

**DEPARTMENT OF JUSTICE
DIVISION OF MED-CAL FRAUD & ELDER ABUSE
CIVIL SECTION
DUTY STATEMENT**

NAME:
CLASSIFICATION: Auditor I

STATEMENT OF DUTIES: Under supervision, the Auditor I conducts the difficult technical investigations involving sensitive, California State only, Global and Qui Tam civil cases. The Auditor I analyzes state Medicaid and national Medicare utilization data, cost reports, computerized accounting data, billing records, financial accounts, books and records, bank records, and inventory systems created by or relating to of all types of health care providers, facilities, manufacturers, wholesalers, and individuals. Works with lawyers to provide support for investigations, litigation, and trial. The Auditor I works multiple civil cases at the same time and develops and performs difficult and complex audit programs and procedures. Successfully completes Penal Code 832 Arrest, Search and Seizure training.

Coordinates resources and joint case information with local, state, and federal agencies, including working closely with the California Department of Health Care Services, the Medi-Cal fiscal intermediary, State Controllers Office, U.S. Attorney's Office, Center for Medicaid Services, Office of the Inspector General, National Association of Medicaid Fraud Control Units, and individual state Medicaid Fraud Control Units.

The Auditor I has a firm understanding of and ability to use the systems, formats, and tools used to obtain Medi-Cal claims utilization. This would include Management Information System/Decision Support System (MIS/DSS), SAS Enterprise Guide, CA Medicaid Management Information System (CA-MMIS), Microsoft Access, and Microsoft Excel. Provides training to Civil Prosecution audit staff on the systems used to obtain Medi-Cal utilization data. The ability to obtain, organize, study, and analyze large amounts of data using these systems, formats, and tools, as well as others, and to develop damages models used in audits, examinations, investigations, litigation, and trials.

SUPERVISION RECEIVED: Under the supervision of the Investigative Auditor IV Supervisor or Senior Assistant Attorney General.

SUPERVISION EXERCISED: None.

TYPICAL PHYSICAL DEMANDS: Ability to move up to 25 pounds. Ability to sit and operate a computer for up to eight hours.

TYPICAL WORKING CONDITIONS: Open space office in a smoke-free environment.

ESSENTIAL FUNCTIONS:

40% Under supervision conducts difficult and complex civil audits and investigations, with a primary focus on analyzing Medi-Cal utilization in Fee For Service and Managed Care expenditures for drugs, durable medical equipment, medical procedures and other Medi-Cal expenditures over multiple periods in order to advance objectives of civil fraud investigations and prosecutions. Reviews bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical supplier invoice, Claim Detail Reports, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips and resident trust accounts.

35% Utilizes computerized audit techniques with tools such as MIS/DSS, SAS Enterprise Guide, MMIS, Microsoft Access, Microsoft Excel to develop programs and other information for sampling, cost, pattern, and trend analysis for use within the Civil Prosecutions Unit. Generates electronic reports and schedules to be used for settlement negotiations and as evidence for court proceedings. Tests reasonableness of audit findings and recommendations through comparative analysis and independent third-party verification. Assists in preparation of cases for presentation at hearings, settlement conferences, and trials. Testifies in civil hearings, depositions, and trials both in person and by affidavit.

15% Participates in meetings, depositions, and interviews with Qui Tam relators, investigative, legal, and managerial staff, as well as private law firms and various governmental agencies. Assists in the development of forensic investigative strategies for use in the Civil Prosecutions Unit cases and in the development of resources necessary to perform various audit and investigative requirements.

5% Provides training to staff on the tools (MIS/DSS, SAS Enterprise Guide, CA-MMIS, Microsoft Access, and Microsoft Excel) used to extract utilization data and how to generate the necessary reports and schedules from those tools.

5% Other duties such as, but not limited to, performing special projects and tasks as required.

I have read and understand the essential functions and typical physical demands required of this job (please check one of the boxes below regarding a Reasonable Accommodation):

I am able to complete the essential functions and typical physical demands of the job without a need for a reasonable accommodation.

I am able to complete the essential functions and typical physical demands of the job, but will require a reasonable accommodation. I will discuss my reasonable accommodation request with my supervisor.

I am unable to perform one or more of the essential functions and typical physical demands of the job, even with a reasonable accommodation.

I am not sure that I will be able to perform one or more of the essential functions and typical physical demands of the job, and will discuss the functional limitations I have with my supervisor.

Employee's Signature

Date

Supervisor's Signature

Date

**DEPARTMENT OF JUSTICE
DIVISION OF MEDI-CAL FRAUD & ELDER ABUSE
CIVIL SECTION
DUTY STATEMENT**

NAME:

JOB TITLE: Investigative Auditor II

STATEMENT OF DUTIES: Conducts civil investigations involving, but not limited to, theft and embezzlement, money laundering, investment schemes, Medi-Cal fraud, identity theft, credit card fraud and the serving of search warrants in accordance with the peace officer powers granted under Penal Code section 830.13. This requires the ability to work on multiple cases at the same time and have proficiency in evaluating financial transactions and documents including, but not limited to, bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical supplier invoices, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips and resident trust accounts. Successfully completes Penal Code 832 Arrest, Search and Seizure training. Exercises the highest degree of judgement in the application of State and Federal laws, rules, regulations and audit procedures. Works closely with State Controller's Office, Department of Health Care Services, U.S. Attorney's Office, Center for Medicaid Services, Employment Development Department, Department of Insurance, Franchise Tax Board, Board of Equalization, Federal Office of Inspector General, National Association of Medicaid Fraud Control Units, and individual state Medicaid Fraud Control Units.

