

# GAO's HUMAN CAPITAL STRATEGIC PLAN 2013-2015

United States Government Accountability Office

GAO-13-300SP

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July 10, 2013

### **Letter from the Comptroller General**

GAO depends on a talented, diverse, high-performing, knowledge-based workforce to carry out its mission in support of the Congress. Accordingly, the agency needs well formulated plans to meet its human capital challenges. For example, with more than one-third of its current executive corps eligible to retire, GAO will need to continue to focus attention on staff development and succession planning. In order to help retain its talented and diverse staff, GAO will also need to continue implementing workplace practices that meet the needs of an ever-changing workforce in a fair and equitable manner by working with its union partners and employee organizations. Additionally, like other federal agencies, GAO will be challenged to address its human capital needs in the face of a budget constrained environment.

Since publishing its interim human capital strategic plan in September 2009, GAO has taken several important steps to improve its human capital management. For example, GAO has implemented a new performance management system; enhanced its leadership training curriculum; implemented a Human Resource (HR) system that enables the integrated support of virtually all human capital functions and processes; and strengthened programs supporting its goals for a diverse workforce and an inclusive work environment. Also, GAO has worked constructively with the International Federation of Professional and Technical Engineers (IFPTE, Local 1921) to reach agreement on a number of important issues and initiatives such as annual performance based compensation, grievance procedures for bargaining unit employees, and a workspace-sharing and expanded telework initiative in several field offices to enhance flexibility for employees. GAO also has continued to collaborate with its employee organizations.

During the 2010 to 2012 period, key indicators related to GAO's human capital management have been positive. For each of these 3 years, more than 75 percent of GAO's employees have said that, "overall I am satisfied with my job at GAO." In addition, during this time period, GAO

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met or exceeded most of the targets for its seven people measures.<sup>1</sup> In 2011 and 2012 GAO did not fully meet its target for new hires because of delays in receiving appropriations, which affected its ability to complete recruitment activities prior to the end of the fiscal year. However, GAO placed second or third overall in the best places to work in the federal government ranking, and was ranked first in 2011 and 2012 in its support for diversity.<sup>2</sup>

Such progress will need to continue. GAO will be challenged to do more with less and will continually look for efficient and effective ways to fully support its current and evolving talent needs in order to address the increasingly complex, interdisciplinary, and global issues facing the government. GAO will plan strategically and react expeditiously through appropriate use of human capital flexibilities, while achieving results within available resources. This 2013-2015 human capital strategic plan supports GAO's overall 2010-2015 strategic plan<sup>3</sup> and builds on its 2010-2012 interim human capital strategic plan.<sup>4</sup> Specifically, GAO plans to:

- continue developing workforce plans that address critical skill gaps;
- refine recruiting and hiring processes to ensure they are efficient and effective;
- implement performance and compensation systems that are clearly linked to organizational outcomes, fairly recognize and reward performance, and provide meaningful rewards and recognition to help retain its highly skilled workforce;

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<sup>1</sup>The seven people measures are new hire rates, retention rate with retirements, retention rate without retirements, staff development, staff utilization, effective leadership by supervisors, and organizational climate.

<sup>2</sup>The Partnership for Public Service and the Institute for the Study of Public Policy Implementation at American University uses employee survey data to rank agencies and their subcomponents according to a Best Places to Work index score.

<sup>3</sup>GAO, *GAO Strategic Plan: Serving the Congress and the Nation 2010-2015*, [GAO-10-559SP](#) (July 1, 2010) and GAO, *GAO Strategic Plan: 2012 Update to GAO Strategic Plan, 2010-2015*, [GAO-12-478SP](#) (Feb. 29, 2012).

<sup>4</sup>GAO, *Human Capital Interim Strategic Plan: Fiscal Years 2010-2012*, [GAO-10-269SP](#) (Sept. 28, 2009).

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- strengthen its learning and staff development programs in order to help retain top talent and fulfill its knowledge transfer and succession planning needs;
  - build on its diversity and inclusion initiatives and continue to promote a work environment that is fair, unbiased, and inclusive, as well as one that offers opportunities for all employees to realize their full potential;
  - develop and maintain relationships with external and internal groups to help ensure its human capital programs reflect best practices and meet the needs of its employees; and
  - further leverage technology to improve the efficiency of its operations and make the best use of GAO resources.

This plan also establishes shared accountability for achieving GAO's human capital goals. While the Human Capital Office (HCO) is responsible for developing and administering human capital programs, GAO's unit leaders play key roles by supporting program goals, implementing these programs in a fair and equitable manner, and leading by example. By implementing this plan, GAO will improve its human capital management policies, programs, and practices; continue to promote an inclusive and fair work environment; and recruit and retain the talented, diverse, and engaged workforce needed to fulfill its mission. This plan serves as the foundation for continuing to build GAO's reputation as an employer of choice.



Gene L. Dodaro  
Comptroller General of the United States

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## About GAO

GAO's mission is to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people. GAO accomplishes its mission by providing objective and reliable information and informed analysis to the Congress, federal agencies, and the public, and by recommending improvements, when appropriate, on a wide variety of issues. Three core values—accountability, integrity, and reliability—form the basis for all of GAO's work.

As an independent, nonpartisan, professional services agency in the legislative branch of the federal government, GAO is exempt from many laws that apply to executive branch agencies. In addition, GAO has certain human capital tools and flexibilities that allow it to operate an independent, merit-based human capital system that is flexible enough to address agency needs. (See appendix III for an overview of the legislative history related to GAO's human capital provisions.) However, GAO generally holds itself to the spirit of many of laws that apply to executive branch agencies, including the Government Performance and Results Act (GPRA) Modernization Act of 2010 and the merit system principles for the hiring of federal civil servants.<sup>5</sup>

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## GAO's Workforce

GAO has approximately 2,900 staff that work within several audit, evaluation, and investigative teams, as well as in mission support and staff offices. About 28 percent of the staff work in one of GAO's 11 field offices.<sup>6</sup> Many GAO staff hold degrees in various academic disciplines, including accounting, law, information technology, engineering, public administration, and economics, and in 2012 almost 64 percent of the staff held master's degrees and another 10 percent held doctoral degrees. As with many private and public organizations, GAO's workforce has been changing to reflect an increasingly diverse U.S. population and civilian labor force (see table 1).

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<sup>5</sup>U.S.C. 2301.

<sup>6</sup>GAO has field offices in Atlanta, Boston, Chicago, Dallas, Dayton, Denver, Huntsville, Los Angeles, Norfolk, San Francisco and Seattle.

**Table 1: Comparison of Selected GAO Workforce Demographics from 2000 and 2012**

<b>GAO workforce</b>	<b>October 2000: Percentage of staff</b>	<b>October 2012: Percentage of staff</b>	<b>2000–2012: Percentage point change</b>
Male	52.2%	42.5 %	-9.7
Female	47.8	57.5	+9.7
Staff with less than 5 years at GAO	16.1	26.7	+10.6
Staff eligible to retire within 12 months	13.8	17.1	+3.3
Staff with master's degree	44.4	63.9	+19.5
Representation of minorities	28.4	31.8	+3.4
Percentage of staff with disabilities	5.1	3.8	-1.3

Source: GAO.

