

Senior Management Auditor

Task Statements

1	Conduct fiscal compliance audits of State departments, agencies, and/or contractors doing business with the State to determine compliance with State and federal policies and regulations.
2	Review financial information of departments, agencies, and/or contractors to determine whether it accurately reflects the financial condition of the entity being audited using applicable accounting standards, financial records, work orders, ledgers, and other relevant documents.
3	Conduct operational and/or performance audits of State departments, agencies, and/or contractors doing business with the State to determine compliance with State and federal policies and regulations.
4	Review operational reports to determine whether they accurately reflect the condition of the department, agency, and/or contractor being audited using program records, training documents, work orders, ledgers, and other relevant documents.
5	Reconcile financial and operational information provided by the audited entity with information gathered during auditing process to determine if there are any discrepancies.
6	Observe relevant processes during an audit to identify inefficiencies and determine processes that are redundant or need improvement.
7	Obtain pertinent and sufficient data from all relevant sources (e.g., program records and reports, interviews, financial records, work orders, ledgers, training documents, observation) to ensure accurate appraisal of conditions at audited departments/contractors.
8	Select appropriate samples for testing based on a recognized sampling method to ensure the results are representative of the population/program being audited and support an accurate analysis.
9	Collect and analyze data to identify deficient controls, fraud, waste, abuse, or non-compliance with applicable laws and regulations at audited departments or contractors.
10	Evaluate internal and system controls to assess the level of risk at departments, agencies, and/or contractors being audited using auditing standards, flow charts, questionnaires, observations and interviews.
11	Document current program operations and work processes using flowcharts, organizational charts, and narratives and identify weaknesses and strengths within the processes.
12	Conduct entrance conferences with responsible parties from the audited departments, agencies, or contractors to discuss the audit scope, methodology, and objectives.
13	Conduct exit conferences with responsible parties from the audited departments, agencies, or contractors to communicate audit findings and implications.

14	Prepare and analyze data provided by entity being audited (e.g., department, agency, contractor) to develop conclusions and/or findings and make recommendations.
15	Analyze financial and/or program records provided by departments, agencies, and/or contractors to determine adherence to appropriate laws, rules, and regulations.
16	Provide management with objective evaluations of departments, agencies, and/or contractors using auditing standards, flow charts, questionnaires, observations, and interviews.
17	Identify erroneous or improper practices or actions within audited entity (e.g., department, agency, contractor) using auditing standards, flow charts, questionnaires, observations, and interviews to determine need for adjustment or changes.
18	Recommend changes to improve the quality of departmental functions using auditing standards and best practices guidelines to ensure efficient and accountable processes for entity being audited.
19	Plan and implement changes to improve the quality of departmental functions using auditing standards and best practices guidelines to ensure efficient and accountable processes for entity being audited.
20	Perform follow up reviews of previously implemented changes to ensure proper implementation of recommendations, corrective actions, and improvements in identified processes.
21	Provide audit management with feedback on completed assignments to facilitate audit process improvements.
22	Protect confidential information acquired during the auditing of departments, agencies, and/or contractors.
23	Participate as an audit expert in an appeal process to provide pertinent information regarding disputed audit findings and reports.
24	Analyze corrective plan developed by the department, agency, or contractor being audited to determine if it appropriately resolves the findings and/or issues raised during the audit.
25	Prepare working papers with supporting documentation that addresses the purpose, source documents used, sample selection, and other relevant information to support the testing performed, auditor's conclusions, and audit findings.
26	Identify ways to streamline processes within your department and ensure efficient procedures based on Generally Accepted Accounting Principles and applicable standards.
27	Provide assistance and guidance to staff and management regarding best practices to ensure risk mitigation.
28	Evaluate the reliability of data used in an audit to ensure its completeness, accuracy, and integrity.
29	Assess organizational risk and controls to determine the scope of an audit and the extent of testing necessary.
30	Perform and document procedures used to assess the risk of fraud to safeguard public assets in accordance with applicable audit standards.

