

CHIEF INTERNAL AUDITOR FINAL TASK LIST 2016

Technical Tasks

1. Plans, directs, coordinates, reviews, and approves the work of a group of senior and entry-level professional employees (e.g., internal auditors, student interns, administrative staff) engaged in financial, performance, compliance, and/or information technology audits of all City departments and organizations by holding staff meetings, daily status updates, and reviewing work products to ensure the completeness, accuracy, and objectivity of audit reports, findings, and recommendations.
2. Manages the progress of audit fieldwork by conferring with employees and determining methods to expedite completion, including answering questions, providing advice and information regarding specific and complex issues (e.g., fieldwork interviews, data analysis methods), ensuring necessary resources (e.g., staffing, availability of department/organization audited, sufficient data for analysis) are available, helping to remove obstacles that impede audit progress, and sharing experience regarding efficient and effective strategies for accomplishing audit objectives in order to ensure the completion of audit fieldwork.
3. Directs staff through verbal and written communication to evaluate department operations by asking questions or requesting specific information related to financial matters, such as budget documents, cost estimates, expenditure reports, and revenue projections, in order to understand current or anticipated income or expenses; determining the adequacy of current resources based on consideration of facts, potential benefits, consequences, and practicality; evaluating effectiveness of department processes in achieving program objectives by providing conclusions based on an evaluation of sufficient, appropriate evidence against criteria; comparing the advantages of alternative courses of action by considering factors such as cost, feasibility, effect on the department and/or the public, time frame, and long and short term benefits and risks.
4. Reads and reviews work documents (e.g., draft reports), council actions, audit reports, records, contracts, billings, new or revised procedures, and/or charter rule or code changes, and related correspondence to ensure accuracy, logic, and consistency with established policies, guidelines, practices, laws, studies, cost estimates, and budgetary decisions; gather information, background, history, or facts; determine if a detailed, document review of all audit work has been performed; and ensure that the documents and reports contain language that is clear, concise, and grammatically correct; are appropriate in tone; contain adequate background and factual material; are prepared and presented in accordance with Generally Accepted Government Auditing

Standards (GAGAS); and findings and recommendations are appropriate and supported.

5. Assists the Director of Auditing and the Controller in creating the annual audit plan by suggesting potential audit areas based on risk (e.g., financial, operational, legal) to maximize overall impact to City departments and organizations considering available resources (e.g., staffing, budget).
6. Manages the lead auditor in the audit planning process, including developing innovative approaches such as focus groups, surveys, and benchmarking to achieve audit objectives such as determining performance indicators and best practices; approving audit programs, time budgets and other planning documents.

Written and Oral Communication

7. Communicates with department employees, individual complainants, members of the news media, higher level City managers, governmental representatives, commissioners, representatives of outside agencies, employee organizations, union representatives, and stakeholders via phone, email, or in-person in order to facilitate their goals and objectives, provide explanations, determine, hear, and resolve concerns, discuss various matters (i.e., grievances, policy, or long-range planning issues), obtain support or agreement on issues (i.e., audit), gather and provide requested information (i.e., history, background, or facts), discuss or recommend solutions to complex problems, ensure that projects are completed and objectives are achieved in a timely manner, and answer questions regarding department goals and objectives, organizational structure, personnel assignments, policy and procedural issues, and internal or external factors affecting the department and its employees.
8. Documents completed work activities, deviations from planned work, concerns, ideas, and suggestions in order to inform management, ensure all parties are provided relevant information and to accomplish department objectives.
9. Makes formal oral presentations to individuals and groups within and outside the City of Los Angeles, including but not limited to City Council, City Council committees, commissions, public and private agencies, oversight agencies, and community organizations, in order to provide background, explain possible solutions or options to specific problems, state the department's position, provide requested information, explain policies or actions, or assist in the establishment or implementation of policy
10. Writes narrative reports, position papers, briefs, memos, letters, and/or new or revised policies, practices, or procedures in areas such as department operations, resource utilization, fiscal management, personnel, labor

relations, and organizational effectiveness containing language that is clear, concise, and grammatical; are appropriate in tone; contain adequate background and factual material; and include appropriate findings and recommendations in order to improve the overall functioning of the department and ensure effective delivery of auditing services.

Information Gathering

11. Estimates operational and/or staffing needs based on information and data provided by subordinates or obtained independently through conferring with other audit managers internal or external to the organization in order to provide information for future planning and/or to justify budget requests including procuring resources within the organization or via contract.
12. Stays informed of current issues, topics, and legislation affecting the department by reading local newspapers, magazines, professional journal articles, other professional publications, or by listening to discussions appearing in electronic media in order to determine their impact on department operations, policies, goals, or direction.
13. Gathers information (e.g., finances, procedures, time spent for activities) by asking questions of staff, organizes data, looks for patterns or trends, makes comparisons of facts, decides on relevance of information, determines relative importance of information, considers new information, and determines whether, or at what point, sufficient information is available to base decisions in order to develop plans and proposals for the operations and activities of a section, resolve managerial or operational problems within area of responsibility, to recommend changes in methods or programs, reach an understanding of issues, topics, or problems, and project future direction or anticipate future needs of the department.
14. Reviews the performance of contractors engaged to perform audits, provide subject matter expertise, or other specialized services (e.g., writing coach, recruitment) to assure a high quality work product in compliance with contract objectives.

Supervision

15. Provides leadership, administrative direction, and on-the-job training (e.g., audit protocols, analysis and interviewing techniques, supervision) to motivate and develop the capabilities of assigned staff.
16. Interviews job candidates to fill vacant positions within the department by assessing the necessary competencies and applying the principles of Equal Employment Opportunity (EEO) in order to identify and select the most qualified candidate.

17. Delegates work to staff by providing a written or verbal work instruction to assure priority assignments are handled first and workload is distributed appropriately.
18. Informs employees of responsibilities and performance standards for objectives to be achieved and evaluates employee performance on an ongoing basis in areas such as task performance, communication, division/department performance, achievement of goals and objectives, and timeliness; documents employee evaluations; and discusses evaluations with the employee in order to provide positive and negative feedback and to improve skills, identify developmental needs, and enhance success.
19. Listens to employee grievances and disputes to identify a fair solution based on facts; resolves conflict among subordinates by openly dealing with problems and taking corrective action; counsels employees regarding problems such as rule infractions or inappropriate conduct; and/or disciplines employees following departmental progressive disciplinary procedures in order to perform personnel policy functions.
20. Performs timekeeping functions such as approving/disapproving employee requests for time off and verifying timesheets in order to assure appropriate documentation and recommend staffing decisions based on anticipated need, workload projections, organizational goals, and available resources to ensure work projects can be accomplished effectively and according to established timelines.
21. Mentors employees by advising them on issues such as discipline content and/or level, labor relations, policy and procedure interpretation, training, safety, and EEO issues; and observing performance and outcomes to determine actions they might take to improve their skills and abilities or additional coaching or training needed.