



California Department of Justice

Investigative Auditor II

Training and Experience Questionnaire

This Training and Experience Questionnaire is the examination for the classification of Investigative Auditor II. 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 education, training, and work history has provided you the essential knowledge, skills, and abilities required to successfully perform in the Investigative Auditor II position. Your responses in this questionnaire may be later used as information for follow-up questions during a hiring interview.

The overall assessment consists of 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:

Kelli Johnson
Testing and Selection Unit
916-323-5527
Kelli.Johnson@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.

Affirmation Page

All applicants **must complete and return the entire** Training and Experience Questionnaire by **January 25, 2010** to be considered for this examination process.

The completed Training and Experience Questionnaire and supporting documentation as requested on the exam bulletin must be returned to one of the following addresses:

Mailing Address:

Department of Justice
Testing & Selection Unit
PO Box 944255
Sacramento, CA 94244-2550

File in Person:

Department of Justice
Testing & Selection Unit
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): _____

Analysis and Investigations

A person working in the Investigative Auditor II 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 II 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. Judgmental sampling
- c. Internal control analysis
- d. Substantive testing experience
- e. Risk analysis
- f. Analytical testing experience
- g. Fraud detection
- h. 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 risk 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 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

7. 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

8. 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

9. 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
- f. I have ratio analysis experience

10. 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 yet applied 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

11. 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.

12. 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

13. 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

14. 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

15. 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 II 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 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 advisory panels to confronting individuals in the field to testifying in court.

16. Please choose which statement best describes the main manner in which you have acquired your interviewing skills.

- a. I have yet to acquire 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

17. 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 (Agents, Police, Sherriff, etc.)
- d. Financial industry (investors, bankers, accountants, etc.)
- e. Government regulatory agencies (State, local, Federal)
- f. Government Contractor/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.)

18. 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 (State, local, Federal)
- f. Government Contractor/Vendors
- g. Non-profit agencies (Hospitals, Religious Organizations, Charitable Organizations, etc.)
- h. Private/Public business entities (Partnerships, Corporations, Sole Proprietors, LLCs, etc.)

19. Which statement most accurately describes your public speaking experience? **Choose as many as applicable.**

- 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

20. Please choose which statement best describes your professional experience testifying in a legal proceeding as an auditor/investigator?

- a. I have no experience
- b. I have experience providing brief testimonies
- c. I have been cross-examined
- d. I have been called as an expert witness

Report Writing

Persons working in the Investigative Auditor II 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.

21. 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

22. 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

23. To which population types or professional individuals have you conveyed audit/investigative findings, conclusions, recommendations in a written format? **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 (Agents, Police, Sherriff, etc.)
- d. Financial industry (investors, bankers, accountants, etc.)
- e. Government regulatory agencies (State, local, Federal)
- f. Non-profit agencies (managers, supervisors, executives, staff, etc.)
- g. Private/Public business entities (managers, supervisors, executives, staff, etc.)

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

- a. Statutes
- b. Regulatory Materials
- c. Professional standards
- d. Contracts
- e. Loan documents
- f. Medical Records
- g. Search warrants
- h. Court documents
- i. Internal/External Investigative reports
- j. Audit reports and findings
- k. Policies and Procedures
- l. Consumer Complaints
- m. Complaint referrals
- n. Training Materials
- o. Trade or Professional publications

THIS CONCLUDES THE TRAINING AND EXPERIENCE QUESTIONNAIRE

**Please submit this document along with any other required documentation
per the instructions on page 3.**