DEPARTMENT OF JUSTICE
PUBLIC RIGHTS DIVISION
CONSUMER PROTECTION SECTION
DUTY STATEMENT

NAME:
CLASSIFICATION: Investigative Auditor II

STATEMENT OF DUTIES: Under the close direction of the Investigative Auditor IV (Supervisor), the Investigative Auditor II (IA II) performs routine and simple desk and/or field audits of companies to detect fraud, diversion of assets, or mismanagement in relation to unfair and unlawful business practices. Also, performs minor compliance audits of registrants in the Seller of Travel program mandated under Business and Professions Code section 17550, et seq. The IA II assists with interviews of suspects and financial institution employees, assists law enforcement personnel in writing subpoenas and search and seizure warrants. Successful completion of Penal Code 832 Arrest, Search and Seizure training is required. Recommends corrective action to enforce compliance with the laws, rules and regulations administered by the Department of Justice.

SUPERVISION RECEIVED: Under the close direction of the Investigative Auditor IV (Supervisor). May receive direction from the Senior Assistant Attorney General, and/or Supervising Deputy Attorneys General, Consumer Protection Section.

SUPERVISION EXERCISED: None.

TYPICAL PHYSICAL DEMANDS: May be required to sit at a computer terminal while performing audits, and other duties for up to 6 to 9 hours per day. May use calculator extensively during audits. Ability to lift up to 25 lbs. may also be required. May be required to travel as necessary.

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

ESSENTIAL FUNCTIONS:

40% Examines and analyzes smaller or less complex financial records, computerized business and accounting records, public records, law enforcement reports and other records to determine the source and application of funds. Also, conducts minor field audits of Seller of Travel businesses and trust accounts. Assists in larger field audits.

20% Reconstructs less complex financial records when needed, correlates new information with existing information, and prepares audit reports when requested to be used by legal staff in determining whether to pursue a legal action.

20% Assists Deputy Attorneys General and other law enforcement personnel with civil and criminal investigations. Goes into the field and takes written and oral statements, obtain signatures on declarations, and serve subpoenas. Uses Spanish language skills to speak with business owners, employees and consumers, as well as translating documents and interviewing consumers.

10% Assists with preparation of affidavit in support of search and arrest warrant. May serve search warrants in accordance with Penal Code 830.13. May testify in both civil and criminal hearings and trials, including jury trials.

5% Performs miscellaneous auditor tasks, such as prepares correspondence and participates in travel and consumer outreach events.

5% Explains provisions of Seller of Travel Act to law enforcement officers and Sellers of Travel.

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.

Name	Date	Name	Date
Investigative Auditor		Supervising Investigative Auditor	

DEPARTMENT OF JUSTICE
PUBLIC RIGHTS DIVISION
CONSUMER PROTECTION SECTION
DUTY STATEMENT

NAME:
CLASSIFICATION: Investigative Auditor III

STATEMENT OF DUTIES: Under the general direction of the Investigative Auditor IV (Supervisor), the Investigative Auditor (IA) III performs complex desk and/or field audits of companies to detect fraud, diversion of assets, or mismanagement in relation to unfair and unlawful business practices, consumer mortgage and financial transactions, and other consumer fraud. Also, independently conducts difficult audits of registrants in the Seller of Travel program mandated under Business and Professions Code section 17550, et seq. The IA III interviews suspects, witnesses, and financial institution employees, assists law enforcement personnel in writing subpoenas and warrants, and helps prepare cases for prosecution. Being or becoming qualified to testify at preliminary hearings, including through successful completion of Penal Code 832 Arrest, Search and Seizure training or other POST training courses as necessary, is required. Prepares detailed audit and investigative reports and makes the appropriate recommendations related to civil and criminal investigations. Advices attorneys and investigators on accounting matters. Assists in planning financial audits and investigations. Recommends corrective action to enforce compliance with the laws, rules, and regulations administered by the Department of Justice

SUPERVISION RECEIVED: Under the general direction of the Investigative Auditor IV (Supervisor). May receive direction from the Senior Assistant Attorney General, Consumer Protection Section, and/or Supervising Deputy Attorneys General.

SUPERVISION EXERCISED: None.

TYPICAL PHYSICAL DEMANDS: May be required to sit at a computer terminal while performing audits, research, and other duties for up to 6 to 9 hours per day. May use a calculator and/or laptop computers extensively during audits. Ability to lift up to 25 lbs. may also be required. May be required to travel as necessary.

