



INVESTIGATIVE AUDITOR III

EXAM CODE:	2JUAM
EXAM TYPE:	OPEN – CONTINUOUS – STATEWIDE
SALARY INFORMATION:	\$4829 - \$6350*
CLASS & SCHEM CODE:	4215 / JE24

**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.*

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.

CONTINUOUS TESTING

The testing office will accept examination packets continuously throughout the year, however, the packets will only be processed during the current administration period. Generally, this examination is administered **biannually, in February and August** although this is subject to change based on testing needs. Applications will be reviewed to ensure the minimum requirements for participation in this exam are met. Possession of the entrance requirements does not assure a place on the eligible list. Once you have taken the examination, you may not retest for **12 months** from the established list date.

WHO CAN APPLY

Persons who meet the minimum qualifications of the classification, as stated on this examination bulletin. All applicants must meet the education and/or experience requirements by the cut-off date as listed on the oag.ca.gov/careers website. All applications/resumes must include "to" and "from" employment dates (month/day/year), time-base, and applicable classification titles.

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

An open eligible list will be established for the Department of Justice. The names of successful competitors will be merged on the list in order of final scores, regardless of test date. Competitors' eligibility will expire **12 months** after it is established unless the needs of the service and conditions of the list warrant a change in this period.

CUT-OFF DATE

Examination applications (form STD 678) must be postmarked (U.S. mail) or personally delivered no later than the cut-off date located on the Examinations Page of the Office of Attorney General website (oag.ca.gov). Applications must also have an original signature.

APPLICATIONS POSTMARKED OR PERSONALLY DELIVERED AFTER THE CUT-OFF DATE WILL NOT BE PROCESSED UNTIL THE NEXT ADMINISTRATION (PLEASE SEE THE "CONTINUOUS TESTING" SECTION FOR MORE INFORMATION).

MINIMUM QUALIFICATIONS

ALL LEVELS:

Education: Either

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.)

EITHER I:

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

OR II:

II: Three years of increasingly responsible professional investigative auditing experience, including at least one year of experience conducting a variety of complex investigative audits. (Experience in the California state service applied toward this requirement must include at least one year performing the duties of a class with a level of responsibility equivalent to that of Investigative Auditor II.) and

Education: The educational requirements described above.

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 certificate: AA, or BA Degree in Accounting.

NOTE: Applicants **MUST** provide a copy of their college transcript(s) as proof of completion of the required course work. Transcript(s) **must be received** by the established cut-off date.



POSITION DESCRIPTION

This is the full journey level of the series. Under general direction, incumbents apply specialized laws, rules, regulations, investigative techniques and procedures required to effectively complete the audits assigned. Incumbents will independently perform difficult and complex investigative auditing duties and conduct difficult field investigations requiring a high level of technical expertise. Incumbents may serve as a lead-person over a team of auditors or auditors in a field office setting.

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 a training and experience examination, weighted 100% of your final score.

TRAINING AND EXPERIENCE EXAMINATION – 100%



KNOWLEDGE, SKILLS, & ABILITIES

The **Training and Experience examination** will measure the following:

KNOWLEDGE OF

1. GENERAL ACCOUNTING AND AUDITING PRINCIPLES AND PROCEDURES AND BUSINESS LAW.
2. GENERAL AND SPECIALIZED ACCOUNTING AND AUDITING PRINCIPLES AND PROCEDURES, GENERAL LAWS, RULES, REGULATIONS AND POLICIES ADMINISTERED BY THE DEPARTMENT OF JUSTICE.
3. FINANCIAL ORGANIZATIONS AND PRACTICES OF ORGANIZATIONS SUBJECT TO REGULATION BY THE DEPARTMENT OF JUSTICE.
4. FEDERAL RULES AND REGULATIONS GOVERNING THE PROGRAMS WITHIN THE DEPARTMENT OF JUSTICE.
5. PRINCIPLES OF ELECTRONIC DATA PROCESSING.
6. ELEMENTARY STATISTICS.
7. PLANNING, ORGANIZING AND DIRECTING AN AUDIT TO COMPLETION.

