

POSITION DUTY STATEMENT

PM-0924 (REV 02/2021)

CLASSIFICATION TITLE Staff Svcs Mgmt Auditor	OFFICE/BRANCH/SECTION Independent Office of Audits and Investigations	
WORKING TITLE Staff Services Management Auditor	POSITION NUMBER 900-097-5841-xxx	EFFECTIVE DATE 01/19/2024

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 close supervision of the Senior Management Auditor, the incumbent will perform at an entry level of the series, learning and developing appropriate skills and procedures while working closely with Lead Auditors assisting in the performance of audits of the California Department of Transportation and external entities that receive transportation funding. The incumbent represents the office to the public and is expected to maintain professional demeanor and attire, as well as adhering to appropriate professional codes of conduct. Specific duties include, but will not be limited to the following duties described below.

CORE COMPETENCIES:

As a Staff Svcs Mgmt Auditor, the incumbent is expected to become proficient in the following competencies as described below in order to successfully perform the essential functions of the job, while adhering to and promoting the Department's Mission, Vision, Values, Strategic Imperatives and Goals. Effective development of the identified Core Competencies fosters the advancement of the following Leadership Competencies: Change Commitment, Risk Appetite, Self-Development/Growth, Conflict Management, Relationship Building, Organizational Awareness, Communication, Strategic Perspective, and Results Driven.

- **Flexibility and Managing Uncertainty** : Adjusts thinking and behavior in order to adapt to changes in the job and work environment. (Safety First, Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network, Strengthen Stewardship and Drive Efficiency Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)
- **Decision Making**: Makes critical and timely decisions. Takes charge. Supports appropriate risk. Makes challenging and appropriate decisions. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)
- **Ethics and Integrity**: Demonstrated concern to be perceived as responsible, reliable, and trustworthy. Respects the confidentiality of information or concern shared by others. Honest and forthright. Conforms to accepted standards of conduct. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)
- **Problem-solving and Decision-making** : Identifies problems and uses logical analysis to find information, understand causes, and evaluate and select or recommend best possible courses of action. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency Advance Equity and Livability in all Communities - Engagement, Innovation, Integrity)
- **Teamwork/Partnership**: Develops, maintains, and strengthens partnerships with others inside or outside of the organization through effective communication and collaboration. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Innovation, Integrity)
- **Organizational Awareness**: Contributes to the organization by understanding and aligning actions with the organization's strategic plan, including the mission, vision, goals, core functions, and values. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Integrity)
- **Communication**: Expresses oneself clearly in all forms of communication. Gives feedback and is receptive to feedback received. Knows that listening is essential. Keeps others in the Division and other functional units informed as appropriate. (Safety First, Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Innovation, Integrity)
- **Analytical Skills**: Approaches problems using a logical, systematic, and sequential approach. Weighs priorities and recognizes underlying issues. (Safety First, Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network, Strengthen Stewardship and Drive Efficiency - Engagement, Innovation, Integrity)
- **Thoroughness**: Ensures that work and information is complete and accurate. Ensures that assignment goals, objectives, and completion dates are met. Documents and reports on work progress. (Safety First, Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network, Strengthen Stewardship and Drive Efficiency Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)

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TYPICAL DUTIES:

Percentage Essential (E)/Marginal (M) ¹	Job Description
45%	Assist in the evaluation of the audit/attestation/consulting engagement entity's financial management system, internal accounting and administrative controls, and compliance to applicable federal and state laws, regulations and policies. Assist in the development and performance of tests as directed by the Senior Management Auditor and/or lead auditor. Prepare corresponding workpapers documenting work performed in compliance with applicable auditing standards and applicable Department policies.
30%	Assist in the development of findings and recommendations, the completion of the audit work paper package, and the preparation of reports, management letters and memos in accordance with audit standards.
20%	Assist in the development of the planning memorandum and preliminary review and analyses of the audit/attestation/consulting engagement entity in accordance with audit standards to determine required hours to complete each step in the planning memorandum and engagement program. Attend entrance and exit conferences and meetings with the auditee/client as appropriate and document results as directed by the Senior Management Auditor and/or lead auditor.
5%	Performs other special assignment or routine required tasks related to on-going IOAI's engagement activities; time reports, travel reports, training, staff meetings, and other tasks as directed.

¹ESSENTIAL 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 Staff Services Management Auditor does not supervise others.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

The Staff Services Management Auditor guided by the specific scope of the engagement and under direct supervision, must demonstrate a basic ability to analyze and evaluate the appropriateness, effectiveness, efficiency, economy, and compatibility of auditee's/client's 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 (ISPPA)

The Staff Services Management Auditor must be able to apply the above knowledge and deal effectively with various levels of auditee's and client's management utilizing both oral and written communications.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

A deficiency in judgment 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

The incumbent must be able to sit for long periods of time using a laptop, video display monitor(s), cell phone, keyboard, and mouse. The work may occasionally require bending, kneeling, and lifting up to 15 pounds. The incumbent may need to stand for long periods of time while presenting or facilitating. Requirements for this position include the ability to multi-task, adapt to

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changes in priorities, and complete tasks or projects on short notice. The incumbent must be able to interact in a diverse workforce environment and work together in a cooperative and collaborative manner. The incumbent must comply with professional standards of conduct and adapt behavior and work methods in response to new information, changing conditions, or unexpected obstacles.

WORK ENVIRONMENT

This position is designated as “remote-centered,” which means the incumbent may work 50 percent or more of their time from an approved alternate work location. Employees are expected to be connected and readily available for video calls, meetings, or group sessions as if they were in the office. The incumbent may be required to report to the Sacramento office without advance notice to meet operational needs. Commute expenses to the office are the responsibility of the incumbent unless specified otherwise in CalHR regulations, applicable bargaining unit contract provisions, or Caltrans’s telework policy.

While in the office, the incumbent will work in a climate-controlled office building under artificial lighting. There may be occasional fluctuations in building temperature. The incumbent will generally work between the hours of 7:00 am and 6:00 pm. Meetings or other events, such as public meetings or recruitment events, may occasionally require working hours other than those stated. Travel related to the incumbent’s duties which could require extended hours of work and/or overnight or multiple-day trips may be 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)

SUPERVISOR (Signature)

DATE
