

**Florida Department of State
Proposed Auditor SMART Goals**

Single Audit Process

Expectation: During this evaluation period, ensures that all documents related to the Single Audit process are completed timely and accurately in accordance with the Office of Inspector General (OIG) Single Audit procedure.

Performance rating of “3”:

Completes all Single Audit Act processes at least 85% of the time within 5 work days from receipt of the financial reporting packages or exempt certification, which shall include the following activities:

- Review the financial reporting packages of recipients of State Financial Assistance or review exempt certification from every agency that was provided grant assistance from the Department by completing the review checklist.
- Update the database for information gathered from the reporting package or certification and whether the recipient submitted the financial reporting package within the prescribed time-frame.
- Advise the Department’s program areas of any reported deficiencies, findings, recommendations & the appropriateness of the recipients’ corrective action plan.
- Communicate by e-mail to the coordinating agency the approval of the recipient’s corrective action plan with respect to findings and recommendations that are not specific to any of the Department’s state projects.
- Demonstrates ability to quickly analyze and summarize complex information and data.
- Demonstrates ability to communicate clearly and effectively with internal and external customers both verbally and in writing.
- Operates in a professional and courteous manner with the public and management.
- Demonstrates ability to work independently with minimal supervision.

Performance rating of “4”:

Completes all Single Audit Act processes at least 90% of the time within 5 work days from receipt of the financial reporting packages or exempt certification and meets all other requirements for a “3” rating.

Performance rating of “5”:

Completes all Single Audit Act processes at least 95% of the time within 5 work days from receipt of the financial reporting packages or exempt certification and meets all other requirements for a “3” rating.

Performance rating of “2”:

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- Any condition for achieving a “3” rating has not been consistently met.

Performance rating of “1”:

- Any 2 or more of the conditions for achieving a “3” rating have not been consistently met.

Complaint Intake

Expectation: During this evaluation period, ensures that all complaints and complaint documentation are reviewed, referred and handled by the Auditor pursuant to law and established policies.

Performance rating of “3”:

Reviews all complaints and complaint documentation received by the OIG, and takes appropriate action to either handle the complaint internally or refer the complaint for action outside the agency, within 5 work days from receipt of the complaint in the OIG.

- Ensures all documents are reviewed, referred and handled as required by law and established policies.
- Operates in a professional and courteous manner with the public and management.
- Demonstrates thorough understanding of complaint review procedures and makes appropriate decisions regarding complaint handling.
- Demonstrates ability to quickly analyze and summarize complex information and data.
- Demonstrates ability to communicate clearly and effectively with internal and external customers both verbally and in writing.
- Demonstrates ability to work independently with minimal supervision.

Performance rating of “4”:

Meets all of the requirements for a 3 rating, but completes complaint review/referral/handling processes within 3 work days from receipt of the complaint in the OIG.

Performance rating of “5”:

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Meets all of the requirements for a 3 rating, but completes complaint review/referral/handling processes within 2 work days from receipt of the complaint in the OIG.

Performance rating of “2”:

- Any condition for achieving a “3” rating has not been consistently met.

Performance rating of “1”:

- Any 2 or more of the conditions for achieving a “3” rating have not been consistently met.

Auditor Work

Expectation: During this evaluation period, provides accurate and timely information in conducting internal audits, investigations, on-site compliance reviews, audits of grantee’s records (recipient and sub-recipient) and consulting services pursuant to policies and standards adopted by the OIG. .

Performance rating of “3”:

- Ensures that workpapers are timely produced within budgeted time 85% of the time.
- Workpapers adequately support finding and recommendation or conclusions in the report.
- Advises the Inspector General of any reported deficiencies, findings, recommendations and the appropriateness of the corrective action plan by established deadlines
- Demonstrates ability to quickly analyze and summarize complex information and data.
- Demonstrates ability to communicate clearly and effectively with internal and external customers both verbally and in writing.
- Demonstrates ability to work independently with minimal supervision.
- Demonstrates ability to rapidly adapt to changing work conditions and workloads and accepts changes in a positive manner.
- Demonstrates highly effective interpersonal and organizational skills to accomplish auditor’s assignments.

Performance rating of “4”:

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Meets all of the requirements for a “3” rating, except that work papers are produced within budgeted time 90% of the time and is occasionally relied upon to solve or assist in solving complex audit or investigative issues.

Performance rating of “5”:

Meets all of the requirements for a “4” rating, except that work papers are produced within budgeted time 95% of the time and is frequently relied upon to solve or assist in solving complex audit or investigative issues.

Performance rating of “2”:

- Any condition for achieving a “3” rating has not been consistently met.

Performance rating of “1”:

- Any 2 or more of the conditions for achieving a “3” rating have not been consistently met.

Training

Expectation: During this evaluation period, the auditor enhances his knowledge, skills, and abilities needed to perform the duties of the position by completing required and recommended training.

Performance rating of “3”:

- Complete 20 hours of job related training, with a minimum of 6 hours of training directly related to work assignments, annually.
- Displays initiative in acquiring new knowledge, skills, and abilities related to assigned tasks

Performance rating of “4”:

- Complete 30 hours of job related training, with a minimum of 6 hours of training directly related to work assignments annually
- Displays initiative in acquiring new knowledge, skills, and abilities related to assigned tasks

Performance rating of “5”:

- Complete 40 hours of job related training, with a minimum of 6 hours of training directly related to work assignments annually
- Displays initiative in acquiring new knowledge, skills, and abilities related to assigned tasks.

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Performance rating of “2”:

- Completes between 11-19 hours of job related training, with 3-5 hours of training directly related to work assignments annually.
- Does not consistently display initiative in acquiring new knowledge, skills, and abilities related to assigned tasks.

Performance rating of “1”:

- Completes 10 hours or less of job related training annually.
- Demonstrates a lack of initiative in acquiring new knowledge, skills, and abilities related to assigned tasks.

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