

## Job Family Matrix

<b>Job Function:</b> Finance		<b>Job Family:</b> Audit - Professional	
<b>Job Family Summary:</b> Perform or manage financial and operational audits to assess the adequacy and effectiveness of systems, processes and controls.			
<b>Job Title:</b> Auditor II		<b>Job Title:</b> Auditor III	
<b>Job Code:</b> F0356P		<b>Job Code:</b> F0357P	
<b>Grade Level:</b> 56 <b>Exemption:</b> Exempt		<b>Grade Level:</b> 57 <b>Exemption:</b> Exempt	
<b>Effective/Revision Date:</b> January 2017		<b>Effective/Revision Date:</b> January 2017	
<b>Job Summary</b>		<b>Job Summary</b>	
Under general direction, complete assigned sections of the audit scope in compliance with professional standards for the practice of internal auditing. Assist with risk assessment in determining audit scope. Evaluate, review and analyze the operational, financial and compliance internal controls to identify any significant control weaknesses.		Under limited direction, complete assigned sections of the audit scope in compliance with professional standards for the practice of internal auditing. Assist with risk assessment in determining audit scope. Evaluate, review and analyze the operational, financial and compliance internal controls to identify any significant control weaknesses.	
<b>Core Duties</b>		<b>Core Duties</b>	
<ul style="list-style-type: none"> <li>• Complete audit sections assigned in accordance with departmental guidelines and professional standards for the practice of internal auditing</li> <li>• Gather, summarize, and synthesize financial, HR, operational and/or other data in support of risk evaluations</li> <li>• Provide input as part of the audit team in assessing risk and defining scope of the audits</li> <li>• Develop and recommend creative practical solutions for improvements in control and efficiency of operations to the auditor in charge</li> <li>• Conduct interviews with client personnel; document and evaluate processes and controls; write/modify audit programs to address identified risks</li> <li>• Develops working papers that support efficient review and clear understanding of conclusions reached</li> <li>• Inform the audit manager of the status of the audit work, potential findings and problems encountered; alert managing auditor to delays and barriers to timely completion and offers solutions</li> <li>• Provide input regarding verbal and written communications of the audit results to the client and to RMAS management as required</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>		<ul style="list-style-type: none"> <li>• Complete audit sections assigned in accordance with department guidelines and in compliance with professional standards for the practice of internal auditing</li> <li>• Gather and analyze financial, HR, operational and/or other data using spreadsheets and other means to synthesize data from a wide array of sources in support of risk evaluations</li> <li>• Provide assistance to the audit manager in assessing risk and defining scope for complex audits</li> <li>• Develop and recommend creative practical solutions for improvements in control and efficiency of operations to the auditor in charge and auditee</li> <li>• Conduct interviews with client personnel; document and evaluate processes and controls; write/modify audit programs to address identified risks</li> <li>• Ensure audit work performed is documented in accordance with department standards and working papers support audit conclusions reached</li> <li>• Communicate the audit results to the auditee as required</li> <li>• Inform the audit manager of the status of the audit work, potential findings and problems encountered</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>	
		<ul style="list-style-type: none"> <li>• Plan, organize and lead audits in accordance with department guidelines and in compliance with professional standards for the practice of internal auditing</li> <li>• May function as subject matter expert and/or project lead</li> <li>• Define the scope and objectives of audits based on analytical auditing procedures and a review of the auditees' business</li> <li>• Communicate audit specifics to auditee to ensure scope, objectives, status and other details are understood</li> <li>• Ensure all issues and opportunities are brought to the attention of the appropriate, responsible individual and corrective actions are discussed</li> <li>• Prepare timely "value added" audit reports; assure report contents are supported by competent evidential data</li> <li>• Responsible for creating and updating audit program as needed</li> <li>• Allocate personnel and resources for given projects and provides project supervision of assigned audit team</li> <li>• Provide staff mentoring and training</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>	

