

DISTINGUISHING CRITERIA

Distinguishing Criteria

Auditor

AUDITOR I	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Performs with assistance	Plans and performs tasks with moderate assistance	Plans and performs tasks with minimal assistance
WRITTEN/VERBAL OUTPUTS	Substantial revisions expected	Moderate revisions expected	Minimal revisions expected
SCOPE OF WORK	Tasks narrowly focused (minimal complexity) Moderate responsibilities	Increasing scope of tasks (increasing complexity) Increasing quantity of concurrent responsibilities	Complex tasks Multiple responsibilities
REVIEW RESPONSIBILITY	Self	Check content accuracy of own work products	Check content accuracy own and possibly another team member's work products
LEVEL OF INFLUENCE	Level of influence: learning (presentable)	Level of influence expanding: (team player)	Level of influence: positive impact on team
CREDENTIALS	Bachelor's Degree	Making progress toward certification	Completing certification
AUDITOR II	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Plans and performs tasks with minimal assistance	Same	Same
WRITTEN/VERBAL OUTPUTS	Minimal revisions expected Produces completed staff work	Same	Same
SCOPE OF WORK	Plans, leads, and monitors a project with substantial assistance Expanded project scope or complexity	Plans, leads, and monitors a project with moderate assistance Increasing scope or complexity of project	Plans, leads, and monitors a project with minimal assistance Broad scope or complex project
REVIEW RESPONSIBILITY	Substantive review of summary documents Organizational review of all project work products Edits all work products to meet criteria for completed staff work	Substantive and organizational review of all project work products	Substantive review of all OCA deliverables Editorial review of all OCA deliverables
LEVEL OF INFLUENCE	Project and some office-wide	Project and some office-wide	Projects, office-wide and some external (COA)
CREDENTIALS	Bachelor's degree plus 2 years' relevant exp. Master's or Certification will substitute for 1 year of experience.	Same	Same

Distinguishing Criteria Auditor (continued)

AUDITOR III	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Plans and performs tasks with minimal assistance	Same	Same
WRITTEN/VERBAL OUTPUTS	Minimal revisions expected Produces completed staff work	Same	Same
SCOPE OF WORK	With substantial assistance, coaches several team leaders to plan, organize, and coordinate projects, including office capacity building project.	Coaches several team leaders to plan, organize, and coordinate projects with moderate assistance, including office capacity building project. Projects increasing in complexity	Coaches several team leaders to plan, organize, and coordinate projects with minimal assistance, including office capacity building project. Projects are broad in scope
REVIEW RESPONSIBILITY	Substantive review of all OCA deliverables	Substantive review of all OCA deliverables	Substantive review of all OCA deliverables
LEVEL OF INFLUENCE	Office-wide and external	Same	Same
CREDENTIALS	Bachelor's degree plus 3 years relevant experience, 1 of which is in supervisory capacity. One certification (or a master's) is required. (Master's also will substitute for 1 year exp.)	Same	Same

Distinguishing Criteria Audit/Investigator

AUDIT INVESTIGATOR I	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Performs under supervision of senior investigator	Performs with significant assistance from senior investigator	Performs with moderate assistance
WRITTEN/VERBAL OUTPUTS	Many revisions expected	Multiple revisions expected	Moderate revisions expected
SCOPE OF WORK	Simple tasks assigned by supervising senior investigator No final responsibility	Simple tasks assigned based on experience Minimal responsibility	Tasks narrowly focused (minimal complexity) Moderate responsibilities
REVIEW RESPONSIBILITY	Self	Self	Self
LEVEL OF INFLUENCE	Models senior investigators	Adopts expected norms for OCA	Presents self as example of appropriate OCA norms
CREDENTIALS	Bachelor's Degree	Bachelor's Degree	Bachelor's Degree
AUDIT INVESTIGATOR II	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Plans and performs tasks with moderate assistance	Plans and performs tasks with minimal assistance	Plans and performs tasks with minimal assistance
WRITTEN/VERBAL OUTPUTS	Several revisions expected	Minimal revisions expected Produces some staff work.	Minimal revisions expected Produces completed staff work
SCOPE OF WORK	Increasing scope of tasks (increasing complexity) Increasing quantity of concurrent responsibilities	Complex tasks, multiple responsibilities Plans, leads, and monitors projects with assistance Narrow project scope or limited complexity	Plans, leads, and monitors projects with assistance Expanded project scope or complexity
REVIEW RESPONSIBILITY	Check content accuracy of team work products	Check content accuracy of summary documents	Substantive review of summary documents Organizational review of all work products
LEVEL OF INFLUENCE	Begins to function as role player on project team	Begins to have positive impact on team projects	Major contribution to projects and office-wide
CREDENTIALS	Making progress toward 1st certification	Completing 1st certification	Must have 1st certification*

Distinguishing Criteria Audit/Investigator (continued)

AUDIT INVESTIGATOR III	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Plans and performs tasks with minimal assistance	Plans and performs tasks with minimal assistance	Functions independently with "advice" from ACA as needed
WRITTEN/VERBAL OUTPUTS	Minimal revisions expected; produces completed staff work	Minimal revisions expected; produces completed staff work	Minimal revisions expected; produces completed staff work
SCOPE OF WORK	Plans, leads, and monitors projects with moderate assistance Increasing scope or complexity of project Increasing number of simultaneous projects	Plans, leads, and monitors projects with minimal assistance Broad scope or complex project or multiple limited scope projects	Coaches several team leaders to plan, organize, and coordinate projects with minimal assistance Multiple complex, broad scope projects, including office capacity building project or Support Services function responsibility
REVIEW RESPONSIBILITY	Substantive and organizational review of all work products Edits all work products to meet criteria for completed staff work	Substantive review of all OCA deliverables Editorial review of all OCA deliverables	Substantive review of all work products
LEVEL OF INFLUENCE	Office-wide and some external	Office-wide and several external (COA)	Office-wide and many external (COA)
CREDENTIALS	Must have 1st certification* and making progress toward 2nd certification	Must have 1st certification* and completing 2 nd certification	2 certifications*

*A graduate degree will substitute for one certification.

Distinguishing Criteria
AUDITOR IV
(For initial zone placement decisions only)

AUDITOR IV	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
TASKS--ROLE	Plans and performs tasks with minimal assistance	Same	Same
WRITTEN/VERBAL OUTPUTS	Minimal revisions expected Produces completed staff work	Same	Same
SCOPE OF WORK	Supervises multiple project leaders in developing staff and motivating teams; planning, executing, and reporting out on projects; and contributing to the growth of the OCA, the City, and the profession. Coordinates resource allocation within assigned teams and among other groups.	Supervises multiple project leaders in developing staff and motivating teams; planning, executing, and reporting out on projects; and contributing to the growth of the OCA, the City, and the profession. Coordinates resource allocation within assigned teams and among other groups. Projects increasing in complexity	Supervises multiple project leaders in developing staff and motivating teams; planning, executing, and reporting out on projects; and contributing to the growth of the OCA, the City, and the profession. Coordinates resource allocation within assigned teams and among other groups. Projects are broad in scope
REVIEW RESPONSIBILITY	Substantive review of all OCA deliverables	Substantive review of all OCA deliverables	Substantive review of all OCA deliverables
LEVEL OF INFLUENCE	Office-wide and external	Same	Same
CREDENTIALS	Must have 2 certifications*	Same	Same

