

## Dr. WILFRED KOKAS AUPAL (PhD)

**Finance | Grants Management | Monitoring and Evaluation | Administration and Capacity Building | Compliance and Audit | Tax Laws of Uganda | Organisation Development and Transition | Grants and proposal writing | Financial and Technical reporting | Financial and Technical reporting | Risk Identification & Management**

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### Overview

I have over 20 years of progressive professional experience in the fields of Finance, Business and Projects Management, Audit and Compliance, Grants Management and General Office Administration. I have a passion for delivery of quality public services. I have extensive work experience with USAID projects majorly in the fields of Grants Management, Finance, Administration, Audit and Compliance, work plan design and implementation as well as capacity building for NGO staff and public civil servants through coaching and participatory learning. I have provided technical assistance in developing and implementing financial and administrative procedures, organizational work plans, strategic plans and budgets as well as monitoring and evaluation Government, Non-governmental Organizations, Civil Society Organization (CSO), Faith Based Organizations (FBO's).

I have conducted consultancies for both Government and Non-government organisations in Monitoring and Evaluation, Strategic planning, Team building, Trainings in proposal writing for funding. I was a team member in assignments such establishment of Grants Management Unit for Kampala International University. I have experience in research majoring in both quantitative and qualitative approaches as well as using SPSS and Atlas Ti.8 for quantitative and qualitative data analysis respectively.

In addition, I have participated in the design and delivery of finance and administration related trainings. I am currently a Teaching Consultant at Uganda technology and Management University (UTAMU). I have supervised over 40 post graduate (masters) students to completion. I hold UDBS, B.CoM Accounting (2<sup>nd</sup> class upper), MBA (Accounting and Finance), PGD (Project Planning and Mgt), MSc (Project Planning and Mgt) and PhD (Management - Thesis Title: **Change management practices and performance of selected local governments in Eastern Uganda**) I have also published several journal articles in peer reviewed journals and I am a Journal Article Reviewer in five International Journals.

### 1 | Employment record

**1.1 Period:** April 2017 to date.  
**Current Position:** Senior Lecturer/HoD  
**Organization:** Uganda Technology And Management University (UTAMU)  
**Location:** Kampala, Uganda

#### Roles and responsibilities:

- Plan and prepare for lectures as per UTAMU quality assurance guidelines.
- Develop online courseware for all courses assigned to you according to UTAMU e-learning standards and upload these to the Virtual Learning Environment before the course is offered.
- Deliver lessons as scheduled on the time table.
- Provide students with all reading materials needed, engage the students with group work, assignments and attend to their questions/issues within the e-learning system.
- Engage students in at least 2 online chats and 2 discussion forums for each course you teach and give special attention to online students.
- Set, Invigilate and Mark your test/exam including open book exams and tests for online/distance students in your class. Note that there will be two tests and an exam and both will be time tabled centrally.
- Participate in School and University academic activities including meetings, student assessment, and research

and outreach projects.

- Supervise both graduate and undergraduate students in your School.
- Involve in article writing and publications singly or jointly with full time staff members
- Participate in presenting papers in Conferences organized by the University.

- 1.2 Period:** April 1, 2014 to June, 2018.  
**Current Position:** Finance and Administration Manager  
**Organization:** Makerere University - Regional Center for Quality of Health Care (RCQHC) – Funded by USAID East Africa  
**Location:** Makerere University - Kampala, Uganda

**Key Achievements:**

- Led a team which developed tools to streamline procurement of goods and services, accountability of advances and quarterly financial reporting as required by the donors
- Working together with the administration and technical departments, resolved all audit queries in the year Financial Year (FY) 2013/2014, which resulted to a clean audit report for FY 2014/2015.
- Guided teams/departments on preparation of annual work plans and budgets
- Worked together with technical departments, streamlined quarterly and annual technical reporting
- Successfully implemented human resources and financial management polices and developed standard operating procedures for IT department, Internship and Fleet management

**Overall Key responsibilities**

- Oversee finance department to include, financial reporting, budgeting, grants management, policy reviews and audit support
- Oversee Human resource function and coordinate general office administration
- Facilitate procurement process, control of supplies.
- Coordinate with Ministries of Health in East African region on project activities, liaise with health partner institutions and consultants

**Human resource management**

- Oversee RCQHC human resource functions in accordance with the governing laws in areas such as personnel recruitment and orientation; maintenance and updating of personnel files, time sheets, personnel data; leave management; personnel performance appraisals, disciplinary and grievance management systems; staff training and development and staff health insurance management.

**Grants/funds management**

- Facilitate preparation of annual RCQHC and program specific budgets consistent to RCQHC strategic plan and donor requirements.
- Oversee all RCQHC grant and fund management functions including cash flows coordination, implementation of appropriate internal controls, financial reporting and transfers
- Ensure that all financial and accounting documents are properly authorized, supported, recorded and settled in a timely manner giving value for money received in accordance with the RCQHC financial policies and procedures manuals, International Finance Reporting Standards (IFRS) and Generally Accepted Accounting Principles (GAAP).
- Helping technical areas in activity budgeting and tracking budget line item spending

**Procurement and Contracts Management**

- Manage all suppliers and service contracts to ensure the firms perform as per the set contract terms and conditions

- Oversee procurement of goods and services ensuring compliance with relevant policies and procedures, governing laws and regulations.

**Audits**

- Coordinate the selection of External Auditors, preparation of general project and specific financial statements for conduct of audits; liaise with auditors for the conduct of audits, and ensure timely completion of audit reports as well as implementation of all audit recommendations.

**Policies**

- Reviewed financial and accounting manual, procurement manual
- Developed asset management administration policy
- Developed Travel and per-diem policy
- Supported in the review of RCQHC Human Resource manual.

**General office administration**

- Coordinate general office administration such as control of recurrent consumables, maintenance of utilities, supervision of finance and administration staff as well as administrative support to programs to ensure efficient and effective day to day office operations
- Fleet management and supervision of drivers

**Grants and proposal writing**

- Being part of the team in all grants and proposal writing and in charge of budgeting; by understanding the key objectives/strategies of the proposal and develop activities and later on budget the activities.

**1.3 Period:** August 1, 2012 to March 31, 2014.  
**Current Position:** Senior Associate Accountant  
**Organization:** Acclaim Africa Ltd/Regional Center for Quality of Health Care (RCQHC)  
**Funded by:** USAID East Africa  
**Location:** Makerere University - Kampala, Uganda

**Key Achievements:**

- Leader of a team which reviewed Finance and Accounting manual
- Team leader and a coach in the implementation of sound financial controls and policies.
- I led a team which strengthened procurement procedures and controls
- A team member in reviewing of Human Resource Policy

**Key responsibilities:**

- Fund monitoring; track reimbursements from Donor projects, monitor and ensure availability of funds to enable implementation of activities.
- Financial planning; cash flow forecasting with reference to the approved work plans to ensure adequate funds.
- Provision of necessary support during the External Audit.
- Guide in the review and development financial policies, procedures, processes and internal controls therein in accordance with the best practice and Sarbanes Oxley (SOX) standards to (among other goals) meet the assessment criteria articulated in the summary provided by USAID –OMB A 133-SOX assessments.
- Assist RCQHC with the formulation of a comprehensive organization wide budget based on strategy, output and function. Develop a process to monitor budget performance.
- Provide capacity building in the areas of financial management and procurement to RCQHC staff.

**1.4 Period: October, 2008 to July 31, 2012**  
**Position: Grants Manager**  
**Organization: USAID LEAD Project**  
**Location: Kampala, Uganda**

USAID LEAD Project is a \$35 million project, with 30% of the funds allocated to grants)

**Key Achievements:**

- A team leader in building capacity of 45 grantees (who had signed grants agreements worth \$5.7 million) on financial reporting, procurement procedures, grants management process, performance monitoring and human resources management procedures.
- Under my leadership, grants management unit identified 3 grantees that were in violation of financial regulations and terminated these grants saving USAID LEAD from loss totaling Uganda Shillings 428,000,000
- A team member in the reviewing of the grants Management Manual.
- Coached and mentored new staff in the Grants Management Unit staff in grants management cycle.
- Coached technical staff in carrying out work plans with grantees and budget and basic monitoring of grants.

**Key responsibilities:**

- Represents and coordinate USAID LEAD project with Ministry of Agriculture, Local Governments (production department), Private Sector agencies and grantees.
- Participate in Review and Evaluation Committee meetings to achieve an objective and transparent review and evaluation of project proposals
- Determine the optimal support instrument, i.e. grant or sub-contract type for each project and procurement
- Ensure that the grant and sub-contractor agreements conform to applicable requirements, receive all mandatory approvals, and include appropriate monitoring systems;
- Oversee pre-award surveys of potential grantees to assess financial and accounting systems;
- Manage the preparation, review and approval of grant and subcontract agreements for COP and grantee signature;
- Where necessary, provide assistance or training to potential grant recipients so that they are familiar with, and can comply with the procedures necessary to apply for and manage an USAID grant or sub-contract;
- Ensure that the grant and sub-contractor agreements conform to applicable requirements, receive all mandatory approvals, and include appropriate monitoring systems;
- Close-out all grants in accordance with USAID guidelines;
- Working with the LEAD controller in initiating required project close-out audits and resolving any findings;
- Ensure that all grant and sub contracting activities conform to the requirements of the LEAD prime contract and associated U.S Government Federal Acquisition Regulations and AIDAR regulations, as well as the LEAD Grants Manual
- Maintaining a positive working relationship with the USAID Contracts Office, and the LEAD Controller's office.

**1.5 Period: September 2007 to September 2008**  
**Position: Finance and Administration Manager**  
**Organization: USAID MCC/ACT Project (Strengthening Capacity to Fight Corruption in Uganda)**  
**Location: Kampala, Uganda**

USAID MCC was a \$7.5 million project

**Key responsibilities:**

- Represents and coordinate ACT project with Uganda government partner institutions such as: Inspector General of Government (IGG), Uganda Police, Directorate of Ethics and Integrity and Directorate of Public Prosecution (DPP).
- Responsible for developing and implementing financial and administrative procedures such as: payroll, bookkeeping, insurance, budget and cost control, human resources and personnel policies, accounting functions, procurement procedures, contracts, inventory management and control procedures, fleet management and general office management.
- Maintain the bank ledgers for the project accounts; keep the Chief of party informed of the available bank balances for effective planning and timely requisition of operational funds from HO.
- Develops budgeting methodology and aids other component managers in preparing their budgets and quarterly reports.
- Consolidates budgets from component managers on a quarterly basis or more often as needed for submittal to Chief of Party.
- Ensures that taxes and other payments are made in a timely manner to all government agencies.

**1.6 Period:** February 2006 to September 2007  
**Position:** Grants Coordinator  
**Organization:** USAID SDU II (Strengthening Decentralization in Uganda)  
**Location:** UMECS Great Lakes Africa Office - Kampala, Uganda

**Key responsibilities:**

- Representing SDU II as required in Local Government Institutions and CSOs that are participants in SDU's technical assistance activities,
- Provide such input into the SDU II Annual Work Plan, reports or other documents as may be required by the Chief of Party,
- Liaising on all financial matters with the Finance Officer who is the person in charge of the keeping of all records and accounts in respect of the Special Activity Fund,
- Ensure that all activities of the Special Activity Fund are completed (including all accountabilities required) within the period of the contract.
- He works with key individuals within SDU II, district officials, civil society organization (CSO) representatives, and other institution representatives.
- Liaise with Finance Officer and others involved in the design and delivery of training and other technical assistance.
- Train the CBOs/FBOs in financial management and reporting methodology.
- Monitoring and evaluation of the Grant activities.

**Further Experience**

- **January 2003 to Jan 2005:** Research Assistant, Makerere University Institute of Public Health. On the study: Understanding the Impact of Decentralization on Reproductive Health Service Delivery in Africa (EU-funded).
- **Dec 1996 – December 2002:** Accounts Assistant; Skanska Jensen International (U) Ltd.
- **April 1996 – Dec 1996:** Accountant; Wade Adams Construction Co. (U) Ltd.

