

Classification Senior Management Auditor	Position Number 814-701-4161-280	Location Sacramento (Headquarters)
Division/Branch ASD / Fiscal, Audits, and Business Services Branch	Supervisor's Classification Manager II	Collective Bargaining Identification Designation (CBID) S01
Conflict of Interest Disclosure: ☒ Yes ☐ No	Incumbent (If filled) VACANT	

☐ **Job requires driving automobile:** In this position, the incumbent may, as needed, drive a state vehicle for work purposes. (Employee must complete DPR-034, Request for Driver Record Information).

SUPERVISORY RESPONSIBILITIES
(Check One)

☐ Managerial ☒ Supervisory ☐ Lead Person ☐ None

Direct Supervision Exercised:		Indirect Supervision Exercised:	
No. of Employees	Classification Title	No. of Employees	Classification Title
1	Staff Management Auditor	3	Associate Management Auditor
1	Supervisor I	2	Staff Service Management Auditor
		1	General Auditor III
		2	Analyst II
		1	Analyst I
		2	Seasonal Clerks

I have read and discussed these duties with my supervisor.

Employee Signature	Date
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I certify that the DPR-217 accurately represents the duties and responsibilities of the position.

Supervisor Signature	Date
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Description of Duties (*Attach additional sheets, if necessary, and identify position information*)

Summarize the regularly assigned duties of the position by percentage in descending order. Do not combine distinct activities into a single percentage. Descriptive information should reflect variety and complexity of duties through: supervision exercised and/or received; responsibility for decision making and consequence of error; analytical requirements; special knowledge; skills or abilities required; level, type and frequency of public contact; and unusual working conditions (i.e., field work, bilingual services, etc.); and physical requirements (physical demands, environmental demands).

Percent of Time	Activity
	Under the general direction of the Manager II, aka Fiscal, Audits and Business Services (FABS) Branch Chief, the Senior Management Auditor manages the operation of the Audits and Mill Compliance Office within the branch and directly supervises a Staff Management Auditor and Supervisor I as well as all aspects of auditing and mill compliance activities related to the mill assessment. Assignments directly supervised or conducted by the Audits and Mill Compliance Office include the review of product sales into California to determine proper registration, reporting of mill, verifying sales, and documenting if mill assessments were paid as required by regulation. <u>ESSENTIAL FUNCTIONS:</u>
30%	Manages the operation of the Audit and Mill Compliance Office. Provides leadership and support to Staff Management Auditor and staff on the regulatory and statutory requirements on mill assessment. Oversees the development, preparation, and follow through of executed audits and evaluations in accordance with CDPR policies and applicable auditing standards. Provides technical expertise and leadership on the reporting and collection of mill assessments by registrants, brokers and dealers to mill staff and internal stakeholders. Provides technical advice regarding the application of professional auditing standards to specific assignments. Acts to ensure CDPR management stays informed of the progress of assignments. Delegates assignments and may attend entrance and exit conferences with auditor(s). Conducts detailed reviews of audit reports and audit working papers submitted by staff management auditor and at times for audit staff to ensure readability, correct grammar, accuracy of the audit report's content; ensuring findings and recommendations are clear, concise, complete, and fairly presented. Makes sound decisions when determining the scope of the audit to ensure compliance with statutory and regulatory requirements. Provides coordination or assistance to Office of Legal Affairs, Enforcement Branch, Registration Branch and Audits and Mill Compliance Office during audits or discovery of under-reporting of mill assessment and notification of misbranded and unregistered products.
20%	Evaluates the effectiveness of the department's audit programs to determine if improvement is warranted and identifies recurring trends in order to anticipate and avoid audit related problems or issues; also provides technical advice on the department's MillPay system (mill assessment reporting tool) and the overall integrity of the mill assessment program. Reviews and edits comprehensive written analyses regarding audit policies, guidelines, and procedures. Identifies discrepancies and/or financial irregularities that could potentially comprise the integrity of the Audits and Mill Compliance Office, branch and/or the department.
20%	Supervises subordinates' performance and completes administrative functions. Meets regularly with subordinates individually, in teams, and as a unit to monitor performance and provide information and guidance. Communicates and implements CDPR policies and procedures to ensure all subordinates are informed of and comply with those policies and procedures. Evaluates subordinates' performance on a regular basis including preparing annual performance appraisals and probation reports. Reviews and approves annual Individual Development Plans and annual training plans; takes appropriate corrective action to ensure subordinates meet work requirements.
10%	Recruits audit staff in consultation with the Branch Chief. Communicates to management problems, policies, procedures, and other general concerns that could affect CDPR; administers leave and reporting attendance for subordinates under his/her direction. Approves travel expense claims; and reviews and approves State car usage, equipment usage, telephone usage, and other relevant State matters.
10%	Function as a liaison between the Audits-Mill Compliance Unit, Enforcement Branch and the Office of Legal Affairs. Initiates changes to audit programs and reports as a result of federal and State legislation, laws, regulations and policies. Perform other special projects as required.

