

GAO

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**Band I, II, and III,
Task Guide**

Band I, II, and III Task Guide

Use of the Guide

Performance management is the process of discussing, monitoring, and developing employee performance throughout the year. This guide is an optional tool for supervisors of banded employees. The band role definitions and tasks may help to identify tasks that are typical of different band levels, to assist in feedback and coaching, to use as a memory jogger about possible accomplishments when preparing a rating, or to assist employees in career planning. Use of this guide is not required. It may, however, be particularly useful when setting expectations for introductory assignments for Band I (Developmental Level) staff to help them develop a better understanding of the many discrete tasks that constitute their work.

The guide neither contains every task that could be performed nor must a GAO evaluator or specialist perform all the tasks listed. It is illustrative only. The task list was developed to be progressive by band and level, that is, developmental level tasks precede full performance level tasks, and so on. However, tasks described at a lower level may or may not be completed before higher level tasks are assigned. The guide should not be used to limit assignments or force assignment of tasks to conform to the typical progression contained in the guide.

Organization of the Guide

Band I is divided into Developmental and Full Performance levels. Developmental tasks are typically performed by newer GAO evaluators and evaluator-related specialists. Full Performance tasks range from those of intermediate difficulty to tasks characteristic of fully seasoned staff with some leadership experience. Band II comprises additional leadership tasks. Band III comprises managerial tasks.

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Abbreviations

ADP	automated data processing
DCI	data collection instrument
EO	equal opportunity
FAL	Firm Assignment List
GAO	General Accounting Office
KSA	knowledge, skill, and ability
OIP	Operations Improvement Program
OJT	on-the-job training

Band I and II Role Definitions

Band I Role Definition

Band I is divided into two levels: Developmental and Full Performance.

Developmental Level

Employees are assigned a variety of job experiences to learn the policies and procedures associated with GAO evaluation work. Fact-gathering and documentary assignments lead to more advanced planning, data analysis, writing assignments, and personal contacts, both 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; determining patterns, trends, or irregularities; and drawing conclusions;
- researching and writing job plans, audit guidelines, and tasks;
- interviewing agency officials; and
- writing report segments.

Full Performance Level

Employees are expected to perform the full range of evaluation functions, including ongoing responsibility for a specific component of a project. They may serve in roles requiring some leadership capability and may provide required guidance and instruction to lower level staff. Typical assignments include

- developing job plans, audit guidelines, and tasks;
- taking the lead in data collection efforts or reviewing 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;

Band I and II Role Definitions

- 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 (for example, 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.

Supervision for all staff in this band decreases as the employee obtains experience and knowledge to the point where only broad assignments are made and employees frequently devise their 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**

This band includes those employees carrying out roles in which the leadership/supervision of others is a major component. They are responsible for successfully completing assignments or major segments of assignments. Leadership ability is the paramount characteristic distinguishing this band from Band I. Leadership responsibilities may be focused on a single job or a major segment of a job or might include more than one job, led either directly or through others. Typical duties include

- planning an entire assignment or planning or coordinating several concurrent assignments, including line-of-effort development and determining or allocating resources needed to complete assignments;
- 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 subordinates and consolidating report segments into complete reports or completing large segments of major assignments/projects, and effectively communicating the results to a variety of audiences;
- ensuring that report processing requirements are completed and carried out properly; and
- making assignments, monitoring performance, evaluating performance against expectations and counseling staff, promoting team-building, and providing for staff development.

Staff in this band, in addition to or instead of performing leadership roles on specific assignments, may

- serve as team members on complex or difficult jobs,
- 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.

Band I and II Role Definitions

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 more junior specialists or evaluators in multiphased projects and may serve as consultants to other specialists or generalists.

All staff in the band 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.

Task Examples for Band I and II Dimensions

Dimension 1: Planning

Includes identifying potential areas of review, ascertaining congressional interest, and contributing to issue area plans; 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; keeping informed of administrative policy governing work; and planning own work time.

Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

1. Plan daily activities by prioritizing assignments to ensure work is completed in a timely manner.
2. Keep abreast of administrative policies, procedures, and news through manuals, memoranda, and other organization information to carry out job and administrative functions.
3. Determine sources and availability of information (documents, files, personnel, and so on) required to accomplish detailed audit/project steps.
4. Identify past and current work in subject area to avoid conflict and duplication on a specific assignment.
5. Identify constraints that will impact on the scope or methodology of the audit/project.
6. Using applicable GAO and federal policies, procedures and forms, fulfill requirements to initiate audit/project work in agencies (for example, make contacts, obtain clearance, and prepare job notification documents).

**Task Examples for Band I and
II Dimensions**

7. Prepare travel estimates to plan travel needs and costs for the audit/project.

8. Develop task analysis/assignment plan or segment thereof needed for an audit/project.

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following tasks may be performed by Full Performance Level staff in Band I:

9. Determine the appropriate evaluation methodology for a project or segment thereof considering timeliness, cost factors, and other requirements.

10. Identify potential areas of review or evaluation to help assure coverage in a major issue area.

11. Estimate amount, location, and time frames of work to be performed and resources needed to perform an assignment or a segment of an assignment.

12. Plan meetings and trips by developing agendas, itineraries, and time frames to ensure efficient accomplishment of objectives.

13. Identify the need for technical assistance (legal, ADP, consultative, and so on).

14. Propose alternative audit/project approaches to accomplish the audit/project steps.

15. Review assignment plans or segments thereof to determine how to meet individual audit/project objectives.

16. Design or select a sampling plan or methodology to meet the objectives of the audit/project or a segment thereof.

17. Construct alternative research approaches to meet audit/project objectives using professional literature and standards.

**Task Examples for Band I and
II Dimensions**

18. Determine the potential impact of findings, considering viability, probability of effecting a change, and likelihood of acceptance.

19. Coordinate project with similar projects in other areas of GAO to avoid conflict and duplication.

20. Provide input to go/no-go decision on audit/project to determine whether project should continue.

Band II

In addition to performing developmental and full performance tasks, the following tasks may be performed by Band II staff:

21. Meet with congressional committee staff to discuss priority interest areas to aid in planning assignments.

22. Accept, reject, or modify project proposals submitted by subordinates.

23. Develop segments of issue area plan or annual work plans to provide overall guidance and direction for long-range work using input from regions and divisions.