AUDITOR MATRIX

Auditor - Internal Behavior

CORE

- Promote honest and open communication with all OCA staff.
- Solicit, receive, and use information from colleagues to promote productivity; value ideas and points of view of others.
- Accept responsibility and accountability for maintaining professional relationships with all OCA staff, including difficult people.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Listening and learning</p> <ol style="list-style-type: none"> 1. Learning about team's duties and own role on team. 2. Learning OCA expectations. 3. Seeks feedback on performance. 4. Learning OCA culture and values. 	<p>Focus: Listening and learning</p> <ol style="list-style-type: none"> 1. Understands team's duties and own role on team. 2. Completing tasks with moderate assistance. 3. Learning effective ways to communicate status and needs. 4. Seeks feedback on performance. 5. Understands OCA culture and values. 	<p>Focus: Listening and learning</p> <ol style="list-style-type: none"> 1. Understands team's duties and own role on team. 2. Learning OCA's role in the City. 3. Follows through on commitments with little assistance. 4. Practicing effective ways to communicate status and needs. 5. Seeks feedback on performance 6. Demonstrates behavior congruent with OCA culture and values.
AUDITOR II	<p>Focus: Listening, learning, and leading.</p> <ol style="list-style-type: none"> 1. Understands OCA's role in the City 2. Consistently follows through on commitments 3. Communicates effectively and efficiently on results and needs. 4. Exhibits motivated behavior. 5. Fits into team dynamic without loss of individuality. 6. Actively listens to other team members. 7. Works to gain respect and trust of fellow team members. 8. Demonstrates commitment to project goals. 9. Freely expresses ideas and accepts other's ideas. 	<p>Focus: Listening, learning, and leading</p> <ol style="list-style-type: none"> 1. Understands OCA's role in the City. 2. Consistently follows through on commitments. 3. Coaches others on how to communicate results and needs. 4. Is self-motivated. 5. With moderate assistance, contributes to positive, dynamic team environment. 6. Practices effective communication. 7. With assistance, promotes resolution of internal conflicts among team members. 8. Encourages commitment to project goals among others. 9. With assistance, gives credit for good work. 	<p>Focus: Listening, learning, and leading</p> <ol style="list-style-type: none"> 1. Coaches others on OCA's role in the City. 2. Consistently follows through on commitments. 3. Coaches others on how to communicate on results and needs. 4. Seeks to motivate others. 5. Creates positive, dynamic team environment. 6. Models good communication (respectful, honest, unbiased). 7. Facilitates resolution of internal conflicts among team members. 8. Coaches and motivates others to commit to project goals. 9. Routinely gives credit for good work.
AUDITOR III	<p>Focus: Listening, directing, and developing</p> <ol style="list-style-type: none"> 1. Practices conflict resolution to resolve problems. 2. Motivates others. 3. Gains confidence of team members. 4. Directs efforts of members of multiple teams. 5. Learns to flex leadership style to meet the needs of individuals. 6. Able to identify dysfunctional behaviors. 7. With assistance, gives written and oral feedback on behavior and team dynamics. 8. Models fairness and integrity. 9. Recognizes quality work and employs recognition as a technique to reinforce desired behaviors. 	<p>Focus: Listening, directing, and developing</p> <ol style="list-style-type: none"> 1. Practices conflict resolution to resolve problems. 2. Filters information into appropriate channels. 3. Motivates others and coaches peers to do so. 4. With assistance, builds trust among all team members. 5. With assistance, begins to build teamwork skills among team members. 6. Flexes leadership style to meet the needs of individuals. 7. Assists others to overcome behavioral problems. 8. Gives written and oral feedback on behavior and team dynamics. 9. Models fairness and integrity. 10. Recognizes and reinforces quality work and encourages others to do so. 	<p>Focus: Listening, directing, and developing</p> <ol style="list-style-type: none"> 1. Promptly initiates and/or coaches others on resolving conflict. 2. Guides others on means to filter information into appropriate channels. 3. Maintains team trust and positive team motivation. 4. Supports and encourages effective teamwork among peers and subordinates. 5. Flexes leadership style to meet the needs of teams and individuals. 6. Coaches others to identify and correct behavior problems. 7. Gives constructive feedback to individuals and teams. 8. Models OCA values and expectations, and coaches all staff in demonstrating them. 9. Maintains and promotes professional and effective office culture . 10. Ensures appropriate and prompt recognition is received by encouraging recognitions and celebrations for work well done.

Auditor - External Behavior

CORE • Maintain a professional demeanor (dress, speech and personal conduct) with external resources, COA employees, and citizens.

- Employ effective listening and interviewing skills.
- Maintain objectivity and due professional care in contacts with external stakeholders.
- Practice effective presentation styles and use in communication with external sources (email, memos, reports, telephone conversations, formal presentations, etc.).
- Employ a range of communication styles to meet the needs of the project and external parties.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Soliciting information in non-hostile interactions</p> <ol style="list-style-type: none"> 1. Conducts planned interactions with external stakeholders in a prepared manner, with desired results generally understood. 2. Communicates adequately in unplanned situations. 3. Solicits and reports the needs of external stakeholders. 4. Observes professional auditors and models their behavior. 	<p>Focus: Soliciting information in non-hostile interactions</p> <ol style="list-style-type: none"> 1. Prepares for and conducts planned interactions with external stakeholders with desired results understood. 2. Communicates adequately in unplanned situations. 3. Solicits and reports the needs of external stakeholders. 4. Observes professional auditors and models their behavior. 5. Learning how to interact with auditees to enable assessment of control environment during work. 	<p>Focus: Soliciting information in non-hostile interactions</p> <ol style="list-style-type: none"> 1. Prepares for and conducts planned interactions with external stakeholders with desired results clearly understood. 2. Communicates adequately in unplanned situations. 3. Solicits and reports the needs of external stakeholders. 4. Demonstrates professionalism. 5. Seeks opportunities to interact with auditees in ways that permit assessment of control environment during work.
AUDITOR II	<p>Focus: Interacting positively and building trust</p> <ol style="list-style-type: none"> 1. Conducts planned, non-hostile interactions with external stakeholders in a prepared manner, with desired results specifically and clearly understood. 2. Communicates effectively in unplanned, non-hostile situations. 3. Solicits and responds appropriately to the needs of external stakeholders. 4. Models professional auditor behavior in all interactions. 5. Coaches team members on interacting with auditees for purpose of assessing control environment. 6. Learning to maintain continuous communication with auditees throughout project. 7. Learning to consider and prepare for external stakeholders' reactions to messages. 	<p>Focus: Interacting positively and building trust</p> <ol style="list-style-type: none"> 1. Effectively conducts planned, non-hostile interactions with external stakeholders and helps team members to be prepared and understand desired results. 2. Communicates effectively in unplanned, non-hostile situations; Learning to handle hostile situations. 3. Initiates interactions with external stakeholders to obtain input on their needs. 4. In all interactions, models professional auditor behavior and supports team members in doing so. 5. Ensures team communicates assessment of control environment to auditee. 6. Routinely initiates communication with auditees throughout project. 7. Considers and prepares for external stakeholder reactions to messages and OCA mission. 	<p>Focus: Interacting positively and building trust</p> <ol style="list-style-type: none"> 1. Effectively conducts planned interactions with external stakeholders, including potentially hostile interactions. 2. Communicates effectively in unplanned non-hostile, and adequately in unplanned, hostile situations. 3. Assists external stakeholders in recognizing and prioritizing their needs. 4. Models professional auditor behavior and coaches others in doing so. 5. Ensures team communicates understanding of control environment to auditees. 6. Ensures continuous communication with auditees throughout project. 7. Assisting team in planning and preparing for external stakeholder reactions.
AUDITOR III	<p>Focus: Managing external expectations</p> <ol style="list-style-type: none"> 1. Prepares teams for external interactions and leads the way, whether adversarial, neutral, or friendly. 2. Communicates effectively in unplanned or hostile situations. 3. Coaching team leaders in planning and preparing for external stakeholder reactions. 4. As a professional auditor, acts as an "ambassador" to the City of Austin 	<p>Focus: Managing external expectations</p> <ol style="list-style-type: none"> 1. Supports team(s) in planning and executing external stakeholder interactions. 2. Supports team(s) in communicating effectively in unplanned or hostile situations. 3. As a professional auditor, acts as an "ambassador" to the City of Austin and community 	<p>Focus: Managing external expectations</p> <ol style="list-style-type: none"> 1. Proposes and executes innovative strategies to improve OCA communication with outside stakeholders. 2. Designs and executes OCA strategies that avoid or diffuse unwise or unnecessary conflicts with outside stakeholders. 3. Assists stakeholders in moving toward an objective perspective of the "common good" of the City and community. 4. As a professional auditor, acts as an "ambassador" to the entire "outside world"

