



Free Resume Candidate Reference 090421-7

Resume Title: GA-Lawrenceville - Internal Audit Manager / Internal Control in
Atlanta area - Willing to Travel

AUDIT MANAGEMENT PROFESSIONAL

Dedicated audit professional with 20 years of experience in a variety of assignments with focus in managing Operational, Compliance, Control Self-Assessment Audits, and Control Consultation. Proven skills in project management, analysis, organization, presentation, training and facilitation. Experienced with COSO's Internal Control Framework and Sarbanes Oxley Act requirements. Skilled in audit-related applications, plus Microsoft Office, Visio flowcharting, Lotus Notes, PeopleSoft, and mainframe functions. Adaptable quick learner who generates results and communicate effectively with all levels of personnel. Able to travel domestic and international.

PROFESSIONAL EXPERIENCE

CITIGROUP's Corporate Audit & Risk Review (ARR) Duluth, GA 2000-2009

Internal Audit Manager Insurance and Retail Banking

Planned and supervised large audits, with 10-20 team members in multiple locations in the US and Canada, effectively managing a \$50K audit budget, meeting all deadlines, and supervised and coached staff.

Managed audits of Primerica Financial Services Insurance entity, which handles the manufacturing and management of \$560 billion in inforce insurance, and comprised of New Business, Underwriting, Claims, Policy Owner Service and Communications areas, along with agent Licensing and Commission functions in Atlanta for the nearly 100,000 life licensed agents, and subsidiaries in Canada and New York City.

Reviewed controls domestically and internationally in other areas of Citigroup's Global Consumer businesses, including Citibank Retail Banking (Branches, Back Office and Call Centers), CitiBusiness Loan Operations, Credit Cards, plus Insurance subsidiaries in the US, Mexico, Spain and Ireland.

Managed local Infrastructure audits for HR/Payroll, Purchasing, Accounts Payable, and Cash Control.

Contributed to a virtual team where valuable knowledge was gained by participating on special reviews such as Banking Regulation, Vendor Contract Management and At Close acquisition audits.

Trained and mentored junior team members in the application of various audit and risk assessment techniques as well as computer assisted audit techniques.

Developed and enhanced audit programs, providing an assessment of the organization's risks and control environment; routinely identify root causes, and report issues, Insurance and Banking regulatory concerns; also assess vendor management and compliance with Sarbanes-Oxley 404 requirements.

Prepared and edited audit reports and memoranda, providing control assessment and appropriate recommendations for improvement. Identified control gaps and helped the business avoid potential regulatory, information security and reputational issues.

Worked closely with business partners to ensure consistent understanding important risks and mitigating controls. Consulted with the Business's internal Risk and Control Self Assessment department to ensure their proper risk and control identification in coordination with Sarbanes Oxley section 404 requirements.

Selected to conduct Audit peer reviews assessing quality in other facets of the Citigroup Audit functions; continually searched for ways to streamline the audit process and identify and implement best practices.

Requested by Citibank Operations Management to consult with external vendor executive management and develop and implement an audit plan for a third-party vendor review.

Conducted presentations, meetings and interviews with senior executives, management and line area

personnel to ensure awareness of process or control changes, new product launches, and system changes or areas that may require risk analysis.

ANDREA TOLAR, CIA, CCSA, FLMI PAGE TWO

PROFESSIONAL EXPERIENCE (continued)

CANADA LIFE INSURANCE COMPANY ☺ Atlanta, GA 1997- 2000

Senior Auditor/ Control Consultant/ US Coordinator for Business Self Assessment Services
Managed Control Self-Assessment and Operational audits within the Annuity, Group and Individual Insurance Business Units. Facilitated and trained other audit staff members to conduct Control Self-Assessment (CSA) sessions.

☺ Ran CSA workshops to assess hard and soft controls within Business departments. This involved using the Canadian COCO control framework and voting technology to draw control concerns from Business staff at all levels, and worked with the teams to develop and monitor action items to address control weaknesses.

☺ Developed internal procedures to train new CSA facilitators within the Company, and interacted with the international team to identify, develop and pilot alternate uses of CSA to assess controls.

☺ Participated on systems implementation teams, conducting operational audits using a risk based methodology, and assisting external auditors with their ERISA, 401K, and interim audits.

☺ Functioned as the primary contributor to best practice studies, helping analyze and improve audit planning and risk assessment processes; instrumental in piloting audit automation system and recommending enhancements.

PRUDENTIAL FINANCIAL ☺ Fort Washington, PA 1988-1997

Audit Senior, 1993- 1997

Assistant Staff Auditor / Staff Auditor, 1988- 1993

Recruited college graduates, and identified talented Business Unit personnel for transfer into the Internal Audit Department. Supervised and provided continuous on-the-job training for Staff and Assistant Staff Auditors through constructive reviews of their audit efforts. Appraised and documented staff performance.

☺ Managed the audit of the Northeastern Marketing Operations which encompassed a 3,000 hour budget, 10 staff members and involved a high-level review of the centralized administrative functions in the Boston office as well the coordination of visits to 15 field agencies; significant outcome of this review was the development of a Business Quality Process to monitor representative ☺s sales related activities.

☺ Implemented reviews in conjunction with the COSO approach to auditing and was instrumental in the integration of this approach into the audit of Sales Representative ☺s compensation structure.

☺ Directed objective driven Control Self-Assessment sessions to involve the auditee ☺s in the identification and assessment of risks; developed key risk and control matrices based on these sessions.

☺ Served as a consultant on reviews of new company initiatives, including a significant transition from a traditional back office environment to a front-end call center with a completely redesigned approach for serving customers; also identified significant control gaps, leading executive management to reassess and slow their approach in rollout of the new process.

☺ Drafted reports and communications, providing effective, clear, timely identification of significant Business Unit issues. These included operational issues and compliance issues, where risks were not sufficiently controlled.

☺ Conducted fraud reviews and detailed investigations in conjunction with the Field Operations and Investigative Bureau. Provided documentation for use with external Legal Counsel on Agent frauds.

EDUCATION/DESIGNATIONS

CIA: Certified Internal Auditor (1999) - Certificate #29284

CCSA: Certification in Control Self-Assessment (2000) - Certificate #133

FLMI: Fellow, Life Management Institute

B.S., Bucknell University, Lewisburg, PA

Major: Business Administration

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