



Title: Compliance and Quality Assurance Auditor

FLSA Status: EXEMPT

BRIEF DESCRIPTION:

The purpose of this position is to perform complex operational and compliance and quality assurance audits of District Departments and functions; performs performance and compliance and quality assurance audits of contractors having contractual agreements with the District; reviews District operations and records to ensure: adequacy of internal controls, safeguarding of assets, compliance and quality assurance with District policies and procedures and federal, state and local agency grant requirements, effectiveness of operations and consistency with the District’s organizational objectives.

ESSENTIAL FUNCTIONS:

Note: This information is intended to be descriptive of the key responsibilities of the position. The list of essential functions below does not identify all duties performed by any single incumbent in this position. Additionally, please be aware of the legend below when referring to the physical demands of each essential function.

| | | | | |
|---|---|--|---|---|
| (S) Sedentary Exerting up to 10 lbs. occasionally or negligible weights frequently; sitting most of the time. | (L) Light Exerting up to 20 lbs. occasionally; 10 lbs. frequently; or negligible amounts constantly; OR requires walking or standing to a significant degree. | (M) Medium Exerting 20-50 lbs. occasionally; 10-25 lbs. frequently; or up to 10 lbs. constantly. | (H) Heavy Exerting 50-100 lbs. occasionally; 10-25 lbs. frequently; or up to 10-20 lbs. constantly. | (V) Very Heavy Exerting over 100 lbs. occasionally; 50-100 lbs. frequently; or up to 20-50 lbs. constantly. |
|---|---|--|---|---|

| # | Code | Essential Functions | % of Time |
|---|------|--|-----------|
| 1 | S | Under general direction, develops annual audit plan, identifying areas of potential internal control exposure and areas for improving operational efficiency. Participates on various committees. Performs other duties as assigned. | 20% |
| 2 | S | Reviews, analyzes and evaluates vendor/contractor activities, expenses, products and reports to ensure delivery of services or materials as specified, compliance and quality assurance with the contract, and validity of changes in scope of services and amounts. | 20% |
| 3 | S | Examines departmental records to ensure proper recording of transactions and compliance and quality assurance with applicable laws. | 20% |
| 4 | S | Evaluates District procedures for evidence of deficiencies in controls, duplication of efforts, fraud or failure to comply with laws, government regulations, and or District policies or procedures. | 20% |
| 5 | S | Performs operational audits throughout the District to provide management with objective analysis of activities; prepare internal audit reports and communicate results of the audits to management. Evaluates the impact on District activities and recommends policy and procedural changes. | 20% |



JOB REQUIREMENTS:

| -Description of Minimum Job Requirements- | |
|---|--|
| Formal Education | <p>Four (4) years of college resulting in a Bachelor’s degree or equivalent from an accredited college or university in Business Administration, Public Administration, Accounting, Auditing or a related field.</p> <p>Additional directly related experience beyond the minimum requirement may substitute for the required education based on the ratio of one and a half (1.5) years of experience for each (1) year of education.</p> |
| Experience | <p>A minimum of seven (7) years of increasingly responsible experience reviewing agency functions, procedures, practices and operations. Experience in a governmental or public agency setting is preferred.</p> |
| Supervision | <p>Work involves problem solving and mediating highly conflicting, unexpected and unusual problems involving multiple groups. Applies broad management responsibility for a large program or set of related functions.</p> |
| Human Collaboration Skills | <p>Final decisions regarding policy development and implementation are made and/or recommended. Interaction with others outside the organization requires exercising participative management skills that support team efforts and quality processes.</p> |
| Freedom to Act | <p>The employee normally performs the duty assignments within broad parameters defined by general organizational requirements and accepted practices. End results determine effectiveness of job performance.</p> |
| Technical Skills | <p>Work requires advanced skills and knowledge in approaches and systems, which affect the design and implementation of major programs and /or processes organization-wide. Independent judgment and decision making abilities are necessary to apply technical skills effectively.</p> |
| Budget Responsibility | <p>Position as district wide fiscal responsibility. Assures that appropriate linkages exist between district-wide budget, funding limitations and service levels, to meet specific departmental and organizational goals. Monitors progress toward fiscal objectives and adjusts plans as necessary to reach them. Prepares agency financial statements and budget reports.</p> |
| Reading | <p>Advanced - Ability to read literature, books, reviews, scientific or technical journals, abstracts, financial reports, and/or legal documents. Ordinarily, such education is obtained in at the college level or above. However, it may be obtained from experience and self-study.</p> |
| Math | <p>Advanced - Ability to apply fundamental concepts of theories, work with advanced mathematical operations methods, and functions of real and complex variables. Ordinarily, such education is obtained in at the college level or above. However, it may be obtained from experience and self-study.</p> |
| Writing | <p>Advanced - Ability to write editorials, journals, speeches, manuals, or critiques. Ordinarily, such education is obtained in at the college level or above. However, it may be obtained from experience and self-study.</p> |



Certification &
Other Requirements

KNOWLEDGE

- Principles, practices, techniques and theories of internal control
- Auditing standards as set out in the Standards for the Professional Practice of Internal Auditing as prescribed by Government Code Section 1236
- Practices and techniques of quality assurance principles
- Practices, techniques and theories;
- computer applications and usage in auditing and data processing functions
- Statistical sampling techniques
- Application of contractual requirements.