24. Evaluate assignment requests to identify staff needs for a specific assignment.

25. Identify the format and type of communication appropriate to the customer.

**Dimension 2: Data
Gathering and
Documentation**

Acquiring and documenting relevant data to develop supportable conclusions and recommendations or otherwise fulfill project objectives, including researching and identifying data sources and data collections strategies, identifying missing data, and ensuring that data is current and accurate. Following GAO policies and procedures when preparing all forms of project or administrative documentation.

Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

26. Search literature to establish a base of information (technical, historical, legislative, legal, and so on) on the audit/project.

27. Contact appropriate personnel to follow up on previously gathered information or previously issued reports.

28. Apply the specific methodology and select the data sources required to satisfy the scope and objectives of the audit/project.

29. Request and examine data sources (agency records, statistical information, contracts, grants, charts, printouts, and so on).

30. Observe and document agency procedures, practices, and results.

31. Interview knowledgeable personnel to gather facts, opinions, and leads related to the audit/project objectives.

32. Extract data from computer files to produce documentation required for audit/project.

33. Write up interview data to document evidence using GAO standards.

**Task Examples for Band I and
II Dimensions**

34. Prepare workpapers to document work performed and to provide the basis for the written report.
35. Screen data and document efforts to ascertain reliability and usefulness.
36. Review all data collected to determine what specific documents are needed in workpapers.
37. Assemble and index workpapers and prepare *table of contents to organize work performed*.
38. Index draft products to workpapers to facilitate referencing.
39. Organize documentation (for example, scheduling, coding data, and flow charting) to facilitate analysis and review by the supervisor.
40. Document computer programs that have been written for accessing and analyzing data.
41. Participate in or pretest data collection instruments or methods to refine data gathering techniques.
42. Administer questionnaires to gather data to satisfy audit/project objectives. (Questionnaires dealing with particularly sensitive subjects may be administered by higher level staff.)
43. Using applicable GAO and federal policies, procedures, and forms, fill out and process administrative forms (T&As, travel vouchers, F-66, and so on).
44. Using applicable GAO and federal policies, procedures and forms, mark and file classified or sensitive material.

**Task Examples for Band I and
II Dimensions**

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following tasks may be performed by Full Performance Level staff in Band I:

45. Using applicable GAO procedures and forms, prepare and process job progress documents (J-1s, and so on).

46. Using applicable GAO policies, procedures and forms, prepare and track report processing documents (Forms 115, 116, and 117) through required GAO and external reviews (editing, Offices of Information and Policy, General Counsel, and so on).

47. Design data collection instruments to collect data required for audit/project.

Band II

The tasks for Band I for this dimension apply to many work situations in Band II with added emphasis on reviewing these tasks when they are performed by others. This involves, in many instances, a broad range of technical skill exhibited by Band II staff. An additional task may be performed by Band II staff:

48. Through consultation, obtain internal/external assistance to ensure legal and technical soundness required to meet assignment objectives.

**Dimension 3: Data
Analysis**

Organizing, tabulating, contrasting, and combining data or information to produce findings, conclusions, and recommendations; 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.

Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

49. Assess type and amount of analysis necessary to develop findings or resolve an issue.
50. Test data to verify that they are current, accurate, and sufficient.
51. Identify weaknesses, problems, or irregularities in the data or analysis.
52. Select and use professionally accepted analytical techniques (literature synthesis, content analysis, statistics, econometrics, operations research, modeling, accounting, and so on) to meet objectives of the audit/project.
53. Analyze data using computerized data bases and software packages.
54. Assess whether the evidence is sufficient to meet the objectives of the assignment plan.
55. Identify follow-up areas not anticipated in the task analysis/assignment plan.
56. Compare and contrast data from related situations to test and interpret the data and to draw conclusions.

**Task Examples for Band I and
II Dimensions**

57. Determine the possible causes of agency problems to guide conclusions and recommendations.

58. Organize data into major areas of interest to provide structure for writing and reviewing the report.

59. Select techniques and design formats that provide effective displays of data.

60. Draw conclusions and form recommendations from the results of analyses.

61. Examine data and results of analysis to determine the soundness of conclusions or hypotheses.

62. Discuss and respond to referencing comments.

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following tasks may be performed by Full Performance Level staff in Band I:

63. Identify controversial or sensitive issues that can affect the outcome of the audit/project.

64. Verify the adequacy of specialized methodology and data interpretations with technical advisors (legal, automated data processing (ADP), consultants, and so on).

65. Determine if findings and conclusions contained in report/product are adequately supported.

66. Determine completeness and technical accuracy of report or major product.

67. Evaluate agency comments to ensure adequacy of findings, conclusions, and recommendations.

**Task Examples for Band I and
II Dimensions**

68. Reference reports and briefing materials to provide a third-party evaluation of accuracy and adequacy of support.

Band II

The tasks for Band I for this dimension apply to many work situations in Band II with added emphasis on reviewing these tasks when they are performed by others. This involves, in many instances, a broad range of technical skill exhibited by Band II staff.

**Dimension 4:
Written
Communication**

Preparing and reviewing a variety of written products, 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.

Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

69. Write up interviews and workpapers using interview notes and research materials.

70. Prepare written material, such as

70a. Workpaper summaries.

70b. Data collection instruments (DCIs).

70c. Report segments, chapters, or technical appendixes.

70d. Briefing materials.

70e. Professional articles.

70f. Audit/project documents (Form 100s, assignment notification letters, letters to agencies requesting comments on reports or information, and transmittal letters).

70g. Other internal communication (trip reports, congressional contact memos, and accomplishment reports).

**Task Examples for Band I and
II Dimensions**

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following tasks may be performed by Full Performance Level staff in Band I:

70h. Regional office or site summary reports.

70i. Audit/project documents (assignment plans, decision papers, and report outlines).

70j. Other internal communication (press contact memorandums and performance appraisals).

70k. Executive summaries of reports.

70l. Planning documents (issue area plans, proposals for long-range work plan, annual work plans, and so on).

70m. Other external correspondence (letters responding to inquiries from agency officials, private or public organizations, and so on).

70n. Discussion papers and questions for congressional use.

70o. Bill comments or testimony for congressional hearings/committee staff.

Band II

In addition to performing developmental and full performance tasks, the following additional task may be performed by Band II staff:

70p. Complete report.

