



HOW WILL YOU SPEND YOUR FUTURE?

PROPOSED

CURRENT

DUTY STATEMENT

EFFECTIVE DATE

BRANCH Executive	POSITION NUMBER (Agency – Unit – Class – Serial) 815 - 103 - 4160 - 009
DIVISION/UNIT Audit Services/ Data Solutions & Quality Assurance	CLASS TITLE Staff Management Auditor
INCUMBENT NAME Vacant	WORKING TITLE Data Solutions & Quality Assurance Supervisor

CalSTRS is dedicated to securing the financial future and sustaining the trust of California’s educators through customer service, accountability, leadership, strength, trust, respect, and stewardship.

Under the general direction of the Data Solutions & Quality Assurance (DS&QA) Senior Management Auditor, Supervisor (SMA) the Staff Management Auditor, is responsible for directing and supervising a team of professional-level staff who perform data solutions reviews/activities in accordance with applicable State policies and procedures, Audit Services policies and procedures, and the Global Internal Audit Standards (Standards). The SMA is also responsible for the implementation of Audit Services Quality Assurance and Improvement Program (QAIP) and ensuring Audit Services compliance with Audit Services policies and QAIP program.

% 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.
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ESSENTIAL FUNCTIONS	
35%	Supervise, direct and support professional staff who are respnsbile for performing highly technical data solutions and analytics for Audit Services and provide consultative audit technology and quality services as requested by CalSTRS leadership. Ensure data solutions team adheres to the Global Internal Audit Standards, Audit Services and CalSTRS’ policies and procedures. Assist and direct staff in achieving data solutions goals and objectives included in Audit Services’ long-term plan and audit plan as approved by the Audits and Risk Management (ARM) Committee. Provide project management over the data solutions/analytics work to appropriately prioritize and meet required timelines. Assist and direct staff in the development of engagement level data analytics planning of audits; execution of data analytics and perform critical review of completed work to ensure quality, continuous improvement and compliance with the Standards. Monitor staff’s performance and provide guidance and feedback to ensure effective and efficient data solutions/analytical results. Conduct one-on-ones with direct reports and provide constructive feedback and direction, when necessary. Complete and submit probationary reports and annual performance reviews to Human Resources timely and efficiently. Ensure overall objectives of data solution reviews and associated communication are achieved. Monitor and provide feedback to staff after they have completed engagements. Maintain ongoing communication with CalSTRS management regarding audit progress, audit issues and content of audit reports. Provide technical expertise or consultation services to management on best practices, while keeping management informed of potential risks, problems and recommendations for improvements. Recruit, hire and coach staff.
30%	Maintain and ensure effective implementation of Audit Services Audit Services’ comprehensive QAIP as required by the Standards. Provide recommendations and assist with updates to the Audits and Risk Management Committee Charter, Audit Services Charter, Audit Services policies and procedures, other guiding documents, or required reports/forms/attestations as approved by the Chief Auditor. Assist in preparing agenda items on Audit Services’ QAIP, including internal and external quality assessment results. Prepare internal quality assessment reports each year to the Chief Auditor and prepare ARM Committee agenda items on the annual results. Review individual staff training plans, set by Division leadership to ensure compliance with training requirements. Assess skills and training needs of staff and identify needs for external expertise in compliance with the Standards. Review ongoing changes to applicable professional standards, technical materials, State policies and procedures, and best practices as they relate to CalSTRS operations and audit services. Ensure staff stay abreast of updates to the Standards, Topical Requirements, audit governance materials and other associated audit guidance through training and presentations. Update Audit Services methodologies and guidance to reflect/address any applicable new or updated Standard requirements. Provide recommendations to leadership on policy improvements or work production efficiencies. Develop and seek feedback from SMA on other educational items related to audits for presentation to external and internal stakeholders.
20%	Assign and oversee the data solutions team’s participation in Audit Services’ risk assessment and audit plan development. Review and approve reporting results prior to submission to Audit Services’ Senior Management Auditor, Supervisors. Assist the DS&QA Senior Management Auditor, Supervisor in

10%	<p>developing methodologies, identifying solutions for improving risk assessment processes, and presenting and improving risk assessment and audit plan reporting. Assist Audit Services Senior Management Auditor, Supervisors in developing agenda items related to Audit Services’ audit plan development and results.</p> <p>Oversee Audit Services long-term plan and monitor performance to achieve the plan. Identify gaps on the progress of meeting performance and develop solutions. Regularly report on the results of performance progress to the SMA. Collaborate with Audit Services leadership to assess, adjust, monitor, and report on key performance indicators. Monitor and guide staff with building out dashboards for tracking and reporting of key performance indicators. Review, assess, and suggest relevant updates to the long-term plan and associated performance objectives annually. Assist the SMA in monitoring staff certifications and continuing professional education to ensure adherence to the Standards.</p>
5%	<p>MARGINAL FUNCTIONS</p> <p>Participate on cross-functional teams, when requested. Attend external and internal training classes and conferences to enhance knowledge, skills, and other competencies, as needed. Provide updates to leadership, when necessary.</p>

COMPETENCIES

Core Competencies. All employees are responsible for understanding and demonstrating CalSTRS’ core competencies:

- Adaptability/Flexibility
- Communication
- Customer/Client Focus
- Teamwork
- Work Standards/Quality Orientation

Classification Competencies. All employees are expected to understand and demonstrate their position’s CalSTRS class competencies located in the [Competency Guide](#) on Central.

CONDUCT AND ATTENDANCE EXPECTATIONS

- Communicate effectively with individuals from varied experiences, perspectives and backgrounds
- Deal with individuals in a tactful, congenial, personable manner
- Must maintain consistent and regular attendance
- Adhere to CalSTRS policies and procedures
- Support and model CalSTRS Core Values

WORKING CONDITIONS AND PHYSICAL ABILITIES REQUIRED OF THE JOB

- Prolonged periods of standing or sitting
- Occasional overnight in state/out of state travel
- Work in a high-rise building, in an open space environment
- Ability to use a computer keyboard several hours a day
- Read from computer screens several hours a day
- Ability to move up to 10 pounds

Responsible for promoting a safe and secure work environment free from discrimination, harassment, inappropriate conduct, or retaliation by adhering to CalSTRS’ policies and processes. Responsible for participating in mandated HR or EEO training workshops (i.e. Sexual Harassment, EEO, etc.).

To be reviewed and signed by the supervisor and employee:

SUPERVISOR’S STATEMENT:

- I HAVE DISCUSSED THE DUTIES AND RESPONSIBILITIES OF THE POSITION WITH THE EMPLOYEE
- I HAVE SIGNED AND RECEIVED A COPY OF THE DUTY STATEMENT

SUPERVISOR’S NAME (Print)	SUPERVISOR’S SIGNATURE	DATE SIGNED
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EMPLOYEE’S STATEMENT:

- I HAVE DISCUSSED THE DUTIES AND RESPONSIBILITIES OF THE POSITION WITH MY SUPERVISOR
- I HAVE SIGNED AND RECEIVED A COPY OF THE DUTY STATEMENT
- I AM ABLE TO PERFORM THE ESSENTIAL FUNCTIONS LISTED WITH OR WITHOUT REASONABLE ACCOMMODATION
- I UNDERSTAND THAT I MAY BE ASKED TO PERFORM OTHER DUTIES AS ASSIGNED WITHIN MY CURRENT CLASSIFICATION, INCLUDING WORK IN OTHER FUNCTIONAL AREAS AS BUSINESS NEEDS REQUIRE

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EMPLOYEE'S NAME (Print)

EMPLOYEE'S SIGNATURE

DATE SIGNED