Auditor - Project/Case Management

CORE

- . • Relate project elements to audit standards.
- . • Relate subject matter to project parameters.
- . • Complete assigned work within established timelines.
- . • Meet OCA's documentation standards (content and timeliness).
- . • Organize work in logical order.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Managing your own work</p> <ol style="list-style-type: none"> 1. Asks for advice from project leader on how to perform, document, and organize work 2. Completes individual tasks in timely and effective manner 3. Sets and maintains high work standards for self 	<p>Focus: Managing your own work</p> <ol style="list-style-type: none"> 1. With moderate assistance, beginning to perform, document, and organize work 2. Completes groups of tasks in timely and effective manner 3. Sets and maintains high work standards for self 4. Learning office standards for project tracking and reporting. 	<p>Focus: Managing your own work</p> <ol style="list-style-type: none"> 1. Demonstrates understanding of how to perform, document, and organize work 2. Completes objectives in timely and effective manner 3. Sets and maintains high work standards for self 4. With assistance, tracks and reports on assignments.
AUDITOR II	<p>Focus: Managing individual project, non-complex.</p> <ol style="list-style-type: none"> 1. With assistance, plans project document scheme and organizes work effectively. 2. Beginning to learn how to forecast timelines for the completion of assigned work. 3. Accommodates changing priorities with some assistance. 4. Is perceptive to errors in own work and that of team members. 5. Performs project tracking and reporting for an audit project. 	<p>Focus: Managing individual project, increasingly complex.</p> <ol style="list-style-type: none"> 1. Plans documentation scheme and organization of work. 2. Establishes reasonably accurate timelines for work and focuses team to meet timelines. 3. Establishes clear priorities and work expectations for team members. 4. Mentors other staff in project performance 5. With assistance, provides performance feedback to team members on process, documentation, and work organization. 6. Coaches team on project tracking and reporting. 	<p>Focus: Managing complex individual project.</p> <ol style="list-style-type: none"> 1. Coaches team members on documentation scheme and organization of work. 2. Develops and schedules project activities to ensure optimum use of time and resources. 3. Facilitates team in adapting to changing priorities and adjusting project activities. 4. Motivates team to achieve schedules while maintaining quality of product. 5. Provides performance feedback to team members on process, documentation, and work organization. 6. Coaches team on timely and effective project tracking and reporting.
AUDITOR III	<p>Focus: Managing multiple projects.</p> <ol style="list-style-type: none"> 1. Keeps up-to-date on issues and laws affecting OCA's work. 2. Develops project objectives, scope, and methodologies for ACA approval. 3. Learning to balance between delegating and performing work as needed for projects. 4. Learning to "work ahead," such as scheduling meetings in advance of deadlines, to allow work to proceed without downtime. 5. Learning to predict potential barriers and identify strategies to ensure project completion and success. 6. Learning to set team members up for on-time, on-budget project completion. 7. With assistance, provides formal and informal feedback to maintain project focus and deadlines. 	<p>Focus: Managing multiple projects</p> <ol style="list-style-type: none"> 1. Facilitates team in developing project O,S,&M for ACA approval. 2. Adequately balances delegating and performing work on projects. 3. Effectively juggles multiple priorities by working ahead, rather than following a linear approach to tasks. 4. Proactively identifies barriers and strategies to ensure project completion and success. 5. With minimal assistance sets team members up for on-time, on-budget project completion. 6. Initiates feedback to team members to ensure timely and high-quality project completion. 	<p>Focus: Managing multiple projects.</p> <ol style="list-style-type: none"> 1. Coaches others in developing OS&Ms. 2. Effectively delegates as well as performing work on projects. 3. Coaches others to work efficiently and manage multiple priorities. 4. Resolves project management issues such as timing or resource conflicts 5. Provides proactive assistance to team members to ensure project success 6. Routinely sets team members up for on-time, on-budget project completion. 7. Provides prompt, routine, and effective feedback, both formal and informal, to team members 8. Explores means for leveraging resources to achieve project objectives

Auditor - Technical Capacity and Professional Development

CORE

- Adhere to the appropriate professional standards including the Government Auditing Standards.
- Learn and apply basic methodologies, both qualitative and quantitative.
- Demonstrate ability to collect and document relevant and accurate evidence.
- Demonstrate continuous learning and growth, such as developing new skills.

EXAMPLES OF PERFORMANCE

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Learning audit techniques</p> <ol style="list-style-type: none"> 1. Learns and applies established methodologies for project tasks. 2. With assistance, collects data for assignments. 3. With assistance, checks accuracy of own work. 4. Assists in developing Data Collection Instrument (DCI). 5. With prompting, seeks involvement or information on a professional organization. 6. Learns and applies government auditing standards. 	<p>Focus: Learning audit techniques</p> <ol style="list-style-type: none"> 1. Learns and applies established methodologies for project tasks. 2. With minimal assistance, collects data for assignments. 3. With minimal assistance, checks accuracy of own work. 4. Assists in developing Data Collection Instrument (DCI). 5. Seeks involvement or information on a professional organization. 6. Learns and applies government auditing standards. 	<p>Focus: Applying methods/techniques</p> <ol style="list-style-type: none"> 1. Learns and applies established methodologies for project tasks 2. Independently collects data for assignments. 3. Independently checks accuracy of own work. 4. Proposes Data Collection Instrument (DCI) for use in specific assignments. 5. Becoming involved in a professional organization 6. Able to apply the regularly used government auditing standards 7. With assistance, analyzes data. 8. Learning to assess what constitutes sufficient and competent evidence for findings.
AUDITOR II	<p>Focus: Identifying methods/techniques</p> <ol style="list-style-type: none"> 1. With assistance, selects relevant methodologies for project. 2. With minimal assistance, develops relevant DCIs. 3. With minimal assistance analyzes data collected. 4. With assistance, checks accuracy of team members' work. 5. Regularly participates in professional organization(s) 6. Regularly applies government auditing standards. 7. Establishes adequate thresholds for the extent of evidence needed for findings. 	<p>Focus: Identifying and coordinating methods/techniques</p> <ol style="list-style-type: none"> 1. Learning role of audit in public sector governance. 2. Independently researches and employs different methodologies 3. Guides team in efficient methods to collect data. 4. Coaches team members in designing DCIs. 5. Coaching others to analyze data. 6. With minimal assistance, checks accuracy of team members' work. 7. Consistently makes contribution to profession and professional organization(s) 8. Ensures government auditing standards are followed and coaches team in how to follow them. 9. Coaches others on extent of work required for sufficient and competent evidence. 	<p>Focus: Coaching team to identify and implement relevant methods/ techniques</p> <ol style="list-style-type: none"> 1. Understands role of audit in public sector governance. 2. Independently identifies and employs different methodologies. 3. Beginning to develop specific expertise in selected methods/techniques/skills. 4. Coaches team members in designing and applying methodologies applicable to project objectives. 5. Coaches others on extent of work required for sufficient and competent evidence. 6. Independently analyzes data and develops conclusions. 7. Independently checks accuracy of team members' work. 8. Beginning to make significant contributions to profession through sharing knowledge and service to professional organization(s).
AUDITOR III	<p>Focus: Developing staff technical and professional skills</p> <ol style="list-style-type: none"> 1. Coaches staff on the role of audit in public sector. 2. Develops OSMs on multiple projects. 3. Exhibits expertise in selected methods/techniques/skills. 4. Coaches team members in selecting relevant methodologies for specific objectives. 5. Coaches team leaders in establishing effective/ efficient thresholds for extent of work needed. 6. With assistance, coaches team members to analyze data and develop conclusions. 7. Checks accuracy of work for multiple projects. 8. Makes contributions to profession through sharing knowledge and service to professional organization(s). 	<p>Focus: Developing staff technical and professional skills</p> <ol style="list-style-type: none"> 1. Keeps up-to-date on issues and laws affecting OCA's work. 2. Develops and coaches team members to develop OSMs on multiple projects. 3. Recognized as a key resource for OCA staff in a range of skills/methodologies relevant to the departmental mission. 4. Coaches team members in selecting relevant methodologies for projects. 5. Coaches team leaders in establishing effective/ efficient thresholds for extent of work needed. 6. With minimal assistance coaches team members to analyze data and develop conclusions. 7. Checks accuracy of work for multiple projects and coaches others to check accuracy. 8. Makes significant contributions to profession through sharing knowledge and service to professional organization(s). 	<p>Focus: Developing staff technical and professional skills</p> <ol style="list-style-type: none"> 1. Keeps up-to-date on issues and laws affecting OCA's work and the profession as a whole. 2. Develops and coaches team members to develop OSMs on multiple projects. 3. Recognized as a key resource for OCA staff in a range of skills/methodologies relevant to the departmental mission. 4. Coaches team members in selecting relevant methodologies for projects 5. Coaches team leaders in establishing effective/ efficient thresholds for extent of work needed. 6. Independently coaches team members to analyze data and develop conclusions. 7. Checks accuracy of work for multiple projects and coaches others to check accuracy. 8. Encourages others to become involved/make contributions to profession and professional organization(s)