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

ESSENTIAL FUNCTIONS:

30% Detects fraud, irregularities and diversion of assets related to unfair and unlawful business practices, issues involving consumer mortgage and financial transactions, and other consumer fraud. Conducts complex audits of Seller of Travel businesses and trust accounts. Independently examines and analyzes financial records, computerized business and accounting records, public records, law enforcement reports, and other records to determine the source and application of funds. Drafts reports, interviews witnesses, and assists in the preparation of cases for prosecution.

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20% Reconstructs complex financial records when needed, correlates new information with existing information, and prepares detailed audit reports when requested to be used by legal staff in determining whether to pursue a legal action.

20% Assists with investigations by providing consultation before, during, and after the investigative phase of an audit. Reviews evidence in civil and criminal cases. Participates in meetings and depositions. Makes appropriate recommendations related to civil and criminal investigations. Goes into the field and takes written and oral statements, obtain signatures on declarations, and serve subpoenas and warrants.

20% Prepares affidavit in support of search and arrest warrants. May serve search warrants in accordance with Penal Code 830.13. Prepares detailed reports, spread sheets and charts required to support testimony in court. Qualifies as an expert witness and testifies in both civil and criminal hearings and trials, including preliminary hearings and jury trials. Develops and administers restitution plans.

5% Performs miscellaneous auditor tasks, such as developing audit procedures, updating audit programs, and preparing various types of correspondence.

5% Explains provisions of the Seller of Travel Act to law enforcement officers and Sellers of Travel; advises section staff on technical investigative accounting matters.

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.

Name Date Investigative Auditor	Name Date Supervising Investigative Auditor

DEPARTMENT OF JUSTICE
PUBLIC RIGHTS DIVISION
CONSUMER PROTECTION SECTION
DUTY STATEMENT

NAME:
CLASSIFICATION: Investigative Auditor IV (Specialist)

STATEMENT OF DUTIES: Under the general direction of the Investigative Auditor IV (Supervisor), the IA IV independently performs the most complex desk and/or field audits of companies to detect fraud, diversion of assets, or mismanagement in relation to unfair and unlawful business practices and consumer mortgage and financial transactions. Conducts the most difficult audits of registrants in the Seller of Travel program mandated under Business and Professions Code section 17550, et seq. The IA IV interviews suspects and financial institution employees, and assists law enforcement personnel in writing subpoenas and search and seizure warrants. Successful completion of Penal Code 832 Arrest, Search and Seizure training is required. Prepares detailed audit reports and makes the appropriate recommendations related to civil and criminal investigations. May serve as a lead to other auditors in the unit.

SUPERVISION RECEIVED: Under the general direction of the Investigative Auditor IV (Supervisor). May receive direction from the Senior Assistant Attorney General, Consumer Protection Section, or Supervising Deputy Attorneys General.

SUPERVISION EXERCISED: None.

TYPICAL PHYSICAL DEMANDS: May be required to sit at a computer terminal while performing audits, research, and other duties for up to eight hours a day. May use a calculator and/or laptop computers extensively during audits. Ability to lift up to 25 lbs. may also be required. May be required to travel as necessary.

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

ESSENTIAL FUNCTIONS:

25% Detects fraud, irregularities, and diversion of assets related to unfair and unlawful business practices and issues involving mortgage and financial transactions. Conducts the most complex audits of Seller of Travel businesses and trust accounts. Independently examines and analyzes financial records, computerized business and accounting records, public records, law enforcement reports, and other records to determine the source and application of funds.

20% With the highest level of expertise, independently reconstructs the most difficult and complex financial records when needed, correlates new information with existing information, and prepares audit reports when requested to be used by legal staff in determining whether to pursue legal action.

20% Provides the highest level of technical expertise in audits and investigations. Makes appropriate recommendations related to civil and criminal investigations. Goes into the field and takes written and oral statements, obtains signatures on declarations, and serves subpoenas.

20% Prepares affidavits in support of search and arrest warrants. May serve search warrants in accordance with Penal Code 830.13. Prepares detailed reports, spread sheets, and charts required to support testimony in court. Qualifies as an expert witness and testifies in both civil and criminal hearings and trials, including jury trials. Develops and administers restitution plans.

10% Performs as lead auditor for complex or sensitive audits requiring the assignment of more than one auditor. Develops audit objectives, policies, plans, and procedures for the section.

5% Explains provisions of the Seller of Travel Act to law enforcement officers and Sellers of Travel; advises section staff on technical investigative accounting matters. May train subordinate auditors as needed.

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.

Name Date	Name Date
Investigative Auditor IV (Specialist)	Supervising Investigative Auditor