

GAO

United States General Accounting Office

Assistant Comptroller General for
Operations



June 1989

Performance Appraisal System for Band III Employees

045903/139036

Contents

Chapter 1 Purpose and Uses of the Performance Appraisal System		3
Chapter 2 The Performance Management Cycle	Establishing Expectations Monitoring Performance, Feedback and Coaching Preparing and Communicating the Appraisal	4 4 5 6
Chapter 3 Band III Performance Appraisal Form	Identifying Information Part I: Description of Work/Duties/Responsibilities Part II: Major Results/ Accomplishments Achieved Part III: Assessment of Dimensions Part IV: Signatures Part V: Ratee Comments	7 7 7 8 9 11 11
Chapter 4 Responsibilities of the Employee, the Supervisor, and the Reviewing Official	Employee Supervisor Reviewing Official	13 13 13 13
Appendices	Appendix I: Expectation Setting Checklist Appendix II: Band III Role Definition Appendix III: Band III Dimensions Appendix IV: Performance Standards Appendix V: Task Examples for Band III Dimensions Appendix VI: GAO Form 175, Appraisal Form for Band III Employees	15 16 18 23 34 44 44

Abbreviations

ADP	Automated Data Processing
FAL	Firm Assignment List
GAO	General Accounting Office
OIP	Operations Improvement Program
SES	Senior Executive Service

Purpose and Uses of the Performance Appraisal System

The primary purpose of the Band III appraisal system is to provide a systematic and uniform method to evaluate job performance of Band III employees on the basis of job-related criteria. Additionally, this system should be used for

- communicating performance expectations and standards to the employee for the appraisal period,
- counseling and providing feedback on performance,
- coaching to identify strengths and areas needing improvement,
- identifying needs for developmental training, and
- identifying performance warranting special recognition and awards,

Information gained from the system may be used to guide numerous decisions and actions, including pay for performance that will be made during the annual assessment process.

The Performance Management Cycle

Performance management is a continuous managerial responsibility designed to identify, observe, measure, and improve performance consisting of three separate, but related, steps:

- Establishing expectations.
- Monitoring performance, feedback and coaching.
- Preparing and communicating the performance appraisal.

Establishing Expectations

One of the most critical points in the performance appraisal process involves the clarification of job expectations between the supervisor and the employee. Expectations consist of job objectives, major duties and related performance standards. Expectations are typically established before or near the start of the appraisal period. If tasks and/or responsibilities are added during the appraisal period, the supervisor should meet with the employee again to revise the expectations.

Because of the numerous types of duties being performed by Band III employees, there is no standard method for setting expectations. Instead, this is left to the discretion of the unit head. In some instances, it may be appropriate to establish expectations by cascading the performance objectives in the supervisor's Senior Executive Service (SES) contract into the dimensions specified on the appraisal form. In other instances, it may be more appropriate to establish expectations that are tailored for the job for which a Band III employee is being appraised. In any case, the ratee should be aware that the discussion is being held to set expectations for the appraisal period.

To aid in the expectation setting process, this manual contains several tools: appendix I contains an expectation setting checklist, appendix II contains the Band III role definition, appendix III contains a list of major duties for each of the six dimensions, appendix IV contains performance standards, and appendix V contains task examples for each dimension.

The supervisor and the subordinate may find it useful to review the information in the appendices when setting expectations for each dimension. Both should keep in mind, however, that appendix V does not contain every task that a Band III employee could be expected to perform, and all Band III employees are not expected to perform each task listed for every assignment. Further, appendixes II and III may not encompass the duties of every type of Band III position in GAO. Therefore, a supervisor may add duties during expectation setting if those

duties are important and reasonable considering the Band III employee's position and assignment responsibilities.

Since expectation setting is very individualized, no standard amount of detail or specificity is required. Expectations should be as specific or as general as is necessary to clearly inform staff of what will be expected and to fairly appraise their performance.

The method used to communicate expectations is left to the discretion of the unit head. In some instances, it is appropriate to orally agree on assignment objectives and standards. In other instances, the unit may desire to have written expectations.

Regardless of the method used to set expectations, both the supervisor and the employee should clearly understand the objectives expected in each work dimension for the appraisal period. Both must understand, to the extent possible

- what work dimensions, tasks, or responsibilities are being assigned,
- what outputs are expected,
- what the outputs are expected to contain or cover,
- the time frames in which the outputs are expected to be produced, and
- the standards for judging the outputs and the employee's performance.

Monitoring Performance, Feedback and Coaching

Once expectations are set, the supervisor must monitor the performance of the subordinate, provide feedback on how well he/she is doing and coach to improve performance. Monitoring not only keeps the employee apprised of his/her performance but also assists him/her in developing, maintaining, or improving skills.

When monitoring performance, it is helpful for the supervisor to keep brief, anecdotal records of performance. This will facilitate the preparation of the performance appraisal. In addition, the supervisor should not wait until the end of the appraisal period to provide feedback and coaching. Although a number of techniques can be used, ranging from day-to-day discussions to formal, periodic feedback sessions, feedback should be provided often enough to allow the employee to know how well he/she is performing, what his/her strengths and weaknesses are, and coaching should be provided to improve performance in areas needing attention. At least one formal review of expectations and the progress displayed in meeting them before the assignment is completed is

anticipated unless circumstances, e.g. duration of the job, etc. dictates otherwise.

However, feedback is not the responsibility only of the supervisor. The employee also is responsible for actively seeking and being receptive to feedback. The benefits to the subordinate of doing this are great. Positive feedback reinforces good performance. On the other hand, if performance is not up to expectations, the earlier one finds out, the greater the likelihood he/she will be able to correct or overcome the problem.

Preparing and Communicating the Appraisal

An appraisal session is held at the end of the appraisal period. At this session, the supervisor informs the employee how he/she performed and explains how the check mark ratings were determined. Since feedback during the appraisal period should have been continuous, the primary task at the end-of-period appraisal session is one of summarization.

In preparing the performance appraisal, the supervisor must analyze, integrate, and report on the employee's performance for the period involved. The supervisor must advise the employee of both the positive and the negative aspects of his/her performance. If appropriate, the supervisor should explain how the employee's performance can be improved. When problems exist, the supervisor needs to be as candid and straightforward as possible. Unless the problems are identified, improvement is unlikely to occur.

The employee also must be open and straightforward. While receiving criticism is uncomfortable, the employee should keep in mind the benefits that might accrue.