SUPERVISION RECEIVED: Under the close direction of the Investigative Auditor IV Supervisor or Senior Assistant Attorney General.

SUPERVISION EXERCISED: None

TYPICAL PHYSICAL DEMANDS: Ability to move up to 25 pounds. Ability to sit and key for up to eight hours. Ability to travel.

TYPICAL WORKING CONDITIONS: Enclosed office in a smoke-free environment.

ESSENTIAL FUNCTIONS:

- 40% Conducts simple and routine civil audits and investigations, with a primary focus on analyzing Medi-Cal utilization in Fee For Service and Managed Care expenditures for drugs, durable medical equipment, medical procedures and other Medi-Cal expenditures over multiple periods in order to advance objectives of civil fraud investigations and prosecutions. Reviews bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical supplier invoice, Claim Detail Reports, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips and resident trust accounts.
- 35% Utilizes computerized audit techniques with tools such as MIS/DSS, SAS Enterprise

Guide, MMIS, Microsoft Access, Microsoft Excel to develop programs and other information for sampling, cost, pattern, and trend analysis. Generates electronic reports and schedules to be used for settlement negotiations and as evidence for court proceedings. Tests reasonableness of audit findings and recommendations through comparative analysis and independent third-party verification. Assists in preparation of cases for presentation at hearings, settlement conferences, and trials. Testifies in civil hearings, depositions, and trials both in person and by affidavit.

15% Participates in meetings, depositions and interviews with investigative, legal, and managerial staff as well as various state and allied government agencies. Assists Deputy Attorneys General and Special Agents to provide analysis of financial records, and forensic investigative strategies for use in Civil and Criminal Cases and in the development of resources necessary to perform various audit and investigative requirements, conducts on-site inspections; prepares affidavit in support of search and arrest warrants; serves search warrants in accordance with Penal Code section 830.13; participates in search warrants.

10% Provides training regarding identifying fraud and fiduciary abuse with the use of auditing techniques and procedures to Division staff and various state and allied governmental agency personnel. Other duties such as, but not limited to, performing special projects as required.

I have read and understand the essential functions and typical physical demands required of this job (please check one of the boxes below regarding a Reasonable Accommodation):

- I am able to complete the essential functions and typical physical demands of the job without a need for a reasonable accommodation.
- I am able to complete the essential functions and typical physical demands of the job, but will require a reasonable accommodation. I will discuss my reasonable accommodation request with my supervisor.
- I am unable to perform one or more of the essential functions and typical physical demands of the job, even with a reasonable accommodation.
- I am not sure that I will be able to perform one or more of the essential functions and typical physical demands of the job, and will discuss the functional limitations I have with my supervisor.

Employee's Printed Name

Date

Employee's Signature

Supervisor's Printed Name

Date

Supervisor's Signature

**DEPARTMENT OF JUSTICE
DIVISION OF MEDI-CAL FRAUD & ELDER ABUSE
CIVIL SECTION
DUTY STATEMENT**

NAME:

JOB TITLE: Investigative Auditor III

STATEMENT OF DUTIES: Independently conducts complex criminal and civil investigations involving, but not limited to, theft and embezzlement, money laundering, investment schemes, Medi-Cal fraud, identify theft, credit card fraud and the serving of search warrants in accordance with the peace officer powers granted under Penal Code section 830.13. This requires the ability to work on multiple cases at the same time and have proficiency in evaluating complex financial transactions and documents including, but not limited to, bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical supplier invoices, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips and resident trust accounts. Successfully completes Penal Code 832 Arrest, Search and Seizure training. The highest degree of judgment must be exercised in the application of State and Federal laws, rules regulations and audit procedures. Works closely with State Controllers Office, Department of Health Care Services, Department of Public Health, Employment Development Department, Department of Insurance, Franchise Tax Board, Board of Equalization, federal Office of Inspector General, and local law enforcement agencies. Provides training for other auditors.

SUPERVISION RECEIVED: Is under the general direction of the Investigative Auditor IV Supervisor or Senior Assistant Attorney General

SUPERVISION EXERCISED: None

TYPICAL PHYSICAL DEMANDS: Ability to move up to 25 pounds. Ability to sit and key for up to eight hours. Ability to travel.

TYPICAL WORKING CONDITIONS: Enclosed office in a smoke-free environment.