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Percent of Time	Activity
	<u>MARGINAL FUNCTIONS:</u> 5% Establishes an environment conducive to the continuous improvement of systems, processes, and procedures. Continuously seeks to increase knowledge and understanding of CDPR programs and operational issues. 5% Work cooperatively and promote effective working relationships with departmental staff and external stakeholders. Leads team when establishing operational planning tasks annually. Establish effective communication and support linkages with the CDPR directorate and other managers and supervisors. Works with CDPR executive management determining possible opportunities for internal audits and develops processes and procedures to complete internal audits. <u>WORKING CONDITIONS:</u> The incumbent will be sitting for long periods of time in an office cubicle that is equipped with artificial light, temperature control and standard office equipment. This position requires both in-state and out-of-state travel between 25 percent to 50 percent of the time, which includes overnight stays. The incumbent will be traveling via car, or plane, and must be able to lift 25 pounds, walk through airport terminals with luggage, computer equipment, and work papers. The incumbent must be capable of working in a high-rise building. Conditions may vary based on the facility, and the incumbent will need to adjust accordingly. <u>CRITICAL JOB COMPETENCIES:</u> Leading Change / Change Management: An agile leader anticipates and monitors forces of change, adapts while staying aligned with organizational values, and fosters a creative culture that embraces new ideas. Communication: Effective communication involves knowing the audience, selecting the right approach, listening actively, presenting clearly, facilitating open dialogue, and ensuring consistent verbal and non-verbal messages in all formats. Self-Motivation, Optimism, Sustained Commitment, Perseverance, Patience: A self-motivated leader maintains optimism, learns from setbacks, stays resilient, and empowers both themselves and their team. Emotional Intelligence / Interpersonal Awareness: Emotionally intelligent leaders understand people's needs, communicate feelings clearly, balance emotion with logic, build strong relationships, lead people compassionately, and manage group emotions during change or conflict. Decisiveness: Decisive leadership means making timely, well-informed decisions, sharing decision-making when appropriate, accepting accountability, recognizing impacts, and enabling others to make successful choices. Conflict Resolution: Effective conflict resolution requires recognizing issues early, addressing them promptly, transforming conflict into opportunity, and applying appropriate dispute-resolution methods. Problem Solving: Strong problem solving involves anticipating issues, encouraging proactive thinking, considering multiple pathways, and evaluating the costs and benefits of all options to choose the best solution. Customer Service Orientation: Customer-focused leaders balance diverse client needs, adapt to shifting

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	priorities, establish systems that ensure high-quality service and follow-through, and build trust and credibility. Flexibility / Adaptability: Adaptable leaders integrate changes smoothly, stay open to new structures and technologies, and shift focus comfortably as circumstances evolve. Teamwork: Team-oriented leaders build cooperative relationships, value others' expertise, foster group commitment and trust, and work collaboratively toward shared goals.