## Job Summary
Involves auditing for compliance with laws, policies, and good business practices, reporting findings and making recommendations to implement improvements. Evaluates the adequacy of internal controls; the effectiveness of policies and procedures; searches for value-added recommendations to improve the efficiency and contribution of the function under review.

## Job Function
Audit

## Category
Professional

### Job Level

<table>
<thead>
<tr>
<th>Level</th>
<th>Entry</th>
<th>Intermediate</th>
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</thead>
<tbody>
<tr>
<td>Job Title</td>
<td>Audit Professional 1</td>
<td>Audit Professional 2</td>
<td>Audit Professional 3</td>
<td>Audit Professional 4</td>
<td>Audit Professional 5</td>
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<td>Job Code</td>
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<td>A0170</td>
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<td>Per. Program</td>
<td>PSS</td>
<td>Non-Exempt</td>
<td>Exempt</td>
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</tr>
</tbody>
</table>

### FLSA
- Non-Exempt
- Exempt

### Generic Scope
- Entry-level professional with limited prior experience; learns to use professional concepts to resolve problems of limited scope and complexity; works on assignments that are initially routine in nature, requiring limited judgment and decision making. Employees at this level are expected to acquire the skills and knowledge to perform more advanced work following an agreed upon time in position, through defined training and development planning.
- Professional who applies acquired job skills, policies, and procedures to complete substantive assignments/projects/tasks of moderate scope and complexity; exercises judgment within defined guidelines and practices to determine appropriate action.
- Experienced professional who knows how to apply theory and put it into practice with in-depth understanding of the professional field; independently performs the full range of responsibilities within the function; possesses broad job knowledge; analyzes problems/issues of diverse scope and determines solutions.
- Technical leader with a high degree of knowledge in the overall field and recognized expertise in specific areas; problem-solving frequently requires analysis of unique issues/problems without precedent and/or structure. May manage programs that include formulating strategies and administering policies, processes, and resources; functions with a high degree of autonomy.
- Recognized organization-wide expert. Has significant impact and influence on organizational policy and program development. Regularly leads projects of critical importance to the organization; these projects carry substantial consequences of success or failure. Directs programs with organization-wide impact (or may have impact beyond the University) that include formulating strategies and administering policies, processes, and resources. Significant barriers to entry exist at this level.

### Custom Scope
- Learns to use audit concepts. Applies policies and procedures to evaluate routine issues. Works on problems of limited scope. Follows standard practices and procedures in analyzing situations or data from which answers can be readily obtained. Receives detailed instruction of work assignments.
- Uses audit and compliance concepts. Applies campus policies and procedures to evaluate a variety of audit issues. Responsible for conducting and documenting moderately complex audit assignments where analysis of situations and data requires the review and interpretation of a variety of factors. Normally receives general instructions on routine audit work; with detailed instructions on new or more complex audit assignments.
- Performs the full scope of auditing encompassing financial, compliance, information systems, and effectiveness reviews according to professional auditing standards. Normally receives general instructions on routine audit work with detailed instruction on new or more complex audit assignments. May provide functional advice, training and/or guidance to less-experienced audit professionals.
- Performs the full scope of auditing encompassing financial, compliance, information systems, and effectiveness reviews according to professional auditing standards. Exercises individual judgment in selecting methods, techniques and evaluation criteria for developing audit conclusions. Provides functional advice, training and/or guidance to less-experienced audit professionals. Normally receives high level oversight on audit assignments with general instruction provided on new or more complex audit work.
- Performs the full scope of auditing encompassing financial, compliance, information systems, and effectiveness reviews according to professional auditing standards. Provides functional advice, training and/or guidance to less-experienced audit professionals. Having wide-ranging experience, uses audit concepts and campus objectives to resolve the most complex issues with limited precedent, and with campus, medical center and/or systemwide impact. Interacts with all levels, including senior internal and external personnel.

### Key Resp 01
- Under direct supervision, assists in conducting and documenting audit projects of limited scope and
- Under general supervision, applies audit concepts and related financial policies and procedures in conducting and
- Independently performs audit projects at all levels of complexity. Involves preliminary survey and risk assessment
- Performs and/or leads audit projects of substantial complexity and/or scope. Involves preliminary survey and
- Executes and leads internal audit, advisory, and investigation audit of projects in accordance with professional
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<td>complexity, in accordance with professional standards.</td>
<td>documenting audit projects of moderate scope and complexity.</td>
<td>activities. Under guidance, designs audit programs to accomplish review objectives.</td>
<td>risk assessment activities and designs audit programs to accomplish review objectives.</td>
<td>standards. Performs the most complex and advanced analysis techniques in completing audit, advisory, and investigation assignments.</td>
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Key Resp 02
Learns to test financial and operating system processes for compliance with applicable policy and reports discrepancies or internal control weaknesses.
Tests the financial and operating system processes for compliance with applicable policy and reports discrepancies or internal control weaknesses.
Conducts testing based on approved audit programs of moderate to high complexity, which may include tests of the financial and operating system processes, to identify internal control weaknesses and audit findings.
Conducts testing based on approved audit programs of the broadest scope and complexity, which may include tests of the financial and operating system processes, to identify internal control weaknesses and audit issues.
Develops recommendations for testing and conducts tests, based on approved audit programs, which may include tests of the financial and operating system processes, to identify internal control weaknesses and audit issues.

