

01144 - Internal Auditor

Contact Information -- Person ID: 12493694

Name: David Medrano Address: [REDACTED]
Home Phone: [REDACTED] Alternate Phone: [REDACTED]
Email: [REDACTED] Notification Preference: Email
Former Last Name: Medrano Month and Day of Birth: 04/23

Personal Information

Driver's License: Yes, California [REDACTED]
Can you, after employment, submit proof of your legal right to work in the United States? Yes
What is your highest level of education? Master's Degree

Preferences

Minimum Compensation: \$0.00 per year
Are you willing to relocate? Yes
Types of positions you will accept: Regular
Types of work you will accept: Full Time
Types of shifts you will accept: Day

Objective**Education****Graduate School**

University of Saint Thomas
[Unspecified Start] - 5/1998
Houston, Texas

Did you graduate: Yes
College Major/Minor: Accounting
Degree Received: Master's

Work Experience**Internal Audit Chief**

12/2017 - Present

County of Santa Barbara
105 E Anapamu
Santa Barbara, California 93101
2138200272

Hours worked per week: 50
Monthly Salary: \$12,100.00
Name of Supervisor: N/A - N/A
May we contact this employer? No

Duties

Recruited to transform the internal audit division into a value-added function, with accountabilities including the following:

- ☐ Development and administration of an enterprise-level risk assessment methodology to identify and catalogue key enterprise processes, risks, internal controls, emerging risks and compliance obligations
- ☐ Development of a risk-based enterprise-level annual internal audit plan
- ☐ Implementation and administration of a whistleblower hotline
- ☐ Development of functional performance measures and objectives
- ☐ Development and implementation of formal training curriculum for internal audit staff
- ☐ Oversight of audit engagements including planning, scoping, work program development, fieldwork, observations, final audit reports, and tracking of management action items
- ☐ Recruiting, developing and managing audit staff, charged with identifying and recommending improvements to the effectiveness of the system of internal control
- ☐ Development and implementation of enterprise Internal Control Policy and training based upon well regarded internal control frameworks
- ☐ Evaluation, selection and administration of audit engagement workpapers software

Reason for Leaving

Current Employer

Chief Audit Executive-Institutional
8/2016 - 5/2017University of Texas System
[REDACTED]
[REDACTED]Hours worked per week: 50
Monthly Salary: \$13,400.00
Name of Supervisor: Michael Peppers - Chief Audit Executive
UT System
May we contact this employer? Yes**Duties**

Ensure effective internal audit function is in place with a focus on adding value and improving the operations, risk management, control and governance processes. Provide stakeholders with risk-based, objective and reliable assurance, advice and insight, and support the UT System Chief Audit Executive and Institutional President by providing strategic audit and risk assessment in compliance with professional and governmental auditing standards, and assist executive management in accomplishing its goals and objectives through the following accountabilities:

Design and implement annual audit plan risk assessment methodology linked to organizational strategic objectives and operational priorities

Developing, with input from the Institution President, and approved by the Institutional Audit Committee and the Audit, Compliance and Management Review Committee of the Board of Regents, an annual audit plan (Assurance & Consulting: Financial, Operational, Compliance, IT)

Manage staff towards the timely accomplishment of the audit plan and monitor progress based upon the Institute of Internal Auditors (IIA) International Professional Practices Framework; coordinate external audits and reviews; perform follow-up of corrective action taken by management for recommendations

Provide verbal and/or written communications of audit findings, coordinating remediation efforts with management, and reporting on the status of outstanding management action plans

Ensure that external quality assurance review is conducted at least once every three years as required by the Texas Internal Auditing Act

Conducting continuous improvement activities to ensure the availability of a value-adding internal audit function

Developing Office of Internal Audit 3-year operating plan to include budget, performance metrics, staff competencies development, strategic initiatives and functional points of focus

Facilitating the institution's Enterprise Risk Management (ERM) initiative through the development of a conceptual design for an ERM Program framework based upon benchmarks and best practices

Reason for Leaving

Organizational changes occurred. Audit Organization moved from System level to Institutional level. This was a move I voluntarily elected not to participate in

