

POSITION DUTY STATEMENT

PM-0924 (REV 01/2022)

CLASSIFICATION TITLE Staff Management Auditor	OFFICE/BRANCH/SECTION HQ/ Independent Office of Audits and Investigations	
WORKING TITLE Staff Management Auditor, Specialist	POSITION NUMBER 900-097-4155-009	REVISION DATE 03/20/2025

As a valued member of the Caltrans leadership team, you make it possible for the Department to provide a safe and reliable transportation network that serves all people and respects the environment.

GENERAL STATEMENT:

Senate Bill 1 (SB 1) (Beall, Chapter 5, Statutes of 2017), created the Independent Office of Audits and Investigations (IOAI) to ensure the California Department of Transportation (Caltrans) and external entities that receive state and federal transportation funds from Caltrans are spending those funds efficiently, effectively, economically, and in compliance with applicable state and federal requirements.

Under the general supervision provided by a Senior Management Auditor, the incumbent will perform the most complex, sensitive audit assignments. These assignments include examining the engagement entity's operations and internal management controls, reviewing organization policies, and assessing management procedures and practices.

CORE COMPETENCIES:

As a Staff Management 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.

- **Creativity and Innovation:** Thinks beyond the confines of traditional models to recognize opportunities, seek creative solutions and take intelligent risks. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Innovation)
- **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, Innovation)
- **Reliability:** Ability to demonstrate dependability in meeting commitments, and providing a consistent work product. Takes responsibility for individual actions in order to meet deadline demands. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, 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. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Engagement, Equity, Integrity)
- **Teamwork and Collaboration:** Sets team structure. Organizes, leads, and facilitates team activities. Promotes team cooperation and encourages participation. Capable of cross functionality and working well with others on a team to achieve personal goals, team goals, and organizational goals. Takes responsibility for individual actions in order to achieve consistent results. (Safety First, Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, 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. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)
- **Interpersonal Effectiveness :** Effectively and appropriately interacts and communicates with others to build positive, constructive, professional relationships. Tailors communication style based on the audience. Provides and is receptive to feedback. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)
- **Planning and Results Oriented:** Organizes and executes work to meet organizational goals and objectives while meeting quality standards, following organizational processes, and demonstrating continuous commitment. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)
- **Technical Expertise:** Depth of knowledge and skill in a technical area. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency, Advance Equity and Livability in all Communities - Engagement, Equity, Innovation, Integrity)

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TYPICAL DUTIES:

Percentage		Job Description
Essential (E)/Marginal (M) ¹		
45%	E	Perform a variety of comprehensive and complex audits of Caltrans and local government agencies, or commercial contractors, in accordance with government auditing standards. Plan, coordinate, and conduct the most complex audits to ensure compliance with applicable federal and state laws. Obtain, interpret, and apply relevant and authoritative criteria. Examine and analyze financial records and program performance data to identify risks and areas for improvement. Communicate with management, clients, peers, and interested parties on assignment status and other information. Plan, prepare and conduct presentations clearly, logically and professionally. Prepare work papers, reports, letters, and presentations in formats that align with management guidelines, and professional audit standards.
30%	E	Apply subject matter expertise, specialized experience, and knowledge to evaluate complex projects and programs. Prepare and provide technical assistance and expertise to management on the preparation of engagement programs, planning memorandums, and the presentation of findings and recommendations. Develop and conduct training to entry level and associate level auditors on IOAI's audit processes and procedures. Provide technical guidance and assistance to entry level and associate level staff.
15%	E	Serve in a lead capacity on a wide range of complex assignments. Conduct first-level reviews of work performed by entry level and associate level staff and provide input on staff performance to management. Provide guidance to staff on work paper preparation, office practices, policies, and work standards. Review and edit written work products of others to ensure accuracy, completeness, and adherence to the scope and objectives of the assignment. Assist in updating or developing IOAI's processes and procedures pertaining to new rules, and state and federal requirements.
10%	M	Participate in office committees or task forces to assist with the development of office policies and procedures and provide recommendations to management. Perform other duties or special assignments as assigned.

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 Management Auditor, Specialist may act as a lead person to a team 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 engagement objectives as established by management concerning budgeted hours and ensure effective use of management and staff time into each assignment.
- Ability to review work papers for sufficiency, relevancy, and clarity in completing engagement 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 functions to provide assurance to management and to recommend alternatives.
- Ability to analyze contractual claims to determine their propriety and integrity.
- Ability to use Microsoft Office applications and audit management software, such as Teammate,
- Knowledge of principles and practices of Generally Accepted Accounting Principles (GAAP), Generally Accepted Government Auditing Standards (GAGAS), 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 engagement 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.

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RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Incumbent is responsible for planning, coordinating, and conducting the most complex audits to ensure compliance with applicable federal and state laws. Also, the incumbent functions as a liaison between the client, external entities, and IOAI and communicates to discuss sensitive issues, concerns, and audit results. Therefore, it is critical that the Staff Management Auditor, Specialist make sound decisions in planning, coordinating, and conducting the audit, and in communicating with external entities. Error in judgment or analysis could result in loss of credibility which could significantly impact the effectiveness of the office.

PUBLIC AND INTERNAL CONTACTS

The Staff Management Auditor, Specialist independently confers with the appropriate Caltrans, local agency, state agency, or contractor management to discuss engagement results and sensitive issues and concerns. The Staff Management Auditor, Specialist is in contact with all levels of Caltrans management, 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

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 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.

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

SUPERVISOR (Print)

SUPERVISOR (Signature)	DATE
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