## Job Family Matrix

Basic Qualifications	Basic Qualifications	Basic Qualifications
<ul style="list-style-type: none"> <li>• Bachelor's degree or equivalent work experience required</li> <li>• Minimum of 3 years' experience in a financial, compliance or audit role</li> </ul>	<ul style="list-style-type: none"> <li>• Bachelor's degree or equivalent work experience required</li> <li>• Minimum of 5 years' experience in a financial, compliance or audit role</li> </ul>	<ul style="list-style-type: none"> <li>• Bachelor's degree or equivalent work experience required</li> <li>• Minimum of 7 years' experience in a financial, compliance or audit role</li> </ul>
Additional Qualifications and Skills	Additional Qualifications and Skills	Additional Qualifications and Skills
<ul style="list-style-type: none"> <li>• Knowledge of Microsoft Office Suite, intermediate excel skills</li> <li>• Basic knowledge of OMB Circulars A-21, A-110 and A-133</li> <li>• Basic knowledge of the International Standards for the Professional Practice of Internal Auditing</li> <li>• Thorough understanding of Generally Accepted Auditing Standards</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>• Knowledge of OMB Circulars A-21, A-110 and A-133</li> <li>• Knowledge of the International Standards for the Professional Practice of Internal Auditing</li> <li>• Thorough understanding of Generally Accepted Auditing Standards</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>• Advanced knowledge of OMB Circulars A-21, A-110 and A-133 desirable</li> <li>• Advanced knowledge of the International Standards for the Professional Practice of Internal Auditing</li> <li>• Thorough understanding of Generally Accepted Auditing Standards</li> </ul>
Certificates and Licenses	Certificates and Licenses	Certificates and Licenses
	<ul style="list-style-type: none"> <li>• Certified Internal Auditor or Certified Public Accountant preferred</li> </ul>	<ul style="list-style-type: none"> <li>• Certified Internal Auditor or Certified Public Accountant preferred</li> </ul>
Physical Requirements	Physical Requirements	Physical Requirements
Working Conditions	Working Conditions	Working Conditions
<ul style="list-style-type: none"> <li>• Work is performed in an office setting</li> <li>• Frequent travel to other sites across the University is required</li> </ul>	<ul style="list-style-type: none"> <li>• Work is performed in an office setting</li> <li>• Frequent travel to other sites across the University is required</li> </ul>	<ul style="list-style-type: none"> <li>• Work is performed in an office setting</li> <li>• Frequent travel to other sites across the University is required</li> </ul>

## Job Family Matrix

<b>Job Function:</b> Finance	<b>Job Family:</b> Audit - Professional
<b>Job Family Summary:</b> Perform or manage financial and operational audits to assess the adequacy and effectiveness of systems, processes and controls.	
<b>Job Title:</b> Auditor V	<b>Job Title:</b> IS Auditor V
<b>Job Code:</b> F0359P	<b>Job Code:</b> F0459P
<b>Grade Level:</b> 59 <b>Exemption:</b> Exempt	<b>Grade Level:</b> 59
<b>Effective/Revision Date:</b> January 2017	<b>Effective/Revision Date:</b> January 2017
<b>Job Summary</b>	<b>Job Summary</b>
Plan, organize, direct and oversee audits in compliance with professional standards. Provide guidance on risk assessment. Leads, trains and mentors professional level staff auditors.	Plan, organize and direct information systems audits throughout the University. Evaluate operational, business, and technical risks and act as a lead consultant making recommendations on complex issues. Support audit management in providing guidance and direction to audit staff.
<b>Core Duties</b>	<b>Core Duties</b>
<ul style="list-style-type: none"> <li>• Plan, coordinate, manage and complete all assigned audits in accordance with departmental guidelines and professional standards for the practice of internal auditing</li> <li>• Provide guidance and supervision to staff auditors assigned; review work to ensure all necessary audit procedures are performed and the audit report is properly supported</li> <li>• Define the scope and objectives of the audit based on analytical auditing procedures and a review of the auditees' business</li> <li>• Communicate audit specifics to auditee to ensure scope, objectives, status and other details are understood</li> <li>• Ensure all issues and opportunities are brought to the attention of the appropriate, responsible individual and corrective actions are discussed</li> <li>• Prepare "value-add" audit reports on a timely basis; assure report contents are supported by competent evidential data</li> <li>• Assist management in overseeing the progress of audits, major findings and problems encountered</li> <li>• Responsible for creating and updating audit programs as needed</li> <li>• Contribute to University wide risk analysis, development of fiscal year audit plans, department training programs</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>	<ul style="list-style-type: none"> <li>• Plan, design, and manage all assigned audits in accordance with departmental guidelines and professional standards for the practice of information systems auditing</li> <li>• Define the scope and objectives of the audit based on analytical auditing procedures and reviews of the auditees' business</li> <li>• Communicate audit specifics to auditee to ensure scope, objectives, status and other details are understood</li> <li>• Ensure all issues and opportunities are brought to the attention of the appropriate, responsible individual and corrective actions are discussed</li> <li>• Perform pre-implementation reviews of the major computer based systems</li> <li>• Advise management in understanding the key security and other internal control points that should be incorporated into new systems</li> <li>• Participate in user groups, task forces, and committees as appropriate to develop an understanding of evolving technology initiatives</li> <li>• Provide training, guidance and supervision to IS auditors to ensure audit objectives are met</li> <li>• Responsible for creating and updating audit programs as needed</li> <li>• Inform audit manager of progress of audits, major findings, and problems encountered</li> <li>• Contribute to audit Universe definition, University-wide risk analysis, annual audit plans, and departmental IT training programs</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>