**Task Examples for Band I and
II Dimensions**

**Full Performance
Level and Band II**

The following additional task is characteristic of both Full Performance Level staff and Band II staff:

71. Review, in a nonsupervisory role, written products of staff or consultants for factors, such as completeness, adherence to policy and procedures, quality, relevance, sound principles and standards, and usefulness to intended users.

**Dimension 5: Oral
Communication**

Includes communicating upward and downward 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.

Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

72. Talk to supervisor to obtain understanding of audit/project objectives, methods, progress, problems, and expected products.

73. Discuss and answer questions on audit/project related information with groups of GAO personnel (Design Team, kick-off, midpoint, and story conferences) to refine objectives, scope, and methodology.

74. Brief GAO personnel to inform them of results of the audit/project.

75. Contact appropriate personnel to set up interviews and on-site visits.

76. Interview knowledgeable personnel to obtain facts, opinions, and leads related to the audit/project objectives and to follow up on previously gathered information or previously issued reports.

77. Respond to extemporaneous questions raised by agencies about the audit/project.

78. Communicate complex technical information in language that can be easily understood by people not versed in the technical area.

79. Brief agency personnel to inform them of results of the audit/project.

**Task Examples for Band I and
II Dimensions**

80. Prepare for and attend meetings with congressional staffs to brief them on the status of the audit/project within specific areas of responsibility.

81. Make presentations about GAO to schools and academic organizations to assist with recruitment activities.

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following tasks may be performed by Full Performance Level staff in Band I:

82. Conduct entrance conference with agency personnel to inform them of the purpose of the audit/project.

83. Talk to subordinates to provide understanding of the audit/project objectives, methods, progress, and expected products.

84. Participate in meetings with division management, Report Review, Office of Program Planning, Office of General Counsel, and so on to discuss audit approach intended results and expected contributions of the audit/project.

85. Participate in preparing or presenting testimony before legislative bodies.

Band II

In addition to performing developmental and full performance tasks, the following tasks may be performed by Band II staff:

86. Prepare and deliver formal presentations to GAO staff (for example, training, task forces).

87. Chair periodic meetings to explain/discuss changes in GAO policies, goals, and practices.

**Task Examples for Band I and
II Dimensions**

96. Accept additional responsibilities when necessary to accomplish team objectives.

97. Listen to differing viewpoints presented by other team members concerning audit/report issues to identify alternate ways to accomplish team objectives.

98. Identify potential EO problems and bring them to management's attention to prevent or eliminate adverse situations.

99. Build constructive working relations with all team members with sensitivity to the perceptions of others with diverse backgrounds to foster an equal opportunity environment.

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following task may be performed by Full Performance Level staff in Band I:

100. Establish and maintain motivating, rewarding, and encouraging relationships with subordinates to accomplish assignment objectives and further GAO's goals.

Band II

In addition to performing developmental and full performance tasks, the following tasks may be performed by Band II staff:

101. Maintain good relations with congressional staffs and committees before during, and upon completion of specific project assignments to exchange information.

102. Maintain open communication channels with congressional, professional, academic, and other groups to exchange information.

103. Establish and maintain an effective team by setting team goals and developing team-building

**Dimension 6:
Working
Relationships,
Teamwork, and
Equal
Opportunity (EO)**

Establishing and maintaining effective and constructive working relationships with people both inside and outside GAO. Promoting teamwork with other GAO staff, including people at all levels and in all components of GAO. Ensuring that principles of equal opportunity are properly observed. (Discrimination on the basis of race, sex, religion, color, national origin, age, marital status, political affiliation, or physical handicap is prohibited.)

Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

89. Establish and maintain an open, cooperative, supporting relationship with others in GAO to accomplish assignment objectives and further GAO's goals.

90. Establish and maintain professional and cooperative relationships with parties outside GAO to accomplish assignment objectives and further GAO's goals.

91. Share job-related information and technical expertise with audit team/issue area staff to enhance quality, timeliness, and scope of work.

92. Accept responsibility for assigned work and share rewards, accolades, and so on with all team members.

93. Provide guidance to administrative and support personnel to accomplish audit/job objectives.

94. Support team efforts by demonstrating and maintaining positive behavior toward all roles and tasks assigned.

95. Support the work of the team or unit and work to enhance its image.

**Task Examples for Band I and
II Dimensions**

88. Represent GAO for areas under direct supervision or in area of expertise, including public and private organizations and the press.

**Task Examples for Band I and
II Dimensions**

skills among members; acknowledging, supporting, and encouraging member efforts and contributions; and sharing responsibility and results with team members.

104. Provide equal access to developmental opportunities and work assignments.

105. Seek diversity among team members to get a representation of all views and to foster equal opportunity.

**Dimension 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; evaluating staff performance against expectations and appraising performance; and promoting staff development.

**Full Performance
Level**

The following tasks may be performed by Full Performance Level staff when assigned:

106. Establish and communicate performance goals and standards to subordinates to clarify expectations.

107. Delegate tasks and hold people accountable for effective and timely completion of work assignments.

108. Coordinate efforts of staff to assure required tasks are accomplished.

109. Give advice, direction, demonstration, and instruction to staff on methods of performing various audit/project tasks.

110. Monitor progress of project and make needed changes.

111. Review staff work to assess accuracy, compliance with objectives, and sufficiency of supporting documentation.

112. Measure and evaluate staff performance against performance expectations and performance standards, provide feedback, and prepare performance appraisals.

113. Counsel staff members on their job performance, career development, and training needs.

**Task Examples for Band I and
II Dimensions**

114. Reward (formally or informally) staff members to further encourage contributions and high-quality performance.

115. Ensure that employees adhere to GAO policies and standards.

116. Work to resolve disagreements and interpersonal difficulties among staff.

117. Assure fairness to all employees in assigning work, providing on-the-job training (OJT), and other developmental opportunities.

118. Encourage participation in GAO training programs.

119. Control staff time and attendance schedule to facilitate job progress.

120. Identify and address personal problems that affect job performance.

121. Assign tasks to staff that enhance job-related skills and meet developmental needs (OJT).

Band II

In addition to performing the tasks described above, the following tasks may be performed by Band II staff:

122. Assure that assigned staff are fully used to the best of their skill and grade level.

123. Project training needs of staff.

124. Participate in management review groups for pay and promotion certification decisions.

Band III Role Definition

Band III Role Definition

Staff in this band are able to serve as the responsible officials for a specific area of work or 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 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 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 expectations 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 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

Band III Role Definition

specialized fields; are considered agency authorities/experts in a field with findings, interpretations, analyses, and judgments authoritative in GAO 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.

