

University of Nebraska Job Description

Section I: General Information

Working Job Title: Senior Internal Auditor	Job Family: Administrative and Business Operations (AB)	Job Family Zone: Senior AB20
Position Number:	Department Name: Internal Audit and Advisory Services (IAAS)	SAP Organization Unit Number: 96
Employee's Name:	Date of Last Update: 04/09/2019	Title of Supervisor: Assoc. VP & Director of Internal Audit and Advisory Services
SAP Personnel #:	Last Updated By: Michael Justus	Name of Supervisor: Michael Justus

Section II: Position Summary

This position (Exempt) is responsible for supporting and executing the University-wide internal audit plan, including planning individual projects, and occasionally for supervising other staff. The position reports to Campus Internal Audit Directors on projects and overall to the Director of Internal Audit and Advisory Services (Director).

Section III: Duties & Responsibilities

<i>Indicate % of time spent and indicate with an "X" the duties & responsibilities that are essential functions of this job. Arrange this list of duties in order of importance.</i>	% of Time	Essential Functions
<p>Under the supervision of a Campus Director or Assistant Director, perform internal audit projects to execute the internal audit plan through:</p> <ul style="list-style-type: none"> • Identification of key business risks. • Development of audit objectives. • Development of audit programs and testing methodologies to achieve audit objectives and evaluate the adequacy of internal controls. • Identify key internal control concepts in a wide variety of business settings and assess efficiency and effectiveness of such controls. • Review for compliance with university policies, state and federal laws and regulations. • Review detailed accounting, financial and operating transactions. • Ensure that University assets are safeguarded and used appropriately. • Develop time budgets and management of actual project hours. • Assign staff to audit testing. • Develop and document workpapers and project reports in a logical, concise manner that align with the project objectives. • Review of staff workpapers and reports to ensure that they are clear, concise, support the audit findings and conclusions, and are prepared in accordance with Internal Audit and Advisory Services (IAAS) standards. • Conducts entrance, update and exit conference meetings with all levels of management, and leads discussions regarding audit observations and recommendations. 	80%	x

<ul style="list-style-type: none"> Complete performance evaluations for audit staff, and perform self-evaluations, for projects worked on for 40+ hours. 		
<p>Related and Other Duties as Assigned</p> <ul style="list-style-type: none"> Drive/travel to any University locations (UNCA, UNK, UNL, UNMC, and UNO) for audit fieldwork and meetings. Provide consulting to departments and/or management regarding operational issues and policies, after consulting with IAAS management. Participate and/or provide departmental and employee education over internal audit's responsibilities, internal controls and policy content, as assigned. Coach, train and develop other audit staff to build on their knowledge and experience. Assist in the recruitment, hiring and training of new staff, as assigned. Promote a culture of partnership (while maintaining independence) which provides management and the Audit, Risk and Compliance Committee with objective information meaningful and relevant to decision making. Support the University of Nebraska's overall goals, including diversity and inclusion, provide leadership, and continue to grow personally and professionally by staying current with changes and industry trends. Execute the IAAS strategic plan. Attend/participate in campus committees/meetings. Assist in campus risk assessment interviews 	20%	x
<p><i>The above list of job duties is not exclusive or exhaustive and the incumbent will be required to undertake such tasks as may reasonably be expected within the scope and classification of the position. Job descriptions should be regularly reviewed to ensure they are an accurate representation of the position.</i></p>		

Section IV: Zone Definition Factors

A. 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.

B. Knowledge, Skills, and Abilities

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. Candidate must have the ability to see the "big picture" on audit projects.

C. Problem Solving/Decision-making

Requires the ability to understand and analyze many and varied business processes, situations and internal controls and provide guidance and useful advice to resolve issues and/or improve efficiency.

D. 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.

E. Strategic Impact

Scope is very broad including topics of interest to Board of Regents, executive management, state and federal agencies, and peer institutions.

F. Supervision Exercised

This position exercises occasional supervision over selected staff, dependent upon engagement.

G. Supervision Received

This position receives direct supervision From Campus Directors or Assistant Directors and indirect supervision from the Director of IAAS.

Section V: Minimum Qualifications

LEVEL OF EDUCATION, YEARS & TYPE OF EXPERIENCE:

Required Education: Bachelor's degree
Preferred Education: Bachelor's degree in Business, Accounting, Finance or IT.
Required Experience: At least 3 years relevant business experience, which may include: internal audit, external audit in a CPA firm, or in a relevant consulting position.
Preferred Experience: An understanding of risk and internal control concepts and their practical application. Demonstrated creativity and initiative in enabling business solutions. Working knowledge of systems such as SAP, PeopleSoft, and the data analysis tool ACL. Experience in a higher education environment.
Required Certifications: Some relevant certification (such as CPA, CIA, CISA, CGFM or CFE)
Preferred Certifications: CPA or CIA

Section VI: Physical Requirements

1. **GENERAL PHYSICAL REQUIREMENTS:** The physical demands described below are representative of those that must be met by an employee to successfully perform the essential functions of this position. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions..

Indicate the appropriate response for an eight hour day:

	Mark with "X" below the appropriate number of hours:										Indicate intermittent or constant	
	0	1	2	3	4	5	6	7	8	Intermittent	Constant	
Sit							X				X	
Stand										X		

		x									
Walk	0	1	2	3	4	5	6	7	8		
		x								x	
Drive Motor Vehicle	0	1	2	3	4	5	6	7	8		
	x										

Explain:

2. THIS POSITION REQUIRES:

	Occasionally (less than 2 hrs. daily)	Between 2 - 5 hrs. daily	Over 5 hrs. daily
Squatting			
Bending	x		
Kneeling			
Reaching			
➤ Overhead	x		
➤ Forward	x		
➤ Low	x		
Twisting			
Crawling			
Climbing			
➤ Ladder			
➤ Stairs			
➤ 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:

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. (Usually right).

5. **THIS POSITION REQUIRES REGULAR AND PROMPT ATTENDANCE DURING THE WORKING HOURS SCHEDULED BY THE SUPERVISOR.**

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

The position could on occasion be required to work in environments or locations such as an Ag Research Farm when some of these skills may need application.

Section VII: Job Family Zone Questionnaire

In Each Section, please select ONE answer that BEST describes the job:

A: 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]

B: 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]

C: 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 courtesies. [1]

Regular contact that involves giving or obtaining information as well as occasionally exchanging advice and opinions. Requires the use of common business courtesies, 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]

D: Strategic 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]

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]

E: 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]

F: 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]

Authorizations	Signature	Date Signed
Incumbent		
Supervisor/Manager		
Human Resources		