



COMPETENCY FRAMEWORK AND PERFORMANCE APPRAISAL POLICY

Effective: May 2025

To be reviewed: May 2028

***To help the public service
spend wisely***

INTRODUCTION

1. The Office of the Auditor General (OAG) competency framework is based on the INTOSAI core competencies for public sector auditors. It has been adapted slightly to meet the needs of OAG and ensure a manageable number of competencies. The OAG framework comprises the following five competencies:
 - Deliver Quality Services
 - Effective Stakeholder Engagement
 - Leadership and Management
 - Judgement and Decision Making
 - Contribute to the Value and Benefit of OAG.
2. The competency framework applies to all OAG staff not just audit staff. It is worth noting that the OAG does not use the CIG competency framework but the two frameworks align.
3. The OAG's performance appraisal process uses three scoring assessments – Exceeded, Met and Partly Met. Staff performance will be assessed, using these assessments, for each competency. No overall assessment is given.
4. The OAG expects staff to at least meet all (or most) of the requirements specified for each competency. If staff meet the requirements management consider them to have performed well and met the expectations of the job. In these circumstances, staff will be assessed as 'Met' in their performance appraisal. OAG anticipates that some staff may demonstrate exceptional performance and 'exceed' the requirements of the job for some competencies. This is not expected but encouraged. New staff are not expected to meet all the requirements for each competency in their first year with OAG.
5. The OAG's performance appraisal process aligns with the financial audit year.
 - **Annual performance appraisals** cover the period 1 June to 31 May each year. Staff are asked to complete a self-assessment using the [performance appraisal template](#) against the competencies in June each year (for the year ended 31 May). Performance appraisal discussions will be completed over the summer, taking account of staff and manager's leave, to be completed by 30 September at the latest.
 - **Interim performance appraisals** cover the six-month period 1 June to 30 November. Staff are asked to complete the [interim performance feedback template](#) in December/January each year. Staff and managers should have feedback discussions in January or February, ensuring these are completed before staff start work on their financial audits.

6. OAG also expects feedback to happen throughout the year in regular one-to-one discussions. Therefore, there should be no surprises in either the interim or annual performance appraisals.

CORE COMPETENCIES

Deliver Quality Services	Effective Stakeholder Engagement	Leadership and Management	Judgement and Decision Making	Contribute to the Value and Benefit of the OAG
<p>This competency requires staff to:</p> <ul style="list-style-type: none"> • Deliver standard-compliant audits. • Deliver audits or projects within budget and on time. • Ensure quality in all work. • Identify and manage risks, and apply a risk-based approach. • Document appropriate and sufficient evidence. • Promote accountability, transparency, good governance and VFM. • Demonstrate a good knowledge of the business. • Ensure work meets legal and stakeholder requirements e.g. submission of information to government agencies. 	<p>This competency requires staff to:</p> <ul style="list-style-type: none"> • Understand different stakeholder needs and be able to balance these. • Demonstrate effective communication skills. • Actively listen. • Communicate messages effectively using different techniques, including: <ul style="list-style-type: none"> ○ effective meetings ○ presentation skills ○ verbal & written communications e.g. telephone, email. • Be open and encourage effective exchange of information. • Challenge constructively. • Manage relationships effectively. • Write high-quality reports. 	<p>This competency requires staff to:</p> <ul style="list-style-type: none"> • Lead by example, including: <ul style="list-style-type: none"> ○ Being accountable for personal behavior. ○ respecting diversity ○ behaving professionally and ethically. • Behave professionally through: <ul style="list-style-type: none"> ○ displaying courage and resilience. ○ looking for opportunities to grow and learn. ○ learning lessons. ○ displaying emotional intelligence ○ demonstrating self-awareness and impact on others. ○ seeking help when needed. 	<p>This competency requires staff to:</p> <ul style="list-style-type: none"> • Demonstrate technical competence, including an understanding of relevant standards. • Show professional skepticism. • Analyse financial and non-financial information. • Identify solution to problems. • Apply critical thinking. 	<p>This competency requires staff to:</p> <ul style="list-style-type: none"> • Comply with all Office policies. • Ensure management has timely, accurate and relevant information for decision making (including timely completion of TRS). • Contribute to effective teamworking. • Have a good understanding of the public sector environment and context. • Follow up on previous work and recommendations. • Contribute to corporate activities.

	<ul style="list-style-type: none"> • Make impactful recommendations. 	<ul style="list-style-type: none"> • Manage & supervise others effectively, including: <ul style="list-style-type: none"> ○ influencing, inspiring & motivating others. ○ providing clear direction and support. ○ providing effective feedback throughout the year. ○ encouraging a learning environment. 		
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