



SMART EXPECTATIONS Auditor

Timeliness of Work Product

Expectation: During the evaluation period, completes assigned projects within budgeted audit hours in order to provide Department management with timely and reliable reports to make agency decisions.

Note: Project will only be included if Auditor worked 25% of total budget hours.

Performance Rating of “3”:

- Routinely completes and submits 70 – 79% of assigned projects using no more than 120% of budgeted audit hours.

Performance Rating of “4”:

- Comprehensively compiles and submits 80 – 89% of assigned projects using no more than 120% of budgeted audit hours.

Performance Rating of “5”:

- Demonstrates outstanding proficiency by completing and submitting 90 – 100% of assigned projects using no more than 120% of budgeted audit hours.

Performance Rating of “2”:

- 60-69% of projects are completed using no more than 120% of budgeted audit hours.

Performance Rating of “1”:

- 59% or less of projects are completed using no more than 120% of budgeted audit hours.



Training

Expectation: During the evaluation period, the auditor enhances their knowledge, skills, and abilities needed to perform the duties of the position by completing required and recommended training to improve the quality of audit work.

Performance Rating of “3”:

- Successfully completes 40 hours of job related training. Completes all assigned iLearn or other assigned training by deadline.

Performance Rating of “4”:

- Successfully completes more than 45 hours of job related training.
- Completes all assigned iLearn or other assigned training by deadline.
- Demonstrates job related skills development that enhances collective knowledge.

Performance Rating of “5”:

- Successfully completes more than 45 hours of job related training.
- Completes all assigned iLearn or other assigned training by deadline.
- Demonstrates job related skills development that enhances collective knowledge.
- Proactively shares knowledge with other OIG staff/management (e.g. one-on-one or group training, discussions, documented information on OIG shared site.)

Performance Rating of “2”:

- Completes 31-40 hours of job related training.

Performance Rating of “1”:



- Completes 30 hours or less of job related training.

Quality of Work

Expectation: During the evaluation period, the auditor produces work papers, audit findings, and reports that are thorough, complete, and accurate in order to document the work performed and identify sound conclusions based on presented evidence.

Performance Rating of “3”:

- Performs and documents audit work in accordance with the International Standards for the Professional Practice of Internal Auditing.
- Pays attention to detail and gathers all information required to fully address projects.
- Work products contain only minor grammatical errors that do not impact audit findings.
- Work products effectively cross reference supporting documentation.
- Audit conclusions are brief but include all necessary information to clearly document the issue.

Performance Rating of “4”:

- Performs and documents audit work in accordance with the International Standards for the Professional Practice of Internal Auditing.
- Pays attention to detail and gathers all information required to fully address projects.
- Proactively identifies and consults with audit director on unusual audit issues including possible recommendations for next steps.
- Work products contain only minor grammatical errors that do not impact audit findings.
- Work products effectively cross reference supporting documentation.
- Audit conclusions are brief but include all necessary information to clearly document the issue.

Performance Rating of “5”:



- Performs and documents audit work in accordance with the International Standards for the Professional Practice of Internal Auditing.
- Pays attention to detail and gathers all information required to fully address projects.
- Proactively identifies and consults with audit director on unusual audit issues including possible recommendations for next steps.
- Surpasses expectation for work quality by submitting error-free, detailed and timely products.
- Work products effectively cross reference supporting documentation.
- Audit conclusions are brief but include all necessary information to clearly document the issue.
- Demonstrates a complete understanding of effective auditing techniques and regularly seeks and implements improvements to the audit process. resulting in a high level of identification of inaccuracies or inconsistencies in reviewed information.

Performance Rating of “2”:

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

Performance Rating of “1”:

- Two or more conditions for achieving a “3” rating have not been met.

Communication of Work Results

Expectation: During the evaluation period, the auditor effectively communicates work results to supervisor and Department members to ensure the Department makes necessary improvements to enhance service delivery.

Performance Rating of “3”:

- Demonstrates ability to communicate clearly and effectively with internal and external members both verbally and in writing.
- Effectively plans and executes entrance and exit conferences.
- Keeps supervisor informed of progress on audit and consulting projects.



- Effectively works with co-workers (peers/colleagues) assigned to audit and consulting projects.

Performance Rating of “4”:

- All conditions for achieving a “3” rating have been consistently meet.
- Demonstrates ability to provide information and/or feedback using constructive and diplomatic methods to gain others’ acceptance or understanding of situation.

Performance Rating of “5”:

- All conditions for achieving a “4” rating have been consistently meet.
- Encourages and facilitates cooperation, commitment and teamwork to ensure the accomplishment of group goals.

Performance Rating of “2”:

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

Performance Rating of “1”:

- Two or more conditions for achieving a “3” rating have not been met