## GAO's Employee Union and Employee Organizations

GAO's managers work collaboratively with the employee union and employee groups to learn about employees' concerns, and find ways to improve GAO policies, procedures, and practices. For example, in 2011, management worked constructively with the employee union, IFPTE Local 1921, to finalize and implement a master collective bargaining agreement covering GAO analysts, auditors, specialists, investigators, and staff in the Professional Development Program (PDP). In 2012, GAO's Administrative Professional and Support Staff (APSS) and the Written and Visual Communications Analysts also voted in favor of having the IFPTE serve as their exclusive representative. GAO managers also collaborated with several employee organizations that represent various segments of the workforce. These organizations include the Employee Advisory Council (EAC) and the Diversity Advisory Council (DAC). The EAC is composed of headquarters and field administrative, professional, and support staff, as well as assistant directors in analyst and analyst-related positions, and attorneys. The DAC includes representatives of IFPTE Local 1921, and from GAO's employee liaison groups.<sup>7</sup>

<sup>7</sup>The GAO employee groups are the Advisory Council for Persons with Disabilities, the Asian American Liaison Group, Blacks in Government, the Gay and Lesbian Employees Association, the Hispanic Liaison Group, and the Veterans of the Armed Forces Group.



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## GAO's Strategic and Integrated Approach to Human Capital Management

As GAO has previously reported, strategic human capital planning should be the centerpiece of federal agencies' efforts to transform their organizations.<sup>8</sup> It can help agencies meet management challenges and, when integrated with broader organizational strategic planning, can ensure that agencies have the talent they need to meet performance goals. Human capital management is one component in GAO's integrated management process, depicted in figure 1.

This 2013-2015 human capital strategic plan identifies key initiatives that support the GAO strategic plan, and position GAO for the future. Fulfillment of this plan will help GAO improve its human capital management policies, programs, and practices; promote an inclusive and fair work environment; and retain the talented, diverse, and engaged workforce needed to fulfill its mission. GAO's reputation as a professional services employer of choice, with a focus on human capital management, will be strengthened as it implements this plan.

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<sup>8</sup>GAO, *Human Capital: Federal Workforce Challenges in the 21<sup>st</sup> Century*, [GAO-07-556T](#) (March 6, 2007).

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**Figure 1: GAO's Integrated Management Process**



Source: GAO.

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## Recent Human Capital Initiatives

GAO has taken steps in several key areas to improve human capital management. These steps support the agency's goals and help ensure that GAO has the necessary talent to fulfill its mission. Table 2 summarizes some of the key steps taken since the publication of the interim human capital strategic plan in 2009.

**Table 2: Key GAO Human Capital Initiatives, 2009-2012**

<b>Key areas</b>	<b>Timeframe</b>	<b>Steps taken</b>	<b>Objectives</b>
Recruitment	November 2009- October 2012	Developed and implemented a revised recruitment program.	To create a stronger linkage between recruitment efforts and organizational needs, and enable the organization to fill critical skill gaps and improve the diversity of its workforce.
	May 2012	Launched a student volunteer program.	To expand access to student volunteer opportunities; provide valuable work experiences to students; and serve as a recruitment tool by introducing students to GAO and encouraging interest in public service careers.
Performance Management	November 2009- September 2012	<p>Initiated the Performance Appraisal Study (PAS) — a systematic and inclusive review of GAO’s current performance appraisal system to comprehensively examine what works, what does not, and what could be done better. After extensive data collection and analysis, the PAS Study report was issued in November 2009. This report made recommendations for modest and incremental improvements to the existing performance appraisal system in the short term as well as long-term recommendations and more extensive changes in subsequent appraisal cycles.</p> <p>Completed all of the short term recommendations from the PAS report in FY 2010 and began work on a redesign of the performance management system.</p> <p>Developed (1) guidance for midpoint feedback and (2) a new training course to improve performance feedback.</p> <p>Conducted job analysis of all occupations in GAO; developed new performance levels and competency definitions and validated competencies.</p>	To improve GAO’s performance management system by addressing employee concerns, and improving performance management processes, such as feedback—a key step to improving individual and organizational performance.

<b>Key areas</b>	<b>Timeframe</b>	<b>Steps taken</b>	<b>Objectives</b>
	October 2012	Implemented a new performance management system to address employees concerns about redundancies and the complexity of the performance appraisal process.	To help managers clearly communicate and clarify job responsibilities, priorities, and performance expectations using the new competency models and tools and resources in order to enhance employee performance for the purposes of improving organizational effectiveness and mission accomplishment.
Career Development and Staff Retention	September 2011	Added a “speed mentoring” component to GAO’s mentoring program.	To provide another method for staff to get advice on becoming effective leaders and team players, managing their work environments, and developing their careers.
	2010-2012	Increased communications to staff about counseling services and programs that support work/life balance.	To help employees explore goals and options for achieving them through individual counseling sessions, seminars, and support groups.
Diversity and Inclusion <sup>a</sup>	2009-2012	Completed delivery of a two-part diversity training program. Part 1 included an introduction to diversity and inclusion and Part 2 focused on unit/team-specific areas of concern and suggestions for improvement.	To support the goal for a diverse workforce and an inclusive work environment.
	2011	Designated a Disability Program Coordinator.	To improve the reasonable accommodation process and help improve the work environment for staff with disabilities.
Union Relationships	May 2011	Finalized the first comprehensive collective bargaining agreement with the employee union. Began training managers on working in a union environment.	To establish working conditions, processes, and employee rights and support an effective working relationship between the agency and the union.
	2011-2012	Reached agreements with the union, such as upgrading a key engagement database, GAO’s operating system and piloting a workspace-sharing and enhanced telework program.	To improve efficiency of GAO’s operations. To support cost savings and enhance flexibility for employees by allowing them to spend more of their time working from home or an alternate worksite.

Key areas	Timeframe	Steps taken	Objectives
Efficient and Cost Effective Operations	May 2011- August 2012	Tested and implemented HR Connect, a human resource system, that enables the integrated support of virtually all human capital functions and processes, including payroll/personnel transactions, recruitment, and business analytics. HR Connect includes components that allow designated managers to begin and approve certain human capital actions. HR Connect also includes a self-service feature that allows all staff to review all data and correct certain data elements related to their records.	To enhance efficiency and effectiveness of human capital processes and operations.
	February 2013	Integrated into its workforce planning operational system the functional capability to more efficiently track and project staff utilization and its representative budget cost, resulting in a robust analytical business tool that links multiple datasets to one consolidated and authoritative database enabling real-time personnel tracking and payroll cost projections.	To help eliminate redundant systems and enhance decision-making processes.

Source: GAO.

<sup>a</sup>GAO's workforce diversity plans include more information on steps taken to support the goal for a diverse workforce and an inclusive work environment.

## Human Capital Performance Indicators

Using external and internal indicators, GAO measures how well it has supported its staff through various human capital programs. One of the external benchmarks for GAO's human capital efforts is the Best Places to Work in the Federal Government rankings, conducted by the Partnership for Public Service. GAO has participated in the rankings since 2005, and has been ranked among the top five agencies each year.<sup>9</sup> Most recently GAO's overall ranking was second in 2010 and 2012 and third in 2011. Also, GAO was ranked number one in supporting diversity in 2011 and 2012. In addition, GAO assesses and publishes its overall internal performance each year, using a set of performance measures that focus on people and internal operations. A variety of data help GAO measure hiring and retention rates and to assess how well it develops, supports, utilizes, and leads its staff. For example, each year from 2009 to 2012, the retention rate without retirements has been more than 90 percent, and

<sup>9</sup>Rankings were conducted in 2003, 2005, 2007, 2009, 2010, 2011, and 2012.

