



## Office of the City Auditor Policies and Procedures

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**Title:** Pay Progression Decisions

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### I. Policy

Decisions concerning movement along the pay structure, for auditors and investigators, will be made by the City Auditor after each annual appraisal and will be based on the number and type of expectations exceeded, organizational need, and affordability.

### II. Purpose

The purpose of this policy is to:

- A. Reward employees whose performance meets and exceeds expectations, and
- B. Identify action to be taken for employees whose performance is below expectations.

### III. Definitions

- A. **Organizational Need** - A determination of whether the skills and the promotion will contribute to OCA's current or projected needs.
- B. **Affordability** - Availability of funds in the Office's budget to support pay progression.
- C. **Levels** - The designations of Auditor I, II, III, and IV and Audit Investigator I, II, III, and IV which are differentiated by the criteria required for each.
- D. **Zones** - The designations in each Auditor/Audit Investigator level. Zones range from zone 1 to zone 6 in each level, with zones 1, 3, and 5 being the zones with different expectations. Zones 2, 4, and 6 are

interim zones, which reward an employee who is performing well, but does not have the requirements to move to the next set of expectations.

- E. **Pay Structure** - The framework used to define salaries for the office's levels and zones. The intent of the pay structure is to provide the same compensation to all individuals at the same level and zone. The pay structure emphasizes vertical skill building.

#### **IV. Procedures/Responsibilities**

- A. After the Peer Assessment Committee (PAC) completes the auditor's/auditor investigator's Annual Appraisal, the City Auditor (CA) will obtain from the PAC chairperson: the Annual Appraisal, the Performance and Development Plan, and any other documents regarding the auditor's/auditor investigator's past demonstrations of skills, which the CA deems important. The auditor's/auditor investigator's skill development/attainment and continued demonstration of those skills, as documented, will be assessed for a pay progression decision.
- B. In addition to documentation, the CA will obtain pertinent information from any source the CA believes appropriate, including ongoing discussions with ACAs/DCA regarding the auditor's/auditor investigator's performance.
- C. The CA will utilize the following criteria for pay progression decisions:
  - 1. To be considered eligible to progress on the pay structure, an auditor must already be demonstrating performance at the next zone on the pay structure. Performance at the next zone is demonstrated by exceeding expectations in specifically designated categories on the annual appraisal (see table below).

**Auditor/Audit Investigator I**

<p>To progress from a <b>I-1/I-2 to a I-3</b>, an auditor/audit investigator must exceed expectations in at least four categories, two of which must be in the categories listed below:</p> <ul style="list-style-type: none"> <li>• Internal Behavior</li> <li>• Conceptualization</li> <li>• Technical Capacity and Professional Development</li> <li>• Outputs</li> </ul>	<p>To progress from a <b>I-3/I-4 to a I-5</b>, an auditor/audit investigator must exceed expectations in at least four categories, three of which must be in the categories listed below:</p> <ul style="list-style-type: none"> <li>• Internal Behavior</li> <li>• Conceptualization</li> <li>• Technical Capacity and Professional Development</li> <li>• External Behavior</li> <li>• Outputs</li> </ul>	<p>To progress from a <b>I-5/I-6 to a II-1</b>, an auditor/audit investigator must exceed expectations in at least four of the categories listed below:</p> <ul style="list-style-type: none"> <li>• Internal Behavior</li> <li>• Conceptualization</li> <li>• Technical Capacity and Professional Development</li> <li>• Project Management</li> <li>• External Behavior</li> <li>• Outputs</li> </ul>
<p>To progress from a <b>I-1 to a I-2</b>, an auditor/audit investigator must exceed expectations in at least two categories, one of which must be in the categories listed above.</p>	<p>To progress from a <b>I-3 to a I-4</b>, an auditor/audit investigator must exceed expectations in at least two categories listed above, OR must exceed expectations in at least four categories, one of which is listed above.</p>	<p>To progress from a <b>I-5 to a I-6</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed above.</p>

