

DUTY STATEMENT



☐ CURRENT
☒ PROPOSED

CIVIL SERVICE CLASSIFICATION Staff Management Auditor			WORKING TITLE Internal Audit Supervisor		
PROGRAM NAME Office of the Director				UNIT NAME Internal Audit	
ASSIGNED SPECIFIC LOCATION Sacramento				POSITION NUMBER 400 – 125-4160-001	
BARGAINING UNIT S01	WORK WEEK GROUP E	BILINGUAL POSITION No	CONFLICT OF INTEREST FILER Yes	BACKGROUND CHECK No	

General Statement

Under the general direction of the Supervising Management Auditor, the Staff Management Auditor (SMA), is responsible for planning, organizing, and directing the work of internal audit teams that conduct financial, performance, and compliance audits of DIR's operations. The SMA also assists the Audit Unit Chief in the administration and oversight of DIR's risk management functions. The incumbent has responsibility in the evaluation of policies and programs.

Candidates must be able to perform the following essential functions with or without reasonable accommodations.

Percentage of Time Spent	Duties <u>Essential Job Functions</u>
35%	Supervise a group of internal auditors engaged in financial, performance, and compliance audits of DIR's divisions, boards, and commissions. Plan, direct, and supervise internal audits in accordance with the Internal Audit Unit's standards, as well as Generally Accepted Government Auditing Standards (GAGAS) and the Institute of Internal Auditing's (IIA) International Professional Practices Framework. Provide technical guidance and on-the-job training to auditors to maintain and improve the quality, efficiency, and effectiveness of audit work performed. Attend entrance and exit conferences, as well as interim meetings to ensure that audit objectives are met and the audit is completed within established timeframes.
30%	Review and evaluate audit working papers for accuracy and completeness using the Diligent One audit management software. Ensure that audit conclusions are supported by sufficient and relevant evidence. Provide timely coaching notes and feedback to subordinate audit staff to ensure that audit working papers are clear, concise, and understandable by audit colleagues. Utilize the Microsoft Office suite to develop and present audit communications. Establish and maintain positive working relationships with auditees, the audit committee, and other stakeholders.
20%	Provide regular and timely written staff performance appraisals. Counsel staff and initiate disciplinary actions as necessary. Recruit, hire, train, develop, and provide leadership to staff. Monitor staff training plans and continuing education hours, identify skill gaps, and make appropriate training recommendations. Review staff work plans, monitor and evaluate progress, and ensure key milestones are met and on schedule. Monitor potential workload bottlenecks and recommend appropriate courses of action.

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10%	Collaborate with the Chief of Internal Audits and Enterprise Risk Management to perform an annual organization-wide risk assessment and develop a continuous risk-based audit plan.
Percentage of Time Spent	Marginal Job Functions
5%	Attend external and internal training classes and conferences to enhance knowledge, skills, and other competencies. Serve in an acting capacity in the absence of Chief of Internal Audits.
Conduct, Attendance, and Performance Expectations	This position requires the incumbent to maintain acceptable, consistent and regular attendance at such level as is determined by business needs; communicate effectively (orally and in writing if both appropriate) in dealing with the public and/or other employees; develop and maintain knowledge and skill related to methodologies, materials, tools, and equipment; complete assignments in a timely and efficient manner; and adhere to departmental policies and procedures regarding attendance, leave, and conduct. Must be regularly available and willing to work the hours the Department determines are necessary to meet its business needs. The incumbent may travel to various DIR offices throughout the State of California.

Supervision Received

Under the general direction, the incumbent receives most assignments from the Supervising Management Auditor from Audit and Accountability. The incumbent may also periodically receive assignments from the Chief of Office of Equity and Risk, Chief Deputy Director, and the Director.

Supervision Exercised

The incumbent supervises the work performed by five auditors.

Work Environment, Special Requirements/Other Information, Physical Abilities, Additional Requirements/Expectations, and Personal Contacts

Work Environment

The incumbent will work in a cubicle/office with natural and artificial lighting in an air-conditioned office building with elevator access.

Special Requirements/Other Information

The incumbent must demonstrate the ability to establish and maintain cooperative working relationships with staff at all levels both within and outside of DIR to complete work assignments. The incumbent must demonstrate the ability to use the internet, email, desktop applications, and presentation software to complete assignments.

Physical Abilities

The position requires being in a stationary position for long periods of time, and to move and transport office items in a safe manner. The SMA must demonstrate the ability to use a computer, telephone, and other office equipment such as copiers and scanners. The SMA will be required to travel occasionally within the local area and within the state by car or plane as appropriate.

Additional Requirements/Expectations

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The incumbent must handle sensitive and confidential materials and matters in a professional manner and establish cooperative working relationships with others.

Personal Contacts

The incumbent has daily contact with other staff within the DIR Audit Unit and also has frequent contact with staff in other DIR Divisions and Units.

Employee Acknowledgment

I have read and understand the duties listed above and certify that I possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform these assigned duties as described above with or without reasonable accommodation. If you believe a reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for a reasonable accommodation, inform the hiring supervisor who will discuss your concerns with the Medical Management Unit in the Human Resources Office.

Employee Name

Employee Signature

Employee Sign Date

Supervisor Acknowledgment

I certify this duty statement represents a current and accurate description of the essential functions of this position. I have discussed the duties of this position with the employee and provided the employee with a copy of this duty statement.

Supervisor Name

Supervisor Signature

Supervisor Sign Date

HUMAN RESOURCES OFFICE APPROVAL

IS

7/30/2026