

STATE CONTROLLER RISK MITIGATION SPECIALIST

Schematic Code 10731 (31000245)

I. DESCRIPTION OF WORK

Positions in this banded class plan, organize, and lead the Statewide effort to mitigate the risk of error in financial reporting, noncompliance, and program inefficiency and ineffectiveness. Work includes policy development and implementation, consultation, training, and education related to internal control over professional accounting, including financial reporting information technology, fraud detection and prevention, and organizational behavior. Positions independently analyze a variety of financial and/or program information for accuracy, integrity, and compliance with laws, rules and regulations. Positions in this banded class identify and assess risk of financial disclosures and noncompliance. Work includes identifying and recommending solutions and options, monitoring the implementation of agency actions, and identifying substantive issues that require research and analysis. Work requires knowledge and application of the statutory requirements of financial and other related programs.

II. ROLE DESCRIPTIONS BY COMPETENCY LEVEL

Contributing	Journey	Advanced
<p>Positions at this level are entry-level professional risk mitigation specialists who apply professional knowledge and skill to a limited range of financial, programmatic functions, and/or systems. Work includes: examination and analysis of risks, internal controls, various reports, records, financial statements and/or systems for accuracy, completeness, and conformance to guidelines and statutes; and preparation and/or presentation of reports. Positions at this level work under close supervision.</p>	<p>Positions at this level are fully functioning professional risk mitigation specialists who apply professional knowledge and skill to a full range of financial, programmatic functions, and/or systems. Work includes independent examination and analysis of risks, internal controls, reports, records, financial statements and/or systems for accuracy, completeness, and conformance to guidelines and statutes. Work assignments are often moderately complex to complex. Employees recommend changes to systems or programs. They serve as technical advisor for assigned area; may serve as the lead/mentor in the training and development of other risk mitigation specialists.</p>	<p>Positions at this level are advanced professional risk mitigation specialists who perform complex, specialized reviews of financial, programmatic functions, and/or systems. Employees at this level justify and defend review findings for unprecedented and controversial cases, and develop recommendations. They serve as a technical resource for unique or unprecedented issues.</p>

Definitions:

Statewide - State government.

III. COMPETENCIES

Competency	Definition
Knowledge - Professional	Professional knowledge and skill in accounting, auditing, information technology, fraud detection and prevention, sociology, ethics, and organizational behavior and ability to keep current with developments and trends. Knowledge and ability to use applicable information technology and systems to meet work needs.
Policy/Procedure Development and Implementation	Analytical skill to develop and implement statewide risk mitigation and internal control policy/procedure. Professional knowledge and skill of regulatory requirements and state government operations. Ability to conduct related research and analysis.
Training and Education	Ability to develop training and educational materials and conduct training sessions as part of various statewide State Controller risk mitigation and internal control initiatives. Professional knowledge of and skill in statewide accounting, budgeting, and information systems training and education requirements. Knowledge and ability to use presentation skills and tools in order to train state fiscal personnel in the most effective and efficient manner.
Consultation	Ability to consult with various levels of professional staff and statewide management related to statewide State Controller risk mitigation and internal control initiatives, programs, and activities. Professional knowledge and skill related to applying technical knowledge, administrative knowledge, and state government operational knowledge to various statewide fiscal and financial operations, initiatives, and activities.
Project Management	Skill in project management methods and tools for planning and implementation of statewide State Controller risk mitigation and internal control initiatives, programs, and activities. Professional knowledge and skill in time and resource management.
Analysis and Decision-Making	Ability to assess accuracy, integrity, and risks. Ability to analyze information and ensure compliance with applicable standards, rules, regulations and systems of internal control. Ability to interpret and evaluate results. Ability to use effective approaches for choosing a course of action or developing appropriate solutions and/or reaching conclusions. Ability to identify findings/problems and take action consistent with available facts, constraints, and anticipated consequences.
Human Resources Supervision (Optional)	Ability to recruit, select, develop, counsel, discipline, and evaluate performance of employees to retain a diverse workforce. Ability to administer and ensure compliance with human resources policies and procedures. Ability to observe and assess work, provide feedback, provide technical supervision, develop knowledge, skills, and abilities of employees, and plan for and support employees in career development opportunities.

Note: Not all competencies apply to every position/employee; evaluate only those that apply. Competency statements are progressive.

IV. COMPETENCY STATEMENTS BY LEVEL

Knowledge - Professional

Professional knowledge and skill in accounting, auditing, information technology, fraud detection and prevention, sociology, ethics, and organizational behavior and ability to keep current with developments and trends. Knowledge and ability to use applicable information technology and systems to meet work needs.