All staff 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.

Task Examples for Band III Dimensions

Dimension 1: Planning

Overseeing or conducting project planning; initiating, reviewing, or providing technical input for assessing project proposals' scope, relevance, and technical adequacy according to GAO policy and program plans; 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. 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.

The following planning tasks may be performed by Band III staff:

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 impact on the scope or methodology of a project.
6. Identify the need for technical assistance (legal, ADP, consultative, and so on) 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.

**Task Examples for Band
III Dimensions**

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 work load, 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**

Ensuring projects' adherence to GAO policy, 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; 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, Operations Improvement Program (OIP) projects, annual needs determinations, the unit's merit selection process, quality assurance, resource allocation, and recruiting.

The following project implementation tasks may be performed by Band III staff:

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 or problems on projects underway.
25. Review drafts to maintain compliance with standards.
26. Review project methodologies for adequacy.

**Task Examples for Band
III Dimensions**

27. Discuss project with other GAO personnel (Design Team, cognizant division and regional staff, and so on) to refine objectives, scope, and methodology.
28. Determine type and amount of analysis necessary to develop findings 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 or apply professionally accepted analytical techniques (statistical, economic, operations research, modeling, accounting, and so on) 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 Plan.
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**

Communicating orally and in writing; reviewing products and supporting evidence to ensure quality, completeness, technical soundness of findings, 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; 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 bodies, 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.

The following communications tasks may be performed by Band III staff:

40. Write or revise executive summaries, segments, chapters, or technical appendixes.
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 requests/inquiries from colleges and universities and other external sources.
47. Write or revise staff studies and reports, including issue area plans, needs assessments, and so on.

**Task Examples for Band
III Dimensions**

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 (training, task force results, and so on).
57. Provide oral comments on drafts and final products.

**Dimension 4:
Interunit and
External Relations**

Interacting with staff in other GAO headquarters, field, staff, and support units to establish and maintain constructive relationships with these staff; conducting multiunit projects without dissension or delays; displaying a wide range of interpersonal skills or developing new approaches to successfully complete work; acting as an official liaison and representative for GAO in relations with congressional bodies and pertinent external groups, including other agencies; establishing and maintaining contacts with applicable congressional bodies throughout the program/project cycle; 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.

The following interunit and external relations tasks may be performed by Band III staff:

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

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

**Task Examples for Band
III Dimensions**

64. Attend meetings with professional associates to facilitate idea and information exchange.
65. Maintain contact with congressional, professional, academic, 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**

Supervising employees, discussing expectations, preparing performance 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 under your supervision fairly in work assignment, career development, and advancement opportunities; monitoring assignments to ensure effective use of staff and that unit-level affirmative action job assignment goals are met; providing on-the-job training to the supervisors reporting to you (and others when appropriate) and helping employees obtain training and career counseling; recommending people for awards and taking corrective actions; establishing and maintaining constructive working relationships with other staff in unit, including support and technical staff; advising, directing, and instructing staff on project task methods; promoting teamwork, cooperation, and respect.

The following performance management and/or working relationships tasks may be performed by Band III staff:

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.

**Task Examples for Band
III Dimensions**

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 on 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**

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 audit sites, 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.

The following organization management tasks may be performed by Band III staff:

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.

**Task Examples for Band
III Dimensions**

94. Process routine administrative and personnel forms and reports.
95. Ensure that physical requirements of staff, such as space and supplies are met.
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 or 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 or director.
102. Chair periodic meetings to explain or 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.

**Task Examples for Band
III Dimensions**

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 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.

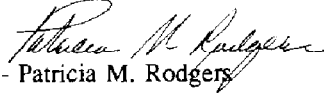
116. Develop quality control procedures to ensure that work products meet applicable standards.

Memorandum

Date: September 29, 1995

To: Evaluator Employees and Rating Officials

From: Director of Personnel - Patricia M. Rodgers



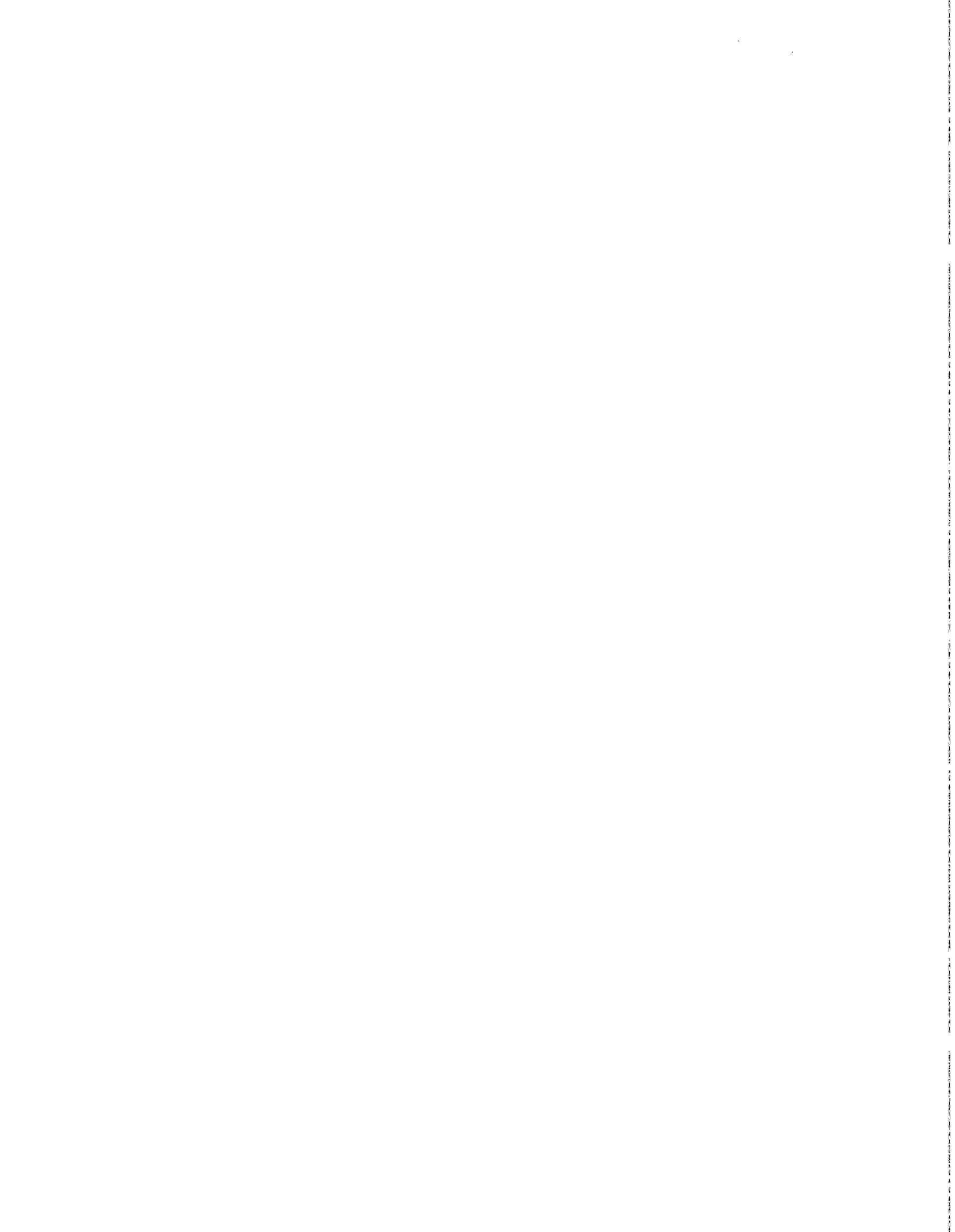
Subject: Revised Task Guide for Teamwork

