

**CARE INTERNATIONAL IN KENYA
JOB DESCRIPTION**

EMPLOYEE NAME:

ISOC-08 OCCUPATIONAL CLASSIFICATION:

Group #:		
Subgroup#:		
Job group#:		

JOB TITLE: AUDIT AND COMPLIANCE COORDINATOR

DEPARTMENT/PROJECT: AUDIT & COMPLIANCE UNIT

SUPERVISOR: Country Director

LOCATION/DUTY STATION: NAIROBI

DATE OF EMPLOYMENT:

GRADE: G

JOB SCORE:

JOB SUMMARY & PURPOSE:

1. The main purpose of the Audit and compliance Coordinator is to identify and mitigate financial risks in all projects / processes carried out by CARE Kenya and implementing partners and sub recipients. The Audit and compliance Coordinator will initiate and revise processes to address financial risks faced by the CO.
2. In collaboration with CARE Canada's Director of Financial Performance and Risks Management, The Security Manager, HOD's, Officers in Charge and Programme Team, The Audit and compliance Coordinator will also develop and maintain an up to date comprehensive register of the major financial and non financial risks faced by the CO and establish a risk management plan to deal with the risks identified.
3. The Audit and compliance Coordinator will provide training, information and guidance to build the capacity of CO staffs in a bid to increase their knowledge on policies, procedures, principles, donor requirements, ethical standards, code of conduct and thereby increase compliance and reduce financial and non financial risks.
4. To provide impartial advice to management on all aspect of financial and administrative policy implementation and donor compliance.
5. Ensure CARE Kenya policies are in compliance with CARE Canada policies donor grants conditions, and correct procedures and processes are being followed

The core function of the Audit and compliance Coordinator is to Carry out periodic audits of project activities and reports, financial/ procurement/ administrative documents, warehouse and storage sites, transport and distribution systems to determine the accountability and assess the reliability of the control systems as a whole and to identify the measures needed to ensure that the systems are functioning at the desired levels of efficiency and effectiveness.

The general objective of Audit and compliance Coordinator AT care Kenya is to provide information and guidance to Senior management , programme and programme support managers in the effective discharge of their responsibilities related to the accountability for the grants/ donations/ funding/ contracts buy furnishing them with analyses , appraisals, recommendations and pertinent commentary on the activities and procedures reviewed. This involves going beyond the accounting and financial records to obtain full understanding of the operational environments and constraints under review. The attainment of this objective involves such activities as;

Performance Objectives

1. Mitigate CARE Kenya risks in all projects/processes carried out by CARE Kenya.
2. Provide training, information and guidance to build the capacity of CARE Kenya staff in a bid to increase their knowledge of policies, procedures, principles, donor requirements, ethical standards, code of conduct and thereby increase compliance and reduce financial and non-financial risks. This should also be done for new donors and every new project.
3. Ensure CARE Kenya staff comply with CARE Kenya policies, CARE Canada policies, donor regulations, Government of Kenya Regulations etc and ensure application of correct procedures and processes.
4. Providing impartial advice to CARE Kenya SMT and SO management on all aspects of financial and administrative policy implementation and donor compliance.
5. Ensure there are no significant audit findings reported by the external auditors
6. Ensure audit recommendations are tracked, timely implemented and closed in TeamMate audit software. Share monthly analysis reports with senior management on audit recommendation status.
7. Attend monthly senior management meetings.

Tasks and responsibilities

1. Country Office Risk Management

- i) Compile a risk register that identifies all types of major risks face by the country office.
- ii) Update the risk register quarterly
- iii) Design a risk management plan to deal with the major risks identified
- iv) Minimization of all financial risks through regular risks review and analysis

2. Sub-office Risk Management

- i) Plan and undertake internal audits of the SO processes and disseminate Internal Audit reports
- ii) Ensure that CARE cooperates within the framework of legal requirements such as banking licenses, GOK and donor requirements.
- iii) Participate in updating of internal policies and procedures
- iv) Perform internal audits of CARE Kenya food aid programs.
- v) Present audit findings and recommendations to senior management. Work Support auditees to develop practical recommendations for reducing risks.
- vi) Bring to the immediate attention of senior management any glaring discrepancies noticed in the management of food aid programs of CARE Kenya.
- vii) Follow up on the implementation of audit recommendations from internal audits, external audits etc and report status to the Audit & Compliance Manager
- viii) Organize and/or provide training to staff on key policies, procedures, laws and regulations to mitigate against potential financial risks arising from fines, penalties and disallowed costs
- ix) Carry out surprise spot checks
- x) Review and recommend to CARE Kenya management improvement of the internal control environment to minimize risk.

3. Project Audits

- i) Perform periodic audit of the project activities
- ii) Verify project activities ensuring activities reported were implemented
- iii) Review logistics process to confirm that goods procured for projects reach intended beneficiaries
- iv) Disseminate audit reports and follow up implementation of audit recommendations.