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the staff utilization rate has been more than 75 percent.<sup>10</sup> (See appendix IV for the internal performance measures.) The annual employee feedback survey indicates that employee satisfaction has continued to be high, and that GAO has made progress toward its goal to create a more inclusive environment. The survey results have also identified human capital areas for improvement such as refining the compensation and performance systems to more closely link rewards and staff competencies to organizational results.

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## Human Capital Challenges

The nation faces new and more complex issues, including a large and growing long-term fiscal imbalance, evolving national security threats, increasing global interdependence, and the need to rethink relevant regulatory oversight structures in light of worldwide financial markets. Helping the Congress and the federal government address these complex issues will require that GAO maintain a talented, diverse, high-performing, knowledge-based workforce.

GAO, like other federal agencies, will continue to experience human capital challenges. Federal employees with the most experience, the baby-boom generation, have begun to leave the workforce and take with them critical perspectives and knowledge gained over their careers. The changing composition of the federal workforce brings different values and expectations to the workplace. Also, like other federal agencies, GAO will be challenged to address its human capital needs and confront capacity issues in the face of budgetary constraints.

To help address these challenges, GAO will need to devote sufficient resources to recruiting employees as well as providing meaningful rewards to help retain a highly skilled workforce. Furthermore, with more than one-third of its current executive corps eligible to retire, GAO will

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<sup>10</sup>The staff utilization measure is derived from GAO's annual agencywide employee feedback survey. From the staff who expressed an opinion, GAO calculated the percentage of those who selected favorable responses to the related survey questions. Responses of "no basis to judge/not applicable" or "no answer" were excluded from the calculation. While including these responses in the calculation would result in a different percentage, GAO's method of calculation is an acceptable survey practice, and GAO believes it produces a better and more valid measure because it represents only those employees who have an opinion on the questions. GAO's employee feedback survey asks staff how often the following occurred in the last 12 months: (1) my job made good use of my skills, (2) GAO provided me with opportunities to do challenging work, and (3) in general, I was utilized effectively.

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need to continue to focus attention on staff development and succession planning. Also, GAO will need to continue implementing workplace practices that meet the needs of an ever-changing workforce in a fair and equitable manner by working with its union partners and employee organizations. In addition, with limited resources, it becomes important to leverage technology that will improve the efficiency of human capital processes. Also, GAO will need to stay informed of prevailing and leading practices in order to remain one of the best places to work.

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## GAO's Human Capital Strategic Plan

This 2013-2015 human capital strategic plan guides GAO's development and implementation of human capital policies and programs. This plan implements the objectives, goals, and key efforts of goal 4 from the agency's 2010-2015 Strategic Plan and reflects elements of OPM's Human Capital Assessment and Accountability Framework<sup>11</sup> and supports the human capital elements of GAO's Quality Assurance Framework.<sup>12</sup> This plan focuses on those initiatives most critical to sustaining performance excellence while preparing to address future challenges. The plan serves as the foundation for GAO's continuing efforts to build upon its capacity to develop leaders, maximize performance, ensure accountability, and help GAO remain one of the best places to work. Also, this plan makes achievement of GAO's human capital goals a shared responsibility, with all staff held accountable for helping to ensure programs are implemented as prescribed, supporting an inclusive work environment, focusing on results, and developing professionally. Tables 3-6 summarize the key human capital initiatives that support specific key efforts and performance goals designed to help achieve certain strategic objectives under Goal 4 of GAO's 2010-2015 Strategic Plan. Additionally, specific measures GAO will use to monitor progress toward implementing the key efforts and initiatives and achieving critical outcomes are listed in appendix I.

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<sup>11</sup>Office of Personnel Management (OPM), *Human Capital Assessment and Accountability Framework (HCAAF)*, 2002. HCAAF identifies five areas that federal agencies should address in their human capital management: (1) strategic alignment, (2) leadership and knowledge management, (3) results-oriented performance culture, (4) talent management, and (5) accountability.

<sup>12</sup>GAO, *Quality Assurance Framework for Ensuring Compliance with Generally Accepted Government Auditing Standards*, revised 2011. GAO's Quality Assurance Framework (QAF) ensures compliance with Generally Accepted Government Audit Standards. The QAF addresses five human capital topics (1) recruiting and hiring, (2) assigning staff, (3) professional development, (4) performance management, and (5) advancement.

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**Table 3: Performance Goal, Key Effort, and Human Capital Initiative that support GAO Goal 4 Strategic Objective to Improve Efficiency and Effectiveness in Performing GAO's Mission and Delivering Quality Products and Services to the Congress and the American People**

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To continue to provide timely, high-quality products and services to the Congress, GAO must enhance its support for planning and managing engagements. Monitoring changing events and emerging issues is essential to inform updates to strategic and workforce plans, as well as to ensure the agency can quickly reprioritize work, shift resources across goals and teams, and hire staff with needed expertise.

**Performance Goal:** More efficiently prioritize and manage GAO's workload and staff resources to ensure the agency responds most effectively to the highest priorities.

**Key Effort:** Ensure workforce plans reflect emerging issues and changing demands to ensure adequate resources for a broad range of work that is particularly critical to GAO's efforts to apprise the Congress of high-risk issues and challenges of national and international concern.

**Key Human Capital Initiative:** Develop workforce plans that identify critical skill gaps and reflect attrition trends. GAO's workforce plan priorities, contingent on funding, will be linked to emerging issues and changing demands.

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Source: GAO.

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**Table 4: Performance Goals, Key Efforts, and Human Capital Initiatives that support the GAO Goal 4 Strategic Objective to Maintain and Enhance a Diverse Workforce and Inclusive Work Environment through Strengthened Recruiting, Retention, Development, and Reward Programs**

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Having a diverse workforce at all levels is an organizational strength that contributes to the achievement of results by bringing a wider variety of perspectives and approaches to policy development and implementation, strategic planning, problem solving, and decision making. GAO is committed to cultivating and sustaining an inclusive organizational culture that embraces diversity in all of its forms and emphasizes both agency and individual integrity and accountability. To support this goal, GAO will continue to make diversity and inclusiveness a priority by implementing its 2013-2015 Diversity and Inclusion Strategic Plan and using the agency's annual Workforce Diversity Plan to guide decisions about GAO's human capital practices. Additionally, GAO will continuously review its programs, practices, and outcomes to ensure staff are fairly and equitably treated and receive the support and assistance needed to succeed.

Further, having a diverse leadership sends a strong signal of the agency's commitment to diversity and inclusion. Given that, as of October 2012, over one-third of GAO's executive corps are eligible to retire, GAO will need to take steps to prepare a diverse group of future leaders. By conveying important historical information about agency programs and operations; key working relationships, partnerships, and experts in relevant fields; and perspectives on emerging issues, GAO will ensure that critical knowledge and expertise are not lost.