ABILITY TO

1. APPLY ACCOUNTING AND AUDITING PRINCIPLES AND PROCEDURES IN THE WORK PERFORMED.
2. PLAN, ORGANIZE AND CONDUCT A VARIETY OF AUDITS.
3. ANALYZE DATA AND DRAW SOUND CONCLUSIONS.
4. ANALYZE SITUATIONS ACCURATELY AND ADOPT AN EFFECTIVE COURSE OF ACTION.
5. PREPARE CLEAR, COMPLETE AND CONCISE REPORTS.
6. ESTABLISH AND MAINTAIN COOPERATIVE RELATIONSHIPS WITH THOSE CONTACTED IN THE WORK.
7. SPEAK AND WRITE EFFECTIVELY.
8. LEARN INVESTIGATIVE TECHNIQUES.
9. LEARN AND UNDERSTAND HOW TO ANALYZE DOCUMENTS OBTAINED FROM FINANCIAL INSTITUTIONS.
10. LEARN TO UNDERSTAND THE DIFFERENCE BETWEEN BUSINESS AND INVESTMENTS PROGRAMS FAILING BECAUSE OF FRAUDULENT ACTIVITIES OR POOR BUSINESS PRACTICES.
11. LEARN AND APPLY AND FEDERAL AND STATE LAWS, RULES AND REGULATIONS DEALING WITH CHARITABLE TRUSTS, EMBEZZLEMENT, TAX EVASION, MAIL FRAUD, BANKRUPTCY FRAUD, MEDI-CAL FRAUD, PATIENT ABUSE AND DRUG DIVERSION VIOLATIONS, MAIL AND WIRE FRAUD, STATUTORY NOTICES OF DISSOLUTION, SELF-DEALING, MERGERS, SALE OR DISPOSAL OF ASSETS AND CONVERSION OF CORPORATE STATUS AND ASSET FORFEITURES AND ANY OTHER LAWS AND RULES ADMINISTERED BY THE DEPARTMENT OF JUSTICE.
12. INDEPENDENTLY PERFORM AUDIT WORK ON DIFFICULT AND COMPLEX MATTERS.
13. CONDUCT DIFFICULT INVESTIGATIONS REQUIRING A HIGH LEVEL OF TECHNICAL EXPERTISE.
14. DETERMINE PROBABLE CAUSE TO SEIZE ASSETS.
15. ANALYZE PROBATE DOCUMENTS AND TRUST ACCOUNTING.
16. ANALYZE COMPLEX INVESTMENT SCHEMES SUCH AS TAX SHELTERS, LIMITED PARTNERSHIPS, INVOLVING COMMODITIES AND REAL ESTATE.
17. TRACK COMPLEX BANKING ACTIVITY WHERE FUNDS RECEIVED FROM ILLEGAL ACTIVITIES ARE MOVED THROUGH MANY ACCOUNTS.
18. TRACK PROGRAM INFORMATION ON AN ELECTRONIC DATA PROCESSING SYSTEM.
19. USE A COMPUTER TO ANALYZE LARGE AMOUNTS OF FINANCIAL DATE TO DETERMINE IF ILLEGAL ACTIVITY TRANSPIRED.

ADDITIONAL REQUIREMENTS

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 prior to appointment. Department of Justice regulations may require, as a minimum, pre-employment 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.



VETERANS' PREFERENCES

Veteran's preference credits will be awarded in this examination, 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.

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 APPLICATION \(FORM STD 678\)](#)
- [TRAINING AND EXPERIENCE EXAMINATION](#)
- OFFICIAL SCHOOL TRANSCRIPTS: Candidates unable to obtain official transcripts before the cut-off 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 III EXAM
P.O. BOX 944255
SACRAMENTO, CA 94244-2550

FILE-IN-PERSON:

DEPARTMENT OF JUSTICE
TESTING & SELECTION UNIT
ATTN: INVESTIGATIVE AUDITOR III EXAM
1300 "I" STREET, FIRST FLOOR LOBBY
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: 916-324-5039
FAX NUMBER: 916-445-1218
EMAIL ADDRESS: TSU@doj.ca.gov



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, three days prior to the written 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, 916-324-5039, 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), and local Offices of the Employment Development Department (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: When a written test is part of the examination, it will be given in such places in California as the number of candidates and conditions warrant. Ordinarily, interviews are scheduled in Sacramento, San Francisco, and Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

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 and recency of pertinent experience and evidence of the candidate's 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 12th 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
916-324-5039

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

TDD is Telecommunications Device for the Deaf and 2929 is for hearing only. Home telephones equipped with a TDD device.



California Department of Justice INVESTIGATIVE AUDITOR III, Department of Justice Training and Experience Questionnaire

This Training and Experience Questionnaire is the examination process for the classification of Investigative Auditor III, Department of Justice. The results of this examination will determine your placement on the hiring list for the classification should any open positions become available.

