



Office of the City Auditor  
Policies and Procedures

<b>Number:</b> 6.1.2	<b>Title:</b> Performance and Development Plans	
<b>Original Date:</b>	<b>Revision Date:</b>	<b>Approved by:</b>
8/2/2002	6/18/2009	Taylor Dudley

**I. Policy**

A Performance and Development Plan shall be created for each auditor and audit investigator each year after the annual appraisal.

**II. Purpose**

The purpose of this policy is to ensure that:

- A. auditors and audit investigators, as well as their respective supervisors, are aware of their expectations and responsibilities for their level and zone,
- B. auditors, audit investigators, and their supervisors agree on areas for focused development, and
- C. everyone is aware of opportunities, training, and coaching needed.

**III. Definitions**

**Performance and Development Plan** - A plan that is intended to 1) identify opportunities for skills acquisition and/or skills improvement that will help the auditor or investigator exceed expectations during the next annual assessment and 2) address maintenance of current skills to ensure that the auditor or investigator meets expectations. In addition, the development plan can identify long-range goals such as certification attainment, skill set or expertise development, etc. Aspects of the plan not achieved in one year should be considered for inclusion in the following year's plan.

**IV. Procedures/Responsibilities**

- A. After an annual appraisal has been conducted, but before the appraisal has been sent to the City Auditor for review, the auditor/audit investigator works with his/her Assistant City Auditor

to create the Performance and Development Plan. The plan should provide specific examples of development opportunities. Improvement opportunities listed in the annual appraisal, and the performance expectations, referenced in Policy 6.1.1, can be used as guides when developing the Performance and Development Plan.

- B. A new auditor/audit investigator should work with his/her ACA to prepare a Performance and Development plan within the first month of arriving at OCA.
- C. Once the plan is complete, the ACA submits it to the City Auditor for review and comment.
- D. After the comments have been addressed, the City Auditor forwards the development plan, along with the annual appraisal, to the Human Resources Assistant for filing in the auditor/audit investigator's personnel file.
- E. After the development plan is complete, the ACAs and AICs are responsible for reviewing the plans of the staff assigned to them and using the plan to determine appropriate roles and opportunities in project assignments. The development plan should also help the ACA and AIC identify training needs and assistance that staff will need to achieve expectations. It is the auditor/audit investigator's responsibility to, with the assistance and support of the training coordinator, update the annual training plan with training needs identified in the development plan (see policy 6.2.3 Annual Training Plan).
- F. When the auditor/audit investigator's next annual appraisal is developed, the Performance Appraisal Committee Chairperson should use the Performance and Development Plan as a reference point for making decisions on expectation attainment. Aspects of the plan not achieved in one year should be considered for inclusion in the following year's plan.

## PERFORMANCE AND DEVELOPMENT PLAN

**Name**

**Classification**

**Period Covered**

For each performance category, indicate whether your goal is to maintain these skills during the current year or develop skills at the next zone. If your intent is to develop skills, please list the specific things you intend to develop and what assistance you need from the office.

**Internal Behavior**

Maintenance\_\_\_\_\_Development\_\_\_\_\_

**External Behavior**

Maintenance\_\_\_\_\_Development\_\_\_\_\_

**Project/Case Management**

Maintenance\_\_\_\_\_Development\_\_\_\_\_

**Technical Capacity and  
Professional Development**

Maintenance\_\_\_\_\_Development\_\_\_\_\_

**Conceptualization**

Maintenance\_\_\_\_\_Development\_\_\_\_\_

**Outputs**

Maintenance\_\_\_\_Development\_\_\_\_

**Outcomes**

Maintenance\_\_\_\_Development\_\_\_\_

**Office Capacity Building/  
Management System  
Improvement**

Maintenance\_\_\_\_Development\_\_\_\_

**Other Development Opportunities:**

ACA/AIC: \_\_\_\_\_ Date: \_\_\_\_\_

Auditor/Investigator: \_\_\_\_\_ Date: \_\_\_\_\_