedures and management policies and regulatory requirements, among others, • Assist in follow up and disposal of cleared audit issues logged from previous audits. • Guide/undertake consulting activities, as may be requested, in accordance with professional standards and provide sound advice on policies, procedures, risks and controls. • Undertake to assist in investigation of cases of internal and external fraud, as requested.
Internal business processes	10%	<ul style="list-style-type: none"> □ Strong collaboration with other lines of defence to provide integrated assurance. □ Review procedures, processes and records to ensure they are in line with the Bank objectives and appraise policies and plans of activities, departments and functions under audit review. □ Work with the external auditors and other regulatory monitoring agencies to facilitate gathering of required information.
Customer	10%	<ul style="list-style-type: none"> □ Establish and maintain relationships with key business owners and functional departments. □ A unified view of risks and compliance to drive informed decisions.
Learning and growth	10%	<ul style="list-style-type: none"> □ Continuously improve knowledge and learning to ensure conversant with current standards and practices within the profession. □ Teamwork, coach / mentor, develop and motivate internal audit team members. □ Identify development and training needs and develop plans to satisfy areas identified.

Job Dimensions

Reporting Relationships: jobs that report to this position directly and indirectly	
Direct Reports	-
Indirect Reports	-

Stakeholder Management: key stakeholders that the position holder will need to liaise/work with to be successful in this role.

Internal

- Departmental Heads – for guidance and solutions to emerging problem areas
- Senior management

External

- External auditors, CBK inspectors - for clarification and support

Decision Making Authority /Mandates/Constraints: the decisions the position holder is empowered to make (Indicate if it is Operational, Managerial or Strategic). Please also highlight any budgetary control responsibility if applicable for the role.

- Giving guidance and advice on the impact of non-compliance with controls and statutory regulation on the Bank.

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)

- Daily and Monthly reporting targets

NCBA Bank Core Value Behaviours (Performance Drivers)

- Driven ▪ Open
- Responsive
- Trusted

Ideal Job Specifications

Academic:

- A University graduate Professional:
- CPA (K)/ ACCA qualifications
- Working towards CIA qualification Desired work experience:
- 3 years' experience of auditing or enterprise risk management in an external audit/ Banking environment.
- Good working knowledge of the TeamMate audit software and ACL Data Analytics.

Ideal Job competencies

Technical Competencies

	<ul style="list-style-type: none"> ▪ <u>Risk Management</u>: Ability to anticipate and mitigate risk by developing appropriate Risk Management recommendations. ▪ <u>Audit Standards and Legislations</u>: Excellent knowledge of International Accounting and Audit Standards, and Legislations ▪ <u>Compliance and Regulatory Framework</u>: Good understanding of the regulatory issues, reporting and operational requirement as provided by CBK, CMA, KRA etc. ▪ <u>Conceptual and Analytical Skills</u>: Ability to quickly grasp and understand systems and keen to detail ▪ <u>Technology Skills</u>: Knowledge of computerized Internal Audit Techniques, Computerized accounting and financial systems, banking applications and spreadsheets
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Behavioural Competencies	
	<ul style="list-style-type: none"> ▪ <u>Results and Achievement Oriented</u>: strives to achieve results, enjoys measuring others, being measured, and being judged on performance standards and those of others he leads ▪ <u>Personal Ethics</u>: Must be honest, fair, just but firm with himself, and of high integrity ▪ <u>Communication and Interpersonal Skills</u>: well developed oral and report-writing skills, ability to work with, lead and build motivated teams ▪ <u>Team work</u>: Influence others to collectively work as a team to achieve a set objective

This JD is signed-off with reference having been made to the organisation's core values and aligned competencies against these values.