Band III Performance Appraisal Form

GAO Form 175, Performance Appraisal for Band III Employees (see app. VI) is completed for each Band III employee when the performance management cycle ends; when the employee is reassigned during the appraisal year, provided the employee has worked on the assignment for at least 30 staff-days, or when the employee's supervisor changes, provided the employee has worked for that supervisor for at least 30 staff-days. Employees on an incomplete assignment as of June 15 who have completed more than 30-staff days, must have an appraisal prepared closing out the assessment period. Appraisals prepared at the end of an assignment or because of a change in supervisors should be completed within 20 calendar days of the effective date of the action.

Form 175 is designed to capture the information needed to serve the purposes specified in chapter 1 of the manual. As such, each part of the form provides only a limited amount of space to highlight the most relevant information about the employee's performance. If more space for any part(s) of the appraisal is needed, additional information may be recorded on a separate piece of paper that will be attached to and become part of the formal appraisal. All additional information, however, must be limited to one sheet (one side) of paper. (An employee providing written comments to an appraisal may use as many sheets of paper as desired.)

A description of and instructions for completing each part of form 175 follow.

Identifying Information

The top of form 175 asks for information to identify the employee and the period covered by the appraisal. Space is provided for the name, position title, and division/region/office of the employee; the period covered by the appraisal; the date expectations were set; and the date(s) of the progress review.

Part I: Description of Work/Duties/Responsibilities

Part I provides information regarding the type of work, duties, and responsibilities the employee had during the appraisal period. Specifically, part I is used to summarize any information that would help in placing the individual's performance in the proper context and in recording employee experience. Appropriate information could include such facts as the employee's overall assignment objectives, his/her role in the unit, the work load (number of jobs), the complexity of assignment(s), the size of the staff, the number of agencies affected by the employee's responsibility, the degree of supervision received, unique

characteristics of individual assignments or area(s) of responsibility, or any other relevant information.

Collateral duties (e.g., memberships on committees, special projects, or staff activities) may be included here if they occupy a significant amount of time but, more appropriately, should be included in the Contributions and Accomplishments Statement (GAO Form 223) for pay for performance.

Part I is also to be used to document established expectations. A summary of the expectations set for the employee describing the ratee's role and responsibilities and major work products expected to be produced is to be included in Part I. It is critical that the supervisor and the employee reach a clear understanding of expectations at or near the start of the period. As Chapter 2 of this manual specifies, the appropriate method for establishing and documenting these expectations is left to the discretion of the unit head.

Part II: Major Results/ Accomplishments Achieved

In part II, the rater should identify the major results and/or accomplishments achieved by the employee during the appraisal period and explain why they are important and/or what impact they have had. Together with the information in parts I and III, which indicate what duties the employee had and how well he/she performed them, a complete picture of the employee's performance should be available for pay and other management decisions.

In completing part II, aside from the space limitation, the supervisor is not restricted on the number of accomplishments that can be listed. However, it is recommended that only major accomplishments be listed and that the narrative explaining why something is significant is more important than the number of items listed. In addition, the accomplishments do not necessarily have to be tied to a specific work dimension or specifically relate it to an established expectation. For example, an accomplishment might relate to a collateral duty assigned to or assumed by the employee that may not be clearly addressed in any other part of the appraisal. Examples of the type and extent of narrative expected in part II follow.

- Assisted in preparing and presenting testimony to the Senate Committee on Energy and Natural Resources on improvements needed in outer continental shelf oil and gas lease sales. Testimony was instrumental in

making program changes that could save the federal government \$100 million over the next 7 years.

- Actively participated in GAO's recruitment program. Established and maintained good relationships at several schools and was responsible for recruiting six entry-level employees hired this year.

Part III: Assessment of Dimensions

The purpose of part III is to provide information on how well the employee performed his/her duties during the appraisal period. It provides for ratings on six specified dimensions:

- Planning.
- Project Implementation.
- Communications.
- Interunit and External Relations.
- Performance Management and/or Working Relationships.
- Organization Management.

A detailed description of the specific duties included in each dimension is contained in appendix III. A further detailed task list for the dimensions is contained in appendix V.

The dimensions are purposely broad to allow them to be as universally applicable as possible to the numerous types of duties being performed by staff in Band III. However, since Band III duties vary widely, rare instances may occur when a Band III employee (1) has not been assigned the duties of a particular dimension or (2) has performed duties and tasks in a category that has not been specified. In the first instance, a "No Basis for Evaluation" would be given. In the second instance, the duties would be appraised under "Other" dimension. "Other" is intended to be used only to appraise the performance of an individual assigned special or unusual duties. This dimension(s) must be agreed to when expectations are set at the start of the appraisal period or when the "Other" duties are assigned.

All dimensions for which an employee is appraised—the six established dimensions as well as any other dimensions indicated—are considered critical for the effective performance of assigned duties and are to receive equal consideration. Of course, a dimension marked "No Basis for Evaluation" receives no weight. Therefore, a dimension that is not appraised must clearly not be represented in either the summary of duties or in the expectations.

The term “critical” means that the dimension, is important enough that unacceptable performance in it may be the basis for reduction in band or removal.

The following five levels of performance are possible for each dimension:

Exceptional—Overall performance is exemplary, continuously exceeding position requirements. Employee typically performs at a level that clearly and consistently surpasses performance at the Superior level.

Superior—Performance generally exceeds Fully Successful but does not meet Exceptional standard.

Fully Successful—Performance generally satisfies the requirements of the position; employee typically meets the expectations established for a successful level of performance and an acceptable level of contribution but occasionally may perform at a higher or lower level.

Borderline—Performance generally exceeds Unacceptable but overall does not meet Fully Successful standard.

Unacceptable—Overall performance is seriously deficient and generally below position requirements. Employee typically performs at a level below Borderline.

To supplement these standards, appendix IV lists performance standards at the Exceptional, Fully Successful, and Unacceptable levels for each dimension. These standards are neither all-inclusive nor intended to restrict the flexibility and good judgment that a supervisor needs to fairly appraise an employee’s performance. They merely illustrate the types of behavior associated with three performance levels and six dimensions. Appraising officials should describe specific performance examples for individual employees, rather than reiterate these broad examples.

Procedure for Preparing the Work Dimension Assessment

Before appraising an employee on the dimensions, the supervisor should read the dimension descriptions (app. III) to get a proper perspective as to the type of duties included in a particular dimension. Reviewing the task examples for the dimensions (app. V) may also be helpful. The supervisor should be knowledgeable of the baseline performance standards (above) and the Performance Standards (app. IV) to serve as a

basis for determining the predominant level of performance at each dimension. Once the supervisor is confident about the proper level of achievement for each dimension, he/she should place a check mark at the appropriate adjective level on the appraisal form. Written justification is required for each work dimension which is rated.

