

POSITION DUTY STATEMENT

PM-0924 (REV 03/2006)

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

As a valued member of the Caltrans team, you make it possible for the Department to improve the mobility across California by being innovative and flexible; reporting to work as scheduled; working cooperatively with team members and others; and treating others fairly, honestly and with respect. Your efforts are important to each member of the team as well as those we serve.

GENERAL STATEMENT: (BRIEF SUMMARY OF THE MAIN PURPOSE AND FUNCTIONS OF THE POSITION. DESCRIBE THE SUPERVISORY RELATIONSHIPS (INCLUDING THE CLASSIFICATION OF THE SUPERVISOR OR MANAGER TO WHOM THE INCUMBENT REPORTS.) WHEN APPROPRIATE, IDENTIFY THE NEED FOR ANY CREDENTIAL OR LICENSE (SUCH AS A DRIVERS' LICENSE.)

Under the close supervision by a Senior Management Auditor or a Staff Management Auditor, Supervisor, 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, local governmental entities, or other State agencies. Specific duties include, but will not be limited to the following:

TYPICAL DUTIES: (BRIEF DESCRIPTION OF IMPORTANT DUTIES. RELATED DUTIES MAY BE GROUPED TOGETHER. USE ADDITIONAL SHEET IF NECESSARY.)

Percentage	Job Description
Essential (E)/Marginal (M) ¹	

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, 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; completion of audit work paper package; and preparation of audit report.

10% (E) - Perform assigned audit steps effectively within predetermined budget hours. Inform the Senior Management Auditor and/or lead auditor of the assigned audit steps progress 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.

KNOWLEDGE, ABILITIES AND ANALYTICAL REQUIREMENTS

The SSMA guided by the specific scope of the audit and under direct supervision, must demonstrate an basic ability to analyze and evaluate the appropriateness, effectiveness, efficiency, economy, and compatibility of audit entities' financial management systems and internal controls. The SSMA must demonstrate the ability to gain a basic understanding of: appropriate laws, regulations, rules,

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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 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 the SSMA judgement 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 SSMA 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 SSMA 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 accomodation, please discuss this with your hiring supervisor. If you are unsure whether you require reasonable accomodation, inform the hiring supervisor who will discuss your concerns with the Reasonable Accomodation Coordinator.)

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EMPLOYEE (Print)	DATE
EMPLOYEE	DATE

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

SUPERVISOR (Print)	DATE
SUPERVISOR	DATE