Chief Audit, Ethics and Compliance Officer
9/2013 - 10/2015CPS Energy
145 Navarro
San Antonio, Texas 78205
210-353-4636Hours worked per week: 50
Monthly Salary: \$17,583.00
of Employees Supervised: 18
Name of Supervisor: Doyle Beneby / Carolyn Shellman - CEO
/ General Counsel
May we contact this employer? Yes**Duties**

Enhanced the effectiveness of Company's governance model with appropriately designed, targeted and implemented operational practices, and staff level competencies, that supported a strong ethical climate,

and facilitated operational, financial and compliance related success. Continually evaluated the effectiveness of the governance framework and operating model, in balancing multiple stakeholder interests against the goals of business-support functions, business-control functions, and cross functional operating committees

- Member of Company’s senior leadership team, with direct reporting line to the audit committee
- Served as Chief Audit Executive accountable for oversight of the internal audit function and the overall development and execution of the Company’s annual, risk-based internal audit plan
- Increased productivity in the annual volume of internal audit reports issued by 300%+ through more effective use of existing audit staff
- Transformed the design of internal audit reports to be consistent with best practices by incorporating the Committee of Sponsoring Organizations (COSO) and the Control Objectives for Information and Related Technology (COBIT) frameworks to evaluate organizational internal control strengths and deficiencies
- Served as Chief Ethics Officer accountable for the effectiveness of the Company’s Ethics Program, in creating ethical awareness, a highly ethical culture, and preventing and detecting ethical lapses, through education, outreach, investigations and corrective actions
- Designed prototype for a first-ever, enterprise level values-based Code of Conduct
- Served as Chief Compliance Officer responsible for designing a first-ever, risk-based Enterprise Compliance Program: Program includes a standards and principles framework; self-assessments against program compliance process controls; maturity evaluation of capabilities infrastructure used to support effectiveness of compliance process controls; development of improvement plans to address control and infrastructure deficiencies identified; and quality control audits of the Enterprise Compliance Program
- Accountable for updating board (via audit committee), and executive leadership on audit, ethics and compliance issues and trends
- Designated as the Company’s senior manager accountable for oversight of compliance with North American Electric Reliability Corporation (NERC) CIP standards
- Directed attitudinal change through redesign and enhancement of job descriptions and performance evaluations that included employee demonstration of shared organizational values and behavioral principles
- Member of senior leadership team accountable for evaluating and advising executive leadership and audit committee of the board of trustees on the design and operating effectiveness of the Company’s governance structure, control environment, risk assessment process and internal control activities
- Member of the policy review committee, tasked with providing assurance that policies align with business goals and organizational governance objectives
- Collaborated with Enterprise Risk Management and other senior executive stakeholders to identify key enterprise risks facing the Company
- Developed and implemented the audit, risk and compliance three year strategy, budget and operational plan
- Served as project sponsor for the Company’s compliance support systems upgrade efforts (CMO) that would serve to enable effective implementation of an integrated, enterprise wide system of record for regulatory and policy related compliance obligations, process workflows, control owners, and controls testing and document warehousing

Reason for Leaving
Voluntary Resignation

Manager Audit Services/Manager Project-Product 7/2010 - 8/2013	Hours worked per week: 45 Monthly Salary: \$13,500.00 Name of Supervisor: Alex Herrera - Managing Director May we contact this employer? Yes
Southern California Edison 2244 Rosemead Rosemead, California 91770 6263022222	
Duties Oversaw staff, executed operational practices and provided peers and senior management with solutions-oriented recommendations to facilitate commercial activities consistent with growth and customer service targets, and better manage operational risks of the organization to within risk tolerance levels	
Manager – Audit Services	

- ☐ Collaborated with, and sought input from, key stakeholders to identify enterprise risk risks which merited internal audit focus
- ☐ Influenced the development of, and target focus areas for, the Company's annual risk based internal audit plan
- ☐ Planned, supervised and directed audit engagements, with particular focus on valued added recommendations impacting the Company's risk management department, and its multi-billion dollar energy services department
- ☐ Assessed the operating effectiveness of Company's internal control activities within the Company's risk management department and its multi-billion dollar energy services department, through review of SOX 404 testing of key controls, walkthroughs and documentation of deficiencies