**Performance Goal:** Strengthen recruiting and hiring initiatives to attract a diverse workforce.

**Key efforts:**

- Incorporate leading practices into GAO's recruiting program to attract a diverse workforce.
  - Develop a comprehensive institutional perspective for recruiting and hiring to ensure a strategic and consistent approach.
  - Improve the efficiency and effectiveness of GAO's hiring process.
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**Key Human Capital Initiatives:**

- Improve cost effectiveness and efficiency in recruitment programs by expanding efforts to maintain relationships with colleges, universities, pipeline programs<sup>a</sup> and professional organizations through participating in virtual outreach efforts, hosting representatives from partner institutions, and inviting candidates to visit GAO.
- Build annual recruitment plans based on analysis of data from prior years, with consideration to GAO's workforce diversity plan, budget, and workforce planning needs.
- Monitor hiring process data and compare this data to established goals including the Office of Personnel Management's goal to complete the hiring process in 80 days, on average, and the new hire target established in GAO's performance and accountability report.
- Offer incentives where needed for positions that are hard to fill to help recruit and retain staff with critical skills.

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**Performance Goal:** Improve performance management and compensation systems.

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**Key Efforts:**

- Implement recommendations from the GAO performance appraisal study to ensure fairness and equity.
- Strengthen performance management practices to ensure consistent application.
- Support and promote implementation of designated performance managers' responsibilities to more effectively develop and coach staff.
- Review and improve compensation systems to ensure fairness and equity.

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**Key Human Capital Initiatives:**

- Implement a new performance management system by (1) developing a communication strategy that involves, informs, and educates staff about the changes to the system and (2) training staff on the new performance management system to ensure consistent application and understanding.
- Implement other recommendations from the GAO performance appraisal study, such as upward feedback tools.
- Evaluate implementation of the new performance management system.
- Develop, implement, and evaluate a new compensation system.

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**Performance Goal:** Enhance efforts to engage and develop the workforce.

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**Key Efforts:**

- Support formal and informal initiatives to promote continuous learning and development.
- Develop career-progression opportunities and enhanced training for all pay plans and levels to build institutional capacity and enhance succession planning.
- Enhance staffing practices across the agency to ensure staff are fully utilized and obtain meaningful developmental experiences.
- Monitor employee satisfaction with human capital policies and practices to inform decision making.

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**Key Human Capital Initiatives:**

- Strengthen succession planning efforts to ensure that a sufficient number of staff are trained and afforded developmental opportunities to create a well-prepared pipeline for expected vacancies in senior executive positions.
  - Develop a plan to implement a phased retirement program to support knowledge transfer and succession planning.
  - Complete learning needs analysis and then develop and implement training courses and other learning opportunities to address identified needs.
  - Monitor staffing practices and related responses to employee survey questions on employee utilization.
  - Continue to improve GAO's mentoring program to ensure that it helps promote staff development.
  - Gather employee views about human capital policies and practices by holding periodic meetings between HCO managers and other GAO employees; review employee responses to the customer satisfaction survey and develop action plans to address areas for improvement.
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**Performance Goal:** Promote an environment that is fair and unbiased and that values opportunity and inclusiveness.

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**Key Efforts:**

- Expand training and initiatives to enhance awareness and promote an inclusive workplace culture that values and appreciates diversity.
  - Review human capital practices and outcomes to ensure employees are fairly and equitably treated and receive the support and assistance they need to succeed.
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**Key Human Capital Initiatives:**

Monitor progress towards goals in GAO's 2013-2015 Diversity and Inclusion Strategic Plan and annual Workforce Diversity Plans.

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Source: GAO.

<sup>a</sup>Pipeline programs are designed to prepare and inspire talented high school or college students to pursue designated careers. Some programs serve students through mentoring, education, and guidance and some provide job opportunities through internships or summer sessions.

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**Table 5: Performance Goal, Key Efforts, and Human Capital Initiatives that support the GAO Goal 4 Strategic Objective to Expand Networks, Collaborations, and Partnerships That Promote Professional Standards and Enhance GAO's Knowledge, Agility, and Response Time**

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In order to remain one of the best places to work, GAO will need to network with external organizations to maintain knowledge of leading practices and collaborate with internal parties to leverage best practices and share lessons learned. These efforts will help GAO remain aware of changes in human capital programs, so that it can address current challenges, continue to improve its operations, and prepare for the future.

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**Performance Goal:** Enhance information sharing and collaboration with sister agencies, professional organizations, and others to improve internal operations and implement leading practices.

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**Key Efforts**

- Expand collaboration with other legislative branch agencies to share information and expertise on operational issues and leading practices.
  - Enhance participation in government networks to share information and expertise on operational issues and leading practices.
  - Expand relationships with professional organizations and the private and nonprofit sectors to access information on nongovernmental leading practices.
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**Key Human Capital Initiatives**

- Participate in established government-wide groups such as the Chief Learning Officer (CLO) Council, Chief Human Capital Officer (CHCO) Council, and the Federal Interagency Diversity Partnership and maintain memberships with leading private sector organizations, such as Society for Human Resource Management (SHRM) and Corporate Executive Board (CEB).
  - Attend and participate in internal and external meetings and conferences related to human capital programs, policies, and practices.
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Source: GAO.

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**Table 6: Performance Goals, Key Efforts, and Human Capital Initiatives that support the GAO Goal 4 Strategic Objective to Be a Responsible Steward of GAO’s Human, Information, Fiscal, Technological, and Physical Resources**

GAO must be a responsible manager of its resources. Since fiscal year 2010, GAO has significantly reduced spending throughout the agency as a result of its budget. GAO streamlined operations and reduced costs through various efforts including reducing or deferring investments in IT, facilities, and other support services. GAO will continue to leverage technology to improve its business processes—particularly those related to human resources—and enhance operational efficiency, to the extent the budget can support. Also, establishing a human capital governance structure that ensures the agency maintains a strategic approach to managing human capital is essential, as is continuing to work constructively with GAO employee organizations to remain aware of and address employee concerns.

**Performance Goal:** Leverage technology to achieve business process improvement and efficiency gains and enable timely decision making.

**Key Efforts**

- Leverage existing technology solutions in fiscal operations to fully integrate financial systems and incorporate human capital data to improve business processes and improve management decision making.
- Maintain and enhance GAO’s workforce planning operational system to maximize reporting functionality on real-time staff utilization so that management can provide oversight and respond quickly to changing and emerging resource requirements in support of GAO’s mission.
- Leverage technology solutions in human resources management to achieve business process improvements and efficiency gains.

**Key Human Capital Initiatives:**

- Implement all needed functions in the human capital information system—HR Connect—to further reduce the administrative burden on staff, improve business processing times, increase transaction accuracy, and support timely decision making.
- Expand technology for learning and staff development by transitioning to a highly integrated learner-focused learning management system that will include a full range of resources and services.
- Continue to enhance the workforce planning operational system by integrating the capability to more efficiently project staff utilization and its representative cost for budget formulation.
- Implement a tracking system to support the reasonable accommodation program and help ensure GAO is meeting the needs of employees and applicants with disabilities.
- Update systems that support the telework program to make the approval and monitoring processes more efficient.
- Convert to the electronic Official Personnel File (eOPF) system.
- Develop and implement a streamlined system to support the exit process for staff and contractors.

**Performance Goal:** Improve management and governance of key administrative processes.

**Key Efforts**

- Establish a human capital governance structure to ensure an integrated and strategic approach to human capital management.
- Maintain and enhance GAO’s budgeting and workforce planning processes and capabilities to ensure maximum flexibility and responsiveness to changing and emerging needs.
- Optimize use of workspace based on unit needs and workforce planning goals to manage physical infrastructure as an asset, improve effectiveness in meeting needs, and increase flexibility of staff.

