



Professional Development at GAO

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GAO Learning

1. Learning Center
 - Offers courses, job aids, mentoring/coaching, team building
2. Learning Programs
 - Includes foundational and advanced technical and soft skills
3. Analyst and Auditor Training Programs
 - Manages bundled training to auditors entry level analysts and auditors
4. Leadership Programs
 - Manages leadership and executive development curricula
5. Learning Operations
 - Includes training registration systems, No-Show policy, etc.

1. Learning Center: Organization



1. Learning Center: Learning Opportunities

- In 2016, GAO offered
 - Over 160 different classroom-based courses
 - Approximately 42 different instructor led virtual courses
 - Over 3,200 courses via Skillsoft, a web-based *eLearning* course repository (e.g., using computer software, budget process, project management, leadership skills)

- In 2016, the Learning Center developed:
 - 4 new instructor led courses
 - 14 new instructor led classroom-based courses
 - Job aids to support courses

1. Learning Center: Learning Opportunities (Cont.)

- Staff also enhance their knowledge, skills, and abilities by attending team-specific training, external courses, conferences, and association meetings.
 - Accounting and Auditing Update training is team-specific training offered in the Financial Management and Assurance mission team.
 - Association of Government Accountants webinars and Becker CPA review course are external courses attended by GAO staff.

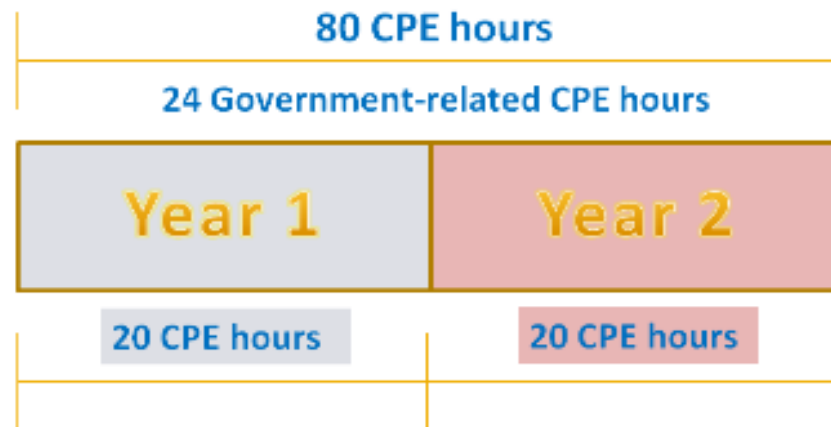


1. Learning Center: Adjunct Faculty

- Over 300 GAO staff have been certified and have joined the Learning Center as members of the Adjunct faculty, teaching courses in the Learning Center on a regular or as needed basis.
- Adjunct teaching development program and, along with, evaluations by course participants are used to ensure quality delivery
 - For certification, staff must complete the Basic Instruction Course, co-teach with an experienced instructor, and be observed by the Manager of Adjunct Faculty.
- Community of Practice (CoP) creates mutual support & continuing professional development
 - CoP is a means of sharing knowledge within and across teams and involves a group of people that share a passion about a topic such as risk management.
- Adjunct Faculty awards recognize organizational stewardship
 - At the annual faculty awards ceremony, all faculty members are recognized for their contributions.

1. Learning Center: Continuing Professional Education (CPE) Requirements

- Auditors must earn 80 CPEs during each 2-year CPE period
 - With at least 20 CPEs earned in each year, and
 - At least 24 of the 80 CPEs must be government-related



Question: What happens if the course load requirement is not met by the auditors?

1. Learning Center: Popular Certifications

- Certified Public Accountant (CPA) is the title of certified accountants who obtain the license to provide accounting services to the public by passing the Uniform CPA Examination.
- Certified Information Systems Auditor (CISA) is the designation of information systems auditors who have successfully completed the CISA Examination.
- Certified Government Financial Manager (CGFM) is a professional certification issued to government financial management professionals who have passed the CGFM Examination.

1. Learning Center: Popular Certifications (Cont.)

- Certified Fraud Examiner (CFE) is a credential awarded to fraud examiners who have passed the CFE Exam.
- Certified Internal Auditor (CIA) is the internal audit practitioner designation obtained by accounting professionals who have passed the CIA Exam.