Manager –Project/Product

- ☐ Assessed risk profiles of several counterparty credit limits, and multi-million dollar, multi-year, commodity transaction structures to support and enable commercially feasible solutions for short and long term electricity generation, electric and natural gas procurement activities, and financial hedging strategies to satisfy customer needs and the Company's risk tolerance levels
- ☐ Served as risk management lead accountable for counterparty relationship management in negotiation of terms and conditions for large, complex contracts (for Power Purchase/Sale, ISDA, NAESB, EEI, WSPP)
- ☐ Provided thought leadership in proposing credit risk mitigation alternatives to facilitate commercial efforts and transaction execution
- ☐ Provided guidance to risk management staff to ensure appropriate process controls were in place to manage daily counterparty credit and liquidity exposures

Reason for Leaving

Higher level position in Texas, but moreso to be closer to an aging parent.

Certificates and Licenses

Type: Certified Public Accountant

Number: 076166

Issued by: Texas State Board of Public Accountance

Date Issued: 9 /1999 Date Expires: 4 /2018

Type: Chartered Financial Analyst

Number:

Issued by:

Date Issued: 9 /2001 Date Expires: 1 /2024

Type: Certified Compliance and Ethics Professional

Number:

Issued by: Society of Corporate Compliance and Ethics

Date Issued: 5 /2015 Date Expires: 5 /2025

Type: Certified Fraud Examiner

Number:

Issued by:

Date Issued: 2 /2016 Date Expires: 2 /2019

Type: Certified Internal Auditor

Number:

Issued by:

Date Issued: 3 /2016 Date Expires: 3 /2019

Type: Certified Information Systems
Auditor

Number:

Issued by:

Date Issued: 6 /2016 Date Expires: 6 /2019

Type: CERTIFIED TREASURY
PROFESSIONAL

Number:

Issued by:

Date Issued: 6 /1993 Date Expires: 5 /2025

Type: Financial Risk Manager

Number:

Issued by:

Date Issued: 6 /2002 Date Expires: 2 /2028

Skills

Office Skills

Typing:

Data Entry:

Languages

Spanish - Speak, Read, Write

Additional Information

References

Professional

Peppers, Michael

[REDACTED]

Resume

Text Resume

Attachments

Attachment	File Name	File Type	Created By
David_A__Medrano_Resume_11 v7v3.doc	David_A__Medrano_Resume_11 v7v3.doc	Resume	Job Seeker

Agency-Wide Questions

- Q: **The application MUST be completed whether you submit a resume or not. It is important that your application show all the relevant education and experience you possess. Applications may be rejected if incomplete. Resumes alone WILL be rejected. PLEASE NOTE THAT ONCE YOU SUBMIT YOUR APPLICATION, YOU WON'T BE ABLE TO ADD OR CHANGE ANYTHING and you will NOT be able to reapply for the same position.**

A: Acknowledged, I entered all my education and experience information in this application. I understand that my application may be rejected if incomplete. Also, I understand that application needs to be completed whether I submit a resume or not and I understand that resumes alone will be rejected. I checked my application before submitting and I understand that I won't be able to change or add anything once the application is submitted.

- 2.** Q: The City of Delray Beach does not discriminate on the basis of race, color, national origin, sex, religion, age or disability, marital status, family status or sexual orientation in employment or the provision of services.

A: Acknowledged

- 3.** Q: May inquiry be made of your present employer?

A: No

- 4.** Q: Were you ever dismissed from any public employment for disciplinary reasons? If yes, explain in EXPLANATIONS Field.

A: No

- 5.** Q: EXPLANATIONS: Use this space to explain.

A:

- 6.** Q: If you are NOT a U.S. Citizen, enter Alien Registration# (enter N/A if not applicable)

A: N/A

- 7.** Q: Have you previously been employed by the City of Delray Beach?

A: No

- 8.** Q: Do you have any relatives employed by the City of Delray Beach?

A: No

- 9.** Q: EXPLANATION: If you entered yes on question #8, what is the name of the relative and your relationship. (Please indicate N/A if not applicable)

A: N/A

- 10.** Q: How did you hear about this agency/opportunity?

