

**Department of Financial Services  
Proposed Director of Investigations SMART Goals**

**Standard: Accomplishes work assignments and produces work products ready for publication/distribution which require minimal editing and/or revisions. Work products will be prepared in compliance with office standards (Investigative Protocols, Document Deadlines, memorandums) and the Principle & Standards for Offices of Inspector General (“Green Book”).**

Rating Rubric:

- 5 Work product is finalized and ready for publication/distribution by version 1, on average during the review period.
- 4 Work product is finalized and ready for publication/distribution by version 3, on average during the review period.
- 3 Work product is finalized and ready for publication/distribution by version 5, on average during the review period.
- 2 Work product is finalized and ready for publication/distribution by version 7, on average during the review period.
- 1 Work product is finalized and ready for publication/distribution by version 9 or more, on average during the review period.

**Standard: Complaints received by the OIG/DOI are processed (reviewed, classified and assigned/distributed) in a timely manner and in accordance to established guidelines (Investigative Protocols, Document Deadlines, memorandums, Internal Policy and Procedures, and Agency Policy and Procedures).**

Rating Rubric:

- 5 Complaints are processed within one (1) working days of receipt by the DOI.
- 4 Complaints are processed within two (2) working days of receipt by the DOI.
- 3 Complaints are processed within three (3) working days of receipt by the DOI.
- 2 Complaints are processed within four (4) working days of receipt by the DOI.
- 1 Complaints are processed within five (5) or more working days of receipt by the DOI.

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**Standard:** Ensures investigative products produced by direct reporters (investigative staff) is: submitted in a timely manner, accurate, conforms to established guidelines/protocols/standards, in compliance with Principle & Standards for Offices of Inspector General (“Green Book”), and is investigatively sufficient.

Rating Rubric:

- 5 Work is submitted in accordance to established guidelines and due dates an average of 98% of the time during the review period.
- 4 Work is submitted in accordance to established guidelines and due dates an average of 95% of the time during the review period.
- 3 Work is submitted in accordance to established guidelines and due dates an average of 93% of the time during the review period.
- 2 Work is submitted in accordance to established guidelines and due dates an average of 88% of the time during the review period.
- 1 Work is submitted in accordance to established guidelines and due dates an average of 87% or lower, of the time during the review period.

**Standard:** Work products received from investigative staff is reviewed in a timely manner and according to established guidelines/protocols/standards (Memos for publication 3 business days, Report of Investigations 5 business days, Interview Memo’s 3 business days and Investigation Plans 2 business days).

Rating Rubric:

- 5 Work products are reviewed in accordance to established guidelines and due dates an average of 98% of the time during the review period.
- 4 Work products are reviewed in accordance to established guidelines and due dates an average of 95% of the time during the review period.
- 3 Work products are reviewed in accordance to established guidelines and due dates an average of 93% of the time during the review period.
- 2 Work products are reviewed accordance to established guidelines and due dates an average of 88% of the time during the review period.
- 1 Work is submitted in accordance to established guidelines and due dates an average of 87% or lower, of the time during the review period.