

TERMS OF REFERENCE (Individual Contractor Agreement)

Title: Risk Management Senior Officer (Ethics and Compliance)
Duty Station: Mexico City (Mexico)
Section/Unit: LCR, MXCO Mexico
Contract/Level: IICA1 or LICA 9 (ICS 9)
Duration: Ongoing
Supervisor: Head of Programme (IICA 3, ICS 12)

- **Background Information and organizational context**

The United Nations Office for Project Services (UNOPS) is a United Nations entity responsible for infrastructure, procurement and project management (General Assembly Resolution 65/176 of 2010). Our mission is to help people build better lives and countries achieve sustainable development. UNOPS is a service provider, a technical advisor and an implementer of projects to support our partners.

UNOPS work seeks environmental, social and economic sustainability, which contributes to the progress of equity and the common good of the countries in which it operates, thus promoting the improvement of the living conditions of the most needy people. UNOPS has a presence in 230 countries in Latin America and the Caribbean (LCR region). Our services, products and technical assistance comply with the principles of the public administration of transparency, equity, integrity, free competition, impartiality, morality, effectiveness, efficiency and respect for national institutions.

UNOPS Mexico Country Office supports different collaboration initiatives by the Government of Mexico that are aimed at the fight against corruption and promoting transparency in public management, as well as strengthening government actions in the areas of acquisitions, infrastructure and management of high impact projects in Mexico. The work requires strategic and operational perspectives, management of resources ensuring transparency, effectiveness and efficiency that promotes the development and continuous strengthening of internal management, in order to ensure high quality results, in accordance with the needs of the partner in Mexico. The objective of the most prominent project (PharmaMX) is to support the Government of Mexico in its effort to guarantee the right to health access to the largest number of inhabitants through the planning and management of the consolidated purchase of medicines (period 2021-2024), as well as assistance in the profiling of the system and model of consolidated purchase of medicines for the health sector of the Government of Mexico.

This role is part of the Mexico Country Office and is independent from the PharmaMX project, under the Programme area which is working on controlling and managing key internal and external risks with organizational-wide consequences, associated with the PharmaMX project. This involves an active collaboration with HQ function (Ethics & Compliance Office) and includes aspects linked to:

- personnel/vendor due diligence
- ensuring effective management and assurance of key risks associated with corruption, collusion, safeguarding, ethics, information security and supply chain
- implementation of risk management actions
- coordinating training and awareness efforts on the topics of all the relevant risks

- **Functional responsibilities**

Under the direct supervision of the Head of Programme (Mexico Office) and with advisory from the Ethics and Regulatory Compliance Office (Headquarters in Copenhagen), the Risk Management Officer - Ethics and Compliance will focus on identifying and managing the ethical and regulatory compliance risks associated with the PharmaMX project, third parties (suppliers, partners, donors) and UNOPS personnel. He/She will be responsible for coordinating preventive measures, as well as coordinating any mitigation actions that may extend beyond the project team itself. The Analyst may also provide advice to the Mexico Office regarding the resolution of specific ethics-related issues.

The Risk Management Officer - Ethics and Compliance will be responsible for the following areas of work in relation to the PharmaMX project:

- I. Management of ethical risks and regulatory compliance
- II. Personnel advice and support
- III. Knowledge management and sharing

- I. Management of ethics and compliance risks:**

- Keep the Ethical Risk Assessment Project (PERA) current (ensuring that it is updated and adequate for its purpose).
- Based on Project Ethical Risk Assessment (PERA) and best practices, develop plans to address risks. Work with the project team and other relevant stakeholders to ensure required mitigation actions are implemented in a timely manner. Coordinate the implementation effort in other functions.

- Contribute to supply chain and information security risk management and due diligence, for example by providing the criteria for ethical reviews of third-party suppliers.
- Collaborate with supply chain and information security risk management colleagues in the Mexico Office to ensure effective risk management.
- Ensure that ethical risks are managed as part of the planning and implementation of a project.
- Collaborate and work closely with the Ethics and Compliance Office (ECO) on Ethics Risk Assessment and ethics initiatives/workflows in the Mexico Country Office. Escalate issues to ECO that are part of ECO's remit (eg, gifts and hospitality, retaliation).
- Periodically provide reports to the Head of Programme and the Director of the Office and the Office of Ethics and Regulatory Compliance on ethics in risk management.

