

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: Lead Compliance Auditor Position Number: 15002 Location: Helena

Department: Transportation Division and Bureau: Director's Office / Audit Services

Section and Unit: n/a

Job Overview:

The Lead Compliance Auditor conducts compliance audits, other engagements, special projects, and investigations. Performs planning, field work, and reports the results to MDT administrators and program managers, consultants, contractors, grant recipients, and taxpayers. Responsible for ensuring engagements are accurate and completed in accordance with Generally Accepted Government Auditing Standards (GAGAS), International Fuel Tax Agreement (IFTA), and International Registration Plan (IRP). This position provides technical expertise and training to employees in Audit Services by answering questions and providing guidance. Responsible for prioritizing and assigning work to staff and ensures work is completed timely. This position reports to the Chief Auditor and does not supervise others.

Essential Functions (Major Duties or Responsibilities):

Lead Engagements 70%

- Assigns and monitors engagements and audits.
- Performs first level reviews of engagements to ensure accuracy and compliance with applicable standards or requirements.
- Determines training needs of staff and makes recommendations to the Chief Auditor.
- Mentor, train, and lead others on work engagements.
- Escalates any performance issues to Chief Auditor.
- Works with Chief Auditor to develop entity-wide risk assessments, create and executive audit plans, develop employee training plans, and discuss leadership of Audit Services.
- Prepares information and documentation for presentation for the meetings with the Director, Deputy Director, and other management. May present complex issues and findings.

- Update program steps, forms, and templates when clarity is needed or based on changes to standards, regulations, and other requirements.
- Research standards to create complex programs and perform high-risk and complex assignments without the use of standard templates.
- Compose and review reports, memos, and letters to ensure supported by the audit work and written in a clear and concise manner compliance with audit standards and other requirements.
- Assist Chief Auditor with administrative tasks in the audit system.
- Participate in internal meetings to present concerns related to risk management, proper internal controls, legal compliance issues, and changes in technology and/or state laws and federal regulations.

Perform Engagements 25%

- Conduct internal and external engagements in compliance with GAGAS, state statutes, federal regulations, administrative rules, and policies,
- Conduct non-audit services, special projects, and investigations, including tax and fee audits and overhead rate reviews, and advising on policy and procedure development.
- Work with subject area expert to determine engagement criteria, conduct interviews to obtain relevant information to perform the engagement, and document testing results.
- Analyze and test controls, records, and activities.
- Interpret and evaluate data and regulations to determine accuracy and completeness.
- Prepare summary analyses of findings, explain and justify findings, and assure work papers include sufficient, relevant, and competent evidence to support conclusions.
- Report results, clarify findings; interpret and apply relevant authorities, provide technical assistance, and work collaboratively with team members.
- Establish membership in AASHTO, IFTA, IRP, or other committees or participate in peer reviews.

Other Duties 5%

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

Supervision

The number of employees supervised is: 0

The position number for each supervised employee is: 0 – This position acts as a Team Lead to the Audit Services staff in support of the Chief Auditor.

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 requirements; IRP requirements; and GAGAS.
- 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.
- Ability to manage team workload within allotted budget and timeframe.
- 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.

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 3 years of experience in audit, compliance, or related field, with 2 years directly related to GAGAS auditing and 1 year of project management experience.

Certifications, licensure, or other credentials include: CPA or other related certification is preferred.

Alternative qualifications include: Any combination of additional related work experience and education equivalent to the minimum qualifications.

Special Requirements:

List any other special required information for this position

- ☐ Fingerprint check
- ☐ Valid driver’s license
- ☒ Background check
- ☐ Other; Describe

MFPE 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.

Signatures

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: Compliance Specialist 3

Job Code Number: B14013

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