

Tracy Henderson, MBA

[REDACTED]

December 7, 2011

Mr. Jeff Kavar
Fiscal and Policy Analyst
Office of the Independent Budget Analyst
202 C Street, MS - 3A
San Diego, CA 92101

Dear Mr. Kavar,

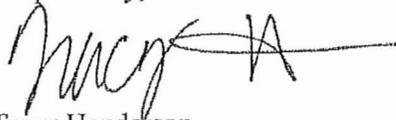
My foundation is based in auditing and performing analysis of business processes, as well as identifying areas of efficiency and effectiveness. I believe that my combination of analytical skills, audit and Government regulatory knowledge/experience will serve the City of San Diego well in the Public Audit Committee Member position.

My current position of Internal Audit Manager and prior position as Manager Government Compliance were newly created and allowed me to develop a department and the unknown. Both positions resulted from the Companies needs to comply with Government regulations and the audits performed by the Defense Contract Audit Agency (DCAA).

My positions as Internal Audit Manager and Manager Government Compliance required the ability to prioritize and organize multiple responsibilities while having the ability to shift focus to other areas when necessary. I possess strong communication skills, which strengthen my ability to build relationships within and outside the organization with professionals of all levels. If determined necessary, I am able to pass a background check and qualify for DoD clearance.

Additional capabilities are listed in the enclosed resume and application. Please contact me at [REDACTED] to arrange for an interview. Thank you in advance for your consideration and time.

Respectfully,



Tracy Henderson



THE CITY OF SAN DIEGO

City of San Diego – Audit Committee

Candidate for Public Audit Committee Member Appointment

Candidate Summary Application Form

Applicant's Name: Tracy Henderson Business Affiliation: None

PLEASE BRIEFLY PROVIDE THE INFORMATION REQUESTED BELOW:

Educational Background:

Master of Business Administration (MBA)
 Bachelor of Science, Business Administration -
 Option in Accounting
 Supervisory Development Program Certification

Professional Credentials:

(CPA, CIA, or other financial or legal)

None

Audit Related Experience:

Developed enterprise risk management (ERM)
 program
 Perform system and compliance audits
 Interpret and apply regulatory guidance

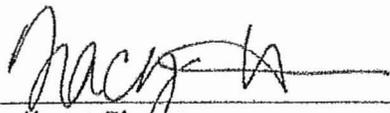
Professional Audit or Financial

Organization Memberships:

Association of Government Accountants (AGA)
 Association of Certified Fraud Examiners
 (ACFE)

Experience or Special Knowledge
 Pertaining to Audit-Related Matters:

Civic or Community Experience
 (Committees, Boards, Commissions, etc.)


 Applicant Signature

07 Dec 11
 Date

PLEASE FEEL FREE TO PROVIDE ADDITIONAL INFORMATION OR LETTERS OF ENDORSEMENT.
 THANK YOU FOR YOUR INTEREST IN SERVING OUR CITY GOVERNMENT.

To submit your application, please complete and transmit 1) this Summary Application
 form, 2) the expanded Application form beginning on the next page and
 3) a copy of your resume to:

The Office of the Independent Budget Analyst, Attn: Jeff Kawar
 202 C Street, MS-3A San Diego, CA 92101

If submitted by e-mail: e-mail to sdiba@sandiego.gov

If submitted by fax: fax to (619) 236-6556

D. Employer Type of Business

Title / Position Duties

Address

()
Phone From Date To Date

11. Educational History:

<u>High School / College / University / Other</u> <small>(include full name)</small>	<u>City / State</u>	<u>Degree</u>	<u>Major</u>
National University	San Diego, CA	MBA	Business
California State University, Chico	Chico, CA	Bachelor	Accounting
University of California, San Diego Exte	San Diego, CA	Cert.	

12. Please list professional licenses and certificates that you have received and the dates that they were issued.

A). _____ B). _____

C). _____ D). _____

13. Please list honors and awards that you have received.

A). _____ B). _____

C). _____ D). _____

14. Please list all organizations and societies that you have been a member of during the last 10 years.

<u>Entity</u>	<u>Position</u>	<u>From / To</u>
Association of Government Acct	Member	2008 to present
Assoc. of Certified Fraud Exam	Member	2011 to present

15. Please list all volunteer work that you have performed over the last 10 years that is relevant to this position :

 Organization City / State Type of Work

 Organization City / State Type of Work

 Organization City / State Type of Work

16. Many positions require the appointment of people with special background, experience, or expertise. Please mark the categories for which you qualify.

