

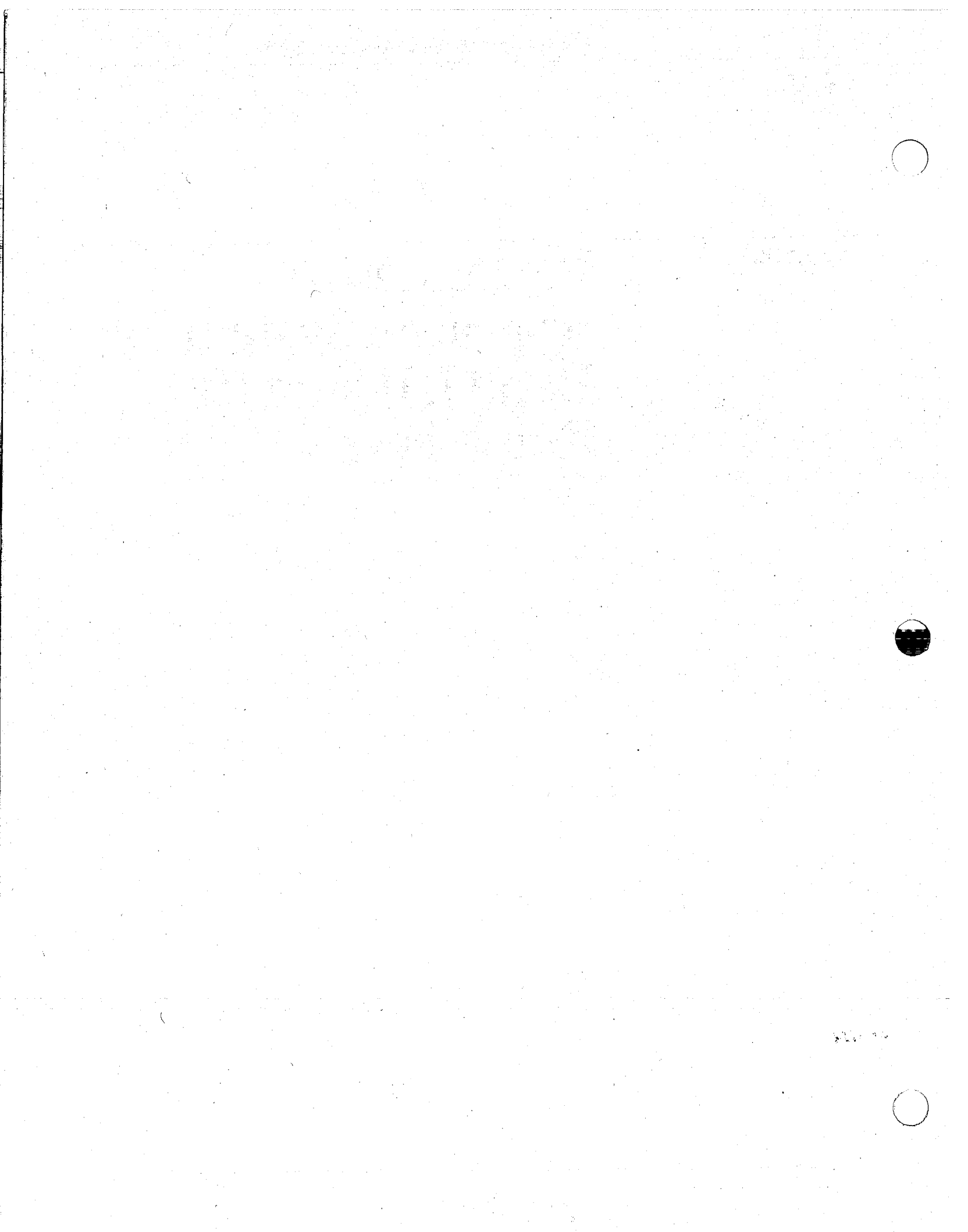
GAO

October 1997

Performance Appraisal System for Band I, II, and III Employees

SP-134

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Introduction

Purpose of the Performance Appraisal

The primary purpose of the Performance Appraisal System for Band I, II, and III Employees is to provide a systematic and uniform method to evaluate the job performance of GAO evaluators and evaluator-related specialists on the basis of job-related criteria. The system should be used to

- advise employees of the standards upon which their performance will be based,
- help employees understand their responsibilities and how their work contributes to GAO's goals and performance measures,
- provide feedback to employees on how well they are meeting expectations and coach them in improving performance,
- help supervisors and managers identify and improve poor performance, and
- provide a basis for performance-based actions.

Supersession

This manual supersedes the Performance Appraisal System for Band I, II, and III Employees, dated June 1991.

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Abbreviations

ADP	automated data processing
EIC	evaluator-in-charge
EO	equal opportunity
GAGAS	generally accepted government auditing standards
GAO	General Accounting Office
LAN	Local Area Network
OCR	Office of Congressional Relations

The Performance Management Cycle

The performance management cycle includes setting expectations, monitoring performance and providing feedback, and conducting the appraisal session.

Setting Expectations

Performance expectations include what a ratee will do, when the ratee will do it, and how well it should be done. What the ratee will do and when it is done are usually determined by assigned work. How well a ratee performs is measured by written performance standards set forth in the performance appraisal manual for each band level. At a minimum, the ratee should be able to perform at the fully successful level, as described in the performance standards.

When setting expectations, the rater should explain how the ratee's work can contribute to GAO's overall goals and performance measures. These measures can be found in GAO's Strategic Plan and the GAO Performance Report.

Expectation setting should occur at the beginning of the rating cycle and when each new assignment is begun. Products, timeframes, scope, or methods may not be fully known at the beginning of assignments. Expectations should be revised or clarified as more information is obtained or when circumstances negate or substantially modify prior agreements.

Expectation-setting discussions should occur at an agreed upon meeting time. While the rater has the ultimate responsibility to determine ratee expectations, expectation discussions should be a dialogue. The rater should solicit input from the ratee, and the ratee is responsible for seeking clarification of any matters that are not understood.

GAO Form 209, "Expectation Setting Record" (see app. D) has been developed to help guide and document the formal expectation setting process. A signed copy of GAO Form 209 for each ratee must be completed and filed in the geographic home unit. The employee's signature indicates that expectations have been communicated. Units may prescribe additional expectation setting forms, if desired.

As outlined on the form and summarized below, three types of information should be covered during the expectation-setting session: job/role information, performance standards, and contri-

Contributions to goals and performance measures. The level of detail appropriate for the expectation-setting discussion will depend on the ratee's prior knowledge concerning the assignment, the ratee's experience level, and the information available to the rater about the assignment.

Job/Role Information

The rater should provide as much assignment-specific information as available, such as the ratee's role, assignment objectives, assignment scope and methods, anticipated products, and timeframes. It is expected that the rater will amplify and clarify initial expectations during subsequent on-the-job discussions with the ratee. Further meetings to clarify expectations should be held only when changes have been so substantial as to constitute a new assignment.

To guide expectation setting, the rater may refer to appendix VIII, "Band I, II, and III Role Definitions," which contains typical duties and responsibilities for each band level.

Performance Standards

Each ratee must know the performance standards and critical elements of his or her position. A critical element is a job dimension, such as planning, that is of sufficient importance that unacceptable performance in that component constitutes unacceptable performance of the job and may be the basis for reduction in band or removal. All dimensions rated are critical elements for the purposes of GAO's performance appraisal policy.

A rater should confirm that the ratee understands that his or her performance will be assessed on the standards set forth in this performance appraisal manual. The rater should instruct the ratee to become familiar with the performance standards; if a ratee does not understand the standards, he or she is responsible for seeking clarification from the rater.

Contributions to Goals and Performance Measures

In addition to individual assignment goals, the rater should remind the ratee how his or her work contributes to GAO's goals and performance measures. To the extent possible, raters should specify by example how a ratee's work can directly affect unit teamwork, communications, products, dollar savings, timeliness, cycle-time reduction, as well as quality, customer satisfaction, and other goals set forth in GAO's Strategic Plan and the GAO Performance Report.

Monitoring Performance and Providing Feedback

Once expectations are established, the rater should monitor performance and provide feedback to the ratee on his or her performance. Feedback can reinforce good performance or help improve performance that is below expectations. In other words, the feedback should allow the ratee to know current strengths and developmental needs and how his or her performance could be improved. However, feedback is not solely the responsibility of the rater. The ratee is responsible for actively seeking and receiving feedback.

Feedback should take place before the end of the appraisal period. Although feedback need not occur in a formal progress session, one or more progress review sessions may be beneficial to verify a shared understanding of expectations and the progress toward meeting them. A progress review session is especially appropriate and recommended when the rater has concerns about a ratee's performance.

When monitoring performance, the rater is encouraged to keep brief notes on the ratee that reflect both positive accomplishments and instances where developmental needs are present. This facilitates more accurate and complete performance appraisals.

Conducting the Appraisal Session

After the appraisal is completed by the rater and reviewed and signed by the designated reviewer, the rater must provide a copy of the appraisal to the ratee and should discuss the basis for the appraisal with the ratee.

Performance Appraisal Policy

This chapter describes who should be appraised, when appraisals are due, who should prepare the appraisal, the responsibilities of each individual involved in the appraisal process, and grievance procedures for ratees who are unsatisfied with their appraisal.

Who is Appraised and When Appraisals are Due

Generally, appraisals for staff in bands I Full-Performance Level, II, and III are to be prepared annually. The appraisal period begins October 1 and ends September 30. If an employee has been on duty at least 30 staff-days during the annual appraisal period (a staff day is 8 hours charged to one job code), then the employee must be appraised. Appraisals should be completed (written, reviewed, and discussed with the ratee) at the conclusion of the appraisal period or in sufficient time so that they can be used in the annual assessment process.

Exceptions to an annual appraisal include the following:

- Appraisals should be prepared at the end of an assignment lasting more than 30 staff-days for Band I Developmental Level staff. Band I Developmental Level staff must be appraised at least once each 6 months to support pay assessment.
- Appraisals should be prepared whenever there is a change in the rater unless, the staff member and management agree that an annual appraisal would be more appropriate.
- Appraisals may be prepared whenever supervisors and/or managers have performance concerns. See GAO Order 2432.1, *Dealing With Unacceptable Performance*, for guidance as to when this is appropriate.

Who Prepares the Appraisal

The performance appraisal form should be prepared by the person who is in the best position to assess the ratee's performance. Usually, this is the ratee's immediate supervisor—the same person who sets expectations and assigns and reviews work. However, there may be circumstances which make it more appropriate or desirable for another person to assume the rating responsibility. In those cases, the designation of a rater other than the immediate supervisor should be done at the beginning of an assignment and must be acceptable to the ratee. The ratee's acceptance of the rater should be noted on the GAO Form 209.

**More Than One
Supervisor During a
Rating Period**

If an employee has worked concurrently for more than one supervisor during the appraisal year, then the supervisors should decide who will prepare the rating. The rating preparation should be a collaborative process with each supervisor providing input on the employee's performance. In cases when a supervisor has worked with the employee for such a short period of time that he or she does not have a basis for assessing the employee's performance, the rating should be prepared based on the assessment of the other supervisor.

**Congressional Staff
Assignments**

When assignments are expected to be short (4 months or less), the designated rater in the home unit will prepare the performance appraisal and should obtain information from the supervising congressional staff member concerning the employee's performance. When the assignment is expected to continue for a major portion of the appraisal period, typically the Office of Congressional Relations (OCR) arranges for a supervisory congressional staff member to prepare the appraisal using the GAO forms and standards. In this instance, OCR reviews the appraisal, provides any additional comments, and forwards it to the employee's home unit. However, if OCR is unable to arrange for the congressional staff member to prepare the performance appraisal, then the home unit should reach agreement with OCR on who will prepare the employee's performance appraisal.

**Rater and Ratee in
the Same Band**

As the needs of the work require, a staff member may supervise and appraise the performance of a person in the same band. Although a rater and ratee may be in the same band, the reviewer must be in a higher band than the ratee.

**Responsibilities of
the Ratee, Rater,
and Reviewing
Official**

Ratee

The ratee is responsible for

- participating with the rater in determining expectations;

- seeking clarification of expectations from the rater or suggesting modifications to expectations when circumstances have changed;
- seeking feedback from the rater when appropriate;
- becoming familiar with the performance standards for his or her band level;
- notifying the rater of any facts or circumstances that should be considered when appraising performance;
- reviewing the appraisal for accuracy and completeness and signing the appraisal form, indicating that it has been reviewed and discussed with the rater; and
- adding any comments to the form that he or she considers pertinent, such as clarifying facts or rater narrative or commenting on the appraisal.

Rater

The rater is responsible for preparing the ratee's performance appraisal. Specifically, this responsibility includes

- establishing expectations with the ratee, either orally or in writing, and revising them when circumstances warrant;
- monitoring ratee performance and providing feedback and coaching;
- appraising performance against performance standards at the end of the appraisal period; and
- making suggestions to improve the ratee's performance or correct deficiencies.

Reviewing Official

The reviewing official is determined by the employee's unit management. Reviewers must be at a band level higher than the ratee; there is no reviewer when the rater is the unit head. The reviewing official is responsible for

- ensuring that the rater understands the performance system, knows how to properly prepare performance appraisals, is knowl-

edgeable about applicable performance standards, and maintains reasonable consistency in applying standards and

- checking each appraisal to ensure that it complies with instructions and standards.

If the reviewer believes that the rater has not properly applied the performance standards or that the narrative is not consistent with the rating, the reviewer may return the appraisal to the rater for additional justification or a change in the rating. If the rater and reviewer disagree on a rating and the reviewer has knowledge of the ratee's performance or believes the rater has not properly applied the standards, the reviewer may assume responsibility for the rating on the dimension(s) in question. The reviewer will (1) obtain approval from the next higher responsible official (if the reviewer is not the unit head) and document the reasons and approval; (2) change the rating for the dimension(s) in question; and (3) if necessary, provide the appropriate narrative support for the revised rating.

The appraisal form presented to the ratee will include only the final rating cleared by the reviewer. If the rater and the ratee agree to change the appraisal after it has been signed by the reviewer, the appraisal must again be reviewed and approved by the reviewer.

Grievance Procedures for Performance Appraisals

Ratees who are dissatisfied with their performance appraisal may file a formal grievance per GAO Order 2771.1, Administrative Grievance Procedure. When multiple units are involved in a performance appraisal grievance process, the involved unit managers will confer regarding who will serve as the deciding official.

Preparing the Appraisal Form for Band I and II Staff

The rater should ensure that appraisal information is entered on GAO Form 563, "Performance Appraisal for Band I and II Employees" (see app. II). It is recommended that the automated version of GAO Form 563, available on the LAN, be used.

The rater should ensure that the introductory blocks of the form are completed. Instructions for completing the five parts of the form follow.

Part I: Assignment Information and Expectations Summary

Part I includes information on the assignment and the expectations established for the ratee. It may be prepared by the ratee and reviewed and amended as necessary by the rater.

Assignment Information

Part I(A) should briefly describe

- the job(s), assignment(s), or project(s) covered by the appraisal or the phases in which the ratee participated and
- any unusual characteristics or particularly significant factors relating to the complexity or difficulty of the assignment, for example, deadlines, evaluation criteria, or staffing problems.

Collateral duties, such as memberships on committees, special projects, or staff activities, may be included here if they occupy a significant amount of time. However, these are more appropriately included in the ratee's "Contributions and Accomplishments Statement" (GAO Form 223), which may be completed as a part of GAO's Pay-for-Performance process.

Expectations Summary

Part I(B) should summarize the expectations for the ratee's role and responsibilities and major work products, including evaluation plans, questionnaires, reports, report chapters, or testimonies.

Part II: Assessment of Job Dimensions

In part II, the rater provides information on the ratee's performance during the appraisal period on seven dimensions:

- **planning;**
- **data gathering and documentation;**
- **data analysis;**
- **written communication;**
- **oral communication;**
- **working relationships, teamwork, and equal opportunity; and**
- **supervision, appraisal, and counseling (Band I Developmental Level excepted).**

Dimension definitions are the same for bands I and II, but all components of a dimension may not be typical of all band levels. (See app. III through V for definitions of the dimensions and the performance standards.)

Rating the Job Dimensions

Using the appropriate performance standards, the rater evaluates the ratee's performance in the relevant job dimension, using one of five levels: outstanding, exceeds fully successful, fully successful, needs improvement, and unacceptable. When assigning a rating level, the rater should use relevant information in part I and his or her knowledge of the ratee's performance and accomplishments. If a ratee was not involved in a dimension or has not had sufficient experience to be rated in a dimension, the rater should note this under "no basis for evaluation."

After determining the relevant dimensions, the rater should focus on the ratee's specific behaviors or accomplishments as the basis for the appraisal. Detailed standards for outstanding, fully successful, and unacceptable are described in appendixes III through V. For an "exceeds fully successful" rating, the ratee's predominant performance for the period should exceed the fully successful rating but not fully meet the outstanding standard. For a "needs improvement" rating, the ratee's predominant performance for the period should exceed the unacceptable rating but not fully meet the fully successful rating.

The rater should check on the form the box corresponding to the performance standard most nearly exemplifying the ratee's predominant performance in each dimension—that is, the ratee's overall work behavior during the assignment or period. In making this determination, the rater should note that the performance standards were developed so that a ratee meeting expectations should be rated fully successful. The rater also should note that

the performance standards are not all-inclusive—the ratee need not perform all the activities or the exact activities described in the standards to be rated at a certain level.

Part III: Rater's Assessment of Performance

In part III, the rater provides an assessment of the ratee's performance, which should include a summary narrative, and/or a dimension-specific narrative.

A summary narrative covering performance and major accomplishments should be prepared for band I full-performance and band II staff. The summary narrative should not restate the assignment and expectations information in part I and need not address all of the dimensions rated. It should provide some examples of individual accomplishments and qualitative performance. The summary narrative should not exceed the space provided on GAO Form 563, and a 12-pitch font should be used.

A dimension-specific narrative should be prepared for (1) each dimension rated in part II covering the performance and major accomplishments of band I developmental level staff and (2) any job dimension rated below fully successful, regardless of the band level. When preparing a dimension-specific narrative, the rater should use side headings for each dimension being addressed and provide narrative justification for the ratings in part II, including individual accomplishments and qualitative performance. One side of one page may be attached for continuing the narrative.

Additional documentation is usually required to support an opportunity period notice or a performance-based action following ratings of unacceptable. (See GAO Order 2432.1, Dealing With Unacceptable Performance.)

Part IV: Signatures

Both the ratee and the rater should sign the appraisal form in the spaces provided. (See ch. 2 for details on the role of the reviewer.) The rater's and reviewer's typed names and band/SES should also appear on the form. After the rater gives the ratee the appraisal and discusses it with the ratee, the ratee should sign the appraisal form. By signing, the ratee does not indicate agreement with the appraisal but acknowledges that he or she has read it.

Part V: Ratee Comments

The ratee may submit comments within 5 calendar days of being presented with the rating. These comments are not limited to the space on the form. Ratee comments become a permanent part of the appraisal. The appraisal is final after 5 calendar days of the ratee being presented with the rating unless, the rater extends the comment period. If the comment period is extended, the appraisal is final at the time the comments are due.

Preparing the Appraisal Form for Band III Staff

The rater should ensure that appraisal information is entered on GAO Form 175, "Performance Appraisal for Band III Employees" (see app. VI). It is recommended that the automated version of GAO Form 175, available on the LAN, be used.

The rater should ensure that the introductory blocks of the form are completed. Instructions for completing the seven parts of the form follow.

Part I: Description of Work/Duties/Responsibilities

Part I should be completed by the ratee and reviewed and amended, as necessary, by the rater. Information regarding the type of work, duties, and responsibilities of the ratee during the appraisal period should be included in this section. Appropriate information includes

- the ratee's overall assignment objectives, role in the unit, and work load (number of jobs);
- complexity of assignment(s) undertaken;
- number of staff supervised;
- number of agencies affected by the ratee's responsibility;
- degree of supervision received; and
- unique characteristics of individual assignments or area(s) of responsibility.

Collateral duties, such as memberships on committees, special projects, or staff activities, may be included here if they occupy a significant amount of time. However, they are more appropriately included in the "Contributions and Accomplishments Statement" (GAO Form 223) which may be completed as a part of the annual Pay-for-Performance process.

Part I also is used to document established expectations. A summary of the expectations including the ratee's role and responsibilities and major work products is to be included in part I.

Part II: Major Results/Accomplishments Achieved

The ratee may complete part II or attach GAO Form 223, "Employee Statement of Contributions and Accomplishments," instead of completing part II.

In completing part II, the ratee should identify the major results or accomplishments achieved during the appraisal period and explain their importance or impact. There is no limitation on the number of accomplishments that can be listed; however, the information must not exceed the space provided. It is recommended that only major accomplishments be listed. The accomplishments do not necessarily have to relate to a specific job dimension or to an established expectation. For example, an accomplishment might relate to a collateral duty that may not be clearly addressed in any other part of the appraisal. The narrative explaining the significance of each accomplishment is more important than the number of accomplishments listed.

Part III: Assessment of Job Dimensions

In part III, the rater provides information on the ratee's performance during the appraisal period on six dimensions:

- planning;
- project implementation;
- communications;
- external relations;
- teamwork, working relationships, and performance management; and
- organization management.

