<u>**COMPETENCY MODEL**</u>
CHIEF INTERNAL AUDITOR (2016)
CLASS CODE 1619

The following competencies have been identified as those that best separate superior from satisfactory job performance in the class of **CHIEF INTERNAL AUDITOR**. (Numbers refer to the order of competencies in the Competency Bank.)

     3. Judgment and Decision Making
     20. Job Knowledge
     28. Supervision
     31. Results Orientation
     33. Interpersonal Skills
     40. Credibility
     47. Written Communication
     49. Project Management

On the following pages are descriptions of each competency, including a definition, the level of the competency required for the class (italicized, bolded, and underlined), examples of behavioral indicators, and satisfactory and superior performance levels.

3. JUDGMENT AND DECISION MAKING – Accurately assesses situations, seeks new information if necessary, and applies all available information to reach sound conclusions/formulate effective response.

Level of Competency Required by Job:

Level 1:   Training and guidelines needed to respond to immediate situations within very specific function are provided (or supervisor available to assist).

Level 2:   General information and guidance to assist in responding to a variety of situations across a range of circumstances are provided.

Level 3:   Little guidance available for responding to a wide range of complex situations with far-reaching and/or enduring consequences.

Examples of Behavioral Indicators:

- Effectively responds to atypical situations.
- Asks questions or otherwise obtains additional relevant information to make a decision.
- Formulates a decision and necessary actions based on available facts.
- Correctly infers appropriate response based on information provided and existing policies, personal experience, and/or consultation with others.
- Discusses conclusions/possible responses with others before taking action as necessary.
- Considers impact of decisions on all affected parties.

Performance Levels:

Satisfactory

Correctly assesses routine and unusual situations and reaches appropriate conclusions for actions needed. Obtains additional information and/or consults with others as necessary.

Superior

Evaluates new situations accurately to establish an appropriate response or plan of action. Recognizes the impact on all affected parties, as well as the possible ramifications and/or repercussions of setting a precedent.

20. JOB KNOWLEDGE – Knows information required to perform a specific job. Includes both widely available courses of study (for example, chemistry, human resources management, graphic arts) and City-specific information (parking regulation and ticketing practices; purchasing procedures; provisions of the City Charter).

Level of Competency Required by Job:

Level 1:   Knowledge is concrete, factual, and/or procedural and may be defined by the organization. Situations in which it is applied are quite consistent.

Level 2:   Knowledge is substantive and may be defined by an external trade, field, or profession. Situations in which it is applied vary and, as such, require breadth and depth of understanding.

Level 3:   Knowledge is abstract, conceptual, and/or complex and may be supported by a well-defined academic discipline or authoritative sources (e.g., laws, ordinances, government guidelines/regulations/ codes). Situations in which it is applied may vary greatly or be novel.

Examples of Behavioral Indicators:

- Performs work correctly/avoids technical (job content related) errors.
- Answers technical questions about work accurately.
- Asks few technical questions about the performance of routine work activities.
- Offers advice ("coaching") to new employees regarding their work.
- Develops training programs for other employees.
- Sought out as a source of information by others.

Performance Levels:

Satisfactory

Sufficient job knowledge to perform work correctly independently. Answers technical questions about work correctly.

Superior

Expertise in technical job information sufficient to serve as a resource to others. May develop training manuals/ programs and/or give internal and/or external presentations related to work.

Job Knowledge Areas

1. Knowledge of Generally Accepted Government Auditing Standards (GAGAS), including auditing theories, practices, and methods pertaining to governmental entities.

2. Knowledge of Generally Accepted Accounting Principles as related to governmental entities.

3. Knowledge of operational characteristics of information processing systems, including operating systems, databases, networks, programming languages, communications, local area networks, and client-server and workstation technology.

4. Knowledge of principles of organization, methods of analysis including program evaluation, financial auditing, performance auditing, information technology auditing, cost-benefit analysis, work measurement, and work simplification analysis.