Attached are addenda pages to the Band I, II, and III Task Guide (June 1991) for teamwork. Although the task guide is an optional tool, many staff find it useful for expectation setting and career planning.

The changes to the task guide supplement the new performance standards for Band I, II, and III employees emphasizing teamwork which were recently issued by ACG/OPS.

Copies of the Band I, II, and III Task Guide may be ordered from GAO Report Distribution, GAO Building, Room 1100. Ask for Special Publication No. SP-092.

Attachment



**Task Examples for Band I and
II Dimensions**

**Dimension 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. Teamwork 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 people both inside and outside GAO.

- * Ensuring that principles of equal opportunity are
- * properly observed. (Discrimination on the basis
- * of race, sex, religion, color, national origin, age,
- * disability, marital status, or political affiliation
- * is prohibited.)

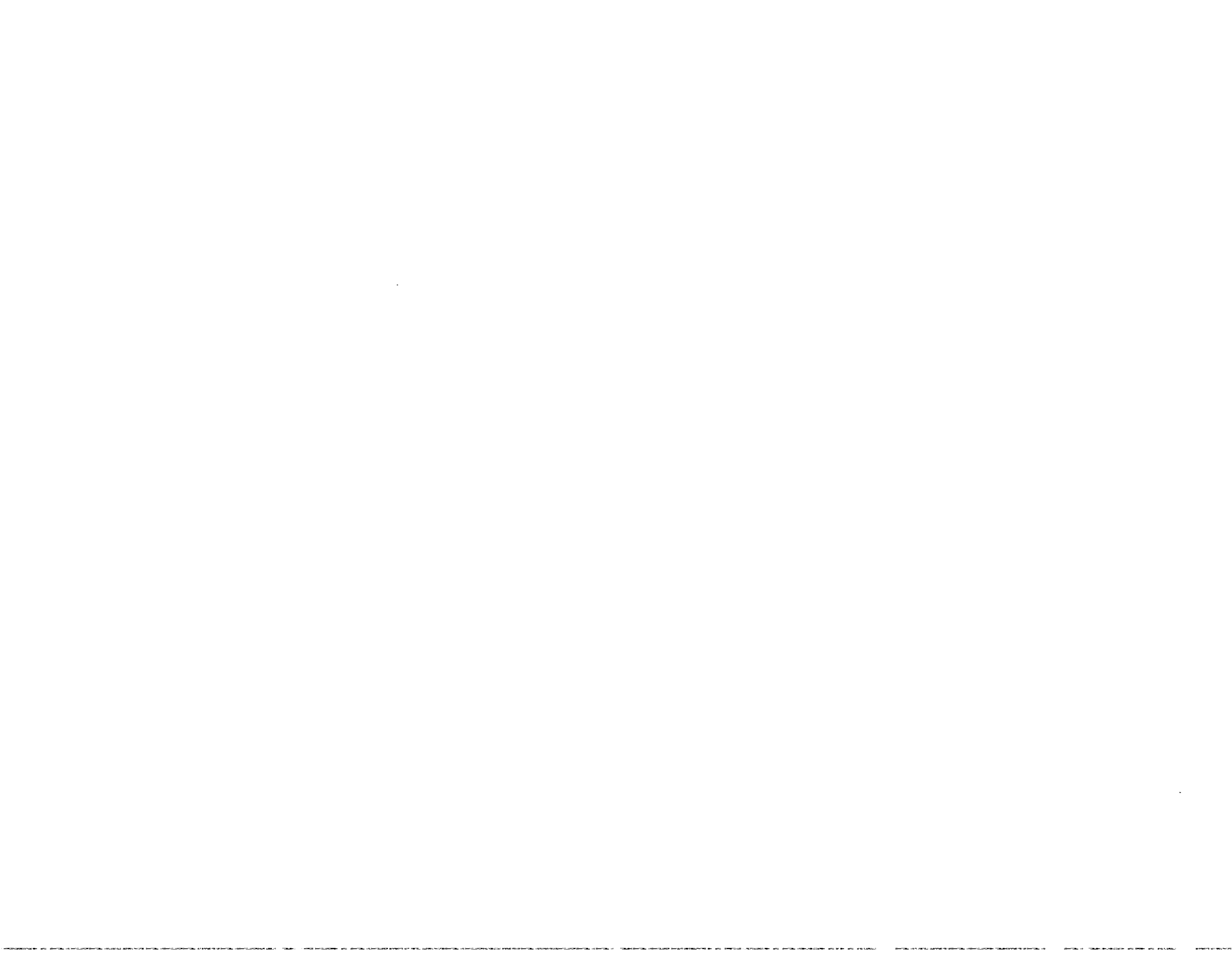
Developmental Level

The following tasks may be performed by Developmental Level staff in Band I:

89. Establish and maintain an open, cooperative, supporting relationship with others in GAO to accomplish assignment objectives and further GAO's goals.

