

Classification Title: Senior Management Auditor	Branch/Division/Bureau: Executive Operations/Organizational Accountability Office/Internal Audits Unit
Working Title: Internal Audits Chief	Office/Unit/Section/Geographic Location: Sacramento
Position Number (13 Digit): 413-194-4161-001	Conflict of Interest Position: <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES
Employee Name:	Effective Date:

BASIC FUNCTION:

Under the general direction of the Chief Organizational Accountability Office, the Senior Management Auditor directs and provides technical expertise to a team of auditors responsible for planning, designing, and executing compliance and performance audits. The incumbent is responsible for directing program operations, including managing personnel actions, program budget and resources, and establishing strategic goals to advance the program's maturity, ensuring alignment with the Department's priorities and Global Internal Audit Standards prescribed by the Institute of Internal Auditors. The incumbent must communicate effectively with all departmental management and staff levels, including the Insurance Commissioner and the Audit Committee, to ensure timely and accurate audit reports.

The incumbent is expected to conduct internal audit activities in accordance with the general and specified standards of internal auditing.

This position is designated under the Conflict of Interest Code. The position is responsible for making or participating in governmental decisions that may potentially have a material effect on personal financial interests. The appointee is required to complete a Statement of Economic Interest (Form 700), which includes an Assuming Office filing within 30 days of appointment, annual filings, and a Leaving Office filing within 30 days of physical separation. Non-compliance with the Conflict of Interest Code requirements may result in the voiding of appointment, financial penalties, or enforcement actions.

ESSENTIAL FUNCTIONS

30% Plans, organizes, coordinates, and directs the activities of professional auditing staff responsible for conducting compliance and performance audits. Mentors, coaches, and provides technical guidance to staff conducting audits to ensure compliance with applicable auditing standards and to ensure outputs meet quality standards. Reviews work papers to ensure that audit objectives and professional standards are met. Participates in entrance and exit conferences. Prepares and/or reviews draft and final audit reports to ensure that the reports are clear, concise, complete, and fully supported by documented evidence. Briefs the Audit Committee, Chief Deputy

Insurance Commissioner, and other Departmental management on the progress of audits. Tracks audit time, costs, and progress to ensure timely, effective, and efficient completion of assigned audits. Ensures adequate audit follow-up is performed.

- 30% Conducts risk assessments, determines auditable functions, and develops audit cycles. Develops annual audit plans based on risk assessments, available resources, and Departmental priorities. Facilitates Audit Committee meetings and provides status of ongoing audits to the Audit Committee and management. Conducts internal quality assessments to ensure the efficiency and effectiveness of the audit activity. Develops and maintains current policies, procedures, templates, and charters. Facilitates, coordinates, and participates in peer reviews. Participates in department-wide risk assessments.
- 20% Performs administrative functions, including establishing strategic goals to advance the maturity of the program and ensuring alignment with the Department's priorities, managing personnel actions such as recruitment, onboarding, performance evaluations, and training, maintaining policies and procedures, managing budget, and procurement activities.
- 15% Coordinates, facilitates, and tracks external audits. Investigates internal complaints of improper governmental activities, including state and federal law violations, employee fraud, and misuse of state property and resources.

MARGINAL FUNCTIONS

- 5% Participates in department-wide administrative meetings, prepares ad-hoc reports and presentations for executive leadership as needed, and maintains program documentation, including record retention schedules and file management. Provides occasional backup support to other managers during absences. Completes required leadership training.

WORK ENVIRONMENT OR PHYSICAL ABILITIES

- Work in a high-rise office building
- The incumbent may telework in accordance with CDI's Telework Policy. Teleworking employees may be required to report to their headquarters office location on designated telework days. Travel expenses are not reimbursed, however other authorized transit subsidies do exist for those who qualify.

I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation. (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety Analyst.)

Employee Signature

Date

Printed Name

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

Supervisor Signature

Date

Printed Name