If an employee was not provided an opportunity to demonstrate his/her skills in a particular dimension, the "No Basis for Evaluation" block should be checked; written justification is not required for that category.

Part IV: Signatures

Only after the reviewer has reviewed and discussed the appraisal with the rater, should the appraisal be presented to the ratee. The rater's name (typed) and signature, as well as those of the reviewer, should be affixed to the form. They should specify their division, region, or office and indicate the date(s) they reviewed and/or discussed the appraisal. The signatures of the supervisor and the employee indicate that the appraisal has been discussed and that the employee was counseled on his/her performance. By signing, the employee does not necessarily indicate agreement with the appraisal.

When the appraising official is also the head of the organizational unit, such as a regional manager or director of a staff office, the appraisal need not be reviewed by a higher-graded official. In these cases, only the signatures of the supervisor and the employee are required and the signature block for the reviewing official should be left blank.

Part V: Ratee Comments

If the employee disagrees with the appraisal or believes that something in the appraisal warrants additional comments, he/she may provide comments. If comments are submitted, the "YES" block in part V should be checked and the comments attached to the appraisal form; they become a part of the appraisal. Otherwise, the "NO" block should be checked. The comments are not limited to any number of pages. If comments are provided, they should be submitted as quickly as possible but no later than 5 calendar days after the supervisor and the employee have discussed the appraisal.

Grievance Procedures for Performance Appraisals

GAO has established an expedited grievance process to allow employees who are dissatisfied with their performance appraisals to obtain redress, when warranted, prior to pay decisions and without delaying

the process. The grievance process is intended to address matters such as inaccuracies, omissions, or inconsistencies in the performance appraisal. The expedited grievance process will not abrogate appeal rights currently available to GAO staff, and does not alter the grievance process associated with other grievable events. (See GAO Order 2771.1, ch. 5, for complete details about the expedited grievance process.)

Responsibilities of the Employee, the Supervisor, and the Reviewing Official

Employee

The employee is responsible for

- participating with the supervisor in determining expectations;
- notifying the supervisor of any facts or circumstances that he/she believes 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 supervisor; and
- adding any comments to the form that he/she considers pertinent, such as clarifying facts, clarifying supervisory comments, or commenting on the supervisor's appraisal.

Supervisor

The supervisor is responsible for preparing the employee's performance appraisal, even if he/she is another Band III employee. Specifically, this responsibility includes

- establishing expectations with the employee either orally or in writing,
- discussing those expectations with the employee at or near the beginning of the appraisal period and updating them during the appraisal period to reflect changes in duties,
- monitoring employee performance and providing feedback and coaching,
- appraising performance at the end of the appraisal period in accordance with established standards, and
- making developmental suggestions to increase effectiveness or correct deficiencies.

Reviewing Official

A reviewing official is involved only in those situations when the supervisor is not the unit head.

The reviewing official is responsible for

- ensuring that raters understand the performance system and know how to properly prepare performance appraisals. The reviewer should see to it that raters are knowledgeable about performance standards in this manual and that they maintain reasonable consistency in applying standards.
- checking each appraisal to ensure that it complies with instructions and standards. The reviewer provides additional assurance that the narrative and the check marks are consistent with the Performance Standards. The reviewer may return the appraisal to the rater for additional

justification or a change in the check mark placement if the narrative is unclear or inadequately supports the appraisal. Disagreement between the rater and the reviewer should be resolved before discussing the appraisal with the ratee.

- in those instances when a disagreement with a rater on the basis for an adjective rating cannot be resolved, and the reviewer possesses knowledge of the performance of the ratee and/or believes the rater has not properly applied the standards, the reviewer may assume responsibility for the rating on the dimension(s) in disagreement. In this instance, 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 check mark placement, and (3) provide the appropriate narrative support for the check mark. In this instance, the appraisal form presented to the ratee will include only the final check marks cleared by the reviewer.
- in any instance when the rater and the ratee agree to a change in the appraisal after the reviewer has signed off on the rating, that change must be approved by the reviewer.

Expectation Setting Checklist

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Expectation-Setting Checklist

Instructions. The rater and ratee may use this list as a guide during the expectation-setting session. As you discuss each point, check it off. At the end of the session, review the list to make sure that all important issues were addressed. You may want to add other expectations tailored to your situation.

1. Assignment Expectations

- Assignment objectives
- Assignment complexity and sensitivity
- Unusual job characteristics
- Role(s), responsibilities, and tasks of the ratee
- Performance appraisal standards
- Products/results
- Due dates and quality expectations for tasks and products
- Collateral duties and responsibilities
- Assistance available: staff, technical resources, etc.

2. Working Relationship Expectations

- Degree of supervision and the person(s) who will provide it
- Who will prepare, sign, and review the rating
- Roles and responsibilities in the supervisory relationship: when and how problems are discussed, who makes decisions, responsibilities for follow-up, etc.
- Relationship key staff have to the assignment: i.e., unit head, senior management of other units, support staff, etc.
- How both supervisor and ratee prefer to work
- How information is treated: personal privacy, mutual confidentiality, communicating up and down
- Timetable for feedback sessions
- Specific developmental experiences that will be provided
- Administrative expectations: flex time, training, travel paperwork, leave

3. Staff Expectations

- What the ratee wants out of the assignment, including possible developmental opportunities
- Ratee capabilities and past experiences

4. Other

OPR:PERS

GAO Form 209 (4/89)

Band III Role Definition

Generalist staff in this band are able to serve as the responsible officials for a specific area of work or serve as principal assistants to the unit head in managing the unit or a substantial segment of the unit's work. Management ability above that associated with accomplishing individual jobs is the paramount characteristic distinguishing this band from Band II, with assignments typically including responsibility for direct involvement in and personal accountability for broad unit management functions. Individuals often are responsible for directing several concurrent assignments and when appropriate, for accomplishing a single, large, and/or highly complex or sensitive job. Some typical assignments carried out by employees in this band include

- developing and monitoring the process for planning projects;
- initiating and/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 other supervisors, 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; and
- fulfilling GAO's expectation for managing employee supervision, performance appraisal, and individual career development; ensuring that staff are counseled on skill development; providing opportunities to develop increased capabilities; and providing regular feedback on staff developmental progress.

