



SECTION I: BASIC INFORMATION			
Job Code		Cost Center	
Job Title		Functional Title	
Grade		Management Band	
Business Unit	Financial Management	Division	
Department	Financial Management	Location	Mumbai, India
Reporting to	VP- Financial Management Group (Internal Financial Controls)	No. of Direct Reports	

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SECTION II: ABOUT YES BANK			

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SECTION III: ROLE SUMMARY	
<p>Responsibilities for this role include but are not limited to Financial statement substantiation/proofing of accounts and facilitate in strategically enhancing the substantiation and control framework to mitigate reporting risks with respect to Financial Statements involving close coordination with business functions, operations group and technology team.</p> <p>Financial statement substantiation is the control process conducted by FINMGT - IFC Team on a pre-defined interval to confirm that the balances forming a part of financial statement which are held in the primary accounting system of record are reconciled with the balance and transaction records held in the same or supporting underlying sub-systems.</p> <p>Account substantiation is classified into 2 major categories -</p> <p>1) Balance sheet general ledger account - Balance sheet accounts in the business unit general ledger and associated sub ledgers are substantiated (i.e. analytical review performed) on a pre-defined frequency and Material reconciliation differences are investigated.</p> <p>2) Income statement general ledger account - Income statement account in the business unit general ledger and associated sub ledger are substantiated (i.e. analytical review performed) on a monthly basis and Material reconciliation differences are investigated.</p> <p>Substantiation is required to ensure that the completeness, validity, accuracy (henceforth addressed as CVAP principles) of the data, balances and transactions within the general ledger, associated sub ledgers and financial reporting disclosure.</p>	

SECTION IV: KEY RESPONSIBILITIES/ ACCOUNTABILITIES	
Strategic/ Managerial Responsibilities	Drives substantiation process qualitatively and supports in augmenting controls improvements and process automation.
Core Responsibilities	<ul style="list-style-type: none"> ▪ Accountability for substantiation/proofing of assigned Financial statements general ledger accounts on a timely basis to a high standard ▪ Perform self-review and identify key risks and improvement opportunities ▪ Responsible for the follow up and resolution of reconciling items (reconciliation exercise is the ownership of respective business units) for scoped in general ledger accounts. ▪ Responsible for the accurate reporting and timely escalation of the status of the substantiation/proofing activity to inline reporting manager ▪ Escalate any other issues to line manager and avoid any unfavorable impact on process delivery. ▪ Maintaining high quality standard operating procedures



People Management Responsibilities	<ul style="list-style-type: none"> ▪ Connecting with various account owners or input providers for proofing/submissions within given deadline ▪ Communicating with various input providers across multiple locations on the status/gaps of the reconciliations performed ▪ Proactive Stake Holder Management

SECTION V: KEY INTERACTIONS

Key Internal Interactions	Purpose of Interaction
Top Management	Not pre-defined, As warranted.
Key External Interactions	Purpose of Interaction
RBI	Not pre-defined, As warranted.
Investors	Not pre-defined, As warranted.

SECTION VI: KNOWLEDGE & EXPERIENCE

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KNOWLEDGE	
Minimum Qualifications	
Professional Certifications	
Language Skills	<ul style="list-style-type: none"> ▪ Written and spoken English is essential
EXPERIENCE	
Years of Experience	
Nature of Experience	

SECTION VII: COMPETENCIES & KEY PERFORMANCE INDICATORS

BEHAVIORAL COMPETENCIES		
	Competency Name	Behaviors
Core Competencies	<ul style="list-style-type: none"> ▪ Customer Focus 	Stakeholder management
	<ul style="list-style-type: none"> ▪ Professional Entrepreneurship 	Takes charge of own training needs
	<ul style="list-style-type: none"> ▪ Drive for Results 	Provides high quality updates and problem resolution over formal channel (emails)
	<ul style="list-style-type: none"> ▪ Influence and Impact 	Must be able to work in a fast-paced environment
	<ul style="list-style-type: none"> ▪ Quality Focus 	Takes pride of ownership with the ability to deliver high quality results on time
	Competency Name	On Behaviors



Leadership Competencies	N/A
TECHNICAL COMPETENCIES	
Technical Competencies	<ul style="list-style-type: none"> ▪ Ability to assess the design and operating effectiveness of key financial controls through walk troughs and business understanding, ▪ Experience and knowledge of IGAAP, Companies act 2013 and accounting standards ▪ Understanding of Banking policies, practices and offerings by banks. ▪ Proficiency in Microsoft Office suite (Excel, Access, PowerPoint, Word, Visio), advance levels of Excel (pivot tables, formulas, excel workbook maintenance best practices) is a mandate ▪ Strong Analytical skills ▪ Very Strong communicator (oral / written) ▪ Proactive updation and Stake Holder Management ▪ Ability to work independently and meet timelines ▪ Ability to use own initiative to resolve issues ▪ Ability to communicate effectively across all levels

• **Job Description-** Internal Financial Controls/ Financial Planning & Analysis

• **Name of the position-** Deputy Manager / Manager

• **Eligibility criteria-** 0- 6 years of experience

• **CTC p.a. :-** 6 L - 8 L (As per Banking Standards)

• **Job location :-** YES BANK House, Mumbai

Position	Corporate Accounting
Approximate age bracket and band	
Reporting to	TL
Objective	<ul style="list-style-type: none"> • Assisting in the Preparation of monthly financials and profit forecast and tracking the same for the final achievement.
Responsibilities	<ul style="list-style-type: none"> • GL analysis for expenses management* • Ensure timely completion of audit procedures and liasoning with other departments to ensure the smooth year end and quarterly audit by Statutory Auditors and issuance of unqualified report/ opinion * • Ensuring all accounting standards and guidance notes issued by ICAI and RBI regulations for accounting and financial reporting are followed. • Financial Audit. • Ensure that RBI reports are sent on time and accurately. • Deciding the accounting entries for new products or revision in existing products. *



	<ul style="list-style-type: none"> • Bring to the Management notice new developments vide RBI circulars and ICAI accounting framework. • Developing GL control & analytics. • P&L analysis, MIS on NIMs, spreadsheets etc
Qualifications and relevant experience	CA with 3-4 yrs of relevant work experience

BU/Function	Internal Audit
Responsibilities/ Job Description	<ul style="list-style-type: none"> • Independently conduct branch audits. (Will involve regular travelling). • Participate in audits of various Businesses with particular emphasis on Product / Operations audits. • Assist in Planning, designing and implementation of risk based audit plans to ensure safety and soundness of the Bank. • Ensure completion of assigned audits and documentation of work papers on time. • Track status of issues reported. • Assist in keeping relevant processes benchmarked to Best Practices and peer banks. • Assist in keeping Audit Procedure Manual and checklists current and updated. • Devise audit checklists for use of internal/concurrent Auditors and test products along with processes/procedures to foresee pitfall and bottlenecks and ensure these are audited/resolved. • Provide improvement/ suggestions to existing process / systems to line management • Provide oversight to the Concurrent Audit process. <ul style="list-style-type: none"> ➤ Ensure submission of concurrent audit reports on time ➤ Ensure regular update of concurrent audit checklists ➤ Ensure appropriate review of concurrent audit issues



➤ Ensure follow-up & rectification of concurrent audit issues

CTC p.a. :- 6 L - 8 L (As per Banking Standards)