**Key Human Capital Initiatives**

- Convene regular meetings of the Human Capital Strategic Leadership Board and the Educators’ Advisory Panel to advise on key initiatives.
- Collaborate with unit managers to address workforce needs and share information on human capital management issues and by meeting periodically with unit managers and serving as stakeholders on human-capital-related engagements.
- Engage with the union and employee organization representatives to discuss the expansion of GAO’s telework program to reduce office space needs and other ways to improve the management of GAO’s physical infrastructure.
- Continue to evaluate the telework pilots.

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**Performance Goal:** Enhance information sharing and collaboration with internal employee organizations to ensure management and operational outcomes are in the collective best interest of the agency and its employees.

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**Key Efforts**

- Work constructively with GAO's union to facilitate productive working relationships and carry out the collective bargaining agreement that sets forth the agreed-upon working conditions, processes, rights of the parties, and shared values.
  - Facilitate productive ongoing discussions with GAO's Employee Advisory Council (EAC) and Diversity Advisory Council (DAC) to ensure employee needs, concerns, and suggestions are understood and taken into consideration during management decision making.
- 

**Key Human Capital Initiatives**

- Meet regularly with the employee organization, IFPTE Local 1921, the EAC, and the DAC to better understand employee needs and concerns and to consider their suggestions when making decisions on human capital policies and programs.
  - Continue to work constructively with the union to negotiate the APSS Collective Bargaining Agreement.
  - Work with staff and managers throughout the agency to implement the collective bargaining agreement with the union.
- 

Source: GAO.

# Appendix I: Human Capital Measures and Indicators

These measures and indicators are established as a means to evaluate results and ensure responsible managers are held accountable for achieving the related goals. They reflect measurable, observable performance results that either directly or indirectly related to GAO's effectiveness. Either data from 2012 or other established benchmarks will serve as the base line for the quantitative measures.

**Table 7: Performance Goals, Human Capital Initiatives, Measures and Indicators**

Performance Goals	Human Capital Initiatives	Quantitative Measures	Other Indicators
More efficiently prioritize and manage GAO's workload and staff resources to ensure the agency responds most effectively to the highest priorities.	<ul style="list-style-type: none"> <li>Develop workforce plans that identify critical skill gaps and reflect attrition trends. Workforce plan priorities, contingent on funding, will be linked to emerging issues and changing demands.</li> </ul>	<ul style="list-style-type: none"> <li>Meet the annual agency Full Time Equivalent (FTE) Utilization rate (+/-1 percent).</li> <li>Meet FTE utilization rate for all units with more than 50 FTEs. (+/- 2 percent).</li> </ul>	
Strengthen recruiting and hiring initiatives to attract a diverse workforce. <sup>a</sup>	<ul style="list-style-type: none"> <li>Improve recruitment program by expanding efforts to maintain relationships with colleges, universities, and pipeline and professional organizations through participating in virtual outreach efforts, hosting representatives from partner institutions, and inviting candidates to visit GAO.</li> <li>Build annual recruitment plans based on analysis of data from prior years, with consideration to GAO's workforce diversity plan, budget, and workforce planning needs.</li> <li>Monitor hiring process data and compare this data to established goals.<sup>b</sup></li> <li>Offer incentives where needed for positions that are hard to fill to help recruit and retain staff with critical skills.</li> </ul>	<ul style="list-style-type: none"> <li>Meet or exceed established benchmarks to maintain a diverse workforce.</li> <li>Meet the 80-day goal (+/- 1 percent) for the hiring process.</li> <li>Meet the new hire target established in GAO's performance and accountability report.</li> </ul>	<ul style="list-style-type: none"> <li>Record and evaluate recruitment activities.</li> <li>Analyze incentive program data and prepare annual report.</li> </ul>
Improve performance management and compensation systems.	<ul style="list-style-type: none"> <li>Implement recommendations from the GAO performance appraisal study to ensure fairness and equity.</li> </ul>	<ul style="list-style-type: none"> <li>Improve employee feedback scores regarding performance management.</li> </ul>	

**Appendix I: Human Capital Measures and Indicators**

<b>Performance Goals</b>	<b>Human Capital Initiatives</b>	<b>Quantitative Measures</b>	<b>Other Indicators</b>
	<ul style="list-style-type: none"> <li>Strengthen performance management practices to ensure consistent application.</li> </ul>		<ul style="list-style-type: none"> <li>Monitor differences in appraisal averages for demographic categories.</li> </ul>
	<ul style="list-style-type: none"> <li>Support and promote implementation of designated performance managers' responsibilities to more effectively develop and coach staff.</li> </ul>		<ul style="list-style-type: none"> <li>Train designated performance managers, post reminders, and share program aids.</li> </ul>
	<ul style="list-style-type: none"> <li>Review and improve compensation systems to ensure fairness and equity.</li> </ul>		<ul style="list-style-type: none"> <li>Monitor compensation data.</li> </ul>
Enhance efforts to engage and develop the workforce.	<ul style="list-style-type: none"> <li>Strengthen succession planning and employee engagement efforts to ensure that a sufficient number of staff are trained and afforded developmental opportunities to create a well-prepared pipeline for expected vacancies in senior executive positions.</li> </ul>	<ul style="list-style-type: none"> <li>Improve or maintain employee engagement score—a score derived from 16 questions in the employee survey.<sup>c</sup></li> </ul>	
	<ul style="list-style-type: none"> <li>Complete learning needs analysis and then develop and implement training courses and other learning opportunities to address identified needs.</li> </ul>		<ul style="list-style-type: none"> <li>Develop and implement courses to address learning needs.</li> </ul>
	<ul style="list-style-type: none"> <li>Monitor staffing practices and related responses to employee survey questions on employee utilization.</li> </ul>	<ul style="list-style-type: none"> <li>Improve employee survey data on employee utilization.</li> </ul>	
	<ul style="list-style-type: none"> <li>Continue to improve GAO's mentoring program to ensure that it helps promote staff development.</li> </ul>		<ul style="list-style-type: none"> <li>Measure satisfaction with mentoring program.</li> </ul>
	<ul style="list-style-type: none"> <li>Gather employee views about human capital policies and practices by holding periodic meetings between HCO managers and other GAO employees; review employee responses to the customer satisfaction survey and develop action plans to address areas for improvement.</li> </ul>	<ul style="list-style-type: none"> <li>Improve customer satisfaction survey scores related to human capital policies and practices.</li> </ul>	

**Appendix I: Human Capital Measures and Indicators**

<b>Performance Goals</b>	<b>Human Capital Initiatives</b>	<b>Quantitative Measures</b>	<b>Other Indicators</b>
Promote an environment that is fair and unbiased and that values opportunity and inclusiveness.	<ul style="list-style-type: none"> <li>Monitor progress towards goals in GAO's 2013-2015 Diversity and Inclusion Strategic Plan and annual Workforce Diversity Plans.</li> </ul>	Improve or maintain <ol style="list-style-type: none"> <li>workforce representation relative to the appropriate labor force data,</li> <li>outcomes from key human capital processes such as awards and promotions in comparison to the workforce representation and,</li> <li>employee views about the diversity and inclusion efforts from the annual employee survey.</li> </ol>	
Enhance information sharing and collaboration with sister agencies, professional organizations, and others to improve internal operations and implement leading practices.	<ul style="list-style-type: none"> <li>Participate in established government-wide groups such as the Chief Learning Officer Council, Chief Human Capital Officer Council, and the Federal Interagency Diversity Partnership and maintain memberships with leading private sector organizations, such as Society for Human Resource Management and Corporate Executive Board.</li> <li>Attend and participate in internal and external meetings and conferences related to human capital programs, policies and practices.</li> </ul>		<ul style="list-style-type: none"> <li>Record and examine participation in various groups; share information with managers.</li> <li>Record and analyze participation in meetings and conferences; share information with managers.</li> </ul>
Leverage technology to achieve business process improvement and efficiency gains and enable timely decision making.	<ul style="list-style-type: none"> <li>Implement all needed functions in the human capital information system—HR Connect—to further reduce the administrative burden on staff, improve business processing times, increase transaction accuracy, and support timely decision making.</li> <li>Expand technology for learning and staff development by transitioning to a highly integrated learner-focused learning management system that will include a full range of resources and services.</li> </ul>	<ul style="list-style-type: none"> <li>Decrease time for completing the annual promotion process for analyst and specialist positions.</li> </ul>	<ul style="list-style-type: none"> <li>Acquire an enhanced learning management system, pending available budget.</li> </ul>

