

Compliance Unit Annual Work Plan 2018/19

Output	Activities (Trimester 1)	Activities (Trimester 2)	Activities (Trimester 3)	Risk Identified	Impact	Probability
1. Financial Review of programmes and projects implemented by AEPC. Conduct Annual and Trimester Compliance Review (Progress update on OAG, FCGO and other findings)	1.1 Annual Compliance Review	1.2 Compliance Review for 1st Trimester	1.3 Compliance Review for 2nd Trimester	Significant number of issues identified by the OAG. The progress status is undocumented	High	High
2. Strengthen AEPC's system on compliance, whistle blowing and fraud	2.1 Review and update existing norms and procedures on fraud and investigation	2.2 Review the effectiveness of web based grievance reporting and strengthen the nudging system via SMS/emails/other forms of communication	2.3 Special engagement to assess the procurement procedures	Impact due to lack of awareness. Non compliance of policies and procedures	High	High
3. Capacity Building of AEPC staff on the thematic areas of Public financial management with training and courses related to Compliance, Internal Control and Audit, Public Sector Accounting and Code of Ethics	-	3.1 Conduct a training on procurement regulation and government financial procedures	-	Insufficient training on administrative procedures as AEPC consists a large number of technical professionals.	Medium	Medium

4. System/Technology audit (Yearly audit on selective system based on the system distributed and installed by AEPC on select geographical location) and contingent reviews (case based on whistleblowers internal and external).	-	4.1 Verification of a various RETs on a select geographical region. Selection of a random district and sample verification of RETs existing in that district.	-	Previous year complaints on subsidy claimed and deviations seen in the third party monitoring report	High	Medium
5. Other non-audit services and reviews such as follow-up IT audit in terms of security, reviews of core software in uses at AEPC, security assessment of AEPC website.	-	-	5.1 Follow-up engagement to assess the software (SAMS) in operation at AEPC.	Preceding year IT audit that the system is prone to errors and lack of quality assurance procedures and documentation	High	High
6. Strengthened application of AEPC's code of ethics	-		6.1 Review the application of code of ethics	Application and knowledge of code of ethics especially among the new recruits	Medium	Medium
7. Ensure effectiveness of the compliance and internal control system	-	-	7.1 Annual Assessment on the effectiveness of the compliance function (External)	Preceding year annual assessment findings	High	Low