STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

POSITION DUTY STATEMENT

PM-0924 (REV 7/2014)

CLASSIFICATION TITLE	OFFICE/BRANCH/SECTION	
Staff Services Management Auditor	HQ/Audits and Investigations	
WORKING TITLE	POSITION NUMBER	EFFECTIVE DATE
Staff Services Management Auditor	900-077-5841-xxx	03/01/2011

As a valued member of the Caltrans team, you make it possible for the Department to provide a safe, sustainable, integrated, and efficient transportation system to enhance California's economy and livability. Caltrans is a performance-driven, transparent, and accountable organization that values its people, resources and partners, and meets new challenges through leadership, innovation and teamwork.

GENERAL STATEMENT:

Under the close supervision by a Senior Management Auditor, the incumbent will perform at an entry level of the series, learning and developing appropriate skills and procedures while assisting in the performance of audits within the Department, at commercial contractors but can also include local governmental entities, or other State agencies. Specific duties include, but will not be limited to the following duties described below.

TYPICAL DUTIES:

Percentage	Essential (E)/Marginal (M)[1]	Job Description
35%	E	Assist in the preliminary review and analyses of the audit entity to determine required hours to complete each step in the audit planning memorandum. Attend entrance and exit conferences with the audit entity and document results as directed by the Senior Management Auditor and/or lead auditor.
35%	E	Assist in the evaluation of the audit entity's financial management system, internal accounting and administrative controls, and compliance to applicable federal and State laws, regulations and policies. Perform audit tests as directed by the Senior Management Auditor and/or lead auditor. Prepare corresponding audit work papers documenting work performed in compliance with applicable auditing standards and Department audit policies.
20%	E	Assist in the development of audit findings and recommendations, the completion of the audit work paper package, and the preparation of the audit report.
10%	E	Perform assigned audit steps effectively within predetermined budget hours. Inform the Senior Management Auditor and/or lead auditor of the progress of assigned audit steps and/or audit problems and other factors affecting assignment completion.

[1]ESSENTIAL FUNCTIONS are the core duties of the position that cannot be reassigned.
MARGINAL FUNCTIONS are the minor tasks of the position that can be assigned to others.

SUPERVISION OR GUIDANCE EXERCISED OVER OTHERS

None. The incumbent does not supervise others.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

The Staff Services Management Auditor guided by the specific scope of the audit and under direct supervision, must demonstrate a basic ability to analyze and evaluate the appropriateness, effectiveness, efficiency, economy, and compatibility of audit entities' financial management systems and internal controls. The Staff Services Management Auditor must demonstrate the ability to gain a basic understanding of:

- appropriate laws, regulations, rules and guidelines,
- governmental management principles, practices and trends,
- statistical sampling methods,
- electronic data processing systems,
- Generally Accepted Accounting Principles (GAAP),
- Generally Accepted Government Auditing Standards (GAGAS),
- International Standards for the Professional Practice of Internal Auditing (ISPPIA)

The Staff Services Management Auditor must be able to apply the above knowledge and deal effectively with various

levels of audit entities' management utilizing both oral and written communications.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

A deficiency in judgement by the Staff Services Management Auditor may result in a continued lack of fiscal integrity, security of assets, compliance with policies, procedures and statutes. It may result in inefficient and ineffective management practice and the continuation of uneconomical or unproductive programs. It may result in continuing or failure to detect fraud, abuse, and illegal acts.

PUBLIC AND INTERNAL CONTACTS

The Staff Services Management Auditor is in contact with Department of Transportation and other State agencies' managers and personnel, with local governmental officials, with managers in municipalities and private industry, and with private individuals.

PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

Employees may be required to sit for long periods of time using a keyboard with a laptop or desktop computer. In addition, employees may be requested to handle voluminous documents or files and to carry a laptop computer to the audit site during fieldwork. The Staff Services Management Auditor must be willing to travel overnight, and comply with professional standards of conduct.

WORK ENVIRONMENT

The incumbent is primarily in an office environment. However, this position requires overnight travel, and travel to and from the audit entity as needed.

I have read, understand and can perform the duties listed above. (If you believe you may require reasonable accommodation, please discuss this with your hiring supervisor. If you are unsure whether you require reasonable accommodation, inform the hiring supervisor who will discuss your concerns with the Reasonable Accommodation Coordinator.)

EMPLOYEE (Print)

EMPLOYEE (Signature)	DATE

I have discussed the duties with, and provided a copy of this duty statement to the employee named above.

SUPERVISOR (Print)

SUPERVISOR (Signature)	DATE