Contributing	Journey	Advanced
<p>General knowledge in accounting, auditing, internal control, information technology, fraud detection and prevention, and organizational behavior. Ability to keep current with developments and trends.</p> <p>Basic knowledge and ability to use applicable information technology and systems to meet work needs.</p>	<p>Full professional knowledge and skill in accounting, auditing, internal control, information technology, fraud detection and prevention, and organizational behavior. Ability to keep current with developments and trends.</p> <p>Proficient knowledge and ability to use applicable information technology and systems to meet work needs.</p>	<p>Specialized, in-depth professional knowledge and skill in accounting, auditing, internal control, information technology, fraud detection and prevention, and organizational behavior. Ability to keep current with developments and trends.</p> <p>Extensive knowledge and ability to use applicable information technology and systems to meet work needs.</p>

Policy/Procedure Development and Implementation

Analytical skill to develop and implement statewide risk mitigation and internal control policy/procedure. Professional knowledge and skill of regulatory requirements and state government operations. Ability to conduct related research and analysis.

Contributing	Journey	Advanced
<p>General knowledge of fiscal, financial and information systems to interpret and answer policy/procedure questions. May require knowledge of business system specifics. May require the ability to identify policy/procedure issues.</p>	<p>Ability to independently interpret policy/procedure. Thorough knowledge of current policy/procedure, state and federal laws and legislation, industry standards, and state government operations and information system best practices. Knowledge of business system specifics to identify and propose policy/procedure changes or new elements of policy/procedure. Ability to assess impact of policy/procedure change.</p>	<p>In-depth knowledge of regulatory requirements, state government operations, and information systems best practices to independently develop statewide policy/procedure and implementation guidelines. Ability to ensure proper “inter-relationship” with current policies/procedures. Ability to recognize complex and unique issues, develop resolutions, or consult with leadership in order to achieve resolution related to policy/procedure change.</p>

Training and Education

Ability to develop training and educational materials and conduct training sessions as part of various statewide State Controller risk mitigation and internal control initiatives. Professional knowledge of and skill in statewide accounting, budgeting, and information systems training and education requirements. Knowledge and ability to use presentation skills and tools in order to train state fiscal personnel in the most effective and efficient manner.

Contributing	Journey	Advanced
<p>General knowledge of statewide risk mitigation and internal control to deliver routine training and education requirements. May require knowledge of program specifics. May require the ability to recommend changes to training and education materials and programs.</p>	<p>Ability to independently develop statewide risk mitigation and internal control training and education based on proficient knowledge of accounting standards and systems, auditing standards and procedures, federal single audit, financial statement audit, cost allocation, tax compliance, and ecommerce. Knowledge of program specifics.</p>	<p>In-depth knowledge of statewide fiscal training and education to meet intended goals. Recognizes complex and unique statewide risk mitigation and internal control training and education challenges; develops resolution and/or consults with leadership in order to achieve resolution.</p>

Consultation

Ability to consult with various levels of professional staff and statewide management related to statewide State Controller risk mitigation and internal control initiatives, programs, and activities. Professional knowledge and skill related to applying technical knowledge, administrative knowledge, and state government operational knowledge to various statewide fiscal and financial operations, initiatives, and activities.

Contributing	Journey	Advanced
<p>Ability to consult with state fiscal managers in order to resolve routine risk mitigation and internal control challenges. May require knowledge of program specifics.</p>	<p>Ability to independently interprets and applies thorough knowledge and skills necessary to consult and suggest corrective action related to moderately complex statewide risk mitigation and internal control challenges. Applies knowledge of program specifics.</p>	<p>Ability to consult, resolve, and evaluate complex agency and statewide risk mitigation and internal control impacts. Ability to recognize complex and unique issues, develop resolutions, or consult with leadership in order to achieve resolution.</p>

Project Management

Skill in project management methods and tools for planning and implementation of statewide State Controller risk mitigation and internal control initiatives, programs, and activities. Professional knowledge and skill in time and resource management.

