STATE OF CALIFORNIA

DUTY STATEMENT

CALIFORNIA PUBLIC UTILITIES COMMISSION

DIVISION Executive	EFFECTIVE DATE
BRANCH/SECTION Internal Audit Section	CLASS TITLE Senior Management Auditor
WORKING DAYS AND WORKING HOURS 8:00 AM – 5:00 PM	PHYSICAL WORK LOCATION Sacramento
INCUMBENT (If known)	CURRENT POSITION NUMBER (Agency - Unit - Class – Serial 680-426-4161-XXX

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 the direction of the Supervising Management Auditor, serve as Auditor-in-Charge and conduct complex audits, advisory services, special reviews, and/or governance evaluations in dynamic environments where objectives may not be well-defined or processes are under development. Responsible for planning, organizing and conducting the sensitive, complex and technical management, operational, information technology, and financial risk-based audits independently to provide accountability to the State and to CPUC management regarding the efficiency and effectiveness of the various divisions and programs in carrying out the CPUC's mission and objectives; all audits will be performed with the goal of ensuring that all departmental assets are safeguarded and that all departmental risks are minimized.

% 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. *(Use additional sheet if necessary)*
45%	**ESSENTIAL FUNCTIONS:** Incumbent will be responsible for all work performed, including work papers developed, field work conducted, sampling methods used, and findings or audit issues discovered. Specific tasks may include, but are not limited to, the following: Apply advanced analytical audit techniques and project management skills in order to assess organizational and operational risks for assigned review areas and advise management on diverse and multi-faceted audit issues that require analysis of data with multiple challenges and criteria. Independently perform risk-based audits. The audit areas may include internal control audits of: complex program areas and administrative services including: human resources, contracts, fiscal management and controls, purchasing, and fixed assets. prepares clear, concise, accurate, and complete working papers, findings, recommendations, and reports. Provides sufficient evidence that all results, conclusions and recommendations are supported and meet audit objectives. Develops audit findings, the causes for the findings, and the effect(s) of the findings on the program being audited. Prepares audit plans, for audit execution, which include determining the purpose, source, scope, methodology, business processes, risk assessment, budget hours and milestone dates. Assists in modifying data-collection instruments, and audit guidelines and procedures needed to complete projects ensuring that critical analyses and evidence are obtained to meet audit objectives in accordance with auditing standards. Collects and documents audit-related information and data; interviews management, staff, and clients; reviews appropriate laws, rules, regulations, management memorandums, and directives; documents reviews including prior internal/external audit reports, working papers, and permanent files; observes services provided and work in progress; and inspects business operations, physical facilities and equipment. Analyzes and interprets data to determine the level of compliance with applicable policies, procedures, laws, and regulations and the adequacy of system controls, reliability of system data, and the level of risk related to various CPUC programs under review/audit in order to provide conclusions based on sufficient and appropriate data. Include performing quality assurance reviews performed by peers. Utilize tact and diplomacy while conducting

	research, interview and audit work that may be of a personal or sensitive nature. Exercises flexibility in responding to changing workloads. Completes assignments by the assigned due date.
30%	As In-Charge Auditor, lead and direct the audit assignment. Provide guidance and leadership to audit staff. Perform reviews and provide feedback. Ensures audit work meets objectives and scope, risks are assessed, and audit work is substantiated conforms with professional audit standards.
20%	Explain audit issues and recommendations, influence high level staff, establish and maintain cooperative and productive work relationships with auditees, and obtain consent and action. Prepare and present verbal and written reports to management including management requests and special consultations such as training on internal controls and other projects while executing excellent communication (verbal and written), facilitation, negotiation and collaboration skills. Develops alternatives and recommendations for the resolution of findings. Promote concepts of effective internal control that will assist CPUC staff in the discharge of their duties to properly mitigate risks to the CPUC. Manage project deliverables timely and serve as a team lead for complex internal audits and advisory services.
5%	**MARGINAL FUNCTIONS** Perform other job-related duties as assigned.

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