SECTION D-17

STAFF COMPETENCIES

Analytical

Analytical: Breaking down complex information or comprehensive data into fundamental parts or basic principles. Ability to collect and analyze information, problem solve, and make decisions.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Analytical skills consists of the attributes defined below and will be measured for each person, based on their current position and measurement attributes, as described below.

Measurement Attributes:

- Research – Gather and collect the appropriate information required for a specific situation.
- Analyze – Understand and examine information.
- Conclude – Make the appropriate conclusions and decisions to resolve a situation or achieve a goal.
- Technical – Process information using available information systems and tools in the most efficient manner.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Attributes	**Expected Performance Rating**		
Research	Basic	Intermediate	Advanced
Analyze	Basic	Intermediate	Advanced
Conclude	Basic	Intermediate	Advanced
Technical	Basic	Intermediate	Advanced

Audit Fundamentals

Audit Skills: Ability to evaluate and improve the effectiveness of risk management, control and the governance process through the use of a systematic and disciplined approach. This occurs through 1) planning audits, 2) performing audit procedures, 3) evaluating internal controls, 4) and recommending correction actions.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Audit skills will be measured for each person, based on their current position and measurement attributes, as described below.

Measurement Attributes:

- Planning – Identify risks and controls, plan activities for implementing the theory and scope of internal audits, and prepare risk assessment and audit programs.
- Fieldwork – Understand and perform audit procedures, obtain, analyze, and appraise evidentiary data.
- Audit Observations – Develop an informed, objective observation regarding fraud red flags, violations, non-compliance and/or the adequacy and effectiveness of internal controls and identify the condition, criteria, cause and effect associated with the observation.
- Corrective actions (recommendations) – Identify corrective actions needed to help provide assurance of the achievement of goals and objectives and evaluate the adequacy of the action taken to improve deficient conditions.

Performance Expectations:

	Auditor I	**Auditor II**	**Senior Auditor**
Attributes	**Expected Performance Rating**		
Planning	Basic	Intermediate	Advanced
Fieldwork	Basic	Intermediate	Advanced
Audit Observations	Basic	Intermediate	Advanced
Corrective Actions	Basic	Intermediate	Advanced

Coaching

Coaching: Setting expectations, training, reviewing, and providing feedback related to the work performed by new and less experienced staff members.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Coaching consists of the attributes defined below and will be measured for each person, based on their current position and measurement attributes, as described below.

Measurement Attributes:

- Expectations – Establish clear expectations at the beginning of an assignment for staff members.
- Train – Trains, teaches, and instructs new and less experienced staff members on audit and departmental processes and procedures.
- Review – Reviews work performed by assigned auditors for sufficiency of scope, accuracy, effectiveness, and efficiency to determine auditor strengths and areas of improvement.
- Feedback – Works with assigned auditors and audit management to provide appropriate feedback to auditors regarding audit work and the sufficiency of scope, accuracy, effectiveness, and efficiency.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Attributes	**Expected Performance Rating**		
Expectations	N/A	Basic	Intermediate
Train	N/A	Basic	Intermediate
Review	N/A	Basic	Intermediate
Feedback	N/A	Basic	Intermediate

Interpersonal

Interpersonal: Set of abilities that allow you to communicate effectively, work collaboratively, build relationships with others, and display a high level of commitment and work ethic.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Interpersonal skills consists of the attributes defined below and will be measured for each person, based on their current position and measurement attributes, as described below.

Measurement Attributes:

- Leadership – Motivate and inspire others, and take the initiative when work needs to be completed.
- Teamwork – Collaborate with and listen to others, and resolve any conflicts that may arise.
- Communication – Networking and being able to connect and build relationships with others.
- Professionalism – Display appropriate appearance (dress code), friendly demeanor, positive attitude, respectfulness, and dependability.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Attributes	**Expected Performance Rating**		
Leadership	Basic	Intermediate	Advanced
Teamwork	Basic	Intermediate	Advanced
Communication	Basic	Intermediate	Advanced
Professionalism	Basic	Intermediate	Advanced

Organizational

Organizational: Set of abilities that allow you to plan, prioritize, and to set and achieve your goals.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Organizational skills consists of the attributes defined below and will be measured for each person, based on their current position and measurement attributes, as described below.

Measurement Attributes:

- Time Management – Perform tasks in a timely manner, focus on tasks, and meet deadlines.
- Physical Organization – Create and maintain a positive work environment, including keeping your workspace tidy, clean, and free of clutter.
- Prioritization – Projects are appropriately prioritized to allow for the efficient and effective deployment of work and timely completion of projects.
- Delegation – Delegate tasks to other individuals on your team to increase efficiency and productivity and achieve the best results.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Attributes	**Expected Performance Rating**		
Time Management	Basic	Intermediate	Advanced
Physical Organization	Basic	Intermediate	Advanced
Prioritization	Basic	Intermediate	Advanced
Delegation	N/A	Basic	Intermediate

Project Management

Project Management: Managing and completing projects in an efficient and effective manner through expectations, organization, prioritization, and finalization in order to meet project requirements.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Project management consists of the attributes defined below and will be measured for each person, based on their current position and measurement attributes, as described below.

