

DUTY STATEMENT

CALIFORNIA PUBLIC UTILITIES COMMISSION

DIVISION Utility Audits, Risk and Compliance Division	EFFECTIVE DATE
BRANCH/SECTION Utility Audits Branch (UAB)	CLASS TITLE Associate Management Auditor (AMA)
WORKING DAYS AND WORKING HOURS Monday through Friday 8:00 am to 5:00 pm	PHYSICAL WORK LOCATION Sacramento or San Francisco
INCUMBENT (if known)	CURRENT POSITION NUMBER (Agency - Unit - Class - Serial) 680-417-4159-005

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 general supervision of the Program and Project Supervisor and with assistance of a Senior Management Auditor, the AMA is primarily responsible for assisting lead auditors and/or completing independently complex financial, attestation, and performance compliance 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. In addition, the AMA is part of a team that assists in planning, organizing, and developing audit programs and may independently perform audit assignments in accordance with professional auditing standards.

% of time performing duties	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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35%	<p><u>ESSENTIAL FUNCTIONS:</u></p> <p>Either independently or as part of a team, conduct and complete financial, attestation, and compliance audits as required and in compliance with professional auditing standards to include but not limited to the following:</p> <ul style="list-style-type: none"> • Prepare clear, concise, accurate, timely, and complete working papers to document audit steps and obtain sufficient and appropriate evidence as required by the auditing standards, • Conduct interviews with utility company representatives, collect and analyze evidence, and draw sound conclusions based on supporting data, • Develop written audit reports describing the results of audits which include identifying problem areas, completing all components of an audit finding, describing analysis performed, and making recommendations for improvements in systems, programs, policies, and procedures to facilitate improving utility companies' compliance with regulatory requirements, • Perform audit field work at your desk or at a worksite.
30%	<p>Independently plan and prepare or assist in the planning and preparation of audit plans/programs according to professional auditing standards, to include but not limited to, determining the purpose, scope, methodology, assessment of risk, budget hours and milestone dates for purposes of audit planning and developing effective audit strategies; and gather, analyze, and research audit criteria such as laws, decisions, regulations, and policies to determine utility companies' compliance with applicable criteria.</p>

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10%	Independently perform or 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.	
10%	Assist on special assignments, attend external meetings, conduct research as necessary, and provide support by conducting presentations and trainings to other audit staff within the branch. Complete any applicable required administrative functions including travel claims, timesheets, and internal 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.	
<u>MARGINAL FUNCTIONS:</u>		
5%	Perform other job-related duties as assigned.	
<u>KNOWLEDGE AND ABILITIES</u> <i>[From Class Specs]</i>		
Knowledge of: Elementary statistics; organization and management in the public and private sector, current trends, and problems in governmental management; principles of electronic data processing, 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.		
Ability to: Conduct financial and management duties of a variety of State agencies, governmental jurisdictions, and other entities; make investigations of accounting and financial organization procedures and problems; communicate effectively; and analyze data and take effective action.		
<u>WORK ENVIRONMENT, PHYSICAL OR MENTAL ABILITIES:</u>		
<ul style="list-style-type: none"> • Proficiency with communications-related technologies, including personal computer applications, telecommunications equipment, Internet, voicemail, email, etc. • Maintain professional proficiency and development in accordance with professional auditing standards. • 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. • Ability to drive State owned or rented vehicles. 		
SUPERVISOR'S STATEMENT: I HAVE DISCUSSED THE DUTIES OF THE POSITION WITH THE EMPLOYEE		
SUPERVISOR'S NAME (Print)	SUPERVISOR'S SIGNATURE	DATE
EMPLOYEE'S STATEMENT: I HAVE DISCUSSED WITH MY SUPERVISOR THE DUTIES OF THE POSITION AND HAVE RECEIVED A COPY OF THE DUTY STATEMENT		
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