31	Read literature and attend continuing professional education to keep current in the latest Generally Accepted Government Auditing Standards and International Standards for the Professional Practice of Internal Auditing.
32	Lead an audit team by planning, coordinating, and ensuring audits are completed within budget and/or timelines and in compliance with auditing standards.
33	Provide on-the-job mentoring to new auditors to transfer knowledge and improve job performance of co-workers.
34	Conduct training needs analyses to determine the level and type of training needed by subordinates.
35	Delegate and assign work to staff based on functional areas involved, workload levels, and individual expertise and skill.
36	Determine work priorities, scope of assignments, and establish deadlines to ensure objectives are met effectively and in a timely manner.
37	Serve on interview selection panels for vacant positions to decide or make hiring recommendations.
38	Oversee hiring practices to ensure adherence to Equal Employment Opportunity (EEO) regulations in coordination with department human resources representatives.
39	Monitor the work of subordinate employees to ensure that it meets quality, quantity, timeliness, and auditing standards.
40	Oversee all operations within the audit organization by reviewing the work of subordinate staff and delegating assignments to ensure efficiency and compliance with departmental standards.
41	Administer provisions of collective bargaining agreements to ensure compliance in the course of supervising represented employees.
42	Resolve disagreements and conflict between staff members to achieve a harmonious, productive work environment.
43	Provide guidance, direction, and feedback to first-line supervisory staff to assist with efficiency, improve functions, and develop supervisory skills of subordinates.
44	Prepare employee performance evaluations and other administrative reports to evaluate the work performance of staff and provide individual feedback.
45	Develop performance standards for subordinate employees and appraise personal characteristics and work habits to determine areas of improvement.
46	Develop duty statements in conjunction with human resources personnel to outline expectations, procedures, and responsibilities for staff using class specifications and management input.
47	Provide coaching to subordinate staff relating to the tasks of the job to improve performance and productivity.

48	Collaborate with Human Resources, Labor Relations, and Legal offices to determine the need for appropriate disciplinary action for employees in the unit/branch to ensure satisfactory performance of employee.
49	Approve leave requests of subordinate staff ensuring appropriate staffing levels.
50	Review and approve employee time sheets ensuring proper documentation of attendance.
51	Write letters, memos, email, and other correspondence using word processing and other software for the purpose of communicating and disseminating information.
52	Write project and/or executive summaries, and other more complex documents using word processing and other software (e.g., Word, PowerPoint, Excel) to document program requirements, status, completion, addressing policy issues, and responding to requests for information.
53	Write working papers detailing the purpose of the audit procedures, sample selection, the testing performed, scope of the audit, source information used, auditor's analysis and conclusions.
54	Write audit reports that summarize the background, objectives, scope, methodology, results, conclusions, and recommendations of an audit process for dissemination to management, departments, agencies, contractors, legislators and the public.
55	Write and edit audit policy and procedure manuals for distribution to subordinate auditors and other staff within the program.
56	Write documents (e.g., white papers, budget change proposals, issue briefs, fact sheets) for individuals with varying degrees of technical expertise.
57	Read and interpret documents provided by department, agency, or contractor being audited (e.g., budgets, duty statements, regulations, policy and procedure manuals) during the course of work assignments.
58	Read, review, and edit work by subordinate staff and provide written comments to ensure proper grammar, spelling, sentence structure, and that the work communicates the intended message at a level that can be understood by the intended audience.
59	Review and evaluate auditee response to the written draft report to determine impact on the audit findings and integrate them into the final report.
60	Communicate effectively with internal and external parties during the course of an assignment regarding the purpose, scope, procedures to be conducted, status, and results.
61	Participate as a subject matter expert on intra-departmental and multiagency task forces to collaborate on program or policy development.
62	Provide verbal critiques, reviews, and interpretations of project work submitted by other auditors.

63	Respond to inquiries from interested parties (e.g., the public, government agencies, contractors, legislatures) about departmental/agency audits and project work to address concerns and issues.
64	Communicate with tact and diplomacy in stressful and/or adversarial situations during the course of work projects.
65	Communicate clearly defined duties and responsibilities for subordinate staff to ensure understanding of instructions.
66	Participate in training classes and conferences to develop and maintain knowledge, develop techniques, enhance skills, learn theory, and practice the principles relevant to auditing and program evaluation.
67	Develop project work plan to outline project scope and deadlines for distribution to management and oversight boards.
68	Develop and maintain project schedules by updating and revising activity and milestone schedules and resource requirements to ensure accurate, updated project information.
69	Analyze and evaluate the effectiveness of programs, policies, or procedures related to the progress of work projects or assignments to identify problems or issues, determine impact, assess alternatives for resolution and/or formulate action plans.
70	Develop immediate and long-range work objectives for activities and operations to structure departmental undertakings.
71	Prioritize the handling of problems or issues related to the progress of work projects or assignments to mitigate delays and complete projects on time.