

# University of Nebraska Job Description

## General Information

Working Job Title: Senior Internal Auditor (49243308)	Job Family: Admin Business Operations	Job Family Zone: Senior AB20
Position Number: New	Department Name: President/Internal Audit and Advisory Services	SAP Organization Unit Number: 96
Employee's Name:	Date of Last Update: 03/2018	Title of Supervisor: AVP/ Director of Internal Audit and Advisory Services
SAP Personnel #:	Last Updated By: Michael Justus	Name of Supervisor: Michael Justus

## Position Summary

This position (Exempt) is responsible for planning, supporting and executing the University-wide internal audit plan and occasionally for supervising staff. The position reports to the Director of Internal Audit and Advisory Services (IAAS).

## Duties & Responsibilities

Indicate % of time spent and indicate with an "*" the duties & responsibilities that are essential functions of this job. Arrange this list of duties in order of importance.	% of Time	Essential Functions
<p><b>Perform internal audit work to execute the internal audit plan.</b> Under the supervision of a campus Director or Asst. Director, conducts internal audits at campus/central administration locations, reviewing detailed accounting, financial, and operating transactions. This work is typically University-wide in nature. Audits the activities of various departments and activities for compliance with plans, policies and procedures prescribed by management and laws as well as to assess effectiveness of controls and efficiency of operations. Involves interviews with individuals to understand business processes. Ensures that University assets are safeguarded and their use properly accounted for. Utilizes computer to input, retrieve, or display accounting and report information. Prepares and submits reports on the results of audits and consulting work, recommending improvements in policies and procedures.</p>	80	*
<p><b>Provide consulting advice to other departments by attending meetings, providing training and other means.</b> In both formal and informal settings provides input to management about operational issues. Provides formal training to smaller groups. Attends meetings of various campus or University groups as directed by the Director of IAAS.</p>	7	
<p><b>Assist in the University-wide risk assessment and audit plan.</b> As a member of the IAAS team provides leadership in the application and implementation of the risk assessment and audit plan. Review and analyze the activities of various departments with regard to risks. Make recommendations and contribute to monitoring and updating audit plans and procedures.</p>	7	
<p><b>Assist in the recruitment, training and supervision of staff.</b></p>	6	

May be involved in the recruitment of new staff members. Provides on-the-job training to other staff members. And depending on the staffing of the audit projects, may supervise a number of IAAS staff of any level.		
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**Supervision**

This position may exercise direct **Supervision** over other staff members.  
 This position receives direct **Supervision** from Campus Directors or Asst. Directors and in-direct, **Supervision\*** from the Director of Internal Audit.

**Minimum Qualifications**

Bachelor’s degree required, with a major in business or accounting preferred, and 2 -4 years of experience in internal audit or with a CPA firm also required. Professional designation such as CIA, CPA or CFE is a plus.

**Zone Definition Factors**

**Nature/Complexity of Work**

Duties include data management, extraction, collection, analysis, and summarization of findings. Information and analyses must be accurate and timely. Business applications and systems knowledge must be on-going. Must be able to function as a team member on projects and collaborate with other audit staff, in addition to working with other functional areas internal and external to the business and finance offices. The employee has University-wide access to confidential employee, student, and financial information, confidentiality is a must. Must have the courage to address difficult issues and provide direct and actionable feedback.

**Problem Solving/Decision-making**

Requires the ability to understand and analyze many and varied business processes/situations/internal controls and provide guidance and useful advice to resolve/improve efficiency. Staff member has freedom to decide how tasks will be accomplished in compliance with auditing standards and reporting guidelines, University policy and Board of Regent approved methodologies for developing information and the applicable State and Federal Law.

**Strategic Impact**

Accuracy on all analysis, reports, and databases is imperative. Scope is very broad including topics of interest to Board of Regents, executive management, state and federal agencies, and peer institutions. The impact of errors is far-reaching. Errors in audit procedures, policy administration, and overall reporting, etc., can adversely affect the University. The possible adverse impact of errors in work necessitate that a team review approach be used to minimize errors. Review by the campus Directors/Asst. Directors/AVP & Director of Internal Audit and Advisory Services is required before information is released by this position, but the responsibility for error-free detail supporting analytical results rests on the employee.

**Interactions**

Relationships with various entities both internal and external to the University are involved including Executive management (including campus leaders) and members of the Board of Regents who sit on the Audit Committee.