Question: Is it obligatory to obtain a certification for performance, financial and compliance audit?
Question: What are the benefits of certification in the career?

2. Learning Programs: The Ways GAO Learns

- External training, conferences, associations
- SkillSoft online professional development (outside vendor)
- Centrally designed and taught GAO-specific courses via the physical and virtual classroom
- Team-led learning initiatives
- Communities of Practice
- Individual and group mentoring
- Job aids and performance support tools

2. Learning Programs: Distinctive Learning at GAO

- Reliance on cadre of volunteer Adjunct Faculty
- Use of Certification Program for quality assurance in instruction
- Continuing Professional Education (CPE)
- Use of Communities of Practice (COP)

2. Learning Programs: Opportunities

- Administrative Professional and Support Staff
 - Applied Research and Methods courses
 - Budget and Financial Literacy courses
 - Computer Software Applications
 - Diversity and Inclusion courses
 - Mandatory Training
 - Orientation Programs
 - Professional and Technical Development Program and Professional Development Program
 - Writing
 - Other Elective and Special Programs
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2. Learning Programs: Diversity & Inclusion

- The Diversity & Inclusion (D&I) program:
 - Supports GAO's goal for a diverse workforce and an inclusive work environment
 - Establishes group mailbox, team-specific contacts, and community of practice groups
 - Celebrates special events such as African American History Month



2. Learning Programs: Diversity & Inclusion Resources

➤ Career Action Plan (CAP) Toolkit

- GAO staff have a voluntary tool for building and improving skill sets relevant to conducting engagements and operating within the GAO environment. The CAP Toolkit is a set of 1-pagers that cover specific skills which may help GAO mission staff carry out day-to-day work and perhaps assist with long-term career goals.

➤ D&I Event Catalogue

- Allows any GAO employee to learn about the types of D&I events hosted across GAO, access materials from those events, and contact event organizers for more information.



2. Learning Programs: Diversity & Inclusion Resources – CAP Toolkit Excerpts

GAO Action Plan for Success
PROJECT PLANNING

Related GAO Competency
Managing Own Workload (Band I and IIA), Planning Projects (Band IIB), Demonstrating Resource Stewardship (Band III)

GAO Resources
Learning Center Courses
Managing Multiple Engagements (8 hrs)
SkillSoft Courses
An Introduction to Project Management (2.5 hrs)
Project Planning (2.5 hrs)
Project Management Fundamentals (2.5 hrs)

External Resources
Project Management Institute Course (www.pmi.org)
Example:
Essentials of Project Management Series
Project Management Institute Books (accessible at GAO's on-line library)
Example:
The Standard for Project Management (2013)
Graduate School USA (www.graduateschool.edu)
Examples:
• Project Management for the Office Professional (ADM87011D)
• Project Management (FGMT77015A)
Coursera (coursera.org)
Examples:
• Fundamentals of Project Planning and Management
• Initiating and Planning Projects
• Introduction to Project Management Principles and Practices
EdX (Free Online Training) (<https://www.edx.org>)
Examples:
• Introduction to Project Management
• Managing Projects with Microsoft Project (Microsoft)

Relevance to GAO Work

1. Developing and overseeing the engagement project plan at specific phases of an engagement and monitoring progress against planned milestones.
2. Using GAO enterprise tools and technology (e.g., Engagement Management System, EMPF) to plan, organize, and manage engagements.
3. Reviewing and assessing engagement decisions, such as scope and methodology, against the team's resources.
4. Recognizing potential obstacles, changes, or unexpected requirements and developing options to ensure continued progress (e.g., adjusting plans or priorities).
5. Recognizing when changes to engagement plans, including resource investments, are needed and communicating proposed changes to management.

