

# Regional Transit Job Announcement

2810 O Street, Sacramento CA 95816 (916) 556-0298 www.sacrt.com

## Principal Accountability and Compliance Auditor Internal / External

**Salary:** \$104,640 - \$146,472 annually  
(Plus Excellent Benefits)

**Posting Date:** July 15, 2016 (Fri)  
**Filing Deadline:** August 18, 2016 (Thu)  
**Revised Date:** August 5, 2016 (Fri)

### SUPPLEMENTAL QUESTIONNAIRE IS REQUIRED AT THE TIME OF APPLICATION

#### BRIEF DESCRIPTION

The purpose of this position is to plan, direct and execute organizational risk assessment activities and conduct complex financial, operational, compliance, programmatic contract and technology systems audits in accordance with accepted professional standards. The incumbent will perform investigative and auditing functions to monitor compliance and detect violations of internal policies, local, state and federal laws or regulations applicable to the District. The incumbent will ensure the integrity and efficiency of the District's policies and practices, that internal controls are adequate in effectively managing business risks, that assets and revenues are protected and the compliance with applicable federal, state and local laws and regulations. The incumbent will conduct internal investigations as needed. This position has authority and responsibility for working collaboratively with management staff at all levels to implement necessary changes or corrections.

#### ESSENTIAL FUNCTIONS

Develop and maintain enterprise-wide risk management processes to ensure continuous identification and effective management of business risks by the District. Collaborate with management to perform annual risk assessment and identify opportunities for fiscal savings, improved productivity, enhanced customer service and areas of exposure. Work with management to prioritize risks and develop an audit plan that provides coverage of significant risk areas and identifies key exposures facing the District. Report findings, recommendations and appropriate actions for improvements or corrections. Monitor and verify corrections and report status to appropriate management staff. Work with executive management to develop comprehensive annual audit plan including the design and implementation of audit activities. Plan, develop and implement audit standards, policies and procedures. Performs complex audits and reviews throughout the District to evaluate the adequacy and effectiveness of internal controls and the overall efficiency and effectiveness of District operations, performance and utilization of assets. Prepare and present formal and comprehensive internal audit reports and communicate results to management staff. Recommend solutions for improving or developing the system of internal controls that support business efficiencies. Identify deficiencies, and develop, implement and monitor corrective action plans and take appropriate action if improprieties are discovered. Assist external auditors as needed and acts as a liaison between District staff and external auditors to address audit questions. Serve as a resource and consultant to management by providing special reviews of proposed projects, operations contractual compliance, etc. as requested and by advising and training management to independently assess risk and implement controls in their operations. Monitoring and tracking contract terms and conditions and contractor performance. Research and provides guidance and recommendations on federal transit administration regulations. Develop scopes of work and manage external audit service contracts and assist in managing and coordinating audits by regulatory agencies. Manage compliance requirements, analysis and project reviews pertinent to the FTA rules and regulations; providing status reports on current projects, as directed. Assist with capital and operations related programs and projects. Conduct investigations of suspected incidents of fraudulent and/or inappropriate acts; identify, gather and analyze evidentiary data and records. Conduct confidential interviews, report findings, recommendations and appropriate actions for improvements or corrections. Monitor and verify corrections and report status to appropriate management staff. Develop creative and customized audit strategies to identify potential acts of fraud and areas of vulnerability to such acts.

#### MINIMUM QUALIFICATIONS

**Education:** Bachelor's degree or equivalent from an accredited college or university in Business Administration, Public Administration, Accounting, Auditing or a related field. Additional directly related experience beyond the minimum requirement may substitute for the required education based on the ratio of one and a half (1.5) years of experience for each (1) year of education.

**Experience:** A minimum of seven (7) years of increasingly responsible auditing experience including three (3) years of supervisory experience. Experience auditing in a governmental or public agency setting is preferred. Certified Internal Auditor (CIA) or Certified Public Accountant (CPA) Certification is preferred.

**Proof of required education beyond high school, such as college transcripts, diplomas, licenses and/or certificates must be submitted at the time of application, if not substituting experience for the education requirement.**

#### FILING

The minimum qualifications as stated on this job announcement represent only the basic requirements of the position. Meeting the minimum qualifications does not guarantee that a candidate will be invited to participate in other examination segments of the selection process. An employment application, supplemental questionnaire and proof of education, as outlined above, are required for this position. Applications, supplemental questionnaires, and job announcements are available at Human Resources, 2810 O Street, Sacramento, CA 95816, or through our website at [www.sacrt.com](http://www.sacrt.com).

**Completed employment application, supplemental questionnaire and proof of education, as outlined above, must be submitted to the Human Resources Department not later than Thursday, August 18, 2016 at 5:00 p.m.** RT does not accept e-mail applications, on-line applications, or late applications regardless of postmark. RT will not process incomplete applications. **Resumes are not accepted in lieu of an application, but may be included with the application.** For more information on benefits, a summary sheet is available from the Human Resources Department. The Human Resources Department will make reasonable efforts in the recruitment process to accommodate candidates with disabilities. For more information, contact the Human Resources Department at (916) 556-0298.

RT is an Equal Opportunity Employer. EOE – Minorities/Women/Disabled/Veterans.

(Supplemental Questionnaire on Reverse Side)

# Sacramento Regional Transit District Supplemental Questionnaire

## Principal Accountability and Compliance Auditor

**Final Filing Date: Thursday, August 18, 2016**

The purpose of this Supplemental Questionnaire is to obtain additional job-related information to identify the most qualified applicants to continue in the selection process. Completion of this material is required and your responses must be submitted with your employment application by 5:00 p.m. on the final filing date. **Candidates who do not complete this Supplemental Questionnaire will be eliminated from further consideration.**

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**Please answer the following questions. Attach answers on a separate sheet of paper and number each item accordingly.**

1. Describe, in detail, your direct experience, including management-level experience, in each of the following areas. In your description for each area, include the name of the employer(s), your job title(s), the number of years/months in which you performed these duties and if this experience was in the public sector.
  - A. Conducting internal audits (include the type of audits conducted- i.e., compliance, performance, operational, etc.)
  - B. Conducting financial statement audits
  - C. Preparing internal control evaluations and/or developing internal control process/procedures.
  - D. Developing audit programs
  - E. Conducting risk assessments
2. Provide an example from your work experience where you identified and implemented an innovative approach to assessing and managing risk and opportunities. In your response, describe the situation, how the approach was innovative and the result of the implementation. Also, include the name of the employer and your job title where this work was performed.