

VACANCY FOR:

COMPLIANCE AND INTERNAL CONTROL MANAGER

JOB TITLE:

Compliance and Internal Control Manager

REPORTS TO:

Directly (solid line): Board Finance & Audit Committee, CEO
Indirectly (for certain tasks): COO, Chief Risk Officer (or nearest equivalent)

JOB SUMMARY:

To be responsible for identifying, measuring, monitoring and reporting of operational risks, internal control and compliance related functions within the Company.

RESPONSIBILITIES:



INTERNAL CONTROL AND OPERATIONAL RISK

- Coordinate the RCSA process with inputs from all departments and ensure compliance
- Coordinate all interfaces between members of staff and the Internal audit team, as required, in connection with all internal control and internal audit matters
- Advise the management on the governance implications of proposed policies and coordinate the review by external consultants on all internal policies

- Evaluate the adequacy of process design and the effectiveness of controls in meeting business and control objectives. Identify and document control and process weaknesses and provide evidential support for findings.
- Ensure that the internal audit activity maintains its independence and objectivity.
- Propose practical and value-added recommendations to address control weaknesses and/or process inefficiencies.
- Plan, initiate and promote measures for minimizing losses.
- Ensure adequate policies and mitigation measures are in place to minimize operational risks.
- Carry out all internal control related functions including evaluating the control environment using agreed criteria.



COMPLIANCE AND MONITORING

- Design, implement and administer KYC/client identification policies and procedures, and ensure compliance with AML/CFT legislations.
- Develop and oversee systems that ensure compliance with operating policies, applicable codes, legal and statutory requirements.
- Conduct counterparty reputational/integrity due diligence procedures.
- Advise the Company on compliance with all aspects of its Covenants with capital providers, CAMA, and other applicable laws and regulations.

- Conduct Credit Bureau checks, prepare and share credit reports with the O&S team.
- Provide guidance to ensure that the company, its staff and management comply with internal policies.
- Proactively ensure compliance with applicable statutes, regulatory rules and regulation.
- Limit the company's exposure to legal/reputational/regulatory risks.
- Monitor changes in relevant legislation and the regulatory environment, and take appropriate action, including briefing the team.
- Ensure good standing of InfraCredit with regulatory authorities.
- Ensure compliance with contractual obligations and covenants, e.g. under the CCFFA, etc.
- Coordinate CP satisfaction process for guarantee transactions.
- Coordinate post-closing/post offer compliance and monitor client compliance with guarantee document covenants.
- Oversee maintenance of up-to-date legal records, transaction files/documents and conduct periodic audits.
- Confirm compliance with environmental and social policies.
- Provide support as required to the Chief Risk Officer (or nearest equivalent) in the Credit Risk functions.
- Perform other duties as assigned by the Chief Executive Officer.



QUALIFICATION AND EXPERIENCE:

Candidates for the role should possess the following qualifications:

1. Minimum of 7 years of proven experience within a reputable corporate institution, preferably in the financial services sector with at least 4 years' experience in compliance or internal control.
2. Full comprehension of the influences of the external environment of a corporate organisation.
3. High degree of professional ethics and integrity.
4. Sound judgement and ability to analyse situations and information.
5. Strong organisational skills and the ability to manage time and work activities effectively in a fast-paced environment.
6. Outstanding communication skills, with an ability to engage effectively with key stakeholders including bankers, clients, internal peers, inside/outside counsel, rating agencies, etc.
7. Flexibility and excellent interpersonal skills.
8. Professional, enthusiastic attitude, team player.
9. Mastery of MS Office Suite, including Word, Excel, PowerPoint, etc.



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