## Job Family Matrix

Basic Qualifications	Basic Qualifications
<ul style="list-style-type: none"> <li>Bachelor's degree or equivalent work experience required</li> <li>Minimum of 8 years' experience in a financial, compliance or audit role</li> </ul>	<ul style="list-style-type: none"> <li>Bachelor's degree or equivalent work experience required</li> <li>Minimum of 8 years' experience in information systems or information systems audit role</li> </ul>
Additional Qualifications and Skills	Additional Qualifications and Skills
<ul style="list-style-type: none"> <li>Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>Advanced knowledge of OMB Circulars A-21, A-110 and A-133 desirable</li> <li>Advanced knowledge of the International Standards for the Professional Practice of Internal Auditing</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>Advanced knowledge of centralized and distributed systems, network protocols, project and systems management methodologies, and security controls</li> <li>Knowledge of major types of IS Audits including application reviews and technical audits</li> </ul>
Certificates and Licenses	Certificates and Licenses
<ul style="list-style-type: none"> <li>Certified Public Auditor or Certified Public Accountant preferred</li> </ul>	<ul style="list-style-type: none"> <li>Certified Information Systems Auditor preferred</li> </ul>
Physical Requirements	Physical Requirements
Working Conditions	Working Conditions
<ul style="list-style-type: none"> <li>Work is performed in an office setting</li> <li>Frequent travel to other sites across the University is required</li> </ul>	<ul style="list-style-type: none"> <li>Work is performed in an office setting</li> <li>Frequent travel to other sites across the University is required</li> </ul>

