



# INVESTIGATIVE AUDITOR IV (SUPERVISOR)

<b>EXAM CODE:</b>	9JU10
<b>EXAM TYPE:</b>	DEPARTMENTAL – PROMOTIONAL
<b>LOCATION(S):</b>	STATEWIDE
<b>BULLETIN RELEASE DATE:</b>	WEDNESDAY, JULY 17, 2019
<b>FINAL FILING DATE:</b>	WEDNESDAY, JULY 31, 2019
<b>SALARY INFORMATION:</b>	\$5,917 - \$7,719*
	<i>*The salaries used in this bulletin are the latest available from the state controller's office, but may not reflect the most recent salary adjustment.</i>
<b>CLASS &amp; SCHEM CODE:</b>	4226 / JE20

## EQUAL EMPLOYMENT & DRUG FREE STATEMENTS

The state of California is an equal opportunity employer to all, regardless of age, ancestry, color, disability (mental and physical), exercising the right to family care and medical leave, gender, gender expression, gender identity, genetic information, marital status, medical condition, military or veteran status, national origin, political affiliation, race, religious creed, sex (includes pregnancy, childbirth, breastfeeding and related medical conditions), and sexual orientation.

It is the objective of the state of California to achieve a drug-free state work place. Any applicant for state employment will be expected to behave in accordance with this objective because the use of illegal drugs is inconsistent with the law of the state, the rules governing civil service and the special trust placed in public servants.

## WHO CAN APPLY

Persons who meet the minimum qualifications by the announced final filing date. Applicants must have a permanent civil service appointment with the Department of Justice within three years of the final filing date in order to take this examination. Employees who have limited-term appointments in the department for which the examination is being given (provided they have had a permanent appointment and no subsequent break in service) are allowed to participate in departmental promotional examinations in the department. Otherwise, employees must be:

- 1) A current or former employee of the legislature for two or more years as defined in government code (GC) section 18990; OR
- 2) A current or former non-elected exempt employee of the executive branch with two or more consecutive years (excluding those positions for which salaries are set by statute) as defined in GC section 18992; OR
- 3) Persons retired from the united states military, honorably discharged from active military duty with a service-connected disability, or honorably discharged from active duty as defined in GC section 18991.



## SPECIAL TESTING ARRANGEMENTS

If you are an individual with a disability and need reasonable accommodation to participate in this examination, please mark the box in question #2 on the "examination application." You will be notified in writing to determine what assistance can be provided.

## ELIGIBLE LIST INFORMATION

A departmental promotional eligible list will be established for the Department of Justice. The list will be abolished 12 months after it is established, unless the needs of the service and conditions of the list warrant a change in this period.

## FINAL FILING DATE

**WEDNESDAY, JULY 31, 2019**

Examination applications (form STD 678) must be postmarked (U.S. mail) or personally delivered no later than the final filing date. Applications must have an original signature. Applications without original signature will be rejected from the examination. Please Note that dates printed on Mobile Bar Codes, such as the Quick Response (QR) Codes available at the USPS, are not considered Postmark dates for the purpose of determining timely filing of an application.

**APPLICATIONS POSTMARKED OR PERSONALLY DELIVERED AFTER THE FINAL FILING DATE WILL NOT BE ACCEPTED FOR ANY REASON.**

## MINIMUM QUALIFICATIONS

### EITHER I

One year of experience in the California state service performing professional investigative auditing duties as an Investigative Auditor III or experience performing professional auditing duties in a class equivalent in level and type to an Investigative Auditor III.

### OR II

Four years of increasingly responsible professional investigative auditing experience including at least one year supervising a variety of complex investigative audits. (Experience in the California state service applied toward this requirement must include at least one year of experience at the level of responsibility equivalent to an Investigative Auditor III.)