90. Establish and maintain professional and cooperative relationships with parties outside GAO to accomplish assignment objectives and further GAO's goals.

- * 91. Share job-related information and technical
- * expertise with team/others to enhance quality,
- * timeliness, and scope of work.



**Task Examples for Band I and
II Dimensions**

92. Accept responsibility for assigned work and share rewards, accolades, and so on with team members.

* 93. Provide leadership, support and inclusion in
* teams and teamwork to administrative and support
* personnel to accomplish audit/job objectives.

94. Support team efforts by demonstrating and maintaining positive behavior toward all roles and tasks assigned.

95. Support the work of the team or unit and work to enhance its image.

* 96. Perform assigned work/responsibilities to
* accomplish team objectives.

97. Listen to differing viewpoints presented by other team members concerning audit/report issues to identify alternate ways to accomplish team objectives.

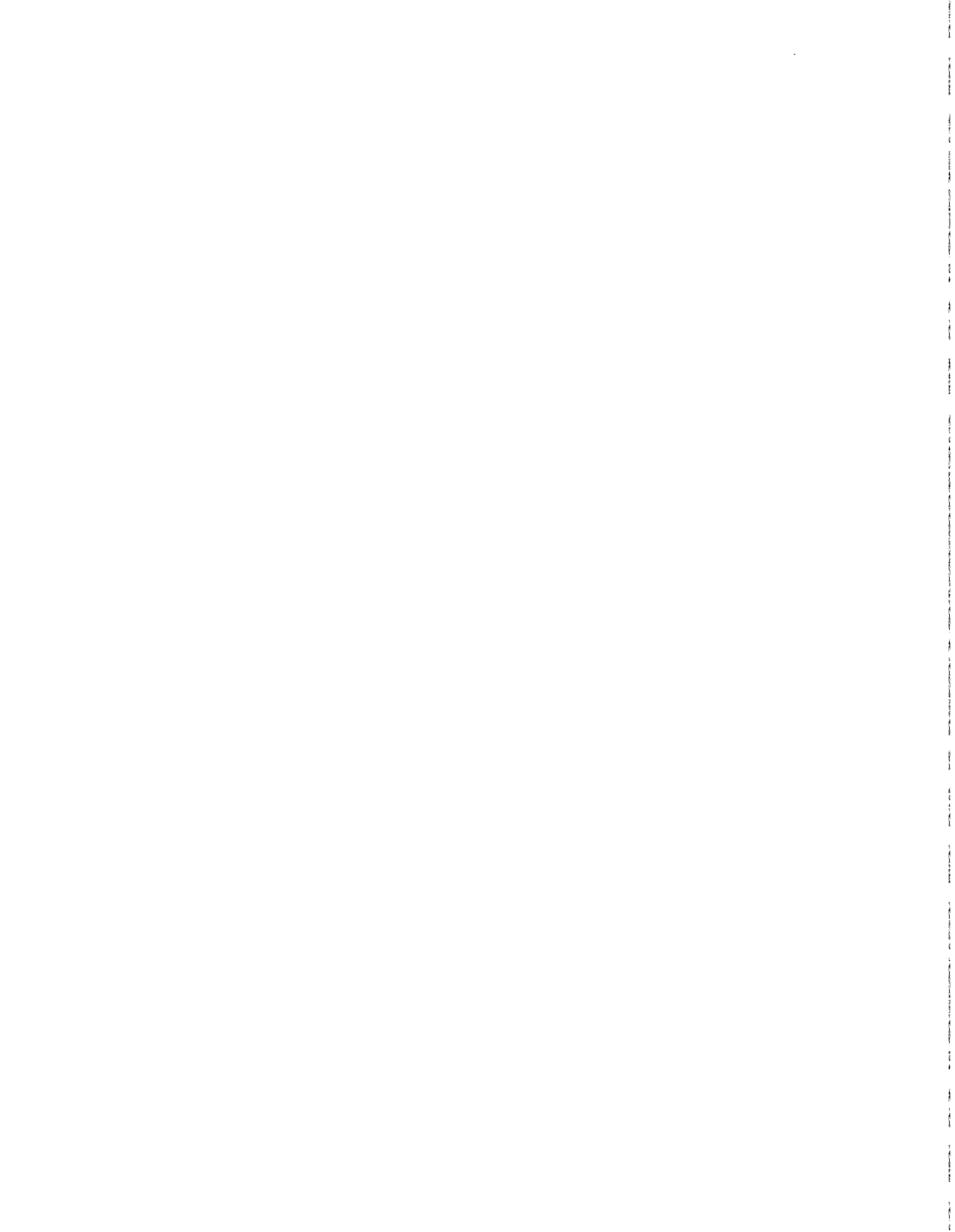
98. Identify potential EO problems and bring them to management's attention to prevent or eliminate adverse situations.

99. Build constructive working relations with all team members with sensitivity to the perceptions of others with diverse backgrounds to foster an equal opportunity environment.

**Full Performance
Level**

In addition to performing tasks described above as developmental, the following task may be performed by Full Performance Level staff in Band I:

* 100. Support motivating, rewarding, and
* encouraging relationships with team members and
* others to accomplish assignment objectives
* and further GAO's goals.



**Task Examples for Band I and
II Dimensions**

Band II

In addition to performing developmental and full performance tasks, the following tasks may be performed by Band II staff:

- * 101. Contribute to and support good relations
 - * with congressional staffs and committees
 - * before during, and upon completion of specific
 - * project assignments to exchange information.