**Appendix I: Human Capital Measures and Indicators**

<b>Performance Goals</b>	<b>Human Capital Initiatives</b>	<b>Quantitative Measures</b>	<b>Other Indicators</b>
	<ul style="list-style-type: none"> <li>Continue to enhance the workforce planning operational system by integrating the capability to more efficiently project staff utilization and its representative cost for budget formulation.</li> </ul>		<ul style="list-style-type: none"> <li>Improve efficiency of operations.</li> </ul>
	<ul style="list-style-type: none"> <li>Implement a tracking system to support the reasonable accommodation program and help ensure GAO is meeting the needs of employees and applicants with disabilities.</li> </ul>	<ul style="list-style-type: none"> <li>Improve the process for responding to reasonable accommodation requests made in support of the ADA and reduce the average number of days to close requests.</li> </ul>	
	<ul style="list-style-type: none"> <li>Update systems that support the telework program to make the approval and monitoring processes more efficient.</li> </ul>		<ul style="list-style-type: none"> <li>Improve efficiency of operations.</li> </ul>
	<ul style="list-style-type: none"> <li>Convert to the electronic Official Personnel File (eOPF) system.</li> </ul>		<ul style="list-style-type: none"> <li>Reduce paper files; improve efficiency of operations.</li> </ul>
	<ul style="list-style-type: none"> <li>Develop and implement a streamlined system to support the exit process for staff and contractors.</li> </ul>		<ul style="list-style-type: none"> <li>Improve the exit process and reduce instances of staff and contractors leaving without completing the exit process.</li> </ul>
Improve management and governance of key administrative processes.	<ul style="list-style-type: none"> <li>Establish a human capital governance structure to ensure an integrated and strategic approach to human capital management.</li> </ul>		<ul style="list-style-type: none"> <li>Hold regular meetings with the Human Capital Strategic Leadership Board.</li> </ul>
	<ul style="list-style-type: none"> <li>Maintain and enhance GAO's budgeting and workforce planning processes and capabilities to ensure maximum flexibility and responsiveness to changing and emerging needs.</li> </ul>		<ul style="list-style-type: none"> <li>Improve efficiency of workforce planning processes.</li> </ul>
	<ul style="list-style-type: none"> <li>Optimize use of workspace based on unit needs and workforce planning goals to manage physical infrastructure as an asset, improve effectiveness in meeting needs, and increase flexibility of staff.</li> </ul>	<ul style="list-style-type: none"> <li>Reduce infrastructure costs.</li> </ul>	



**Appendix I: Human Capital Measures and Indicators**

<b>Performance Goals</b>	<b>Human Capital Initiatives</b>	<b>Quantitative Measures</b>	<b>Other Indicators</b>
Enhance information sharing and collaboration with internal employee organizations to ensure management and operational outcomes are in the collective best interest of the agency and its employees.	<ul style="list-style-type: none"> <li>Meet regularly with the employee organization, IFPTE Local 1921, the EAC, and the DAC to better understand employee needs and concerns and to consider their suggestions when making decisions on human capital policies and programs.</li> </ul>		Maintain productive working relationships with union and employee group representatives as evidenced by few complaints/ grievances, as well as by successful agreements reached.
	<ul style="list-style-type: none"> <li>Continue to work constructively with the union to negotiate the APSS Collective Bargaining Agreement.</li> </ul>		Maintain productive working relationships with union and employee group representatives as evidenced by few complaints/ grievances, as well as by successful agreements reached.
	<ul style="list-style-type: none"> <li>Work with staff and managers throughout the agency to implement the collective bargaining agreement with the union.</li> </ul>		Advise managers and staff on collective bargaining agreement matters.

Source: GAO.

<sup>a</sup>Other diversity and inclusion measures are in GAO's Diversity and Inclusion Strategic Plan and annual Workforce Diversity plans; both are internal documents.

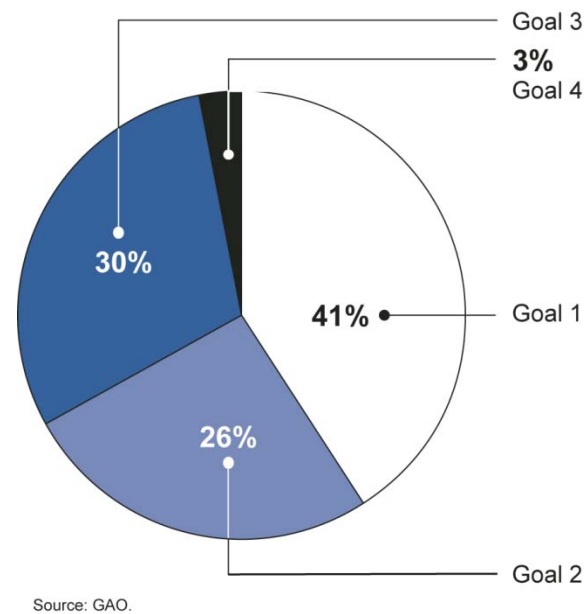
<sup>b</sup>The Office of Personnel Management's "End-to-End" hiring initiative established the goal to complete the hiring process in 80 days on average, plus or minus one day.

<sup>c</sup>Employee engagement is a heightened connection between employees and their work, their organization, or the people they work for or with and has been found to be related to better organizational outcomes.

# Appendix II: GAO's Strategic Plan

GAO's strategic plan for fiscal years 2010-2015, updated in February 2012, describes its four goals and strategies for supporting Congress and the nation, and highlights the importance of human capital management.<sup>1</sup> GAO's audit, evaluation, and investigative work is primarily aligned under the first three strategic goals, which span domestic and international issues affecting the lives of all Americans while influencing the extent to which the federal government serves the nation's current and future interests. These three audit-related strategic goals represent approximately 97 percent of GAO's workforce in fiscal year 2012. The fourth goal is focused internally on improving efficiency and effectiveness in performing GAO's work, maintaining and enhancing a diverse workforce, expanding collaboration to promote professional standards, and being a responsible steward of GAO resources. In fiscal year 2012, approximately 3 percent of GAO's workforce was aligned with goal 4 (see fig. 2).

**Figure 2: Percentage of GAO Staff Associated with Each of Its Four Strategic Goals**



<sup>1</sup>The four goals are to: 1) address current and emerging challenges to the well-being and financial security of the American people, 2) respond to changing security threats and the challenges of global interdependence, 3) help transform the federal government to address national challenges, and 4) maximize the value of GAO by enabling quality, timely service to the Congress and being a leading practices federal agency.