- | | | |
|---|---|--|
| <input type="checkbox"/> Information Technology | <input type="checkbox"/> Agriculture | <input type="checkbox"/> Attorney |
| <input type="checkbox"/> Architecture | <input type="checkbox"/> Construction Industry | <input type="checkbox"/> Arts |
| <input type="checkbox"/> Engineering (_____) | <input type="checkbox"/> Environment Services | <input type="checkbox"/> Financial Institution |
| <input type="checkbox"/> Health Care (_____) | <input type="checkbox"/> Higher Education | <input type="checkbox"/> Insurance |
| <input type="checkbox"/> International Affairs | <input type="checkbox"/> Labor | <input type="checkbox"/> Law Enforcement |
| <input type="checkbox"/> Small Business | <input type="checkbox"/> Tourism | <input type="checkbox"/> Military Service |
| <input type="checkbox"/> Land Developer | <input checked="" type="checkbox"/> Other <u>Government</u> | |

17. If you served in the military, were you honorably discharged? (Please give date.) Yes ___ No ___

If no, please explain: N/A

18. YES NO Do you currently or have you ever served in any elected or appointed office or on any local, state, or federal government board, commission, or committee?

 Entity Position Dates

 Entity Position Dates

 Entity Position Dates

 Entity Position Dates

19. YES NO
 To the best of your knowledge, do you have a spouse, registered domestic partner, or other relative who is currently an employee or appointee of the City of San Diego? If yes, please explain.

20. YES NO
 To the best of your knowledge, have you ever been affiliated (*as a director, officer, partner, trustee, employee, owner, advisor, or consultant*) with any institution, organization, or business entity that might present a potential conflict of interest or the appearance of a conflict of interest with your requested appointment? If yes, please explain.

21. YES NO
 To the best of your knowledge, do you have financial holdings in or receive income from any source or own real property or personal property that might present a potential conflict of interest or the appearance of a conflict of interest with your requested appointment? If yes, please explain.

22. YES NO
municipal Have you ever been convicted of a violation of any federal, state, county, or law, regulation, or ordinance (*including driving under the influence of alcohol or drugs, reckless driving, or hit and run accidents*)? If yes, please explain.

23. YES NO
 To the best of your knowledge, are you currently under federal, state, or local investigation for possible violation of a criminal law or an ordinance? If yes, please explain.

24. YES NO
 Has a tax lien or other collection procedure ever been instituted against you by federal, state, or local authorities? If yes, please explain.

25. YES NO
 Have you ever been disciplined or cited for a breach of ethics or unprofessional conduct or been the subject of a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group? If yes, please explain.

26. YES NO
 In the last 10 years, have you been a party to any civil litigation or administrative proceeding as either a plaintiff, defendant, petitioner, respondent? If yes, please explain.

27. YES NO
 Have you ever authored and published any books or articles? If yes, please explain.

28. YES NO
 Is there anything in your background that, if made known to the general public through your appointment, would cause embarrassment to you and/or to the City? If yes, please explain.

29. YES NO
 Are you able, with reasonable accommodation if needed, to perform the essential functions of the position for which you are applying?

ADDITIONAL INFORMATION

All my responses and attachments to this application are full, true, and correct to the best of my knowledge. The City may thoroughly investigate my background, including my educational record, employment history, personal references, and any military or criminal records and may make any other inquiries that are necessary in considering my application.

I understand that the City will retain the confidentiality of the information provided in connection with my application. In addition, absent my consent, this information will not be available under a public records act request. I may elect to withdraw from the appointment process at any time. Upon notification of my withdrawal, the City shall seal the record of my application but shall retain the information as confidential, not subject to a public records act request, for a period of at least 2 years.

I understand that if I knowingly make false statements on this application or omit material information, I might be disqualified from consideration.

I authorize any business, institution, or organization to release any records sought by the City in connection with my application. I release the City, its officers, agents, and employees and all individuals, organizations, educational institutions, and employers from all liability in responding to or providing writings connected with my application.



Applicant Signature

07 DEC 11

Date

Thank you for your interest in serving the City of San Diego.

(3-1-06)

Tracy Henderson, MBA

Compliance/Audit Management

Government Regulations ~ Internal Controls ~ Audit ~ Enterprise Risk

Audit/Compliance professional with extensive experience in compliance and auditing focused in Federal Government regulations. Possess unique aspect of setting up and establishing process from both internal and external business standpoint. Expertise encompasses public and privately held companies focusing on satellite communications, manufacturing, engineering, and research and development.