## Know How

In addition to Minimum Qualifications this position requires excellent organization skills, including workpaper preparation, and competence in using spreadsheets and databases. Mastery of desktop software such as Microsoft Word, Excel, PowerPoint, email applications, Adobe Acrobat and internet browser and search applications is required. Working knowledge of data management techniques and familiarity with database software including Microsoft Access and ACL is desired. Knowledge of audit planning, COSO and previous audit experience is mandatory. Training in, or experience using, multiple business processes is essential. Excellent verbal and written English communications skills are required.

## Physical Requirements

1. **General Physical Requirements** Indicate the appropriate response for an eight hour day:

	Circle the appropriate number of hours								<i>Indicate intermittent or constant</i>		
									Intermittent	Constant	
Sit	0	1	2	3	4	5	6	7	8	_____	X _____
Stand	0	1	2	3	4	5	6	7	8	X _____	_____
Walk	0	1	2	3	4	5	6	7	8	X _____	_____
Drive Motor Vehicle	0	1	2	3	4	5	6	7	8	X _____	_____
Explain	Some assignments require driving to another university campus										

### 2. THIS POSITION REQUIRES:

	Occasionally (less than 2 hrs daily)	Between 2 - 5 hrs daily	Over 5 hrs daily
Squatting	X _____	_____	_____
Bending	X _____	_____	_____
Kneeling	X _____	_____	_____
Reaching	_____	_____	_____
➤ Overhead	X _____	_____	_____
➤ Forward	X _____	_____	_____
➤ Low	X _____	_____	_____
Twisting	X _____	_____	_____
Crawling	_____	_____	_____
Climbing	_____	_____	_____
➤ Ladder	_____	_____	_____
➤ Stairs	X _____	_____	_____
➤ Other	_____	_____	_____
Walking on rough ground	_____	_____	_____
Exposure to changes of temperature/humidity	_____	_____	_____
Exposure to dust/fumes/gases/chemicals	_____	_____	_____
Being near moving machinery	_____	_____	_____
Working from heights	_____	_____	_____

### 3. THIS POSITION REQUIRES EMPLOYEE TO:

Indicate letter in appropriate Space:	LIFT=L	CARRY=C	PUSH=P	PULL-PL
	Less than 2 hrs daily	Up to 2 hrs daily	Between 2-5 hrs daily	Over 5 hrs daily
11 - 24 lbs	L, C, P, PL _____	_____	_____	_____
25 - 49 lbs	_____	_____	_____	_____
50 - 74 lbs	_____	_____	_____	_____
75 - 100 lbs	_____	_____	_____	_____
* Over 100 lbs	_____	_____	_____	_____
* If the position requires the employee to handle over 50 lbs - please explain				

**4. POSITION REQUIRES USE OF HANDS OR SPECIAL TOOLS/EQUIPMENT FOR:**

	RIGHT	LEFT	BOTH
Keyboarding	_____	_____	X _____
Filing	X _____	_____	_____
Other Explain:	Operation of a computer mouse with their dominant hand.		

**5. THIS POSITION REQUIRES ATTENDANCE AT THE WORKPLACE**

**6. THIS POSITION REQUIRES A VALID DRIVER'S LICENSE WITH THE ABILITY TO GET TO VARIOUS UNIVERSITY LOCATIONS, REGARDLESS OF CAMPUS.**

**Job Family Zone Questionnaire**

In Each Section, please select one answer that best describes your job:

**Knowledge Skills and Abilities:**

\_\_\_\_\_ Requires the ability to understand and apply basic job skills, knowledge of several work routines and the ability to apply such routines with minimal interpretation. May possess knowledge of other, related work activities within own functional area. May require the operation of routine equipment/tools. [1]

\_\_\_\_\_ Requires the ability to understand, interpret, apply and communicate information within a specialization and the ability to apply limited analysis in the completion of general functional procedures. May possess knowledge of work activities outside functional area. May require the operation of moderately complex equipment/tools. [2]

\_\_\_\_\_ Requires the ability to utilize advanced information within a specialization. Within specialization, possesses the ability to assess/ analyze situations and make adjustments to achieve desired objectives. Possesses knowledge of work activities outside functional area. May require the operation of complex equipment/tools. [3A]

\_\_X\_\_ Requires the ability to apply, integrate and communicate extensive theoretical information within a recognized professional field. Facilitates and/ or establishes the achievement of functional area objectives. Requires knowledge of all related functional areas. May require the operation of highly complex equipment/tools. [3B]

\_\_\_\_\_ Integrates extensive theories and techniques within related or diverse disciplines to achieve results and/ or establish overall strategic directions. Requires wide-ranging administrative and/or specialized knowledge. May require the operation of highly complex equipment/tools. [4]

**Problem Solving/Decision-making:**

\_\_\_\_\_ Decisions/problem resolutions are repetitive and simple and typically guided by standard operating policies and procedures/practices exist. Tasks are clear and specific to a single discipline. [1]