**Auditor/Audit Investigator II**

<p>To progress from a <b>II-1/II-2 to a II-3</b>, an auditor/audit investigator must exceed expectations in at least four of the categories listed below:</p> <ul style="list-style-type: none"> <li>• Conceptualization</li> <li>• Technical Capacity and Professional Development</li> <li>• Project Management</li> <li>• External Behavior</li> <li>• Outputs</li> <li>• Outcomes</li> </ul>	<p>To progress from a <b>II-3/II-4 to a II-5</b>, an auditor/audit investigator must exceed expectations in four of the categories listed below at least one of which must be either Conceptualization or Project Management:</p> <ul style="list-style-type: none"> <li>• Conceptualization</li> <li>• Office Capacity Building</li> <li>• Project Management</li> <li>• External Behavior</li> <li>• Outputs</li> <li>• Outcomes</li> </ul>	<p>To progress from a <b>II-5/II-6 to a III-1</b>, an auditor/audit investigator must exceed expectations in both:</p> <ul style="list-style-type: none"> <li>• Conceptualization and</li> <li>• Project Management</li> </ul> <p>and in at least two of the following categories:</p> <ul style="list-style-type: none"> <li>• Office Capacity Building</li> <li>• External Behavior</li> <li>• Outcomes</li> </ul>
<p>To progress from a <b>II-1 to a II-2</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed above.</p>	<p>To progress from a <b>II-3 to a II-4</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed above.</p>	<ul style="list-style-type: none"> <li>• To progress from a <b>II-5 to a II-6</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed above.</li> </ul>

**Auditor/Audit Investigator III**

<p>To progress from a <b>III-1/III-2 to a III-3</b>, an auditor/audit investigator must exceed expectations in four of the categories listed below:</p> <ul style="list-style-type: none"> <li>• Office Capacity Building</li> <li>• Project Management</li> <li>• Conceptualization</li> <li>• External Behavior</li> <li>• Outcomes</li> </ul>	<p>To progress from a <b>III-3/III-4 to a III-5</b>, an auditor/audit investigator must exceed expectations in:</p> <ul style="list-style-type: none"> <li>• Office Capacity Building and</li> </ul> <p>at least three of the categories listed below:</p> <ul style="list-style-type: none"> <li>• Project Management</li> <li>• Conceptualization</li> <li>• External Behavior</li> <li>• Outcomes</li> </ul>	<p>To progress from a <b>III-5 to a III-6</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed below:</p> <ul style="list-style-type: none"> <li>• Office Capacity Building</li> <li>• Project Management</li> <li>• Conceptualization</li> <li>• External Behavior</li> <li>• Outcomes</li> </ul>
<p>To progress from a <b>III-1 to a III-2</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed above.</p>	<p>To progress from a <b>III-3 to a III-4</b>, an auditor/audit investigator must exceed expectations in at least two of the categories listed above.</p>	<p>Progression to an <b>Auditor IV</b> or <b>Audit Investigator IV</b> level constitutes appointment to the management team. This appointment is made solely at the discretion of the City Auditor who may consider:</p> <ul style="list-style-type: none"> <li>• Size of MT and OCA</li> <li>• Strengths needed on MT</li> <li>• Fit w/other MT members</li> <li>• Other considerations.</li> </ul>

2. For progression to new level, an auditor/audit investigator must also meet the Distinguishing Criteria for that level (see Policy 6.1.1) and minimum requirements per the job descriptions.
  3. An auditor/audit investigator who receives two “does not meet expectations” on the Annual Appraisal cannot move on the pay structure. The next opportunity for a pay progression decision will be at the conclusion of the next scheduled assessment period.
  4. Organizational need will be closely reviewed and incorporated into the decision to move an auditor/audit investigator to or within the Auditor IV or Audit Investigator IV level, as this constitutes appointment to the management team (MT). This appointment is made solely at the discretion of the City Auditor. Pay progression decisions for MT members are made in accordance with the City’s standard Success Strategy Performance Review (SSPR) process.
  5. Movement on the OCA pay structure will be temporarily suspended when funding is not available (e.g., due to affordability). When funding does become available, priority for movement will be given to those auditors/audit investigators who were previously not given increases due to affordability issues.
- D. If a decision is made to move an auditor/audit investigator on the pay structure, that person can move either one zone or two zones. A two-zone movement can only occur if the auditor/audit investigator is moving from zone 1 to zone 3, zone 3 to zone 5, or zone 5 to zone 1 (at the next level). A two-zone movement cannot occur from a zone 2 to zone 4, zone 4 to zone 6, or zone 6 to zone 2 (at the next level).
- E. When an auditor/audit investigator does not meet expectations on two or more categories on the Annual Appraisal, the CA will advise the auditor to improve those ratings to “meets expectations” during the next assessment period. The Performance and Development Plan will identify actions and outcomes needed to meet expectations. If the auditor/audit investigator does not meet expectations on the next Annual Appraisal, the subsequent assessment period will be conducted using the City of Austin's standard personnel policies pertaining to nonperformance. If the auditor/audit investigator does not meet expectations by the agreed-upon time, the auditor/audit investigator will be released.