Auditor - Conceptualization

CORE

- . • Distinguish between fact and opinion.
- . • Recognize risks inherent to the subject matter of the assignment.
- . • Continually question to increase understanding of project-related issues.
- . • Develop an understanding of different types of evidence and associated pros and cons.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Elements of findings</p> <ol style="list-style-type: none"> 1. Learning to distinguish between information that is significant to the objective and information that is not. 2. Learning the elements of a finding. 3. With assistance, learning to sort information into elements of a finding. 	<p>Focus: Elements of findings</p> <ol style="list-style-type: none"> 1. Learning how to assess control environment during work. 2. With some assistance, distinguishes between information that is significant to the objective and information that is not. 3. With some assistance, sorts information into elements of a finding 	<p>Focus: Elements of findings</p> <ol style="list-style-type: none"> 1. Seeks opportunities to assess control environment during work. 2. Distinguishes between information that is significant to the objective and information that is not. 3. Sorts information into elements of a finding
AUDITOR II	<p>Focus: Multiple findings</p> <ol style="list-style-type: none"> 1. Arranges data in a significant and useful manner for analysis. 2. Evaluates the credibility of information. 3. Learning to understand inherent risks by type of operation. 4. Bases selection of objectives and methodologies on risk assessment results. 5. Learning to develop key relationships among disparate data. 6. Distinguishes between critical and less important findings. 7. Appropriately generalizes to reach conclusions from evidence. 8. Learning to communicate essential message and data, without overcrowding of facts and figures. 9. Assesses control environment during work. 	<p>Focus: Multiple findings</p> <ol style="list-style-type: none"> 1. Arranges data into significant findings and identifies related causes. 2. With assistance, coaches team members to evaluate credibility of information. 3. Identifies critical issues based on inherent risk. 4. With assistance, coaches team members to select objectives and methodology based on risk assessment. 5. Develops key relationships among disparate data. 6. With assistance, coaches team members on distinguishing between critical and less important findings. 7. Provides summaries to support critical conclusions. 8. With some assistance, communicate essential message and data, without overcrowding of facts and figures. 9. With assistance, coaches team members on assessing control environment. 	<p>Focus: Multiple findings</p> <ol style="list-style-type: none"> 1. Coaches team members on arranging data into significant findings and identifying related causes. 2. Coaches team members to evaluate credibility of information. 3. Coaches team members on identifying critical issues based on inherent risk. 4. Coaches team members to select objectives and methodology based on risk assessment. 5. Coaches team members to develop key relationships among disparate data. 6. Coaches team members on distinguishing between critical and less important findings. 7. Beginning to coach team members on developing summaries to support critical conclusions. 8. Regularly communicates essential message and data, without overcrowding of facts and figures. 9. Coaches team members on assessing control environment.
AUDITOR III	<p>Focus: Risks and issues of projects</p> <ol style="list-style-type: none"> 1. Identifies and articulates critical issues for multiple projects. 2. With assistance, guides teams in selecting and implementing appropriate methodology. 3. Ensures that projects' methodologies sufficiently address objectives and scope. 4. Uses judgment in balancing exposure to risk with cost/benefit. 5. Recognizes overarching themes among risks and findings. 7. Synthesizes collected data into a format that will meet customer needs 8. Effectively communicates themes/messages associated with the project 6. Demonstrates willingness to use and consider non-traditional methods 	<p>Focus: Risks and issues of projects</p> <ol style="list-style-type: none"> 1. Beginning to coach teams to identify and articulates critical issues for multiple projects. 2. Guides teams in selecting and implementing appropriate methodology. 3. Beginning to coach teams to ensures that projects' methodologies sufficiently address objectives and scope. 4. With assistance, coaches teams on necessary judgments for balancing exposure to risk with cost/benefit. 5. With assistance, coaches teams to recognize overarching themes among risks and findings. 6. With assistance, coaches teams to synthesize collected data into a format that will meet customer needs 7. With assistance, coaches teams to communicate themes/messages associated with the project 8. Demonstrates ability to use and consider non-traditional methods. 	<p>Focus: Risks and issues of projects</p> <ol style="list-style-type: none"> 1. Coaches teams to identify and articulates critical issues for multiple projects. 2. Guides teams in selecting and implementing appropriate methodology. 3. Coaches teams to ensures that projects' methodologies sufficiently address objectives and scope. 4. Coaches teams on necessary judgments for balancing exposure to risk with cost/benefit. 5. Coaches teams to recognize overarching themes among risks and findings. 6. Coaches teams to synthesize collected data into a format that will meet customer needs 7. Coaches teams to communicate themes/messages associated with the project 8. Encourages others to use and consider non-traditional methods.

Auditor - Outputs

CORE

- . • Participate in the preparation of briefings with external sources.
- . • Preserve evidence in appropriate form (work papers, case files, or client files).
- . • Participate in the production of quality written products that meet relevant standards.
- . • Work with others to ensure that all products (verbal and written) are accurate.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Internal outputs/documents relating to project objectives</p> <ol style="list-style-type: none"> 1. Learning outputs related to OCA processes. 2. Learning to produce outputs that are significant to the objective of the project. 3. With assistance, produces outputs that are logically supported by evidence. 4. Helps produce internal milestone documents. 	<p>Focus: Internal outputs/documents relating to project objectives</p> <ol style="list-style-type: none"> 1. Understands outputs related to OCA processes. 2. With minimal assistance, produces outputs that are significant to the objective of the project. 3. With minimal assistance, produces outputs that are logically supported by evidence. 4. With assistance, may produce internal milestone documents. 5. With assistance, contributes to external outputs. 	<p>Focus: Internal outputs/documents relating to project objectives</p> <ol style="list-style-type: none"> 1. Coaches others on outputs related to OCA processes. 2. Independently produces outputs that are significant to the objective of the project. 3. Independently produces outputs that are logically supported by evidence. 4. Produces internal milestone documents. 5. With minimal assistance, contributes to external outputs.
AUDITOR II	<p>Focus: Outputs/documents relating to project</p> <ol style="list-style-type: none"> 1. Produces milestone documents related to a project. 2. Reviews quality of team members' outputs. 3. With moderate assistance, produces external outputs that meet OCA standards. 4. Learning relationship between outputs and main messages of project. 5. Drafts recommendations with assistance. 6. Participates in production of presentations/briefings. 	<p>Focus: Outputs/documents relating to project</p> <ol style="list-style-type: none"> 1. Leads team in producing internal milestone documents. 2. Produces and reviews team members' outputs. 3. With minimal assistance, outputs meet OCA standards 4. Learning to lead team in producing external outputs 5. Relates outputs to main messages of project 6. With minimal assistance, drafts recommendations. 7. Conducts briefings/presentations. 	<p>Focus: Outputs/documents relating to project</p> <ol style="list-style-type: none"> 1. Leads team in producing internal milestone documents 2. Produces, reviews & coaches team members on project outputs. 3. Outputs meet OCA standards 4. Leads team in producing external outputs. 5. Coaches team on relationship of outputs to main messages of project. 6. Drafts, reviews, and revises recommendations for project. 7. Develops and conducts briefings/presentations.
AUDITOR III	<p>Focus: Outputs/documents relating to multiple projects</p> <ol style="list-style-type: none"> 1. Learning to lead teams in producing outputs that meet OCA standards. 2. Learning to coach teams in envisioning external outputs. 3. With assistance, negotiates points of difference with auditee/client. 4. Assists with the production of information destined for Council. 5. Learning to facilitate recommendation development with management. 6. Coaches teams on developing presentations/briefings. 	<p>Focus: Project planning and implementation</p> <ol style="list-style-type: none"> 1. Leads teams in producing outputs that meet OCA standards. 2. Coaches teams in envisioning external outputs. 3. Negotiates points of difference with auditee/client. 4. Produces and communicates information to executive level management and CMO. 5. Facilitates development of recommendations with management to ensure feasibility and acceptance. 6. Coaches teams on developing presentations/briefings. 	<p>Focus: Project planning and implementation.</p> <ol style="list-style-type: none"> 1. Ensures that, overall, outputs meet relevant quality standards 2. Coaches teams in envisioning external outputs. 3. Helps others negotiate points of difference with auditee/client. 4. Produces and communicates information to executive level management and CMO. 5. Coaches teams to facilitate recommendation development with management. 6. Coaches teams on developing presentations/briefings.

Auditor - Outcomes

(measured over a 2-year time span)

CORE

- Contribute to completion of projects that achieve the goals and objectives that are suggested through recommendations and strategies.
- Assist in the development of quick response projects that meet the needs of the requestor.
- Contribute to development of feasible recommendations, which, if implemented, improve in measurable, verifiable ways, the performance of City processes, services, activities, programs, or cross-cutting functions.
- Produce outputs that meet the needs of the customer and result in high customer satisfaction ratings.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Outcome of specific tasks</p> <ol style="list-style-type: none"> 1. Learning to accomplish tasks that contribute to the successful completion of one or more project objectives. 	<p>Focus: Outcome of specific tasks</p> <ol style="list-style-type: none"> 1. With moderate assistance, accomplishes tasks that contribute to the successful completion of one or more project objectives. 	<p>Focus: Outcome of specific tasks</p> <ol style="list-style-type: none"> 1. Consistently accomplishes tasks that contribute to the successful completion of one or more project objectives. 2. Begins to accomplish specific objectives to promote project success.
AUDITOR II	<p>Focus: Outcome of project.</p> <ol style="list-style-type: none"> 1. Takes responsibility for successful completion of project objectives. 2. Begins to promote project objectives that address one or more of the performance accountability objectives. 3. Completed project contributes to improved accountability, integrity, or service delivery for specific activities. 4. Learning to obtain concurrence with findings and recommendations. 	<p>Focus: Outcome of projects</p> <ol style="list-style-type: none"> 1. Learning to lead team to successful completion of project objectives. 2. Develops project objectives that address one or more of the performance accountability objectives. 3. Completed project contributes to improved accountability, integrity, or service delivery for specific activities. 4. Obtains concurrence with findings and recommendations. 	<p>Focus: Outcome of projects</p> <ol style="list-style-type: none"> 1. Leads team to successful completion of project objectives. 2. Begins to teach others to identify project objectives that address one or more of the performance accountability objectives 3. Completed project contributes to improved accountability, integrity, or service delivery for specific activities. 4. Coaches team to obtain concurrence with findings and recommendations.
AUDITOR III	<p>Focus: Multiple project outcomes</p> <ol style="list-style-type: none"> 1. Shares accountability for teams' outcomes. 2. Beginning to teach others how to accomplish project objectives that address one or more of the performance accountability objectives. 3. Programs and activities audited/assisted achieve expected outcomes. 4. Teams achieve high rate of concurrence from auditees. 	<p>Focus: Multiple project outcomes</p> <ol style="list-style-type: none"> 1. Shares accountability for teams' outcomes. 2. Teaches others how to accomplish project objectives that address one or more of the performance accountability objectives. 3. Programs and activities audited/assisted achieve expected outcomes. 4. Teams achieve high rate of concurrence from auditees. 	<p>Focus: Multiple project outcomes</p> <ol style="list-style-type: none"> 1. Shares accountability for teams' outcomes. 2. Teaches others how to accomplish project objectives that address one or more of the performance accountability objectives. 3. Begins to achieve the mission of the department through the successful completion of projects. 4. Teams achieve high rate of concurrence from auditees.