ESSENTIAL FUNCTIONS:

75% Independently conducts complex criminal and civil investigations; prepares detailed reports of investigation and schedules of findings; prepares affidavit in support of search and arrest warrants; serves search warrants in accordance to Penal Code section 830.13;

participates in search warrants; interviews victims, witnesses, suspects and experts; serves legal documents such as subpoenas, and testifies in criminal and civil hearings. Conducts on-site inspections, reviews and analyzes evidence, examines financial records/documents including, but not limited to, bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical

supplier invoices, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips, and resident trust accounts that have significant criminal activity. Prepares filing packages to be submitted to prosecuting attorney.

- 10% Participates in meetings and interviews with investigative, legal and managerial staff, as well as various state and allied government agencies. Assists Deputy Attorneys General and Special Agents to provide analysis of financial records, such as bank records and financial statements.
- 10% Provides training regarding identifying fraud and fiduciary abuse with the use of auditing techniques and procedures to Division staff and various state and allied governmental agency personnel.
- 5% Other duties such as, but not limited to, performing special projects as required.

I have read and understand the essential functions and typical physical demands required of this job (please check one of the boxes below regarding a Reasonable Accommodation):

- I am able to complete the essential functions and typical physical demands of the job without a need for a reasonable accommodation.
- I am able to complete the essential functions and typical physical demands of the job, but will require a reasonable accommodation. I will discuss my reasonable accommodation request with my supervisor.
- I am unable to perform one or more of the essential functions and typical physical demands of the job, even with a reasonable accommodation.
- I am not sure that I will be able to perform one or more of the essential functions and typical physical demands of the job, and will discuss the functional limitations I have with my supervisor.

Employee's Printed Name

Supervisor's Printed Name

Employee's Signature

Date

Supervisor's Signature

Date

**DEPARTMENT OF JUSTICE
DIVISION OF MEDI-CAL FRAUD & ELDER ABUSE
CIVIL SECTION
DUTY STATEMENT**

NAME:

JOB TITLE: Investigative Auditor IV (Specialist)

STATEMENT OF DUTIES: Independently conducts the most complex audits and sensitive investigations involving, but not limited to, theft and embezzlement, money laundering, investment schemes, Medi-Cal fraud, identify theft and credit card fraud. Serves search warrants in accordance with the peace officer powers granted under Penal Code section 830.13. This requires the ability to work on multiple cases at the same time and to have proficiency in evaluating complex financial transactions and documents including, but not limited to, bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical supplier invoices, Claim Detail Reports, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips, resident trust accounts and the successful completion of Penal Code 832 Arrest, Search and Seizure training. The highest degree of judgment must be exercised in the application of State and Federal laws, rules regulations and audit procedures. Works closely with State Controllers Office, Department of Health Care Services, Department of Public Health, Employment Development Department, Department of Insurance, Franchise Tax Board, Board of Equalization, Federal Office of Inspector General, and local law enforcement agencies. Provides lead support and training for other auditors.

SUPERVISION RECEIVED: Is under the general direction of the Investigative Auditor IV Supervisor or Senior Assistant Attorney General

SUPERVISION EXERCISED: None

TYPICAL PHYSICAL DEMANDS: Ability to move up to 25 pounds. Ability to sit and key for up to eight hours. Ability to travel.

TYPICAL WORKING CONDITIONS: Enclosed office in a smoke-free environment.

ESSENTIAL FUNCTIONS:

35% Independently conducts or leads a team of Investigative Auditors in conducting the most complex criminal and civil audits and investigations; prepares detailed reports of

investigation and schedules of findings; prepares affidavit in support of search and arrest warrants. Prepares filing packages to be submitted to prosecuting attorney.

25% Reviews and analyzes evidence, examines financial records/documents, including, but not limited to, bank records, corporate financial records, income tax returns, investment portfolios, escrow records, trusts, pharmaceutical supplier invoices, Claim Detail Reports, property deeds, powers of attorney, conservatorships, State Controller warrants, patient files, prescription slips, and resident trust accounts that have significant criminal activity.

20% Serves search warrants in accordance with Penal Code section 830.13 and participates in search warrants; interviews victims, witnesses, suspects and experts; serves legal documents such as subpoenas, and testifies in criminal and civil hearings. Conducts on-site inspections.

10% Participates in meetings and interviews with investigative, legal and managerial staff, as well as various state and allied government agencies. Assists in the development of investigative and prosecution strategies and methodologies for assessing and implementing investigative strategies as to accounting and financial matters.

5% Provides training regarding identifying and reporting fraud and fiduciary abuse with the use of auditing techniques and procedures to Division staff and various state and allied governmental agency personnel.

5% Other duties such as, but not limited to, performing special projects and tasks as required.

I have read and understand the essential functions and typical physical demands required of this job (please check one of the boxes below regarding a Reasonable Accommodation):

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- I am able to complete the essential functions and typical physical demands of the job, but will require a reasonable accommodation. I will discuss my reasonable accommodation request with my supervisor.
- I am unable to perform one or more of the essential functions and typical physical demands of the job, even with a reasonable accommodation.
- I am not sure that I will be able to perform one or more of the essential functions and typical physical demands of the job, and will discuss the functional limitations I have with my supervisor.

Printed Name

Date

Printed Name

Date

Employee's Signature

Supervisor's Signature