A: LinkedIn

- 11.** Q: If "Other" is selected on question #10, please specify:

A:

- 12.** Q: 1. The information that I have provided on this application is accurate to the best of my knowledge and subject to validation by the City of Delray Beach. 2. I authorize the persons, schools, current employers (if approved by me in the Experience section) and other employers named in this application to provide the City of Delray Beach with any relevant information that may be required to arrive at an employment decision. 3. I understand that persons applying for a position which involves contact with children are required to be fingerprinted for the purpose of a background check in accordance with Florida law. 4. In the event that I am accepted for employment with the City of Delray Beach, I agree to sign a notarized statement to uphold the constitution of the United States and the State of Florida.

A: Acknowledged

13. Q: 5. I understand and agree that: A. Any misrepresentation or omission of a fact in my application may be justification for refusal of, or if employed, termination from the City's employment. B. Although, management makes every effort to accommodate individual preferences business needs may, at times, make the following conditions mandatory: overtime, shift work, a rotating work schedule or a work schedule other than Monday through Friday. I understand and accept these conditions of my continuing employment. C. A medical examination including drug screening will be required by the City, at the City's expense. I understand that any offer of employment will be conditional on successful completion of this medical examination. I agree to sign a release of medical information in connection with this medical examination, and I understand that the results thereof relating to my capacity to perform as a City employee will be communicated to the City. D. In the event of employment, I understand that I am required to abide by all employee's rules and regulations of the City of Delray Beach. E. This application is continuing in nature for twelve (12) months from the date of signature, and I understand and agree that any information contained herein, shall be updated by me to provide all current information or changes in the information contained, herein, whenever such changes occur, until the expiration of the Employment Application twelve (12) months from the date of my signature and date set forth below. Specific attention should be addressed to items including, but not limited to, present address, education completed and degrees received, employment record, currency of any professional registration, licenses or certifications, suspension or revocation of Driver's License, and a conviction having been found guilty of violation of any law, police regulation or ordinance, including minor traffic violations, but excluding parking tickets.

A: Acknowledged

14. Q: Do you possess a **valid Florida Driver's License**? If yes, please mark the class of your license.

A: My driver's license is valid but it is not a Florida driver's license because I currently reside in another state.

15. Q: What is your highest level of education completed?

A: Master of Science Degree

16. Q: **Valid e-mail address is necessary to be able to receive notifications from Human Resources department including but not limited to notices to schedule typing test, interview, application received or rejected notices, etc. Most correspondence will be done through e-mail notifications. Please ensure that valid e-mail address shows on your application and that you remember your login information.**

A: Acknowledged. It is my responsibility to provide a valid e-mail address for correspondence and e-mail notifications. I understand that if I don't check my e-mails or forget my login information, I might miss important messages regarding the position I applied for, and/or any tests or pre-requisites that might be required of me, which could result in missing the opportunity to be considered for the position.

17. Q: Are you claiming Veteran's Preference? If so, you must scan and attach a copy of your DD214 to this application in order to be considered.

A: No

18. Q: **VETERANS' PREFERENCE INFORMATION** Veterans' Preference ensures that veterans and eligible persons are given consideration at each step of the selection process. However, preference does not guarantee that a veteran or other eligible person will be the candidate selected to fill the position. Completion of the Veterans' Preference section below is made on a voluntary basis and kept confidential in accordance with the Americans with Disabilities Act. Section 295.07, Florida Statutes (F.S.) specifies who is eligible for Veterans' Preference. State of Florida residency is not required for Veterans' Preference. Listed below are Veterans' Preference categories. 1. A veteran with a service-connected disability who is eligible for or receiving compensation, disability retirement, or pension under public laws administered by the U.S. Department of Veterans' Affairs and the Department of Defense. [section 295.07(1)(a), F.S.] 2. The spouse of a veteran who cannot qualify for employment because of a total and permanent service-connected disability, or the spouse of a veteran missing in action, captured, or forcibly