5. Knowledge of evaluative methods, including qualitative and quantitative analysis, and statistical sampling.

6. Knowledge of computer based auditing software for testing and analysis.

7. Knowledge of how to organize, analyze and evaluate data, which may involve application of various techniques such as work sampling, incremental analysis, break-even analysis, simulation, probability analysis, cost-benefit analysis, random sampling and other similar analytical techniques.

28. SUPERVISION – Ability to assume direct responsibility for all aspects of the performance of a work group, which requires knowledge and/or ability in the areas of:

- Planning and goal setting
- Creating a safe and positive work environment
- Establishing standards and training employees
- Motivating employees and teambuilding
- Performance Management (assigning, monitoring, facilitating, reviewing and evaluating work, and providing feedback)
- Supporting and developing employees through delegation and participation
- Taking disciplinary action including progressive discipline
- Provisions of employees' MOU's and handling grievances
- Legal requirements including EEO, ADA, FLSA, FMLA, and Workers' Compensation provisions
- Civil Service Commission Rules and Policies related to the management of employees
- Administrative Code provisions related to the management of employees
- Budget processes sufficient to request and justify expenditures in a correct and timely manner

<u>Level of Competency Required by Job</u>:

Level 1: Supervises small workgroup of employees performing the same or highly related work.

Level 2: Supervises a larger workgroup of employees performing various types of work.

<u>Level 3:</u> ***<u>Supervises employees including provision of coaching and advice to subordinate supervisors.</u>***

<u>Examples of Behavioral Indicators:</u>

- Plans, assigns, and monitors work progress.
- Trains employees to do work.
- Evaluates work and gives positive and negative feedback.
- Displays knowledge of legal requirements including applicable Federal and State laws, Administrative Code provisions, Civil Service Commission Rules and Policies, and MOU provisions.

<u>Performance Levels:</u>

<u>Satisfactory</u>	<u>Superior</u>
Proficiency in supervision sufficient to supervise a workgroup in terms of task orientation, interpersonal concerns, and personnel administration.	Proficiency in supervision sufficient to serve as a resource to others and/or represent department position in a public forum.

31. RESULTS ORIENTATION – Maintains a focus on objectives to be achieved and acts accordingly to ensure their accomplishment.

Level of Competency Required by Job:

Level 1: Remain focused on the task at hand and its purpose. May alter activities if the same result will be achieved. Does not become distracted by extraneous information, events, or details.

Level 2: ***Remain focused on the objectives to be achieved and take all reasonable actions necessary to achieve them. If initial activities to achieve objectives are unsuccessful, tries other approaches.***

Level 3: Remain focused on outcome and not process, when possible, in the monitoring and evaluation of staff work. Encourage staff to maintain focus on the objectives of their work and not to be overly affected by nuisances or frustration.

Examples of Behavioral Indicators:

- Clearly understands the purpose/objectives of work assignments.
- Recognizes that there are typically many ways to achieve the same objective.
- Makes multiple attempts to achieve objectives when necessary.
- Does not become distracted by unimportant or irrelevant issues.
- Ignores distracters in order to maintain pursuit of the desired outcome.

Performance Levels:

Satisfactory

Maintains a focus on desired outcomes and makes every reasonable attempt to achieve them. Always recognizes the purpose or objective of work activities.

Superior

Maintains a clear focus on desired results, and is persistent in attempts to achieve them. Insistent that all work activities lead to goal accomplishment; expresses dissatisfaction with activities that have no apparent impact.

33. INTERPERSONAL SKILLS – Interacts effectively and courteously with others.

Level of Competency Required by Job:

   Level 1:   Interact with members of the workgroup, supervision, and/or the public in a cordial, service-oriented manner.

   Level 2:   Interact across department lines and with appointed City officials, and/or members of the public, at times under adversarial circumstances, in a cordial, respectful manner.

   Level 3:   Interact with appointed and elected City officials, department heads, representatives of external organizations, and/or the media in a cordial, effective manner.