Suggested Actions

1. At the conclusion of your engagement, hold a "lessons learned" meeting focused on project planning and execution. Consider questions such as: How well did we follow the initial project plan? What accounts for any variance from the plan? What obstacles did we effectively foresee and plan for? What obstacles did we not foresee, and what could we have done differently to anticipate or mitigate them?
2. Analyze data on a mission team's experiences in meeting planned engagement milestones and staff day estimates. These data can be used for planning, monitoring, and evaluating engagement execution.
3. Ask an experienced AIC or AD to discuss how they create, implement, and oversee project plans.
4. Volunteer for activities and special projects to gain additional experience in planning and managing projects.
5. If not in the AIC role, work with the AIC and AD to identify portions of the engagement that you can plan and manage.
6. If your mission team allows it, attend kick-off and design meetings for other engagements and review their project plans.
7. Ask an AIC, AD, or director (as appropriate) for support in securing opportunities for training, especially if financial resources are needed.

(4/11/2017)

GAO Action Plan for Success
WRITTEN COMMUNICATION

Related GAO Competency
Producing Quality Work (Band I, IIA, and IIB)

GAO Resources
Learning Center Courses
Advanced Writer's Workshop: Streamlining Paragraphs (COANG22) (4 hrs)
Advanced Writer's Workshop: Streamlining Sentences (COANG23) (4 hrs)
Applying GAO Writing Principles (COAN106) (9 hrs)
Getting to a Good First Draft (COANG207) (7 hrs)
Graphics Workshop: The Why, the What and the How (COANG24) (4 hrs)
Highlights 2.0: Communicating Effectively in the Digital Age (COANG26) (4 hrs)
Report Development: Checking for GAO Style (COANG13) (4 hrs)
Writing Seminar (COANG13) (7 hrs)
Writing for Social Media at GAO (COANG35) (3 hrs)
Advanced Graphics Workshop: Exploring Multimedia Options (COANG42) (4 hrs)
SkillSoft Courses
Writing to Reach the Audience (3 hrs)
Writing with Intention (4 hrs)
Essentials of Electronic Communication (1.5 hrs)
GAO Guidance
Words@Work

External Resources
Graduate School USA (www.graduateschool.edu)
Examples:
• Writing for Results (WRIT7110D)
• Clear Writing through Critical Thinking (WRIT7100D)

Relevance to GAO Work

1. Preparing sections of final GAO products (e.g. reports, testimonies, correspondence).
2. Preparing effective workpapers (e.g. interview writeups, records of analysis).
3. Preparing design matrix, message agreement outline.
4. Preparing other written products (e.g. input for team strategic planning documents, GAO's High Risk page, accomplishment reports, GAO Watch Blogs, etc.).

Suggested Actions

1. "Shadow" report reviewers. For teams with a designated report reviewer or peer reviewers, ask if they're willing to let you read some draft reports concurrently and then discuss your comments with one another.
2. Ask your Assistant Director if you can "shadow" them as they review another engagement team's written products (e.g. design matrix, message agreement package, draft report, etc.).
3. Ask your Assistant Director for good examples of written products that correspond with where you are on your engagement. For instance, if you are approaching message agreement, ask them to provide an example of an effective message agreement package another team has used.
4. Ask your Managing Director for examples of written products they thought were highly effective. Offer to compile those on your team's intranet site to help others.
5. Offer to organize a brown bag discussion on using effective graphics and videos in GAO products. Involve your V/CAs and teams who've recently done innovative things with graphics or video.
6. Use your Communications Analyst throughout the engagement. Ask for general tips and tricks on written communication before you start writing. Solicit their specific feedback on your written materials.

(4/11/2017)

GAO Action Plan for Success
DEMONSTRATING LEADERSHIP

Related GAO Competency
Providing Direction and Guidance (Band IIB and Band IIA/AICs), Planning Projects (Band IIB)

