

## Job Description – ESP Risk and Compliance Coordinator

### Finance Unit

<b>Job Title:</b>	Risk and Compliance Coordinator
<b>Job Area:</b>	Audit, Risk and Compliance
<b>Department:</b>	Management
<b>Section:</b>	Risk and Compliance
<b>Immediate Supervisor:</b>	Team Leader with dotted lines to Head PMU and Audit sub committee
<b>Salary Scale:</b>	
<b>Works closely with:</b>	Deputy Head, Deputy Team Leader, Team Coordinators, Internal and External Auditors.

### JOB PURPOSE

To implement risk and compliance function in the Program Management Unit in order to:

- Ensure compliance with Government, donor and organizational policies
- Ensure effective and timely responses to internal and external audit and reviews
- Ensure timely and accurate reporting to management on risk and compliance progress
- Conduct internal reviews and fraud assessments
- Identify actions to strengthen systems and prevent fraud

### KEY TASKS AND RESPONSIBILITIES

#### Governance

- Provide secretarial service to the ESP Steering Committee and Audit sub-committee.
- Maintain ESP governance model and identify associated key risks.
- Audit the suite of key documents against the governance model and follow-up anomalies.
- Review the system for records management, including the online shared folder system.
- Responsible for ensuring governance foundations are in place and operating effectively.

#### Risk Management

- Perform risk assessments.
- Maintain risk management plan.
- Prepare annual risk management work plan.
- Provide risk management training.
- Provide risk management monitoring and reporting.

#### Internal Audit

- Ensure a risk-based internal audit plan is prepared and completed each year.
- Ensure audits are performed on time, on budget, and to the required quality standard.
- Manage the system to monitor and follow-up implementation of improvement actions from internal audits conducted earlier.

#### Fraud Control

- Develop annual fraud control work plan, including update of the fraud risk assessment and fraud control plan.

- Monitor fraud reporting mechanisms such as whistle-blower reporting.
- Perform or outsource investigations.
- Support the fraud and whistle blowing awareness trainings

#### Legal Compliance

- Maintain the legal compliance register.
- Prepare annual legal compliance work plan.
- Roll-out legal compliance activities.
- Provide legal compliance monitoring and reporting.
- Responsible for internal compliance with laws, regulations, policies and contracts.

#### System Compliance

- Develop system compliance model, policy and methodology.
- Develop targeted system compliance strategies.
- Prepare system compliance work plan, including visit schedule.
- Develop and roll-out system compliance activities and reporting.
- Commence regular visits to RTSUs and districts to assess programme systems, processes and compliance procedures.
- Provide system compliance monitoring and reporting.
- Assure system compliance with mandated ESP operating methods

#### Beneficiary Compliance

- Develop SAGE compliance strategies.
- Prepare annual SAGE compliance work plan.
- Develop and roll-out SAGE compliance activities and reporting.
- Provide SAGE compliance monitoring and reporting.
- Beneficiary compliance with SAGE requirements to protect integrity of the payment system.

### **PERSON SPECIFICATION**

#### Essential

- Undergraduate degree in Finance. or Accounting and a Master's degree in Finance, or Accounting or an MBA with Accounting option from a reputable university.
- A Professional Qualification or certification in Audit or Compliance.
- Membership to Institute of Internal Auditors of Uganda
- 5+ years of management experience in a Finance and Audit function.
- 3+ years of experience in Compliance function at senior level
- Knowledge of Government, Risk and Compliance regulations
- No criminal record.

#### Desirable

- Previous experience with fraud control or investigations.
- Previous experience of donor funded projects requiring donor compliance.