

TRANSPARENCY AND COMPLIANCE OFFICER FOR HQ

(Reference: 21/HQ/TC001)

BACKGROUND

IMPACT Initiatives is a humanitarian think tank, based in Geneva, Switzerland. The organisation manages several initiatives that facilitate the development of information tools and products in order to enhance the capacity of aid actors to make evidence-based decisions in emergency, recovery and development contexts. The IMPACT team comprises over 60 HQ-based employees, and over 200 employees based in its 25+ countries of intervention. For more information visit: www.impact-initiatives.org and www.reach-initiative.org

We are currently looking for a Transparency & Compliance Officer to join our HQ team in Geneva.

Supervisor: Head of Human Resources and Transparency & Compliance

Title: Transparency and Compliance Officer

Location: Geneva

Duration: Open-ended

Start date: ASAP

OVERVIEW

The **Transparency and Compliance Officer** is part of IMPACT's Transparency and Compliance unit, under the management of the Head of HR and Transparency & Compliance. The Transparency and Compliance Officer is responsible for

- (i) assessing the appropriate implementation of IMPACT's procedures and policies,
- (ii) managing external audits and due diligence exercises commissioned by donors and partners
- (iii) monitoring IMPACT internal audit plan as well as recommendations.
- (iv) overseeing IMPACT's Transparency hotline and manage investigations of cases of alleged fraud
- (v) implementing IMPACT's third party screening process.

S/he contributes to (i) monitoring, according to a risk-based approach, the implementation of IMPACT processes in accordance with IMPACT procedures, specific donor procedures, best practices and national legislation; (ii) monitoring action plans to mitigate identified risk, according to priorities, budgetary constraints and organizational contexts;

S/he provides technical support and capacity building work to operational and support teams within IMPACT HQ to implement action plans and mitigate risks.

He/she also provides technical support for the preparation and follow-up of external donor audits and due diligence exercises.

WORKING RELATIONS

Internal:

- Independent from all other departments outside of the hierarchical link defined in these TORs;
- Country Coordinators and Representatives;
- Interacts with all departments: Finance, Logistics, HR, Research, Program and Grants Management;

External:

- Donors' auditors;
- External auditors
- Partners' auditors
- National and international Partners
- Institutional investigators;

OBJECTIVES

1. Ensure internal controllability and facilitate the implementation of IMPACT procedures and policies;
2. Ensure the preparation and follow-up of external audits and due diligence exercises, conducted at headquarter or field level, in close collaboration with Country teams and partners;
3. Ensure and monitor the implementation of IMPACT's internal audit plan
4. Oversee the transparency hotline, manage investigations of cases of alleged fraud and implement IMPACT's third party screening process Internal coordination/team

DUTIES & RESPONSABILITIES

The HQ Transparency and Compliance Officer shall:

1. Ensure internal controllability and facilitate the implementation of IMPACT procedures and policies

- Support the identification of compliance issues and implementation of IMPACT procedures and policies;
- Update the priority list and define a weekly work plan based on risks and deadlines;
- Question IMPACT's current procedures and the quality of internal control, based on international best practices, donor requirements and internal and external audit results and propose improvements if necessary;
- Upon request from Grants management review draft Grant Agreements (or MoU), in particular with regard to audit procedures;
- Support Due diligence exercises conducted towards potential / current implementing partners, and contribute to the development of a risk mitigation plan.
- Where required, participate in the development of specific policies or tools.
- Report any audit related risk to management
- Develop and follow up an IMPACT internal audit plan, in coordination with and support of relevant departments.

2. Ensure the preparation and follow-up of external audits and due diligence exercises,

2.1. Anticipation

- Anticipate future external audits, by analysing the audit procedures for new grant contracts;
- Where relevant, provide technical support to select and contract external audit firms;
- Obtain and review Terms of Reference of external auditors.
- Identify possible pre-audit / due diligence requirements to access potential new funding sources and develop follow up plan to meet requirements.