Rating the Job Dimensions

Using the performance standards, the rater rates each relevant job dimension, using one of five levels: outstanding, exceeds fully successful, fully successful, needs improvement, and unacceptable. When assigning a rating, the rater should use relevant information in parts I and II and his or her knowledge of the ratee's performance and accomplishments. If a ratee was not involved in a dimension or has not had sufficient experience to be rated in a dimension, the rater should note this under "no basis for evaluation."

Since band III duties vary widely, instances may occur when a band III ratee performs in a dimension that has not been specified. In this instance, the duties should be specified and appraised under

“other.” This dimension, however, is to be used only to appraise the performance of a ratee assigned special or unusual duties. This dimension should be agreed to when expectations are set at the start of the appraisal period or when the special or unusual duties are assigned. Space is provided on GAO Form 175 for rating other, specified dimensions.

After determining the relevant dimensions, the rater should focus on the ratee’s specific behaviors or accomplishments as the basis for the appraisal. Detailed standards for outstanding, fully successful, and unacceptable are described in appendix VII. For an “exceeds fully successful” rating, the ratee’s predominant performance for the period should exceed the fully successful rating but not fully meet the outstanding standard. For a “needs improvement” rating, the ratee’s predominant performance for the period should exceed the unacceptable rating but not fully meet the fully successful rating.

The rater should check on the form the box corresponding to the performance standard most nearly exemplifying the ratee’s predominant performance in each dimension—that is, the ratee’s overall work behavior during the assignment or period. In making this determination, the rater should note that the performance standards were developed so that a ratee meeting expectations should be rated fully successful. The rater also should note that the performance standards are not all-inclusive—the ratee need not perform all the activities or the exact activities described in the standards to be rated at a certain level.

Part IV: Rater’s Assessment of Performance (Optional)

A narrative summary is not required to support ratings at or above fully successful. The rater may opt to provide a brief summary of the qualitative performance observed in producing the major results/accomplishments recorded in part II.

Part V: Basis for Ratings Below Fully Successful

Each dimension rated below fully successful requires narrative supported by examples. Additional documentation is usually required to support an opportunity period notice or a performance-based action following ratings of unacceptable. (See GAO Order 2432.1, Dealing With Unacceptable Performance.)

Part VI: Signatures

Both the ratee and the rater should sign the appraisal form in the spaces provided. (See ch. 2 for details on the role of the reviewer.) The rater's and reviewer's typed names and band/SES should also appear on the form. After the rater gives the ratee the appraisal and discusses it with the ratee, the ratee should sign the appraisal form. By signing, the ratee does not indicate agreement with the appraisal but acknowledges that he or she has read it.

When the rater is the unit head, there is no reviewer. In these cases, only the signatures of the rater and the ratee are required.

Part VII: Ratee Comments

The ratee may submit comments within 5 calendar days of being presented with the rating. These comments are not limited to the space on the form. Ratee comments become a permanent part of the appraisal. The appraisal is final after 5 calendar days of the ratee being presented with the rating unless, the rater extends the comment period. If the comment period is extended, the appraisal is final at the time the comments are due.

GAO Form 209, Expectation Setting Record

United States General Accounting Office

GAO

Expectation Setting Record

Instructions: This form must be used to confirm that the ratee has been informed about, and understands, the following matters:

1. Assignment expectations (such as roles, responsibilities, outputs and timeframes.)
2. Job Dimensions and Performance Standards to be used in evaluating performance (see the job dimensions and performance standards as set forth in the performance appraisal manual.)
3. How individual efforts can help achieve appropriate GAO strategic goals and performance measures.

Chapter 1 of the Performance Appraisal System for Band I, II, and III Employees provides further guidance on setting expectations.

Date(s) Expectations Set	Employee's Signature	Supervisor's Signature

Optional (Summary of Expectations)

**Appendix II
GAO Form 563, Performance Appraisal for Band I and II Employees (Reverse Side)**

Part III. Rater's Assessment of Performance. Summarize performance, including major accomplishments. (Do not exceed the space on this form, except for ratings below Fully Successful or for Developmental staff ratings, when narrative should be provided for each dimension rated. One page (one-side) may be attached for the continuation of narrative. Use 12 pitch font.)

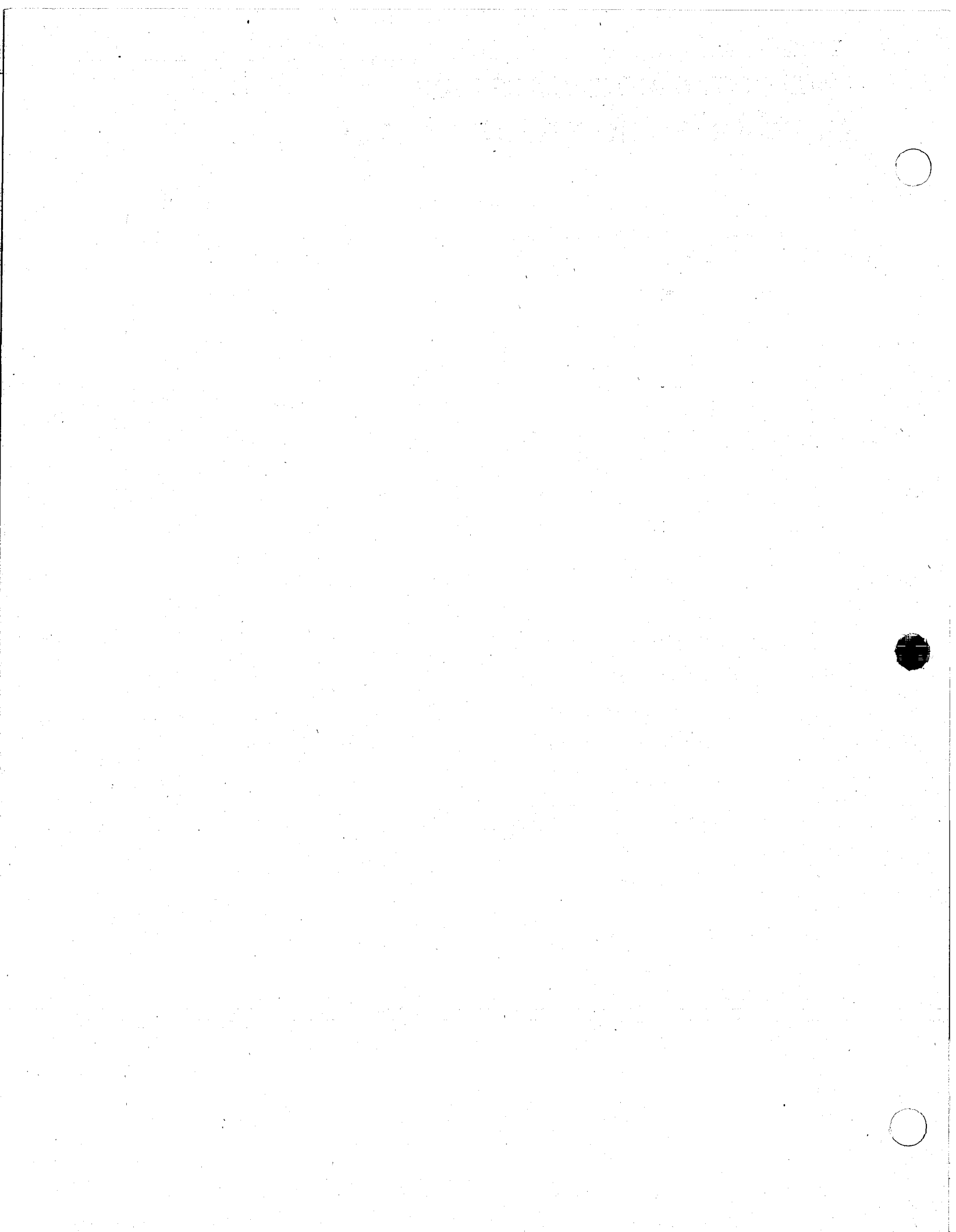
Part IV. Signatures

	Name (typed)	Band	Signature	Unit	Date
Rater	_____	_____	_____	_____	_____
Reviewer	_____	_____	_____	_____	_____
Ratee	_____	_____	_____	_____	_____

The signature of the rater and ratee indicate that the appraisal has been discussed and the ratee was counseled on his/her performance. By signing, the ratee does not necessarily indicate agreement with the appraisal.

Part V. Ratee Comments (optional): Additional pages may be added.

Performance Standards: Band I-Developmental Level



1. Planning

Includes identifying areas of review that will lead to improved government operations—such as the potential for dollar savings and/or nonfinancial benefits to the government and taxpayers, ascertaining congressional interest, and contributing to issue area plans including the job compendium; using appropriate planning tools, planning the resources needed for specific assignments, including the need for technical assistance; determining the scope and objectives of assignments (coordinating work to avoid conflict and duplication, identifying alternatives and constraints to planned work, sources of information, and methodology); designing the method(s) of communication to the customer's needs; terminating unproductive work; learning and applying GAO policy and generally accepted government auditing standards (GAGAS) governing work; and planning own work time.

Band I (Developmental Level) Performance Standards

Frequently:

Overlooks or fails to identify important and relevant information sources needed to accomplish detailed project steps or duplicates work on the subject that is available.

Identifies and selects information sources for a project that are infeasible or unavailable.

Demonstrates little or fails to apply knowledge of GAO policies and procedures and GAGAS necessary to perform job and administrative functions.

Performs day-to-day activities without considering relative priorities, contingencies, or time constraints.

Encounters constraints in project work but does not inform or coordinate with others to resolve delays or problems.

Usually:

Locates information sources needed to accomplish detailed project steps within established time frames, including information available from past and current work on the subject.

Determines availability of needed information and ways to obtain it within established time frames.

Displays knowledge of GAO policies and procedures (including the dimensions of quality) and GAGAS and uses such knowledge in performing administrative and job functions.

Plans and manages own work; works on tasks assigned as most important and urgent and completes work within established time frames.

Identifies constraints or risks in project work and informs others to accomplish assigned tasks in a timely manner.

Almost Always:

Identifies important and relevant information sources needed to accomplish detailed project steps ahead of schedule and avoids duplicative work on the subject.

Determines principal and alternative sources of needed information and develops ways to obtain it ahead of established time frames.

Demonstrates detailed knowledge of GAO policies and procedures (including the dimensions of quality) and GAGAS and applies such knowledge to improve administrative and job functions.

Establishes priority of tasks in terms of importance and time needed and manages work activities accordingly, completing work ahead of schedule.

Maintains contact with and coordinates own work and problems encountered with others who need to know. Suggests mitigation strategies to accomplish tasks in a timely manner.

1. Planning

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

Overlooks issues with potential for dollar savings and/or nonfinancial benefits or fails to plan audit/evaluation steps necessary to fully develop them.

Demonstrates little knowledge of planning tools (such as the job assessment, design matrix and project planning software) and fails to understand their role in achieving desired outcomes related to time, cost and quality.

Usually:

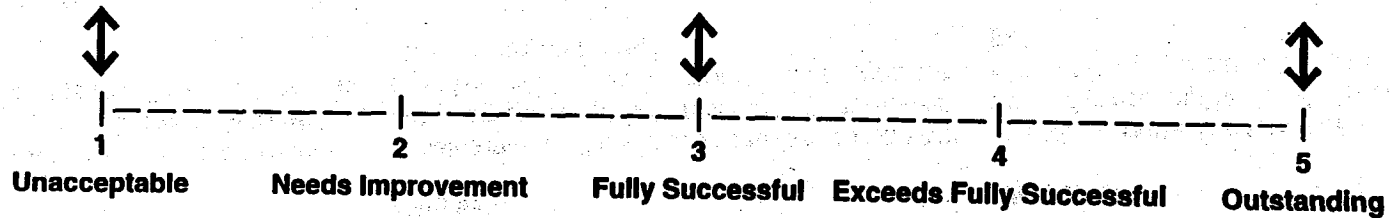
Identifies issues with potential for, and plans work steps that lead to, dollar savings and/or nonfinancial benefits.

Understands and uses planning tools (such as the job assessment, design matrix and project planning software) that help the team meet commitment dates and cost estimates.

Almost Always:

Identifies issues and plans work steps that provide results in terms of dollar savings and/or nonfinancial benefits to the government and taxpayers.

Finds innovative ways to use planning tools (such as the job assessment, design matrix and project planning software) to maximize their value in helping to meet commitment dates and cost estimates and coaches others in the work area to use them more effectively.



2. Data Gathering and Documentation

Acquiring and documenting relevant data to develop supportable findings, conclusions and recommendations or otherwise fulfill project objectives, including researching and identifying data sources and data collection strategies, identifying missing data, and ensuring that data are current and accurate. Learning and applying current automated tools to collect, share, organize and manipulate data. Following GAO policies and procedures when preparing all forms, and project or administrative documentation.

Band I (Developmental Level) Performance Standards

Frequently:

Does not use the appropriate data collection methods which adversely affects product quality and delays completion of work.

Chooses an incomplete or inappropriate data-gathering approach or submits documentation that is unreliable. Fails to follow up to obtain missing data or conducts ineffective follow-up.

Submits workpapers that are assembled, indexed, and cross-indexed in a manner that makes verification impossible. (For Developmental staff, this occurs even after extensive coaching.)

Does not contribute required documentation for the Job Management and Project File.

Usually:

Identifies and uses the appropriate data collection methods for producing quality products that meet commitment dates.

Identifies appropriate data sources; obtains relevant and reliable data within specified time frames.

Assembles, indexes, and cross-indexes workpapers properly and efficiently to facilitate analysis. Organizes workpapers to support the preparation of written summaries or report segments.

Contributes required documentation for the Job Management and Project File.

Almost Always:

Identifies and uses the most appropriate data collection methods for producing quality products within or ahead of agreed-upon deadlines. Helps others to expedite data gathering.

Identifies appropriate data sources and obtains relevant data to sustain supportable conclusions ahead of specified time frames and in the most cost-effective manner; organizes data to ensure reader understanding.

Assembles, indexes, and cross-indexes workpapers to expedite subsequent analysis. Documentation is readily translated into summaries to support segments of the audit/project, and critical data is readily differentiated from other evidence with less-than-normal level of supervisory review. Workpapers stand on their own with little or no need for elaboration.

Contributes required documentation for the Job Management and Project File and helps others to prepare proper documentation.

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2. Data Gathering and Documentation

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

Resists learning and/or using available ADP resources (such as computer, Internet, agency data bases) to accomplish work.

Is unaware of or ignores GAO policies and procedures related to ensuring reliability and completeness of computer-based data.

Misleads other staff members due to incomplete or inaccurate background research.

Prepares inaccurate or incomplete administrative documentation.

Requires extensive supervision or coaching to complete data gathering or documentation. Does not recognize the need for or seek help from supervisor.

Usually:

Uses available ADP resources (e.g., computer, Internet, agency data bases) to obtain, create, store, share and access data.

Applies GAO policies and procedures, as appropriate, to ensure reliability and completeness of computer-based data and analysis.

Conducts relevant research to identify background information on previously used data and data collection methods and techniques, and applies information to the current assignment. Performs complete and accurate research.

Prepares administrative documentation requiring minimal revision.

Requires an average amount of supervision or coaching to complete data gathering or documentation, typical of the staff member's progression in the band level. Seeks help from supervisor when needed.

Almost Always:

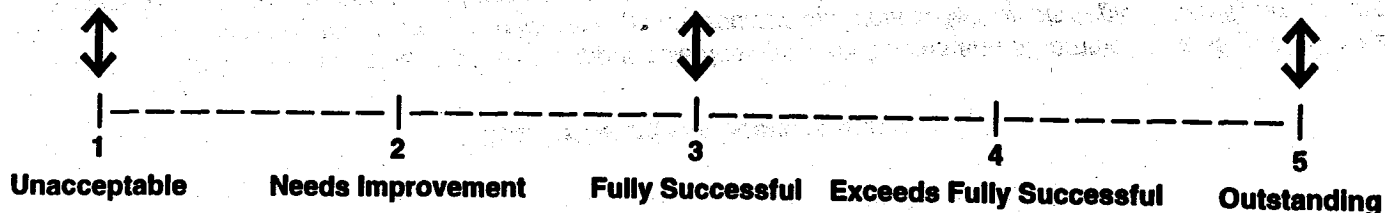
Seeks opportunities to enhance data gathering through innovative use of ADP resources, including learning new technology.

Applies the highest professional standards when applying GAO policies and procedures to ensure the reliability and completeness of computer-based data resulting in consistently trouble-free handling of data.

Modifies previously researched data collection methods or techniques for use on the current assignment. Such modifications are new or unique and result in decreased calendar time or cost.

Prepares complete and accurate administrative documentation. Is consulted by peers to provide clear guidance in meeting GAO requirements.

Requires little or no supervision to complete data gathering or documentation, typical of the staff member's progression in the band level. Discovers and resolves problems, getting concurrence from supervisor.



3. Data Analysis

Organizing, tabulating, contrasting, and synthesizing data or information to produce findings, conclusions, and recommendations; using computer tools to support analysis; applying professionally accepted analytical techniques (statistical, economic, accounting, and so on); determining validity, reliability, and quality of data and the adequacy of evidence supporting findings or conclusions, including those in GAO's own work.

Band I (Developmental Level) Performance Standards

Frequently:

Does not complete work by self-established and mutually agreed-upon deadlines. Rarely makes suggestions on how to expedite data analysis.

Chooses or applies an analysis strategy inappropriate to the objectives of the evaluation; includes irrelevant analysis; overlooks job constraints.

Conducts inappropriate analyses (using an improper, overly complex, or simplistic technique) for the job.

Conducts analyses requiring many changes by the supervisor to meet project objectives.

Interprets, summarizes, or reports statistical analyses incompletely, incorrectly, or in a confusing manner.

Usually:

Completes work by agreed-upon deadlines. Is aware of time constraints and suggests ways to expedite analysis.

Devises or applies an analysis strategy that addresses the objectives of the evaluation and helps to produce a high quality product that meets commitment dates. Makes provision for typical job constraints.

Conducts appropriate analyses using the proper techniques (for example, information synthesis, content analysis, statistics, econometrics, operations research, modeling, accounting, and so on).

Conducts analyses requiring little change by the supervisor to meet project objectives.

Interprets, summarizes, or reports statistical analyses correctly and in a way that others can understand.

Almost Always:

Completes work on or ahead of agreed-upon deadlines. Helps others to expedite analysis.

Devises or applies an analysis plan that provides a unique solution to complex evaluation objectives that have eluded previous attempts at solution.

Conducts analyses using unique or new techniques or combines information in productive ways to achieve job objectives.

Completes own analyses requiring little if any change by the supervisor and is consulted by others to troubleshoot and identify errors in their work.

Interprets complex statistical data correctly; summarizes and reports statistical analyses clearly and completely; provides data in a format that is understood by both professionals and lay people.

3. Data Analysis

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

Chooses an inappropriate research methodology, data analysis, or software package; cannot justify decisions.

Has difficulty deciding if evidence gathered is sufficient. Fails to gather an adequate amount of evidence or evidence lacks relevance to the audit steps/project objectives.

Gathers more data than needed, or data that are not relevant to assignment objectives.

Fails to recognize that data are weak or problematic, even after having several opportunities to do so. Cannot identify serious gaps or weaknesses in evidence or determine what evidence is needed to satisfy individual project objectives without constant supervision.

Fails to appropriately consider findings of fact, weight of evidence, laws, regulations, or GAO standards when drawing conclusions, resulting in extensive discussion and revision; draws conclusions based on incomplete, inaccurate, or outdated information; is poorly prepared for challenges.

Usually:

Chooses an appropriate research methodology, data analysis, or software package; justifies decisions.

Determines if evidence gathered is sufficient. Gathers an adequate amount of evidence that is relevant to the audit steps/project objectives.

Gathers data efficiently, avoiding the time and expense of gathering extraneous information.

Evaluates the quantity and quality of evidence to determine if it satisfies the requirements of individual project objectives. Determines if data are sufficient to draw proper conclusions and recommendations and, if not, follows up.

Appropriately considers findings of fact, weight of evidence, laws, regulations, or GAO standards when drawing conclusions, resulting in little need for discussion and revision; draws conclusions on complete, accurate, and up-to-date information; is prepared for challenges.

Almost Always:

Selects research methodology that is technically sound and efficient and provides a convincing rationale for the choice.

Gathers error-free evidence that meets all requirements despite heavy work load, the ability to work independently, complexity, deadlines, or a combination of these factors.

Gathers data in a highly efficient manner with most information directly responsive to assignment objectives.

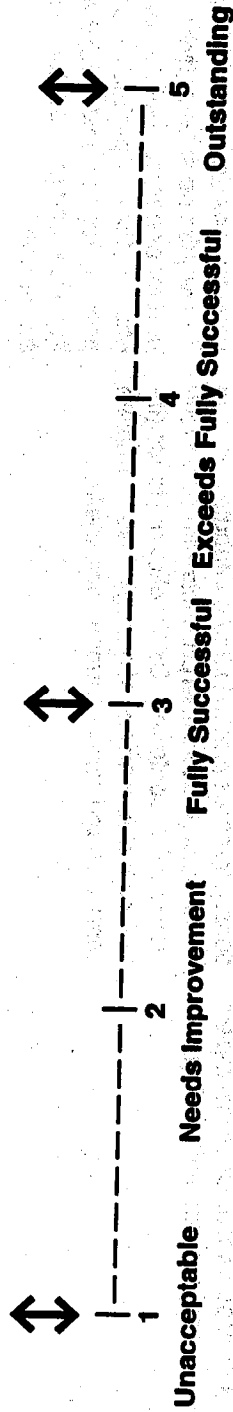
Is consulted by supervisors and peers to examine data or analyses to identify and correct weaknesses and assure that all job objectives are met.

