

## **COMPLIANCE AUDITOR**

### **Position Summary**

The Compliance Auditor coordinates, schedules and leads audit teams in the execution of Compliance Audits, Organizational Certifications and Spot-Checks in the SERC Reliability Corporation (SERC) region. The incumbent supports implementation of the Compliance Monitoring and Enforcement Program (CMEP) established by SERC in coordination with the North American Electric Reliability Corporation (NERC), the Electric Reliability Organization (ERO) under the jurisdiction of the Federal Energy Regulatory Commission (FERC).

### **Reporting**

The Compliance Auditor position reports to the SERC Manager of Compliance Audits.

### **Duties and Responsibilities**

- Coordinates information gathering, dissemination, data retention and confidentiality related to performance of compliance audits as assigned by the Manager of Compliance Audits (MCA).
- Acts as Audit Team Leader (ATL), or an audit track leader reporting to the ATL, during the compliance audits of entities within the SERC Region, if assigned.
- Participates as a team member in the certification process as assigned.
- Ensure audit reports are accurate, thorough, and contain sufficient information upon which to base compliant or non-compliant/possible violation findings.
- Provide timely notification to ATL/MCA/Director of Compliance (DC) of compliant or non-compliant/possible violation findings commensurate with their significance.
- Prepare draft Audit Reports, based on the on-site visit, questionnaires, documentation, self-assessments and audit team input that are accurate and contain sufficient justification for the MCA, Compliance Enforcement and/or the DC to reach the same compliance decision as the audit team.
- Provide audit reports to the ATL/audit team as requested for comment and to the MCA in a timely manner following audits and in accordance with the CMEP.
- Request SERC registered entities to provide information relative to audit team preparation and audit execution as assigned.
- Prepare pre-audit documentation, effectively document the audit process and report results.
- Ensure appropriate processing, data retention and confidentiality of all documentation required for audits, spot-checks and other compliance actions.
- Prepare compliance data and presentations for use at Board Compliance Committee (BCC) meetings and proceedings as assigned.
- Comply with SERC policies with regard to anti-trust, conflicts of interest, and confidentiality.
- Ensure compliance with Government Auditing Standards for objectivity, independence, impairment, rules of evidence and professional judgment.
- Serves as a project manager as directed by the MCA/DC.
- Perform "screener" duties on rotation with other employees in Compliance.
- Perform other assignments as directed by the Manager of Compliance Audits, Director of Compliance or SERC President/CEO.

## **Job Qualifications**

1. Knowledge, Skills, and Abilities required
  - Excellent organizational and time management skills
  - Ability to work with and analyze data intensive and detailed information, and to draw meaningful conclusions from that information.
  - Working knowledge of NERC Reliability Standards and SERC regional standards.
  - Demonstrated ability to manage diverse groups of people that comprise the audit teams.
  - Ability to interface between audit teams and upper management of SERC registered entities.
  - Computer skills, proficient with Microsoft Office applications, including Word, Excel, Access and Power Point
  - Effective communication skills (face-to-face, telephone, written and email, and presentation skills)
  - Familiarity with the Internet, html language, and data base structures
  - Ability to interface with NERC and FERC representatives
2. Education Required
  - Four year and/or higher educational degree in a technical field with preference for Engineering. Equivalent experience acceptable.
3. Experience Required
  - Three to five years experience in electric utility industry with background in regulatory and/or compliance activities in a related field.
  - Demonstrated experience in leading teams and groups of technical specialists.
  - Prior audit experience a plus.
4. Other Requirements
  - Ability to travel up to 50% of the time and lead teams remotely

Please send all resumes to Jen Kelly Manager of Finance and HR at [jkelly@serc1.org](mailto:jkelly@serc1.org)