Examples of Behavioral Indicators:

- Works well with others toward mutual objectives.
- Does <u>not</u> arouse hostility in others.
- "Disagrees without being disagreeable."
- Elicits acceptance/cooperation from others.
- Affords all individuals respect, regardless of their role or status.
- Effectively addresses concerns of politicians or others who may have their "own agenda."

Performance Levels:

Satisfactory	Superior
Behaves in a courteous, respectful, cooperative manner toward co-workers, other City employees, and members of the public.	Facilitates positive interpersonal relations within/among workgroups and toward members of the public. Adept at finding similarities and grounds for cooperation/mutual benefit.

40. CREDIBILITY – Is truthful and sincere; objectively and clearly provides all pertinent information rather than being vague, omitting negative information or only stating what listeners "want to hear."

Level of Competency Required by Job:

Level 1: Freely and openly share accurate job-related information with co-workers.

Level 2: Provide complete, accurate information to other City employees and members of the public.

Level 3: ***Represent department to the Mayors' Office, City Council, City Commissions, and/or department heads, and/or to external organizations, professional associations, and/or the media.***

Examples of Behavioral Indicators:

- Admits mistakes.
- Information provided is consistent (not contradictory or stating different things to different people).
- Answers questions directly and thoroughly.
- Shares credit for achievements.
- Acts in the best interest of the organization, not self-interest.

Performance Levels:

Satisfactory

"Tells the complete story" from the onset. Is forthcoming with full information when questioned. Statements are consistent. Readily admits mistakes and gives credit to others.

Superior

Information provided is complete and accurate, and includes any negative information or information contrary to self-interest. Does not attempt to be vague or put a "spin" on negative information to make it appear more positive.

47. WRITTEN COMMUNICATION – Communicates effectively in writing.

Level of Competency Required by Job:

  Level 1: Write notes/e-mails. Completes forms with some open-ended responses (sentences).

  Level 2: Write letters, articles/reports, and/or detailed descriptions of activities/occurrences.

  Level 3: Write lengthy reports, instruction manuals, in-depth analyses/ reviews of complex issues and/or articles for publication. Reviews the written work of others.

Examples of Behavioral Indicators:

- Writing includes the necessary information to convey the intended message.
- Sufficiently few errors in spelling, punctuation, grammar to <u>not</u> interfere with the intended message or distract the reader.
- Little editing or re-writing needed to produce a final product.
- Composes materials efficiently.
- Information is presented in a well-organized manner.
- Tone and degree of formality are appropriate to the purpose and audience.

Performance Levels:

Satisfactory	Superior
Writes material that clearly communicates the necessary information; needs little editing.	Precisely uses words and organizes information in a way that enhances presentation of the message. Virtually no editing needed.

49. **PROJECT MANAGEMENT** – Anticipates and plans for all aspects of a multi-faceted, discrete endeavor to ensure resources are available and actions are taken at proper times for successful completion.

Level of Competency Required by Job:

Level 1: Plan, coordinate, and oversee accomplishment of multi-step projects involving other employees.

Level 2: ***Design, plan, coordinate, and manage large, multi-faceted projects involving employees from various segments of the organization representing different perspectives.***

Level 3: Design, plan, secure approval and resources, and manages large-scale, complex projects involving many employees representing a large number of diverse segments of the organization and perspectives, which may at times be in conflict.

Examples of Behavioral Indicators:

- Establishes project plans that gain management acceptance.
- Establishes realistic timeline and estimates of resources needed.
- Assembles appropriate team with complementary skills to efficiently execute all portions of a project.
- Secures necessary resources for successful project completion.
- Clearly designates roles/responsibilities/accountability.
- Addresses failure to perform or other problems in a timely and effective manner to minimize negative impact.

Performance Levels:

Satisfactory

Establishes acceptable project plan; assembles team with required skills; establishes personal responsibility/ accountability. Ensures the necessary time and resources are available.

Superior

Designs efficient project plan to maximize benefits and minimize use of resources. Designates precise mix of people to best accomplish the project. Completes on time, with resources allocated.