Does original or unique work when analyzing data, drawing conclusions, and developing recommendations, especially for complex or sensitive evaluations.

3. Data Analysis

Band I (Developmental Level) Performance Standards (Continued)

Frequently: Requires continuous supervision or coaching to complete analysis. Does not recognize the need for or seek help from supervisor.	Usually: Requires an average amount of supervisory review or coaching to complete analysis, typical of the staff member's progression in the band level. Seeks help from supervisor when needed.	Almost Always: Requires little or no supervision to complete analysis, typical of the staff member's progression in the band level. Discovers and resolves problems and gets concurrence from supervisor.
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4. Written Communication

Preparing and reviewing a variety of written products in collaboration with others including issue area and assignment plans, interview write-ups, workpapers, workpaper summaries, report segments, chapters, technical appendixes, complete reports or testimony, data collection instruments, internal and external correspondence, administrative documentation of all types, including performance appraisals, and speeches and professional articles. Using automated capabilities to develop, review, and process GAO products.

Band I (Developmental Level) Performance Standards

Frequently:

Prepares written products that are incomplete, inaccurate, illogical, or are untimely, or fail to achieve project objectives. Prepares products that do not conform to GAO policy guidance. Uses incomplete sentences and incorrect grammar and spelling.

Submits superficial interview write-ups lacking documentation to support comparisons, clarity, and coverage; providing insufficient details for use as evidence; or containing factual errors.

Prepares summaries that are poorly developed and hard to understand; fail to focus attention on the main issues; and require correction by the supervisor. Develops conclusions and recommendations unsubstantiated by supporting information.

Usually:

Prepares written products that are accurate, objective, complete, timely, and clear; uses sufficient examples to support conclusions and recommendations. Prepares products that contribute to or can be incorporated into final products with some revision and that conform to GAO policy guidance (including the dimensions of quality). Uses complete sentences and correct grammar and spelling.

Prepares interview write-ups that may require some supervisory revision but are accurate, provide sufficient details for use as evidence, and meet expectations for coverage and clarity.

Prepares written summaries that are complete, concise, accurate, and logical and require an average amount of supervisory revision. Encounters average difficulty incorporating several related issues and develops adequately supported conclusions and recommendations.

Almost Always:

Prepares written products that are accurate, objective, complete, timely, and clear. Prepares products on or ahead of schedule. Prepares intermediate products, such as workpaper summaries and chapters, that require no substantive changes, provide support for or can be easily incorporated into the next phase or the final product, and that comply with GAO policy guidance (including the dimensions of quality). Uses complete sentences and correct grammar and spelling.

Prepares interview write-ups that are complete in every respect and are clear, logical, and well organized and require minimal supervisory revision.

Prepares written summaries that are complete, concise, accurate, and logical and require minimal supervisory revision. Easily incorporates several related issues and develops fully supported conclusions and recommendations.

4. Written Communication

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

Prepares report segments that are disorganized or diverge from agreed-upon outline. Includes misleading background information or presentation. Presents issues unclearly so that the basis for conclusions and recommendations is not apparent.

Does not use automated capabilities including graphics to improve on-the-job and message-related communication.

Usually:

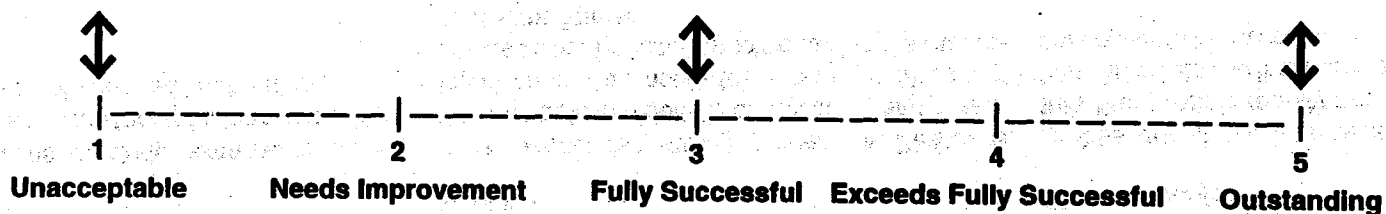
Prepares report segments that discuss relevant issues and are well organized, logical, complete, and accurate.

Uses automated capabilities including graphics to improve on-the-job and message-related communication.

Almost Always:

Prepares well-organized, well-structured, and logical report segments. Presents multiple issues clearly and concisely so that readers easily understand findings, conclusions, and recommendations.

Makes optimal use of automated capabilities including graphics to improve on-the-job and message-related communication.



5. Oral Communication

Communicating upward and downward so that information flows freely and shared understanding occurs; contributing to openness, honesty, mutual respect and cooperation that enhances effective communication with other GAO staff; communicating with agency personnel; meeting with Members of Congress and their staffs; representing GAO to the public, private organizations, and the press; communicating complex technical information to clients.

Band I (Developmental Level) Performance Standards

Frequently:

Misstates questions or includes extraneous content, requiring excessive time for repetition and clarification or failing to obtain needed information.

Gathers incomplete information by asking questions inappropriate for the interview or discussion.

Lacks command of assigned portions of a briefing; fails to clearly convey the facts; rambles or stumbles in response to some questions.

Usually:

Asks clear, concise, and logical questions. Responds to comments in a definitive, objective, and meaningful manner, acknowledging stated positions and perspectives. Does not ramble and observes appropriate time frames.

Elicits information from others by analyzing ongoing discussions or interviews and asks appropriate follow-up questions.

Presents assigned portion of briefing by reviewing pertinent data and making reference notes. Speaks clearly and logically and responds to questions readily and accurately.

Almost Always:

Probes, questions, or requests information so skillfully that officials readily provide needed information. Articulates so that misunderstandings and misconceptions do not occur.

Extracts information that is sensitive and difficult to obtain. Obtains information quickly and easily. Departs from prearranged outlines to pursue relevant subjects in greater depth and still returns to task at hand. Demonstrates such knowledge of subject matter that agency officials and employees converse freely on technical matters.

Presents assigned portion of briefing, carefully tailoring it to the concerns and time requirements of the listener without overreliance on notes; presents a positive image when communicating with any type, level, or size of audience; uses demonstration techniques, audio-visual aids, or sample/briefing materials expertly.

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5. Oral Communication

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

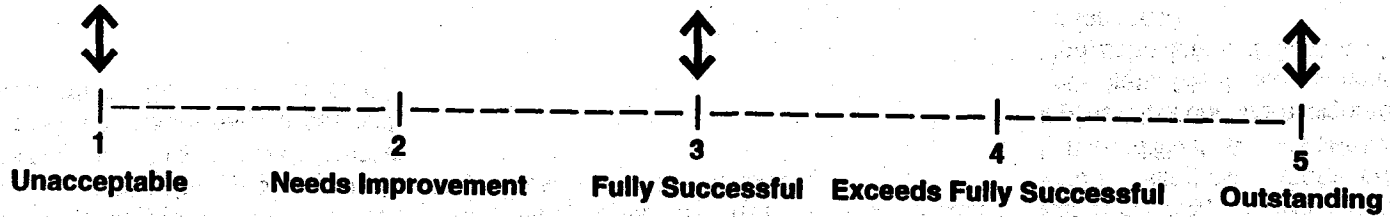
Speaks timidly and fails to hold attention of audience. Does not demonstrate an ability to "think on feet."

Usually:

Is self-confident in appearance, at ease, and articulate. Uses appropriate movements for emphasis. Summarizes interview and clarifies issues, differences, or misinterpretations.

Almost Always:

Presentation skills are such that employee often leads the discussion or meeting.



6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Demonstrating support for and promoting collaborative efforts to achieve mission requirements, satisfy customer needs, and meet common goals. Promoting teamwork which includes helping each other, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions; and employing techniques for problem solving, decision making, and recognizing the contributions of both individuals and teams.

Establishing and maintaining effective and constructive working relationships with all stakeholders and others both inside and outside GAO.

Ensuring that principles of equal opportunity are properly observed.

Band I (Developmental Level) Performance Standards

Frequently:

Fails to support cooperative projects or those chosen by group consensus, putting own interests ahead of the group's; does not perform well as part of a team by refusing to exchange information, belittling the suggestions of others, or ignoring group decisions. Hesitates or refuses to take on additional or difficult work or to help coworkers; relies excessively on assistance from others. Does not meet commitments.

Does not listen constructively to others; expresses views in a confusing way; does not respect the individual when expressing disagreements. Is contentious or divisive in team discussions and interactions. Resists sharing information or skills, placing self interest over group's interests.

Refuses to acknowledge or disparages contributions of others. Creates morale problems within group.

Usually:

Collaborates with coworkers and others; adjusts to different working styles, approaches and perspectives. Does his/her part of assigned workload; proactively assists others as needed to meet team objectives. Meets commitments.

Listens constructively to others; expresses own ideas so as to be clearly understood, respects others when expressing disagreements. Freely shares information and developments within and outside of the work group when appropriate.

Provides informal and formal encouragement and recognition to others.

Almost Always:

Promotes teamwork and cooperation especially in frustrating, difficult, or provocative situations; anticipates potential conflicts and addresses them directly and effectively; is gracious in expressing own views when dealing with others. Willingly accepts additional or difficult responsibilities, requesting challenging, novel, or unusual assignments; proactively helps coworkers. Meets commitments. Models exemplary work behaviors and mentors others to enhance their performance.

Actively contributes to the quality of team discussions and interactions; enlarges horizons and perspective of others in discussions; promotes consensus building. Takes initiative to get others up to speed on complex issues and subject-matter.

Actively pursues appropriate recognition of individuals and the team that significantly contributes to team morale.

6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

Fails to acquire specialized or general skills in a timely manner which affects personal contributions or team productivity. Fails to provide opportunities to others to develop their knowledge, skills and abilities. Does not seek out reasonable personal developmental experiences.

Subordinates team decisions and goals to individual goals.

Does not contribute to or works against a shared understanding of job objectives, roles and agreed upon message in reports by not participating in or by exhibiting counterproductive behavior in job-related design summits, conferences, etc.

Shows discourtesy or disrespect to coworkers and others; acts in a condescending manner; violates or breaks confidences; fails to tolerate others' needs, perspectives, duties, or responsibilities.

Reacts to constructive feedback with hostility or defensiveness; attempts to shift blame or responsibility for mistakes.

Usually:

Develops or builds on specialized or general skills to further team objectives. Provides opportunities to others to develop their knowledge, skills, and abilities. Seeks necessary personal training and developmental experiences.

Balances individual goals with support for team goals.

Contributes to a shared understanding of job objectives, roles and agreed upon message in reports by actively participating in job-related design summits, conferences, etc.

Demonstrates respect and concern for others to strengthen and maintain effective working relationships. Develops constructive working relationships with people whose goals, culture, background, or values differ from own.

Responds constructively to feedback.

Almost Always:

Actively looks for ways to offer opportunities to others to develop knowledge, skills and abilities. Identifies the need for and fosters acquisition of knowledge and skills that support short-range and long-range needs.

Values contributions and support for team decisions and goals while accommodating individual goals.

Makes significant contributions to a shared understanding of job objectives, roles and agreed upon message in reports by actively participating in job-related design summits, conferences, etc. Contributes useful ideas, works toward consensus and moves the discussion toward solutions.

Demonstrates respect and concern for others to strengthen and maintain effective working relationships. Is extremely active in seeking out and helping others to provide support and serves as a role model through personal actions. Treats others with dignity; seeks to understand and demonstrates respect for the needs, perspectives, and responsibilities of others; maintains confidences; develops constructive working relationships with people whose goals, culture, background, or values differ from own.

Is highly responsive and open to feedback, encouraging others to provide suggestions for improvement.

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6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Band I (Developmental Level) Performance Standards (Continued)

Frequently:

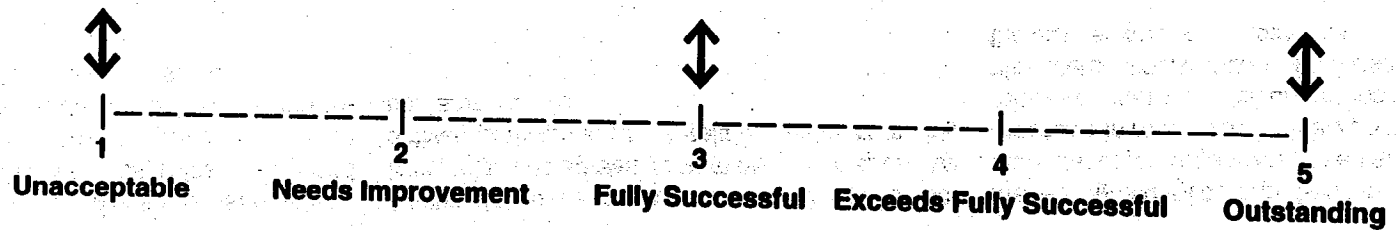
Creates conflicts in work group; makes distinctions of race, sex, and so on and expresses an unwillingness to work with certain people; does not support Affirmative Action or EO goals.

Usually:

Works harmoniously with coworkers, treating them fairly regardless of race, sex, and so on; supports and furthers Affirmative Action and EO goals.

Almost Always:

Actively works to promote harmony with coworkers without distinctions on the basis of race, sex, and so on; supports and furthers Affirmative Action and EO goals; and expresses a willingness to work in EO programs or activities.



Performance Standards: Band I-Full Performance Level

1. Planning

Includes identifying areas of review that will lead to improved government operations—such as the potential for dollar savings and/or nonfinancial benefits to the government and taxpayers, ascertaining congressional interest, and contributing to issue area plans including the job compendium; using appropriate planning tools, planning the resources needed for specific assignments, including the need for technical assistance; determining the scope and objectives of assignments (coordinating work to avoid conflict and duplication, identifying alternatives and constraints to planned work, sources of information, and methodology); designing the method(s) of communication to the customer's needs; terminating unproductive work; learning and applying GAO policy and generally accepted government auditing standards (GAGAS) governing work; and planning own work time.

Band I (Full Performance Level) Performance Standards

Frequently:

Overlooks or fails to identify important and relevant information sources needed to accomplish detailed project steps or duplicates work on the subject that is available.

Identifies and selects information sources for a project that are infeasible or unavailable.

Demonstrates little or fails to apply knowledge of GAO policies and procedures and GAGAS necessary to perform job and administrative functions.

Performs day-to-day activities without considering relative priorities, contingencies, or time constraints.

Encounters constraints in project work but does not inform or coordinate with others to resolve delays or problems.

Usually:

Locates information sources needed to accomplish detailed project steps within established time frames, including information available from past and current work on the subject.

Determines availability of needed information and ways to obtain it within established time frames.

Displays knowledge of GAO policies and procedures (including the dimensions of quality) and GAGAS and uses such knowledge in performing administrative and job functions.

Plans and manages own work; works on tasks assigned as most important and urgent and completes work within established time frames.

Identifies constraints or risks in project work and informs others to accomplish assigned tasks in a timely manner.

Almost Always:

Identifies important and relevant information sources needed to accomplish detailed project steps ahead of schedule and avoids duplicative work on the subject.

Determines principal and alternative sources of needed information and develops ways to obtain it ahead of established time frames.

Demonstrates detailed knowledge of GAO policies and procedures (including the dimensions of quality) and GAGAS and applies such knowledge to improve administrative and job functions.

Establishes priority of tasks in terms of importance and time needed and manages work activities accordingly, completing work ahead of schedule.

Maintains contact with and coordinates own work and problems encountered with others who need to know. Suggests mitigation strategies to accomplish tasks in a timely manner.

1. Planning

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Overlooks issues with potential for dollar savings and/or nonfinancial benefits or fails to plan audit/evaluation steps necessary to fully develop them.

Demonstrates little knowledge of planning tools (such as the job assessment, design matrix and project planning software) and fails to understand their role in achieving desired outcomes related to time, cost and quality.

When planning or coordinating projects or activities, makes uniformly inappropriate or impractical suggestions.

Makes unrealistic and incomplete assignment segment estimates; fails to identify critical work locations or identifies locations that are impractical for performing work; or makes staffing estimates that do not allow for effective or efficient coverage.

Makes inaccurate estimates to complete work that do not allow for contingencies.

Does not consider, understand, or research appropriate methodologies and factors, requirements, or constraints to meet project objectives.

Usually:

Identifies issues with potential for, and plans work steps that lead to, dollar savings and/or nonfinancial benefits.

Understands and uses planning tools (such as the job assessment, design matrix and project planning software) that help the team meet commitment dates and cost estimates.

When planning or coordinating projects or activities, makes suggestions that are potentially productive and relevant to the issue area.

Makes practical and complete assignment segment estimates; identifies staff and skills needed, time frames to complete work, constraints, and some contingencies.

Estimates to complete work are reliable but may require some revision by the supervisor.

Performs necessary research, recognizes available alternative methods of meeting project objectives, and develops an understanding of these approaches.

Almost Always:

Identifies issues and plans work steps that provide results in terms of dollar savings and/or nonfinancial benefits to the government and taxpayers.

Finds innovative ways to use planning tools (such as the job assessment, design matrix and project planning software) to maximize their value in helping to meet commitment dates and cost estimates and coaches others in the work area to use them more effectively.

Actively seeks opportunities to make productive contributions to projects or issue area plans. Suggestions reflect consideration of objectives, scope, and alternatives. Is consulted by supervisors and peers as a source of ideas for new work.

Makes assignment segment estimates that are on target, addressing staff and skills needed, time frames to complete work, work locations, headquarters, and field coordination, and minimize "downtime." Anticipates constraints and contingencies at the outset.

Makes reliable estimates to complete work that require no substantive changes by the supervisor.

Conducts independent research and has an in-depth understanding of all the alternative methods or approaches to best meet project objectives, and develops a logical, realistic, innovative, and complete approach.

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1. Planning

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Does not make meaningful contributions to selecting methodology or offer alternatives or suggestions resulting in significant delays in meeting job requirements.

Submits plans for analysis that do not address the issues or contain extraneous analysis that cannot be used to support audit/project findings requiring the supervisor to make substantive changes.

Selects an inappropriate type and level of analysis.

Demonstrates little knowledge of policies, procedures, regulations, and legislation that apply to GAO's work; does not stay abreast of developments that affect work; does not recognize how changes in policies, procedures, regulations, and legislation affect work; and does not take action to ensure that GAO responds appropriately.

Usually:

Proposes methodology that recognizes assignment constraints.

Submits plans for analysis that address the issues but may require some supervisory revisions.

Selects a type and level of analysis that are appropriate in all respects.

Displays knowledge of policies, procedures, regulations, and legislation that apply to GAO's work; stays abreast of developments that affect work; recognizes how changes in policies, procedures, regulations, and legislation affect work; and takes action to ensure that GAO responds appropriately.

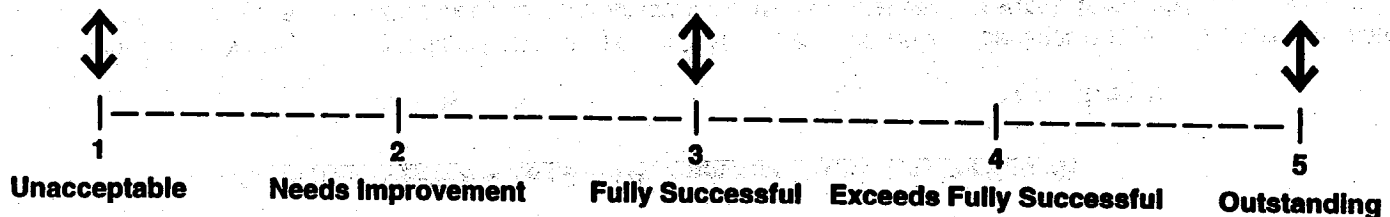
Almost Always:

Proposes methodology that enhances assignment quality or completion.

Prepares plans for analysis that fully address the issues, requiring little if any revision.

Selects an appropriate and cost-effective type and level of analysis.

Demonstrates thorough knowledge of policies, procedures, regulations, and legislation that apply to GAO's work; is aware of developments and changes that affect work and takes prompt action to ensure that GAO responds appropriately.



2. Data Gathering and Documentation

Acquiring and documenting relevant data to develop supportable findings, conclusions and recommendations or otherwise fulfill project objectives, including researching and identifying data sources and data collection strategies, identifying missing data, and ensuring that data are current and accurate. Learning and applying current automated tools to collect, share, organize and manipulate data. Following GAO policies and procedures when preparing all forms, and project or administrative documentation.

Band I (Full Performance Level) Performance Standards

Frequently:

Does not use the appropriate data collection methods which adversely affects product quality and delays completion of work.

Chooses an incomplete or inappropriate data-gathering approach or submits documentation that is unreliable. Fails to follow up to obtain missing data or conducts ineffective follow-up.