### AND

1. Equivalent to graduation from college, with specialization in accounting. **OR**
2. Completion of a prescribed professional accounting curriculum given by a residence or correspondence school of accounting including courses in elementary and advanced accounting, auditing, cost accounting, and business law. **OR**
3. Completion of the equivalent of 19 semester hours of course work, including 16 semester hours of professional accounting courses given by a collegiate-grade residence institution including courses in elementary and advanced accounting, auditing and cost accounting, and three semester hours of business law (Evidence of successful completion of the curriculum and the prescribed courses must be presented before appointment can be completed.)



## DEFINITION OF TERMS

**“Professional accounting curriculum”** means accounting courses and not those electives that accounting students choose in addition to required courses they are working to obtain a(n): Associate's Degree, or Bachelor's Degree in Accounting.

**“Performing the duties of...”** means the applicant must have the amount of experience in State service in the class specified (or on a training and development (T&D), limited term, or approved out-of-classes assignment to the class).

**“Duties in a class equivalent in level and type....”** means the applicant must have State service experience of appropriate **type** and **length** in a class at the same (or higher) level of responsibility, and/or pay as the class specified. The analyst will make the determination if the duties are qualifying.

**“Equivalent to graduation from college...”** means the applicant must have satisfied the requirements for a bachelor's degree from an accredited college. The applicant must show a receipt of a bachelor's degree.

## POSITION DESCRIPTION

This is the supervisory level in this class series. Under general direction, incumbents will either (1) supervise a group of auditors (3-5) performing audits in a geographic field office, or (2) supervise the work of auditors who conduct evaluations of controls in electronic data processing systems.

Positions exist in Los Angeles, Sacramento, San Diego, and San Francisco

## EXAMINATION INFORMATION

In order to obtain a position on the eligible list, applicants must receive a minimum rating of 70% on the examination. This exam will consist of the following:

### PERFORMANCE EXERCISE - 70%

The performance exercise consists of candidates completing tasks that simulate those performed on the job. Candidates' responses will be evaluated by a panel of Subject Matter Experts against job-related scoring criteria.

### QUALIFICATION APPRAISAL PANEL (QAP) - 30%

The QAP consists of an oral interview that will contain a set of job-related questions. Candidates will be provided a copy of the interview questions to review and take notes for a period of time before entering the interview room. Candidates' verbal responses will be evaluated by a panel of Subject Matter Experts against job-related scoring criteria.

## TEST DATE

It is anticipated that the test will be conducted the weeks of **September 9<sup>th</sup>**, **September 16<sup>th</sup>**, and **September 23<sup>rd</sup>**. Testing locations will be determined based on the applicant pool.



## KNOWLEDGE, SKILLS, & ABILITIES

The **Performance Exercise and Qualification Appraisal Panel** will measure the following:

### KNOWLEDGE OF:

1. Arithmetic, statistics and their applications.
2. Business and management principles involved in strategic planning, resource allocation, and leadership technique.
3. Corrective action(s) and progressive disciplinary techniques to provide appropriate coaching and counseling over the work performance of subordinate employees.
4. Economic, auditing and accounting principles and practices.
5. Effective supervisory principles, practices and techniques to appropriately oversee and direct the work activities of subordinate staff.
6. Electronic databases and other electronic information sources.
7. Equal employment opportunity regulations and objectives in making hiring and employment decisions.
8. Research and information gathering techniques.
9. Spreadsheet and word processing software.
10. The English language including the meaning and spelling of words, rules of composition and grammar.
11. The resources available to assist staff efforts in meeting goals and objectives
12. The state hiring process
13. What information should be considered confidential.

### ABILITY TO:

1. Add subtract multiply or divide quickly and correctly.
2. Analyze large amounts of information to obtain an accurate conceptualization of a complex situation.
3. Apply analytical skills to fraudulent/illegal financial schemes or transactions.
4. Attend to details.
5. Choose the right mathematical methods or formulas to solve a problem.
6. Combine pieces of information to form general rules or conclusions (includes finding a relationship among seemingly unrelated events).
7. Concentrate for extended periods of time.
8. Establish and maintain cooperative working relationships with those contacted in the course of the work.
9. Explain complex terms, concepts and situations to laypersons.
10. Plan and present training sessions.
11. Preserve the confidentiality of sensitive information.
12. Recognize when something is wrong or is likely to go wrong.
13. Work independently or in a team environment.

