

## The Maryland-National Capital Park and Planning Commission

TITLE: Deputy Inspector General

GRADE: 36

DATE: 2/26/2018

SERIES: Inspector General

CODE: 1209

EEO: Executive

FLSA: Exempt

### Class Definition:

Under general direction of the Inspector General, manages the internal audit and investigation activities of the Commission; which includes the day-to-day operations, staff, programs and projects. Works closely with the Inspector General to plan, develop, and implement a comprehensive Commission-wide, risk based, work program in compliance with generally accepted government auditing standards (GAGAS) and Principles and Standards for Offices of Inspector General. Ensures completeness, soundness, sufficiency and, as pertinent to the assignment, integration of work across audit subject areas – major departments, critical programs, operations or diverse subject matter areas. Makes recommendations to implement or improve auditing policies, processes and procedures from a systemic perspective. Some work is highly confidential or highly sensitive. Independently, plans, performs, documents, reports and closes out performance audits, information technology/information system (IT/IS) audits, and managerial advisories and special studies. On a regularly recurring basis, the work has important impact on management assessment of major work programs and business systems of Commission-wide significance. Work may have significant reputational and/or fiscal implications for the Commission on a whole (e.g. review of high dollar vendor contracts, RFP compliance, investigations of Commission vendors, identification of security breaches, loss of personal identifiable information). Applies extensive knowledge of professional auditing, knowledge of investigations and knowledge of key guidelines covering such functional or business domains as budgeting, accounting, financial management and general information technology system controls to audit a wide range of business systems and operations and knowledge of administrative management altogether to ensure products and services are effective. Applies highly specialized forms of analysis in consideration of long-term endeavors; performs intensive analysis and probing assessments of multiple, interactive variables, including uncertainties, to determine effects. Interacts with people inside and outside the organization to exchange information, coordinate, instruct, guide, advise and obtain agreement or compliance or achieve other desired actions. Meets the FLSA standard for exemption as a supervisor. Performs other duties, as assigned.

Work is assigned in terms of functional responsibilities, goals, priorities, and resources. The incumbent independently plans and manages all unit work within this framework and is held accountable for provision of effective audit products and services including advice to management and achievement of unit/team and Commission goals. The incumbent is expected to keep the supervisor informed and to seek assistance only for unmanageable problems. Work is expected to meet objectives highly effective and is evaluated in terms of achievements, teamwork, customer service and other factors such as skill and ingenuity in overcoming technical and non-technical problems.

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### Examples of Important Duties (Estimated Percentages):

#### 1. Unit/Team Management (±30%)

- Plans, develops, organizes and directs a coordinated Commission-wide internal audit program and staff. Develops audit approaches and methodology in conformity with Generally Accepted Government Auditing Standards (GAGAS). Reviews and appraises soundness, adequacy, availability and application of appropriate guidelines, standards, and methodologies for audit, inspection and investigation work to promote effective and efficient internal control at reasonable cost. Develops and maintains a quality assurance/improvement program covering all aspects of internal audit, including periodic external reviews (e.g. PEER review) and on-going self-assessments; undertake ad hoc inspections to identify risks within Commission, which could enable fraud or hinder implementation of work program. Proposes corrective action; ensures that all cases of reported or suspected misconduct, fraud, malfeasance, mismanagement, waste of resources, abuses, or violations of rules, regulations and administrative instructions are promptly and fully investigated; liaisons with relevant authorities as necessary. Administers Commission's independent hotline.
- Keeps unit staff informed of Commission policies and procedures. Establishes unit work program goals and objectives; sets work standards; enforces work rules; plans, schedules, assigns, and reviews the work of the unit. Provides input for, recommends and administers approved unit budgets (controls expenditures); manages unit staff and other personnel in support of programmatic objectives and operational requirements; monitors work operations; and ensures oversight of the work of consultants and contractors.
- Performs a full range of supervisory HR management functions, unit-wide. Initiates or recommends official personnel actions such as recruitment, selection and transfer. Selects or helps select staff. Trains and develops staff or ensures staff training and development. Mentors and coaches; counsels or disciplines. Approves leave; ensures adherence to Equal Employment Opportunity (EEO) requirements and pertinent Commission policies and procedures. Establishes and communicates objectives and expectations, and evaluates performance.

#### 2. Quality Assurance/Quality Control/Related (±60%)

- Plans, performs and documents performance and information technology/information systems audits in accordance with Generally Accepted Government Auditing Standards. Prepares and reviews comprehensive Audit Plan and Audit Program for each investigation. Assesses inherent risks, internal controls, and residual risk for each investigation. Ensures audit reports addresses all concerns and issues and all relative leads were pursued. Ensures audits/investigations are completed within the timeframe established by the Annual Audit Plan; reviews and approves audit work papers.

