

POSITION DUTY STATEMENT

PM-0924 (REV 01/2022)

CLASSIFICATION TITLE Senior Management Auditor	OFFICE/BRANCH/SECTION Independent Office of Audits and Investigations	
WORKING TITLE Audit Supervisor	POSITION NUMBER 900-097-4161-001	REVISION DATE 08/21/2024

As a valued member of the Caltrans leadership team, you make it possible for the Department to provide a safe and reliable transportation network that serves all people and respects the environment.

GENERAL STATEMENT:

Under the direction of the Supervising Management Auditor, the incumbent plans, organizes, and directs staff who perform varied and complex audits and other audit services of the Department, other State agencies, local governments, and commercial contractors. The incumbent will act as a first line supervisor of a team of auditors, and is responsible for providing supervision and technical guidance to ensure audit production and quality are attained.

CORE COMPETENCIES:

As a Senior Management Auditor, the incumbent is expected to become proficient in the following competencies as described below in order to successfully perform the essential functions of the job, while adhering to and promoting the Department's Mission, Vision, Values, Strategic Imperatives and Goals. Effective development of the identified Core Competencies fosters the advancement of the following Leadership Competencies: Change Commitment, Risk Appetite, Self-Development/Growth, Conflict Management, Relationship Building, Organizational Awareness, Communication, Strategic Perspective, and Results Driven.

- **Managing Change:** Demonstrating support for organizational changes needed to improve the department's effectiveness; supporting, initiating, sponsoring and implementing change. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity, Pride)
- **Decision Making:** Makes critical and timely decisions. Takes charge. Supports appropriate risk. Makes challenging and appropriate decisions. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Innovation, Integrity, Pride)
- **Ethics and Integrity:** Demonstrated concern to be perceived as responsible, reliable, and trustworthy. Respects the confidentiality of information or concern shared by others. Honest and forthright. Conforms to accepted standards of conduct. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Equity, Integrity, Pride)
- **Conflict Management:** Recognizes differences in opinions and encourages open discussion. Uses appropriate interpersonal styles. Finds agreement on issues as appropriate. Deals effectively with others in conflict situation. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Integrity)
- **Empower Others:** Convey confidence in employees' ability to be successful, sharing significant responsibility and authority; allowing employees freedom to decide how they will accomplish their goals and resolve issues. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity, Pride)
- **Organizational Awareness:** Contributes to the organization by understanding and aligning actions with the organization's strategic plan, including the mission, vision, goals, core functions, and values. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity, Pride)
- **Interpersonal Effectiveness :** Effectively and appropriately interacts and communicates with others to build positive, constructive, professional relationships. Tailors communication style based on the audience. Provides and is receptive to feedback. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Integrity, Pride)
- **Vision and Strategic Thinking:** Communicates the "big picture". Models the department's Vision and Mission to others. Influences others to translate vision into action. Future oriented, and creates competitive and break through strategies and plans. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity, Pride)
- **Managing Performance:** Responsible for employee performance, setting clear goals and expectations, tracking progress against departmental and unit goals, providing feedback, and addressing performance issues promptly. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Innovation, Integrity, Pride)

TYPICAL DUTIES:

Percentage	Job Description
Essential (E)/Marginal (M) ¹	

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40%	E	Supervises staff in the conduct of audit engagements; adheres and updates uniform policies; manuals, and procedures; provides leadership and guidance. Assures compliance with applicable standards; quality control; monitors and update audit activity reports; reviews work and reports for accuracy and completeness; and assure efficient use of resources. Provides day to day guidance to staff, and administers personnel duties as needed. Provides field supervision and on-the-job training to staff. Performs first level reviews of all work products. Develop and produces written documents, such as audit reports.
30%	E	Works with the Supervising Management Auditor to assign and work closely with staff to complete audits. Provides guidance and direction and participate in all phases of the audit process. Monitor and report progress of assignments, and make or recommend plan changes as necessary to Supervising Management Auditor.
15%	E	Evaluate staff's work performance and prepares performance evaluations. Identify training needed for each staff and ensure staff receive identified training. Prepare and submit other reports and analyses as directed by IOAI management.
10%	E	Function as a liaison between IOAI and external audit entities and/or Department programs. Initiate changes to work plan as a result of federal and State legislation, laws, regulations and policies. Perform other special projects as required.
5%	M	Performs other routine required tasks related to on-going IOAI's audit activities such as time reports, travel reports, training, staff meetings, expectation documents, and policies and procedures.