II. Personnel advice and support:

- Advise Mexico Country Office stakeholders on how to proactively address the resolution of specific ethics/compliance issues in coordination with the Ethics and Compliance Office (for example, those raised by UNOPS personnel or as part of the due diligence program or ongoing monitoring of the project)
- Review personnel due diligence reports:
 - Review the reports and recommend appropriate action, including: (a) recommending proceeding with the engagement if there is no evidence of potential risks; (b) recommend to the Country Director, Project Manager or HR the appropriate risk mitigation actions from an ethics perspective; (c) recommend to the Country Director, the Project Manager or HR not to hire; (d) seek advice or escalate relevant complex or sensitive cases to the Office of Ethics and Compliance.
 - Closely monitor cases that require specific risk mitigation actions or specific recommendations from the ethics office until they are resolved.
- Respond to ethics/compliance queries of day-to-day operations that arise in the project.
- Ensure that ethics and compliance initiatives from headquarters are implemented in the Mexico Office, particularly with the focus of the PharmaMX project.
- Provide operational advice and engage with local management and third parties (eg, vendor vendors) to raise awareness of effective ethical risk management.

III. Knowledge management and sharing

- Organize, facilitate and/or deliver training and learning initiatives for personnel in areas of specialization, along with other colleagues from the risk management team in Mexico.
- Ensure relevant corporate ethics and compliance training (driven from headquarters) is implemented locally.
- Ensure that all relevant personnel know and understand their operational ethical obligations in general and in each phase of the project life cycle.
- Contribute to regional network teamwork and collaboration, as well as corporate best practice toolkit, share innovative solutions and lessons learned.
- Ensure full documentation of ethical risk management approaches, to improve knowledge sharing/transfer within the team and beyond.
- Keep up with trends and ethics of best risk management practices.

3. Impact of results

The effective and successful achievement of results by the Risk Management Officer - Ethics and Compliance directly affects the ability of UNOPS to fulfill its mandate and protects the reputation of UNOPS. The role is imperative for the effective prevention and management of project ethical risks, impacting the visibility and image of UNOPS as an effective service provider in project management and services, thereby strengthening its position as a partner of choice in sustainable development and project services in Mexico.

4. Requirements

A. Education

- o Advanced degree (master's degree) is required preferably in ethics, compliance, white collar crime or other related field.
- o A bachelor's degree or equivalent in law, legal studies, ethics, auditing, risk management or similar may be accepted, in combination with two additional years of experience.
- o Courses or other specific training related to ethics will be required for those who present a degree in areas not related to the position.

B. Experience

- o At least 2 years of progressive experience in ethics roles is required, with a focus on white collar crime and/or anti-bribery and corruption, and/or corporate investigations and/or other contentious background.

- o Experience participating in a corporate or organizational ethics/compliance program is required.
- o Experience conducting or supporting corporate due diligence, inspections or investigation is required.
- o Practical experience working or living in Mexico or Latin America is required.
- o Proven experience in the area of ethical risks and regulatory compliance in the pharmaceutical and/or medical device sector is desirable.
- o Experience working at UNOPS, the UN System or other international organizations is desirable.

C. Languages

- o Fluent Spanish is required .
- o An intermediate level of English is required.

5. Competencies



Treats all individuals with respect; responds sensitively to differences and encourages others to do the same. Upholds organizational and ethical norms. Maintains high standards of trustworthiness. Role model for diversity and inclusion.



Acts as a positive role model contributing to the team spirit. Collaborates and supports the development of others. Acts as positive leadership role model, motivates, directs and inspires others to succeed, utilizing appropriate leadership styles



Demonstrates understanding of the impact of their own role on all partners and always puts the end beneficiary first. Builds and maintains strong external relationships and is a competent partner for others (if relevant to the role).



Efficiently establishes an appropriate course of action for self and/or others to accomplish a goal. Actions lead to total task accomplishment through concern for quality in all areas. Sees opportunities and takes the initiative to act on them. Understands that responsible use of resources maximizes our impact on our beneficiaries.



Open to change and flexible in a fast paced environment. Effectively adapts own approach to suit changing circumstances or requirements. Reflects on experiences and modifies own behavior. Performance is consistent, even under pressure. Always pursues continuous improvements.



Evaluates data and courses of action to reach logical, pragmatic decisions. Takes an unbiased, rational approach with calculated risks. Applies innovation and creativity to problem-solving.



Expresses ideas or facts in a clear, concise and open manner. Communication indicates a consideration for the feelings and needs of others. Actively listens and proactively shares knowledge. Handles conflict effectively, by overcoming differences of opinion and finding common ground.

6. Signatures

Incumbent		
Name	Signature	Date
Supervisor		
Name	Signature	Date