



Office of the City Auditor Policies and Procedures

Number: 6.1.3

Title: Project Appraisals

Original Date:

01/27/1994

Revision Date:

06/01/1996

08/02/2002

Approved by:

I. Policy

Every auditor and audit investigator shall receive a project appraisal before the closeout of each substantial project or every six months, whichever occurs first.

II. Purpose

The purpose of this policy is to ensure that team leaders communicate, in a structured and timely manner, with their team members about their project performance.

III. Definitions

- A. **Substantial project** - A project in which an auditor's/audit investigator's assignments exceed 80 hours of work time. In instances where the work assignments are fewer than 80 hours or the work is of a particularly focused nature, the team leader, upon request, should prepare a memo addressing the individual's performance.
- B. **Project Appraisal** - A performance appraisal (see form at the end of this policy) used to assess an auditor's/audit investigator's performance on a specific project. The appraisal covers the eight performance categories (see Policy 6.1.1) and indicates whether the auditor/audit investigator has met, exceeded, or not met the expectations for each category. Each performance rating is justified with specific examples of performance. Improvement opportunities are also included on the appraisal.
- C. **Self-Assessment (Optional)** - A performance appraisal developed by the person being assessed. It uses the Project Appraisal form found at the end of this policy.

IV. Procedures/Responsibilities

- A. The Auditor-in-Charge (AIC) completes a Project Appraisal for each auditor/audit investigator on the project team. The auditor/audit investigator has the option of preparing a self-assessment for discussion purposes.
- B. Once the Project Appraisal is developed, the AIC and auditor/audit investigator meet to discuss the performance on the project. The AIC should make sure to discuss each category, giving justification for each rating. In addition, the AIC should discuss improvement opportunities related to each of the categories.
- C. After the Project Appraisal has been discussed, both the AIC and auditor/audit investigator sign the document to indicate that they have read and received the appraisal. The signatures do not necessarily indicate agreement with the appraisal on the part of the auditor/audit investigator.
- D. After the Project Appraisal is signed, the AIC gives the appraisal to the Human Resources Assistant to file in the auditor's/audit investigator's personnel file.

PROJECT APPRAISAL

| Name | Classification | Role |
|-------------|-----------------------|-------------|
|-------------|-----------------------|-------------|

Project Number and Name

Period Covered

Assessment Ratings:

MEETS Expectations for Level and Zone

EXCEEDS Expectations for Level and Zone

DOES NOT MEET Expectations for Level and Zone

Internal Behavior

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

External Behavior

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

Project/Case Management

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

**Technical Capacity and
Professional Development**

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

Conceptualization

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

Outputs

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

Outcomes

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

**Office Capacity Building/
Management System
Improvement**

Meets _____ Exceeds _____ Does not Meet _____

Comments:

Improvement Opportunities:

I have presented and discussed this appraisal.

AIC _____ Date _____

I have read and received this appraisal.

Auditor/Audit Investigator _____ Date _____