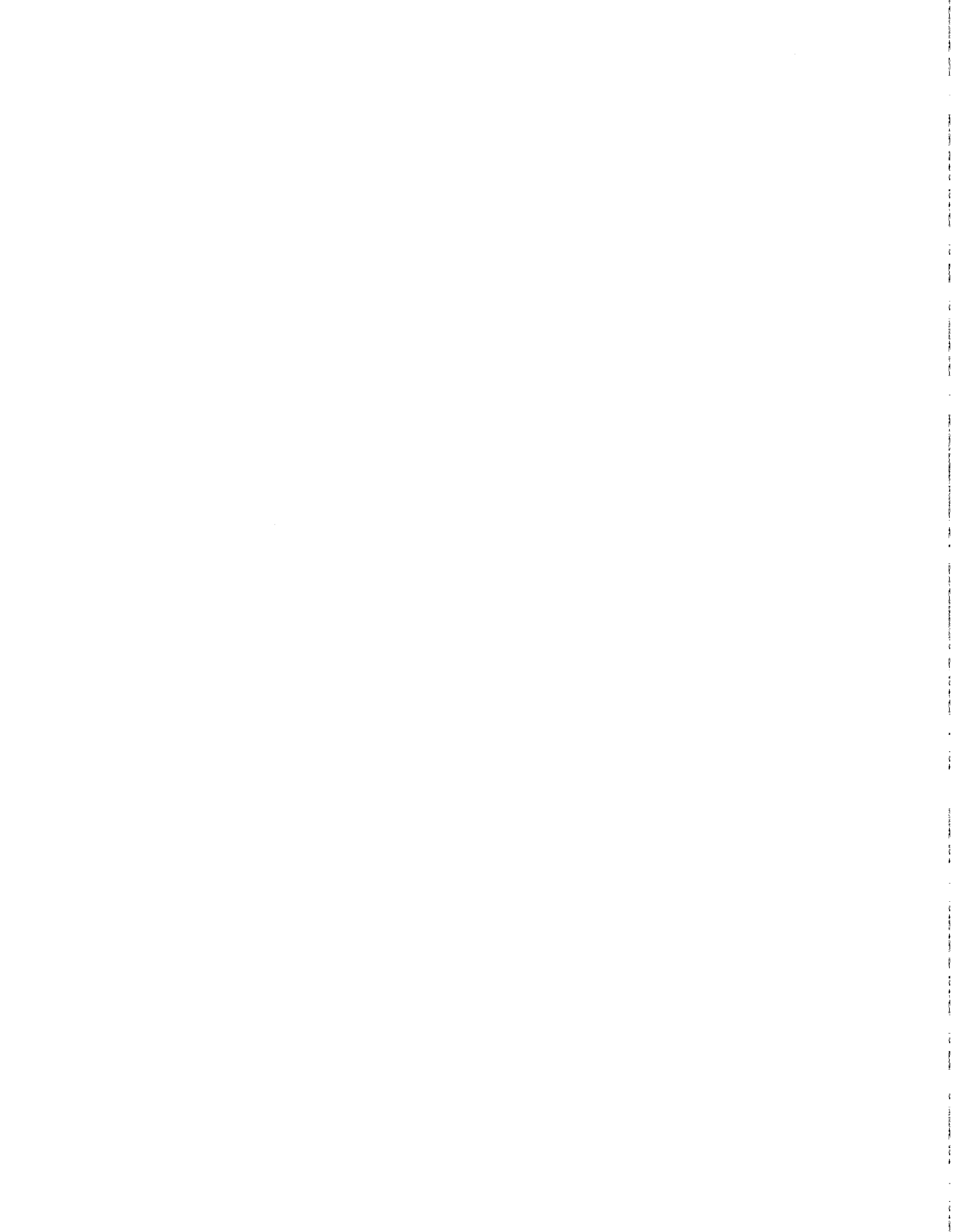
- * 102. Contribute to and support open and candid communication channels with congressional, agency officials, professional, academic, and other groups to exchange information.

- * 103. Help establish and maintain an effective team
 - * by setting clear team goals; developing
 - * team-building skills among members;
 - * acknowledging, supporting, and encouraging
 - * member efforts and contributions; and sharing
 - * responsibility and results with team members.

- * 104. Contribute to and support equal access to developmental opportunities and work assignments.

- * 105. Promote and support diversity, representation of all views and equal opportunity in teams and teamwork.

- * (New) Use strategies for team approaches to problem solving and decisionmaking.



**Dimension 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.

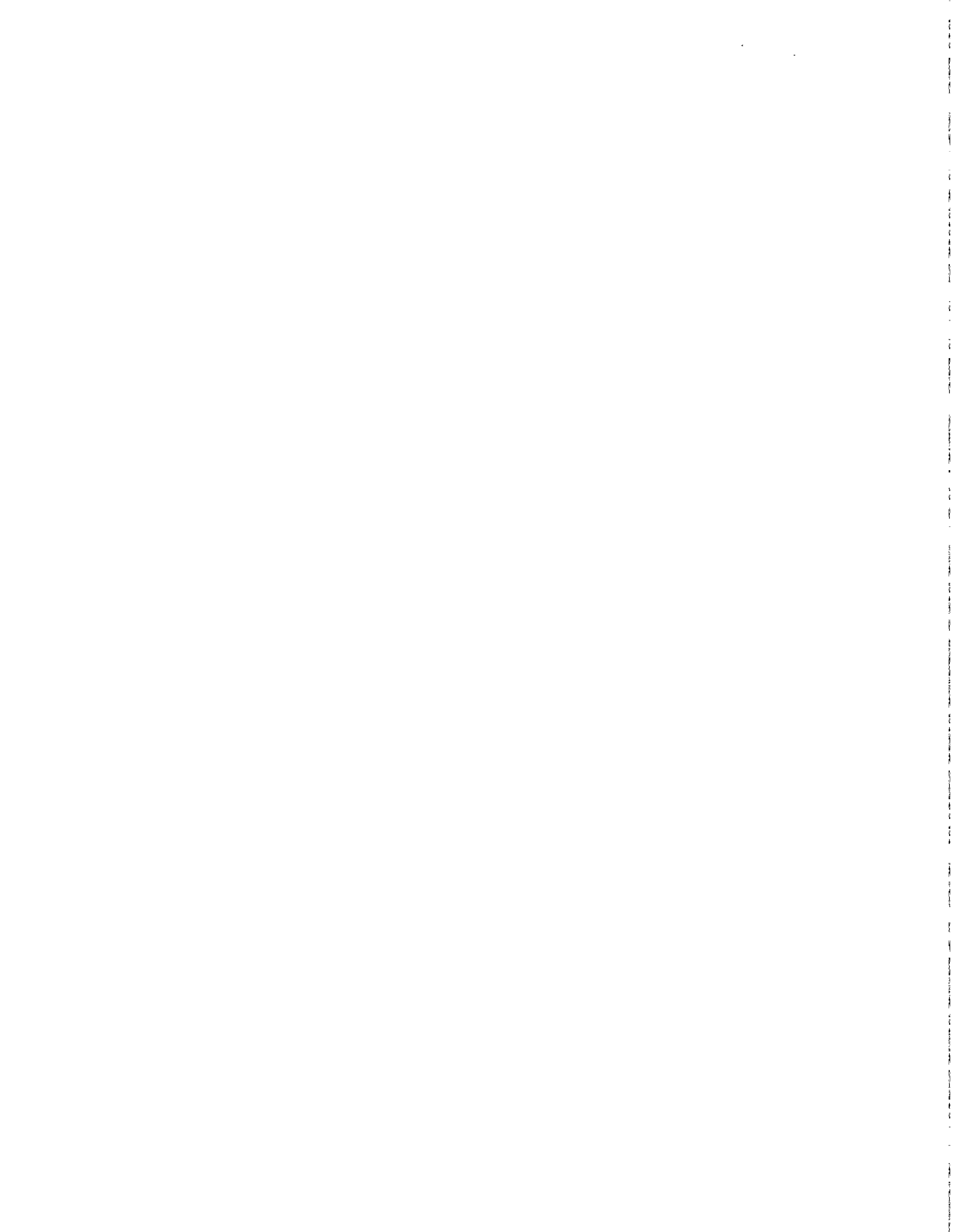
Taking a leadership role in establishing and maintaining effective and constructive working relationships with people both inside and outside GAO. Establishing constructive working relationships with all staff in unit, including support and technical staff; promoting cooperation, and respect.