Submits workpapers that are assembled, indexed, and cross-indexed in a manner that makes verification impossible.

Does not contribute required documentation for the Job Management and Project File.

Usually:

Identifies and uses the appropriate data collection methods for producing quality products that meet commitment dates.

Identifies appropriate data sources; obtains relevant and reliable data within specified time frames.

Assembles, indexes, and cross-indexes workpapers properly and efficiently to facilitate analysis. Organizes workpapers to support the preparation of written summaries or report segments.

Contributes required documentation for the Job Management and Project File.

Almost Always:

Identifies and uses the most appropriate data collection methods for producing quality products within or ahead of agreed-upon deadlines. Helps others to expedite data gathering.

Identifies appropriate data sources and obtains relevant data to sustain supportable conclusions ahead of specified time frames and in the most cost-effective manner; organizes data to ensure reader understanding.

Assembles, indexes, and cross-indexes workpapers to expedite subsequent analysis. Documentation is readily translated into summaries to support segments of the audit/project, and critical data is readily differentiated from other evidence with less-than-normal level of supervisory review. Workpapers stand on their own with little or no need for elaboration.

Contributes required documentation for the Job Management and Project File and helps others to prepare proper documentation.

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2. Data Gathering and Documentation

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Resists learning and/or using available ADP resources (such as computer, Internet, agency data bases) to accomplish work.

Is unaware of or ignores GAO policies and procedures related to ensuring reliability and completeness of computer-based data.

Misleads other staff members due to incomplete or inaccurate background research.

Prepares inaccurate or incomplete administrative documentation.

Requires extensive supervision or coaching to complete data gathering or documentation. Does not recognize the need for or seek help from supervisor.

Usually:

Uses available ADP resources (e.g., computer, Internet, agency data bases) to obtain, create, store, share and access data.

Applies GAO policies and procedures, as appropriate, to ensure reliability and completeness of computer-based data and analysis.

Conducts relevant research to identify background information on previously used data and data collection methods and techniques, and applies information to the current assignment. Performs complete and accurate research.

Prepares administrative documentation requiring minimal revision.

Requires an average amount of supervision or coaching to complete data gathering or documentation, typical of the staff member's progression in the band level. Seeks help from supervisor when needed.

Almost Always:

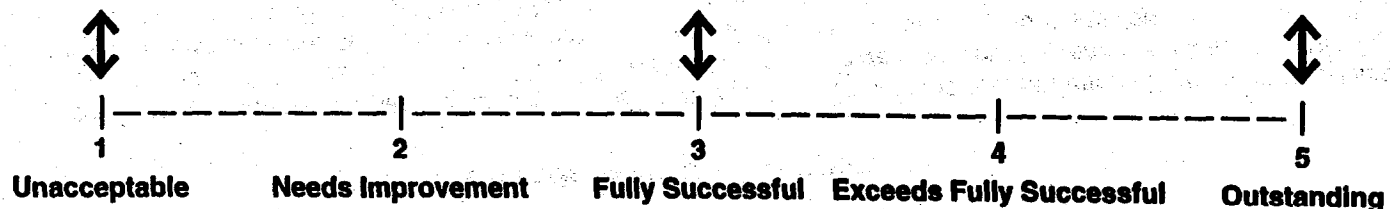
Seeks opportunities to enhance data gathering through innovative use of ADP resources, including learning new technology.

Applies the highest professional standards when applying GAO policies and procedures to ensure the reliability and completeness of computer-based data resulting in consistently trouble-free handling of data.

Modifies previously researched data collection methods or techniques for use on the current assignment. Such modifications are new or unique and result in decreased calendar time or cost.

Prepares complete and accurate administrative documentation. Is consulted by peers to provide clear guidance in meeting GAO requirements.

Requires little or no supervision to complete data gathering or documentation, typical of the staff member's progression in the band level. Discovers and resolves problems, getting concurrence from supervisor.



3. Data Analysis

Organizing, tabulating, contrasting, and synthesizing data or information to produce findings, conclusions, and recommendations; using computer tools to support analysis; applying professionally accepted analytical techniques (statistical, economic, accounting, and so on); determining validity, reliability, and quality of data and the adequacy of evidence supporting findings or conclusions, including those in GAO's own work.

Band I (Full Performance Level) Performance Standards

Frequently:

Does not complete work by self-established and mutually agreed-upon deadlines. Rarely makes suggestions on how to expedite data analysis.

Chooses or applies an analysis strategy inappropriate to the objectives of the evaluation; includes irrelevant analysis; overlooks job constraints.

Conducts inappropriate analyses (using an improper, overly complex, or simplistic technique) for the job.

Conducts analyses requiring many changes by the supervisor to meet project objectives.

Interprets, summarizes, or reports statistical analyses incompletely, incorrectly, or in a confusing manner.

Usually:

Completes work by agreed-upon deadlines. Is aware of time constraints and suggests ways to expedite analysis.

Devises or applies an analysis strategy that addresses the objectives of the evaluation and helps to produce a high quality product that meets commitment dates. Makes provision for typical job constraints.

Conducts appropriate analyses using the proper techniques (for example, information synthesis, content analysis, statistics, econometrics, operations research, modeling, accounting, and so on).

Conducts analyses requiring little change by the supervisor to meet project objectives.

Interprets, summarizes, or reports statistical analyses correctly and in a way that others can understand.

Almost Always:

Completes work on or ahead of agreed-upon deadlines. Helps others to expedite analysis.

Devises or applies an analysis plan that provides a unique solution to complex evaluation objectives that have eluded previous attempts at solution.

Conducts analyses using unique or new techniques or combines information in productive ways to achieve job objectives.

Completes own analyses requiring little if any change by the supervisor and is consulted by others to troubleshoot and identify errors in their work.

Interprets complex statistical data correctly; summarizes and reports statistical analyses clearly and completely; provides data in a format that is understood by both professionals and lay people.

3. Data Analysis

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Chooses an inappropriate research methodology, data analysis, or software package; cannot justify decisions.

Has difficulty deciding if evidence gathered is sufficient. Fails to gather an adequate amount of evidence or evidence lacks relevance to the audit steps/project objectives.

Gathers more data than needed, or data that are not relevant to assignment objectives.

Fails to recognize that data are weak or problematic, even after having several opportunities to do so. Cannot identify serious gaps or weaknesses in evidence or determine what evidence is needed to satisfy individual project objectives without constant supervision.

Fails to appropriately consider findings of fact, weight of evidence, laws, regulations, or GAO standards when drawing conclusions, resulting in extensive discussion and revision; draws conclusions based on incomplete, inaccurate, or outdated information; is poorly prepared for challenges.

Usually:

Chooses an appropriate research methodology, data analysis, or software package; justifies decisions.

Determines if evidence gathered is sufficient. Gathers an adequate amount of evidence that is relevant to the audit steps/project objectives.

Gathers data efficiently, avoiding the time and expense of gathering extraneous information.

Evaluates the quantity and quality of evidence to determine if it satisfies the requirements of individual project objectives. Determines if data are sufficient to draw proper conclusions and recommendations and, if not, follows up.

Appropriately considers findings of fact, weight of evidence, laws, regulations, or GAO standards when drawing conclusions, resulting in little need for discussion and revision; draws conclusions on complete, accurate, and up-to-date information; is prepared for challenges.

Almost Always:

Selects research methodology that is technically sound and efficient and provides a convincing rationale for the choice.

Gathers error-free evidence that meets all requirements despite heavy work load, the ability to work independently, complexity, deadlines, or a combination of these factors.

Gathers data in a highly efficient manner with most information directly responsive to assignment objectives.

Is consulted by supervisors and peers to examine data or analyses to identify and correct weaknesses and assure that all job objectives are met.

Does original or unique work when analyzing data, drawing conclusions, and developing recommendations, especially for complex or sensitive evaluations.

3. Data Analysis

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

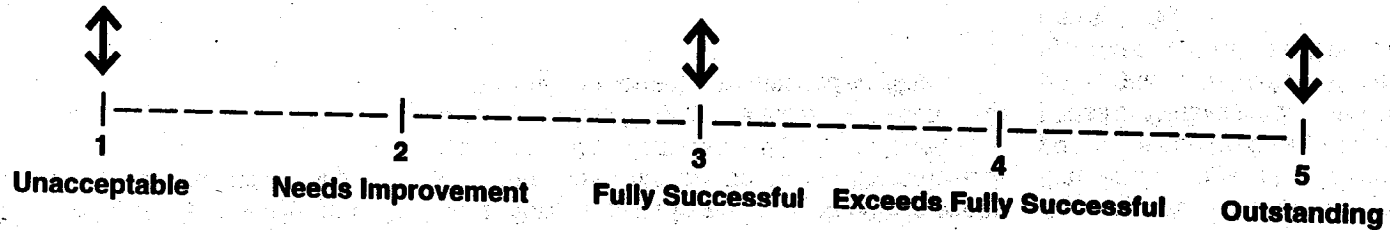
Requires continuous supervision or coaching to complete analysis. Does not recognize the need for or seek help from supervisor.

Usually:

Requires an average amount of supervisory review or coaching to complete analysis, typical of the staff member's progression in the band level. Seeks help from supervisor when needed.

Almost Always:

Requires little or no supervision to complete analysis, typical of the staff member's progression in the band level. Discovers and resolves problems and gets concurrence from supervisor.



4. Written Communication

Preparing and reviewing a variety of written products in collaboration with others including issue area and assignment plans, interview write-ups, workpapers, workpaper summaries, report segments, chapters, technical appendixes, complete reports or testimony, data collection instruments, internal and external correspondence, administrative documentation of all types, including performance appraisals, and speeches and professional articles. Using automated capabilities to develop, review, and process GAO products.

Band I (Full Performance Level) Performance Standards

Frequently:

Prepares written products that are incomplete, inaccurate, illogical, or are untimely, or fail to achieve project objectives. Prepares products that do not conform to GAO policy guidance. Uses incomplete sentences and incorrect grammar and spelling.

Submits superficial interview write-ups lacking documentation to support comparisons, clarity, and coverage; providing insufficient details for use as evidence; or containing factual errors.

Prepares summaries that are poorly developed and hard to understand; fail to focus attention on the main issues; and require correction by the supervisor. Develops conclusions and recommendations unsubstantiated by supporting information.

Usually:

Prepares written products that are accurate, objective, complete, timely, and clear; uses sufficient examples to support conclusions and recommendations. Prepares products that contribute to or can be incorporated into final products with some revision and that conform to GAO policy guidance (including the dimensions of quality). Uses complete sentences and correct grammar and spelling.

Prepares interview write-ups that may require some supervisory revision but are accurate, provide sufficient details for use as evidence, and meet expectations for coverage and clarity.

Prepares written summaries that are complete, concise, accurate, and logical and require an average amount of supervisory revision. Encounters average difficulty incorporating several related issues and develops adequately supported conclusions and recommendations.

Almost Always:

Prepares written products that are accurate, objective, complete, timely, and clear. Prepares products on or ahead of schedule. Prepares intermediate products, such as workpaper summaries and chapters, that require no substantive changes, provide support for or can be easily incorporated into the next phase or the final product, and that comply with GAO policy guidance (including the dimensions of quality). Uses complete sentences and correct grammar and spelling.

Prepares interview write-ups that are complete in every respect and are clear, logical, and well organized and require minimal supervisory revision.

Prepares written summaries that are complete, concise, accurate, and logical and require minimal supervisory revision. Easily incorporates several related issues and develops fully supported conclusions and recommendations. Develops a succinct bottom line message which reflects the appropriate context.

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4. Written Communication

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Prepares report segments that are disorganized or diverge from agreed-upon outline. Includes misleading background information or presentation. Presents issues unclearly so that the basis for conclusions and recommendations is not apparent.

Does not use automated capabilities including graphics to improve on-the-job and message-related communication.

Prepares final data collection instruments with biased or ambiguous items, providing inadequate data collection and an incomplete coverage of project objectives, or performs activities that fail to produce a work product or one that is way beyond schedule. Prepares instruments that are poorly integrated and make subsequent analysis difficult.

When reviewing written products of others, cannot provide constructive or helpful assistance, creating tension with comments that are arrogant, insulting, or clearly irrelevant. Fails to complete reviews on time.

Usually:

Prepares report segments that discuss relevant issues and are well organized, logical, complete, and accurate.

Uses automated capabilities including graphics to improve on-the-job and message-related communication.

Prepares data collection instruments with properly constructed and formatted items, resulting in complete coverage of job objectives. Prepares questionnaires or interview items that are understandable and have proper grammar and structure. Prepares instruments that facilitate subsequent analysis.

Conducts timely reviews of others' written products identifying major flaws if any exist. Provides constructive suggestions for change that help ensure compliance with GAO policy guidance.

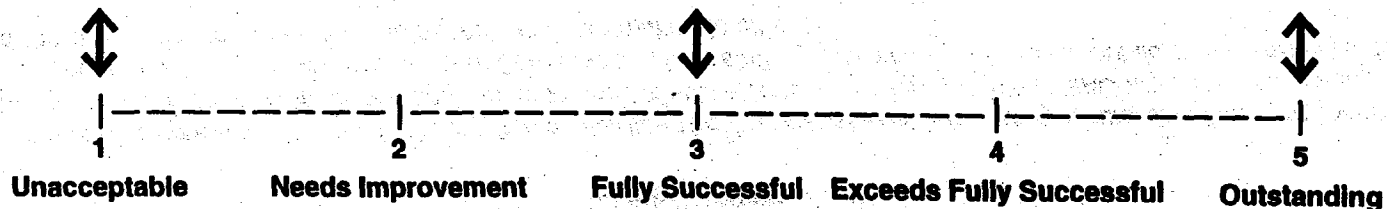
Almost Always:

Prepares well-organized, well-structured, and logical report segments. Presents multiple issues clearly and concisely so that readers easily understand findings, conclusions, and recommendations.

Makes optimal use of automated capabilities including graphics to improve on-the-job and message-related communication.

Prepares data collection instruments that are well-constructed and formatted and reflect a comprehensive understanding of developments in the field. Identifies sensitive issues and demonstrates originality in measuring them. Prepares instruments that are completely integrated and facilitate subsequent analysis.

When reviewing others' written products, detects flaws overlooked by others and provides insights into the most complex products. Provides reviews that are uniformly constructive and include outlines of possible revised approaches to remedy identified problems.



5. Oral Communication

Communicating upward and downward so that information flows freely and shared understanding occurs; contributing to openness, honesty, mutual respect and cooperation that enhances effective communication with other GAO staff; communicating with agency personnel; meeting with Members of Congress and their staffs; representing GAO to the public, private organizations, and the press; communicating complex technical information to clients.

Band I (Full Performance Level) Performance Standards

Frequently:

Misstates questions or includes extraneous content, requiring excessive time for repetition and clarification or failing to obtain needed information.

Gathers incomplete information by asking questions inappropriate for the interview or discussion.

Lacks command of assigned portions of a briefing; fails to clearly convey the facts; rambles or stumbles in response to some questions.

Usually:

Asks clear, concise, and logical questions. Responds to comments in a definitive, objective, and meaningful manner, acknowledging stated positions and perspectives. Does not ramble and observes appropriate time frames.

Elicits information from others by analyzing ongoing discussions or interviews and asks appropriate follow-up questions.

Presents assigned portion of briefing by reviewing pertinent data and making reference notes. Speaks clearly and logically and responds to questions readily and accurately.

Almost Always:

Probes, questions, or requests information so skillfully that officials readily provide needed information. Articulates so that misunderstandings and misconceptions do not occur.

Extracts information that is sensitive and difficult to obtain. Obtains information quickly and easily. Departs from prearranged outlines to pursue relevant subjects in greater depth and still returns to task at hand. Demonstrates such knowledge of subject matter that agency officials and employees converse freely on technical matters.

Presents assigned portion of briefing, carefully tailoring it to the concerns and time requirements of the listener without overreliance on notes; presents a positive image when communicating with any type, level, or size of audience; uses demonstration techniques, audio-visual aids, or sample/briefing materials expertly.

5. Oral Communication

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Speaks timidly and fails to hold attention of audience. Does not demonstrate an ability to "think on feet."

At GAO, agency, or congressional meetings, disrupts meeting by asking antagonistic questions or monopolizing discussion. Has extreme difficulty presenting information, responding to specific questions, or distinguishing between fact and opinion.

Provides advice or consultation that is too technical, impractical, superficial, inaccurate, or misleading; allows personal views, interests, or biases to inappropriately influence judgment; cannot recognize even major flaws in the reasoning or arguments of others when own specialty area is involved.

Lacks organization, focus, clarity, or conciseness when speaking in impromptu or planned situations; fails to impart necessary or correct information; conveys information in a vague or confusing manner so that the message is difficult to understand; has difficulty responding appropriately to unanticipated or skeptical questions or comments.

Usually:

Is self-confident in appearance, at ease, and articulate. Uses appropriate movements for emphasis. Summarizes interview and clarifies issues, differences, or misinterpretations.

At GAO, agency, or congressional meetings, shows knowledge of project objectives and status of efforts and responds directly to questions in his or her areas of responsibility. Presents material in clear, complete, and organized manner. Actively listens to positions of other participants and responds accordingly.

Provides technical information, advice, or consultation that is clear, sound, technically accurate, and sensitive to practical constraints and avoids personal bias; recognizes flaws in the reasoning or arguments of others when own specialty area is involved.

Controls the tempo of meetings by awareness of time constraints and level of understanding of the audience. Responds clearly to questions concerning the audit/project assignment. Concludes meetings with summary of information presented and agreements reached.

Almost Always:

Presentation skills are such that employee often leads the discussion or meeting.

Contributes to meetings by presenting information within area of responsibility and eliciting views of others. Maintains audience control, handling interruptions and appropriately adjusting the presentation and responses to achieve a continuous, smooth presentation.

Ensures audience understanding when explaining difficult or technical concepts to those unfamiliar with them; develops and sustains listener attention and interest; actively elicits listener involvement. Recognizes even subtle flaws in the reasoning or arguments of others.

Gains acceptance when presenting controversial findings to a skeptical or hostile audience and puts audience in a receptive mood.

5. Oral Communication

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Requires extensive guidance in preparing for meetings and needs assistance to clearly respond to questions about fundamental aspects of the audit/project. Responses to questions show a lack of attention or inability to express ideas without introducing irrelevant information. Attempts to monopolize meeting and continue discussion of issues beyond what is warranted. Fails to conclude meeting with a summary of the information presented and agreements reached.

Delivers presentations in a style that is inappropriate for the purpose, listener, or time requirements; may read an entire presentation; makes poor use of demonstration techniques, audio-visual aids, or sample/briefing materials; displays nervousness when speaking to large or small groups that makes listeners distracted and inattentive.

Usually:

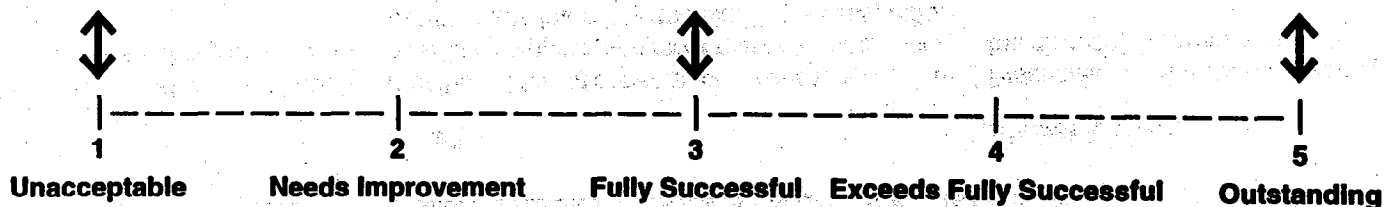
Demonstrate thorough understanding of materials, ideas, and concepts through presentations. Responds effectively to agency comments. Considers changing needs and positions in audience and alters presentations accordingly. Facilitates effective interaction and communication with audience.

Delivers presentations suitable for the purpose, audience, and time requirements; uses demonstration techniques, audiovisual aids, or sample/briefing materials adequately; appears comfortable communicating with large and small groups; refers to notes appropriately.

Almost Always:

Is prepared for all contingencies at meetings, including use of effective visual aids when warranted. Presents information in a clear, concise manner. Advises audience of factual information and opinions. Involves accompanying staff in discussions and orchestrates their participation throughout the presentation. Displays comprehensive knowledge of how audit/project contributes to broader issues.

Makes presentations with such clarity and ease that they routinely elicit extremely favorable reaction from audiences.



6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Demonstrating support for and promoting collaborative efforts to achieve mission requirements, satisfy customer needs, and meet common goals. Promoting teamwork which includes helping each other, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions; and employing techniques for problem solving, decision making, and recognizing the contributions of both individuals and teams.

Establishing and maintaining effective and constructive working relationships with all stakeholders and others both inside and outside GAO.

Ensuring that principles of equal opportunity are properly observed.

Band I (Full Performance Level) Performance Standards

Frequently:

Fails to support cooperative projects or those chosen by group consensus, putting own interests ahead of the group's; does not perform well as part of a team by refusing to exchange information, belittling the suggestions of others, or ignoring group decisions. Hesitates or refuses to take on additional or difficult work or to help coworkers; relies excessively on assistance from others. Does not meet commitments.