Key Resp 03
Learns to develop formal written reports to communicate audit results to management as appropriate.
Develops formal written reports to communicate audit results to management.
Develops formal written reports to communicate audit results to campus management, and makes recommendations as appropriate.
Develops formal written reports to communicate audit results, and makes recommendations as appropriate.
Presents results to senior leadership, as appropriate.

Key Resp 04
Participates in investigations under the direction of more senior audit leadership.
May participate in investigations and assist with evaluation of allegations, including improper government acts. Follows up on management corrective actions to ensure completion.
May conduct investigations and assist with evaluation of allegations of improper government acts. Following full scope of investigation, recommends whether an allegation is substantiated. Follows up on management corrective actions to ensure completion.
Conducts and leads investigations to include allegations of improper government acts. Following full scope of investigation, recommends whether an allegation is substantiated. Follows up on management corrective actions to ensure completion. Responsible for the most sensitive of investigation subjects.

Key Resp 05
May be responsible for external audit liaison duties: coordinates external agency information requests and site visits; analyzes documentation to identify potential risk areas.
Coordinates external agency information requests and site visits; analyzes documentation to identify potential risks areas, facilitates review of external audit reports and findings, including management response.
Coordinates external agency information requests and site visits; analyzing documentation to identify potential risk areas, facilitating review of external audit reports and findings, including management response. May have independent authority to communicate and resolve issues directly with external agencies.

Key Resp 06
May independently manage specialized audit programs such as IT systems audits or investigations.
Independently manages specialized audit programs such as IT systems security audits or investigations.

Key Resp 07
May be responsible for information technology auditing and / or advisory
Applies an audit control framework to monitor IT production environments for
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<td>services including evaluation of general and security controls at the network, operating system, application, and/or data layers.</td>
<td>potential system integrity exposure and control weaknesses.</td>
</tr>
</tbody>
</table>

### Key Resp
- Key Resp 08
- Key Resp 09
- Key Resp 10
- Key Resp 11
- Key Resp 12
- Key Resp 13
- Key Resp 14
- Key Resp 15

### Education
1. Bachelor's degree in related area and/or equivalent experience/training.
2. Bachelor's degree in related area and/or equivalent experience/training.
3. Bachelor's degree in related area and/or equivalent experience/training.
4. Bachelor's degree in related area and/or equivalent experience/training.

### License
- License 1
- License 2
- License 3
- License 4

### Cert
- Cert 1
- Cert 2
- Cert 3
- Cert 4

### Spec Cond
1. Must pass a background check.
2. Must pass a background check.
3. Must pass a background check.
4. Must pass a background check.

### KSA
- KSA 01 Basic knowledge of the audit function.
- Intermediate knowledge of the audit function and audit assignments.
- Thorough knowledge of the audit profession, theories and systems of internal control, and professional
- Advanced knowledge of the audit profession, theories and systems of internal control, and professional
- Expert knowledge of the audit profession, theories and systems of internal control, and professional
**Job Family**  
Audit, Compliance & Ethics

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| KSA 02 | Skills to apply audit concepts in the completion of assignments.  
Skills to gather, organize, and complete analysis for intermediate audit assignments.  
Broad knowledge of finance, accounting, business and systems operations.  
Expert knowledge of finance, accounting, business and systems operations.  
Broad and thorough knowledge of finance, accounting, business and systems operations.  
In-depth knowledge and skills to apply sound audit principles and standards in completing more complex and technical assignments. |
|------------------|---------------------------------|---------------------------------|---------------------------------|---------------------------------|
| KSA 03 | Gathers, organizes and performs limited analysis in the completion of basic audit assignments.  
Gathers, organizes and performs analysis for moderately complex audit assignments.  
Skills to determine and apply appropriate policies and practices in the completion of audit assignments.  
Detailed knowledge and skills to develop and apply audit procedures and standards. |
|------------------|---------------------------------|---------------------------------|---------------------------------|
| KSA 04 | Effective interpersonal, written and verbal communication skills.  
Sound interpersonal and communication skills to present sensitive information with diplomacy and in a clear and concise manner.  
Strong interpersonal and communication skills to present sensitive information with diplomacy and in a clear and concise manner.  
Excellent interpersonal and communication skills to work independently with all levels of University personnel, including management and faculty, and to facilitate agreement on issues and corrective actions.  
Excellent interpersonal and communication skills to work independently with all levels of University personnel, including management and faculty, and to facilitate agreement on issues and corrective actions. |
|------------------|---------------------------------|---------------------------------|
| KSA 05 | May require specialized expertise in enterprise software and relational databases.  
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<tr>
<td>KSA 06</td>
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KSA 07 |  
KSA 08 |  
KSA 09 |  
KSA 10 |  
KSA 11 |  
KSA 12 |  
KSA 13 |  
KSA 14 |  
KSA 15 |  
Environment | Office settings and various external venues.  
Office settings and various external venues.  
Office settings and various external venues.  
Office settings and various external venues.  
Office settings and various external venues.  
Office settings and various external venues.  
Office settings and various external venues.  
Office settings and various external venues. |
| Career Path 1 | Audit Profil 2  
Audit Profil 3  
Audit Profil 4  
Audit Profil 5  
Audit Manager 2 |
| Career Path 2 | Audit Manager 1 |
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