

POSITION DUTY STATEMENT

PM-0924 (REV 01/2022)

CLASSIFICATION TITLE Supervising Mgmt Auditor	OFFICE/BRANCH/SECTION HQ/ Independent Office of Audits and Investigations	
WORKING TITLE Audit Chief	POSITION NUMBER 900-097-4163-005	REVISION DATE 05/06/2024

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 general direction of the Deputy Inspector General, the Supervising Management Auditor assists in planning, organizing, directing, reviewing, and coordinating the audit activities of the Independent Office of Audits and Investigations (IOAI). The Supervising Management Auditor directly oversees staff in the conduct of audits; establishes and maintains uniform audit policies, manuals, and procedures; and provides leadership and guidance to meet IOAI's strategic goals. Assures compliance with all applicable auditing standards.

CORE COMPETENCIES:

As a Supervising Mgmt 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.

- **Change Leadership:** Develops new and innovative approaches needed to improve effectiveness and efficiency of work products. Encourages others to value change. Considers impact and recommends changes. (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. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Equity, Innovation, Integrity)
- **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)
- **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, Advance Equity and Livability in all Communities - 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 - Equity, Innovation, Integrity, Pride)
- **Influencing Others:** The ability to gain the support of others for ideas, proposals, projects and solutions. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, 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. (Safety First, Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network, Strengthen Stewardship and Drive Efficiency, Lead Climate Action, 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)

TYPICAL DUTIES:

Percentage Essential (E)/Marginal (M) ¹	Job Description
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50%	E	Responsible for, through Audit Supervisors, the direct management, organization, and supervision of audit staff whose functions entail the planning, execution, and review of audits of various governmental programs. Monitor IOAI activities and ensure strategic goals are reached, resources are used efficiently and effectively, and that audits are managed and completed timely in accordance with generally accepted auditing standards, program objectives, and state requirements. Provide guidance and direction to Audit Supervisors by evaluating work performed, coaching, mentoring, and identifying opportunities for improved performance and job satisfaction. Address employee deficiencies by applying performance management tools and processes, including progressive discipline. Prepare and maintain periodic status reports on audits and workload progress as directed by the Chief Deputy Inspector General.
20%	E	Maintain open channels of communication within IOAI and ensure staff are current on relevant laws, policies, regulations, procedures, and matters related to program improvement and effectiveness. Participate with state and federal organizations to develop audit guidance on current issues and new requirements. Develop and disseminate training to impacted department staff and external entities. Participate in state, local and federal forums as requested.
15%	E	Review reports, correspondence, and documents. Evaluate and make recommendations to Executive Management on the impact of proposed legislative, legal, program, and policy issues relating to audit program functions. Model IOAI's mission, vision, core values, and goals through training, dialogue, and conduct.
10%	E	Provide high-level consultations to federal and state agencies, departments, and other government officials/staff on fiscal, operational, and programmatic issues to obtain acceptance and implementation of needed changes. Resolve issues by exercising independent action and sound administrative judgment.
5%	M	Perform other duties as required.

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 audits including monitoring and reviewing staff work products and audit reports. Prepare and administer periodic performance evaluations for audit staff, and provide guidance to staff on their performance of audit work on an ongoing basis including development of staff and succession planning. Ensure audit staff have adequate training opportunities to maintain and enhance their skills in compliance with generally accepted auditing standards.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

Principles and practice of:

1. Leadership qualities, with the ability to foster diversity, mentor, encourage, and facilitate cooperation, teamwork, and pride.
2. Change management.
3. Planning, organizing, directing, and engaging a multi-disciplinary team.
4. Organization, time management, customer service, and interpersonal skills.
5. Risk mitigation and strategic thinking.
6. Good judgment when analyzing data and situations, drawing sound conclusions, and taking effective actions.
7. Generally Accepted Government Auditing Standards, Generally Accepted Auditing Standards, and applicable government accounting and auditing theory, principles, and practices.
8. Audit practices, techniques, and methods.
9. Information technology systems, uniform accounting systems, and financial organization and procedures of the State of California.
10. Policies, rules, and regulations of the Legislature, State Controller, State Treasurer, Department of Finance, and federal agencies and central control agencies as they relate to State agency financial program management activities
11. Internal and administrative controls.
12. Federal and state cost principles.
13. Federal, state and local laws and regulations.
14. Excellent verbal and written communication skills, including presenting before executive management, both internal and external.
15. Personnel management and supervision.
16. Program budgeting.
17. Equal employment opportunity program.

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RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Incumbent is responsible for decisions, actions, and consequences inherent in planning, organizing, and directing the internal activities of IOAI. Therefore, it is critical that the Supervising Management Auditor make sound decisions in dealings with and directing the audit functions within IOAI 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.

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.

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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