Auditor - Office Capacity Building/Management System Improvement

CORE

- . • Participate in improving office systems.
- . • Respond promptly and diligently to requests from others working on internal projects.
- . • Adapt to new policies and changes in office procedures.

EXAMPLES OF PERFORMANCE:

	Zone 1	Zone 3	Zone 5
AUDITOR I	<p>Focus: Participating in capacity building and improvement</p> <ol style="list-style-type: none"> 1. Becoming familiar with OCA policies. 2. Participates on at least one internal project. 3. Provides information needed on other internal projects. 	<p>Focus: Participating in capacity building and improvement</p> <ol style="list-style-type: none"> 1. Assists with writing new or revised policies. 2. Participates on at least one internal project. 3. Provides information needed on other internal projects. 	<p>Focus: Participating in capacity building and improvement</p> <ol style="list-style-type: none"> 1. Assists with writing new or revised policies. 2. Participates on at least one internal project. 3. Provides information needed on other internal projects.
AUDITOR II	<p>Focus: Leads capacity building and improvements</p> <ol style="list-style-type: none"> 1. With assistance, writes new or revised policies. 2. Leads an internal project or completes a segment of a large internal project. 	<p>Focus: Leads capacity building and improvements</p> <ol style="list-style-type: none"> 1. Independently writes new or revised policies. 2. Leads an internal project or a segment of a large internal project. 3. Participates on at least 2 internal projects during the review period. 	<p>Focus: Conceptualizes the need for capacity building and improvements</p> <ol style="list-style-type: none"> 1. Identifies need for and writes new or revised policies 2. Conceptualizes the need for a new internal project and volunteers to participate on the project or lead it. 3. Participates on at least 2 internal projects during the review period.
AUDITOR III	<p>Focus: Encouraging others in capacity building and improvement</p> <ol style="list-style-type: none"> 1. Identifies need for and solicits assistance in writing new or revised policies. 2. Conceptualizes the need for a new internal project and obtains volunteers to participate on the project. 3. Leads internal project. 4. Participates on multiple internal projects. 5. Begins to develop specialization in an office system or process 	<p>Focus: Encouraging others in capacity building and improvement</p> <ol style="list-style-type: none"> 1. Encourages others to write new or revised policies. 2. Conceptualizes the need for a new internal project and obtains volunteers to participate. 3. Leads and completes internal project. 4. Participates on multiple internal projects. 5. Develops specialization in an office system or process. 	<p>Focus: Encouraging others in capacity building and improvement</p> <ol style="list-style-type: none"> 1. Encourages others to identify new or revised policies 2. Helps another conceptualize the need for a new internal project and coaches that person in leading the team. 3. Participates on multiple internal projects. 4. Contributes significantly so specific office systems or processes.

AUDIT INVESTIGATOR MATRIX

Audit Investigator - Internal Behavior

CORE

- . • Adhere to OCA policies.
- . • Does not compromise commitment to integrity for advancement, honor, or personal gain.
- . • Possess and maintain the highest standards of conduct, and loyalty in both official and personal matters.
- . • Respect and protect privileged information.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
AUDIT INVESTIGATOR I Learning & doing with direct supervision	Focus: Listening, observing, learning, and supporting OCA/CAIU staff under direct supervision 1. Gains trust, respect, and confidence of team members. 2. Assertive in expressing opinions and ideas to team members. 3. Solicits, receives, and uses information from colleagues for improvement	Focus: Listening, observing, learning, and supporting OCA/CAIU staff with assistance 1. Gains trust, respect, and confidence of team members. 2. Assertive in expressing opinions and ideas to team members. 3. Solicits, receives, and uses information from colleagues for improvement	Focus: Learning, supporting, participating with OCA/CAIU staff independently 1. Gains trust, respect, and confidence of team members. 2. Assertive in expressing opinions and ideas to team members. 3. Solicits, receives, and uses information from colleagues for improvement
AUDIT INVESTIGATOR II Planning & leading segment-based projects; doing w/minimal assistance	Focus: Participating in team discussions/decisions when prompted 1. Willing to plan and lead segment based projects regardless of perceived importance 2. Values ideas and viewpoints of all project team members 3. Seeks to maintain professional relationships with all OCA staff 4. Ability to discuss errors and opportunities for improvement on segment based projects.	Focus: Contributing to team discussions/decisions with minimal prompting 1. Willing to plan and lead segment based projects regardless of perceived importance 2. Values ideas and viewpoints of all project team members 3. Seeks to maintain professional relationships with all OCA staff 4. Ability to discuss errors and opportunities for improvement on segment based projects.	Focus: Leading team discussions/decisions without prompting 1. Willing to plan and lead segment based projects regardless of perceived importance 2. Values ideas and viewpoints of all project team members 3. Seeks to maintain professional relationships with all OCA staff 4. Ability to discuss errors and opportunities for improvement on segment based projects.
AUDIT INVESTIGATOR III Planning & leading systems-based projects; developing others; selling CAIU services	Focus: Developing, mentoring, and facilitating team discussions/decisions under the direction of ACA 1. Supports and encourages effective teamwork among peers & subordinates. 2. Practices conflict resolution and flexes leadership style to fit the individual. 3. Encourages others to participate in professional activities and associations. 4. Rewards contributions of others. 5. Maintains honest/open communication with team members and XMT. 6. Models OCA values/expectations, and coaches all staff in demonstrating them. 7. Helps others resolve behavioral problems	Focus: Developing, mentoring, and facilitating team discussions/decisions with assistance from ACA 1. Supports and encourages effective teamwork among peers & subordinates. 2. Practices conflict resolution and flexes leadership style to fit the individual. 3. Encourages others to participate in professional activities and associations. 4. Rewards contributions of others. 5. Maintains honest/open communication with team members and XMT. 6. Models OCA values/expectations, and coaches all staff in demonstrating them. 7. Helps others resolve behavioral problems	Focus: Developing, mentoring facilitating in team discussions/decisions with advice from ACA 1. Supports and encourages effective teamwork among peers & subordinates. 2. Practices conflict resolution and flexes leadership style to fit the individual. 3. Encourages others to participate in professional activities and associations. 4. Rewards contributions of others. 5. Maintains honest/open communication with team members and XMT. 6. Models OCA values/expectations, and coaches all staff in demonstrating them. 7. Helps others resolve behavioral problems

