

## INTERNAL/EXTERNAL ADVERTISEMENT

### AUDIT, RISK, AND GOVERNANCE

<b>REFERENCE #</b>	<b>POSITION</b>	<b>NO. OF VACANCIES AND SALARY PACKAGE</b>
<b>20241010</b>	<b>Compliance Officer</b>	<b>One (1) P08 R944 441.00 CTC Per Annum</b>

#### Reporting to: Risk Accountant

**Purpose:** Responsible for the effective, efficient and transparent system of regulatory and ethical compliance in the Gauteng Provincial Legislature and to provide an independent evaluation of the adequacy and effectiveness of internal controls to manage transparency, fairness, negligence, error, incapacity or other related risks.

Responsible for initiating and implementing the necessary strategy, policy and plans to effectively monitor and report on compliance and the ethical maturity of the institution.

#### KEY PERFORMANCE AREAS

##### KPA 1: Compliance

- Analyse & propose a new and existing legislation and provide an impact analysis to GPL.
- Establish a Regulatory Universe for GPL, based on legislation that has a direct impact on the institution.
- Schedule, develop and carry out compliance monitoring activities in accordance with an agreed monitoring coverage plan.
- Coordinate compliance audits.
- Develop, promote, implement and maintain compliance standards, templates and procedures that enable employees to act in a compliant manner.
- Ensure proper establishment and maintenance of procedures on the identification, reporting and resolution of breaches and other compliance and regulatory issues.
- Assist with ad-hoc compliance issues.
- Provide compliance reports to regulatory authorities, management and the Risk Management Committee and Audit & Risk Committee.
- Establish preventative compliance by developing and implementing processes, policies and procedures to limit regulatory breaches as far as possible.
- Contribute to proactive and reactive management of regulatory risk.

- Continuously strive to enhance and improve the Regulatory Compliance processes and systems in GPL.
- Contribute to the design, implementation, monitoring and reporting on a process to gather organisational feedback regarding the application of Regulatory Compliance practices, processes and performance.
- Collaborate with other stakeholders to direct regulatory compliance issues to appropriate existing channels for investigation and resolution.
- Contribute to the competitive edge of Regulatory Compliance in GPL through external networking and benchmarking in provincial and national forums.
- Track and address Regulatory Compliance related complaints and identify trends and major issues to be addressed.
- Develop training material for internal education and awareness purposes.
- Compliance with all relevant Acts and Regulations governing ARG.
- Ensure alignment with Corporate Governance practices and legislative compliance in line with the set target.
- To manage Business Unit Governance processes

#### **KPA 2: ARG Annual Performance Plan**

- ARG Annual Performance Plan (APP) implemented as per set targets.

#### **KPA 3: Risk Management and Governance**

- Monitor and oversee Risk Management and Governance processes for GPL on compliance.
- Monthly updates and enhancements on the Audit Tracking Report & Operational risk registers related to compliance.

#### **KPA 4: Fraud Risk Management**

- Contribute towards efforts to increase levels of anti-fraud & anti-corruption awareness.
- Manage the anti-fraud awareness initiative conducted per quarter.

#### **KPA 5: Committee coordination**

- Manage the coordination & facilitation of an effective Fraud Prevention, Risk Management & Audit & Risk Committees quarterly.

#### **KPA 6: Internal control, Risk Management & Governance**

- Improved system of internal control.
- One (1) initiative per quarter to improve the control environment.
- Increase risk management & governance awareness levels.
- One (1) awareness session per quarter to improve the risk management & governance processes.

#### **KPA 7: Business Continuity Plan**

- Assist to review and implement the Business Continuity Plan (BCP)

## **KPA 8: Policy and Procedures**

- Assist in providing a professional service to management in the review or development of quality, relevant policies and procedures for GPL.
- Contribute towards the improvement / development of one (1) policy or procedure per quarter.
- Finalise 1 project per quarter within this role's deliverables.

## **KPA 9: Reporting**

- Assist in preparing complete, accurate and timeous, monthly and quarterly reports to stakeholders, (i.e. Risk Management Committee, Secretariat & Audit and Risk Committee).

## **KPA 10: Stakeholder Management**

- Effective stakeholder management of all relevant stakeholders (IA, AG, ARC, line management, business).
- Stakeholder satisfaction index.
- Service requests resolved within agreed timelines.
- Identify, establish and sustain relationships with relevant stakeholders.
- Develop and implement action plans to address improvement areas from the stakeholder survey.
- Build and maintain good relationships with all respective stakeholders and regulatory authorities.

## ***Implementation of Resolutions***

- Provide input into effective implementation of resolutions for Secretariat, RMC, ARC, LSB and other oversight committees, on ARG deliverables.
- Resolutions implemented to satisfaction of stakeholders, on ARG deliverables.
- Report quarterly on the % resolution to RMC, Secretariat & ARC.
- Reports submitted as per set targets and timelines.

## **KPA 11: Human Capital**

- Manage that approved personal development plans are implemented, for self and staff, as per agreed timelines.
- Responsible for documenting and completing own and staff's Performance Appraisal prior to the target date pronounced by HR.
- To participate in the approved GPL human capital processes of the Institution

## **Required Competencies**

- Analytical and Logical
- Attention to detail
- Ethical

- Dependable and reliable
- Work under pressure
- Discreet
- Strategic Thinking

### **Knowledge Required and Skills**


- Risk Management Principles
- Public Finance Management Act (PFMA) and/or Financial Management of Gauteng Provincial Legislature Act 2009 (FMPPLA)
- KING IV - Corporate Governance
- Protocol on Corporate Governance for the Public Sector
- Treasury Regulations
- Compliance related legislation applicable to GPL
- Exposure to the Public Sector and/or Legislature environment
- Internal Audit Standards and principles
- Exposure to Audit, Risk and Fraud Prevention Committees
- Exposure to Project Management
- Exposure to engaging and dealing with Senior Management.
- Exposure to preparation for Risk Management & Audit Committee meetings
- PPPFMA
- Computer Literate
- Leadership skills
- Conflict Management Skills
- Project Management skills
- Problem solving skills
- Communications skills

### **Qualifications/Experience Required:**

- LLB or similar NQF equivalent Legal qualification
- Compliance Management qualification will be advantageous
- Accreditation with the Compliance Institute or meeting the requirements to register with the institute will be advantageous
- Minimum 3 years legal working experience.
- Minimum 2 years specialist experience in Compliance Management.
- Minimum of 2 years working experience in Ethics Management and Fraud Risk Management.
- A Risk Management qualification will be advantageous.
- At least 1 year in a parliamentary or legislative environment will be advantageous.
- Demonstrated BarnOwl knowledge, or a similar risk management tool, would be advantageous.
- Project management experience.

**Closing Date: 23 October 2024**

NB: The Gauteng Provincial Legislature is committed to the achievement and maintenance of employment equity and diversity especially in respect of race, gender and disability. People with disabilities are particularly encouraged to apply. Appointment will be made



subject to completion of background/reference checks. Potential candidates for the post may be subjected to security vetting and screening by State Security Agency, and appointment to the post be determined based on the results from such screening and vetting. The Provincial Secretary of Gauteng Legislature reserves the right to approve or decline the appointment.

To apply for this position, submit your cv to [Hrrecruitment@gpl.gov.za](mailto:Hrrecruitment@gpl.gov.za) for internal candidates and [Hrrecruitment1@gpl.gov.za](mailto:Hrrecruitment1@gpl.gov.za) for external candidates with your certified supporting documents (i.e. ID, certified Copy of qualifications with at least two contactable references)

**Always quote the position reference number on the subject line – applications without a position reference number will not be considered.**