Employees may also 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/experts in a field with findings, interpretations, analysis, and judgments authoritative in GAO and may serve as 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 and/or may have office, division, or agencywide responsibility for all or some portion of a subject matter area.

Appendix II
Band III Role Definition

Specialists in this band 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 mission requirements.

A more complete list of the duties, responsibilities and tasks assigned to employees in this band are found in appendices III and V.

Band III Dimensions

The following dimension descriptions identify the major duties of Band III staff. The duties specified in each dimension are purposely broad to allow them to be universally applicable to the various Band III roles. Band III employees may be expected to serve in various nonsupervisory, supervisory, or management roles in the programming divisions, regional offices, and overseas offices. They may also be assigned to agencywide task forces, study teams, or staff offices. Finally, they may be specialists providing technical assistance in such areas as statistical sampling, actuarial science, data processing, design, economics, operations research, or accounting. These roles include, but are not limited to, assistant director; assistant regional manager for operations or planning/reporting; assistant regional manager for a designated area; project manager; issue area coordinator; participant or leader of a special division, region, or agency-wide task force or study team; and a variety of specialized staff positions. Because of the varying roles and complexity of projects, Band III staff may be expected to do the work described or review the work of others. This role is established by the supervisor when expectations are set. Thus, the dimensions should be read accordingly. Finally, the word “project” refers to an audit, an evaluation, a study, technical assistance, a management function, or any substantive effort.

Dimension 1: Planning

Band III staff oversee or conduct the process for planning projects within their assigned area(s). They may initiate, review, or provide technical input to the development of project proposals. Review of project proposals includes assessment of scope, relevance, and technical adequacy using GAO policy and knowledge of program plans as criteria. Band III managers analyze project proposals to determine if projected staff and physical resource needs, milestones, and costs are realistic. They ensure that consideration is given to the information requirements of various audiences, and they determine the method for communicating findings. Band III staff must integrate assignments and requests, considering their current commitments. They may also serve as technical content advisors and assist in the planning and improvement of methodologies used in specific projects. Band III staff also may have significant planning responsibilities related to various activities, such as recruiting, staffing, training, affirmative action and equal employment opportunity, and general and administrative operations.

Band III staff may assist Senior Executive Service (SES) management by providing input into issue area or annual work plans. They are responsible for monitoring assignments within their area(s). In addition, Band III

employees may be regarded as focal points and subject matter experts for an area(s) or subarea(s) in their divisions or regions. Band III staff maintain an up-to-date knowledge base of congressional, agency, and current events as well as GAO activities affecting their area(s). They assist SES management by providing information and advice on subject areas and by recommending strategies for prioritizing and allocating assignments to accomplish area objectives. Band III employees may be responsible for the coordination, development, presentation, and maintenance of that part of the program plan applicable to their area(s) by identifying trends and forecasting future needs. They may also act as focal points for more than one issue area. They contribute to the planning process by identifying potential project objectives, providing the lead division with written and/or oral input, and reviewing plans. They monitor efforts to identify and/or provide guidance on additional project objectives related to an area.

Dimension 2: Project Implementation

Band III staff may ensure that projects adhere to GAO policy, are completed on time, and are technically sound. They meet with project supervisors to identify problems and determine if redirection is necessary. They ensure that sufficient resources are available to meet any modified objectives or timelines. They may also meet for kickoff, one-third point, midpoint, and report conferences with appropriate staff to develop or refine objectives, scope, and methodology. They maintain accountability for projects within their area and advise their superiors of progress and problems.

Band III staff may initiate follow-up procedures with report recipients to ensure that they understand and can use the reports or other products. They may also ensure that these procedures are initiated and accomplishment reports are completed to ascertain the impact of the reports or products. Band III employees may apply specialized methodology and select or provide advice on the data sources required to satisfy the scope and objectives of the project. They determine if conclusions contained in reports or products are adequately supported on the basis of specialized knowledge.

Band III staff may conduct highly complex analyses and carry out other technically difficult projects. These activities may include developing instruments for collecting data and applying expert knowledge in one or more academic areas. Band III employees may use or develop a wide range of highly sophisticated research tools and methods, such as advanced statistical methods, sampling techniques, operations research

methods, scaling, economic analysis, and actuarial techniques. They may have to ensure that technical support to GAO operations by contractors is responsive. Band III staff may have primary responsibility for implementing a wide variety of job-related and personnel-related projects, such as assignment staffing, execution of affirmative action plans, Operations Improvement Program (OIP) projects, annual needs determinations, oversight of the unit's merit selection process, quality assurance, resource allocation, and recruiting.

Dimension 3: Communications

Band III staff are responsible for various tasks requiring oral and written communication skills. They review products and supporting evidence to ensure quality, completeness, technical soundness of findings, and relevance to users. They may oversee the development of draft and final written products to ensure that these products comply with GAO policies and procedures and that the products effectively communicate project results. They may write or revise final products, such as reports, management letters, staff studies, and testimony. They may also conduct entrance and exit conferences with agency officials and brief congressional bodies or help provide testimony on review results. During the projects, Band III staff may conduct report conferences, briefings, job review meetings, etc., necessary to develop final products. After the products are distributed, they may conduct additional briefings with congressional bodies, news media, and other interested parties. Specialist Band III staff oversee the development of technical sections or chapters of drafts and testimony. They also assist in drawing conclusions from the reports' analyses and with briefing GAO officials. Band III staff may also make written and oral presentations on unit plans, policies and procedures, budgets, staff needs assessment reports, recruiting, and products resulting from special projects covering a wide variety of subjects.

Dimension 4: Interunit and External Relations

Assignments usually require interaction with staff in other GAO headquarters, field, staff, and support units. Band III staff must be able to establish and maintain constructive relationships with these staff. Multiunit projects must be conducted carefully and tactfully to avoid unnecessary dissension or delays. In carrying out such projects, Band III staff may need to display a wide range of interpersonal skills or develop new approaches to successfully complete the work.

Band III staff often act as official liaisons and representatives for GAO in relations with congressional bodies and pertinent external groups. They

establish and maintain contacts with applicable congressional bodies throughout the program/project cycle. They also maintain liaison with agencies and other relevant client groups. Band III staff may also represent GAO at meetings, conferences, and seminars as both participants and speakers. They promote good relations with faculty, staff, and students at pertinent colleges and universities, and with job applicants. They may attend meetings with professional associates to facilitate idea and information exchange. They maintain contact with congressional, professional, academic, and/or executive communities. They also establish and maintain working relationships with other agencies' personnel.