The assessment is a self-rating process. In the following pages, you will rate yourself on a series of statements designed to measure how your educational and work history has provided you the essential knowledge, skills, and abilities required to successfully perform in the Investigative Auditor III, Department of Justice position. **The overall assessment consists of three (3) sections.**

- Analysis and Investigations
- Communication
- Report Writing

The Training and Experience Questionnaire is the sole component of the Investigative Auditor II examination. All instructions should be read carefully and understood before completing this examination. Failure to do so may result in an inability to process your Training and Experience Questionnaire and disqualification from this examination. Please keep a copy of your completed questionnaire for your records.

If you have any questions regarding this questionnaire, please contact:

Testing and Selection Unit
(916) 324-5039
TSU@doj.ca.gov

How to take a T&E

What is a T&E?

A Training and Experience Questionnaire (T&E) is a way to measure the previous experience, training, and/or education that a candidate has that is relevant to the job for which the exam is being conducted.

T&Es are typically questionnaires that consist of a series of statements that represent qualities important for successful job performance. You will be asked to rate yourself on the experience, training, and education that you will bring to the job.

How do I rate myself?

Making judgments about your own level of skills or amount of experience can be a difficult task, but there are steps you can take to help increase the accuracy of your ratings.

- To start, pull together some important personal reference materials. You're most likely going to be asked to rate yourself based on your previous work experience. It can be difficult to accurately recall in detail the accomplishments you have achieved in your career. So take a moment to refresh your memory.
 - Pull out your resume and review it. Update it if you need to. Look over your previous positions and the tasks that you performed while in those positions.
 - Review past performance appraisals. These may contain development plans or details of projects that you completed in the past.
 - Look over your transcripts. Remind yourself of the courses that you have taken in your educational path. If there are educational requirements, you may be asked about specific courses that you took while pursuing your education.
 - Make a list of training courses and professional classes that you have taken throughout your career. Note any certifications that you may have achieved. Sometimes you may not have the previous work experience but you may have taken coursework that exposed you to similar knowledge or skills.
 - Read the questions and the response options carefully. Consider all your relevant training and experience.

How do I choose which rating best represents me?

- After you have reviewed some of your personal reference materials you should be in a pretty good position to rate yourself accurately.
 - Be honest. Don't diminish your accomplishments or the amount of time that you have put into your career. As you rate yourself, keep your personal resources next to you and refer to them as needed to refresh your memory.

Be truthful. Don't exaggerate what you have done. While it's common to want to present yourself to the best advantage, T&Es are of most use when your ratings are accurate. Rating yourself higher in certain experiences or indicating that you have more training than you do in actuality isn't necessarily going to result in a higher score. Often candidates' responses on the T&E questionnaire are confirmed during the hiring interview. Blatantly falsifying your employment history may lead to disciplinary action and/or removal from the employment list.

General Instructions/Affirmation Page

The Training and Experience Questionnaire is the sole component of the Investigative Auditor III, Department of Justice examination. To obtain a position on the eligible list a minimum score of 70% must be received. The instructions below should be read carefully and understood before completing this examination. Failure to do so may result in an inability to process your Training and Experience Questionnaire and disqualification from this examination.

All applicants **must complete and return the entire** Training and Experience Questionnaire in addition to a copy of their transcripts by the announced cut-off date to be considered for this examination process.

The completed Examination packet and a copy of your transcripts must be returned to one of the following addresses:

Mailing Address:

Department of Justice
Testing & Selection Unit
Attn: INV AUD III EXAM
PO Box 944255
Sacramento, CA 94244-2550

File in Person:

Department of Justice
Testing & Selection Unit
Attn: INV AUD III EXAM
1300 I Street, 1st Floor Lobby
Sacramento, CA 95814

I hereby certify that the information provided on this Training and Experience Questionnaire is true and correct to the best of my knowledge and contains no willful misrepresentations or falsifications. I also understand that if it is later discovered that I have made any false representations, I may be removed from the examination and/or the eligible list resulting from this examination, suffer loss of State employment, and/or suffer loss of right to compete in any future State examinations.

Your Signature: _____ Date: _____

Your Name (Printed): _____

Contact Information:

Address: _____

City, State, Zip _____

Phone Number: _____

Email Address: _____

Analysis and Investigations

A person working in the Investigative Auditor III classification must be able to look at large amounts of various types of data and find the information necessary to conduct a forensic investigation. An Investigative Auditor III will perform audits and investigations that have significant fraudulent activity requiring a large amount of reconstruction of financial records.

