

# DUTY STATEMENT

CALIFORNIA PUBLIC UTILITIES COMMISSION

<b>DIVISION</b> Utility Audits, Risk and Compliance Division	<b>EFFECTIVE DATE</b>
<b>BRANCH/SECTION</b> Utility Audits Branch (UAB)	<b>CLASS TITLE</b> Staff Services Management Auditor (SSMA)
<b>WORKING DAYS AND WORKING HOURS</b> Monday through Friday 8:00 am to 5:00 pm	<b>PHYSICAL WORK LOCATION</b> Sacramento / San Francisco
<b>INCUMBENT (if known)</b>	<b>CURRENT POSITION NUMBER (Agency - Unit - Class - Serial)</b> 680-417-5841-001

You are a valued member of the Department's team. You are expected to work cooperatively with team members and others to enable the Department to provide the highest level of service possible. Your creativity and productivity are encouraged. Your efforts to treat others fairly, honestly, and with respect are important to everyone who works with you.

**BRIEFLY (1 or 2 sentences) DESCRIBE THE POSITION'S ORGANIZATIONAL SETTING AND MAJOR FUNCTIONS:**

Under the close supervision of the Program and Project Supervisor and with guidance of a Senior Management Auditor, the SSMA is responsible for assisting the Associate Management Auditor (AMA) on the completion of financial, attestation and performance audits, such as water and sewer utility audits, balancing account audits, communications audits, California Public Utilities Commission (CPUC) user fees audits, energy program audits, energy procurement audits, and audits requested by CPUC divisions or Commissioners, per professional auditing standards. The SSMA may be assigned to independently perform less complex audit assignments in accordance with professional auditing standards.

<b>% of time performing duties</b>	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. <i>(Use additional sheet if necessary)</i>
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	<p><b><u>ESSENTIAL FUNCTIONS:</u></b></p>
30%	<p>Assist senior auditors with conducting and completing financial, attestation, and performance audits as required and in compliance with professional auditing standards, to include but not limited to:</p> <ul style="list-style-type: none"> <li>• Assist with preparing clear, concise, timely, accurate, and complete working papers documenting analysis performed and drawing sound conclusions based on supporting data.</li> <li>• Analyze qualitative and quantitative data.</li> <li>• Perform audit fieldwork at your desk or at a worksite.</li> </ul>
30%	<p>Assist senior auditors in gathering information for the preparation of audit plans/programs according to professional auditing standards, which include determining the purpose, scope, methodology, assessment of risk, budget hours and milestone dates. Assist in gathering background information, analyzing and researching audit criteria such as laws, decisions, regulations, and policies for purposes of audit planning and developing effective audit methodologies. Assist in conducting effective entrance/exit conferences with utility companies to communicate audit objectives, methodologies, and audit results; and assist in holding audit progression meetings with UAB management to provide up-to-date audit progress at critical milestones. Assist in presentations to CPUC decision-makers and management regarding audit findings, conclusions, and recommendations.</p>
20%	<p>Assist senior auditors with developing audit findings and written audit reports describing the results of audits, which include identifying problem areas, describing audit methodology, developing all components of audit findings, drawing sound conclusions, and making recommendations for improvements in systems, programs, policies, and/or procedures in compliance with audit standards and to improve utility companies' compliance with regulatory requirements.</p>
5%	<p>Assist on special assignments, attend external meetings, conduct research as necessary, and provide support by conducting presentations and assist other audit staff within the branch. Complete any applicable required administrative functions including travel claims, timesheets, and internal</p>

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5%	meetings in compliance with applicable department and state rules, regulations and processes to ensure timely processing, payment or scheduling.	
5%	Research and advise UAB management and decision-makers on financial, compliance, and management audit questions, and financial and accounting policy matters for purposes of evaluating relevant program effectiveness.	
5%	Schedule and attend Continuing Professional Education (CPE) courses as required by professional auditing standards. Complete other mandatory trainings and required forms.	
<b><u>MARGINAL FUNCTIONS:</u></b>		
5%	Perform other job-related duties as assigned.	
<b><u>KNOWLEDGE AND ABILITIES</u></b> [From Class Specs]		
<b>Knowledge of:</b> Principles and practices of organizational management, accounting, and auditing.		
<b>Ability to:</b> Learn and apply general and specialized accounting and management auditing principles and procedures as used in State Government.		
<b><u>WORK ENVIRONMENT, PHYSICAL OR MENTAL ABILITIES:</u></b>		
<ul style="list-style-type: none"> <li>• Proficiency with communications-related technologies, including personal computer applications, telecommunications equipment, Internet, voicemail, email, etc.</li> <li>• Maintain professional proficiency and development in accordance with professional auditing standards.</li> <li>• Ability to travel to worksites away from headquarters which could require extended hours of work and/or overnight or multiple-day trips on a continuous basis.</li> <li>• Ability to drive State owned or rented vehicles.</li> </ul>		
<b>SUPERVISOR'S STATEMENT: I HAVE DISCUSSED THE DUTIES OF THE POSITION WITH THE EMPLOYEE</b>		
SUPERVISOR'S NAME (Print)	SUPERVISOR'S SIGNATURE	DATE
<b>EMPLOYEE'S STATEMENT: I HAVE DISCUSSED WITH MY SUPERVISOR THE DUTIES OF THE POSITION AND HAVE RECEIVED A COPY OF THE DUTY STATEMENT</b>		
The statements contained in this duty statement reflect general details as necessary to describe the principal functions of this job. It should not be considered an all-inclusive listing of work requirements. Individuals may perform other duties as assigned, including work in other functional areas to cover absence of relief, to equalize peak work periods or otherwise balance the workload.		
EMPLOYEE'S NAME (Print)	EMPLOYEE'S SIGNATURE	DATE