### SKILL TO:

1. Communicate effectively orally and in writing as appropriate for the needs of the audience (eg. attorneys juries etc.).
2. Coordinate one's actions in relation to others' actions.
3. Develop a plan of action for a project that includes all necessary details and places each step in proper order.
4. Give full attention and understand complex points, while asking questions when appropriate.
5. Judge the relative costs and benefits of potential actions and to choose the most appropriate one.
6. Lead coworkers in a team to complete projects or objectives.
7. Manage one's own time and the time of others.
8. Organize, direct and oversee the work of subordinate staff.
9. Plan organize and monitor own workload.
10. Read and comprehend written sentences and paragraphs in work related documents.
11. Talk to others to convey and extract information effectively.
12. Understand the implications of new information for both current and future problem-solving and decision-making.
13. Use logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions or approaches to problems.
14. Skill to use mathematics to solve problems.



## ADDITIONAL EXAMINATIONS

### BACKGROUND INFORMATION:

Pursuant to Government Code Section 1031, persons successful in peace officer examinations shall be required to undergo a thorough background investigation prior to appointment. Persons who have previously undergone a Department of Justice background investigation may be required to undergo an additional background investigation. Information collected for the background investigation after the examination will require you to divulge arrest and/or conviction information on the background investigation documents at the time of employment, but is not required of you at this time. The information you furnish will be used to help determine your suitability for employment with the Department of Justice. Under Section 432.7(e) of the Labor Code, persons seeking employment with the Department of Justice may be asked to disclose arrest or detention information regardless of whether or not the arrest or detention resulted in conviction, referral, or participation in diversion programs. Department of Justice Regulations require, as a minimum, preemployment investigations consisting of fingerprinting, inquiry to local, State, and national files to disclose criminal records, verification of minimum qualifications (i.e., college transcripts), financial status, previous employment background, and personal interviews to determine applicant's suitability for employment.

Any applicant for a State civil service examination for a peace officer class who discloses, or whose background investigation reveals, use of a drug for which possession would constitute a felony offense under the Uniform Controlled Substances Act (Health and Safety Code, division 10, beginning at 11000) subsequent to his or her eighteenth birthday and prior to his or her twenty third birthday, shall be disqualified from the examination in which he or she is competing until 5 years have elapsed from the date of the disclosed or revealed use of the drug; and shall not be eligible to take any State civil service examination for a peace officer class until 5 years have elapsed from the date of the disclosed or revealed use.

If any such disclosed or revealed use occurred on or after the applicant's twenty-third birthday, he or she shall be disqualified from the examination in which he or she is competing until 10 years have elapsed from the date of the disclosed or revealed use of the drug; and shall not be eligible to take any State civil service examination for a peace officer class until 10 years have elapsed from the date of the disclosed or revealed use. The disqualification period shall begin on the date that the drug was used, and not on the date that the drug use was disclosed or revealed.

## SPECIAL CHARACTERISTICS

### PERSONAL CHARACTERISTICS:

Ability to qualify for a fidelity bond; a willingness to travel away from the headquarters or area office; willingness to work long hours. Applicants for positions with the Bureau of Narcotic Enforcement must also possess a valid driver's license of the appropriate class issued by the Department of Motor Vehicles.

### ADDITIONAL DESIRABLE QUALIFICATIONS:

In appraising the relative qualifications of candidates, consideration will be given to the extent and type of pertinent education beyond that required under "Minimum Qualifications", and to any prior training and experience in financial investigations.



## VETERANS' PREFERENCE

Veterans' preference **does not** apply for this examination.

## CAREER CREDITS

Career credits **do not** apply for this examination.