2.2. Audit preparation and management

- Conduct a review of the Compliance Checklists, identify risks and propose an action plan, in conjunction with relevant field teams and other departments, to cover identified risk;
- Report any identified risk and develop related action plan
- Ensure the centralization and analysis of selected supporting documents for IMPACT HQ expenses, in conjunction with other departments and relevant partners.
- For field audits, conduct daily monitoring with country teams on the progress of the audit and provide answers to auditors' questions;
- In case of audit at HQ level: monitor the sending of documents from the field to HQ; ensure the completeness and compliance of expenditures; contribute to the facilitation and coordination of the audit; participate in regular meetings with external auditors.

2.3. Review of audit reports and drafting of management responses

- Consolidate the review of external audit reports (and Due Diligence exercises) and, in conjunction with relevant departments at HQ, and have them validated by line manager;
- Ensure receipt of the signed final audit report (for field audits);
- Ensure that the database of external audit recommendations is updated;
- Monitor the preparation of Annual Accounts (financial statement audit) for specific grants that require communication on this.

2.4. Follow up external audit recommendations

- Contribute to a proactive dissemination of lessons learned from external audits on the main risks identified;
- Update and follow-up on external audit recommendations using relevant matrix and incorporate where relevant into the IMPACT Audit Plan.
- Update daily the HQ External Audits database and ensure that the information is consistent with the follow-up of projects and country external audits (FLA-03).

3. Transparency:

3.1 Oversee the transparency hotline

- Maintain a comprehensive consolidated register of all allegations of fraud, misconduct, or violations of ACTED's code of conduct related to transparency issues ensuring that all such complaints are recorded in a timely manner;
- Develop statistical analysis to identify patterns in fraud / breach cases reported or identified by ACTED;
- Ensure that all allegations are appropriately forwarded, thoroughly investigated and effectively documented;

3.2 Manage investigations of cases of alleged fraud

- Plan, lead and perform investigations of allegations of fraud or misconduct in accordance with IMPACT Anti-fraud policy, IMPACT Anti-Terrorism and Anti-Money Laundering Policy and IMPACT Conflict of interest policy and applicable professional standards;
- Reporting and lessons learned:
 - o Prepare reports and presentations to investigation and hotline performance and effectiveness;
 - o Ensure that lessons learned from investigations are effectively shared internally and that all necessary remedial actions are taken.

3.3 Implement *IMPACT's* third party screening process

- **DATABASE review:** ensure each IMPACT department maintains an up to date centralised database, in the format required for third party screening.
- **THIRD party screening:** manage the first level of screening and ensure each IMPACT department maintains an up to date centralised database, in the format required for third party screening
- **VETTING and enhanced due diligence:** conduct enhanced due diligence on potential hits

4. Team / Internal coordination

- Contribute to the training of relevant staff on IMPACT procedures, donors' and partners' procedures, as well as on the work of the internal auditor;
- Where relevant, ensure the supervision and functional follow-up of the intern(s)
- Contribute to a positive working environment and good team spirit;

5. Other

- Notify the Executive Director in case of major issues with potential impact on IMPACT's beneficiaries and respondents, reputation or finances;
- Provide technical and operational support to the Finance, Logistics, HR, and Programmes Departments;
- Carry out any other activities assigned by his/her line manager (drafting of memos and presentation materials and/or training, translations etc.).

REQUIREMENTS

- Master's degree in Accounting, Business Administration etc.;
- At least 3-4 years of experience in Auditing/Administration /Business Management field
- Fluent in English
- Analytical thinking with an ability to handle large amounts of complex data
- Mastering of internal control tools (standards, procedures and techniques)
- Excellent working knowledge of Microsoft Office (Word, PowerPoint and Excel)
- Ability to work in a multicultural environment
- Excellent communication skills, both verbal and written with the ability to listen and connect with staff deployed in the field.
- Managerial qualities, Team spirit, Reliability and discretion, Proactivity, strength of proposal, Rigor and sense of organization.
- Ability to work under pressure.
- Ability to build trust within the organization and to manage competing requests in a timely manner.

Preferred Requirements

- Previous experience in Auditing at an international non-profit/non-governmental organization
- Demonstrated interest for humanitarian and development topics
- Knowledge in HR / management as well as taxation and business law