detained or interned in line of duty by a foreign government or power. [section 295.07(1)(b), F.S.] 3. A wartime veteran as defined in section 1.01(14), F.S., who has served on active duty for one day or more during a wartime period or who has served in a qualifying campaign or expedition. Active duty for training shall not qualify for eligibility under this paragraph. [section 295.07(1)(c), F.S.] 4. The un-remarried widow or widower of a veteran who died of a service-connected disability. [section 295.07(1)(d), F.S.] 5. The mother, father, legal guardian, or un-remarried widow or widower of a member of the United States Armed Forces who died in the line of duty under combat-related conditions, as verified by the United States Department of Defense. [section 295.07(1)(e), F.S.] 6. A veteran as defined in section 1.01(14), F.S., excluding active duty for training. [section 295.07(1)(f), F.S.] 7. . A current member of any reserve component of the United States Armed Forces or the Florida National Guard. [section 295.07(1)(g), F.S.] If an applicant claiming Veterans' Preference for a vacant position is not selected, he/she may file a complaint with the Florida Department of Veterans' Affairs. A complaint must be filed within 60 calendar days of the applicant receiving notice of the hiring decision made by the employing agency.

A: Acknowledged

19. Q: IF ELIGIBLE, WHICH VETERANS' PREFERENCE CATEGORY ARE YOU CLAIMING?

A: This does not apply to me

20. Q: NOTE: If you are claiming Veterans' Preference you must meet the criteria and substantiate your claim by furnishing a DD 214 (Certificate of Release or Discharge from Active Duty), Veterans' Preference Claim Form and any other required supporting documentation with your application; **otherwise you will not be considered. You must scan and upload the documents as an attachment to your application. Download Veterans' Preference Forms <http://www.mydelraybeach.com/Veteran's%20preference%20claiming%20form.pdf>**

A: Acknowledged

21. Q: VETERANS' PREFERENCE CLAIM I am claiming Veterans' Preference

A: No

22. Q: Please note that you may be required to show proof of required college degree, certifications, licenses, high school diploma or G.E.D., from an accredited institution at the time or prior to an interview.

A: Acknowledged

**23. Q: The City of Delray Beach is a Non-Tobacco Workplace. The City will not consider applicants who have used tobacco or nicotine products for a period of at least three months prior to application for employment. The definition of "tobacco or nicotine products" includes but is not limited to, cigarettes, cigars, chewing tobacco, pipes, snuff, e-cigarettes and nicotine patches or gum.
*One year for safety positions***

A: I acknowledge

24. Q: I understand that as a condition of my employment with the City of Delray Beach that I must currently possess or obtain within 30 days after employment the following Federal Emergency Management Agency (FEMA) Independent Study (IS) course certificates: IS-100 - Introduction to Incident Command System IS-700 - National Incident Management System - NIMS an Introduction

A: I acknowledge

25. Q: I understand that as a condition of my employment with the City of Delray Beach that I MAY be called to work before, during or after an incident to support the City during a declared emergency. When called to work it may be assigned to other departments, tasks or responsibilities outside my normal permanent position. This flexibility is necessary for the general welfare and operation of the City during a designated emergency.

A: I acknowledge

Supplemental Questions

- 1.** Q: The City will not consider applicants who have used tobacco products for a period of at least three months prior to application for employment. The definition of "tobacco products" shall include, but is not limited to, cigarettes, e-cigarettes, cigars, chewing tobacco, pipes and snuff. Have you used any tobacco products for a period of at least three months prior to your application for employment?

A: No

- 2.** Q: Do you possess a Bachelor's Degree in accounting or related field supplemented by a CPA or CIA Certification?

A: Yes

- 3.** Q: How many years of verifiable experience do you have as an internal or external auditor of government accounting systems?

A: Seven to ten years

- 4.** Q: Please describe your professional experience (task, duties, responsibilities, etc) as an internal or external auditor of government accounting systems?

A: I have served at the staff, management and executive roles in billion dollar+ organizations. I have performed audit engagements, risk assessments, developed audit plans, monitored control deficiencies, and have interacted with boards, audit committees and executive management. I currently serve as Internal Audit Chief for the county of santa barbara california. In this role my duty is to protect tax payer funds by ensuring appropriate public accountability is in place through the development and administration of appropriate internal controls across all the key County departments

- 5.** Q: Are you claiming Veterans preference in employment? If so, the claim form and other required documents must be attached to this application before you submit it; otherwise your claim will not be considered.

A: No