Dimension 5: Performance Management And/Or Working Relationships

Some Band III managers are responsible for supervising employees, setting their expectations, preparing their performance appraisals, and assisting with their career development. They also communicate and implement GAO policy and standards. They are responsible for ensuring that all employees under their supervision are treated fairly in work assignment, career development, and advancement opportunities. They monitor assignments to ensure that staff are being used effectively and that unit-level affirmative action job assignment goals are being met. Band III managers provide on-the-job training to the supervisors reporting to them (and others when appropriate) and help employees obtain classroom training and career counseling. They recommend awards and take other corrective actions, as needed.

All Band III staff must be able to establish and maintain constructive working relationships with other staff within their units, including support and technical staff. They must be able to give advice, direction, and instruction to staff on methods of performing various project tasks. Their language and behavior should promote teamwork, cooperation, and respect; and should be consistent with GAO's equal opportunity and affirmative action policies regarding race, color, religion, sex, national origin, age, marital status, physical handicaps, or other characteristics that are not related to performing GAO work.

Dimension 6: Organization Management

Most Band III staff are responsible for spending some of their time on organization management activities. These include formulating, evaluating, or implementing work procedures, practices, or policies; investigating operational problems and developing strategies for addressing them; and establishing priorities for the use of financial, staffing, or other resources.

Band III staff participate in general GAO-wide assignment processes. They may coordinate assignments to ensure maximum resource usage or review them to ensure that they are equitable, appropriate, and help meet GAO goals. Band III staff also may manage support staff or administrative or technical assistants on site or in an office. They are knowledgeable of and support GAO's annual affirmative action plans and unit-level goals for hiring, promotions, and job assignments. Band III staff may also be responsible for evaluating unit recruiting programs.

Some Band III staff carry out significant administrative management duties including overall management of audit sites, regional offices, and/or suboffices or participating in the overall management of staff offices as deputy directors. Band III office and site administrators are responsible for maintaining the physical arrangements and requirements at sites or offices. They monitor relations and agreements with the housing agent. They coordinate support services and manage the distribution and assignment of support staff. They ensure that GAO administrative and personnel requirements are fulfilled in a timely and efficient fashion. They also serve as representatives for various GAO-wide activities.

Band III staff may set unit-level policy or act as policy advisors for decisions, such as (1) implementing local studies, (2) overseeing the implementation of policy, (3) making recommendations affecting procedures to carry out specific policy mandates within units, or (4) managing the implementation of procedures for carrying out policies affecting their areas. They also may participate in GAO-wide policy formulation by serving on task forces studying policy implications and by representing their superiors at meetings and decision-making forums.

Other (Specify)

Appraising officials should refer to chapter 3 of this manual for guidance when assigning any additional dimensions.

Performance Standards

Performance Standards define the levels of performance in work-related terms. The standards are organized by the dimensions and describe typical behaviors that the employee would routinely exhibit to warrant being rated at a particular level.

Mandatory Use of Written Standards

The Performance Standards in this appendix are the GAO-wide performance standards for appraising GAO Evaluator and related specialist work on the critical job dimensions of their assignments.

The Performance Standards are described in some detail at the Exceptional, Fully Successful and Unacceptable levels. Use of the intermediate adjective ratings, **Superior** and **Borderline** are appropriate when the anchor standards described at Exceptional, Fully Successful, and Unacceptable are not fully met.

The following definitions for the intermediate levels are to be used in assigning these performance levels:

SUPERIOR - Performance generally exceeds Fully Successful but does not meet Exceptional standard.

BORDERLINE - Performance generally exceeds Unacceptable but overall does not meet Fully Successful standard.

Reading Standards Beginning With Fully Successful

The Performance Standards are incremental in nature and are grouped around the Fully Successful level. Therefore when establishing performance expectations, read the Performance Standards beginning with the **Fully Successful** level.

When deciding the final check mark rating for each dimension, read the fully successful standard first (the fully successful standard appears first for each dimension in this appendix). If predominant performance is not judged to be Fully Successful for the entire appraisal period, then read the highest standard, Exceptional, and the lowest standard, Unacceptable, and determine if predominant performance is at either of those levels. If predominant performance is between Fully Successful and Exceptional, then performance would be rated Superior. If predominant performance is between Fully Successful and Unacceptable, then performance would be rated Borderline. The definitions of Superior and Borderline appear in the preceding paragraph.

Standards Not All-Inclusive

When applying the Performance Standards, remember that they are representative of performance for each entire dimension. The staff member need not perform all of the activities or the exact activities described in the standards to be rated at that level. The standards are neither exhaustive nor all-inclusive. They are provided to help the rater clarify the meaning of each performance level by describing typical behavior. If the staff member has not performed the activities cited in the standard for a given performance level, but has performed activities of equivalent difficulty and quality, the staff member still could be rated at that level.

Dimension 1: Planning - Fully Successful

Band III staff at this level develop or manage the development of plans that include project objectives, major issues to be addressed, steps and resources required, and realistic target dates. They develop plans that are logical, easy to follow, consider constraints and limitations, and are flexible enough to permit some change. They prepare their plans to allow sufficient time for review and staffing and develop them in accordance with GAO-wide policies and procedures. They set priorities, allocate resources, and monitor work flow so that most projects are completed on schedule and within budget, while still meeting GAO quality standards.

Band III staff at this level identify and obtain program and issue area information that is essential to successfully completing a project. They consult relevant, standard sources and hold adequate discussions with GAO management, congressional bodies, and outside experts/resources concerning their areas.

Dimension 1: Planning - Exceptional

Band III staff at this level continuously exceed performance requirements at the Fully Successful and Superior levels. They develop or manage the development of plans for assigned projects that rarely require revisions. They develop plans that meet all objectives and permit work to be completed in the shortest time possible. They develop plans that provide for very efficient use of resources. They frequently incorporate innovative approaches to improve effectiveness and always include contingency plans. And they anticipate the future needs of the Congress and GAO management and incorporate them into plans.

Band III staff at this level regularly contact extensive sources to obtain complete information on a program or subject area. They often go beyond conventional means to develop numerous and diverse sources of information to maintain extensive knowledge of their program area, including conducting interviews, arranging conferences, etc.

Dimension 1: Planning - Unacceptable

Band III staff at this level develop plans that frequently require extensive revisions. They rarely plan for potential problems and often initiate assignments without determining availability of staff. Their objectives are vague and they give little attention to cost analyses. They develop long-range plans that are unrealistic and vague. They have difficulty establishing priorities for resource usage, resulting in overexpenditures and waste.