4. Review Asset and inventory control systems

- i) Ensure the existence and proper custody of the assets and recommend appropriate improvements in the accountability and safeguarding of the assets and the reliability of management data developed and reported.
- ii) Review asset lists to determine compliance with CARE Kenya, CARE Canada and donor policies.
- iii) Ensure periodic stock take of project materials, spare parts and other warehoused items.
- iv) Review inventory registers to ensure they are in line with CARE Kenya and donor regulations and up-to-date.
- v) Test end-use distribution of relief supplies and project inputs/materials and ensure that projects have adequate supporting documentation to meet donor requirements.

5. Review Human Resource systems

- i) Review personnel hiring procedures to ensure compliance with HR policies and identify irregularities, particularly with regard to nepotism, ethnicity
- ii) Review incentive workers hiring processes
- iii) Review personnel records
- iv) Ensure that CARE operates within the framework of legal requirements such as safety regulations, labour laws, work permits, UNHCR conventions etc

6. Review and improve procurement processes

- i) Review the procurement processes and recommend improvements.
- ii) Conduct procurement spot checks and ensure procurement transaction are in compliance with the various donor requirements e.g. UNHCR, ECHO, USAID etc
- iii) Ensure that the sub office maintains the Approved Vendor List supported by vendor set up forms and Bridger screens.
- iv) Review tenders and procedures for contracting suppliers, identify weaknesses and recommend steps required to ensure compliance
- v) Verify and analyze transactions to confirm if they are made as per CARE and donor procurement policy
- vi) Conduct market surveys to establish reasonability of prices charged by approved vendors and more so the required vendors.

7. Review logistics & asset management processes

- i) Evaluate compliance to CARE vehicle policy
- ii) Spot check vehicle usage and fuel usage to ensure accountability and authorized usage
- iii) Review the completeness and accuracy of the asset register
- iv) Review logistics process involving movement of goods from head office to the sub offices and perform value for money reviews for items procured.
- v) Review the stores management process to ensure effectiveness and efficiency.

8: Review Vehicle management System

- i) Evaluate compliance to CARE vehicle policy
- ii) Spot check vehicle usage and fuel usage to ensure accountability and authorized usage

9. Carry out Special Investigations

- i) Carry out investigations as required by management to deduce problem areas, shortcuts, or other lapses resulting from staff turnover; issues not addressed by a policy and procedures manual or special circumstances.
- ii) Ensure that corruption, kickbacks, collusion is avoided and if it occurs is vigorously pursued.

10. General Responsibilities

- i) Participate in the senior management meetings such as SMT
- ii) Participate in disciplinary committees, hiring committees' et al
- iii) Any other duties as assigned by the Country Director and or the SMT
- iv)

AUTHORITY:

General

1. Makes decisions regarding the resolution of actual and potential risks identified and leads the CO Managers in implementing the decision made.
2. Recommend departmental staff actions such as hiring, disciplinary action, contract termination, deployments etc.
3. Makes decision regarding staff planning on audits and financial reviews and training.

Financial

Make decision and provides advice to the Financial Managers, sector coordinators and the program Managers regarding financial issues arising from the review of suite of CO monthly management reports.

1. Spending Authority: Limited to the Audit and Compliance Unit budget
2. Decision Making: Accountable for ensuring valid, economic, efficient and effective utilization of funds

CONTACTS/KEY RELATIONSHIPS (internal & external):

Internal Contacts

- Country Director
- ACD Programs and Programme Support
- Head Of Finance Department and all staff in the finance department
- Head of Human Resource and Administration department and all staffs in the department
- Senior Program Managers
- Project Managers
- All department heads in sub offices
- Team leaders

External Contacts

- CARE Canada Audit Team
- Auditors from CARE members (USA, UK, DL ...)
- Donor Staff
- GOK
- Regional Management Unit
- CARE Canada Finance and International Operations team
- External auditors
- Sub grantee staff

WORKING CONDITIONS:

This is a roving position based in Nairobi with at least 40% presence in sub offices and occasional 60% in Nairobi. In this position physical risk exists because of insecurity and risk of road and air travel accidents while on travel to the sub offices.

QUALIFICATIONS:

1. **Education:** Bachelor's degree in Business Administration, Finance, Accounting or commerce with Professional Qualification ACCA or CPA
2. **Experience:**
Minimum of 6 years audit experience and knowledge of major donor regulations like USAID, EU, and ECHO etc. NGO experience will be an added advantage.
3. **Certificate:**
Professional Qualification ACCA or CPA K
4. **Competencies:**

- a) Excellent writing and Communication skills
- b) Strong computer skills in Ms Excel, Ms Office and Database software.
- c) Understanding of financial management and reporting systems in an NGO setting,
- d) Ability to review and analyse financial statements and reports, and
- e) Good interpersonal and communication skills
- f) Ability to interpret key donor regulations i.e. USAID, ECHO, DFID and UNHCR on all contexts of grant management
- g) Knowledge of programming skills and program evaluation and impact measurement is an added advantage
- h) Manage confidential and sensitive information discreetly.

Other

Demonstrated expertise in the use of audit software i.e. Team Mate

Employee Signature: _____ Date: _____

Supervisor Signature: _____ Date: _____