STATE OF CALIFORNIA • DEPARTMENT OF TRANSPORTATION

POSITION DUTY STATEMENT

PM-0924 (REV 7/2014)

CLASSIFICATION TITLE	OFFICE/BRANCH/SECTION	
Staff Management Auditor, Specialist	HQ/Audits and Investigations	
WORKING TITLE	POSITION NUMBER	EFFECTIVE DATE
Staff Management Auditor, Specialist	900-077-4155-XXX	

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 general supervision provided by a Senior Management Auditor, the incumbent will perform the most complex, sensitive audit assignments by examining an audit entity's operations and financial management systems and conducting technical audits of fiscal and management processes and practices of the Department, State agencies, local governments, and commercial contractors.

TYPICAL DUTIES:

Percentage	Essential (E)/Marginal (M)[1]	Job Description
45%	E	Perform a variety of comprehensive and complex audits within the Department, other State and local government agencies, or commercial contractors. Works directly in the geographical areas of the audits in order to directly lead examinations, review and appraisals in progress at one or more locations. As a lead auditor, plan, coordinate and conduct the most complex audit assignments to ensure compliance with applicable auditing standards. Assess the sufficiency of audit work performed and ensure audit conclusions and/or opinions address audit objectives established by management.
30%	E	Provide technical consultative service for management concerning the preparation of audit programs, audit planning memorandum, audit reports and the presentation of audit findings and recommendations. Perform initial review of audit working papers and provide input on staff performance to management.
15%	E	Evaluate and apply federal and State laws, regulations, legal opinions, and/or legislation applicable to the more complex audit assignments.
10%	E	Provide training for auditors in work paper preparation and audit finding and report development. Prepare and present Presentations to audit entities' on critical audit issues and concerns at the direction of Department management. Provides input on staff performance. Provides technical assistance to management for supportive staff services, such as budgeting, personnel, and management analysis.

[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 SMAS may act as a lead person to a staff of auditors.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

-Ability to communicate verbally and in writing.
-Ability to meet and interact with high levels of management and key contact personnel.
-Effective and proficient interviewing skills.
-Ability to integrate audit objectives as established by management concerning budgeted hours and ensure effective use of management and staff time into each audit assignment.
-Ability to review workpapers for sufficiency, relevancy, and clarity in completing audit program steps.
-Ability to exercise a high degree of initiative, independence of action and originality.
-Ability to perform a variety of complex reviews and analytical studies in sensitive and critical areas.
-Ability to determine the effectiveness, efficiency, economy, and compatibility of the management and staff services

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functions to provide assurance to management and to recommend alternatives to management.
-Ability to analyze contractual claims to determine their propriety and integrity.
-Knowledge of principles and practices of Generally Accepted Accounting Principles (GAAP); Generally Accepted Government Auditing Standards (GAGAS),International Standards for the Professional Practice of Internal Auditing (ISPPIA), probability sampling, audit practices, techniques, and methods.
-Knowledge of financial organization and procedures of the State of California; policies, rules, and regulations of the Legislature, State Controller, State Treasurer, Department of Finance, and federal agencies.
-Ability to draw conclusions about the audit subject based on an objective and independent evaluation of the evidence, identifying possible causes of problems or noncompliance, and developing feasible and cost-effective recommendations to address the concerns identified.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

A deficiency in the SMAS judgement may result in a continued lack of fiscal integrity; security of assets; compliance with policies, procedures, and statues. 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 SMAS independently confers with the appropriate Department, local agency, State Agency, or contractor management discussing audit results and sensitive issues and concerns. Also, the SMAS meets with Federal program managers and with external auditors on coordinated decisions. The SMAS is in contact with all levels of Department management and personnel; with management and staff levels in the Federal Government, local governments, State Agencies, commercial contractors and consulting firms, and 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 SMAS must be willing to travel; and comply with professional standards of conduct.

WORK ENVIRONMENT

Travel to and from audit entity is required.

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)

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