Measurement Attributes:

- Expectations – Projects are completed within budgeted hours, established target dates are met, and appropriate explanations are provided when work is not completed timely.
- Organization – Projects are organized and structured appropriately to promote order and meet project plans (project scope and audit programs).
- Prioritization – Projects are appropriately prioritized to allow for the efficient and effective deployment of resources and timely completion of projects.
- Finalization – Projects are prepared for finalization in an efficient, effective, and timely manner.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Attributes	**Expected Performance Rating**		
Expectations	Basic	Intermediate	Advanced
Organization	Basic	Intermediate	Advanced
Prioritization	Basic	Intermediate	Advanced
Finalization	N/A	Basic	Intermediate

Technology

Technology (software): Possess certain technology (software) skills, including the ability to understand and use desktop software, electronic workpaper software, enterprise resource planning software, and data analytics software.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Technology (software) skills will be measured for each person, based on their current position and attributes of measurement, as described below.

Measurement Attributes:

- Ability to use desktop software – Individual understands how to use basic desktop software, such as Microsoft Word and Excel.
- Ability to use electronic workpaper (EWP) software – Individual understands the concept of and/or how to use EWP software, such as TeamMate+.
- Ability to use enterprise resource planning (ERP) software – Individual understands the concept of and/or how to use ERP software, such as PeopleSoft (Oracle), including running queries to extract data from the system.
- Ability to use data analytics software – Individual understands the concept of and/or how to use data analytics software, such as IDEA.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Attributes	**Expected Performance Rating**		
Ability to use desktop software	Basic	Intermediate	Advanced
Ability to use EWP software	Basic	Basic	Intermediate
Ability to use ERP software	Basic	Basic	Intermediate
Ability to use data analytics software	N/A	N/A	Basic

Verbal Communication

Verbal communication: Verbally communicate a message in a clear and concise manner, with confidence, and actively listen and maintain dialogue, including methods of delivery, such as in-person, Skype, email, instant message, voice mail, and phone.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Verbal communication consists of the attributes defined below and will be measured for each person, based on their current position and communication level, as described below
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Measurement Attributes:

- Message is conveyed in a clear and concise manner – The receiver can understand what you are trying to tell them, without repeating the message multiple times, with minimal words used.
- Message is conveyed with confidence – Message is delivered in a professional manner which includes using appropriate tone, eye contact, body language, and exhibits respect and subject knowledge.
- Ability to actively listen and maintain dialogue – When questions are asked the question is answered directly and professional dialogue is maintained.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Communication Level	**Expected Performance Rating**		
Team	Intermediate	Advanced	Advanced
IAD Management (Managers and Supervisors)	Basic	Intermediate	Advanced
IAD Leadership (CAE and Executive Director)	N/A	Basic	Intermediate
Client Staff and Direct Supervisors	Basic	Intermediate	Advanced
Client Managers and Directors	N/A	Basic	Intermediate
Deans, Executive Directors, and AVPs	N/A	N/A	Basic

Written Communication

Written communication: Communicate a message in a clear and concise manner, with confidence. This includes methods of delivery such as workpapers, emails, reports, and external memos.

The Rating Scale will be as follows.

Name	Description
Basic	Some evidence of competence. The individual needs training and/or exposure to the skill in the workplace.
Intermediate	Evidence of competence. The individual needs further training and/or additional exposure to improve skill.
Advanced	Evidence of competence.

Written communication consists of the attributes defined below and will be measured for each person, based on their current position and communication level, as described below.

Measurement Attributes:

- Message is conveyed in a clear and concise manner – The receiver can understand what you are trying to tell them, with minimal words used.
- Message is conveyed with appropriate tone, language, grammar, and punctuation – Message is delivered in a professional manner which includes using appropriate tone, language, grammar and punctuation, and exhibits respect and subject knowledge.
- Ability to respond to feedback/inquiries – Appropriate responses are provided based on the feedback/inquiry received.

Performance Expectations:

	Auditor I	Auditor II	Senior Auditor
Communication Method	**Expected Performance Rating**		
Workpapers	Basic	Intermediate	Advanced
Emails	Basic	Intermediate	Advanced
Reports	N/A	Basic	Intermediate
External Memos	Basic	Intermediate	Advanced
Feedback/Inquiries	Basic	Intermediate	Advanced