



## City of Irving Job Description

### Senior Compliance Auditor

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<b>FLSA Status:</b>	EXEMPT	<b>Job Department:</b>	Financial Services Department or Community Development Division
<b>Job Code:</b>	F141	<b>Reports To (Job Title):</b>	Controller or Community Development Manager

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#### PURPOSE

To perform internal audit procedures to ensure internal controls exist and are designed to provide reasonable assurance regarding the achievement of objectives relating to operations, reporting, compliance, and safeguarding of assets. Further, to evaluate operations are performed effectively, efficiently, and economically in achieving the overall mission established by management, and, *if assigned to Community Development Division*, as per U.S. Department of Housing and Urban Development (HUD). *If assigned to Financial Services*, evaluation includes overall city operations.

#### ESSENTIAL DUTIES AND RESPONSIBILITIES

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily.\*

- Perform complex financial, compliance and performance audits and other reviews by conducting tests and analyses that achieve each project's objectives, which includes regulatory requirements.
- Prepare audit work papers to support work performed.
- Assist in the draft of reports or memos communicating results.
- Evaluate and improve the effectiveness of managing risks, controls, and governance processes throughout *designated* operations, including compliance with contractual terms and federal and state regulations.
- Perform follow-up reviews to determine whether prior recommendations have been implemented.
- Perform consultative projects with a focus on strengthening internal controls.
- Assist in validation of budget, which includes expenditure compliance.
- Lead others in efforts to assure compliance and optimize performance.
- *As assigned*, present findings of analysis to management.
- Perform related duties as assigned.

#### **If Assigned to the Community Development Division:**

- Assist in the development of the annual Action Plan, Consolidated Annual Performance and Evaluation Report, Five-Year Consolidated Plan, Analysis of Impediments, and/or any other documents as necessary.
- Perform monitoring audits and reviews of non-profit agencies in accordance with HUD guidelines.

#### **If Assigned to Financial Services:**

- Assist in the development of the annual audit plan.
- Perform audits and reviews in accordance with a variety of professional standards, including but not limited to Generally Accepted Government Auditing Standards (GAGAS), International Standards for the Professional Practice of Internal Auditing Framework (IPPF) and the Internal Control-Integrated Framework (COSO).
- Assist in the validation of rate models, computer conversions, etc.

## **OTHER DUTIES AND RESPONSIBILITIES**

- Conduct meetings, presentations, and interviews with various City staff and contact vendors for audit purposes as directed by Controller or Compliance Review Team.
- *If assigned to Financial Services*, assist with destruction of purchasing cards.

## **SUPERVISORY RESPONSIBILITIES**

Functional and Technical Supervision - Regular responsibility for giving direction and guidance to employees as a lead worker, project manager or internal advisor. As an ongoing part of the position, the employee can expect to supervise approximately 0-5 employees on various projects.

Organizational Supervision (*As Assigned*) - Applies to full personnel management responsibilities including selection, discipline, grievances and formal performance evaluations for a position's direct reports plus all employees reporting up through subordinates, which *may* include approximately 1-2 employees.

## **FINANCIAL / BUDGETARY RESPONSIBILITY**

Performs risk assessments for multi-million dollar budgets.

## **QUALIFICATIONS:**

The requirements listed below are representative of the knowledge, skill, and/or ability required.\*

### **EDUCATION**

- Equivalent to a Bachelor's degree from an accredited college or university in Accounting, Finance, or related field.

### **EXPERIENCE**

- Minimum of four (4) years of related experience.

### **CERTIFICATES, LICENSES, REGISTRATIONS**

- Preferred: Certified Public Accountant (CPA), Certified Internal Auditor (CIA), Government Auditing Professional (CGAP), and/or Certified Information Systems Auditor (CISA).
- Appropriate, valid, state-issued driver's license, or ability to obtain upon hire, may be required.

### **KNOWLEDGE OF**

- Understand internal audit principles and apply the Generally Accepted Government Auditing Standards (GAGAS) and Generally Accepted Auditing Standards (GAAS)
- Accounting principles and practices including general ledger transactions, fund accounting, and Comprehensive Annual Financial Report (CAFR) reporting requirements.
- Computer Usage: Computer hardware and software applications such as Microsoft Office Suite products and city systems.

- Statistical principles and process dealing with the collection and recording of information for use in report presentations.
- Knowledge of government policies of local, state and national levels.

## **SKILLS AND ABILITIES IN**

- Complex Problem Solving: Identifying problems and reviewing related information to develop and evaluate options and implement solutions.
- Program Assessment: Evaluating current / potential programs for effectiveness and efficiency.
- Time Management *under duress*: Managing time wisely to complete assignments on time, which includes working under pressure and meeting timelines.
- Interactive Presentation: Effectively presenting information to groups and responding to questions.
- Written Expression: Communicating information and ideas in writing so others will understand including routine reports, correspondence, and present formats.
- Report Generation: Reporting, researching, analyzing and compiling data and preparing concise documents.
- Self-Management: Working independently with minimal supervision.
- Organizational Strategies: Tracking multiple variables by sorting, grouping, and calendaring.
- Cooperation: Establishing and maintaining effective working relationships with colleagues, other city employees, city officials, and the public, which includes demonstrating strong interpersonal skills.

## **GUIDANCE RECEIVED**

### **General Standards**

A range of professional standards and methods guide completion of assignments and decisions made. Adherence to policy, City procedures and general supervisory direction is expected. Position incumbents are responsible for making recommendations about changes to methods, procedures and policies and helping to implement changes.

## **OUTSIDE CONTACTS**

Public at large

## **EQUIPMENT AND PROPERTY**

City-owned computer equipment and software.

## **PHYSICAL DEMANDS**

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job.\*

Employee is required to listen, see, talk, walk, to drive a vehicle, sit and/or stand. Occasionally, s/he is required to carry, grasp, handle, feel, kneel and/or lift up to 25 pounds. Rarely, s/he is required to pull, push, and/or reach. Specific vision abilities required by this job include close vision, distance vision, and color vision.

## **WORK ENVIRONMENT**

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job.\*

The noise level in the work environment is usually quiet.

\* Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

**Note:** A class specification is a general listing of duties, responsibilities, knowledge, skills, and abilities required of an incumbent assigned to a particular class of work. There may be one or multiple positions assigned to a single classification; therefore, the class specification lists those work attributes that are common to every incumbent in the class.