

## RESUME



### ZUNAINA ZAINI

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### EDUCATION

Bachelor of Art (Hons) Accounting & Finance, Nottingham Trent University, UK, 1995

MRSM Perlis, SPM 1989

### MEMBERSHIP

- Institute of Internal Audit Malaysia (IIAM) – Associate
- Certified Compliance Professional (CCP) - since 2018

## EXECUTIVE SUMMARY

28 years of working experience in the areas of business development, internal audit, risk management, governance, integrity, compliance and ESG.

- A meticulous and experienced internal auditor with hands-on experience running the internal audit function
- An internal control expert who has been instrumental in identifying risks and strengthening controls in operational procedures
- A compliance professional, who has steered the organization through the development and institutionalization of policies
- A certified ISO 37001 Anti-Bribery Management System (ABMS) auditor (team leader), with a passion for integrity
- Able to work remotely and travel for work within the Asean, Middle East and Europe

## WORK EXPERIENCE

### October 2022 – Current – Head, Internal Audit & Risk Management, Citaglobal Berhad

#### Internal Audit

- Establishment of the Internal Audit & Risk Management Department (the function was previously outsourced)
- Develop a risk-based annual internal audit plan and budget for evaluating the effectiveness of controls in place to manage significant risk exposures, safeguard company assets, and compliance with laws and regulations; and spearhead the execution and implementation of the approved audit plan.
- Presentation of the audit results and quarterly updates to the Board Audit & Risk Committee
- Liaise and work with senior management in executing responsibilities and maintaining good relations at all levels of management and Board of Directors
- Carry out ad hoc assignments, investigation and special reviews as and when required by the Management and Board.

#### Risk Management

- Establishment of the corporate risk management framework and risk register
- Plan, strategize and implement an overall risk management process and governance framework for the organization
- Reviews and assesses risk management policies and procedures; makes recommendations and implements modifications and improvements to continuously improve risk management practices
- Periodically presents risk reports and insights to Management and Board on risk matters including risk status, performance and emerging risks that may affect the achievement of business objectives
- Risk assessment on business activities together with operational business functions
- Facilitate risk management activities and training to build a risk aware culture amongst staff

## RESUME

### PERSONALITY

- Good analytical skills with strong attention to detail
- Possess leadership, coaching and influencing skills
- Excellent communication, verbal & written
- Exposure to making presentation to Senior Management and Board
- A problem-solving and action-orientated mindset
- Dynamic – able to work independently as well as had led a team of up to 16 staff
- Thorough understanding on business processes and controls
- Strong communication and relationship building skills

## WORK EXPERIENCE

### **April 2021 – September 2022 – Risk Control Officer (RCO), Operations, Touch n Go Sdn. Bhd.**

- Acted as the liaison between Operations Division with 2nd and 3rd Line of Defence - Risk Management, Compliance, Integrity and Governance, and Internal Audit; to maintain adequate and effective first line of defence for risk and compliance programs.
- Ensure effective execution of Operational Risk Management Framework in a robust and disciplined manner to achieve sound risk management practices within the Operations Division
- Proactively identify areas with controls gaps and work with the relevant stakeholders to enhance overall control environment to mitigate compliance risks
- Proactively discuss and report any risk and compliance matters to Head of Department/Division and provide recommendations and mitigation actions to address lapses and control weaknesses.
- Ensure the Division's policies and procedures are effective and updated according to the current process and practices.
- Ensure that all non-compliance incidences and deficiencies, assessment of impact (both financial and non-financial), remediation action taken, recommendation of preventive measure and corrective measure to address non-compliance incidents are appropriately reported.
- Provide advice, support and awareness on risk and compliance matters to the Division/Department/Unit as and when required.

## RESUME

### REFERENCE

Mohd Halmi Mohd Hassan  
Deputy Chief Executive Officer,  
Operations  
Touch n Go Sdn Bhd  
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Wan Shariman Wan Mohamed  
Group Chief Operations Officer  
Citaglobal Berhad  
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En Rosli Shafiei  
Chairman, Board Audit & Risk  
Committee, Citaglobal Berhad  
☎ 019-288 3128

**NOTICE PERIOD: 3 MONTHS**

## WORK EXPERIENCE

### 2020 – March 2021 – Head, Assurance (PLUS Malaysia Berhad)

#### Internal Controls

- Review of operational policies and procedures to assess the comprehensiveness of processes, availability and adequacy of internal controls, as well as process governance prior to approval by Management for implementation and operationalization. Completed the review for than 80 operational procedures from February 2020 to March 2021
- Periodic assessment of the compliance with established procedures by business functions to assess the effectiveness of internal controls, detect any gaps as well as identify areas for improvement.

#### Integrity

- Team leader for annual Anti-Bribery Management System (ABMS) – performed the annual ABMS internal audit starting in year 2020 to check the conformance to established anti-bribery policies and procedures, as well as assess the effectiveness of ABMS implementation in the organization, apart from identifying areas for improvement. Result of the audit was presented to the top management for gap rectification / improvement, as well as preparation for external ABMS audit by SIRIM.