GAO's human capital strategic plan is aligned with Goal 4 of GAO's strategic plan. This goal is to maximize the value of GAO by enabling quality, timely service to the Congress and by being a leading practices federal agency. The objectives related to this goal are:

1. Improve efficiency and effectiveness in performing GAO's mission and delivering quality products and services to the Congress and the American people;
2. Maintain and enhance a diverse workforce and inclusive work environment through strengthened recruiting, retention development, and reward programs;
3. Expand networks, collaborations, and partnerships that promote professional standards and enhance GAO's knowledge, agility, and response time; and
4. Be a responsible steward of GAO's human, information, fiscal, technological, and physical resources.

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# Appendix III: Human Capital Legislation

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## The GAO Personnel Act of 1980

Until 1980, GAO was subject to the same laws, regulations, and policies as executive branch agencies. However, with the expansion of GAO's role in the congressional oversight of federal programs, concerns grew about the potential for conflicts of interest. In response to these concerns, Congress passed the GAO Personnel Act of 1980, the principal goal of which was to avoid potential conflicts by making GAO's personnel system more independent of the executive branch. The new authority provided by the GAO Act gave the agency greater flexibility in hiring and managing its workforce. Significantly, the 1980 act removed GAO positions from the General Schedule (GS) and allowed the agency to establish a merit pay system. Using these flexibilities, the agency implemented a "broad banded" classification and pay-for-performance system for the agency's analyst and attorney workforce in 1989.

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## GAO Personnel Flexibilities Act

As part of GAO's ongoing transformation efforts, GAO leadership recognized that additional steps to reshape the agency's workforce were necessary and that existing personnel authorities did not allow the agency to address these challenges effectively. Therefore, GAO sought additional legislative flexibilities to help reshape its workforce and recruit and retain staff with needed technical skills. Public Law 106-303—known as the GAO Personnel Flexibilities Act—was enacted in October 2000. The act authorized the Comptroller General to offer voluntary early retirement and separation incentive payments for a 3-year period; develop modified regulations for the separation of staff during a reduction in force; and establish senior-level scientific, technical, and professional positions with the same pay and benefits as those applicable to the Senior Executive Service (SES).

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## GAO Human Capital Reform Act of 2004

After using the flexibilities provided by Congress in 2000, GAO sought additional legislation to make permanent its authority to approve voluntary early retirements and separation incentive payments. In addition, GAO sought legislative authority to implement initiatives to ensure that the agency could continue to attract, retain, motivate, and reward a top-quality, high-performing workforce.

In addition to providing GAO with permanent authority to approve voluntary early retirements and separation incentive payments, the GAO Human Capital Reform Act of 2004 also authorized GAO to

- adjust the pay rates of GAO staff separately from the annual adjustments authorized for executive branch staff,

- implement its own system for pay retention for employees who suffered a reduction in band due to certain workforce restructuring activities, a reclassification action, or other appropriate circumstances as determined by the Comptroller General;
- reimburse staff for some relocation expenses when that transfer has some benefit to GAO but does not meet the existing requirements to reimburse the employee for relocation expenses;
- provide 20 days of annual leave for certain staff with less than 3 years of federal service if criteria are met;
- authorize an executive exchange program with private sector organizations working in areas of mutual concern where GAO has a supply-demand imbalance; and
- change its name from the General Accounting Office to the Government Accountability Office.

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## Government Accountability Office Act of 2008

To continue to attract, retain, and reward a top-flight workforce; enhance operational and administrative efficiencies; and address staff compensation concerns, GAO sought legislation to address certain critical issues. The Government Accountability Office Act of 2008 authorized GAO to

- provide a so-called floor guarantee to all covered employees who are performing at a satisfactory level so that these employees would receive at minimum an increase to basic pay each year that would be equal to the increase to the General Schedule (GS) in the locality in which the GAO employee's office is located;
- process pay increases and lump-sum payments for staff who did not receive at least 2.6 percent and 2.4 percent base pay increase in 2006 and 2007;
- provide payments to certain staff who did not receive all their performance-based compensation in 2006;
- establish a statutory Office of Inspector General (IG) at GAO;
- receive reimbursement for certain costs associated with auditing the financial statements prepared by executive branch agencies and components;

- modify the pay level triggering the requirement to submit the Senate Public Financial Report by excluding percentages attributable to locality, thereby restoring the public disclosure obligation as it existed before GAO eliminated GS locality pay;
- raise the highest basic pay rate for staff—other than those in the Senior Executive Service or Senior Level—from GS-15, step 10, to Executive Level III, when necessary to attract individuals for hard-to-fill positions;
- increase the number of experts and consultants that the Comptroller General may employ for renewable 3-year terms; and
- use funds for meals and related reasonable expenses in connection with recruitment.

# Appendix IV: People and Internal Operations Performance Measures

Performance measure	2008 actual	2009 actual	2010 actual	2011 actual	2012 target	2012 actual
<b>Results</b>						
<b>People</b>						
New hire rate <sup>a</sup>	96%	99%	95%	84%	95%	76%
Retention rate <sup>b</sup>						
With retirements	90%	94%	90%	92%	90%	93%
Without retirements	93%	96%	94%	96%	94%	96%
Staff development <sup>c</sup>	77%	79%	76%	79%	76%	80%
Staff utilization <sup>d</sup>	75%	78%	75%	78%	75%	76%
Effective leadership by supervisors <sup>e</sup>	81%	83%	80%	83%	80%	82%
Organizational climate <sup>f</sup>	77%	79%	75%	80%	75%	78%
<b>Internal operations<sup>g</sup></b>						
Help get job done	4.00	4.03	3.94	3.98	4.0	X
Quality of work life	4.01	4.01	3.94	3.98	4.0	X

Source: GAO.

<sup>a</sup>GAO's new hire rate is the ratio of the number of people hired to the number it planned to hire. GAO develops an annual workforce plan that takes into account strategic goals; projected workload requirements; and other changes, such as retirements, other attrition, promotions, and skill gaps. The workforce plan specifies the number of planned hires for the upcoming year. Adjustments to the plan are made throughout the year, if necessary, to reflect changing needs and conditions.

<sup>b</sup>GAO continuously strives to make itself into a place where people want to work. Once GAO has made an investment in hiring and training people, it would like them to stay. This measure is one indicator of whether GAO is attaining this objective. GAO calculates this measure by taking 100 percent minus the attrition rate, where attrition rate is defined as the number of separations divided by the average onboard strength. GAO calculates this measure with and without retirements. Exit surveys have shown that staff who retire do so for family, life, or health considerations; whereas nonretirees leave for new opportunities to work elsewhere, for family reasons, or to make better use of their skills.

<sup>c</sup>Beginning in fiscal year 2006, GAO changed the way that the staff development people measure was calculated. Specifically, GAO dropped one question regarding computer-based training because such training was a significant part of (and therefore included in) the other questions the survey asked regarding training. GAO also modified a question on internal training and changed the scale of possible responses to that question.

<sup>d</sup>GAO's employee feedback survey asks staff how often the following occurred in the last 12 months: (1) my job made good use of my skills, (2) GAO provided me with opportunities to do challenging work, and (3) in general, I was utilized effectively.