¹ESSENTIAL FUNCTIONS are the core duties of the position that cannot be reassigned.

MARGINAL FUNCTIONS are the minor tasks of the position that can be assigned to others.

SUPERVISION OR GUIDANCE EXERCISED OVER OTHERS

Directly oversee staff in the conduct of audit engagements or business intelligence activities including monitoring and reviewing staff work products. Prepare and administer periodic performance evaluations for staff and provide guidance to staff on their performance of work on an ongoing basis including development of staff and succession planning. Ensure staff have adequate training opportunities to maintain and enhance their skills in compliance with generally accepted auditing standards.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

Knowledge of:

1. Elementary Statistics
2. Organization and management in the public and private sector, current trends, and problems in governmental management.
3. Principles of Information Technology Systems, the uniform accounting system, and the financial organization and procedures of the State of California, policies, rules and regulations of the Legislature, State Controller, State Treasurer, Department of Finance, and central control agencies as they relate to State agency financial and program management activities.
4. Principles and techniques of personnel management and supervision.
5. Methods of auditing through Information Technology Systems.
6. Principles and practices of Generally Accepted Accounting Principles (GAAP); Generally Accepted Government Auditing Standards (GAGAS), probability sampling, audit practices, techniques, and methods.
7. Program Budgeting.
8. Organization and management of a broad range of state agencies.
9. Group leadership techniques.
10. Program planning and evaluation.
11. Department's Equal Employment Opportunity Objectives
12. A manager's role in the equal employment opportunity program.

Ability to:

1. Plan, organize, and direct the work of a group of auditors over a variety of complex, technical management engagements and assume responsibility for complex audit studies.
2. Work effectively with staff and top level managers of State agencies and other organizations.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Incumbent is responsible for planning, organizing, and directing audits or business intelligence activities. Also, the incumbent functions as a liaison between IOAI and external entities and communicates to discuss sensitive issues, concerns, and audit results. Therefore, it is critical that the Senior Management Auditor make sound decisions in planning, organizing, and directing the audit or business intelligence activities, and in communicating with external entities. Error in judgment or analysis could result in loss of credibility which could significantly impact the effectiveness of the office.

ADA Notice

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PUBLIC AND INTERNAL CONTACTS

Regularly contacts, meets, and coordinates with stakeholders at all levels, both private and governmental. Requires contact and coordination with state agency managers and employees at all levels, private contractors and grantees, professional groups, and legislative staff.

PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

Requirements for this position include the ability to multi-task, adapt to changes in priorities, and complete tasks or projects on short notice. The incumbent must be able to interact in a diverse workforce environment and work together in a cooperative and collaborative manner. The incumbent must comply with professional standards of conduct and adapt behavior and work methods in response to new information, changing conditions, or unexpected obstacles. The work may occasionally require bending, kneeling, and lifting up to 15 pounds. The incumbent may also need to stand for long periods of time while presenting or facilitating.

WORK ENVIRONMENT

This position may be eligible for telework. The amount of telework is at the discretion of the Department and based on Caltrans' evolving telework policy. IOAI supports telework, recognizing that in-person attendance may be required based on operational needs. Employees are expected to be able to report to their worksites with minimum notification if an urgent need arises. The selected candidate will be required to commute to the headquartered location as needed to meet operational needs. Business travel, which could include extended hours of work and/or overnight or multiple-day trips, may be required, and reimbursement considers an employee's designated headquartered location, primary residence, and may be subject to CalHR regulations or applicable bargaining unit contract provisions. All commute expenses to the headquartered location will be the responsibility of the selected candidate. The incumbent will work in a climate-controlled office and telework environment under artificial lighting. The incumbent may be required to sit for long periods of time using keyboard and computer.

I have read, understand and can perform the duties listed above. (If you believe you may require reasonable accommodation, please discuss this with your hiring supervisor. If you are unsure whether you require reasonable accommodation, inform the hiring supervisor who will discuss your concerns with the Reasonable Accommodation Coordinator.)

EMPLOYEE (Print)

EMPLOYEE (Signature)

DATE

I have discussed the duties with, and provided a copy of this duty statement to the employee named above.

SUPERVISOR (Print)

SUPERVISOR (Signature)

DATE

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