Does not listen constructively to others; expresses views in a confusing way; does not respect the individual when expressing disagreements. Is contentious or divisive in team discussions and interactions. Resists sharing information or skills, placing self-interest over group's interests.

Refuses to acknowledge or disparages contributions of others. Creates morale problems within group.

Usually:

Collaborates with coworkers and others; adjusts to different working styles, approaches and perspectives. Does his/her part of assigned workload; proactively assists others as needed to meet team objectives. Meets commitments.

Listens constructively to others; expresses own ideas so as to be clearly understood, respects others when expressing disagreements. Freely shares information and developments within and outside of the work group when appropriate.

Provides informal and formal encouragement and recognition to others.

Almost Always:

Promotes teamwork and cooperation especially in frustrating, difficult, or provocative situations; anticipates potential conflicts and addresses them directly and effectively; is gracious in expressing own views when dealing with others. Willingly accepts additional or difficult responsibilities, requesting challenging, novel, or unusual assignments; proactively helps coworkers. Meets commitments. Models exemplary work behaviors and mentors others to enhance their performance.

Actively contributes to the quality of team discussions and interactions; enlarges horizons and perspective of others in discussions; promotes consensus building. Takes initiative to get others up to speed on complex issues and subject-matter.

Actively pursues appropriate recognition of individuals and the team that significantly contributes to team morale.

6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Fails to acquire specialized or general skills in a timely manner which affects personal contributions or team productivity. Fails to provide opportunities to others to develop their knowledge, skills and abilities. Does not seek out reasonable personal developmental experiences.

Subordinates team decisions and goals to individual goals.

Does not contribute to or works against a shared understanding of job objectives, roles and agreed upon message in reports by not participating in or by exhibiting counterproductive behavior in job-related design summits, conferences, etc.

Shows discourtesy or disrespect to coworkers and others; acts in a condescending manner; violates or breaks confidences; fails to tolerate others' needs, perspectives, duties, or responsibilities.

Usually:

Develops or builds on specialized or general skills to further team objectives. Provides opportunities to others to develop their knowledge, skills, and abilities. Seeks necessary personal training and developmental experiences.

Balances individual goals with support for team goals.

Contributes to a shared understanding of job objectives, roles and agreed upon message in reports by actively participating in job-related design summits, conferences, etc.

Demonstrates respect and concern for others to strengthen and maintain effective working relationships. Develops constructive working relationships with people whose goals, culture, background, or values differ from own.

Almost Always:

Actively looks for ways to offer opportunities to others to develop knowledge, skills and abilities. Identifies the need for and fosters acquisition of knowledge and skills that support short-range and long-range needs.

Values contributions and support for team decisions and goals while accommodating individual goals.

Makes significant contributions to a shared understanding of job objectives, roles and agreed upon message in reports by actively participating in job-related design summits, conferences, etc. Contributes useful ideas, works toward consensus and moves the discussion toward solutions.

Demonstrates respect and concern for others to strengthen and maintain effective working relationships. Is extremely active in seeking out and helping others to provide support and serves as a role model through personal actions. Treats others with dignity; seeks to understand and demonstrates respect for the needs, perspectives, and responsibilities of others; maintains confidences; develops constructive working relationships with people whose goals, culture, background, or values differ from own.

6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Reacts to constructive feedback with hostility or defensiveness; attempts to shift blame or responsibility for mistakes.

Creates conflicts in work group; makes distinctions of race, sex, and so on and expresses an unwillingness to work with certain people; does not support Affirmative Action or EO goals.

Usually:

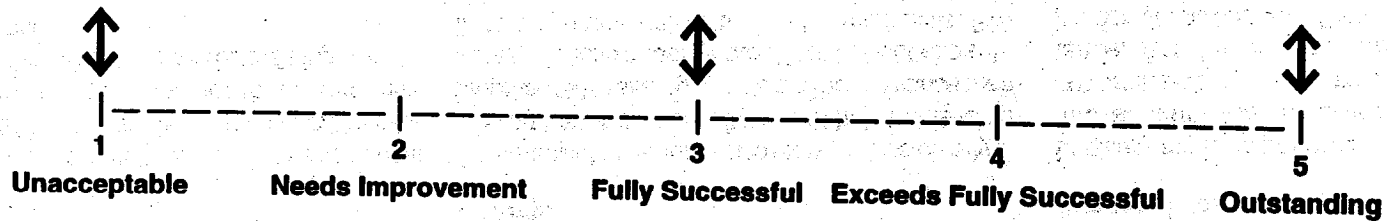
Responds constructively to feedback.

Works harmoniously with coworkers, treating them fairly regardless of race, sex, and so on; supports and furthers Affirmative Action and EO goals.

Almost Always:

Is highly responsive and open to feedback, encouraging others to provide suggestions for improvement.

Actively works to promote harmony with coworkers without distinctions on the basis of race, sex, and so on; supports and furthers Affirmative Action and EO goals; and expresses a willingness to work in EO programs or activities.



7. Supervision, Appraisal, and Counseling

Delegating work to subordinates; reviewing work products to assess accuracy, compliance with objectives, sufficiency of supporting documentation, and compliance with GAO policies and standards and generally accepted government auditing standards (GAGAS); evaluating staff performance against expectations and appraising performance; and promoting staff development.

Band I (Full Performance Level) Performance Standards

Frequently:

Fails to effectively communicate performance goals and standards to subordinates, making it difficult for them to understand the basis for measuring their performance. Fails to solicit subordinate's input about their performance.

Fails to monitor progress; allows major issues to go unnoticed and unresolved; delays taking corrective action when problems arise, causing disruption and delays in work; fails to track actions and decisions or inform management of significant events.

Inappropriately steps in and completes subordinate's tasks rather than assisting the subordinate or explaining how to do the task properly.

Usually:

Communicates performance expectations clearly including how individual efforts can help achieve appropriate GAO strategic goals and performance measures. Solicits subordinates' input about expectations and opportunities to develop their skills. Provides clear and practical assistance to subordinates that addresses their needs. Recognizes changes in job conditions and adjusts goals and standards accordingly in conjunction with subordinate.

Uses project plans and planning tools to monitor progress of individual staff members. Identifies necessary changes and develops alternative courses of action before assignment is adversely affected. Considers staff input and keeps staff and management informed of the basis for decisions affecting the work.

Provides subordinate staff with discrete job segments and a sufficient amount of latitude to challenge them; provides remedial guidance as necessary.

Almost Always:

Logically explains performance expectations, taking into account job requirements, deadlines, and subordinate's expectations and gains staff's acceptance. Anticipates need to adjust expectations as job conditions change. Provides direction and assistance to staff by identifying and using alternative approaches according to situation. Uses sound judgment in determining amount of assistance required; adjusts expectations to allow staff maximum developmental opportunities.

While monitoring staff progress on assignments, anticipates and resolves sensitive personal problems without affecting deadlines. Notifies top management of personal issues requiring action and recommends action acceptable to management and staff.

Delegates work considering GAO's needs and employee's capabilities, interest, and developmental needs; oversees delegated tasks to monitor work progression, identify potential problems, intervene appropriately, and reassign work and realign priorities to ensure timely and effective goal accomplishment.

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7. Supervision, Appraisal, and Counseling

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

Takes ineffective or inappropriate action to deal with employee performance or motivational problems; or refers disagreements and interpersonal difficulties to superiors without trying to resolve them with individual staff member.

Fails to provide feedback and counseling during the rating period.

Fails to comply with established policies and procedures when completing performance appraisals, or appraisals are seldom prepared on time. Fails to discuss performance evaluation with employee. Allows personal relations to influence the rating outcome.

Leaves training and developmental activities strictly to the initiative of employees; ignores training needs of staff; fails to advise employees on training options; cancels staff's participation in training.

Usually:

Discusses interpersonal problems with affected staff members, involving them in the solution. Is aware of GAO's professional counselors, seeks their advice, and refers affected staff to counseling when appropriate.

Provides appropriate performance counseling to subordinates, giving specific examples of the employee's strengths or citing instances of deficient performance and ways to improve.

Evaluates job performance timely and objectively based on performance standards; supports evaluations with relevant examples of performance; discusses performance evaluation with employees, identifying strengths and areas needing improvement; deals directly and objectively with performance problems; maintains a helpful, constructive attitude, establishing two-way communication.

Informs employees of available training programs and helps employees plan ways to meet performance improvement goals; encourages staff to develop individual training plans.

Almost Always:

Identifies potential staff disagreements and interpersonal problems and takes action or makes appropriate referral before they adversely affect the job. When short-range solutions are impossible, adjusts work assignments and responsibilities so that problems have minimal impact on the work.

Deals with employees in an open, professional manner; rewards good performance with recognition; provides constructive, specific, and timely feedback on performance and work products; effectively counsels and encourages employees with motivational or performance problems.

Anticipates performance problems and provides remedial counseling throughout the assignment. Devises and implements strategies for staff performance improvement throughout the assignment.

Supports and encourages employee developmental activities; counsels employees about training needs, informing them of available training courses and other opportunities; provides opportunities for a broad spectrum of both formal and on-the-job training; tailors development plans and activities to the skills and knowledge of employees.

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7. Supervision, Appraisal, and Counseling

Band I (Full Performance Level) Performance Standards (Continued)

Frequently:

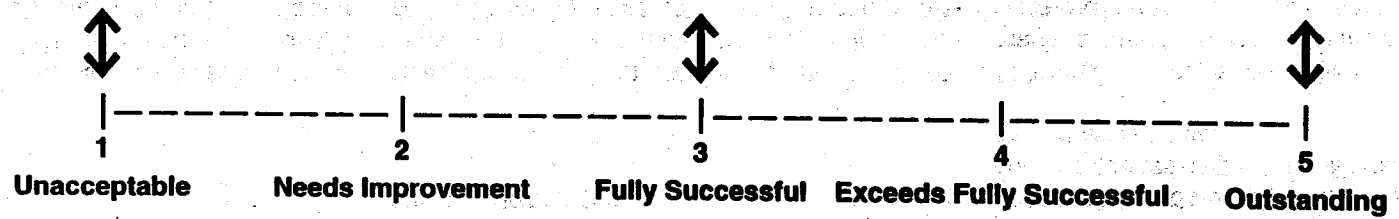
Demonstrates little understanding or support for GAO's job management process and supporting tools.

Usually:

Takes a leadership role in understanding and using GAO's job management process and its supporting tools and technology and encourages and supports others in doing so.

Almost Always:

Takes a leadership role in understanding and using GAO's job management process and its supporting technology and identifies ways to continuously improve the process and/or tools.



Performance Standards: Band II

1. Planning

Includes identifying areas of review that will lead to improved government operations—such as the potential for dollar savings and/or nonfinancial benefits to the government and taxpayers, ascertaining congressional interest, and contributing to issue area plans including the job compendium; using appropriate planning tools, planning the resources needed for specific assignments, including the need for technical assistance; determining the scope and objectives of assignments (coordinating work to avoid conflict and duplication, identifying alternatives and constraints to planned work, sources of information, and methodology); designing the method(s) of communication to the customer's needs; terminating unproductive work; learning and applying GAO policy and generally accepted government auditing standards (GAGAS) governing work; and planning own work time.

Band II Performance Standards

Frequently:

Overlooks or fails to identify important and relevant information sources needed to accomplish detailed project steps or duplicates work on the subject that is available.

Identifies and selects information sources for a project that are infeasible or unavailable.

Submits job proposals too late to be useful or are so incomplete or unsuitable that they are not useful in planning future issue area work.

Demonstrates little or fails to apply knowledge of GAO policies and procedures and GAGAS necessary to perform job and administrative functions.

Usually:

Locates information sources needed to accomplish detailed project steps within established time frames, including information available from past and current work on the subject.

Determines availability of needed information and ways to obtain it within established time frames and cost estimates.

Submits job proposals that are relevant to the issue area, have potential for financial and/or nonfinancial benefits and are sufficiently detailed to ascertain whether they are practical and achievable.

Displays knowledge of GAO policies and procedures (including the dimensions of quality) and GAGAS and uses such knowledge in performing administrative and job functions.

Almost Always:

Identifies important and relevant information sources needed to accomplish detailed project steps ahead of schedule and avoids duplicative work on the subject.

Determines principal and alternative sources of needed information and develops ways to obtain it ahead of established time frames and within cost estimates.

Submits job proposals that are specific to the issue area, provide for financial and/or nonfinancial benefits, and that anticipate contingencies or provide unique or comprehensive coverage of an issue area; identifies impacts on cross-cutting issues; accurately predicts customer's interest. Is often asked to provide and does provide leadership in issue area planning.

Demonstrates detailed knowledge of GAO policies and procedures (including the dimensions of quality) and GAGAS and applies such knowledge to improve administrative and job functions and coaches others in the application of policies and procedures.

1. Planning

Band II Performance Standards (Continued)

Frequently:

Makes assignment segment estimates that are unrealistic, incomplete, and do not reflect priorities, for example, does not identify critical work locations or suggests inappropriate or inefficient estimates of staff and skills or unrealistic time frames to complete work. Fails to anticipate assignment constraints and contingencies.

Is unable to construct alternative research approaches that meet project objectives. Suggests approaches that are inconsistent with professional standards. Rarely makes constructive suggestions for the methodology. Suggests revisions to proposed methodology that are inappropriate and would result in significant delays in meeting project requirements.

Overlooks issues with potential for dollar savings and/or nonfinancial benefits or fails to plan audit/evaluation steps necessary to fully develop them.

Demonstrates little knowledge of planning tools (such as the job assessment, design matrix and project planning software) and fails to understand their role in achieving desired outcomes related to time, cost and quality.

Usually:

Makes practical and complete assignment segment estimates. Identifies staff and skills needed, time frames to complete work, and constraints or risks and specifies some contingencies.

Uses available information to construct alternative research approaches, considering professional standards and generally recognized analytical techniques. Recognizes appropriate methodology for a project and offers suggestions to modify proposals to facilitate meeting requirements.

Identifies issues with potential for, and plans work steps that lead to, dollar savings and/or nonfinancial benefits.

Understands and uses planning tools (such as the job assessment, design matrix and project planning software) that help the team meet commitment dates and cost estimates and coaches others in their use.

Almost Always:

Makes assignment segment estimates that are on target, addressing staff and skills needed, time frames to complete work, work locations, headquarters, and field coordination, and minimize "downtime." Anticipates constraints or risks and develops feasible mitigating strategies or contingencies at the outset.

Performs independent research on alternative methods and approaches or introduces new insights in job methodology. Makes proposals and produces results that reflect an advanced level of technical and professional evaluation competency. Or develops new or unique methodology recognized by peers as having theoretical value and practical application to projects.

Identifies issues and plans work steps that provide results in terms of dollar savings and/or nonfinancial benefits to the government and taxpayers.

Finds innovative ways to use planning tools (such as the job assessment, design matrix and project planning software) to maximize their value in helping to meet commitment dates and cost estimates and coaches others in the work area to use them more effectively.

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1. Planning

Band II Performance Standards (Continued)

Frequently:

Demonstrates little knowledge of policies, procedures, regulations, and legislation that apply to GAO's work; does not stay abreast of developments that affect work; does not recognize how changes in policies, procedures, regulations, and legislation affect work; and does not take action to ensure that GAO responds appropriately.

Chooses a method and format for message communication that is unresponsive, inappropriate, or illogical and incomplete and requires extensive substantive change. Suggests communication method that fails to meet customer's need, requires unnecessary resources, or does not adhere to GAO policies and procedures.

Usually:

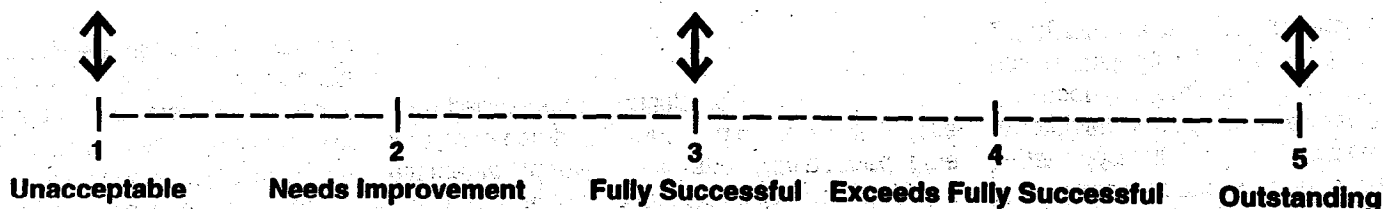
Displays knowledge of policies, procedures, regulations, and legislation that apply to GAO's work; stays abreast of developments that affect work; recognizes how changes in policies, procedures, regulations, and legislation affect work, and takes action to ensure that GAO responds appropriately.

Chooses format and method for message communication that facilitates logical, responsive, and conclusive presentation of findings, conclusions, and recommendations. The form of communication meets the customer's needs.

Almost Always:

Demonstrates thorough knowledge of policies, procedures, regulations, and legislation that apply to GAO's work; is aware of developments and changes that affect work and takes prompt action to ensure that GAO responds appropriately.

Chooses a format for message communication that is logical and effective in presenting findings, conclusions, and recommendations and adheres to GAO policy. Meets the customer's needs and requires no more time and staff resources than necessary.



2. Data Gathering and Documentation

Acquiring and documenting relevant data to develop supportable findings, conclusions and recommendations or otherwise fulfill project objectives, including researching and identifying data sources and data collection strategies, identifying missing data, and ensuring that data are current and accurate. Learning and applying current automated tools to collect, share, organize and manipulate data. Following GAO policies and procedures when preparing all forms, and project or administrative documentation.

Band II Performance Standards

Frequently:

Does not use the appropriate data collection methods which adversely affects product quality and delays completion of work.

Chooses an incomplete or inappropriate data-gathering approach or submits documentation that is unreliable. Fails to follow up to obtain missing data or conducts ineffective follow-up.

Submits workpapers that are assembled, indexed, and cross-indexed in a manner that makes verification impossible.

Resists learning and/or using available ADP resources (such as computer, Internet, agency data bases) to accomplish work.

Usually:

Identifies and uses the appropriate data collection methods for producing quality products that meet commitment dates.

Identifies appropriate data sources; obtains relevant and reliable data within specified time frames.

Assembles, indexes, and cross-indexes workpapers properly and efficiently to facilitate analysis. Organizes workpapers to support the preparation of written summaries or report segments.

Uses available ADP resources (e.g., computer, Internet, agency data bases) to obtain, create, store, share and access data.

Almost Always:

Identifies and uses the most appropriate data collection methods for producing quality products within or ahead of agreed-upon deadlines. Helps others to expedite data gathering.

Identifies appropriate data sources and obtains relevant data to sustain supportable conclusions ahead of specified time frames and in the most cost-effective manner; organizes data to ensure reader understanding.

Assembles, indexes, and cross-indexes workpapers to expedite subsequent analysis. Documentation is readily translated into summaries to support segments of the audit/project, and critical data is readily differentiated from other evidence with less-than-normal level of supervisory review. Workpapers stand on their own with little or no need for elaboration.

Seeks opportunities to enhance data gathering through innovative use of ADP resources, including learning new technology.

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2. Data Gathering and Documentation

Band II Performance Standards (Continued)

Frequently:

Is unaware of or ignores GAO policies and procedures related to ensuring reliability and completeness of computer-based data.

Misleads other staff members due to incomplete or inaccurate background research.

Prepares inaccurate or incomplete administrative documentation.

Requires extensive supervision or coaching to complete data gathering or documentation. Does not recognize the need for or seek help from supervisor.

Submits draft products that contain material that is not fully documented and supported, requiring many substantive changes.

Usually:

Applies GAO policies and procedures, as appropriate, to ensure reliability and completeness of computer-based data and analysis.

Conducts relevant research to identify background information on previously used data and data collection methods and techniques, and applies information to the current assignment. Performs complete and accurate research.

Prepares administrative documentation, including the Performance Audit Self-Assessment Guide, requiring minimal revision. Maintains documentation in the Job Management and Project File.

Requires an average amount of supervision or coaching to complete data gathering or documentation, typical of the staff member's progression in the band level. Seeks help from supervisor when needed.

Ensures that draft products contain only fully documented factual material, requiring few substantive changes.

Almost Always:

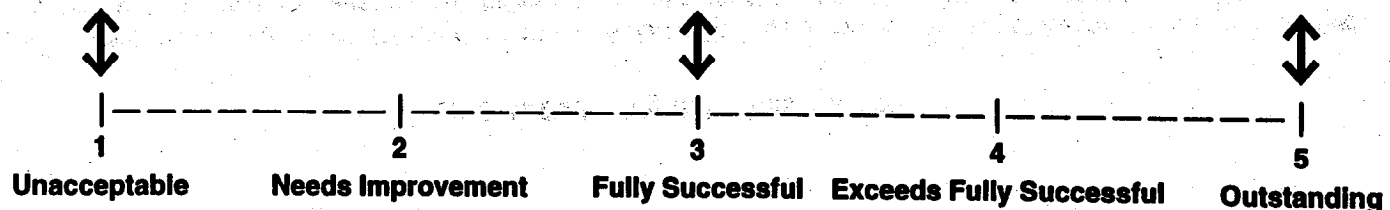
Applies the highest professional standards when applying GAO policies and procedures to ensure the reliability and completeness of computer-based data resulting in consistently trouble-free handling of data.