GAO Resources
Learning Center Courses
The Role of Conflict (LEOV 330) (4 hrs)
Role of the Leader (LEOV 335) (Not open to all. Required training for new Band IIA analysts) (4 hrs)
Building the Total Team (LEOV 332) (4 hrs)
Delegating Effectively (LEOV 329) (4 hrs)
Managing and Coping with Change (LEOV 327) (4 hrs)
Leadership and Inclusion (INDV 923) (20 hrs)
SkillSoft Courses
Mentoring On-line (2.5 hrs)
Achieving Success: the Help of a Mentor (3 hrs)
Mentoring Strategies for the 21st Century (2.5 hrs)
Mentoring Effectively (2 hrs)
Trends in Coaching (2.5 hrs)
The Coaching Skillset (3 hrs)
Emotions, Mindsets and Coaching (2.5 hrs)
The Key Stages of Coaching (4 hrs)
Successfully Coaching Relationships (5 hrs)
Facilitative Leadership (4.5 hrs)
Facilitating Difficult Situations (5 hrs)
Facilitating Meetings and Work Groups (4.5 hrs)
Intranet
GAO Dimensions of Leadership (<http://intranet.gao.gov/44279p.d>)

External Resources
Graduate School USA (www.graduateschool.edu)
Examples:
• Leadership Skills for Non-Supervisors (ADM87006D)
Coursera (coursera.org)
Example:
• Leading with Sense Specialization
Ted Talks (www.ted.com)
Example:
Leadership Videos - What makes a great leader? These Ted Talks -- from soldiers and psychologists, athletes and entrepreneurs -- share hard-won wisdom on leadership. (<http://www.ted.com/topics/leadership>)
EdX (Free Online Training) (<https://www.edx.org>)
Examples:
• Inclusive Leadership Training: Becoming a Successful Leader
• Inclusive Leadership Training: Get Beyond Work-Life Balance

Relevance to GAO Work

1. As AIC, demonstrating on a day-to-day basis the ability to manage your engagement and team -- i.e. the process and people.
2. As AIC or Band II supervisor, modeling effective communication within and outside of the engagement team, high-quality products, and effective time management.
3. Practicing effective self-direction and self-improvement for career advancement.

Suggested Actions

1. Volunteer to participate in team specific or GAO-wide task forces, CoPAs, or employee groups to obtain new leadership opportunities outside of your engagement.
2. Search for books and/or guides on developing leadership skills.
3. Take responsibility for the development and execution of an objective in your assigned engagement.
4. Select an area in which you have a comparative advantage to showcase your ability to lead.
5. Participate in the GAO mentoring program and/or identify and work with a leader that you respect.
6. Shadow your AIC/AD/Director.
7. Have a conversation with your AD or Director about their approach to leadership and how that influences their work.
8. Have a conversation with someone who was recently promoted to the level above yours. Ask about how their role as a leader changed after the promotion.
9. Organize a meeting of peers in your team to discuss leadership issues unique to your position.
10. Volunteer to take responsibility for organizing a team task force or social activity.

(4/11/2017)

3. Analyst and Auditor Training Programs: Program Team

- Analyst and Auditor Programs Team
 - Manages the Professional Development Program's bundled training for entry level analysts and auditors
 - Responds to requests for new training to address emerging needs
 - Responds to the approval of continuing professional education (CPE) requests

3. Analyst and Auditor Training Programs: Courses for All Analysts and Auditors

- GAO Core values and culture
- GAO policy and protocols (Congressional, International)
- Audit practices and procedures
- Analytic methodology
- Administrative and technology infrastructure





3. Analyst and Auditor Training Programs: Definitions of Band Roles

- **Band I** staff range from newly hired staff who are developing knowledge of GAO policies and skills to performing full range of analyst duties that include basic fact-gathering and analysis.
- **Band IIA** staff apply mastery of audit and evaluation design and implementation to highly complex tasks and carry out assignments with substantial independence.



3. Analyst and Auditor Training Programs: Definitions of Band Roles (Cont.)

- **Band IIB** staff also apply mastery of audit and evaluation design to highly complex tasks and have full responsibility for planning and carrying out projects.
- **Band III** staff manage all aspects of a specific set of engagements. They advise, conduct, or direct work in fulfilling GAO's mission requirements.

3. Analyst and Auditor Training Programs: Core Curricula for Analysts and Auditors

- Band I, II, and III analyst and auditors are required to complete various courses designed to enhance their knowledge, skills, and abilities applicable to performing GAO work. Elective courses are also available.