**Consultancies**

- **Part of the Consultancy team:** Training Busitema University (Medical School Staff) in Grants Proposal writing and Grants Management

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| <ul style="list-style-type: none"> <li>• <b>Part of the Consultancy Team:</b> Setting up the Grants Management Unit for Kampala International University (KIU) main Campus</li> <li>• <b>Costing Consultant:</b> Ministry of Health/ Uganda Malaria Research Centre, 2016. Development of a Five (5) Year Strategic Plan for Uganda Malaria Research Centre for the period 2015/16 – 2020/21</li> <li>• <b>Lead Consultant:</b> Development of a Five (5) Year Strategic Plan for the period 2015/16 – 2020/2021 for Ongino General Hospital, Kumi – Uganda</li> <li>• <b>Lead Consultant:</b> Development of Business plan for the period 2014/2015-2019/2020 for Ongino General Hospital, Kumi – Uganda</li> </ul>   |
| <b>2. Other duties/Voluntary work</b>  |
| <ul style="list-style-type: none"> <li>• Finance and Strategic Planning Committee Member (from 2015 to date) - Kampala International University Council</li> <li>• X-officio Board member (from 2013 to date) - Makerere University School of Public Health/Regional Center for Quality of Health Care (RCQHC)</li> <li>• Reviewer - Journal of Economics and International Business Management JEIBM <a href="http://sciencewebpublishing.net/jeibm">http://sciencewebpublishing.net/jeibm</a></li> <li>• Associate Editor - Journal of Social Science and Humanity (JSSH), website: <a href="http://www.triplearesjournal.org">www.triplearesjournal.org</a></li> <li>• Reviewer - African Educational Research Journal (AERJ)</li> <li>• Reviewer - Research Journal of Educational Studies and Review (RJESR)</li> </ul> |
| <b>3 Educational background</b>  |
| <u>On-going studies</u>  |
| <p>1. <b>Masters in Management Science</b> at Uganda Management Institute. Topic: <b>Organizational systems (i.e governance, financial and human resource management) and the sustainability of donor funded Small and Medium Enterprises (SMEs) in Uganda – A case of USAID LEAD project.</b> Expected graduation date, March, 2022</p>   |
| <u>Completed Studies</u>   |
| <p>3.1: <b>2021 - PhD (Management)</b> of Mbarara University of Science and Technology (MUST) (Topic: <b>Change management practices and performance of selected Local Governments in Eastern Uganda</b>)</p>  |
| <p>3.2: <b>2014 - Post Graduate Diploma in Project planning and Management (DPPM)</b> – Uganda Management Institute</p>  |
| <p>3.3: <b>2007 – Masters in Business Administration (MBA – finance and accounting)</b> – Makerere University</p>  |
| <p>3.4: <b>2003 – Bachelors of Commerce (B.Com accounting option - 2<sup>nd</sup> class upper division)</b> – Makerere University</p>  |
| <p>3.5: <b>1993 – Uganda Diploma in Business Studies (UDBS)</b> – Uganda College of Commerce Soroti</p>  |
| <b>Other Short Trainings (selected):</b>   |
| <p>- Certificate in Participatory Action Research (PAR) – Makerere University &amp; UNESCO Institute of Life Long Learning, October, 2016</p>  |
| <p>- Certificate in Research Writing Course, AuthorAID from 18 October 2016 to 28 November, 2016</p>   |
| <p>- Certificate in Writing Winning Grant Proposals, by Makerere University and AuthorAID, August, 2015</p>  |
| <p>- Post graduate Certificate in Project Monitoring and evaluation, 2012, Makerere University</p>   |
| <p>- Certificate in Managing for Results - USAID UMEMS Project, 2011</p>   |
| <p>- Certificate in Performance Monitoring - USAID UMEMS Project, 2007</p>   |
| <p>- Protecting the Vulnerable and Design of Effective safety nets, 2002, World Bank Institute</p>   |
| <b>4 Computer programmes</b>   |
| <ul style="list-style-type: none"> <li>• Computer Proficiency in Microsoft office: – Word, Excel, Access, PowerPoint</li> <li>• Quick books accounting package</li> </ul>  |

