

## State of California - Department of Social Services

**DUTY STATEMENT**

EMPLOYEE NAME:

CLASSIFICATION:

Staff Services Management Auditor

POSITION NUMBER:

800-667-5841-001

DIVISION/BRANCH/REGION: *(UNDERLINE ALL THAT APPLY)*

Administration Division/Office of Audit Services

BUREAU/SECTION/UNIT: *(UNDERLINE ALL THAT APPLY)*

Internal Audit Bureau

SUPERVISOR'S NAME:

Hoang Ngo

SUPERVISOR'S CLASS:

Senior Management Auditor

SPECIAL REQUIREMENTS OF POSITION (*CHECK ALL THAT APPLY*):

- Designated under Conflict of Interest Code.
- Duties require participation in the DMV Pull Notice Program.
- Requires repetitive movement of heavy objects.
- Performs other duties requiring high physical demand. (*Explain below*)
- None
- Other (*Explain below*)

Up to 25% travel may be required.

Ability to transport equipment and work materials weighing up to 25 pounds to/from work sites.

I certify that this duty statement represents an accurate description of the essential functions of this position.

I have read this duty statement and agree that it represents the duties I am assigned.

SUPERVISOR'S SIGNATURE

DATE

EMPLOYEE'S SIGNATURE

DATE

**SUPERVISION EXERCISED** (*Check one*):

- None                       Supervisor                       Lead Person                       Team Leader

**FOR SUPERVISORY POSITIONS ONLY:** Indicate the number of positions by classification that this position DIRECTLY supervises.

Total number of positions for which this position is responsible:

**FOR LEADPERSONS OR TEAM LEADERS ONLY:** Indicate the number of positions by classification that this position LEADS.

MISSION OF ORGANIZATIONAL UNIT:

The Office of Audit Services (OAS) is to assist and support California Department of Social Services (CDSS) management with ongoing independent assessment of the Department's internal and external control strategy and effectiveness, and a detailed accounting of audit recommendations and implementation of the recommendations. The OAS adds value by improving the control, risk management and governance processes to help the CDSS achieve its mission and business objectives. The vision of the OAS, in keeping with professional standards, is to collaborate with management and promote good governance, strengthen policies and procedures, systems and processes, and provide high-quality, professional, timely, and responsive services.

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**CONCEPT OF POSITION:**

The Staff Services Management Auditor (SSMA) is an entry-level position that requires the ability to learn and apply general and specialized accounting principles and management auditing methods and procedures. Under close supervision from the Senior Management Auditor, the SSMA performs the less difficult assignments and assists with more complex assignments as directed by management.

**A. RESPONSIBILITIES OF POSITION:**

35% Conduct and complete the less complex audits and assist Associate Management Auditors with more complex audits in accordance with the Global Internal Audit Standards (GIAS), issued by the Institute of Internal Auditors. Exercise independent judgment in planning, assisting, and performing audit procedures, assessing risks, and evaluating internal controls. Gather and analyze preliminary information and data, including prior audit reports, inspections results, workpapers, and relevant management memorandums and directives. Assist in developing audit programs; testing procedures and tools such as documents and spreadsheets. Perform audit testing procedures to ensure relevant risks and objectives are adequately addressed, and ensure audit conclusions are accurate, evidence-based, and well-documented. Conduct research and interpret applicable laws, regulations, policies, and procedures to obtain an understanding of the program or activity under audit or review. Perform fieldwork activities such as tests of controls, transactions testing, interviewing staff, observing operations, inspecting facilities, performing data analysis to determine the adequacy and effectiveness of internal controls and compliance with applicable policies, procedures, laws and regulations. Prepare clear and concise workpapers that support auditing findings and recommendations. Travel may be required to conduct fieldwork or participate in other audit-related activities.

35% Learn and apply audit principles, methodologies, and procedures when conducting audits. Under close supervision, develop findings and prepare clear, concise, accurate, and complete working papers and draft reports in accordance with GIAS. Prioritize and monitor assigned work to ensure audit work has sufficient and appropriate evidence to draw and support sound conclusions and recommendations. Ensure audit conclusions are based on a thorough understanding of the process, circumstances, and associated risks and address the audit objectives. Communicate information, audit findings, and recommendations effectively in a logical, concise, proactive, and professional manner, both verbally and in writing. Identify and appropriately address sensitive issues and seek guidance when needed. Follow instructions accurately, efficiently, and be proactive in asking clarifying questions to ensure work efforts are aligned with audit objectives and desired outcome.

15% Make or assist in delivering oral or written presentations to management of internal and external auditees during audit exit conferences, presenting audit findings, recommending corrective action, and suggesting operational improvements. Under close supervision, prepare assigned sections of formal audit reports and memorandums, monitor corrective action plans, and perform follow-up audit procedures. Research and document applicable laws, regulations, policies, procedures, accepted industry standards, or other relevant criteria relevant to the assignments to support testing activities.

15% Meet the continuing professional education requirements of applicable auditing standards and maintain the technical competence to conduct audits and audit-related assignments. Conduct other audit-related services and other job-related duties as specified and approved by the Internal Audit Bureau Chief and/or the Audit Branch Chief.

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B. SUPERVISION RECEIVED:

Under the direction of the Internal Audit Bureau Chief and/or the Audit Branch Chief, the SSMA performs their essential duties independently or as part of a team, whether in the office setting or during off-site fieldwork.

C. ADMINISTRATIVE RESPONSIBILITY:

None.

D. PERSONAL CONTACTS:

The SSMA may communicate with various levels of Department staff and management, and with personnel from other state departments, federal agencies, county assessor staff, or independent CPA firms.

E. ACTIONS AND CONSEQUENCES:

Flexibility, tact, sound judgment, and strong verbal and written communication skills are essential. It is important that the decisions and recommendations given by the SSMA are accurate and reasonable. It is equally important that these determinations and recommendations reflect and abide by applicable laws, regulations, policies and procedures. Inadequate service could negatively impact the Department's reputation, lead to noncompliance with state and federal regulations, and potentially impact the Department's funding.

F. OTHER INFORMATION:

The SSMA's skills and knowledge must be sufficient to work independently and assist with the more complex audit assignments.

The SSMA is required to have:

- Ability to take initiative and exercise good judgment when performing tasks under tight deadlines.
- Ability to promote a positive working environment and maintain effective working relationships.
- Consistent and reliable attendance.
- Strong interpersonal skills.
- Ability to work independently and collaboratively in a team environment.
- Ability to organize and prioritize multiple assignments and complete work in a timely and efficient manner.
- Ability to effectively present information to groups and communicate clearly in writing.