



Department/Agency:	Executive Legislative	New Position Date:	
Position:	Deputy Director – Internal Audit	Date Revised:	11/16
Position Reports to:	Director	FLSA Status:	Exempt
Division:	Office of Audit and Performance	Grade:	14
Status:	Full-Time	Direct Reports:	3

Position Summary

Position is responsible to the director for developing and managing the city-county internal audit program, and serves as the chief administrative officer for the Office of Audit & Performance. In particular, this position develops policies, procedures, and strategies for the effective operation of audit activities; and fraud, waste, and abuse assessments. Additionally, this position is responsible managing the contract for the external audit of the city-county financial statements. Programs and activities are designed to serve all city-county entities and employees by strategically utilizing staff resources to add value to other city-county agencies/departments by enhancing accountability and transparency and contributing thought leadership to promote a culture of continuous learning and improvement and establish best practices and outcomes in internal audit.

Position Responsibilities

Devise policies and procedures to ensure activities comply with Generally Accepted Government Auditing Standards (GAGAS) by ensuring adequate levels of quality and control are maintained throughout projects.

Ensure audit staff maintains strict objectivity and conducts activities in accordance with ethical and professional guidelines.

Ensure adequate staffing levels are maintained by identifying traits and requirements needed to develop a well-rounded team, seeking potential candidates for vacant positions, and conducting interviews.

Ensure employees are properly on-boarded and off-boarded consistently in accordance with Human Resources and security guidance.

Resolve audit problems that occur and develop modifications to coverage and schedule.

Ensure work papers are adequately documented and audit evidence is sufficient.

Oversee and review audit reporting and exit conferences for accuracy

Ensure staff auditors receive training necessary to allow for successful execution of job duties and satisfaction of Continued Professional Education (CPE) requirements associated with auditor’s certifications.

Oversee the development, coaching, and mentoring of junior auditors.

Establish and maintain adequate and appropriate policies, procedures, and publications.

Research and keep abreast of legislative issues, new audit regulations/trends and audit methodology. Discuss updates of new regulations with senior management and staff and relevant departments.

Monitor and evaluate audit staff performance for productivity, core competencies, cooperation, and compliance with applicable policies.

Use advanced analytical skills to develop an intricate understanding of city-county entities, business processes, functions, and systems, in order to evaluate the suitability and feasibility of recommendations presented by staff.

Enhance the efficiency and effectiveness of the audit process to reduce the time and resources needed to complete an engagement, while ensuring consistency and compliance with applicable policies and employing automated data analytics and programs.

Establish and maintain a quantifiable enterprise risk assessment program to set priority for audit engagements and risk mitigation programs

Develop an annual audit plan and assign audits consistent with an enterprise risk assessment.

Establish relationships and consistent communications with executive leaders and department heads and to discuss issues and identify concerns.

Establish and institute a criteria and process for receiving anonymous tips and assessing fraud, waste, and abuse across the enterprise.

Negotiate and manage a contract for the external audit of the city and county annual financial reports, pursuant to federal and state mandates.

Ensure the staff functions for the audit committee are being performed in collaboration with the secretary of the Audit Committee.

Responsible for on-going process improvement projects/audits.

Trains of staff and associates in Lean Six Sigma and financial reporting

Supports the City and County agencies in creating and maintaining Standard Operating Procedures.

Performs preliminary review and update Sigma training program.

Responsible for the adherence to the City of Indianapolis Policy and Procedures Manual regarding the hiring and termination of subordinates, planning and scheduling work by setting priorities and goals, reviewing and evaluation work product and performance, monitoring progress of work upon completing of assignments, hiring the training of subordinates, and providing counseling and disciplinary action. Provides direction and consultation to subordinates.

Determines project and engagement procedures to be applied during the course of a performance engagement.

Obtains, analyzes, and appraises evidentiary data as a basis for an informed recommendation to line of business management for process improvement

Reviews work papers of staff and determine whether improvement conclusions are supported by adequate documentation and if proper procedures/steps were applied.

Prepares or reviews IndyStat reporting is completed by scheduled meetings.

Works with Department Managers to provide all required data needed to complete IndyStat reporting.

Reviews and evaluates executive management responses to improvement recommendations.

Provides training and conducts in-house training on technical material for Performance Team.

Performs special reviews at the request of the Mayor, Executive Management, City/County Council and Audit Committee.

Provides consultation regarding new/modified accounting or management systems upon request.

Signs all public reports issued by the Office.

Performs administrative tasks delegated by Director, such as drafting letters, and memos; has authority to sign requisitions and claim forms in the absence of the Administrator.

Reviews work papers prepared by departmental financial personnel.

This list of duties and responsibilities is not intended to be all-inclusive and may be expanded to include other duties or responsibilities that management may deem necessary from time to time.

Ensure administrative and clerical tasks are being completed in an efficient and effective manner, and ensure purchases are in keeping with the best interest of the organization and a good stewardship of funds.

This list of duties and responsibilities is not intended to be all-inclusive and may be expanded to include other duties or responsibilities that management may deem necessary from time to time.

Job Knowledge, Experience, and Skills Required

Bachelor Degree in Economics, Finance, Business or Public Administration, Management, Accounting; or a four (4) year degree in other disciplines such as Computer Science, or Industrial Management would be acceptable provided the candidate has completed twenty-one (21) hours of accounting courses. Five (5) years management experience and five (5) years auditing experience. Certified Public Accountant preferred. Must be willing and able to obtain professional certifications related to the job. Must have a valid Indiana Driver's License. Requires an advanced degree of analytical and logical deduction. Requires strong verbal and writing skills. Intermediate to advanced familiarity with computer-based accounting systems and business software such as word processing, spreadsheets, and databases. Ability to evaluate internal controls of an accounting system. Ability to research and comprehend federal, state, and local laws and regulations. Ability to understand city-county government, its structure and functions. Ability to understand city-county accounting and operating policies, practices, and procedures. Advanced knowledge of generally accepted accounting principles, audit standards, procedures, techniques and sampling methods involved in conducting financial and operational audits. Ability to maintain confidentiality of sensitive information.

Independent Judgment

Actions are controlled through the application of established city-county policies and procedures, as well as federal, state, and local laws. However, the incumbent operates within a wide range of discretion on matters such as hiring, firing, budgetary appropriations and expenditures for the division under his or her control. Ability to maintain objectivity and express sound independent judgment is vital in preventing or detecting errors that have the potential to cause irreparable damage to the office's reputation.

Working Conditions

The incumbent interacts with people throughout city-county government, along with external auditors, vendors, contractors, auditors, and various state officials. Relationships require a high degree of courtesy, diplomacy, tact, and persuasiveness. Work is performed in both standard office and non-office environments with frequent travel to outlying units of city departments and county offices. The incumbent may be exposed to work conditions and environments of any city-county employee across the enterprise, and may occasionally be exposed to hazards such as noise, weather, chemicals, odors, etc. Working hours may vary with the auditee's operating schedule. Some late hours or night work may be necessary. Frequent pressure to meet deadlines.

Signatures

Supervisor/Manager

Date

Administrator/Agency Head

Date

Human Resources – Supervisor-Compensation & Records

Date

Date Printed: December 15, 2016