- Knowledgeable in internet applications such as e-learning
- SPSS
- Atlas-Ti.8

## 5 Publications

- **Aupal, W. K.**, Picho, O. E., Ngaka, W., & Oleja, C. (2020). Employees involvement as agent of change management and performance of local governments in eastern Uganda: an empirical study. *International Journal of Technology and Management*, 5(2), 1-20
- Hakizimana, D., & **Aupal, W. K.** (2020). An Assessment of Cultural Factors and Adoption of New Green Gram Varieties by Famers in Soroti District. *International Journal of Technology and Management*, 5(2), 1-14.
- **Aupal, K. W.** (2017). Does Effective Communication Improve Performance of Public Sector? Perspectives from Selected Local Governments in Eastern Uganda. *Triple A Research Journal of Social Science and Humanity*, 2(2) 060-066
- **Aupal, K. W.** (2017). Executive support and performance of selected local governments in Eastern Uganda. *International Journal of Technology and Management*. 2(2), 1-17
- **Aupal, K. W.** & Gunasekare, T. (2017). Firm and Borrower Characteristics for Performance of Micro and Small Enterprises (MSEs): Evidence from Micro Finance Institutions (MFIs) in Uganda. *Journal of Business Management and Economics* 5(12), 24-27. <http://dx.doi.org/10.15520/jbme.2017.vol5.iss12.277.pp24-27>
- **Aupal, K. W.** & Oleja, C. (2017). Adoption of ICTs for Service Delivery Improvement by Local Governments in Uganda: Communication Tools. *Global Journal of Management and Business Research (GJM BR)*, 17(2), 63-70.
- **Aupal, W. K.** & Ngaka, W. (2017). Understanding Governance, ICT and Organisational Sustainability: Perspectives from Donor funded Small and Medium Enterprises (SMEs) in Uganda, *International Journal of eBusiness and eGovernment Studies*, 9(1), 39-54. [http://www.sobiad.org/eJOURNALS/journal\\_IJEBEG/archieves/IJEBG2017-1/Wilfred-Kokas.pdf](http://www.sobiad.org/eJOURNALS/journal_IJEBEG/archieves/IJEBG2017-1/Wilfred-Kokas.pdf)
- Hakizimana, D., & **Aupal, W. K.** (2020). An Assessment of Cultural Factors and Adoption of New Green Gram Varieties by Famers in Soroti District. *International Journal of Technology and Management*, 5(2), 1-14.
- Olico-Okui, Wabwire-Mangen, F., Ssali, S., Rutebemberwa, E., Ekirapa, E., Sera, D., & **Aupal, K. W.** (2006). Understanding the impact of decentralisation on reproductive health services in Africa. Uganda Country Study Report: Makerere University, Institute of Public Health.
- **Aupal, K.W.** (2006). Micro Finance Institutions (MFIs) loans and the performance of selected Micro and Small Scale Enterprises (MSEs) in Kumi and Soroti Districts. A dissertation submitted to Makerere University for the award of Masters of Business Administration degree of Makerere University. Makerere University Printing Press
- **Aupal, K.W.** (2002). The Impact of MFIs Loans on Poverty Eradication in Uganda: A case of UWESO Kumi Branch. As partial fulfillment for the award of B.Com degree of Makerere University. Makerere University Printing Press

### International Conferences Attended:

- 7<sup>th</sup> International Conference on Technology and Management (ICTM-2020), 7<sup>th</sup> – 9<sup>th</sup> September 2020. Kampala – Uganda. **Presented a paper titled:** Employees Involvement as Agent of Change Management and Performance of Local Governments in Eastern Uganda: An Empirical Study

- 4<sup>th</sup> International Conference on Technology and Management (ICTM-2017), Kampala - Uganda  
**Presented a paper titled:** Adoption of ICTs and Service Delivery Improvement by Local Governments in Uganda
- 3<sup>rd</sup> International Conference on Technology and Management (ICTM-2016), Kampala - Uganda  
**Presented a paper titled:** Executive Support as a Change Management Practice in the Performance of Local Governments in Eastern Uganda
- International Conference on e-Business and e-Government (ICEBEG-2017), Kampala - Uganda  
**Presented a paper titled:** Understanding Governance, ICT and Organisational Sustainability: Perspectives from Donor funded Small and Medium Enterprises (SMEs) in Uganda

7 Referees

- **Hon. Okaasai S. Opolot (MP)**  
Member of Parliament, Kumi County  
Minister of State for Energy  
Tel. 0772589642
- **Dr. Willy Ngaka,**  
Senior Lecturer, Head of Department Adult and Community Education,  
Ag. Dean School of Distance and Life Long Learning,  
Makerere University Kampala  
Tel. 07722411304, Email: [wngaka@gmail.com](mailto:wngaka@gmail.com)
- **Pof. Fred Wabwire-Mangen**  
**Executive Director**  
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Tel: +256 772 732 206, Email: [fwabwire@musph.ac.ug](mailto:fwabwire@musph.ac.ug)
- **Pamela B. Nyamutoka Katooro**  
**Regional Director African Region/Country Director**  
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