Audit Investigator - External Behavior

CORE

- . • Maintain a professional demeanor (dress, speech, and personal conduct) with external resources, COA employees, and citizens.
- . • Deal honestly with victims, informants, and friendly witnesses.
- . • Maintain objectivity and due professional care in contacts.
- . • Remain calm and in control in stressful situations and show consideration and respect for others when appropriate.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
<p>AUDIT INVESTIGATOR I</p> <p>Learning & doing with direct supervision</p>	<p>Focus: Obtaining information under direct supervision; exhibiting courtesy and respect in interactions with others</p> <ol style="list-style-type: none"> Learns to employ effective listening and interviewing skills. Learns to gain trust, respect, and confidence of informants and friendly witnesses. Maintains composure in stressful situations Observes professional investigators and models their behavior 	<p>Focus: Obtaining information with assistance; exhibiting courtesy and respect in interactions with others</p> <ol style="list-style-type: none"> Learns to employ effective listening and interviewing skills. Learns to gain trust, respect, and confidence of informants and friendly witnesses. Maintains composure in stressful situations Observes professional investigators and models their behavior 	<p>Focus: Obtaining information independently; learning to provide information with assistance; exhibiting courtesy and respect in interactions with others</p> <ol style="list-style-type: none"> Learns to employ effective listening and interviewing skills. Learns to gain trust, respect, and confidence of informants and friendly witnesses. Maintains composure in stressful situations Observes professional investigators and models their behavior
<p>AUDIT INVESTIGATOR II</p> <p>Planning & leading segment-based projects; doing w/minimal assistance</p>	<p>Focus: Routinely obtaining and providing various types of information; learning to build professional relationships with assistance</p> <ol style="list-style-type: none"> Learns to provide clear, concise, timely, and factual reports for segment-based projects to administrative decision makers. Learns to practice effective presentation styles and use in all communication with external sources (emails, memos, reports, telephone conversations, formal presentations, etc.) regarding segment-based projects. Teaches team members effective communication styles for defending positions and responding to queries Maintains objectivity throughout segment based projects 	<p>Focus: Routinely obtaining and providing various types of information; building and learning to maintain professional relationships with minimal assistance</p> <ol style="list-style-type: none"> Learns to provide clear, concise, timely, and factual reports for segment-based projects to administrative decision makers. Learns to practice effective presentation styles and use in all communication with external sources (emails, memos, reports, telephone conversations, formal presentations, etc.) regarding segment-based projects. Teaches team members effective communication styles for defending positions and responding to queries Maintains objectivity throughout segment based projects 	<p>Focus: Building and maintaining professional relationships independently; learning to negotiate areas of dispute</p> <ol style="list-style-type: none"> Learns to provide clear, concise, timely, and factual reports for segment-based projects to administrative decision makers. Learns to practice effective presentation styles and use in all communication with external sources (emails, memos, reports, telephone conversations, formal presentations, etc.) regarding segment-based projects. Teaches team members effective communication styles for defending positions and responding to queries Maintains objectivity throughout segment based projects
<p>AUDIT INVESTIGATOR III</p> <p>Planning & leading systems-based projects; developing others; selling CAIU services</p>	<p>Focus: Negotiating; marketing CAIU services; consulting under the direction of ACA</p> <ol style="list-style-type: none"> Capable of teaching effective listening and interviewing skills. Able to help others provide clear, concise, timely, and factual reports for system based projects to administrative decision makers. Able to help others with effective presentation styles for all communication with external sources (emails, memos, reports, telephone conversations, formal presentations, etc.) Able to show others how to gain trust, respect, and confidence of informants, witnesses, COA managers and City Council members. Can show others how to model professional investigator behavior in all interactions Marketing CAIU integrity system to external stakeholders 	<p>Focus: Negotiating; marketing CAIU services; consulting with assistance from ACA</p> <ol style="list-style-type: none"> Capable of teaching effective listening and interviewing skills. Able to help others provide clear, concise, timely, and factual reports for system based projects to administrative decision makers. Able to help others with effective presentation styles for all communication with external sources (emails, memos, reports, telephone conversations, formal presentations, etc.) Able to show others how to gain trust, respect, and confidence of informants, witnesses, COA managers and City Council members. Can show others how to model professional investigator behavior in all interactions Marketing CAIU integrity system to external stakeholders 	<p>Focus: Negotiating; marketing CAIU services; consulting with advice from ACA</p> <ol style="list-style-type: none"> Capable of teaching effective listening and interviewing skills. Able to help others provide clear, concise, timely, and factual reports for system based projects to administrative decision makers. Able to help others with effective presentation styles for all communication with external sources (emails, memos, reports, telephone conversations, formal presentations, etc.) Able to show others how to gain trust, respect, and confidence of informants, witnesses, COA managers and City Council members. Shows others how to model professional investigator behavior in all interactions Marketing CAIU integrity system to external stakeholders

Audit Investigator - Project/Case Management

CORE

- . • Be cognizant of applicable, relevant laws, regulations, policies, standards, and guidelines related to subject.
- . • Complete assigned work within established timelines.
- . • Be well-prepared and punctual for scheduled case or fraud project events.
- . • Obtain and provide continuous feedback to determine if coaching was effective in accomplishing what was agreed upon.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
AUDIT INVESTIGATOR I Learning & doing with direct supervision	Focus: Performing/organizing tasks as assigned under direct supervision 1. Produces documentation for integrity projects as assigned 2. Asks for advice from project leader on how to perform, document, and organize work 3. Completes individual tasks in timely and effective manner 4. Sets and maintains high work standards for self	Focus: Performing/organizing tasks as assigned with assistance 5. Learns to develop sufficient, competent, and relevant documentation for integrity projects. 6. Begins to organize, document, and perform own workload as assigned 7. Prioritizes assigned tasks to meet established deadlines 8. Sets and maintains high work standards for self	Focus: Performing/organizing tasks as assigned independently 1. Demonstrates development of sufficient, competent, and relevant documentation for integrity projects. 2. Demonstrates understanding of how to perform, document, and organize work 3. Negotiates with lead investigator s when competing priorities have conflicting deadlines 4. Sets and maintains high work standards for self
AUDIT INVESTIGATOR II Planning & leading segment-based projects; doing w/minimal assistance	Focus: Planning/leading non-complex segment-based projects with assistance 1. Develops effective work plans for non-complex integrity projects 2. Learns to establish accurate and realistic timelines for completion of project 3. Leads integrity projects from beginning to completion with assistance 4. Learns to anticipate potential barriers to completion of project objectives with assistance 5. Accommodates changing priorities with some assistance. 6. Is perceptive to errors in own work and that of team members.	Focus: Planning/leading increasingly complex segment-based projects with minimal assistance 1. Develops effective work plans for increasingly complex integrity projects 2. Establishes realistic and reasonably accurate timelines for work; focuses team to meet timelines. 3. Leads integrity projects from beginning to completion with minimal assistance 4. Anticipates and learns to address potential barriers to project completion 5. Establishes clear priorities and work expectations for team members. 6. With assistance, provides feedback to team members on process, documentation, and work organization.	Focus: Planning/leading complex segment-based projects independently 1. Coaches team members on the development of effective work plans for integrity projects. 2. Develops and schedules project activities to ensure optimum use of time and resources. 3. Facilitates team in adapting to changing priorities and adjusting project activities. 4. Anticipates and effectively addresses potential barriers to project completion 5. Motivates team to achieve schedules while maintaining quality of product. 6. Provides performance feedback to team members on process, documentation, and work organization
AUDIT INVESTIGATOR III Planning & leading systems-based projects; developing others; selling CAIU services	Focus: Planning/leading non-complex systems-based projects under the direction of the ACA 1. Develops project objectives for and leads systems-based integrity projects 2. Learns to “sell” or “market” CAIU’s menu of services while conducting integrity projects 3. Learns to balance between delegating and performing work as needed for projects 4. Learns to anticipate potential barriers to completion of systems-based projects 5. Learns to juggle multiple priorities by working ahead, rather than following a linear approach 6. With assistance, provides formal and informal feedback to maintain project focus and deadlines	Focus: Planning/leading increasingly complex systems-based projects with assistance from the ACA 1. Develops project objectives for and leads systems-based integrity projects 2. Identifies ways to sell/market the menu of CAIU services while conducting integrity projects. 3. Adequately balances delegating and performing work on projects 4. Effectively juggles multiple priorities by working ahead, rather than following a linear approach 5. Anticipates and learns to effectively address barriers and to project completion and success. 6. Initiates feedback to team members to ensure timely and high-quality project completion	Focus: Planning/leading complex systems-based projects with advice from ACA 1. Develops project objectives for and leads systems-based integrity projects 2. Effectively sells/markets the menu of CAIU services while conducting integrity projects 3. Coaches others to work efficiently and manage multiple priorities. 4. Resolves project management issues such as timing or resource conflicts 5. Provides prompt, routine, and effective feedback, both formal and informal, to team members 6. Explores means for leveraging resources to achieve project objectives