## Job Family Matrix

<b>Job Function:</b> Finance		<b>Job Family:</b> Audit - Management	
<b>Job Family Summary:</b> Perform or manage financial and operational audits to assess the adequacy and effectiveness of systems, processes and controls.			
<b>Job Title:</b> Audit Mgt IV		<b>Job Title:</b> Audit Mgt V	
<b>Job Code:</b> F0358M		<b>Job Code:</b> F0359M	
<b>Grade Level:</b> 58 <b>Exemption:</b> Exempt		<b>Grade Level:</b> 59 <b>Exemption:</b> Exempt	
<b>Effective/Revision Date:</b> January 2017		<b>Effective/Revision Date:</b> January 2017	
<b>Job Summary</b>		<b>Job Summary</b>	
Plan, organize and direct audits in compliance with professional standards for the practice of internal auditing. Evaluate the operational and financial risks and acts as a strong business consultant making recommendations on complex issues.		Plan, organize, direct and oversee audits in compliance with professional standards. Provide guidance on risk assessment.	
<b>Core Duties</b>		<b>Core Duties</b>	
<ul style="list-style-type: none"> <li>• Responsible for effective staff management, including hiring and orientation, training and development, workflow and performance management, and the promotion of an inclusive and innovative work environment</li> <li>• Plan, organize and lead audits in accordance with department guidelines and in compliance with professional standards for the practice of internal auditing</li> <li>• Define the scope and objectives of audits based on analytical auditing procedures and a review of the auditees' business</li> <li>• Communicate audit specifics to auditee to ensure scope, objectives, status and other details are understood</li> <li>• Ensure all issues and opportunities and corrective actions are discussed</li> <li>• Prepare timely "value added" audit reports; assure report contents are supported by competent evidential data</li> <li>• Responsible for creating and updating audit program as needed</li> <li>• Allocate personnel and resources for given projects and provide project supervision of assigned audit team</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>		<ul style="list-style-type: none"> <li>• Responsible for effective staff management, including hiring and orientation, training and development, workflow and performance management, and the promotion of an inclusive and innovative work environment</li> <li>• Plan, coordinate, manage and complete all assigned audits in accordance with departmental guidelines and professional standards for the practice of internal auditing</li> <li>• Provide guidance and supervision to staff auditors assigned; review work to ensure all necessary audit procedures are performed and the audit report is properly supported</li> <li>• Define the scope and objectives of the audit based on analytical auditing procedures and a review of the auditees' business</li> <li>• Communicate audit specifics to auditee to ensure scope, objectives, status and other details are understood</li> <li>• Ensure all issues and opportunities and related corrective actions are discussed</li> <li>• Prepare "value-add" audit reports on a timely basis; assure report contents are supported by competent evidential data</li> <li>• Oversee the progress of audits, major findings and problems encountered</li> <li>• Responsible for creating and updating audit programs as needed</li> <li>• Contribute to University wide risk analysis, development of fiscal year audit plans, department training programs</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>	
		<ul style="list-style-type: none"> <li>• Responsible for effective staff management, including hiring and orientation, training and development, workflow and performance management, and the promotion of an inclusive and innovative work environment</li> <li>• Create, develop, and implement University Risk Management Program</li> <li>• Direct the development and implementation of policies, procedures and training programs designed to ensure that the institution complies with all laws, regulations and government contract/grant requirements</li> <li>• Establish and execute risk-based audit and compliance business plans to assess the adequacy of internal accounting and administrative control systems</li> <li>• Ensure the institution's assets are properly safeguarded and accounted for and operations are in compliance with all applicable laws, regulations and contract/grant provisions</li> <li>• Support strategic planning discussions and manages change initiatives in the Risk Management and Audit Services department</li> <li>• Manage quality assurance program in compliance with the rules established by the Institute of Internal auditors</li> <li>• Collaborate with University-wide leadership to develop processes, policies and procedures</li> <li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li> </ul>	