## FILING INSTRUCTIONS

To apply for this examination, please complete and return the following:

- [Standard State Employment Application \(Form STD 678\)](#)
- [Conditions of Employment \(Form 631\)](#)
- Official school transcripts (if applicable to meeting minimum qualifications): *Candidates unable to obtain official transcripts before the final filing date may submit unofficial transcripts for the examination process. However, candidates will be required to submit official transcripts upon appointment to a position.*

### MAILING ADDRESS:

DEPARTMENT OF JUSTICE  
TESTING & SELECTION UNIT  
ATTN: INVESTIGATIVE AUDITOR IV (SUPERVISOR)  
EXAMINATION  
P.O. BOX 944255  
SACRAMENTO, CA 94244-2550

### FILE-IN-PERSON:

DEPARTMENT OF JUSTICE  
TESTING & SELECTION UNIT  
ATTN: INVESTIGATIVE AUDITOR IV (SUPERVISOR)  
EXAMINATION  
1300 "I" STREET, 7<sup>th</sup> FLOOR RECEPTIONIST  
SACRAMENTO, CA 95814

## DO NOT SUBMIT APPLICATIONS

- **TO THE CALIFORNIA DEPARTMENT OF HUMAN RESOURCES (CalHR)**
- **THROUGH EMAIL**
- **THROUGH FAX**
- **THROUGH INTER-AGENCY MAIL**

## CONTACT INFORMATION

Any questions regarding the minimum qualifications, applying for the examination, being scheduled for the examination, reasonable accommodations, the examination components, scoring, etc., may be directed to the contact information below:

**PHONE NUMBER:** 916-210-6021  
**FAX NUMBER:** 916-445-1218  
**EMAIL ADDRESS:** [TSU@DOJ.CA.GOV](mailto:TSU@DOJ.CA.GOV)



## State of California, Department of Justice ~ Examination Bulletin

### GENERAL INFORMATION

The Department of Justice reserves the right to revise the examination plan to better meet the needs of the service if the circumstances under which this examination was planned change. Such revision will be in accordance with civil service laws and rules and all candidates will be notified.

It is the Candidate's Responsibility to contact the Department of Justice, seven days prior to the test date if he/she has not received his/her notice. For an examination without a written feature it is the candidate's responsibility to contact the Department of Justice, 916-210-6021, TDD (916) 952-8396 three weeks after the final filing date if he/she has not received a progress notice.

If a candidate's notice of oral interview or performance test fails to reach him/her prior to the day of the interview due to a verified postal error, he/she will be rescheduled upon written request.

Applications are available at California Department of Human Resources Offices ([www.jobs.ca.gov](http://www.jobs.ca.gov)), and local Offices of the Employment Development Department ([www.edd.ca.gov](http://www.edd.ca.gov)).

If you meet the requirements stated on the reverse, you may take this examination, which is competitive. Possession of the entrance requirement does not assure a place on the eligible list. Your performance in the examination described on the other side of this bulletin will be compared with the performance of the others who take this test, and all candidates who pass will be ranked according to their scores.

**Examination Locations:** Tests will be given in such places in California as the number of candidates and conditions warrant. Tests are not always given where positions currently exist.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub divisional promotional, 2) departmental promotional, 3) multi departmental promotional, 4) service wide promotional, 5) departmental open, 6) open. When there are two lists of the same kind, the older list must be used first. Eligible lists will expire in from one to four years unless otherwise stated on this bulletin.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and the ability to work cooperatively with others; and a state of health consistent with the performance of the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment records and personal history and fingerprinting may be required.

**Interview Scope:** If an interview is conducted, in addition to the scope described on the other side of this bulletin, the panel will consider education, experience, personal development, personal traits and fitness. In appraising experience, more weight will be given to the breadth of pertinent experience and evidence of the candidate's ability to accept and fulfill increasing responsibilities than to the length of his/her experience. Evaluation of a candidate's personal development will include consideration of his/her recognition of his/her own training needs; his/her plans for self-development; and the progress he/she has made in his/her efforts toward self-development.