Audit Investigator - Technical Capacity and Professional Development

CORE

- Demonstrate continuous learning and growth, such as developing new skills or studying for professional certifications.
- Demonstrate techniques for collecting and documenting relevant and accurate data for administrative support or legal action.
- Learn and apply basic methodologies such as content analysis, ratio analysis, sampling, spreadsheet analysis, etc.
- Apply knowledge obtained from external sources (training, former jobs) to OCA work.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
<p>AUDIT INVESTIGATOR I</p> <p>Learning & doing with direct supervision</p>	<p>Focus: Learning and performing applicable methods/techniques under direct supervision</p> <ol style="list-style-type: none"> 1. Learns and applies established methodologies for project tasks. 2. Learns and begins to apply principles of fraud examination 3. Learns basic elements of internal control 4. Learns organization and functions of City departments 5. With assistance, collects data for assignments. 6. With assistance, learns to conduct simple analyses of data collected 	<p>Focus: Recognizing and applying applicable method/techniques with assistance</p> <ol style="list-style-type: none"> 1. Recognizes and applies established methodologies for project tasks 2. Recognizes and applies principles of fraud examination 3. With minimal assistance, collects data for assignments 4. Understands basic elements of internal control 5. Develops understanding of organization and functions of City departments 6. With minimal assistance conducts simple analysis of data collected 7. Explore development of skills needed by CAIU 	<p>Focus: Recognizing and applying applicable method/techniques independently</p> <ol style="list-style-type: none"> 1. Recognizes and applies established methodologies for project tasks 2. Recognizes and applies principles of fraud examination 3. Independently collects data for assignments 4. Learns to recognize when basic elements of internal control are lacking or need improvement 5. Possesses an understanding of organization and functions of City departments 6. Independently conducts simple analyses on data collected 7. Initiates the development of a skill needed by CAIU 8. Explores involvement in and begins to acquire information on a professional organization
<p>AUDIT INVESTIGATOR II</p> <p>Planning & leading segment-based projects; doing w/minimal assistance</p>	<p>Focus: Seeks/explores innovative professional development initiatives with assistance</p> <ol style="list-style-type: none"> 1. With assistance, selects relevant methodologies for project. 2. With assistance, learns to conduct increasingly complex analyses of data collected 3. Initiates involvement in a professional organization 4. Regularly applies principles of fraud examination 5. Learns to coach others on organization and functions of City departments 6. Understands segment-based elements of internal control and can recognize when those elements are weak or lacking 7. Acquires/develops skill needed by CAIU or OCA 	<p>Focus: Seeks/explores innovative professional development initiatives with minimal assistance</p> <ol style="list-style-type: none"> 1. With minimal assistance selects relevant methodologies for project 2. With minimal assistance, conducts increasingly complex analyses of data collected 3. Begins regular involvement in a professional organization 4. Regularly applies and coaches other on the principles of fraud examination 5. Coaches others on organization and functions of City departments 6. Coaches others to identify weaknesses in segment-based elements of internal control 7. Acquires/develops skill needed by CAIU or OCA 	<p>Focus: Developing expertise; participating in continuous professional development initiatives independently</p> <ol style="list-style-type: none"> 1. Independently selects relevant methodologies for project 2. Independently conducts complex analyses of data collected 3. Regularly participates in a professional organization 4. Regularly applies and coaches other on the principles of fraud examination 5. Coaches others on organization and functions of City departments 6. Coaches others to identify weaknesses in segment-based elements of internal control 7. Acquires/develops skill needed by CAIU or OCA
<p>AUDIT INVESTIGATOR III</p> <p>Planning & leading systems-based projects; developing others; selling CAIU services</p>	<p>Focus: Demonstrated expertise; promoting COA and professional initiatives under the direction of ACA</p> <ol style="list-style-type: none"> 1. Understands and coaches others on the selection of relevant methodologies for project 2. Coaches others on the principles of fraud examination 3. Coaches others on COA organization, structure, and related integrity system components 4. Understands and coaches other to recognize when system-based elements of internal control need improvement 5. Demonstrates expertise in skill needed by CAIU or OCA 6. Contributes to profession through collaborative information sharing, training, etc 	<p>Focus: Ability to teach/coach methods/techniques within OCA; promoting COA and professional initiatives with assistance from ACA</p> <ol style="list-style-type: none"> 1. Understands and coaches others on the selection of relevant methodologies for project 2. Coaches others on the principles of fraud examination 3. Coaches others on COA organization, structure, and related integrity system components 4. Coaches other to recognize when system-based elements of internal control need improvement 5. Demonstrates expertise in skill needed by CAIU or OCA 6. Contributes significantly to profession through collaborative information sharing, training, etc 	<p>Focus: Ability to teach/coach methods/techniques externally; promoting COA and professional initiatives with advice from ACA</p> <ol style="list-style-type: none"> 1. Understands and coaches others on the selection of relevant methodologies for project 2. Coaches others on the principles of fraud examination 3. Understands and coaches others on COA organization, structure, and related integrity system components 4. Understands and coaches other to recognize when system-based elements of internal control need improvement 5. Encourages others to develop expertise in skill needed by CAIU or OCA 6. Regularly contributes to profession through collaborative information sharing, training, etc

Audit Investigator - Conceptualization

CORE

- . • Recognize risks inherent to the subject matter of the assignment.
- . • Continually question to increase understanding of project-related issues.
- . • Identify facts relevant to the case.
- . • Clearly describes important events in the case file.
- . • Apply professional reasoning when voting on various stages of the case, after examining information or facts.
- . • Encourage and support consensus process.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
AUDIT INVESTIGATOR I Learning & doing with direct supervision	Focus: Learning how discrete tasks contribute to project outcomes or unit objectives with assistance expected 1. Learn characteristics of most common types of integrity violations 2. Learn to identify evidence to prove or disprove integrity violations 3. Learn to recognize key elements of mgmt control 4. Learn to identify steps to detect red flags 5. Become familiar with City organization and functions	Focus: Learning how discrete task contribute to project outcomes or unit objectives with assistance 1. Learn characteristics of most common types of integrity violations 2. Learn to identify evidence to prove or disprove integrity violations 3. Learn to recognize key elements of mgmt control 4. Learn to identify steps to detect red flags 5. Become familiar with City organization and functions	Focus: Learning how discrete task contribute to project outcomes or unit objectives independently 1. Learn characteristics of most common types of integrity violations 2. Learn to identify evidence to prove or disprove integrity violations 3. Learn to recognize key elements of mgmt control 4. Learn to identify steps to detect red flags 5. Become familiar with City organization and functions
AUDIT INVESTIGATOR II Planning & leading segment-based projects; doing w/minimal assistance	Focus: Ability to develop plans to achieve stated objectives with assistance 1. Design projects to prove/disprove integrity violations; assess mgmt controls; detect red flag of integrity violations 2. Compile, organize, and analyze project documentation to draw conclusions, develop findings, and determine improvement opportunities 3. Identify the need for and develop segment-based prevention /awareness strategies 4. Provide segment-based consultation to OCA auditors for Yellow Book fraud detection requirements	Focus: Ability to develop plans to achieve stated objectives with minimal assistance 1. Design projects to prove/disprove integrity violations; assess mgmt controls; detect red flag of integrity violations 2. Compile, organize, and analyze project documentation to draw conclusions, develop findings, and determine improvement opportunities 3. Identify the need for and develop segment-based prevention /awareness strategies 4. Provide segment-based consultation to OCA auditors for Yellow Book fraud detection requirements	Focus: Ability to develop plans to achieve stated objectives independently 1. Design projects to prove/disprove integrity violations; assess mgmt controls; detect red flag of integrity violations 2. Compile, organize, and analyze project documentation to draw conclusions, develop findings, and determine improvement opportunities 3. Identify the need for and develop segment-based prevention /awareness strategies 4. Provide segment-based consultation to OCA auditors for Yellow Book fraud detection requirements
AUDIT INVESTIGATOR III Planning & leading systems-based projects; developing others; selling CAIU services	Focus: Recognizes need for the application of systems based approaches under direction of ACA 1. Identify the need for and develop system-based prevention and awareness strategies 2. Develop methods to increase visibility of integrity system 3. Identify opportunities to market CAIU services 4. Provide system-based consultation to OCA auditors for Yellow Book fraud detection requirements	Focus: Recognizes need for the application of systems based approaches with assistance from ACA 1. Identify the need for and develop system-based prevention and awareness strategies 2. Develop methods to increase visibility of integrity system 3. Identify opportunities to market CAIU services 4. Provide system-based consultation to OCA auditors for Yellow Book fraud detection requirements	Focus: Recognizes need for the application of systems based approaches with advice from ACA 1. Identify the need for and develop system-based prevention and awareness strategies 2. Develop methods to increase visibility of integrity system 3. Identify opportunities to market CAIU services 4. Provide system-based consultation to OCA auditors for Yellow Book fraud detection requirements