## Job Family Matrix

Basic Qualifications	Basic Qualifications	Basic Qualifications
<ul style="list-style-type: none"> <li>• Bachelor's degree or equivalent work experience required</li> <li>• Minimum of 7 years' experience in a financial, compliance or audit role</li> <li>• Supervisory experience</li> </ul>	<ul style="list-style-type: none"> <li>• Bachelor's degree or equivalent work experience required</li> <li>• Minimum of 8 years' experience in a financial, compliance or audit role</li> <li>• Supervisory experience</li> </ul>	<ul style="list-style-type: none"> <li>• Master's degree or equivalent work experience required</li> <li>• Minimum of 10 years' experience in a financial, compliance or audit role</li> <li>• Supervisory experience</li> </ul>
Additional Qualifications and Skills	Additional Qualifications and Skills	Additional Qualifications and Skills
<ul style="list-style-type: none"> <li>• Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>• Advanced knowledge of OMB Circulars A-21, A-110 and A-133 desirable</li> <li>• Advanced knowledge of the International Standards for the Professional Practice of Internal Auditing</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>• Advanced knowledge of OMB Circulars A-21, A-110 and A-133 desirable</li> <li>• Advanced knowledge of the International Standards for the Professional Practice of Internal Auditing</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge of Microsoft Office Suite, advanced excel skills</li> <li>• Expert knowledge of OMB Circulars A-21, A-110 and A-133 desirable</li> <li>• Expert knowledge of the International Standards for the Professional Practice of Internal Auditing</li> </ul>
Certificates and Licenses	Certificates and Licenses	Certificates and Licenses
<ul style="list-style-type: none"> <li>• Certified Internal Auditor or Certified Public Accountant preferred</li> </ul>	<ul style="list-style-type: none"> <li>• Certified Public Auditor or Certified Public Accountant preferred</li> </ul>	<ul style="list-style-type: none"> <li>• Certified Public Auditor or Certified Public Accountant preferred</li> </ul>
Physical Requirements	Physical Requirements	Physical Requirements
Working Conditions	Working Conditions	Working Conditions
<ul style="list-style-type: none"> <li>• Work is performed in an office setting</li> <li>• Frequent travel to other sites across the University is required</li> </ul>	<ul style="list-style-type: none"> <li>• Work is performed in an office setting</li> <li>• Frequent travel to other sites across the University is required</li> </ul>	<ul style="list-style-type: none"> <li>• Work is performed in an office setting</li> <li>• Frequent travel to other sites across the University is required</li> </ul>

# Job Family Matrix

<b>Job Function:</b> Finance	<b>Job Family:</b> Audit - Management
<b>Job Family Summary:</b> Perform or manage financial and operational audits to assess the adequacy and effectiveness of systems, processes and controls.	
<b>Job Title:</b> IS Audit Mgt VI	
<b>Job Code:</b> F0460M	
<b>Grade Level:</b> 60	<b>Exemption:</b> Exempt
<b>Effective/Revision Date:</b> January 2017	
<b>Job Summary</b>	
Responsible for the development and implementation of the enterprise wide risk management program for information systems throughout the University. Lead, train, and mentor a department of professional information systems auditors and provides senior level guidance on risk assessment.	
<b>Core Duties</b>	
<ul style="list-style-type: none"><li>• Responsible for effective staff management, including hiring and orientation, training and development, workflow and performance management, and the promotion of an inclusive and innovative work environment</li><li>• Create, develop, and implement Harvard's Risk Management Program for University wide information systems</li><li>• Direct the development and implementation of policies, procedures and training programs designed to ensure that the institution's systems comply with all laws, regulations and government contract/grant requirements</li><li>• Present to University-wide leadership audit results and recommendations for establishing key security and internal control points for university wide systems</li><li>• Establish and execute risk-based audit and compliance business plans to assess the adequacy and safeguarding of internal data and administrative control systems</li><li>• Support strategic planning discussions and manages change initiatives in the Risk Management and Audit Services department</li><li>• Manage quality assurance program in compliance with the rules established by the Institute of Internal auditors</li><li>• Collaborate with University-wide leadership to develop processes, policies and procedures</li><li>• Ensure financial compliance with University policies and procedures and applicable legal rules and regulations</li></ul>	

# Job Family Matrix

<b>Basic Qualifications</b>
<ul style="list-style-type: none"><li>• Master's degree or equivalent work experience required</li><li>• Minimum of 10 years' experience in information systems or information systems audit role</li><li>• Supervisory experience</li></ul>
<b>Additional Qualifications and Skills</b>
<ul style="list-style-type: none"><li>• Knowledge of Microsoft Office Suite, advanced excel skills</li><li>• Expert knowledge of centralized and distributed systems, network protocols, project and systems management methodologies, and security controls</li><li>• Expert knowledge of major types of IS Audits including application reviews and technical audits</li></ul>
<b>Certificates and Licenses</b>
<ul style="list-style-type: none"><li>• Certified Information Systems Auditor preferred</li></ul>
<b>Physical Requirements</b>
<b>Working Conditions</b>
<ul style="list-style-type: none"><li>• Work is performed in an office setting</li><li>• Frequent travel to other sites across the University is required</li></ul>