



Finance, Budget & Planning Job Family: **Auditor Progression**

These generic job title summaries are intended to indicate the kinds of tasks and levels of work complexity that will be required of positions classified to any of these titles and are not intended to be construed as declaring the specific duties and responsibilities of any particular position. The use of particular expressions or illustrations describing functions within a specific job title does not exclude other duties of a similar kind and/or level of complexity. Positions are classified to a particular job title based upon the predominant level of expected work complexity. ***A position that is classified into this title and band must meet the Cornell requirements for exemption under the FLSA***

GENERIC JOB PROFILE SUMMARIES

Senior Auditor INDIVIDUAL CONTRIBUTOR	Audit Manager MANAGEMENT	Audit Director MANAGEMENT
Responsible for planning, performing, and documenting the results of compliance, internal control, and operational audits; recommend improvements; may investigate reports of financial irregularities; assess each situation, use creative problem-solving and analytical techniques to identify discrepancies	Plan, execute, and report on, compliance, financial irregularities and operational and management advisory audits for more complex units.	
Assists the Audit Director on projects to maintain relevant audit programs and processes that successfully address the highest risk areas of the university	Develop and manage risk workshops to determine the scope of reviews.	
Conducts and performs the audit fieldwork following Audit Office standards	Develop audit plans; manage the execution of the audit plan; review detailed working papers to ascertain its completion in accordance with audit office policies and procedures; conduct and perform audit field work documenting and evaluating internal control systems.	Establish the scope, direct the execution of the audit plan; review detailed working papers to ascertain its completion in accordance with audit office policies and procedures
Assist in the training and development of new staff.	Train and develop staff; supervise staff assigned to specific audits.	Leads the management of the office including recruitment, retention, disciplinary actions, recommendations for promotions and salary increases, performance management and ongoing professional development.

Senior Auditor INDIVIDUAL CONTRIBUTOR	Audit Manager MANAGEMENT	Audit Director MANAGEMENT
Prepare draft audit report which documents the scope, auditor's opinions, and recommendations.	Prepare draft audit report which documents the scope, auditor's opinions, and recommendations.	Prepares final audit reports documenting findings, auditor's opinions and conclusions; presents recommendations to strengthen internal controls and/or improve operating efficiencies.
Manage the budget of the assigned audit reviews	Manage the budget of the assigned audit reviews.	Advises University Auditor in preparing and annual budget and monitoring expenditures.
Performs a risk assessment for all assigned audits to determine the scope of the review.		Leads the risks assessment in preparation of the annual and biannual audit plans; presents the assessment to the Board of Trustees and Audit Committee.
	Responsible for project management of assigned audit plans.	
		Consult with central administration and operating units

JOB FACTOR PROFILE TABLE

FACTOR PROFILE	10095 SENIOR AUDITOR, BAND G	11401 AUDIT MANGER, BAND G	10600 AUDIT DIRECTOR , BAND I
MINIMUM EDUCATION AND EXPERIENCE EQUIVALENCY	Bachelor's degree or equivalent; 3 but less than 5 years of experience or equivalent	Bachelor's degree or equivalent; 5 but less than 7 years of experience or equivalent	Bachelor's degree or equivalent; 7 but less than 10 years of experience or equivalent
IMPACT	Substantial impact	Substantial impact	Substantial impact
CONTACTS - INSIDE	Coordinate major activities Persuade others to take a particular course of action	Coordinate major activities Persuade others to take a particular course of action	High-level interaction Involved in diverse and highly sensitive or confidential activities
CONTACTS - OUTSIDE	Provide and/or receive guidance, advice or information that must be analyzed and developed by the position	Develop and make presentations and negotiate with others	Develop and make presentations and negotiate with others
CONTACTS - STUDENTS	Occasional contact	Occasional contact	Limited contact

FACTOR PROFILE	10095 SENIOR AUDITOR, BAND G	11401 AUDIT MANGER, BAND G	10600 AUDIT DIRECTOR , BAND I
SUPERVISION	Responsible for providing regular on-the-job training, guidance, advice and counsel to other employees in the group, and to positions performing essentially the same work or related technical tasks	Responsible for providing regular on-the-job training, guidance, advice and counsel to other employees in the group, and to positions performing essentially the same work or related technical tasks	Responsible for providing supervisory direction to other supervisors
COMPLEXITY	Occasionally required to develop new, imaginative or innovative solutions, services, products, processes, or programs. Work requires sophisticated reasoning skills	Occasionally required to develop new, imaginative or innovative solutions, services, products, processes, or programs. Work requires sophisticated reasoning skills	Continually required to develop new, imaginative or innovative solutions, services, products, processes or programs. Work requires conceptual and imaginative thinking in a highly complex and uncharted environment
LEVEL OF DECISION MAKING	Responsible for assisting in and influencing decisions concerning policy-setting, research, and employees	Responsible for assisting in and influencing decisions concerning policy-setting, research, and employees	Responsible for making decisions concerning policy-setting, research, planning or students
EFFECT OF DECISION MAKING	Directly affects an entire department Moderate effect on students and employees	Directly affects an entire department Moderate effect on students and employees	Directly affect more than one college, school or administrative unit
FREEDOM OF ACTION	Very general supervision Interpretation of established work policies and procedures is required	Very general supervision Interpretation of established work policies and procedures is required	Little direct supervision Considerable latitude for exercising judgment and self-direction
WORKING CONDITIONS	Normal working conditions, including no or limited exposure to hazardous conditions/materials/ equipment. Safety gear may sometimes be required	Normal working conditions, including no or limited exposure to hazardous conditions/materials/ equipment. Safety gear may sometimes be required	Normal working conditions, including no or limited exposure to hazardous conditions/materials/ equipment. Safety gear may sometimes be required