

# United Arab Emirates Jobs Expertini®

**Compliance Governance & Monitoring Manager United Arab Emirates Posted on 12/22/2022 Trending**

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Company: Abu Dhabi Islamic Bank PJSC

Location: united arab emirates

Category: other-general

Role :

Compliance Governance and Monitoring Manager

Location : Abu Dhabi

Role Purpose:

The jobholder will support the Compliance Governance & Assurance (CGA) department to achieve its objectives in providing effective oversight over the development and dissemination of the Group Compliance program. This will include support in tracking policies and procedures, training strategy, resource management, MI and reporting, vendor management, budget coordination, information security and Business Continuity liaison.

This role also will support the Primary Business Operational Risk Management (BORM) for GCD by acting as the secondary BORM, which includes issues management, incident reporting, compliance risks library, KRIs in GRC system and Risk & Control Self-Assessment (RCSA) controls testing.

The jobholder will also support the Group-wide Compliance Monitoring and Assurance Testing (CMAT) function which applies a risk-based approach to monitor and test the First Line of Defense activities related to compliance risks.

CGA unit provides a shared service to the other units within GCD, specifically the Financial Crime Compliance (FCC), Regulatory Affairs Unit (RAU), International Branches Compliance (IBG Compliance) and the offshore Compliance Operations Center (COC).

## Key Accountabilities of the role

### Strategic Contribution

Ensure effective implementation of the Group's Compliance strategy within the team's remit.

### Compliance Governance

Maintain custody of the Group Compliance policies and procedures and oversee their dissemination.

Provide support in obtaining relevant approvals for dispensations and deferrals request received from Business units and support functions.

Maintain the up-to-date compliance risks library.

Support in organising regular GCD Business Risk & Compliance Committee (BRCC) meetings.

Take supporting notes and meeting minutes and provide updates on GCD actions arising out of governing forum meetings.

Coordinate with various GCD unit heads and collate relevant compliance MI/dashboards on a timely basis for submission to various Management and Board Committees such as Business Risk & Compliance Committee (BRCC), Controls & Compliance Committee (CCC), Board Governance & Risk Policy Committee (GRPC) and Board Audit Committee (BAC).

### MI & Administration

Respond to queries from the audit team and implement recommendations for the CGA unit.

Lead Group Compliance (including branches, subsidiaries, and international locations) MIS strategy, including (but not limited to) the reporting framework, which entails developing and maintaining leading compliance reporting standards, templates, processes, and management information systems.

Review processes to identify opportunities to streamline and further automate the preparation of MI reports where possible.

Coordinate with Compliance colleagues to validate the information provided and maintain documentary evidence and emails to support the data presented in the compliance reports and dashboards.

Prepare trend analyses and dashboards to support the Global Head of CGA in identifying root causes of compliance issues.

Monitor compliance KRIs, liaise with compliance Colleagues across the Group to track actions and report the closure of findings raised by internal/external auditors and regulators.

Act as a central point of contact for reporting of self-identified compliance incidents/issues/breaches across the Group.

Report and log compliance specific breaches/issues in the GRC system.

#### Budget Tracking and Vendor Management:

Prepare Forecast for Annual and Midyear Budget

Consolidate the GCD's budget in consultation with the Compliance unit heads and monitor adherence to the approved budget.

Track deviations in actual spend versus forecast through obtaining

monthly expense summary from Finance

#### Secondary Business Operational Risk Manager (BORM):

Perform the responsibilities of Secondary BORM to safeguard ADIB's reputation from Regulatory Compliance Risk by ensuring Compliance across First Line and Second Line of Defense through Key Risk Indicators, Issue Management, Risk and Control Self-Assessment and perform quarterly control testing and submit results in GRC system.

#### Compliance Monitoring & Assurance Testing (CMAT)

Support the risk based CMAT planning process for both UAE and IBG which is overseen by the Head of CGA. This will include starting the annual planning process and the quarterly refresh, maintain the trackers up to date, and liaise with key stakeholders to manage any change in plan while maintaining an accurate audit trail of all changes with rational and supporting evidence.

Support in maintaining and updating the CMAT policies and methodology, working papers and templates.

Perform Monitoring & Testing activities including leading reviews in UAE and IBG countries (When required).

Support the evaluation of the adequacy, quality and effectiveness of the name screening and transaction monitoring alerts and case closure.

Perform quality assurance on the completed CMAT reviews to ensure the reviews are completed as per CMAT Methodology.

Use the quality assurance results to share best practice and to highlight any gaps or training needs.

Support the Assurance training /coaching requirements.

Provide analysis of relevant CMAT data to help inform business decisions, action plans and any required enhancements.

Information security and Business Continuity liaison

Act as the coordinator for Information security and Business Continuity requirements within the GCD.

Specialist Skills / Technical Knowledge Required for this role:

Bachelor's degree in business studies, law, accounting, economics or commerce, or specific training in risk management.

Minimum of 8 – 10 years banking experience with 5 years in Compliance or Control function.

Strong understanding of the Compliance Risks and Controls with previous experience in working in Compliance or Control function

Previous experience in performing Assurance activities in Regulatory and Financial Crime Compliance

Good exposure to MIS reporting, data Analysis, MS Excel, MS PowerPoint, and pivot table.

Understanding of statistics and business trend analysis

Strong peer and senior stakeholder's communication and management skills

Good presentation skills

Ability to perform innovative thinking to solve complex problems with no established precedence while balancing risk, speed, and accuracy

Ability to be a self-starter and work independently as well as part of a team

Analytical mind, good communication and self-motivated, detail oriented

Fluent in English (Ability to read and communicate in Arabic Language will be an added advantage)

Previous experience required (if any)

Minimum of 8 – 10 years banking experience with 5 years in Compliance or Control function.

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