Band Is

- Take prescribed set of courses over an approximately 1 to 1½ year period; courses organized into 4 “Learning Bundles” (includes classroom and virtual training)

Band IIs and Band IIIs

- Take required courses designated for their Band level when it makes the most sense for their individual development
- All newly promoted Band IIs and Band IIIs are required to attend a multi-day transition series consisting of several prescribed courses



3. Analyst and Auditor Training Programs: Student Interns, PDPs, and Band Is

- Student Intern Program
 - Completes self-paced training checklist
- Professional Development Program (PDP) and Band I Analysts
 - Complete “Developing the GAO Engagement” class before bundled training
 - Bundled Training 1 through 4
 - eLearning Courses
 - learning conducted via electronic media, typically on the Internet



3. Analyst and Auditor Training Programs: Band I – Bundled Learning Courses

➤ **Bundle 1**

- Fundamentals of Evidence (Virtual)
- Interviewing for Information (Part 1)
- Representing GAO to Audited Entities
- Fundamentals of Indexing
- Introduction to Research at GAO

➤ **Bundle 2**

- Interviewing for Information (Part 2)
- Logic of Engagement Planning
- Applying GAO Writing Principles
- *eLearning Only* : Supporting Client Relationships with GAO's CR Toolbox
- *eLearning Only*: Fundamentals of Engagement Documentation



3. Analysts and Auditors Training Programs: Band I – Bundled Learning Courses (Cont.)

➤ **Bundle 3**

- Critical Thinking
- Moving from Data to Message

➤ **Bundle 4**

- Fundamentals of Referencing
- Data Collection Seminar
- Principles of Effective Feedback
- Exploring Unwritten Rules
- Diversity and Inclusion: Continuing Forward



3. Analyst and Auditor Training Programs: Band II – Examples of Required Courses

- Band II senior analysts and auditors are required to take a range of core courses, including:
 - Transition Seminar for Senior Analysts
 - Supervision of Engagement Documentation

3. Analyst and Auditor Training Programs: Band II – Examples of Required Courses (Cont.)

- It is expected that Band II senior analysts and auditors will take a range of core courses, including:
 - Developing the Message
 - Getting to a Good First Draft
 - Role of the Leader (virtual)
 - Working with Communication Styles (virtual)
 - Role of the Analyst In Charge (AIC)
 - Project Management for Analysts and Auditors
 - Navigating Hill Relationships for Band IIs
 - Briefing Skills

4. Leadership Programs: Overview

- Leadership and Executive Development Curriculum
 - Includes classroom and virtually-delivered courses and workshops
- Coaching, Mentoring, and Organizational Development Activities
 - Coaching managers and executive leaders; mentoring program for employees GAO-wide; organization development activities for teams and units
- Cohort Development Activities
 - Includes required 2-year development program for new managers
- Executive Candidate Assessment and Development Program and for new Senior Executive Service employees
- Other Leadership and Executive Development Programs and Services
 - Includes leadership speaker series, leadership book chats, and various personal and group assessment services

4. Leadership Programs: Six Dimensions of Leadership



4. Leadership Programs: Mentoring

Mentoring at GAO provides a professionally enriching experience for mentors and mentees by supporting reciprocal relationships in group situations or individual partnerships.

In addition, the program leverages the diverse backgrounds of all parties, thus creating opportunities to share experiences, knowledge, and skills.



4. Leadership Programs: Mentoring (Cont.)

- GAO's mentoring program:
 - Transitions GAO from a previous manual mentor/mentee matching program to an algorithm-based program through River Software;
 - Allows employees to input information and be automatically matched based on skills and competencies;
 - Enables employees to drive the timing and focus of mentoring relationships;

4. Leadership Programs: Mentoring (Cont.)

- GAO's mentoring program:
 - Supports a range of mentoring types, including: paired, group, situational, peer-to-peer, and reverse;
 - Encourages and enables existing informal mentoring relationships to be brought into new formal program with enhanced technologies; and
 - Provided to all GAO employees across GAO in both HQ and field offices, mission teams and mission-support offices.

4. Leadership Programs: Types of Programs

- The Executive Candidate Assessment and Development Program
- Band III Transition Program
- Band II Transition Program
- Leadership Book Chats
- Leadership Speaker Series
- