



Office of the City Auditor Policies and Procedures

Number: 6.1.4

Title: Upward Appraisals

Original Date:
Revision Date:
Approved by:

01/27/1994

06/01/1996

08/02/2002

10/11/2004

I. Policy

Every Auditor-in-Charge (AIC) and Assistant City Auditor (ACA) shall receive an appraisal from his/her auditors/investigators before the closeout of each substantial project.

II. Purpose

The purpose of this policy is to ensure that all team members communicate with their supervisors (AICs or ACAs), in a structured and timely manner, about project performance relating to leadership and management of the project team.

III. Definitions

- A. **Substantial project** - See Policy 6.1.3.
- B. **Closeout** - The thirty-day period after a project has been presented to Council. During this period, the audit team is to complete work papers, referencing, and remaining appraisals.
- C. **Upward Appraisal** - A performance appraisal (see form at the end of this policy) used to assess an AIC's or ACA's performance on a specific project. This appraisal uses a Likert scale to either assess the evaluator's agreement with particular statements or to assess the evaluator's perception of how often needed behaviors occur. These statements are intended to coincide with specific performance appraisal categories.

IV. Procedures/Responsibilities

- A. After project completion, each project team member completes an AIC Project Appraisal for the Auditor-in-Charge on the project team. The AIC completes an ACA Project Appraisal for the Assistant City Auditor responsible for the project.
- B. Once the AIC/ACA Project Appraisal is developed, each team member meets with his/her respective supervisor (AIC or ACA) to discuss the performance on the project.
- C. After the Project Appraisal has been discussed, both the AIC and auditor/investigator (or the AIC and ACA) 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 AIC or ACA.
- D. After the Project Appraisal is signed, the project team member (or AIC) gives the appraisal to the Human Resources Assistant to file in the auditor's/investigator's personnel file.

AUDITOR-IN-CHARGE PROJECT APPRAISAL

Name	Classification
Project Number and Name	
Period Covered	

Please use the following rating scale:

1=Strongly Disagree
 2=Disagree
 3=Agree
 4=Strongly Agree
 N/A=Not Applicable

Internal Behavior

The AIC gave me constructive feedback on my work and behavior.	1	2	3	4	N/A
The AIC completed my project appraisal in a timely manner.	1	2	3	4	N/A
The AIC listened to my comments and suggestions.	1	2	3	4	N/A
The AIC gave me the freedom to try things on my own.	1	2	3	4	N/A
The AIC elicited ideas from the team.	1	2	3	4	N/A
The AIC promoted and modeled a positive team environment.	1	2	3	4	N/A
The AIC gave constructive advice for dealing with difficult team members.	1	2	3	4	N/A
The AIC worked to defuse tension and conflict when warranted.	1	2	3	4	N/A

Project Management

The AIC performed work tasks.	1	2	3	4	N/A
The AIC delegated project responsibilities to other team members when appropriate.	1	2	3	4	N/A
The AIC effectively managed project schedules and timelines.	1	2	3	4	N/A
The AIC set and reexamined priorities throughout the project.	1	2	3	4	N/A
The AIC effectively dealt with problems that could impact project completion and success.	1	2	3	4	N/A
The AIC provided coaching on developing work papers, conducting effective interviews, making presentations, meeting timelines, etc.	1	2	3	4	N/A

Technical Capacity and Professional Development

The AIC coached me in designing and applying methodologies.	1	2	3	4	N/A
The AIC was a good resource for information on skills or methodologies.	1	2	3	4	N/A
The AIC ensured that government auditing standards were followed during the project work.	1	2	3	4	N/A

Conceptualization

The AIC coached me through new concepts and responsibilities.	1	2	3	4	N/A
The AIC communicated the vision/messages associated with the project.	1	2	3	4	N/A
The AIC guided the team in selecting the appropriate objectives and methodologies.	1	2	3	4	N/A
The AIC helped the team identify key relationships among findings.	1	2	3	4	N/A

Output

The AIC facilitated/contributed to the quality of the product.

1 2 3 4 N/A

The AIC increased my understanding of what constitutes a quality output.

1 2 3 4 N/A

Comments:

AIC

Date

Auditor/Audit Investigator

Date

**ASSISTANT CITY AUDITOR
PROJECT APPRAISAL**

Name **Classification**

Project Number and Name

Period Covered

There are two rating scales below. Please use whichever enables you to best evaluate the ACA's behavior with regard to each statement.

Rarely, if Ever, even when Needed	1	Strongly Disagree
Sometimes, as Needed	2	Disagree
Most of the Time, as Needed	3	Agree
Always or Close to Always, as needed	4	Strongly Agree
Not Applicable or Not Needed	N/A	Not Applicable or Not Needed

You are strongly encouraged to write a comment for each section that summarizes your experience with the ACA in that category. Feel free to append one or more pages if the space provided is not adequate.

Internal Behavior

The ACA supported and encouraged effective teamwork.	1	2	3	4	N/A
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The ACA helped me to resolve conflict on the team.	1	2	3	4	N/A
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The ACA worked to motivate the team.	1	2	3	4	N/A
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The ACA modeled values and expectations that I am expected to uphold.	1	2	3	4	N/A
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The ACA gave appropriate recognitions when they were due.	1	2	3	4	N/A
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The ACA gave effective feedback on work and behavior.	1	2	3	4	N/A
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Comments:

External Behavior

The ACA improved communications with outside stakeholders.	1	2	3	4	N/A
The ACA negotiated with outside stakeholders for the common good, diffusing conflicts.	1	2	3	4	N/A
The ACA helped the team negotiate or resolve external issues that impact project completion.	1	2	3	4	N/A

Comments:

Project/Case Management

The ACA promptly reviewed all work products.	1	2	3	4	N/A
The ACA helped foresee and resolve timeline and resource conflicts that affected project management.	1	2	3	4	N/A
The ACA completed appraisals in a timely manner.	1	2	3	4	N/A
The ACA helped set my expectations.	1	2	3	4	N/A
The ACA helped me set team expectations.	1	2	3	4	N/A
The ACA provided input to the planning of different phases of the project.	1	2	3	4	N/A

Comments:

Technical Capacity and Professional Development

The ACA actively contributed to my development as a team leader.	1	2	3	4	N/A
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The ACA encouraged me to contribute to the profession/professional organizations.	1	2	3	4	N/A
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The ACA was a resource for information, assistance, and advice.	1	2	3	4	N/A
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Comments:

Conceptualization

The ACA guided the development of project issues so that they were consistent with OCA's mission.	1	2	3	4	N/A
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Comments:

Outputs

The ACA provided valuable input to the project that resulted in a quality output.	1	2	3	4	N/A
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The ACA coached me on document review to achieve a quality output.	1	2	3	4	N/A
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Comments:

AIC	Date
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ACA	Date
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