

JOB ADVERT

JOB DESCRIPTION

Job Title	RISK AND COMPLIANCE OFFICER
Current Job Grade	N/A
Department	RISK AND COMPLIANCE
Section / Unit	RISK AND COMPLIANCE
Location/Work Station	HEAD OFFICE - NAIROBI
Reporting Relationships	
Reports to	Head of Legal, Compliance & Company Secretary
Direct Reports	N/A
Indirect Reports	N/A
Job Purpose	
The purpose of the role is to establish and maintain mechanisms and systems of internal control to assist management in meeting legal, regulatory and supervisory obligations and to promote and sustain a sound compliance culture. This includes ensuring legal and regulatory compliance implications are integrated into material strategic, financial, and operational decisions.	
Key Responsibilities/ Duties / Tasks	
I. Managerial / Supervisory Responsibilities	
TBA	
II. Operational Responsibilities / Tasks	
<ul style="list-style-type: none"> a) Establish and maintain an effective regulatory compliance framework that includes a regulatory compliance strategy and appetite. b) Ensure employees undergo training on regulatory compliance obligations. c) Implement and maintain compliance risk indicators and performance measures for monitoring the levels of compliance risk being incurred by the business in relation to the defined appetite limits. d) Implement and maintain compliance risk indicators and performance measures for monitoring the levels of compliance risk being incurred by the business in relation to the defined appetite limits. 	

- e) Oversee compliance control adequacy and effectiveness, mitigating management actions and exposure versus appetite limits and identify operating model deficiencies and capability gaps.
- f) Meet regulatory obligations applicable to the function and be aware of key issues and concerns raised by regulators, while coordinating regulatory interaction where necessary. Oversee the timely submission of all regulatory applications and returns by the business.
- g) Advise Management from a compliance perspective on strategic decision-making and business planning objectives to ensure they fully understand the implications of decisions being taken and possible mitigating actions to limit compliance exposures.
- h) Advise the business on the design and implementation of compliance controls and related mitigation processes, projects and change programs. The provision of such advice may not compromise the principles of 1st Line compliance ownership and 2nd Line independence.

Job Dimensions:

Role makes:

- *Analytical decisions - reviewing and interpreting data and information and options to inform decision-making and the execution of responsibilities*
- *Operational decisions – for day-to-day work tasks*

Report to Management on:

- ✓ The compliance risks to the business and material compliance issues, including the outcome of regulatory visits, control breaks, breaches and mitigating management actions.
- ✓ The extent to which the business is ready to comply with new or emerging laws and regulations.
- ✓ The level of progress with the delivery of the annual functional operational plan and the adequacy of resources for the Compliance Function.
- ✓ Handle the management and execution of second-line monitoring and assessment program for Anti-Money Laundering/Counter-Terrorism Financing AML/CTF
- ✓ Review and maintain AML/CTF policies and procedures.
- ✓ Suspicious transaction reviews and Suspicious Transaction Reporting to Financial Reporting Center
- ✓ Ensure Sanction Screening and adequate onboarding KYC and due diligence for clients, suppliers, and staff.
- ✓ Develop and execute AML/CTF training for staff in various business units as required.

Job Competencies (Skills Job Knowledge, Experience and Attributes).

Academic qualifications

Degree in Business-related field from an institution recognized in Kenya

Professional Qualifications (Special training or Membership to professional bodies).

Professional qualifications in Risk, AML or/and Compliance

Previous relevant work experience is required.

Have 3-5 years of relevant experience preferably in the financial industry.

Functional Skills, Behavioural Competencies/Attributes:

Functional Competencies:

- Strong at building relationships with good interpersonal and communication skills
- Confident and assertive, able to garner the respect of others and influence change at the Executive level and throughout the firm.
- Ability to manage multiple projects and competing priorities without missing deadlines.
- Strong Organizational Skills.
- Strong problem-solving, analytical, and oral and written skills to clearly communicate recommendation

Behavioural competencies:

- *Good Communication skills*
- *Problem-solving skills*
- *Negotiation skills*
- *Interpersonal skills*
- *Conflict management skills*
- *Team player - having the ability to appreciate other people's perspectives.*
- *Organizing/planning skills*
- *Willingness and ability to adapt working patterns in a fast-paced environment.*
- *Ability to work under pressure*
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