Modifies previously researched data collection methods or techniques for use on the current assignment. Such modifications are new or unique and result in decreased calendar time or cost.

Prepares complete and accurate administrative documentation, including the Performance Audit Self-Assessment Guide. Maintains documentation in the Job Management and Project File. Is consulted by peers to provide clear guidance in meeting GAO requirements.

Requires little or no supervision to complete data gathering or documentation, typical of the staff member's progression in the band level. Discovers and resolves problems, getting concurrence from supervisor.

Ensures that draft products contain only factual material that is relevant, fully documented, and supported, requiring no changes.



3. Data Analysis

Organizing, tabulating, contrasting, and synthesizing data or information to produce findings, conclusions, and recommendations; using computer tools to support analysis; applying professionally accepted analytical techniques (statistical, economic, accounting, and so on); determining validity, reliability, and quality of data and the adequacy of evidence supporting findings or conclusions, including those in GAO's own work.

Band II Performance Standards

Frequently:

Does not complete work by self-established and mutually agreed-upon deadlines. Rarely makes suggestions on how to expedite data analysis.

Chooses or applies an analysis strategy inappropriate to the objectives of the evaluation; includes irrelevant analysis; overlooks job constraints.

Conducts inappropriate analyses (using an improper, overly complex, or simplistic technique) for the job.

Conducts analyses requiring many changes by the supervisor to meet project objectives.

Interprets, summarizes, or reports statistical analyses incompletely, incorrectly, or in a confusing manner.

Usually:

Completes work by agreed-upon deadlines. Is aware of time constraints and suggests ways to expedite analysis.

Devises or applies an analysis strategy that addresses the objectives of the evaluation and helps to produce a high quality product that meets commitment dates. Makes provision for typical job constraints.

Conducts appropriate analyses using the proper techniques (for example, information synthesis, content analysis, statistics, econometrics, operations research, modeling, accounting, and so on).

Conducts analyses requiring little change by the supervisor to meet project objectives.

Interprets, summarizes, or reports statistical analyses correctly and in a way that others can understand.

Almost Always:

Completes work on or ahead of agreed-upon deadlines. Helps others to expedite analysis.

Devises or applies an analysis plan that provides a unique solution to complex evaluation objectives that have eluded previous attempts at solution.

Conducts analyses using unique or new techniques or combines information in productive ways to achieve job objectives.

Completes own analyses requiring little if any change by the supervisor and consulted by others to troubleshoot and identify errors in their work.

Interprets complex statistical data correctly; summarizes and reports statistical analyses clearly and completely; provides data in a format that is understood by both professionals and lay people.

(Continued on Next Page)

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3. Data Analysis

Band II Performance Standards (Continued)

Frequently:

Chooses an inappropriate research methodology, data analysis, or software package; cannot justify decisions.

Has difficulty deciding if evidence gathered is sufficient. Fails to gather an adequate amount of evidence or evidence lacks relevance to the audit steps/project objectives.

Gathers more data than needed, or data that are not relevant to assignment objectives.

Fails to recognize that data are weak or problematic, even after having several opportunities to do so. Cannot identify serious gaps or weaknesses in evidence or determine what evidence is needed to satisfy individual project objectives without constant supervision.

Fails to appropriately consider findings of fact, weight of evidence, laws, regulations, or GAO standards when drawing conclusions, resulting in extensive discussion and revision; draws conclusions based on incomplete, inaccurate, or outdated information; is poorly prepared for challenges.

Requires continuous supervision or coaching to complete analysis. Does not recognize the need for or seek help from supervisor.

Usually:

Chooses an appropriate research methodology, data analysis, or software package; justifies decisions.

Determines if evidence gathered is sufficient. Gathers an adequate amount of evidence that is relevant to the audit steps/project objectives.

Gathers data efficiently, avoiding the time and expense of gathering extraneous information.

Evaluates the quantity and quality of evidence to determine if it satisfies the requirements of individual project objectives. Determines if data are sufficient to draw proper conclusions and recommendations and, if not, follows up.

Appropriately considers findings of fact, weight of evidence, laws, regulations, or GAO standards when drawing conclusions, resulting in little need for discussion and revision; draws conclusions on complete, accurate, and up-to-date information; is prepared for challenges.

Requires an average amount of supervisory review or coaching to complete analysis, typical of the staff member's progression in the band level. Seeks help from supervisor when needed.

Almost Always:

Selects research methodology that is technically sound and efficient and provides a convincing rationale for the choice.

Gathers error-free evidence that meets all requirements despite heavy work load, the ability to work independently, complexity, deadlines, or a combination of these factors.

Gathers data in a highly efficient manner with most information directly responsive to assignment objectives.

Is consulted by supervisors and peers to examine data or analyses to identify and correct weaknesses and assure that all job objectives are met.

Does original or unique work when analyzing data, drawing conclusions, and developing recommendations, especially for complex or sensitive evaluations.

Requires little or no supervision to complete analysis, typical of the staff member's progression in the band level. Discovers and resolves problems and gets concurrence from supervisor.

(Continued on Next Page)

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3. Data Analysis

Band II Performance Standards (Continued)

Frequently:

Reviews of analysis are not constructive or timely; creates tension by review comments; behaves arrogantly or makes irrelevant comments.

When referencing a report, overlooks or ignores subtle relationships among data and fails to identify weaknesses in support of conclusions and recommendations.

Usually:

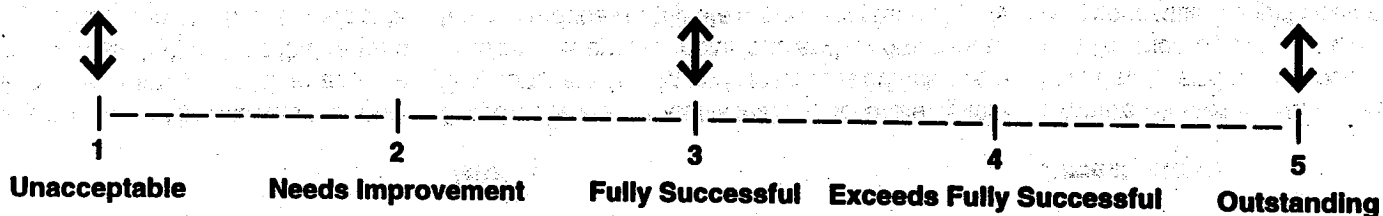
Reviews of analyses are constructive and timely, identifying major flaws, if any exist, and ensuring compliance with GAO policy guidance.

When referencing a report, explains weaknesses in support of conclusions and recommendations.

Almost Always:

Reviews of even complex analysis are uniformly constructive, timely, and include outlines of possible revised approaches to correct problems. Reviews are thorough and provide perspective for major issues.

When referencing a report, detects weaknesses in supporting data and in subtle relationships in the data that leads to modifying some conclusions and recommendations, resulting in a stronger report.



4. Written Communication

Preparing and reviewing a variety of written products in collaboration with others including issue area and assignment plans, interview write-ups, workpapers, workpaper summaries, report segments, chapters, technical appendixes, complete reports or testimony, data collection instruments, internal and external correspondence, administrative documentation of all types, including performance appraisals, and speeches and professional articles. Using automated capabilities to develop, review, and process GAO products.

Band II Performance Standards

Frequently:

Prepares written products that are incomplete, inaccurate, illogical, or are untimely, or fail to achieve project objectives. Writes draft reports that require substantial changes after several rewrites or are submitted after extended deadlines. Prepares products that do not conform to GAO policy guidance. Uses incomplete sentences and incorrect grammar and spelling.

Submits superficial interview write-ups lacking documentation to support comparisons, clarity, and coverage; providing insufficient details for use as evidence; or containing factual errors.

Prepares summaries that are poorly developed and hard to understand; fail to focus attention on the main issues; and require correction by the supervisor. Develops conclusions and recommendations unsubstantiated by supporting information.

Usually:

Prepares written products that are accurate, objective, complete, timely, and clear; uses sufficient examples to support conclusions and recommendations. Produces complete reports that require only occasional substantive revision. Reviews or revises report drafts from staff quickly and ensures that issues are presented accurately and fully supported. Prepares products that conform to GAO policy guidance. Uses complete sentences and correct grammar and spelling.

Prepares interview write-ups that may require some supervisory revision but are accurate, provide sufficient details for use as evidence, and meet expectations for coverage and clarity.

Prepares written summaries that are complete, concise, accurate, and logical and require an average amount of supervisory revision. Encounters average difficulty incorporating several related issues and develops adequately supported conclusions and recommendations.

Almost Always:

Prepares written products that are accurate, objective, timely, and clear; succinctly presents the bottom-line message which reflects the appropriate context; contextually sophisticated and require only minimal change. Completes products before established time frames and complies with GAO policy guidance. Produces complete reports or other written products that present complex issues in easily understood language or contain conclusions and recommendations that are rarely questioned. Uses complete sentences and correct grammar and spelling.

Prepares interview write-ups that are complete in every respect and are clear, logical, and well organized and require minimal supervisory revision.

Prepares written summaries that are complete, concise, accurate, and logical and require minimal supervisory revision. Easily incorporates several related issues and develops fully supported conclusions and recommendations.

(Continued on Next Page)

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4. Written Communication

Band II Performance Standards (Continued)

Frequently:

Prepares report segments that are disorganized or diverge from agreed-upon outline. Includes misleading background information or presentation. Presents issues unclearly so that the basis for conclusions and recommendations is not apparent.

Does not use automated capabilities including graphics to improve on-the-job and message-related communication.

When reviewing written products of others, cannot provide constructive or helpful assistance, creating tension with comments that are arrogant, insulting, or clearly irrelevant. Fails to complete reviews on time.

Prepares final data collection instruments with biased or ambiguous items, providing an inadequate data collection and an incomplete coverage of project objectives, or performs activities that fail to produce a work product or one that is way beyond schedule. Prepares instruments that are poorly integrated and make subsequent analysis difficult.

Usually:

Prepares report segments that discuss relevant issues and are well organized, logical, complete, and accurate.

Uses automated capabilities including graphics to improve on-the-job and message-related communication.

Conducts timely, constructive, high-quality reviews of written products of others that provide helpful suggestions on ways to improve identified problems.

Prepares data collection instruments with properly constructed and formatted items, resulting in complete coverage of job objectives. Prepares questionnaires or interview items that are understandable and have proper grammar and structure. Prepares instruments that facilitate subsequent analysis.

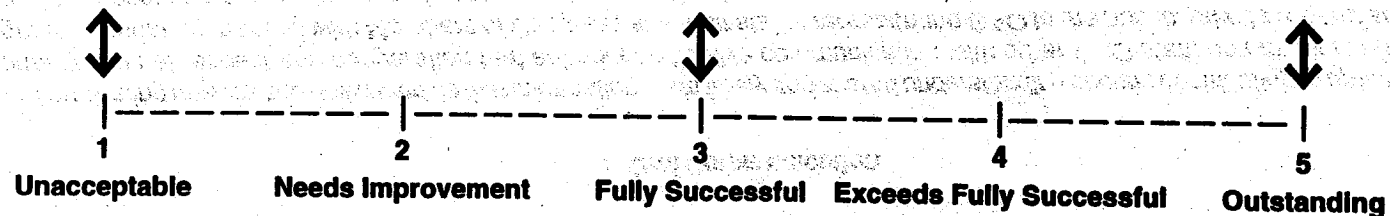
Almost Always:

Prepares well-organized, well-structured, and logical report segments. Presents multiple issues clearly and concisely so that readers easily understand findings, conclusions, and recommendations.

Makes optimal use of automated capabilities including graphics to improve on-the-job and message-related communication.

Conducts high-quality, timely reviews of others' written products that detect flaws overlooked by others and that provide insight into the most complex products. Performs reviews that are uniformly constructive and include outlines of possible revised approaches to remedy identified problems.

Prepares data collection instruments that are well-constructed and formatted and reflect a comprehensive understanding of developments in the field. Prepares instruments that are completely integrated and facilitate subsequent analysis.



5. Oral Communication

Communicating upward and downward so that information flows freely and shared understanding occurs; contributing to openness, honesty, mutual respect and cooperation that enhances effective communication with other GAO staff; communicating with agency personnel; meeting with Members of Congress and their staffs; representing GAO to the public, private organizations, and the press; communicating complex technical information to clients.

Band II Performance Standards

Frequently:

Presents information in an illogical, unorganized manner. Loses audience by diminishing questions, ignoring questions entirely, or allowing discussion to stray from objectives. Fails to explain assignments or how they relate to the work of others. Does not allow the opportunity to clarify instructions.

Fails to present known GAO position to the public, private organizations, or the media accurately. Speaks with more authority than is appropriate as GAO spokesperson. Fails to weigh consequences of remarks and allows personal bias to cloud issues. Fails to listen and therefore responds inappropriately. Becomes argumentative when questioned. Requires more than average supervision.

Usually:

Prepares information that is clear, concise, and well organized. Shows respect for comments of participants. Keeps discussion on track. Elicits comments of others. Summarizes the results of the meeting.

Accurately presents GAO position to the public, private organizations, or the press. Recognizes level of authority as GAO spokesperson. Weighs consequences of responses before speaking, clearly distinguishing between fact and opinion, and avoids disclosing sensitive/tentative findings prematurely. Listens well and responds to issues at hand; minimizes extraneous information.

Almost Always:

Presents information in a clear, concise, and well-organized manner. Responds well to all questions, including unanticipated ones. Creates a favorable impression for effective communication by seeking the views of others and respecting different points of view. Asks probing questions to ensure that everyone understands the matters discussed. Concludes meeting with a complete summary of arguments, decisions, or actions to be taken and who will do what.

Demonstrates awareness that he or she is representing GAO (to the public, private organizations, or the press) and that actions and statements can reflect favorably or unfavorably on GAO, not just self. Weighs consequences of statements and makes reflective and appropriate responses. Clearly distinguishes between fact and opinion and avoids disclosing sensitive or tentative conclusions prematurely. Listens well, responds appropriately and articulately, and remains calm in adverse situations.

(Continued on Next Page)

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5. Oral Communication

Band II Performance Standards (Continued)

Frequently:

Requires extensive guidance in preparing for meetings (GAO, agency, congressional, or media). Contributes little to meetings. Has difficulty responding to basic questions about project objectives. Leaves meeting without understanding results. Makes comments that create a hostile environment.

Presents technical information in a manner that clients cannot understand. Presents absolute position and refuses to listen to others or present alternatives. Causes the loss of potential clients or client dissatisfaction with technical assistance services.

Usually:

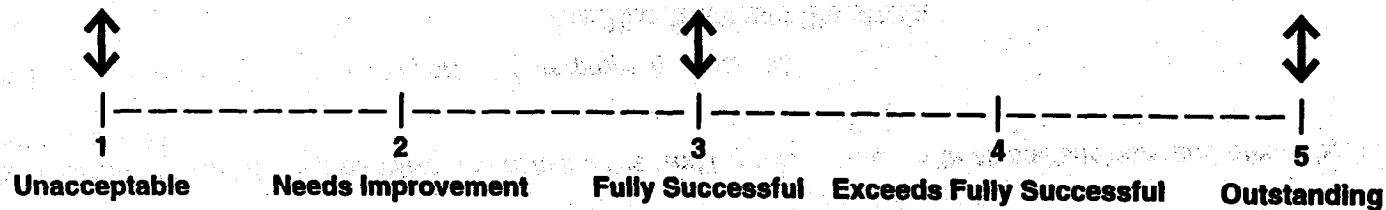
Presents information in a clear, well-organized manner and answers most questions. Invites additional questions to ensure understanding. Keeps the discussion or meeting appropriate to objectives. Ensures participants' understanding at the conclusion of meetings/discussions.

Presents technical information issues and plans clearly and succinctly in a way that clients understand. Actively listens to alternative plans proposed by potential clients. Articulates positions that are flexible but assures clients of their value.

Almost Always:

At GAO, agency, congressional, or media meetings, knows when and how to use visual aids; speaks authoritatively on subject matter and displays ability to respond directly to questions raised. Encourages active participation by others. Senses audience's receptivity to presentation and adjusts accordingly. Shows thorough knowledge of projects and their relationship to broader issues.

Presents technical information clearly and persuasively to clients, demonstrating the importance and relevance of planning and research proposals. Actively listens to client proposals and is sensitive to implied concerns. Routinely convinces clients to adopt more productive research designs by clearly and concisely explaining the strengths and weaknesses of alternative designs even on unusually complex assignments.



6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Demonstrating support for and promoting collaborative efforts to achieve mission requirements, satisfy customer needs, and meet common goals. Promoting teamwork which includes helping each other, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions; and employing techniques for problem solving, decision making, and recognizing the contributions of both individuals and teams.

Establishing and maintaining effective and constructive working relationships with all stakeholders and others both inside and outside GAO.

Ensuring that principles of equal opportunity are properly observed.

Band II Performance Standards

Frequently:

Fails to support cooperative projects or those chosen by group consensus, putting own interests ahead of the group's; does not perform well as part of a team by refusing to exchange information, belittling the suggestions of others, or ignoring group decisions. Hesitates or refuses to take on additional or difficult work or to help coworkers; relies excessively on assistance from others. Does not meet commitments.

Does not listen constructively to others; expresses views in a confusing way; does not respect the individual when expressing disagreements. Is contentious or divisive in team discussions and interactions. Resists sharing information or skills, placing self interest over group's interests.

Refuses to acknowledge or disparages contributions of others. Creates morale problems within group.

Usually:

Collaborates with coworkers and others; adjusts to different working styles, approaches and perspectives. Does his/her part of assigned workload; proactively assists others as needed to meet team objectives. Meets commitments.

Listens constructively to others; expresses own ideas so as to be clearly understood, respects others when expressing disagreements. Freely shares information and developments within and outside of the work group when appropriate.

Provides informal and formal encouragement and recognition to others.

Almost Always:

Promotes teamwork and cooperation especially in frustrating, difficult, or provocative situations; anticipates potential conflicts and addresses them directly and effectively; is gracious in expressing own views when dealing with others. Willingly accepts additional or difficult responsibilities, requesting challenging, novel, or unusual assignments; proactively helps coworkers. Meets commitments. Models exemplary work behaviors and mentors others to enhance their performance.

Actively contributes to the quality of team discussions and interactions; enlarges horizons and perspective of others in discussions; promotes consensus building. Takes initiative in getting others up to speed on complex issues and subject-matter.

Actively pursues appropriate recognition of individuals and the team that significantly contributes to team morale.

(Continued on Next Page)

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6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Band II Performance Standards (Continued)

Frequently:

Fails to acquire specialized or general skills in a timely manner which affects personal contributions or team productivity. Fails to provide opportunities to others to develop their knowledge, skills and abilities. Does not seek out reasonable personal developmental experiences.

Subordinates team decisions and goals to individual goals.

Does not contribute to or works against ensuring a shared understanding of job objectives, roles and report messages by not facilitating or by exhibiting counterproductive behavior in job-related design summits and other work-related meetings.

Shows discourtesy and disrespect to others. Disregarding the need for results, fails to encourage, praise, or directly assist staff members for delivering high-quality performance and noteworthy contributions.

Reacts to constructive feedback with hostility or defensiveness; attempts to shift blame or responsibility for mistakes.

Usually:

Develops or builds on specialized or general skills and to further team objectives. Provides opportunities to others to develop their knowledge, skills, abilities. Seeks necessary personal training and developmental experiences.

Balances individual goals with support for team goals.

Brings about a shared understanding of job objectives, roles and report messages by facilitating job-related design summits and other work-related meetings.

Assigns work in a fair and equitable manner, provides opportunities for development of all staff members, and praises and encourages staff for high quality performance. Identifies need for affirmative action, takes steps to implement in the work setting.

Responds constructively to feedback.

Almost Always:

Provides leadership and assistance to others in acquiring and mastering knowledge and skills for short-range and long-range needs.

Values contributions and support for team decisions and goals while accommodating individual goals.

Brings about a shared understanding of job objectives, roles and report messages by facilitating job-related design summits and other work-related meetings and coaches others in these methods.

Demonstrates respect and concern for others to strengthen and maintain effective working relationships. Is extremely active in seeking out and helping others to provide support and serves as a role model through personal actions. Treats others with dignity; seeks to understand and demonstrates respect for the needs, perspectives, and responsibilities of others; maintains confidences; develops constructive working relationships with people whose goals, culture, background, or values differ from own.

Is highly responsive and open to feedback, encouraging others to provide suggestions for improvement.

(Continued on Next Page)

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6. Teamwork, Working Relationships, and Equal Opportunity (EO)

Band II Performance Standards (Continued)

Frequently:

Resists accepting other than preferred staff on assignment, fails to ensure members equal status and assign work fairly or provide opportunities for professional development.

Creates conflicts in work group; makes distinctions of race, sex, and so on and expresses an unwillingness to work with certain people; does not support Affirmative Action or EO goals.

Creates friction in dealings with GAO, agency, or congressional officials. Does not consider GAO's viewpoint when advocating a point of view.

Usually:

Welcomes all types of staff on assignment without distinction based on race, sex, and so on; assures their equal status, assigns work in a fair and equitable manner, and seeks opportunities for development of all staff members. Cooperates in achieving affirmative action goals.