\_\_\_\_\_ Decisions/problem resolutions require gathering/reviewing information from several sources. Simple analysis of facts determines course of action to be taken within the limits of standard operating policies and procedures/practices. Tasks are varied and may cross several disciplines. [2A]

\_\_\_\_\_ Decisions/problem resolutions require interpretation, discretion and judgment based on precedent or standard operating policies and procedures. Tasks are diversified and may require some creativity in dealing with unprecedented activities. [2B]

\_\_\_\_\_ Decisions/problem resolutions require synthesis/analysis in the use of theories and accepted principles. Programs/projects are governed by broad objectives, policies and/or theories. Requires the use of creativity in dealing with unprecedented activities. [3]

\_\_X\_\_ Decisions/problem resolutions require analysis and evaluation of major issues and courses of action impacting the overall direction of the functional area(s). Applies broad concepts and experience in making important decisions. May develop recommendations influencing long-term policies related to major organizational plans. [4]

## **Interactions:**

Regular contact involves receiving and/or referring inquiries as well as giving or obtaining routine information relating to work being done. Requires the use of common business courtesy. [1]

Regular contact that involves giving or obtaining information as well as occasionally exchanging advice and opinions. Requires the use of common business courtesy, tact, discretion and some persuasion to maintain cooperative associations. [2]

Regular contact that involves exchanging advice and opinions as well as occasionally conveying conceptual ideas of a critical and/or long-range nature. Requires the use of judgment, timing, and persuasion to gain cooperation in the face of differences of opinion or controversy. [3]

Regular contact with major Programs/Teams or individuals. Overriding job requirement involves conveying conceptual ideas regarding matters of critical and long-range nature. Significant requirement for diplomacy, timing, and persuasion to gain concurrence or cooperation on operational issues in the face of significant differences of opinion or controversy. [4]

## **Supervision Received:**

Supervised by procedures or by supervisor through periodic monitoring of progress and performance. May have latitude to determine sequence of own work tasks to meet clearly established schedules. [1]

Supervision by procedures or by supervisor through periodic monitoring of progress and performance. Determines sequence of own work tasks to meet established objectives. [2A]

General direction by supervisor by checking on completed tasks. Establishes own work schedule to achieve program objectives. Makes recommendations to superior regarding efficient functioning of program. [2B]

Responsible for conducting specialized assignments or developing programs under only general direction and guidance. [3]

Extensive latitude to work independently in matters that have a broad effect on overall policies, programs and/or areas of specialization. [4]

## **Supervision Exercised:**

May provide incidental guidance to others. [1]

Provides functional supervision that is usually limited to assigning/reviewing work or may serve as work team leader. [2A]

Serves as work team leader. Distributes, schedules, and monitors the progress or work tasks of the program or project. May be involved in the recommendation of personnel actions to manager. [2B]

Supervises the work of a project or program that may include hiring, discipline, transfers, promotions, or salary changes within a functional area. May integrate work of two or more programs or one major function/or project. [3]

Establishes performance standards for designated programs and/or areas of specialization. Directs staff to include hiring, discipline, transfers, promotions, and salary changes. [4]

## **Impact:**

Actions and decisions in this job are limited to the scope of the job, which primarily affect the immediate work group, but occasionally may extend beyond the immediate work group. Errors reflect unfavorably on the individual and may have an adverse impact on the functional area. [1]

Actions and decisions in this job have an impact which affects the immediate work group and also extends beyond the immediate functional area. Errors reflect unfavorably on the individual and the functional area. [2]

Actions and decisions in this job have discernible impact to the short-term performance of the Program/Team and exerts some impact to its long-term success. Errors reflect unfavorably on the individual, the functional area, overall business operations and potentially other functional areas. [3A]

X   Actions and decisions in this job have significant impact to the short-term performance of the Program/Team and exert an impact to its long-term success. The job exerts a considerable impact on decisions and final results typically affecting either an entire functional area or a major university activity; and may have unique accountability for financial and program or project objectives. Errors effect business operations, services and other individuals which may require special interventions to correct. [3B]

\_\_\_\_\_ Actions and decisions in this job exert broad and continuing impact on the future of one or more functional areas. The job exerts a major impact on decisions and final results affecting a major university activity; and/or has accountability for financial and program/project objectives and overall successes. Errors significantly interrupt business operations, services and potentially both internal and external constituents. [4]

Summary:	Zone Assignment= Specialist
Authorization:	Name:
	Date:
Human Resources	Sheryl Gartner 03/05/2018
Supervisor:	
Administrator:	