1. Please indicate which type of audit testing you have experience conducting. Choose as many as applicable.
 - a. Statistical sampling
 - b. Substantive testing
 - c. Internal control analysis
 - d. Analytical testing experience
 - e. Fraud detection
 - f. None of the above

2. How many years of professional experience do you have performing audits and/or investigations?
 - a. No experience
 - b. Less than six months experience
 - c. More than six months but less than one year
 - d. More than one year but less than three
 - e. More than three years but less than five
 - f. Five years or more

3. How many years of professional experience do you have performing substantive testing?
 - a. No experience
 - b. Less than six months experience
 - c. More than six months but less than one year
 - d. More than one year but less than three
 - e. More than three years but less than five
 - f. Five years or more

4. How many years of professional experience do you have performing analytical testing?
 - a. No experience
 - b. Less than six months experience
 - c. More than six months but less than one year
 - d. More than one year but less than three
 - e. More than three years but less than five
 - f. Five years or more

5. How many years of professional experience do you have performing internal control analysis?
 - a. No experience
 - b. Less than six months experience
 - c. More than six months but less than one year
 - d. More than one year but less than three
 - e. More than three years but less than five
 - f. Five years or more

6. How many years of professional experience do you have performing fraud detection?
- a. No experience
 - b. Less than six months experience
 - c. More than six months but less than one year
 - d. More than one year but less than three
 - e. More than three years but less than five
 - f. Five years or more
7. Which statement best describes your level of independence performing audits and/or investigations during the past two years?
- a. I have never performed an audit and/or an investigation
 - b. I have assisted in performing audits and/or investigations
 - c. I have performed most audits and/or investigations under direction or close supervision
 - d. I have performed most audits and/or investigations independently with minimal lead assistance
 - e. I have performed most audits and/or investigations independently

8. Which statement best describes the type of professional experience you have conducting financial statement analysis?
- a. No experience
 - b. I have reconciled accounts
 - c. I have examined financial statements
 - d. I have attestation experience
 - e. I have prepared financial statements
9. What type of experience do you have analyzing financial data?
- a. I have academic experience or on-the-job training analyzing financial data, but have not had the opportunity to apply it
 - b. I have limited professional experience analyzing financial data and would need close supervision
 - c. I have enough professional experience analyzing financial data so that I can perform it with assistance but not independently
 - d. I have sufficient professional experience analyzing financial data so that I can routinely perform it independently
 - e. I have extensive professional experience analyzing financial data so that I can lead or teach others on the subject

10. Choose which statement best describes how you most often use spreadsheet software such as Microsoft Excel to analyze data.
- a. I have professional or academic training on how to use spreadsheet software but have not had the opportunity to apply it
 - b. I most often use spreadsheet software to analyze data using spreadsheet templates
 - c. I most often use spreadsheet software to input and sort data
 - d. I most often use spreadsheet software to analyze data creating customized spreadsheets
 - e. I commonly use spreadsheet software to analyze data utilizing Macros, Pivot Tables, higher level functions, etc.
11. How frequently are you using spreadsheet software such as Microsoft Excel in the performance of data analysis?
- a. Never
 - b. Every few months to yearly
 - c. Every few weeks to monthly
 - d. Every few days to weekly
 - e. Every few hours to daily
12. Which professional certifications do you possess? Choose as many as applicable.
- a. I do not currently possess any certifications
 - b. Certified Fraud Examiner
 - c. Certified Public Accountant
 - d. Certified Fraud Specialist
 - e. Certified Computer Forensics Expert
 - f. Certified Internal Auditor
 - g. Certified Management Auditor

13. Please indicate the highest amount of education you have achieved to help prepare yourself in your auditing career.

- a. Certificate in Accounting/19 units in accounting courses
- b. AA/AS in Accounting
- c. BA/BS in Accounting
- d. BA/BS in Economics
- e. BA/BS in Business Management/Administration/Finance
- f. Graduate degree in Business-related field

14. Choose which statement best describes the degree of involvement you have had in planning an audit.

- a. I have no experience in planning an audit
- b. I have planned and executed an overall audit assignment independently (for example, created an audit program, planned the timing extent, the degree of testing, logistics, etc.)
- c. I have planned portions or sections of an audit assignment either independently or as a lead
- d. I have participated in the planning process (reviewing background information, attending planning meetings, etc.)
- e. I have used established audit programs without modifications

Communication

Persons working in the Investigative Auditor III classification work in a field where they are called upon to communicate with various types of persons whether it is through interviewing individuals or speaking/testifying about their findings, and the steps they took to reach their conclusions. This can occur in a variety of settings ranging from reporting to management to testifying in court.