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.

The following teamwork, working relationships, and performance management tasks may be performed by Band III staff:

- * (New) Maintain a current awareness of and support
- * for GAO's mission, vision, and guiding principles
- * and the necessary strategies and tasks for
- * accomplishing them.

- * (New) Exhibits support for teamwork, open and
- * candid communication, sharing skills and resources
- * to accomplish objectives, and meeting
- * commitments to customers and others.



**Task Examples for Band
III Dimensions**

* (New) Identify and overcome obstacles to teamwork
* when accomplishing GAO mission, goals and
* project objectives.

* (New) Promote staff participation in
* decisionmaking.

* 71. Foster two-way communication when
* communicating performance expectations, goals,
* and standards and clarifying expectations.

* 72. Evaluate individual and team 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.

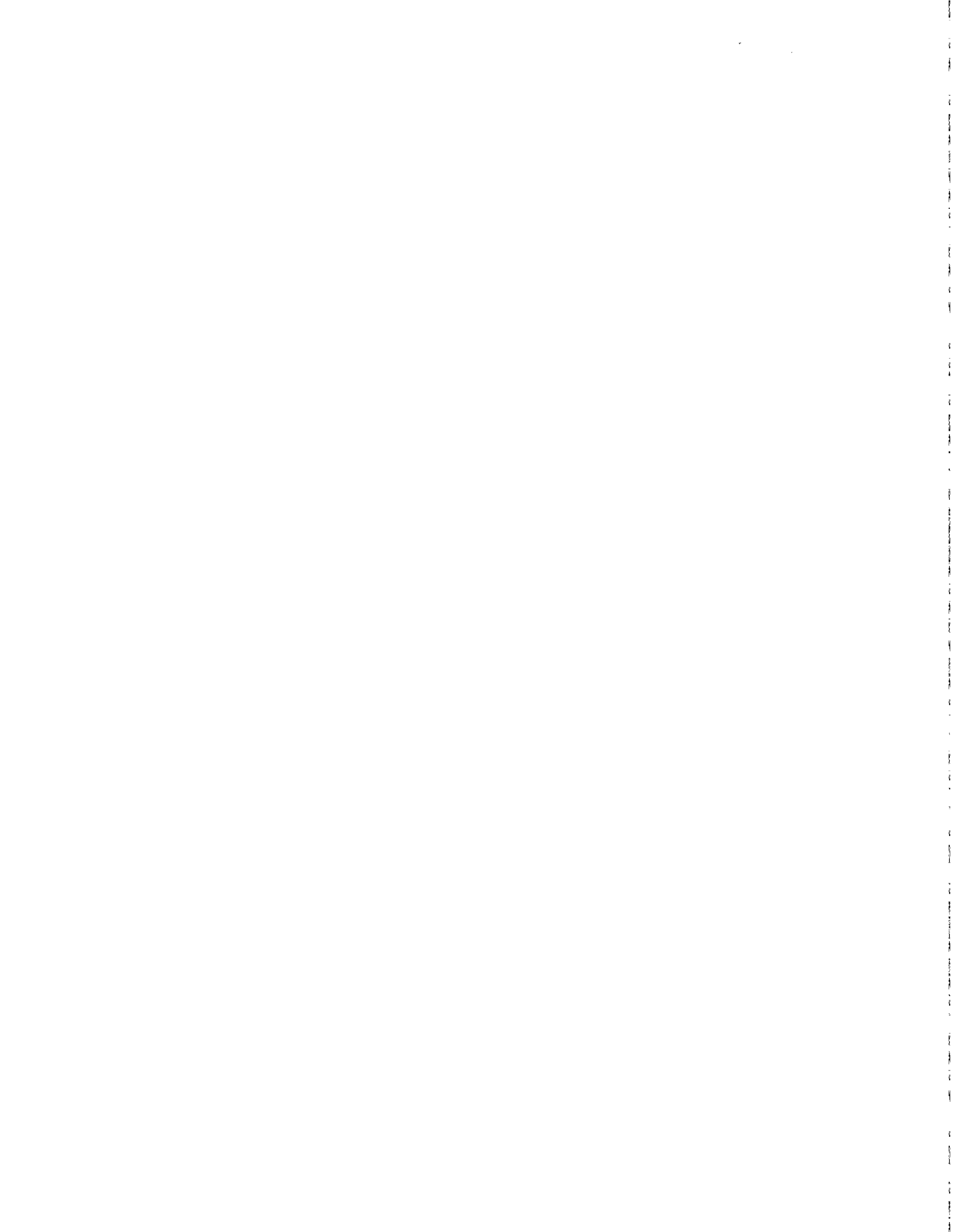
75. Discuss performance ratings with each employee
under direct supervision.

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
* teamwork, working relationships, and performance.

78. Ensure fairness to all employees in assigned work,
on-the-job-training, career development,
advancement, and promotion.

* 79. Ensure appropriate and equitable assignments
* are made to staff and team members.



**Task Examples for Band
III Dimensions**

80. Give advice, direction, demonstration, and instruction to staff on methods of performing various project tasks.

* 81. Work with staff to determine their training
* needs.

* 82. Recommend and/or give performance awards for
* employees.

* 83. Cooperate and share information with others
* 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.