Works harmoniously with coworkers, treating them fairly regardless of race, sex, and so on; supports and furthers Affirmative Action and EO goals.

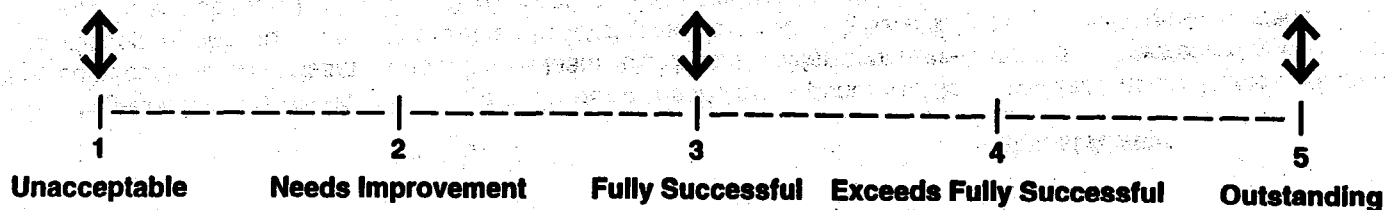
Builds professional relationships both within and outside of GAO; considers GAO's interests when advocating a point of view.

Almost Always:

Actively seeks all types of staff on assignment regardless of race, sex, and so on, assures their equal status, assigns work fairly, and seeks opportunities for development of all staff. Actively cooperates in achieving affirmative action goals.

Actively works to promote harmony with coworkers without distinctions on the basis of race, sex, and so on; supports and furthers Affirmative Action and EO goals; and expresses a willingness to work in EO programs or activities.

Actively builds professional relationships both within and outside GAO; considers GAO's interests when advocating a point of view. Builds relationships to the extent that the employee is consulted for advice and direction by peers and others.



7. Supervision, Appraisal, and Counseling

Delegating work to subordinates; reviewing work products to assess accuracy, compliance with objectives, sufficiency of supporting documentation, and compliance with GAO policies and standards and generally accepted government auditing standards (GAGAS); evaluating staff performance against expectations and appraising performance; and promoting staff development.

Band II Performance Standards

Frequently:

Fails to effectively communicate performance goals and standards to subordinates, making it difficult for them to understand the basis for measuring their performance. Fails to solicit subordinate's input about their performance.

Fails to monitor progress; allows major issues to go unnoticed and unresolved; delays taking corrective action when problems arise, causing disruption and delays in work; fails to track actions and decisions or inform management of significant events.

Inappropriately steps in and completes subordinate's tasks rather than assisting the subordinate or explaining how to do the task properly.

Usually:

Communicates performance expectations clearly including how individual efforts can help achieve appropriate GAO strategic goals and performance measures. Solicits subordinates' input about expectations and opportunities to develop their skills. Provides clear and practical assistance to subordinates that addresses their needs. Recognizes changes in job conditions and adjusts goals and standards accordingly in conjunction with subordinate.

Uses project plans and planning tools to monitor progress of individual staff members. Identifies necessary changes and develops alternative courses of action before assignment is adversely affected. Considers staff input and keeps staff and management informed of the basis for decisions affecting the work.

Provides subordinate staff with discrete job segments and a sufficient amount of latitude to challenge them; provides remedial guidance as necessary.

Almost Always:

Logically explains performance expectations, taking into account job requirements, deadlines, and subordinate's expectations and gains staff's acceptance. Anticipates need to adjust expectations as job conditions change. Provides direction and assistance to staff by identifying and using alternative approaches according to situation. Uses sound judgment in determining amount of assistance required; adjusts expectations to allow staff maximum developmental opportunities.

While monitoring staff progress on assignments, anticipates and resolves sensitive personal problems without affecting deadlines. Notifies top management of personal issues requiring action and recommends action acceptable to management and staff.

Delegates work considering GAO's needs and employee's capabilities, interest, and developmental needs; oversees delegated tasks to monitor work progression, identify potential problems, intervene appropriately, and reassign work and realign priorities to ensure timely and effective goal accomplishment.

(Continued on Next Page)

7. Supervision, Appraisal, and Counseling

Band II Performance Standards (Continued)

Frequently:

Takes ineffective or inappropriate action to deal with employee performance or motivational problems; or refers disagreements and interpersonal difficulties to superiors without trying to resolve them with individual staff member.

Fails to provide feedback and counseling during the rating period.

Fails to comply with established policies and procedures when completing performance appraisals, or appraisals are seldom prepared on time. Fails to discuss performance evaluation with employee. Allows personal relations to influence the rating outcome.

Leaves training and developmental activities strictly to the initiative of employees; ignores training needs of staff; fails to advise employees on training options; cancels staff's participation in training.

Usually:

Discusses interpersonal problems with affected staff members, involving them in the solution. Is aware of GAO's professional counselors, seeks their advice, and refers affected staff to counseling when appropriate.

Provides appropriate performance counseling to subordinates, giving specific examples of the employee's strengths or citing instances of deficient performance and ways to improve.

Evaluates job performance timely and objectively based on performance standards; supports evaluations with relevant examples of performance; discusses performance evaluation with employees, identifying strengths and areas needing improvement; deals directly and objectively with performance problems; maintains a helpful, constructive attitude, establishing two-way communication.

Informs employees of available training programs and helps employees plan ways to meet performance improvement goals; encourages staff to develop individual training plans.

Almost Always:

Identifies potential staff disagreements and interpersonal problems and takes action or makes appropriate referral before they adversely affect the job. When short-range solutions are impossible, adjusts work assignments and responsibilities so that problems have minimal impact on the work.

Deals with employees in an open, professional manner; rewards good performance with recognition; provides constructive, specific, and timely feedback on performance and work products; effectively counsels and encourages employees with motivational or performance problems.

Completes performance appraisals in accordance with all policies and procedures and on time. Anticipates performance problems and provides remedial counseling throughout the assignment. Devises and implements strategies for staff performance improvement throughout the assignment.

Supports and encourages employee developmental activities; counsels employees about training needs, informing them of available training courses and other opportunities; provides opportunities for a broad spectrum of both formal and on-the-job training; tailors development plans and activities to the skills and knowledge of employees.

(Continued on Next Page)

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7. Supervision, Appraisal, and Counseling

Band II Performance Standards (Continued)

Frequently:

Demonstrates little understanding or support for GAO's job management process and supporting tools.

Makes haphazard staffing decisions for assignments that fail to enhance employee skills or reflect developmental needs of staff; ignores readily available information when assigning staff.

Usually:

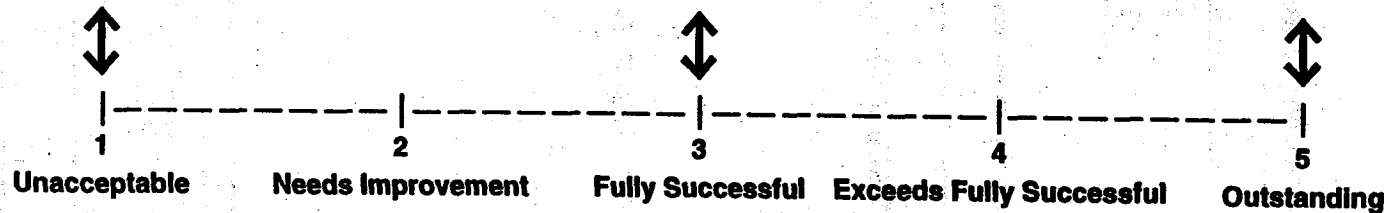
Takes a leadership role in understanding and using GAO's job management process and its supporting tools and technology and encourages and supports others in doing so.

Makes reasonable work assignments that generally enhance employee skills and meet developmental needs on the basis of available information on staff members' existing skills, job requirements, and so on.

Almost Always:

Takes a leadership role in understanding and using GAO's job management process and its supporting technology and identifies ways to continuously improve the process and/or tools.

Makes work assignments that achieve a highly desirable employee/job match, significantly enhance employee skills, and fully meet developmental needs.



GAO Form 175, Performance Appraisal for Band III Employees

United States General Accounting Office						
GAO		Performance Appraisal for Band III Employees				
1. Name			2. Position Title			
3. Division/Office			4. Rating Period		From: To:	
Part I. Description of Work/Duties/Responsibilities/Expectations:						
Part II. Major Results/Accomplishments Achieved: (GAO Form 223 may be attached in lieu of this section.)						
Part III. Assessment of Dimensions:						
Job Dimensions	No Basis for Evaluation	Unacceptable	Needs Improvement	Fully Successful	Exceeds Fully Successful	Outstanding
Planning						
Project Implementation						
Communications						
External Relations						
Teamwork, Working Relationships, and Performance Management						
Organization Management						
Other (Specify.)						
(GAO Order 2430.1)			GAO Form 175 (Rev. 10/57)			

Performance Standards: Band III

1. Planning

Takes a leadership role in using GAO's job management process and supporting technology to meet commitment dates and cost estimates in overseeing or conducting assigned project(s); identifying issues and planning work steps that provide results in terms of improved government operations—such as dollar savings and/or nonfinancial benefits to the government and taxpayers; initiating, reviewing, or providing technical input for assessing project proposals' scope, relevance, and technical adequacy according to GAO policy and generally accepted government auditing standards (GAGAS); analyzing the feasibility of project staff and resource needs, milestones, and costs. Ensuring responsiveness to customer needs both in terms of information developed and method of presentation; integrating assignments and requests in light of commitments.

Contributing to issue area or annual work plans; serving as a focal point for an issue area, technical field, or administrative activity in a division or region; building a workbase for an assigned segment of an issue area that contributes to lines-of-effort; contributing to and monitoring the issue area job compendium to ensure current and future staff utilization and development. Keeping abreast of congressional, agency, and current events as well as GAO activities affecting assigned areas; identifying trends and forecasting future needs for assigned areas.

Band III Performance Standards

Frequently:

Overlooks issues with potential for dollar savings and/or nonfinancial benefits or fails to plan audit/evaluation steps necessary to fully develop them. Does not utilize appropriate project planning tools (such as the job assessment, design matrix, and project planning software) that result in missed commitment dates and inaccurate cost estimates; develops plans that require extensive revisions; initiates assignments without determining availability of staff or planning for contingencies; forms vague objectives and gives little attention to cost analyses; develops unrealistic and vague long-range plans; has difficulty establishing resource priorities, resulting in over-expenditures and waste; maintains a superficial and biased knowledge base in a program or subject area by using a few readily available information sources; discusses project ideas with stakeholders, GAO management and congressional custom-

Usually:

Understands the context and identifies issues with potential for, and plans work steps that lead to, dollar savings and/or nonfinancial benefits. Understands and uses project planning tools (such as the job assessment, design matrix, and project planning software) that help the team meet commitment dates and cost estimates and coaches others in their use; develops or manages the development of logical, easy-to-follow plans according to GAO-wide policies and procedures, including the dimensions of quality, and GAGAS that are within constraints, flexible, and include project objectives, major issues to be addressed, steps and resources required, and realistic target dates; prepares plans to allow sufficient time for review and staffing; sets priorities, allocates resources, and monitors work flow so that projects are completed on schedule and within budget yet meet GAO qual-

Almost Always:

Exceeds performance requirements at the Fully Successful and Exceeds Fully Successful levels; understands the context and identifies issues and plans work steps that provide results in terms of dollar savings and/or nonfinancial benefits to the government and taxpayers; finds innovative ways to use planning tools (such as the job assessment, design matrix, and project planning software) to maximize their value in helping to meet commitment dates and cost estimates and coaches others in the work area to use them more effectively; develops or manages the development of plans for assigned projects that require few, if any, revisions, meet all objectives, provide for most efficient use of resources, and permit work to be completed in the shortest time frame; develops plans that incorporate unique or new approaches to improve effectiveness and anticipate contingencies; antici-

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10/1/97

1. Planning

Band III Performance Standards (Continued)

Frequently:

ers, or technical experts incompletely or inadequately, is not aware of congressional interest in area until GAO receives such a request.

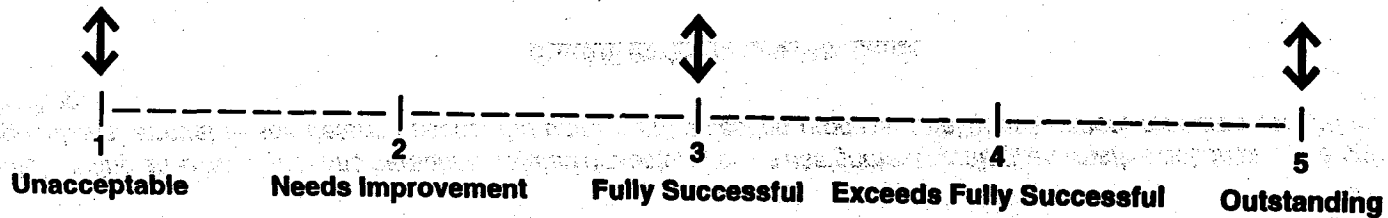
Usually:

ity standards; identifies and obtains program and issue area information essential to successfully completing a project; consults relevant, standard sources and holds relevant and timely discussions with stakeholders, GAO management, congressional customers, and technical experts within and outside GAO.

Almost Always:

pates the future needs of the Congress and GAO management and incorporates them into plans; maintains extensive sources of information on a program or subject area; exceeds conventional efforts to develop numerous and diverse sources of information to maintain extensive knowledge of program area, including conducting interviews, arranging conferences, and so on.

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2. Implementing Projects

Taking a leadership role in understanding, using and promoting the use of GAO's information technology resources (such as current automated tools and software, Internet, videoconferencing) to obtain, create, store, analyze, and share data; to develop, review and process GAO products; and to communicate with others; ensuring projects' adherence to GAO policy and generally accepted government auditing standards (GAGAS), timely delivery, and technical soundness, meeting with others to resolve problems; providing continuing assessment of progress and ensuring sufficient resources to meet any modified project objectives or time frames; using appropriate methods and practices to ensure efficiency, quality and timeliness; applying specialized methodology and recommending data sources required to satisfy projects' scope and objectives; advising superiors of projects' status; ensuring responsiveness of contractor technical support to GAO operations.

Conducting highly complex analyses, developing data collection instruments, and applying expert knowledge; using or developing an array of highly sophisticated research and advanced statistical methods, sampling and actuarial techniques, scaling, and economic analysis; using specialized knowledge to assess the adequacy of products' conclusions. Following up with report recipients to ensure customer satisfaction.

Implementing an array of job- and personnel-related projects, such as assignment staffing, affirmative action plans, employee suggestions, annual needs determinations, the unit's merit selection process, quality assurance, resource allocation, and recruiting.

Band III Performance Standards

Frequently:

Is unable to accomplish basic objectives of an assignment or does not suggest feasible solutions to unexpected problems, or uses inappropriate or inaccurate methods or data; fails to stay abreast of or use appropriate automated tools and technology or does not ensure their efficient use; draws conclusions and makes recommendations that are unsupported by evidence; allows personal biases to influence conclusions; does not keep superiors informed of project progress and ignores or conceals problems.

Usually:

Identifies key issues when fulfilling an assignment; analyzes and interprets data correctly, gives technical advice as required, uses resources effectively, and reviews work promptly; organizes data into straightforward presentations and always arrives at reasonable conclusions; solves unanticipated problems and meets agreed-upon target dates; as part of completing projects, meets with key people to identify issues of concern and areas for future work; implements projects according to GAO criteria for efficiency, quality, and timeliness, includ-

Almost Always:

Exceeds performance requirements at the Fully Successful and Exceeds Fully Successful levels; is resourceful in completing difficult assignments; finds innovative ways to use automated tools and technology, maximizes their potential to improve job performance and helps others in the work area use them more effectively; maximizes knowledge sharing for the greatest possible efficiency, quality, and timeliness; diagnoses critical problems immediately and quickly provides effective solutions; promptly adjusts the scope or direction of a project when

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2. Implementing Projects

Band III Performance Standards (Continued)

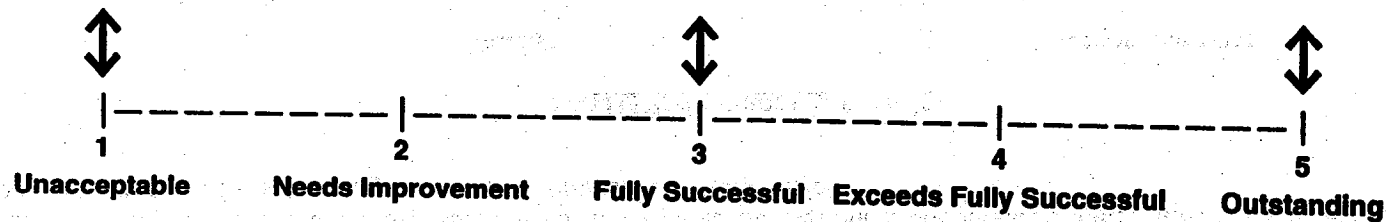
Frequently:

Usually:

Almost Always:

ing compliance with job management policies and procedures and the appropriate use of automated tools and technology; and promotes and encourages their use.

appropriate; synthesizes vast amounts of complex data to ensure that all work products are relevant to the problem, issue, or project objectives; presents well-supported findings, conclusions, and recommendations; manages or conducts concurrent assignments effectively and ensures that critical and often competing work objectives are completed on time; produces exemplary products that always meet GAO's highest standards for quality and timeliness.



3. Communications

Communicating upward and downward to ensure that information flows freely and shared understanding occurs and contributing to openness, honesty, mutual respect and cooperation that enhances effective communication with other GAO staff. Serving as a critical link between senior management and staff to communicate policy, management initiatives and priorities; keeping staff informed and answering staff questions about policy, initiatives and priorities.

Communicating orally and in writing; reviewing products and supporting evidence to ensure application of the dimensions of quality, and relevance to customers; overseeing the development of reports, management letters, staff studies, and testimony to ensure their compliance with GAO policies and procedures and effectiveness in communicating project results with particular attention to the context sophistication of the products; conducting report conferences and review meetings to develop final products; assisting in drawing conclusions from the reports' analyses; helping provide testimony on project results; conducting briefings with GAO officials, congressional customers, news media, and other interested parties before and after product distribution; making written and oral presentations on unit plans, policies and procedures, budgets, staff needs assessments, recruiting, and products resulting from special projects on many subjects.

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Band III Performance Standards

Frequently:

Exhibits a passive attitude toward learning and communicating new policies, initiatives and priorities to staff; does not seek answers to questions from staff.

Makes unclear or disorganized oral and written presentations that evidence gaps in logic; presents work that is wordy or reflects personal bias; produces written material that requires extensive revision to correct omissions, irrelevancies, organiza-

Usually:

Maintains current awareness of and communicates management policies, initiatives and priorities to staff; obtains answers to questions from staff to ensure clarity.

Uses correct grammar, sentence structure, and style when writing or speaking; presents material that is accurate, objective, complete, significant, timely, clear and contextually sophisticated (as defined in the GAO dimensions of quality); expresses

Almost Always:

Exceeds performance requirements at the Fully Successful and Exceeds Fully Successful levels and:

Is proactive in learning, thoroughly understanding, and communicating management policies, initiatives and priorities to staff; probes higher management to seek clarification on difficult or sensitive questions from staff.

Makes oral and written presentations that are tailored to the intended audience and are authoritative, convincing, objective, and demonstrate a very high level of contextual sophistication; presents complex material in a logical, well-organized, con-

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3. Communications

Band III Performance Standards (Continued)

Frequently:

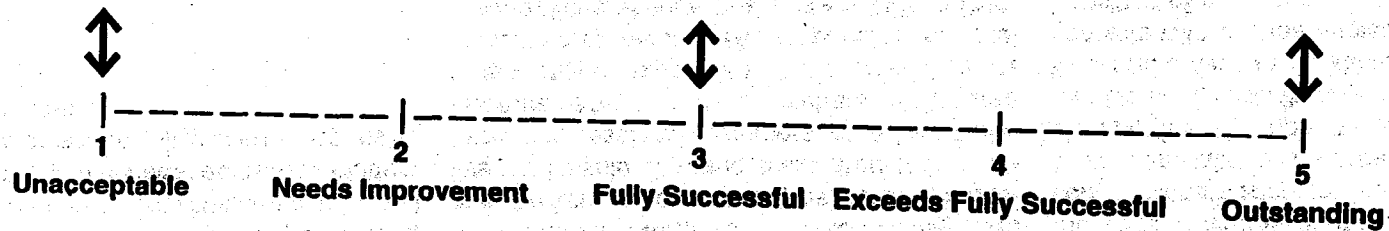
tional problems, and grammar; ignores revisions suggested by superiors or peers and cannot be relied upon to review and revise products submitted by staff.

Usually:

ideas clearly enough that readers and listeners seldom need clarification even when technical material is being discussed; speaks at ease before most groups, with few distractions; responds appropriately to unanticipated questions or interruptions in nearly all settings.

Almost Always:

cise, and thorough manner; produces products that are accurate and completed before agreed-upon deadlines; produces products that require minimal revision.



4. External Relations

Acting as an official liaison and representative for GAO in relations with congressional customers and pertinent external groups, including other agencies; establishing and maintaining contacts with applicable congressional customers throughout the program/project cycle; representing GAO and agency products to the press; representing GAO at meetings, conferences, and seminars as a participant, speaker, or to facilitate idea and information exchange; promoting good relations with faculty, staff, and students at pertinent colleges and universities and with job applicants.