**Veterans Preference:** Pursuant to Government Code Section 18973.1, effective January 1, 2014, as follows: 1. Any veteran, widow or widower of a veteran, or spouse of a 100 percent disabled veteran, who achieves a passing score in an entrance examination, shall be ranked in the top rank of the resulting eligibility list. Any veteran who has been dishonorably discharged or released is not eligible for veteran's preference. 2. An entrance examination is defined, under the law, as any open competitive examination. 3. Veterans Preference is not granted once a person achieves permanent civil service status.

**High School Equivalence:** Equivalence to completion of the 12<sup>th</sup> grade may be demonstrated in any one of the following ways: 1) passing the General Education Development (GED) Test; 2) completion of 12 semester units of college-level work; 3) certification from the State Department of Education, a local school board, or high school authorities that the candidate is considered to have education equivalent to graduation from high school; or 4) for clerical and accounting classes, substitution of business college work in place of high school on a year-for-year basis.

**Career Credits:** In open, non-promotional examinations, career credits are granted to: 1) State employees with permanent civil service status, 2) full-time employees of the State who are exempt from State civil service pursuant to the provisions of Section 4 of Article VII of the California Constitution, and who meet all qualification requirements specified by the Board and have 12 consecutive months of service in an exempt position, and 3) individuals who have served one full year in, or are graduates of, the California Conservation Corps (eligibility shall expire 24 months after graduation from the California Conservation Corps). Three points are added to the final test score of those candidates who meet the above criteria, and who are successful in the examination. Such examinations cannot be for managerial positions described in Government Code Section 3513. Competitors not currently employed in State civil service who have mandatory reinstatement rights may also be eligible for career credits, but they must explain their civil service status in the appropriate section of the application Form 100-678. (Section 4 of article VII of the California Constitution is posted at the State Personnel Board, 801 Capitol Mall, Sacramento)

Department of Justice, Office of the Attorney General  
Office of Human Resources, Testing & Selection Unit  
1300 I Street, Sacramento, CA 95814  
916-210-6021

If hearing impaired, call the California Relay Service.  
1-800-735-2929 (From TDD Phone)  
1-800-735-2922 (From Voice Phone)

TDD is Telecommunications Device for the Deaf and is reachable only from telephones equipped with a TDD device.





DEPARTMENT OF JUSTICE  
INVESTIGATIVE AUDITOR IV (SUPERVISOR)  
DEPARTMENTAL PROMOTIONAL  
STATEWIDE

CONDITIONS OF EMPLOYMENT  
FORM 631  
IDENTIFICATION #: \_\_\_\_\_  
(Personnel Office Use ONLY)

NAME \_\_\_\_\_ (PLEASE PRINT)  
Last First M.I.

If you are successful in the above examination, your name will be placed on the active list and certified to fill vacancies according to the conditions you have specified on this form.

Note: The location of offices may vary depending on the hiring Department.

\*\*\*\*\*

PLEASE SELECT YOUR CHOICE(S) INDICATING LOCATION(S) YOU ARE WILLING TO WORK:

- \_\_\_ Fresno (1000)
- \_\_\_ Los Angeles (1900)
- \_\_\_ Orange (3000)
- \_\_\_ Sacramento (3400)
- \_\_\_ San Diego (3700)
- \_\_\_ San Francisco (3800)

\*\*\*\*\*

PLEASE INDICATE THE TYPE OF APPOINTMENT(S) YOU WILL ACCEPT

Please Check Your Choice(s):

- \_\_\_ (D) Permanent - full time only.
- \_\_\_ (R) Permanent - part time or intermittent.  
Temporary - full time, part time, or intermittent.
- \_\_\_ (A) All of the above

\*\*\*\*\*

NOTE: PLEASE NOTIFY THE DEPARTMENT OF JUSTICE/ TESTING AND SELECTION UNIT, IN WRITING, OF ANY CHANGE IN YOUR ADDRESS OR AVAILABILITY FOR EMPLOYMENT.

DEPARTMENT OF JUSTICE  
TESTING & SELECTION OFFICE  
1300 "I" STREET  
SACRAMENTO, CA 95814