<sup>e</sup>In fiscal year 2009, GAO changed the name of this measure from "Leadership" to its current nomenclature to clarify that the measure reflects employee satisfaction with their immediate supervisors' leadership. In fiscal year 2010, GAO changed one of the questions for this measure.

<sup>f</sup>This measure is derived from GAO's annual agency-wide employee feedback survey. From the staff who expressed an opinion, GAO calculated the percentage of those who selected favorable responses to the related survey questions. Responses of "no basis to judge/not applicable" or "no answer" were excluded from the calculation. While including these responses in the calculation would result in a different percentage, GAO's method of calculation is an acceptable survey practice, and GAO believes it produces a better and more valid measure because it represents only those staff who have an opinion on the questions.

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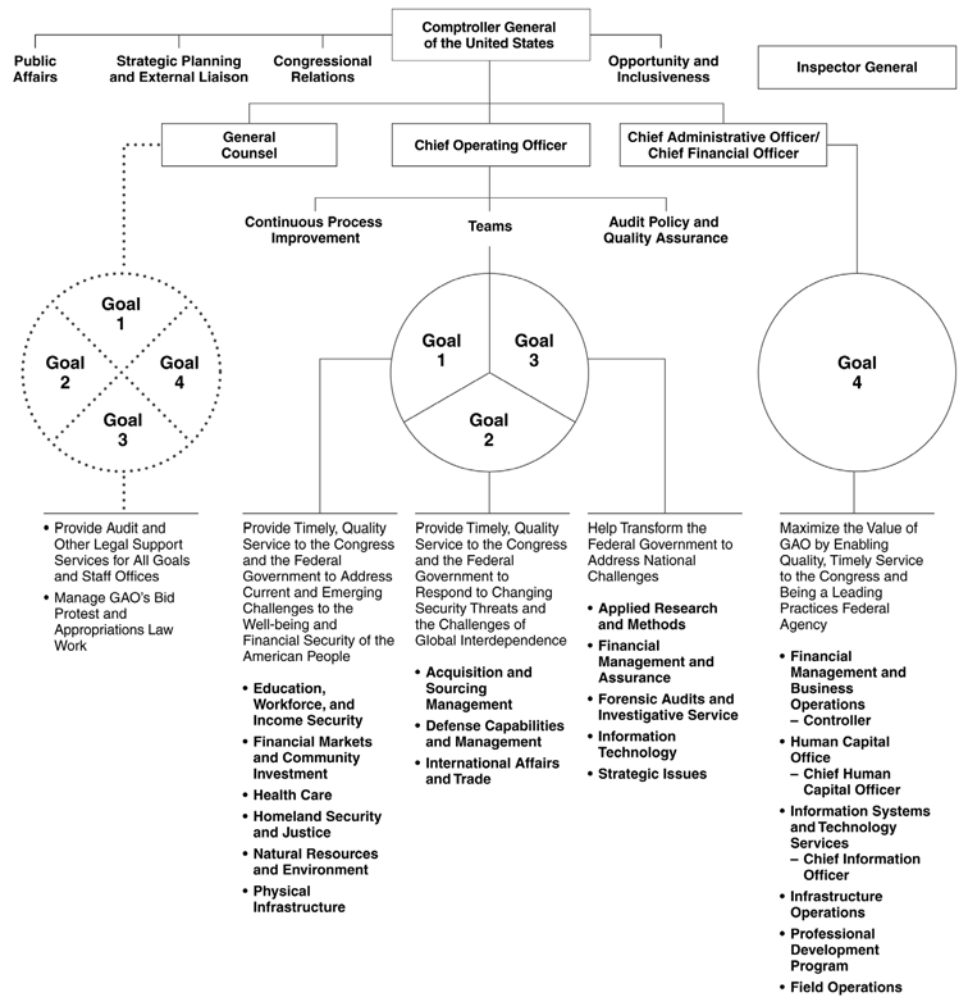
**Appendix IV: People and Internal Operations  
Performance Measures**

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<sup>9</sup>For the internal operations measures, GAO asks staff to rank 33 internal services available to them and to indicate on a scale from 1 to 5, with 5 being the highest, their satisfaction with each service. The survey was not conducted in 2012.



# Appendix V: GAO Detailed Organization Chart



Source: GAO.

# Appendix VI: How GAO Assisted the Nation, Fiscal Year 2010



## Serving the Congress and the Nation GAO's Strategic Plan Framework

### MISSION

**GAO** exists to support the Congress in meeting its constitutional responsibilities and to help improve the performance and ensure the accountability of the federal government for the benefit of the American people.

### TRENDS

National Security Threats    Fiscal Sustainability Challenges    Economic Recovery and Growth    Global Interdependence    Science and Technology    Networks and Virtualization    Shifting Roles of Government    Demographic and Societal Change

Goals	Objectives
<p><b>Provide Timely, Quality Service to the Congress and the Federal Government to...</b></p> <p><b>...Address Current and Emerging Challenges to the Well-being and Financial Security of the American People</b> related to...</p>	<ul style="list-style-type: none"> <li>• Health care needs</li> <li>• Lifelong learning</li> <li>• Benefits and protections for workers, families, and children</li> <li>• Financial security</li> <li>• Effective system of justice</li> <li>• Viable communities</li> <li>• Stable financial system and consumer protection</li> <li>• Stewardship of natural resources and the environment</li> <li>• Infrastructure</li> </ul>
<p><b>...Respond to Changing Security Threats and the Challenges of Global Interdependence</b> involving...</p>	<ul style="list-style-type: none"> <li>• Homeland security</li> <li>• Military capabilities and readiness</li> <li>• Advancement of U.S. interests</li> <li>• Global market forces</li> </ul>
<p><b>Help Transform the Federal Government to Address National Challenges</b> by assessing...</p>	<ul style="list-style-type: none"> <li>• Government's fiscal position and options for closing gap</li> <li>• Fraud, waste, and abuse</li> <li>• Major management challenges and program risks</li> </ul>
<p><b>Maximize the Value of GAO by Enabling Quality, Timely Service to the Congress and Being a Leading Practices Federal Agency</b> in the areas of...</p>	<ul style="list-style-type: none"> <li>• Efficiency, effectiveness, and quality</li> <li>• Diverse and inclusive work environment</li> <li>• Professional networks and collaboration</li> <li>• Institutional stewardship and resource management</li> </ul>

### CORE VALUES

Accountability	Integrity	Reliability
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Source: GAO.

GAO Strategic Plan 2010-2015

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# Appendix VII: GAO Contacts and Staff Acknowledgments

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## GAO Contact

Carolyn M. Taylor, (202) 512-2974 or [taylorcm@gao.gov](mailto:taylorcm@gao.gov)

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## Staff Acknowledgments

In addition to the contact named above, Kenneth Carroll, Deputy Chief Human Capital Officer, and Masha Pastuhov-Pastein, Management Analyst, led the development of this report. Tina M. Kirschbaum, Management Analyst, and Marvin Miller, Management Analyst, also contributed to this report.

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## GAO's Mission

The Government Accountability Office, the audit, evaluation, and investigative arm of Congress, exists to support Congress in meeting its constitutional responsibilities and to help improve the performance and accountability of the federal government for the American people. GAO examines the use of public funds; evaluates federal programs and policies; and provides analyses, recommendations, and other assistance to help Congress make informed oversight, policy, and funding decisions. GAO's commitment to good government is reflected in its core values of accountability, integrity, and reliability.

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