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- Investigates charges of fraud, waste and abuse; conducts and documents interviews. Administers oaths, takes depositions and other testimony and subpoenas any person or evidence. Works collaboratively with Department of Human Resources and Management, Office of General Counsel and Park Police to ensure audit testing and documentation is reliable and can be supported in any future actions (e.g. with Merit System Board, State's Attorney's Office). Collaborates with States Attorney's Office, including by not limited to, providing testimony in criminal actions; provides recommendations to strengthen internal controls when appropriate.
- Conducts management advisories and special studies of a complex nature. Researches policies and procedures of other governmental entities to identify best practices. Assesses overall compliance with Federal, State and local regulations, tax codes and policies and procedures of the Commission. Identifies ineffective, inefficient or improper management practices, as well as sub-optimum practices or controls. Use of large volumes of data may require advanced technical and analytical skills to identify patterns, trends, and irregularities. Develops and presents recommendations to Commission management including practical ways to optimize controls and improve efficiency. Creates reports that may be complex, and include regression analysis, charts, graphs and other media.
- Updates performance standards as necessary in accordance with Commission's Performance Management Program. Develops and updates internal audit principles and procedures. Submits principles and procedures manual to the Audit Committee for approval. Ensures principles and procedures manual address all facets of complex internal audit program. Ensures all activities within Office of the Inspector General (OIG) confirms with documented principles and procedures manual. Oversees OIG's Certified Professional Education (CPE) program. Ensures all OIG personnel receive required amount of professional education to meet professional certifications (e.g. CPA, CFE) and GAGAS requirements.
- Provides technical guidance and expertise to Inspector in completion of system/application implementations and security reviews.
- Ensures systems are in place to follow-up on implementation of recommendations in line with best practices; monitors and reviews adequacy and effectiveness of actions taken as a result of the audit recommendations.
- Develops risk based annual audit plan approved by Audit Committee to undertake performance audits, fraud, waste and abuse reviews, management advisories, and follow-up audits; monitors and updates/revises projects, tasks, and time frames based on staffing ability, fluctuating risk factors and requirements of Commission. Administers annual Commission-wide risk assessment to provide the basis for annual audit plan.

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### 3. Other (±10%)

- Provides advice to senior management and other responsible officials on audit and internal control issues and on corrections and improvements. Reports to the Audit Committee on a regular basis; coordinates with external auditors to ensure sufficient audit coverage, to minimize duplication and to create added value through efficient and effective audits. Ensures reporting of internal audits, investigations and inspections are complete, clear, concise, constructive, objective, accurate and timely. Manages final audit report review and public dissemination procedures to ensure transparency.
- Assists with development of the unit's budget. Prepares the annual budget and supporting documentation. Monitors the status of budget throughout year and ensures actual expenditures do not exceed approved budget; uses Commission resources in most efficient and effective manner in compliance with rules and regulations.
- Provides professional consulting services in all areas of general operations (finance, human resources, purchasing, policy development, etc.). Identifies ineffective, inefficient, or improper management practices. Develops constructive recommendations and presents recommendations to Commission management.
- Conducts research on and maintains proficiency in emerging professional standards. Stays informed of developments in auditing including knowledge of laws, methods, standards and techniques.
- Serves as Acting Inspector General in Inspector General's absence.

### Important Worker Characteristics:

- A. (1) Extensive knowledge of principles, standards, methods, techniques and generally-accepted practices of professional auditing across various functional and business domains such as accounting, purchasing, payroll, human resources, and information technology including Generally Accepted Government Auditing Standards (GAGAS), Generally Accepted Auditing Standards (GAAS), Principles and Standards for Offices of Inspector General, and National Institute of Standards and Technology (NIST).
- (2) Extensive knowledge of key Federal regulations and guidelines governing accessibility or protected information pertinent to business systems or operations such as the accessibility and privacy provisions of the Health Insurance Portability and Accountability Act (HIPAA), Payment Card Industry Data Security Standards (PCI-DSS) and related state and local rules and guides such as the Maryland Public Information Act (MPIA).
- (3) Comprehensive knowledge of (a) forensic auditing for investigation of suspected fraud, waste and abuse; (b) inherent and residual risk and mitigation controls; and, (c) computer and network systems.
- (4) Knowledge of key Commission work programs to review operational practices; track plans and spending; advise on standard and non-standard controls; detect or document fraud, waste and abuse; and advise on ways to guard against potential fraud, waste and abuse\*.
- (5) Knowledge of Commission organization, policies, and procedures including audit processes\*.

*\*Typically acquired or fully developed primarily after employment in this job class.*

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- B. Considerable skill in problem solving in order to select, organize and logically process relevant information (verbal, numerical or abstract) to solve a problem. This includes skill in recognizing subtle aspects of problems and making recommendations and decisions.
- C. Skill in communication to understand verbal and written information (including facts, assertions and arguments), draw inferences, form hypotheses and develop logical arguments, and to express such information so that others will understand, and at times, agree, comply or take other desired action(s). This includes skills in actively listening to ascertain key information, perspectives, concerns, wants and needs of others, and in communicating effectively to obtain agreement, compliance or other desired results.
- D. Interpersonal skills to interact effectively with business contacts in a businesslike, customer service-oriented manner; this includes establishing and maintaining effective working relationships and working as a member or a leader of a team concerning highly complex or sensitive matters.
- E. Skill in using a computer; modern office suite software (such as MS Office), enterprise software and specialized software.

### Minimum Qualifications (MQs):

1. Bachelor's Degree in Finance, Accounting, Auditing, Business, Information Technology or any related field.
2. Eight (8) years of progressively responsible internal auditing/auditing experience that includes substantive work in the range of duties and responsibilities in this class specification.
3. An equivalent combination of education and experience may be substituted, which together total 12 years.
4. Valid driver's license in accordance with both State and Commission rules and regulations. Driver's license must be unencumbered by restrictions, revocations, suspensions, or points that could limit the employee's ability to drive Commission vehicles or perform driving duties required by the position of assignment.

### Working Conditions:

Works mainly in an office setting and at field sites; may work outdoors briefly on an incidental basis. Work is primarily sedentary and requires very light to light physical effort. May be subject to various job demands such as high volume of work and tight deadlines.