STATE OF MONTANA
JOB DESCRIPTION

Montana state government is an equal opportunity employer. The State shall, upon request, provide reasonable accommodations to otherwise qualified individuals with disabilities.

Job Title: Compliance Audit Manager **Position Number: 15002 and 15014**

Location: Helena **Department: Transportation**

Division and Bureau: Professional Services Division/Audit Services

Section and Unit: n/a

Job Overview:

These positions perform complex audit and compliance work and supervise multiple engagements. Responsible for consistency and accuracy of final reports and reviews, and ensuring audits are completed in accordance with Generally Accepted Government Auditing Standards (GAGAS), International Fuel Tax Agreement (IFTA), International Registration Plan (IRP). Examines and evaluates conformity with state statutes, rules, federal regulations, contract requirements, and other compliance components. These positions report to the Chief Auditor and supervise compliance audit employees.

Essential Functions (Major Duties or Responsibilities):

Program Management - 70%

- Develop the annual plans through risk assessment, management inquiries, compliance requirements and departmental needs.
- Allocate budgets and resources to complete annual plan.
- Manage the referral process by prioritizing referrals, determining if a proposed engagement is appropriate and distinguishing high priority and low priority engagements.
- Coordinate engagements with other Compliance Audit Manager and Chief Auditor to minimize duplication of effort.
- Review progress to identify when an engagement is not progressing as planned through discussion with the staff, progress reports, and observations. Take corrective action, provide guidance, and assist the compliance auditor in charge to ensure timely completion of the engagement.

- Direct change in the scope of individual engagements to best achieve the Audit Service's goals and objectives and to provide the best service to the department by focusing on department priorities and at-risk areas.
- Manage the quality control reviews of multiple engagements by overseeing the work performed by compliance auditors.
- Evaluate compliance status with contract requirements and state and federal laws and regulations to determine liability, fines, or assessments.
- Responsible for the accuracy of the data collected, the authenticity of the information gathered, the quality of recommendations made, and the reasonableness of the recommendations.
- Ensure all engagements are performed in accordance with appropriate standards/regulations.
- Reviews work papers to ensure findings are comprehensive, objective, consistent, and meets the appropriate objectives.
- Ensure final reports and memos are comprehensive, objective and supported by the audit work and written in a clear and concise manner.
- Summarize both orally and in writing results of findings and communicates findings to management and external parties when applicable.
- Follow up with department staff regarding recommendations addressing noncompliance or adhering to new requirements.
- Facilitate decision making processes by soliciting and considering input on office processes or procedures.
- Establish membership in AASHTO, IFTA/IRP, or other committees and/or participate in peer reviews when needed.
- Complete required training to maintain licensure.

Staff Management - 25%

- Directly manages staff by reviewing and revising overall work plans, priorities and procedures and monitoring progress through regular meetings. Conducts staff meetings, disseminates data and promotes information exchange for support and advancement of Division, Bureau and Section goals.
- Identifies staffing needs, recruits and hires employees and allocates staff to adequately support the on-going operations and activities of the Section.
- Evaluates the performance of all positions directly supervised and completes performance evaluations. Recommends, implements and monitors corrective actions.
- Appropriate delegation of responsibility and authority to staff compliance auditors.
- Considers department-wide needs and priorities.

Other Duties - 5%

This position performs a variety of other duties as assigned by the Chief Auditor and other management in support of the department mission and division objectives.

Supervision

The number of employees supervised is: 5

The position number for each supervised employee is:

Position 15002 supervises: 15005, 15017, 15021, 15023, 21009

Position 15014 supervises: 15010, 15012, 15013, 15016

Physical and Environmental Demands:

- Works in a typical office environment.
- Some required travel within the state to project locations. Potential out of state travel by airline to national conferences and meetings.

Knowledge, Skills and Abilities (Behaviors):

- Extensive knowledge of and skill in applying auditing and accounting principles and practices.
- Extensive knowledge of department policy and procedures; state policy, law and administrative rules; federal rules and regulations; IFTA/IRP requirements; and Generally Accepted Governmental Auditing Standards.
- Extensive skills in planning and project management and in maintaining composure under pressure while meeting multiple deadlines. Skills in negotiating issues and resolving problems.
- Establishes and maintains effective working relationships with co-workers, management, external contacts, and auditees to coordinate an efficient audit through good communication and the ability to assess the needs of the work environment.
- Collecting and analyzing complex data, evaluating information and systems, and drawing logical conclusions.
- Assesses financial and compliance environments and applies established solutions that bring understandable and accurate improvements.
- Practice effective communication by presenting information in a logical manner so others can understand.

Minimum Qualifications (Education and Experience):

The required knowledge and skills are typically acquired through a combination of education and experience equivalent to Bachelor's Degree in Accounting, Finance, Business Administration, Information Technology, or a related field.

This position requires a minimum of 4 years of experience in audit, compliance, or related field.
This position requires a minimum of 1 year of supervision or team lead experience.

Certifications, licensure, or other credentials include: CPA

Alternative qualifications include: none.

Special Requirements:

List any other special required information for this position

☐	Fingerprint check	☐	Valid driver's license
☒	Background check	☐	Other; Describe
	Union Code		Safety Responsibilities

The specific statements shown in each section of this description are not intended to be all inclusive. They represent typical elements and criteria considered necessary to perform the job successfully.

<u>Signatures</u>

My signature below indicates the statements in the job description are accurate and complete.

Immediate Supervisor	**Title**	**Date**

Administrative Review	**Title**	**Date**

My signature below indicates that I have read this job description.

Employee	**Title**	**Date**

Human Resources Review

Job Code Title: Managing Auditor **Job Code Number: B2102M** **Level: M**

My signature below indicates that Human Resources has reviewed this job description for completeness and has made the following determinations:

☐ FLSA Exempt ☒ FLSA Non-Exempt

☒ Telework Available ☐ Telework Not Available

☒ Classification Complete ☐ Organizational Chart attached

Human Resources:

Signature **Title** **Date**