Band III staff at this level maintain a superficial and frequently biased knowledge base in a program or subject area by using a limited number of readily available information sources. They rarely discuss project ideas with GAO management and congressional bodies. They are seldom aware of congressional interest in their area until requests are received by GAO.

Dimension 2: Project Implementation - Fully Successful

Band III staff at this level can identify the key issues when fulfilling an assignment. They can analyze and/or interpret data correctly, give technical advice as required, use resources effectively, and review work promptly. They organize data into straightforward presentations and always arrive at reasonable conclusions. They are nearly always able to solve unanticipated problems and meet agreed-upon target dates. As part of completing projects, they meet with key people to identify issues of concern and areas for future work. They implement projects in a manner that is consistent with GAO criteria for efficiency, quality, and timeliness.

Dimension 2: Project Implementation - Exceptional

Band III staff at this level continuously exceed performance requirements at the Fully Successful and Superior levels. They are always resourceful in completing difficult assignments. They nearly always diagnose critical problems immediately and quickly provide effective solutions. They promptly adjust the scope or direction of a project when appropriate. They synthesize vast amounts of complex data to ensure that all work products are relevant to the problem, issue, or project objectives. Their findings, conclusions, and recommendations are always well supported. Moreover, they are adept at managing or conducting concurrent assignments and ensuring that critical, and often competing, work objectives are completed on time. Their products are exemplary and always meet GAO's highest standards for quality and timeliness.

Dimension 2: Project Implementation - Unacceptable

Band III staff at this level often are not able to accomplish basic objectives of an assignment. They frequently are unable to suggest feasible solutions to unexpected problems, and they may use inappropriate or inaccurate methods or data. They draw conclusions and make recommendations that are not supported by the evidence. They frequently allow personal biases to influence conclusions. They do not keep their superiors informed on project progress and frequently ignore or cover up problems.

**Dimension 3:
Communication - Fully
Successful**

Band III staff at this level use correct grammar, sentence structure, and style when writing or speaking. Material is well-organized and logical, and the meaning is clear. It is usually concise, accurate, complete, and is produced on time. They express ideas clearly enough that readers and listeners seldom need clarification even when technical material is being discussed. They speak at ease before most groups, with few distracting movements or verbalizations. They can respond appropriately to unanticipated questions or interruptions in nearly all settings.

**Dimension 3:
Communication -
Exceptional**

Band III staff at this level continuously exceed performance requirements at the Fully Successful and Superior levels. They make oral and written presentations that are always tailored to the intended audience. They are authoritative, convincing, and objective. They present extremely complicated material in a logical, well-organized, concise, and thorough manner. Their products are always accurate and often completed before agreed-upon deadlines. Their writing requires minimal revision.

**Dimension 3:
Communication -
Unacceptable**

Band III staff at this level make oral and written presentations that often do not follow a logical order, so they are very difficult to understand. Their reports or presentations often are not concise or they reflect personal bias. Extensive revision of their written material is often necessary to correct omissions, irrelevancies, organizational problems, and grammar. They may ignore revisions suggested by superiors or peers, and cannot be relied upon to review and revise products submitted by staff.

**Dimension 4: Interunit
and External Relations
- Fully Successful**

Band III staff at this level work courteously and effectively with personnel in other GAO units. They contact other GAO units to introduce new staff who will be working in an area of common interest.

They negotiate liaison relationships with other agencies to facilitate two-way information flow and ease any tensions between the agency and GAO that may have resulted from earlier contacts. They inform congressional bodies of the status of GAO work. They do not discuss matters outside their area of authority or expertise with the press or other bodies. They may represent GAO on panels at external organizations. They attend meetings with external professional associates to facilitate idea exchange and good relations.

**Dimension 4: Interunit
and External Relations
- Exceptional**

Band III staff at this level continuously exceed performance requirements at the Fully Successful and Superior levels. They go beyond the level of acceptable professional courtesy when working with other GAO units. They learn the problems and concerns of support and technical offices to improve teamwork. They regularly assess the environment for potential conflicts with other units working in similar areas.

They maintain a high level of visibility and service to congressional bodies. They frequently communicate with key personnel in other agencies, particularly upper management and Inspectors General. They skillfully explore different perspectives and arrive at workable solutions. They also frequently communicate with outside subject experts. They always ease the transition of successors. They represent GAO at conferences and seminars as both speakers and participants. They are skillful in handling the press and other media. They display exceptional judgment and tact when delaying or deferring congressional requests.

**Dimension 4: Interunit
and External Relations
- Unacceptable**

Band III staff at this level do not coordinate with other GAO units on a timely basis, which often creates delays and conflict.

They fail to develop good relationships with agency liaisons before starting jobs and may be discourteous to personnel at the agency being evaluated. They do not keep congressional bodies informed of the status of GAO work during the course of reviews. They address matters outside of their area of responsibility and/or are unresponsive to questions in their area.

**Dimension 5:
Performance
Management And/Or
Working Relationships
- Fully Successful**

Band III managers at this level set clear expectations, monitor performance, and provide adequate feedback about problem areas. Their suggestions to improve performance are specific and are offered in a positive manner. They acknowledge good performance and reward outstanding performance as appropriate. They take appropriate action when performance or conduct needs improvement. When reviewing draft products, they inform the writers about needed revisions and, where practicable, give them an opportunity to make the corrections. They divide work assignments into manageable segments. They provide information about training opportunities when there is an obvious training need and discuss ways that staff can build good career experiences.

All Band III staff cooperate and work successfully with various supervisors and coworkers. They treat coworkers fairly, courteously, and politely and share information as appropriate. They try to calm tensions in most conflict situations and often are successful. They consider alternate points of view and listen to peer feedback. They frequently share skills with junior staff.

**Dimension 5:
Performance
Management And/Or
Working Relationships
- Exceptional**

Band III managers at this level continuously exceed performance requirements at the Fully Successful and Superior levels. They regularly set clear expectations that are consistent with staff roles and responsibilities; review performance; and provide feedback that is specific, based on clear rationale, and encourages understanding and acceptance. They maintain the kind of environment where staff are able to approach them with problems or questions. They offer praise when deserved and reward outstanding performance; they also do not hesitate to provide constructive feedback on performance that is below expectations. They assign work evenly and appropriately, and provide on-the-job training. They encourage participation in structured training and other job enhancement opportunities. They regularly talk with staff one-on-one to improve skills and to promote understanding, trust, and effective teamwork. They demonstrate an interest in staff developmental needs and may conduct systematic surveys of staff training needs.