#### Special Projects

- Co-led the toll leakage task force in analysing toll data to identify transaction manipulation pattern and formulate the strategy to curb transaction manipulation by highway users.
  - Participates in operational enforcement programs as part of implementation of strategies to curb manipulation
  - Presents periodic status updates including the planned enforcement activities to the Management
  - Managed to reduce 17% of targeted transaction manipulation in 2 months in 2020 despite various challenges during Covid-19 period

## WORK EXPERIENCE

### 2017 – 2019 – Head, Compliance (PLUS Malaysia Berhad)

#### Compliance

- Established framework / policies, obtained the required approval from Management and Board for operationalization including Compliance Framework, Information Security Policy and Authority Raid Procedures
- On-going review on established policies and procedures to ensure procedures are complete, controls are available and adequate with adequate responsibility and accountability embedded in the procedures.
- On-going operational compliance assessment against established policies and procedures to identify gaps and areas for improvement, provide advisory on compliance issues as well as periodic reporting to Management on compliance issues and mitigation strategy.
- Provide reports on a regular basis, and as directed to the Management on the operation and progress of compliance efforts, including instances of non-compliances as well as the status of mitigation actions taken.
- Performed independent validation on changes made to toll rate prior to submission to government authorities for approval / gazette and subsequent implementation at toll lanes.
- Implementation of awareness program to embed a risk and compliance culture within the organization, in collaboration with the Enterprise Risk function via
- Development of the Risk and Compliance e-learning module
- Successfully organized the 1st Risk and Compliance Day 2018 for PLUS (the 1st of its kind in the UEM Group). Representatives from MACC were invited as speakers for sessions at head office as well as regional offices.
- Certified as Compliance Professional (CCP) in October 2018.

#### Integrity

- Initiated and co-developed the anti-bribery and anti-corruption (ABAC) policies in response to Section 17A of MACC Act for approval and implementation in the organization
- Appointed as trainer for the ABAC principles roll out. Conducted 11 trainings sessions at Sections and Regions involving approx. 500 staffs
- A certified team leader for ISO 37001 Anti-Bribery Management System (ABMS) – carried out the 1<sup>st</sup> ABMS internal audit in 2020 as part of the preparation for ISO37001 certification. Findings from the audits were presented to the top management of PLUS for rectification and improvement. PLUS obtained the ISO370001 certification in Jun 2020.

## WORK EXPERIENCE

### **2016 - 2017 – Head, Revenue Assurance (PLUS Berhad)**

- Established the key internal control forms for standardized compliance check at all toll plazas, Section and Region offices
- Prepare the annual Assurance plan and budget for approval and effective implementation
- Perform compliance inspections against established operational procedures at toll plazas and Section and Region offices to provide assurance on toll revenue covering all 98 toll plazas and 17 Sections along North South Expressways and LPT2
- Highlight areas of systems, equipment or process gaps noted, make suitable recommendation; and work with operating management to make the necessary improvement.
  - Discussion with the relevant Section or Region personnel on the gaps, recommendation and improvement required
  - Monitor and work closely with the operational management on the implementation of committed improvement plan by operational management to close gaps and prevent recurrence of issues noted.
- Carry out investigation on cases related to revenue leakages involving operational staff

### **2005- 2015 – Deputy Senior Manager, Internal Audit (PLUS Expressways Berhad)**

- Performed the whole spectrum of internal auditing from the preparation / updating the Audit Charter, preparation of annual audit plan and budget and obtain the necessary approval; and ensure effective implementation of the annual audit plan.
- Throughout the period, had established the followings:
  - Audit universe covering the entire business operations of the organization
  - Audit templates for all audit processes from issuance of audit notification, term of reference, audit work program, audit findings and audit report to standardize all forms used throughout an audit
  - Whistleblowing Policy – Internal Audit was the custodian for Whistleblowing channel
- Effective implementation of approved audit plan based on risk- based assessments, organized the required resources and progress review all audit assignment; covering operations, financial and technology scopes.
- Guide the internal audit team in execution of audit fieldwork, review draft/ final report and participate in the presentation of audit observations with the auditees
- Perform engagements with proficiency, professional care and objectivity in line with the IIA Standards and Code of Ethics
- Preparation of audit reports highlighting exceptions noted and propose value added recommendation on the methods and strategies to improve business operations
- Presentation of the reports to the top management and Audit Committee
- Continuous evaluation and monitoring of existing controls for operational efficiency and effectiveness
- Perform investigation at the request of the Management or Audit Committee
- Conduct follow-up and verification of agreed action plans and audit recommendations with the auditees and where possible review adequacy and effectiveness of control measures put in place by Management
- Develop competent and dedicated internal audit team through on-the-job coaching, continuous professional development and operational exposures

WORK EXPERIENCE

2004 - 2005 – Assistant Manager,  
Network & Business Development (TIME Reach Sdn Bhd)

- Explore new business areas and revenue streams
  - identify, source and commission public telephones in new business areas;
  - Identify and source for new revenue streams – advertising space, development of new payphone booths, new payphone purchase (multimedia phones, new smart cards and GSM interface for payphones)
- Strategic planning, market analysis and proposal for strategic operations and development activities
- Project management and coordination
- Tracking the achievement of approved business plan
- Analysis on calls pattern for all 36k no of payphones in operations nation wide to identify payphones with highest fraudulent calls and develop strategy to minimize revenue losses and optimize operational costs
  - Payphone with frequent fraud calls and extremely low usage were identified and retired – approx. 4k units
  - The average revenue generated by all telephones were determined and the collection frequency for each telephone were reviewed and prioritized, which had contributed to 30% cost savings
- Actively involved in the deployment of provision of payphone services in 14 underserved districts in rural Sabah, in collaboration with MCMC under Universal Service Provider (USP) program

1995- 2003 – Executive, Business Development (TIME dotCom Berhad)

- Consolidation of business plan and tracking of the achievement of approved plan
- Evaluation of new business development opportunities, application and proposals including the development of tender document for 3G spectrum bidding with MCMC
- Establish and maintain relationship as well as assess product offering with other international telcos in SEA, Middle East and USA
- Negotiation of rates and volume commitment with other international telcos for Least Cost Routing (LCR)
- International Interconnect Settlement with other international telcos

1995- 1997 – Management Trainee (TIME dotCom Berhad)

- Started as a Management Training with placement at various functions namely HR, Marketing and Finance for 1 year
- Undergo 1 year training in Internal Audit