- Possess exceptional analytical problem-solving ability.
- In-depth knowledge of Federal Acquisition Regulations (FAR) and Cost Accounting Standards (CAS).
- Accomplished analytical abilities, with commended performance conducting/analyzing compliance issues and resolving complex internal control issues.
- Exercise high degree of discretion, judgment, and tact in handling issues sensitive in nature.

Professional Experience/Accomplishments

Internal Audit Manager

2008 to 2012

Kleinfelder, Inc., San Diego, CA

Privately held employee owned company with over \$300m annual revenues. Research appropriate government rules and regulations (FAR, CAS) and communicate complex information and proposed solutions to management and government agency representatives. Key Government regulation liaison for employees providing answers and solutions.

- Currently developing and forming newly created role as Internal Audit Manager to serve as primary interface with company and government representatives.
- Developing enterprise risk management (ERM) deliverables (e.g., business area self assessments and risk review matrices) and presenting findings to Executive Management and Audit Board.
- Developed and authored divisional and corporate home office disclosure statements, which resulted in adequate audit result from Defense Contract Audit Agency (DCAA).
- Created CAS control matrix to identify and highlight key areas of noncompliance and presented results of findings to key executive management for implementation decision.
- Responsible for developing and reviewing corporate policies and procedures and making recommendations to increase awareness and measuring effectiveness.
- Identify and present solutions for practices, which currently do not meet required regulatory guidelines.
- Provide guidance and training to key individual on government accounting and allowability regulations to limit company risk and exposure.
- Coordinate the preparation of required regulatory submissions to comply with mandated Federal time frames, including preparation and submission of five years of overdue incurred cost submissions to DCAA.
- Direct report to SVP and General Counsel, reported to CAO (retired).

Manager Government Compliance
ViaSat, Incorporated, Carlsbad, CA

2006 to 2008

Publicly owned company with more than \$600m in annual company revenues. Assessed effectiveness of controls, compliance with policies and accounting procedures, and efficiency of operations. Identified and determined internal control weaknesses in company's practices. Primary interface with DCAA, other government agencies, and external auditors and third parties.

- Defined and developed newly created role as Government Compliance Manager to serve as primary interface with company and government representatives.
- Wrote and defined divisional and corporate home office disclosure statements, which resulted in adequate audit result from DCAA.
- Recommended important changes in accounting operations and control structure, which transformed the organization from continuous audit noncompliance ratings to continued satisfactory audit results.
- Coordinated, facilitated and managed cradle to grave oversight related to data requests mandated by Administrative Contracting Officer (ACO), including developing estimating system manual and establishing training procedures.
- Developed audit plan to determine compliance with regulations.
- Ensured compliance with all applicable policies, procedures, and regulations by documenting accounting processes and procedures to ensure they complied with statutory guidelines, and provided necessary employee training.
- Implemented business process reengineering by improving compliance with policies, processes, and controls.
- Direct report to Divisional Controller with reporting duties to CFO and CEO.

Senior Auditor
Defense Contract Audit Agency (DCAA), San Diego, CA

2001 to 2006

Federal Government Agency. Developed audit plans, performed risk assessments, evaluated accounting operations, and coordinated all fieldwork with customer and contractor base. Responsible for tracing and recreating accounting activity of contractor. Methods included the analysis of financial records, evaluation of public records, assessing information gathered from accounting systems, and personal interviews.

- Planned and performed concurrent audits of contractor operations and practices to ensure full compliance.
- Conducted on-site inspection activities, which included initiation and execution of the audit steps, generation of final report, and recommended corrective actions.
- Analyzed proposed and approved overhead rates related to program cost and profit.
- Evaluated adequacy of contractor systems and related internal controls.
- Ensured compliance with applicable government procurement regulations.
- Recommended corrective actions to improve internal controls.
- Direct report to audit supervisor

Education/ Professional Affiliation

Master of Business Administration (MBA) <i>National University</i>	San Diego, California
Bachelor of Science, Business Administration Option in Accounting <i>California State University, Chico</i>	Chico, California
Supervisory Development Program Certification <i>University of California, San Diego Extension</i>	San Diego, California
Association of Government Accountants (AGA)	San Diego, California
Association of Certified Fraud Examiners (ACFE) <i>Anticipated CFE certification, January 2013</i>	San Diego, California