All Band III staff at this level consistently behave in a way that promotes high morale and motivation of others. They are diplomatic and are nearly always able to resolve or significantly reduce interpersonal conflicts, even in highly stressful situations. If they are not able to resolve the conflict, they request assistance from appropriate sources.

**Dimension 5:
Performance
Management And/Or
Working Relationships
- Unacceptable**

Band III managers at this level generally fail to set clear expectations or give feedback on performance, or give feedback that is inaccurate, misleading, vague or overly harsh. They are defensive or disinterested during performance discussions and do not share information. When reviewing a draft, they often request revisions without offering a rationale or revise work themselves without explanation. They frequently assign work unevenly or without regard for ability or potential. They do not encourage the use of available training resources. They may move employees into positions in which they cannot function and provide no development assistance. They consider 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.

All Band III staff at this level are inappropriately argumentative and confrontational. They make unreasonable demands on support staff. They are frequently discourteous and regularly refer interpersonal difficulties to superiors without first trying to resolve them. They may criticize, punish, or ridicule peers without constructively providing any alternatives.

**Dimension 6:
Organization
Management - Fully
Successful**

Band III staff at this level use organizational and individual resources in relation to the priorities of established goals and objectives. They accurately prepare and/or review travel vouchers, time and attendance reports, and other administrative material. They safeguard sensitive and classified information and maintain up-to-date files on GAO policies and procedures. They promptly communicate, or help implement, new policies and procedures to staff. They provide feedback on proposed administrative actions. They establish policies and procedures to ensure phone coverage and prompt mail delivery, and adjust staff schedules to meet work loads during peak periods. They consider staff comments and suggestions, conduct staff meetings, and participate in informal discussions when time permits. They provide adequate and timely information on changes in policies or procedures. They present an accurate picture of the job when interviewing applicants.

**Dimension 6:
Organization
Management -
Exceptional**

Band III staff at this level continuously exceed performance requirements at the Fully Successful and Superior levels. They use organizational and individual resources so that all work is completed in the shortest time possible and at the lowest cost.

They frequently suggest and pioneer changes in administrative and other management requirements that simplify the work. They develop or suggest processes and procedures for easing the effect of staff changes or innovative approaches to furthering the agency mission and goals. They solicit comments, suggestions, and complaints from staff members, encouraging involvement through frequent meetings and informal discussions. They provide full and detailed information about relevant work procedures, policies, and practices. They skillfully interview applicants. Their policy formulations or suggestions are fair, easily understood, and not open to alternative interpretations. When evaluating current policies and procedures, they point out potential shortcomings and suggest alternatives.

**Dimension 6:
Organization
Management -
Unacceptable**

Band III staff at this level develop programs and make decisions without consulting affected parties. They are constantly late with required administrative forms and approve inaccurately completed forms. They rarely visit job sites to observe working conditions and do not display a knowledge of employee rights. They are not responsive to staff input, projecting an aloof or defensive attitude. They hold few staff meetings and do not seriously consider the suggestions that are advanced. They

frequently fail to inform staff of changes in policies or procedures, providing limited information only when confusion arises. They present an inaccurate or unfavorable picture of the job when interviewing applicants. Their evaluations of policies and procedures are unclear and inaccurate. Their formulations or suggestions regarding work procedures often contradict established policies. They fail to anticipate problems or develop effective problem-solving strategies.

Task Examples for Band III Dimensions

Dimension 1: Planning

1. Identify objectives of a project.
2. Ensure that proposed project objectives support the program plan.
3. Estimate time frames and resources needed to perform a project.
4. Determine the methodology and data sources to be used on a project, considering timeliness, cost factors, and other requirements.
5. Identify any constraints that will have an impact on the scope or methodology of a project.
6. Identify the need for technical assistance (legal, automatic data processing (ADP), consultative, etc.) in a project plan.
7. Identify likely user(s) of the results of a project.
8. Plan the most effective method for communicating project results.
9. Review plans to determine if they meet project objectives.
10. Review project methodologies for possible improvements and changes.
11. Serve as a technical content advisor to staff planning projects in an area(s).
12. Develop a sampling plan or methodology to meet project objectives.
13. Propose and comment on long-term strategies and objectives for issue area planning.
14. Coordinate the development and maintenance of a program plan, incorporating the views of other relevant GAO staff.
15. Identify potential areas of review or evaluation in an issue area.
16. Meet with congressional committee staff to determine future interest areas.
17. Develop and maintain a knowledge base of events, developments, and trends relevant to issue or methodological area(s).

18. Incorporate requests into workload, considering the scope of requests already underway.

19. Develop staff resource needs using the annual staff needs assessment process.

20. Develop unit Affirmative Action Plan.

21. Develop unit plans and strategies for recruiting, promoting, training, and handling adverse actions and disciplinary matters.

Dimension 2: Project Implementation

22. Monitor progress to determine if project redirection is necessary.
23. Review staff resource usage to ensure that resource expenditures are consistent with GAO's allocation program.
24. Advise superiors of progress and/or problems on projects underway.
25. Review drafts to maintain compliance with standards.
26. Review project methodologies for adequacy.
27. Discuss project with other GAO personnel (e.g., Design Team, cognizant division and regional staff, etc.) to refine objectives, scope, and methodology.
28. Determine type and amount of analysis necessary to develop findings and/or resolve an issue.
29. Apply the specific methodology required to satisfy the scope and objectives of the project.
30. Screen data to ensure reliability, validity, and sufficiency.
31. Select and/or apply professionally accepted analytical techniques (statistical, economic, operations research, modeling, accounting, etc.) to meet objectives of the project.
32. Identify controversial or sensitive issues that can affect the outcome of a project.
33. Review draft products as an expert or policy advisor in an area.
34. Recommend whether or not a project should continue.
35. Arrange a mutually agreeable revision of the deadline for the project when necessary.
36. Identify and refer to other units highly qualified applicants as provided for under GAO's National Recruitment Program.
37. Implement approved unit Affirmative Action Plans.
38. Coordinate unit OIP activities.

39. Ensure that the annual merit selection process is carried out in accordance with established GAO policy and procedures.

