

**POSITION DUTY STATEMENT**

DOT PM-0924 (REV 01/2025)

CLASSIFICATION TITLE Senior Management Auditor	OFFICE/BRANCH/SECTION Independent Office of Audits and Investigations	
WORKING TITLE Senior Management Auditor	POSITION NUMBER 900-097-4161-XXX	REVISION DATE 10/14/25

As a valued member of the Caltrans team, you make it possible to improve lives and communities through transportation.

**GENERAL STATEMENT:**

Under the direction of the Supervising Management Auditor, the incumbent plans, organizes, and directs staff who perform varied and complex audits and other audit services of the Department, other State agencies, local governments, and commercial contractors. The incumbent will act as a first line supervisor of a team of auditors, and is responsible for providing supervision and technical guidance to ensure audit production and quality are attained.

**CORE COMPETENCIES:**

As a Senior 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.

**TYPICAL DUTIES:**

Percentage		Job Description
Essential (E)/Marginal (M) <sup>1</sup>		
40%	E	Supervises staff in the conduct of audit engagements; adheres and updates uniform policies; manuals, and procedures; provides leadership and guidance. Assures compliance with applicable standards; quality control; monitors and update audit activity reports; reviews work and reports for accuracy and completeness; and assure efficient use of resources. Provides day to day guidance to staff, and administers personnel duties as needed. Provides field supervision and on-the-job training to staff. Performs first level reviews of all work products. Develop and produces written documents, such as audit reports.
30%	E	Works with the Supervising Management Auditor to assign and work closely with staff to complete audits. Provides guidance and direction and participate in all phases of the audit process. Monitor and report progress of assignments, and make or recommend plan changes as necessary to Supervising Management Auditor.
15%	E	Evaluate staff's work performance and prepares performance evaluations. Identify training needed for each staff and ensure staff receive identified training. Prepare and submit other reports and analyses as directed by IOAI management.
10%	E	Function as a liaison between IOAI and external audit entities and/or Department programs. Initiate changes to work plan as a result of federal and State legislation, laws, regulations and policies. Perform other special projects as required.
5%	M	Performs other routine required tasks related to on-going IOAI's audit activities such as time reports, travel reports, training, staff meetings, expectation documents, and policies and procedures.

<sup>1</sup>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**

Directly oversee staff in the conduct of audit engagements or business intelligence activities including monitoring and reviewing staff work products. Prepare and administer periodic performance evaluations for staff and provide guidance to staff on their performance of work on an ongoing basis including development of staff and succession planning. Ensure staff have adequate training opportunities to maintain and enhance their skills in compliance with generally accepted auditing standards.

**KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS**

Knowledge of:

1. Elementary Statistics
2. Organization and management in the public and private sector, current trends, and problems in governmental management.
3. Principles of Information Technology Systems, the uniform accounting system, and the financial organization and procedures of the State of California, policies, rules and regulations of the Legislature, State Controller, State Treasurer, Department of Finance, and central control agencies as they relate to State agency financial and program management activities.

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4. Principles and techniques of personnel management and supervision.
5. Methods of auditing through Information Technology Systems.
6. Principles and practices of Generally Accepted Accounting Principles (GAAP); Generally Accepted Government Auditing Standards (GAGAS), probability sampling, audit practices, techniques, and methods.
7. Program Budgeting.
8. Organization and management of a broad range of state agencies.
9. Group leadership techniques.
10. Program planning and evaluation.
11. Department's Equal Employment Opportunity Objectives
12. A manager's role in the equal employment opportunity program.

### Ability to:

1. Plan, organize, and direct the work of a group of auditors over a variety of complex, technical management engagements and assume responsibility for complex audit studies.
  2. Work effectively with staff and top level managers of State agencies and other organizations.
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### RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Incumbent is responsible for planning, organizing, and directing audits or business intelligence activities. Also, the incumbent functions as a liaison between IOAI and external entities and communicates to discuss sensitive issues, concerns, and audit results. Therefore, it is critical that the Senior Management Auditor make sound decisions in planning, organizing, and directing the audit or business intelligence activities, 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.

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### PUBLIC AND INTERNAL CONTACTS

Regularly contacts, meets, and coordinates with stakeholders at all levels, both private and governmental. Requires contact and coordination with state agency managers and employees at all levels, private contractors and grantees, professional groups, and legislative staff.

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### PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

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. The work may occasionally require bending, kneeling, and lifting up to 15 pounds. The incumbent may also need to stand for long periods of time while presenting or facilitating.

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### 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.)

I agree that by providing my electronic signature for this form, I agree to conduct business transactions by electronic means and that my electronic signature is the legal binding equivalent to my handwritten signature. I hereby agree that my electronic signature represents my execution or authentication of this form, and my intent to be bound by it.

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EMPLOYEE (Print)

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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.

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SUPERVISOR (Print)

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SUPERVISOR (Signature)

DATE