Band III Performance Standards

Frequently:

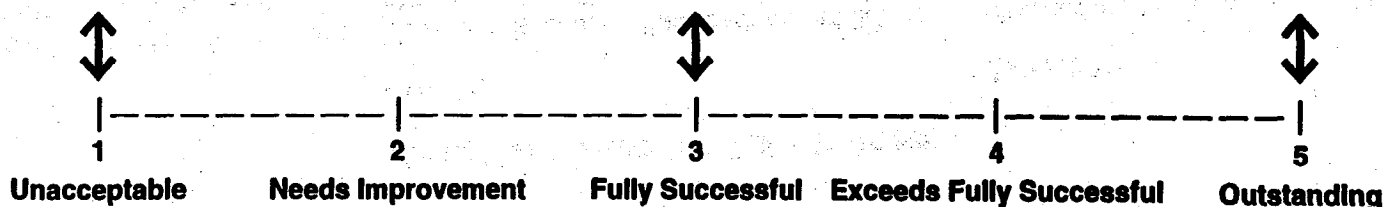
Fails to develop good relationships with agency liaisons before starting jobs and may be discourteous to personnel at the agency being evaluated; does not keep congressional customers informed of work status during reviews; addresses matters outside of area of responsibility or is unresponsive to questions in area.

Usually:

Negotiates liaison relationships with other agencies to facilitate information flow and ease any tensions between the agency and GAO that may have resulted from earlier contacts; maintains a productive relationship with congressional customers; informs congressional customers of GAO work status; refrains from discussing matters outside area of authority or expertise with the press or other customers; represents GAO on panels at external organizations; attends meetings with external professional associates to facilitate idea exchange and good relations.

Almost Always:

Exceeds performance requirements at the Fully Successful and Exceeds Fully Successful levels; maintains a high level of visibility and service to congressional customers; maintains open channels of communication with key personnel in other agencies, particularly upper management and Inspectors General; skillfully explores different perspectives and arrives at workable solutions; maintains contacts with outside subject experts; eases the transition of successors; makes time available to represent GAO at conferences and seminars as a speaker or participant; skillfully handles the media; displays seasoned judgment and tact when delaying or deferring congressional requests.



5. Teamwork, Working Relationships, and Performance Management

Taking a leadership role in developing, supporting and promoting teamwork to achieve mission requirements, satisfy customer needs, and meet common goals including communicating openly and candidly, meeting commitments, sharing resources and supporting other teams and GAO-wide objectives, and recognizing the contributions of both individuals and teams.

Taking a leadership role in establishing and maintaining effective and constructive working relationships with all GAO stakeholders and others involved in the assignment; including those in headquarters, field, staff, and support units. Conducting multi-unit projects without dissension or delays; displaying a wide range of interpersonal skills to facilitate developing new approaches to successfully completing work. Promoting cooperation and respect.

Discussing performance expectations, providing effective feedback, preparing appraisals, and assisting employees with career development; communicating and implementing GAO policy and standards, including those regarding equal opportunity and affirmative action; treating all employees fairly in work assignment, career development, and advancement opportunities; and recommending people for awards and taking corrective actions.

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Band III Performance Standards

Frequently:

Does not coordinate with other GAO units on a timely basis, creating delays and conflicts. Does not work with team/others to set clear, shared goals; does not communicate openly and candidly; places unnecessary limits on team member roles or fails to take opportunities for flexibilities in assigned roles; is too rigid in work style and does not foster collaboration and cooperation with others; discourages participation and staff involvement in decisionmaking; creates or tolerates serious imbalances in the workload of team members that detract from achieving team objectives; does not fulfill commitments or agreements; takes team members for granted and does not seek appropriate recognition for excellence; is slow to act or neglects opportunities to build the specialized or general skills that are needed to support short-range or long-range objectives; discourages staff participation, creativity and innovation.

Usually:

Shows courtesy and works effectively with personnel in other GAO units; contacts other GAO units to introduce new staff who will be working in an area of common interest. Works with others to establish clear, shared goals; communicates openly and candidly; promotes flexible roles for self and other team members; collaborates with others to get needed skills; fosters different working styles, approaches and perspectives; encourages participation and staff involvement in decisionmaking; takes the lead in ensuring that everyone carries their part of the workload to meet team objectives; meets commitments; creates a positive learning environment which builds on specialized and general skills to further work objectives; provides recognition and rewards for individuals and teams that promote and support cooperative efforts.

Almost Always:

Exceeds performance requirements at the Fully Successful and Exceeds Fully Successful levels and:

Goes beyond normal professional courtesy when working with other GAO units; learns the problems and concerns of support and technical offices to improve teamwork; regularly assesses the environment for potential conflicts with other units working in similar areas. Takes a leading role in integrating teamwork into day-to-day business; focuses on, enlarges or creates new perspectives on ways that teamwork can further GAO goals and commitments; supports others by sharing staff and resources; excels in the efficient use of resources—specialized skills, budget, facilities, equipment, training, and rewards to support team requirements and objectives; ensures that commitments and agreements are met; consults with staff one-on-one to improve managerial and team skills that pro-

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5. Teamwork, Working Relationships, and Performance Management

Band III Performance Standards (Continued)

Frequently:

Does not contribute to or works against ensuring a shared understanding of job objectives, roles and report messages by not facilitating or by exhibiting counterproductive behavior in job-related design summits and other work-related meetings.

Is inappropriately argumentative and confrontational; makes unreasonable demands on support staff; is discourteous and regularly refers interpersonal difficulties to superiors before trying to resolve them; may criticize, punish, or ridicule peers without constructively providing any alternatives.

Fails to set clear expectations or give feedback on performance or gives inaccurate, misleading, vague, or overly harsh feedback; displays defensiveness or lacks interest during performance discussions and does not share information; when reviewing a draft, requests revisions without offering a rationale or revises work without explanation; assigns work unevenly or without regard to ability or potential; does not encourage the use of training resources; moves employees into positions in which

Usually:

Brings about a shared understanding of job objectives, roles and report messages by facilitating job-related design summits, message conferences and other work-related meetings.

Demonstrates leadership by establishing and maintaining effective and constructive working relationships with stakeholders, supervisors, coworkers and customers; treats coworkers fairly, courteously, and politely; tries to calm tensions in most conflict situations and often succeeds; considers alternate points of view and listens to peer feedback; frequently shares skills with junior staff.

Sets clear expectations including how individual efforts can help achieve appropriate GAO strategic goals and performance measures, monitors performance, and provides adequate feedback about problem areas; offers specific suggestions to improve performance in a positive manner; acknowledges good performance and rewards outstanding performance as appropriate; takes appropriate action when performance or conduct need improvement; divides work assignments into man-

Almost Always:

promote understanding, trust, and effective teamwork; achieves a high level of staff participation, creativity and innovation; models exemplary work behaviors and mentors others to enhance team performance.

Brings about a shared understanding of job objectives, roles and report messages by facilitating job-related design summits, message conferences and other work-related meetings and coaches others in these methods.

Promotes high morale, and motivates others; uses tact and diplomacy to resolve or significantly reduce interpersonal conflicts, even in highly stressful situations; requests appropriate assistance if unable to resolve a conflict.

Establishes performance expectations that are clear and consistent with staff roles and responsibilities; reviews performance; provides specific feedback that is clear and encourages understanding and acceptance; maintains approachability; offers praise when deserved and rewards outstanding performance; takes action to provide constructive feedback on performance that is below expectations; assigns work evenly and appropriately and provides on-the-job training; demonstrates concern

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5. Teamwork, Working Relationships, and Performance Management

Band III Performance Standards (Continued)

Frequently:

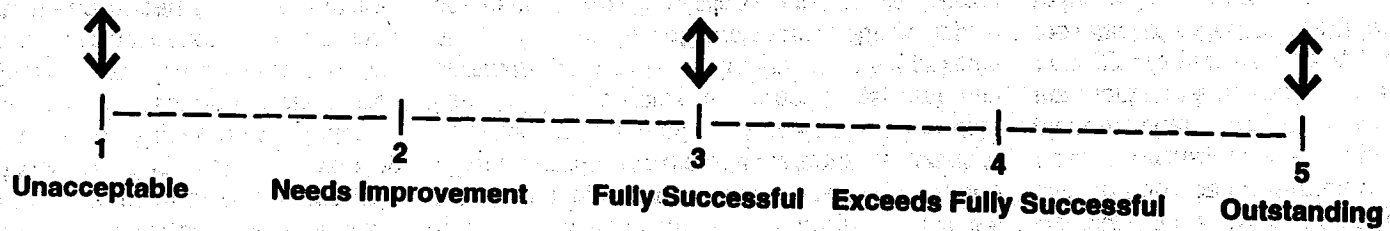
they cannot function and provides no development assistance; considers race, gender, marital status, or other criteria in a manner inconsistent with GAO equal opportunity and affirmative action policy when assigning work or evaluating performance.

Usually:

ageable segments; provides information about training opportunities when an obvious training need exists and discusses ways that staff can build positive career experiences.

Almost Always:

for staff development needs and may conduct systematic surveys of staff training needs; encourages participation in structured training and other job-enhancement opportunities.



6. Organization Management

Demonstrating leadership by maintaining a viable work base for an assigned segment of an issue area and building staff capacity to address upcoming or emerging work; obtaining timely training to efficiently and effectively enhance the skill base of staff; formulating, evaluating, or implementing work procedures, practices, or policies; investigating operational problems and developing strategies for addressing them; establishing financial, staffing, or resource priorities; coordinating assignments to ensure maximum resource usage or reviewing them for fairness and appropriateness to GAO goals; managing support staff or administrative or technical assistants; keeping abreast of GAO's affirmative action plans and unit-level goals for hiring, promotions, and job assignments; evaluating unit recruiting programs; implementing significant administrative management duties, including those at regional offices, or suboffices; monitoring relations and agreements with the housing agent; serving as a representative for GAO-wide activities; setting or advising on unit-level policy; serving on policy task forces and representing superiors at meetings and decision-making forums.

Band III Performance Standards

Frequently:

Develops programs and makes decisions without consulting affected parties; approves required administrative forms late, or approves inaccurate forms; does not visit job sites to observe working conditions and does not display a knowledge of employee rights; does not respond to staff input, projecting an aloof or defensive attitude; holds few staff meetings and does not seriously consider the suggestions that are advanced; fails to inform staff of changes in policies or procedures, providing limited information only when confusion arises; describes GAO work inaccurately or unfavorably when interviewing applicants; presents unclear and inaccurate evaluations of policies and procedures; offers formulations or suggestions regarding work procedures that contradict established policies; fails to anticipate problems or develop effective problem-solving strategies.

Usually:

Applies resources in proportion to priorities, goals, and objectives; accurately prepares or reviews travel vouchers, time and attendance reports, and other administrative material; safeguards sensitive and classified information and maintains up-to-date files on GAO policies and procedures; promptly communicates or helps implement new policies and procedures to staff; provides feedback on proposed administrative actions; establishes policies and procedures to ensure phone coverage and prompt mail delivery and adjusts staff schedules to meet work loads during peak periods; considers staff comments and suggestions, conducts staff meetings, and participates in informal discussions when time permits; provides adequate and timely information on changes in policies or procedures; identifies the need for timely training to build staff capacity and ensures delivery of training; accurately describes the job when interviewing applicants.

Almost Always:

Exceeds performance requirements at the Fully Successful and Exceeds Fully Successful levels; uses resources so that all work is completed as quickly and inexpensively as possible; suggests and pioneers changes in administrative and other management requirements that simplify work; develops or suggests processes and procedures for easing the effect of staff changes or innovative approaches to furthering the agency mission and goals; solicits comments, suggestions, and complaints from staff members, encouraging involvement through effective meetings and timely discussions; provides full and detailed information about relevant work procedures, policies, and practices; skillfully interviews applicants; presents fair, easily understood policy formulations or suggestions that are not open to alternative interpretations; points out potential shortcomings and suggests alternatives when evaluating current policies and procedures; pro-

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6. Organization Management

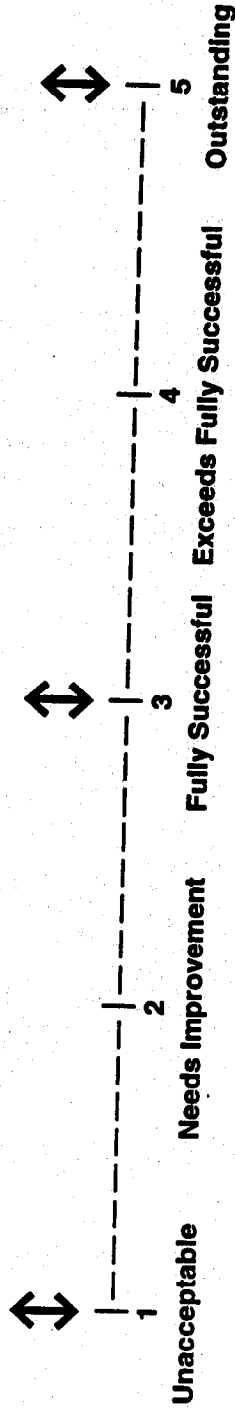
Band III Performance Standards (Continued)

Frequently:

Usually:

Almost Always:

vides complete and timely information to staff on policy changes; obtains, suggests and provides timely training to build staff capacity for current and emerging work.



Band I, II, and III Role Definitions

Band I Role Definitions

Band I has two levels: developmental and full performance. Role definitions have been developed for each.

Developmental Level

Developmental-level band I staff are assigned a variety of job experiences to learn the policies and procedures associated with GAO audit and evaluation work, including using automated technology and tools for planning, data gathering and analysis, and preparing written products. Fact-gathering and documentary assignments lead to more advanced planning, data analysis, writing assignments, and personal contacts inside GAO and in other agencies. Typical assignments include

- data-gathering activities, such as conducting research, conducting interviews, and summarizing facts in writing;
- applying analytical methods to data, such as determining patterns, trends, or irregularities and drawing conclusions;
- researching and writing aspects of audit plans, consisting of the design matrix and the project plan;
- interviewing agency officials;
- maintaining proper documentation in the Job Management and Project File; and
- writing report segments.

Some specialists in this band possess basic knowledge in a specialty field, such as statistics, mathematics, actuarial science, and accounting, and work with and assist more experienced specialists. They progressively acquire more advanced knowledge, skills, and abilities (KSAs) and the ability to carry out more difficult assignments with less supervision. Staff ultimately can perform moderately complex tasks with minimal supervision.

Staff in this band are expected to support and promote collaborative efforts to achieve mission requirements, satisfy customer needs, meet common goals, and comply with GAO policies, generally accepted government auditing standards (GAGAS), and other

requirements. All staff also should promote teamwork, which includes helping one another, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions, employing techniques for problem solving and decision making, recognizing the contributions of both individuals and teams, and ensuring that the principles of equal opportunity are properly observed.

Supervision of staff in this band should decrease as the employee obtains experience and knowledge to the point where only broad assignments are made and the employee devises his or her own work methods to meet broadly stated objectives. Work is reviewed to ensure objectives are met and GAO policies are followed.

Full-Performance Level

Full-performance band I staff are expected to perform the full range of audit and evaluation functions, including ongoing responsibility for a specific component of a project and using planning tools, such as design matrices and project planning software. Typical assignments include

- developing the audit plan, consisting of the design matrix and the project plan;
- leading data collection efforts or reviewing the data collection efforts of others, performing report processing functions, referencing, or clearing referencing points;
- selecting and applying analytical methods appropriate to the situation from a number of alternatives to develop conclusions and recommendations;
- integrating and consolidating analyses and written summaries of others to develop draft chapters or complete draft products; and
- participating in or leading meetings with GAO and agency officials to communicate results of work.

Some specialists in this band possess basic knowledge in a specialty field, such as statistics, mathematics, actuarial science, and accounting, and work with and assist more experienced specialists. They progressively acquire more advanced knowledge, skills,

and abilities (KSAs) and the ability to carry out more difficult assignments with less supervision. Staff ultimately can perform moderately complex tasks with minimal supervision.

Staff in this band are expected to support and promote collaborative efforts to achieve mission requirements, satisfy customer needs, meet common goals, and comply with GAO policies, GAGAS, and other requirements. All staff also should promote teamwork, which includes helping one another, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions, employing techniques for problem solving and decision making, recognizing the contributions of both individuals and teams, and ensuring that the principles of equal opportunity are properly observed.

Supervision of staff in this band should decrease as the employee obtains experience and knowledge to the point where only broad assignments are made and the employee devises his or her own work methods to meet broadly stated objectives. Work is reviewed to ensure objectives are met and GAO policies are followed.

Band II Role Definition

Band II staff are responsible for successfully completing assignments or major segments of assignments; using planning tools, such as design matrices and project planning software; and integrating all phases of audit and evaluation work. Responsibilities also may include leading other team members. A high level of professional competence and leadership potential are the paramount characteristics that distinguish this band from band I.

Typical band II duties include

- serving as a team member on complex or difficult jobs, planning an entire assignment and demonstrating a thorough knowledge of relevant policy and planning tools;
- developing, evaluating, and reviewing data collection efforts; determining sufficiency of evidence; coordinating analysis to identify reportable issues; and directing meetings with higher level officials;

- developing, reviewing, or revising written products of others and consolidating report segments into complete reports or completing large segments of major assignments and projects, and effectively communicating the results to a variety of audiences; and
- ensuring that report processing requirements are completed and carried out properly.

Staff in this band also may participate in unit management functions, be involved in issue area or other broad planning functions on the basis of expertise, or perform staff assignments in the home units or staff offices when skills associated with this band are a requisite to successful performance.

When leading others, duties also may include

- assigning work;
- setting expectations, monitoring, coaching, and evaluating performance;
- counseling staff;
- promoting team-building; and
- providing for staff development.

Some specialists in this band possess advanced KSAs in one or more specialized fields. They are proficient in adapting knowledge and theory of specialty fields to complex situations with only minimal supervision and working with more senior specialists on unusual or particularly complex tasks. These employees may lead other specialists or evaluators in multiphased projects and may serve as consultants to other specialists or generalists.

Staff in this band are expected to support and promote collaborative efforts to achieve mission requirements, satisfy customer needs, meet common goals, and comply with GAO policies, GAGAS, and other requirements. All staff also should promote teamwork, which includes helping each other, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions, employing techniques for problem solving and deci-

sion making, recognizing the contributions of both individuals and teams, and ensuring that the principles of equal opportunity are properly observed.

All band II staff are given assignments in very general terms and develop the approaches to be used, determine resources and staff required, and evaluate progress. Work products are considered technically complete and are reviewed only to ensure that they conform to GAO policies and meet audience needs.

Band III Role Definition

Band III staff are responsible for an assigned segment of an issue area or provide support to a unit head or regional manager in managing the unit's work. Mastery of GAO audit and evaluation work and the ability to identify issues that have the potential to provide dollar savings and/or nonfinancial benefits to the government and taxpayers, plan work steps for developing jobs, and provide administrative direction of work to achieve mission objectives and performance results are the paramount characteristics that distinguish this band from band II.

Assignments include personal accountability for a single large, highly complex or sensitive job involving significant dollar savings or nonfinancial benefits to the government, directing concurrent assignments personally or through others, and broad unit management functions. Typical duties carried out by band III staff include

- developing and monitoring the process for planning projects;
- using planning tools, such as the job assessment, design matrix and project planning software, and contributing to the improvement of operations through advanced use of technology;
- initiating or reviewing projected proposals to assess relevance, scope, and technical adequacy to meet ongoing requirements for area(s) of assigned program responsibility;
- directing the implementation of projects through others, ensuring soundness of project design and staff use, serving as a quality assurance point for final products, maintaining accountability by advising superiors of progress or problems, and representing GAO in discussions with congressional and agency officials;

- **demonstrating leadership in promoting collaborative efforts to achieve mission requirements, satisfy customer needs, meet common goals, and comply with GAO policies, GAGAS, and other requirements;**
- **promoting teamwork, which includes helping one another, meeting commitments, valuing ideas and suggestions of others, communicating openly and candidly, encouraging others to participate fully in discussions, employing techniques for problem solving and decision making, recognizing the contributions of both individuals and teams, and ensuring that the principles of equal opportunity are properly observed; and**
- **fulfilling GAO's expectations for managing employee supervision, performance appraisal, and individual career development; ensuring staff are counseled on skill development; providing opportunities to develop increased capabilities; and providing regular feedback on staff developmental progress.**

Employees also may perform general management duties or staff assignments in the home unit or staff offices for which the level of capability associated with this band is appropriate.

Specialists in this band possess a high degree of professional knowledge and expertise in one or more specialized fields; are considered agency authorities and experts in a field with findings, interpretations, analyses, and judgments authoritative in GAO and possibly serving as the basis for further agency action; and are regarded as masters of the technical aspects in a field. Such individuals may serve in a leadership capacity directing staff or may have office, division, or agencywide responsibility for all or some portion of a subject matter area.

Band III staff plan, advise, consult, conduct, or direct work under only general guidance of a superior. Work is guided by broad policy and program guidance and is judged on adherence to GAO policy and the degree of effectiveness to GAO's mission requirements.

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