15. Please choose which statement best describes how you have acquired or developed interviewing skills.

- a. I have yet to develop interviewing skills
- b. I have received training on how to interview persons
- c. I have interviewed persons independently while performing numerous audits and/or investigations
- d. I have interviewed persons in team settings with other auditor and/or investigators
- e. I have interviewed persons under the supervision of a lead auditor

16. What population types or professional individuals do you have the most experience interviewing, either in a professional or training setting? Choose as many as applicable.

- a. I have no experience interviewing persons either in a professional or training setting
- b. Legal (lawyers, court system, paralegals, legal secretaries, etc.)
- c. Law Enforcement (Agent, Police, Sheriff, etc.)
- d. Financial industry (investors, bankers, accountants, etc.)
- e. Government regulatory agencies (Federal, State, Local)
- f. Government Contractors/Vendors
- g. Non-profit agencies (managers, supervisors, executives, staff, etc.)
- h. Private/Public business entities (managers, supervisors, executives, staff, etc.)
- i. General public (citizen witnesses, victims, etc.)

17. Which professional industries do you have professional experience working with? Your experience can be audit or non-audit related. Choose as many as applicable.
- a. I have no professional working experience
 - b. Legal (courts, law firms, mediating companies, advocacy groups, etc.)
 - c. Law Enforcement Agencies (Federal, State, Local)
 - d. Financial industry (investment houses, banks, accounting firm, money service business, etc.)
 - e. Government regulatory agencies (Federal, State, Local)
 - f. Government Contractor/Vendors
 - g. Non-profit agencies (hospitals, religious/charitable organizations, etc.)
 - h. Private/Public business entities (partnerships, corporations, sole proprietors, LLCs, etc.)
18. Which statement best describes your public speaking experience?
- a. I have no public speaking experience
 - b. I have given professional presentations to external stakeholders (i.e., conferences, training, presenting findings, etc.)
 - c. I have given presentations within my department or work unit (i.e., presenting findings, internal training, etc.)
 - d. I have testified in legal/regulatory proceedings regarding audits/investigations
 - e. I have given presentations at civic organizations (i.e., Toastmasters, Lions, Kiwanis, Rotary, etc.)
 - f. I have given presentations during my academic career
19. Please choose which statement best describes your professional experience testifying in a legal proceeding (administrative, civil, criminal) as an auditor/investigator.
- a. I have no experience
 - b. I have experience testifying briefly
 - c. I have been cross-examined
 - d. I have been called as an expert witness

Report Writing

Persons working in the Investigative Auditor III classification are called upon to write original narratives and/or reports to document their findings and conclusions. These documents may be used as evidence in court procedures.

20. How much professional experience do you have conveying audit/investigative findings, conclusions, or recommendations in a written format?
- a. No experience
 - b. Less than six months experience
 - c. More than six months but less than one year
 - d. More than one year but less than three
 - e. More than three years but less than five
 - f. Five years or more
21. Choose which statement best describes your experience conveying audit/investigative findings, conclusions, or recommendations in a written format.
- a. I have used a form, checklist, and/or template to convey my findings, conclusions, or recommendations
 - b. I have developed my written findings, conclusions, or recommendations under close supervision
 - c. I have independently developed my written findings, conclusions, or recommendations under minimal supervision
 - d. I have independently developed my written findings, conclusions, or recommendations with no assistance

22. To which population types or professional individuals have you conveyed your audit/investigative findings, conclusions, recommendations in a written format? Choose as many as applicable.

- a. I have no experience conveying findings
- b. Legal (lawyers, court system, paralegals, legal secretaries, etc.)
- c. Law Enforcement (Agents, Police, Sheriff, etc.)
- d. Financial industry (investors, bankers, accountants, etc.)
- e. Government regulatory agencies (Federal, State, Local)
- f. Non-profit agencies (managers, supervisors, executives, staff, etc.)
- g. Private/Public business entities (managers, supervisors, executives, staff, etc.)

23. Which type of documents do you have professional experience reviewing? Choose as many as applicable.

- a. Statutes/ Regulatory materials
- b. Professional Standards/ Trade or Professional Publications
- c. Contracts
- d. Financial documents (i.e. loan, bank statements, tax returns, general ledger)
- e. Medical Records
- f. Court documents
- g. Internal/External investigative reports
- h. Audit reports and findings
- i. Policies and Procedures/Training Material
- j. Consumer Complaints
- k. Complaint referrals

THIS COMPLETES THE TRAINING AND EXPERIENCE QUESTIONNAIRE