Dimension 3: Communications

40. Write or revise executive summaries, segments, chapters, or technical appendices.
41. Write, revise, or comment on final or draft products, including testimony.
42. Select the format and tone for written products.
43. Write local policies and procedures.
44. Write annual financial plan (budget proposal).
45. Write annual staff needs assessment.
46. Write appropriate correspondence to answer request/inquiries from colleges and universities, and other external sources.
47. Write or revise staff studies and reports, including issue area plans, needs assessments, etc.
48. Identify the communication medium and format to meet the requester's needs.
49. Resolve referencing, report review, and agency comments.
50. Communicate complex technical information in language that can be easily understood by people not versed in the technical area.
51. Conduct or be responsible for agency entrance and exit conferences.
52. Brief congressional staff.
53. Participate in preparing or presenting testimony before legislative bodies.
54. Brief external agency personnel.
55. Deliver talks to interested public or private organizations.
56. Deliver presentations to GAO staff (e.g. training, task force results, etc.).
57. Provide oral comments on drafts and final products.

Dimension 4: Interunit and External Relations

58. Promote effective teamwork between GAO units by addressing issues warranting attention and by serving on study or task groups formed to address GAO-wide issues.

59. Coordinate plans and operations with other personnel in GAO in order to avoid conflicts and duplication.

60. Meet with congressional staffs and committees before, during, and upon completion of specific project assignments.

61. Represent GAO in contacts with agencies involved in GAO projects.

62. Act as an official GAO liaison to congressional committees or other clients.

63. Represent GAO at meetings, conferences, and symposia as a participant, speaker, etc.

64. Attend meetings with professional associates to facilitate idea and information exchange.

65. Maintain contact with congressional, professional, academic, and/or executive communities.

66. Meet with Members of Congress or their staffs to promote a mutual understanding of GAO's work.

67. Represent GAO in area(s) of expertise before public and private organizations, the press, and the general public.

68. Establish and maintain working relationships with other agencies' personnel.

69. Meet with requestor to encourage understanding and acceptance of project results.

70. Meet and deal with agency officials regarding their comments.

**Dimension 5:
Performance
Management And/Or
Working Relationships**

71. Establish and communicate performance expectations, goals, and standards to subordinates to clarify expectations.
72. Evaluate individual staff performance against expectations, established guidelines, milestones, objectives, and performance standards.
73. Counsel employees on their job performance, promotion potential, and career objectives.
74. Prepare performance rating for each employee under direct supervision.
75. Discuss performance ratings with each employee under direct supervision.
76. Review appraisals completed by subordinate supervisors to ensure that they conform to agency requirements as described in appraisal manuals.
77. Seek and provide feedback to improve performance and working relationships.
78. Ensure fairness to all employees in assigned work, on-the-job-training, career development, advancement, and promotion.
79. Review staff work assignments to make sure appropriate and equitable assignments are made.
80. Give advice, direction, demonstration, and instruction to staff on methods of performing various project tasks.
81. Project training needs of staff.
82. Recommend performance awards for employees.
83. Cooperate and share information with others within the immediate job team to strengthen and maintain effective working relationships.
84. Encourage staff members' contributions and high quality performance through direct assistance, words of encouragement, and praise.

85. Demonstrate knowledge of and support for equal opportunity and civil rights responsibilities and procedures, including complaints process.

86. Work to resolve disagreements and interpersonal difficulties.

Dimension 6: Organization Management

87. Coordinate personnel assignments to ensure maximum resource usage.
88. Assign staff to specific jobs considering optimal individual and organizational goals.
89. Review staff assignments to make sure they are appropriate and equitable.
90. Manage the secretarial/clerical support function.
91. Coordinate support services and mediate conflicting claims on support services.
92. Monitor, review, and approve time and attendance.
93. Review and approve travel vouchers.
94. Process routine administrative and personnel forms and reports.
95. Ensure that physical requirements of staff on jobs are met, e.g., space and supplies.
96. Act as liaison to agency or other housing authority for office/site.
97. Manage special projects/task forces investigating the need to change policy or procedures in division/office.
98. Advise superiors on policy matters affecting GAO, division, region, or office.
99. Represent superior on committees or at meetings where policy decisions are discussed.
100. Implement projects to bring about policy change or processes to follow-up policy changes.
101. Substitute as acting manager/director.
102. Chair periodic meetings to explain/discuss changes in GAO policies, goals, and practices.

103. Evaluate Firm Assignment List (FAL) to identify staffing needs for a specific assignment.
104. Ensure that assignment FALS are properly researched and drafted.
105. Monitor J-1 or J-2 Reports.
106. Monitor congressional request tracking system.
107. Ensure that employees know GAO policies and standards.
108. Review suggestions submitted by subordinates for usefulness in improving management operations.
109. Provide overall direction to unit recruiting programs.
110. Serve as a "Management Nominating Official" in GAO's National Recruiting Program.
111. Participate in interviewing and selecting of new staff.
112. Develop internal and external training budgets that are consistent with Training Institute guidance and unit needs.
113. Monitor training to ensure that approved training schedules are followed to the maximum extent practicable.
114. Identify and help resolve GAO-wide human resource management issues.
115. Manage unit training program.
116. Develop quality control procedures to ensure that work products meet applicable standards.

GAO Form 175, Appraisal Form for Band III Employees

United States General Accounting Office

GAO

Performance Appraisal for Band III Employees

Name of Employee	Position Title	Division/Region/Office
Appraisal Period From To	Date Expectations Set	Date(s) of Progress Review

Part I - Description of Work/Duties/Responsibilities: Summarize overall assignment objectives, ratee's role, any unusual job characteristics, any collateral duties and responsibilities, and any other information to place individual's performance in the proper context.

Part II - Major Results/Accomplishments Achieved: Briefly describe the major or primary results and/or accomplishments achieved during the period, and explain why they are important and/or what impact they have had.

**Appendix VI
GAO Form 175, Appraisal Form for Band
III Employees**

Part III - Assessment of Dimensions: Review the Band III Performance Appraisal Manual prior to completing the assessment on the dimensions and to prepare for employee counseling. Place a check in the box which best describes the ratee's performance for each dimension.

Dimension	No Basis for Evaluation	Unacceptable	Borderline	Fully Successful	Superior	Exceptional
Planning						
Project Implementation						
Communications						
Interunit & External Relations						
Performance Management/ Working Relationships						
Organization Management						
Other (specify)						

Provide narrative basis for dimensions rated. (One additional page may be added for narrative which exceeds the space in part III)

Part IV - Signatures

Name (typed)	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)

Yes (see attached) No

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General Accounting Office
Washington, D.C. 20548**

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