Audit Investigator - Outputs

CORE

- . • Produce expected deliverables - cases yield facts and information, fraud detection projects yield potential integrity violations or control breakdowns.
- . • Help preserve evidence and build a completed case file for prosecutors.
- . • Participate in the production of quality written products that meet GAS and OCA standards.
- . • Work with others to ensure that all case presentations, verbal and written, are accurate.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
AUDIT INVESTIGATOR I Learning & doing with direct supervision	Focus: Produce internal outputs/documents for discrete tasks under direct supervision and with revisions expected 1. Learn to prepare summaries (e.g., interview write-ups, tables, chronologies, and charts) 2. Learn to document relevant background information 3. Learn to verbally brief team on results of assignments 4. Learn to conduct research to identify best practices approaches 5. Learn to conduct simple analyses of data/information	Focus: Produce internal outputs/documents for discrete tasks with assistance and with minimal revisions expected 1. Prepare written summaries (e.g., interview write-ups, tables, chronologies, charts) 2. Document relevant background information 3. Deliver verbal briefings during team meetings on results of assignments 4. Conduct research to identify best practices approaches 5. Conduct simple analyses of data/information	Focus: Produce internal outputs/documents for discrete tasks independently and with few revisions expected 1. Prepare written summaries (e.g., interview write-ups, tables, chronologies, and charts) 2. Document relevant background information 3. Deliver verbal briefings during team meetings on results of assignments 4. Conduct research to identify best practices approaches 5. Conduct simple analyses of data/information
AUDIT INVESTIGATOR II Planning & leading segment-based projects; doing w/minimal assistance	Focus: Produce verbal and written outputs for internal and external stakeholders with assistance and with revisions expected. 1. Develop plans for prevention, detection, investigation, and control assessments 2. Prepare external written reports, verbal briefings, containing results of integrity projects 3. Prepare presentations to department managers, AFC, Council, or MIC 4. Deliver external presentations to department managers, AFC, Council, or MIC for integrity projects 5. Conduct complex analyses of data/information	Focus: Produce verbal and written outputs for internal and external stakeholders with assistance and with minimal revisions expected. 1. Develop plans for prevention, detection, investigation, and control assessments 2. Prepare written reports, verbal briefings, containing results of integrity projects 3. Prepare presentations to department managers, AFC, Council, or MIC 4. Deliver external presentations to department managers, AFC, Council, or MIC for integrity projects 5. Conduct complex analyses of data/information	Focus: Produce verbal and written outputs for internal and external stakeholders independently with few revisions expected. 1. Develop plans for prevention, detection, investigation, and control assessments 2. Prepare written reports, verbal briefings, containing results of integrity projects 3. Prepare presentations to department managers, AFC, Council, or MIC 4. Deliver external presentations to department managers, AFC, Council, or MIC for integrity projects 5. Conduct complex analyses of data/information
AUDIT INVESTIGATOR III Planning & leading systems-based projects; developing others; selling CAIU services	Focus: Provides substantive review and revision of CAIU outputs under direction of ACA 1. Learn to prepare and deliver written reports or verbal presentations on integrity issues to professional journals, organizations, or City-wide audiences 2. Learns to provides substantive review and revision of CAIU outputs 3. Learns to reviews project documentation to ensure support exists for conclusions/action 4. Learns to provide coaching and constructive feedback on CAIU processes/outputs	Focus: Provides substantive review and revision of CAIU outputs with assistance from ACA 1. Prepares and delivers written reports or verbal presentations on integrity issues to professional journals, organizations, or City-wide audiences 2. Provides substantive review and revision of CAIU outputs 3. Reviews project documentation to ensure support exists for conclusions/action 4. Provide coaching and constructive feedback on CAIU processes/outputs	Focus: Provides substantive review and revision of CAIU outputs with advice from ACA Encourages others to prepares and deliver written reports or verbal presentations on integrity issues to professional journals, organizations, or City-wide audiences Coaches others to provides substantive review and revision of CAIU outputs Coaches others to review project documentation to ensure support exists for conclusions/action Coaches others on ways to provide coaching and constructive feedback on CAIU processes/outputs

Audit Investigator - Outcomes

CORE

- Assists in CAIU’s efforts to decrease fraud, waste, and abuse within the City of Austin through individual and system based projects aimed at prevention, detection, intervention/investigation, and follow-through.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
<p>AUDIT INVESTIGATOR I</p> <p>Learning & doing with direct supervision</p>	<p>Focus: Successful completion of tasks as assigned to support project objectives under direct supervision</p> <p>1. Assists lead investigator with projects that result in successful completion of project.</p>	<p>Focus: Successful completion of tasks as assigned to support project objectives with assistance</p> <p>1. Assists lead investigator with concurrent projects that result in successful completion of projects.</p>	<p>Focus: Successful completion of tasks as assigned to support project objectives independently</p> <p>1. Independently completes assigned tasks on project(s) that result in successful completion of project.</p>
<p>AUDIT INVESTIGATOR II</p> <p>Planning & leading segment-based projects; doing w/minimal assistance</p>	<p>Focus: Develop and conduct fraud control activities to support improvements in COA integrity system with assistance</p> <p>Conducts non-complex integrity projects with assistance which result in:</p> <p>1. accountability actions by management; 2. recovery or future savings of City funds; 3. improvement of management controls; 4. acceptance by prosecutors (as applicable); 5. education of managers through interaction; or 6. identification of “red flags” of fraud or control weaknesses from detection efforts.</p>	<p>Focus: Develop and conduct fraud control activities to support improvements in COA integrity system with minimal assistance</p> <p>Conducts increasingly complex integrity projects with minimal assistance which result in:</p> <p>1. accountability actions by management; 2. recovery or future savings of City funds; 3. improvement of management controls; 4. acceptance by prosecutors (as applicable); 5. education of managers through interaction, or 6. identification of “red flags” of fraud or control weaknesses from detection efforts.</p>	<p>Focus: Develop and conduct fraud control activities to support improvements in COA integrity system independently but with oversight from ACA</p> <p>Conducts complex integrity projects independently which result in:</p> <p>1. accountability actions by management; 2. recovery or future savings of City funds, 3. improvement of management controls; 4. acceptance by prosecutors (as applicable), 5. education of managers through interaction, or 6. identification of “red flags” of fraud or control weaknesses from detection efforts.</p>
<p>AUDIT INVESTIGATOR III</p> <p>Planning & leading systems-based projects; developing others; selling CAIU services</p>	<p>Focus: Advocating for improvements in COA integrity system under direction of ACA</p> <p>Conducts systems-based project under direction of the ACA which result in:</p> <p>1. deterrence through increased awareness of integrity system; 2. building the capacity of management to recognize ethical/integrity violations; or 3. increased visibility of the integrity system.</p>	<p>Focus: Advocating for improvements in COA integrity system with assistance from ACA</p> <p>Conducts systems-based project with assistance from the ACA which result in:</p> <p>1. deterrence through increased awareness of integrity system; 2. building the capacity of management to recognize ethical/integrity violations; or 3. increased visibility of the integrity system.</p>	<p>Focus: Advocating for improvements in COA integrity system with advice from ACA</p> <p>Conducts systems-based project with advice from the ACA which result in:</p> <p>1. deterrence through increased awareness of integrity system; 2. building the capacity of management to recognize ethical/integrity violations; or 3. increased visibility of the integrity system.</p>

Audit Investigator - Office Capacity Building/Management System Improvement

CORE

- . • Support OCA efforts towards continuous improvement for audits, investigations, consulting, and internal systems.
- . • Adapt to new policies and changes in office procedures.
- . • Participate in internal office projects or committees.

EXAMPLES OF PERFORMANCE:

	Zone 1 (Step 1)	Zone 3 (Step 2)	Zone 5 (Step 3)
AUDIT INVESTIGATOR I Learning & doing with direct supervision	Focus: Participates in CAIU/ OCA internal projects as assigned under direct supervision 1. Participate in improving CAIU/OCA systems by working on at least one internal project 2. Become familiar with OCA policies. 3. Provides information needed on other internal projects.	Focus: Participates in CAIU/ OCA internal projects as assigned with assistance and oversight 1. Participate in improving CAIU/OCA systems by working on at least one internal project 2. Assists with writing new or revised policies. 3. Provides information needed on other internal projects.	Focus: Participates in CAIU/ OCA internal projects as assigned with oversight and little assistance 1. Participate in improving CAIU/OCA systems by working on at least one internal project 2. Assists with writing new or revised policies. 3. Provides information needed on other internal projects.
AUDIT INVESTIGATOR II Planning & leading segment-based projects; doing w/minimal assistance	Focus: Leads CAIU/OCA internal projects and participates in COA internal initiatives with assistance 1. Lead or completes segment of large internal projects designed to improve CAIU/OCA internal systems 2. With assistance, writes new or revised policies. 3. Participate in COA initiatives 4.	Focus: Leads CAIU/OCA internal projects and participates in COA internal initiatives with minimal assistance 1. Lead projects designed to improve CAIU/OCA internal systems 2. Writes new or revised policies with minimal assistance 3. Participate in COA initiatives	Focus: Leads CAIU/OCA internal projects and participates in COA internal initiatives independently 1. Lead projects designed to improve CAIU/OCA internal systems 2. Independently identifies need for and writes new or revised policies 3. Participate in COA initiatives
AUDIT INVESTIGATOR III Planning & leading systems-based projects; developing others; selling CAIU services	Focus: Recognizes need for and acts to initiate OCA/COA initiatives 1. Identify the need for, initiates and solicits volunteers for CAIU/OCA/COA improvement initiatives 2. Identifies the need for and solicits assistance in writing new or revised policies 3. Begins to develop specialization in an office system or process 4.	Focus: Encourages other s to identify the need for and to initiate OCA/COA initiatives 1. Identify the need for, initiates and solicits volunteers for CAIU/OCA/COA 2. Encourages others to write new or revised policies. 3. Develops specialization in an office system or process.	Focus: Encourages other s to identify the need for and to initiate OCA/COA initiatives 1. Identify the need for, initiates and solicits volunteers for CAIU/OCA/COA 2. Encourages others to identify new or revised policies 3. Contributes significantly to specific office systems or processes.