SKILLS

- Advanced word processing, spreadsheet, presentation and database software
- Specialized software related to functional area

ABILITIES

- Perform duties impartially, without compromising the integrity of the audit function
- Analyze, evaluate and resolve complex internal control and operational system problems
- Conduct effective operational audits which promote the District’s ability to meet its organizational objectives
- Apply recognized auditing and quality assurance and Departmental standards to each auditing project
- Review reports, contracts and financial records for accuracy, clarity and completeness
- Review management practices for compliance & quality assurance with legal and procedural guidelines
- Reads and applies laws, rules, and regulations and guidelines applicable to the audit function being performed
- Exercise sound judgment in recommending more efficient systems, methods and procedures
- Perform comparative analyses of reports and arrive at logical conclusions and recommendations
- Establish and maintain effective working relationships with those contacted in the course of work to the extent possible without sacrificing integrity or impartiality in reporting District deficiencies



OVERALL PHYSICAL STRENGTH DEMANDS:

| -Physical strength for this position is indicated below with "X"- | | | | |
|---|--|---|---|--|
| Sedentary X | Light | Medium | Heavy | Very Heavy |
| Exerting up to 10 lbs. occasionally or negligible weights frequently; sitting most of the time. | Exerting up to 20 lbs. occasionally, 10 lbs. frequently, or negligible amounts constantly OR requires walking or standing to a significant degree. | Exerting 20-50 lbs. occasionally, 10-25 lbs. frequently, or up to 10 lbs. constantly. | Exerting 50-100 lbs. occasionally, 10-25 lbs. frequently, or up to 10-20 lbs. constantly. | Exerting over 100 lbs. occasionally, 50-100 lbs. frequently, or up to 20-50 lbs. constantly. |

PHYSICAL DEMANDS:

| C Continuously 2/3 or more of the time. | F Frequently From 1/3 to 2/3 of the time. | O Occasionally Up to 1/3 of the time. | R Rarely Less than 1 hour per week. | N Never Never occurs. |
|---|---|---|---|-----------------------------|
|---|---|---|---|-----------------------------|

Note: This is intended as a description of the way the job is currently performed. It does not address the potential for accommodation.

| -Physical Demand- | -Frequency- | -Brief Description- |
|------------------------------------|-------------|---|
| Standing | F | Making presentations; Observing work site; Observing work duties; Communicating with co-workers |
| Sitting | F | Desk work; For files |
| Walking | F | To other departments/offices; Around work site |
| Lifting | O | Supplies; Files |
| Carrying | O | Supplies; Files |
| Pushing/Pulling | R | File drawers; Tables and chairs |
| Reaching | O | For supplies; For files |
| Handling | O | Paperwork |
| Fine Dexterity | F | Computer keyboard; Telephone keypad; |
| Kneeling | R | Retrieving items from lower shelves/ground |
| Crouching | R | Retrieving items from lower shelves/ground |
| Crawling | N | |
| Bending | R | Retrieving items from lower shelves/ground |
| Twisting | O | From computer to telephone; Getting inside vehicle |
| Climbing | O | Stairs |
| Balancing | R | |
| Vision | F | Reading; Computer screen; Driving; Observing work site |
| Hearing | F | Communicating via telephone/radio, to co-workers/public |
| Talking | F | Communicating via telephone/radio, to co-workers/public |
| Foot Controls | O | Driving |
| Other (specified if applicable) | | |

MACHINES, TOOLS, EQUIPMENT, SOFTWARE, AND HARDWARE:

Telephone, fax machine, copier, vehicle, calculator, computer and associated hardware and software.



ENVIRONMENTAL FACTORS:

| | | | | |
|--------------------------|------------------------|--------------------------|--------------------|-------------------|
| C Continuously | F Frequently | O Occasionally | R Rarely | N Never |
|--------------------------|------------------------|--------------------------|--------------------|-------------------|

| | | | | |
|-------------------|--|---|------------------------|-------------------|
| D Daily | W Several Times Per Week | M Several Times Per Month | S Seasonally | N Never |
|-------------------|--|---|------------------------|-------------------|

| -Health and Safety Factors- | |
|-----------------------------|---|
| Mechanical Hazards | R |
| Chemical Hazards | N |
| Electrical Hazards | R |
| Fire Hazards | N |
| Explosives | N |
| Communicable Diseases | N |
| Physical Danger or Abuse | N |
| Other (see 1 below) | |

| -Environmental Factors- | |
|-------------------------|---|
| Respiratory Hazards | N |
| Extreme Temperatures | S |
| Noise and Vibration | N |
| Wetness/Humidity | N |
| Physical Hazards | N |

(1) N/A

PROTECTIVE EQUIPMENT REQUIRED: Safety shoes, protective eyewear, safety vest and hardhat

NON-PHYSICAL DEMANDS:

| | | | |
|---|---|---|-----------------------------------|
| F Frequently From 1/3 to 2/3 of the time | O Occasionally Up to 1/3 of the time | R Rarely Less than 1 hour per week | N Never Never occurs |
|---|---|---|-----------------------------------|

| -Description of Non-Physical Demands- | -Frequency- |
|---|-------------|
| Time Pressure | O |
| Emergency Situation | R |
| Frequent Change of Tasks | O |
| Irregular Work Schedule/Overtime | F |
| Performing Multiple Tasks Simultaneously | O |
| Working Closely with Others as Part of a Team | F |
| Tedious or Exacting Work | O |
| Noisy/Distracting Environment | R |
| Other (see 2 below) | |

(2) N/A

PRIMARY WORK LOCATION:

| | | | |
|--------------------------------|---|---------------------|--|
| Office Environment | X | Vehicle | |
| Warehouse | | Outdoors | |
| Shop | | Other (see 3 below) | |
| Recreation/Neighborhood Center | | | |

The above statements are intended to describe the general nature and level of work being performed by individuals assigned to this position. They are not intended to be an exhaustive list of all responsibilities, duties, and skills required. This description is subject to modification as the needs and requirements of the position change.