Contributing	Journey	Advanced
<p>Ability to administer assigned project(s) of limited scope and complexity within set parameters.</p> <p>Ability to plan work to meet established objectives and deadlines. May require the ability to monitor work of others and provide ongoing guidance and feedback to team members on performance. Ability to identify accomplishment and areas needing improvement and ability to clearly communicate these with other team members.</p> <p>Ability to participate as a member of project implementation team(s), supporting and promoting changes.</p>	<p>Ability to lead project(s) within established guidelines and standards or ability to lead a component of a larger project. Ability to ensure project accountability. Ability to define scope, goals, tasks, deliverables, timelines, tools, and resources.</p> <p>Ability to assess the needs of the project, determine any gaps, and recommend changes in procedures, workflow and work assignments to improve efficiency and effectiveness.</p> <p>Ability to apply whole system thinking. Ability to consider external and internal environmental factors and organizational culture when developing strategies to motivate and persuade management and employees to appreciate, support, and promote changes that result in operational improvement.</p>	<p>Ability to manage new or multi-faceted project(s). Ability to lead and facilitate teams, workgroups or assigned staff. Ability to conduct research and development. Ability to take initiative in strategic planning and change management efforts. Ability develop, implement, and evaluate project(s).</p> <p>Ability to establish goals and objectives of project(s). Ability to set appropriate deadlines. Ability to plan and assign work of others. Ability to create a work environment that supports individuals being engaged and committed to the work and the organization.</p> <p>May require the ability to lead project implementation team(s), acting as a change agent. Knowledge of organizational culture and vision. Ability to anticipate barriers to accepting change, especially when changes have broad impact. Skill in enhancing collaboration and building consensus across the organization by anticipating opposing points of view and reconciling differences.</p>

Analysis and Decision-Making

Ability to assess accuracy, integrity, and risks. Ability to analyze information and ensure compliance with applicable standards, rules, regulations and systems of internal control. Ability to interpret and evaluate results. Ability to use effective approaches for choosing a course of action or developing appropriate solutions and/or reaching conclusions. Ability to identify findings/problems and take action consistent with available facts, constraints, and anticipated consequences.

Contributing	Journey	Advanced
<p>Ability to analyze routine financial and/or program information for accuracy, integrity, and compliance with laws, rules and regulations. Ability to identify risk(s) and make others aware of issues of noncompliance. May require the ability to identify and recommend solutions and/or options. Ability to learn and assist with monitoring of agency implementation.</p> <p>Ability to draw conclusions and prepare findings. Ability to draft recommendations supported by facts.</p>	<p>Ability to independently analyze a variety of moderately complex financial and/or program information for accuracy, integrity, and compliance with laws, rules and regulations. Ability to identify and assess risk of financial disclosures and noncompliance. Ability to identify and recommend solutions and options. Ability to monitor the implementation of agency action. Ability to identify substantive issues that require research and analysis.</p> <p>Ability to prepare and communicate/present key issues. Ability to defend findings and recommendations. Ability to serve as technical advisor on findings and recommendations.</p>	<p>Ability to independently identify complex and unique issues of risk, compounded by the depth and complexity of organizational structure and business processes. Ability to conduct creative analysis and research to generate possible solutions and options, considering available facts, constraints and significant consequences.</p> <p>Ability to justify and defend findings and recommendations for unprecedented and controversial cases. Ability to research and analyze new and/or changing systems and procedures. Ability to monitor implementation of new systems and/or procedures.</p>

Definitions:

Moderately complex – Varied systems, operations, type/size of business, policies, regulations, and programs with frequent revisions and changes.

Complex – Variety of funding sources, systems, operations, regulations, programs, or tax schedules with a broader impact.

Human Resources Supervision (Optional)

Ability to recruit, select, develop, counsel, discipline, and evaluate performance of employees to retain a diverse workforce. Ability to administer and ensure compliance with human resources policies and procedures. Ability to observe and assess work, provide feedback, provide technical supervision, develop knowledge, skills, and abilities of employees, and plan for and support employees in career development opportunities.

Contributing	Journey	Advanced
<p>Ability to provide assistance to a higher-level manager in recruitment and selection process.</p> <p>Ability to implement work plans. Ability to conduct performance reviews with the assistance of a higher-level manager.</p> <p>Ability to identify and recommend career development opportunities with employees.</p>	<p>Ability to recommend and/or make selection decision.</p> <p>Ability to develop and implement work plans, conduct performance reviews, and participate in the disciplinary and grievance processes, as needed.</p> <p>Ability to ensure employees have access to tools and information for career development opportunities and actively participate in employee growth and development. Ability to plan and deliver on-the-job training.</p>	<p>Ability to oversee unit/organization supervisors to ensure compliance with recruitment and selection policies and procedures.</p> <p>Ability to oversee unit/organization supervisors to ensure compliance with performance management policies and procedures. Ability to recommend resolution of disciplinary and grievance issues, as needed.</p> <p>Ability to review and authorize training opportunities for unit/organization. Ability to lead employee growth and development initiatives.</p>

V. MINIMUM TRAINING & EXPERIENCE

Bachelor’s degree in accounting, business administration, or a related discipline with 24 credit hours of accounting coursework; or an equivalent combination of training and experience. All degrees must be received from appropriately accredited institutions.

Note: This is a generalized representation of positions in this class and is not intended to identify essential work functions per ADA. Examples of competencies are primarily those of the majority of positions in this class, but may not be applicable to all positions.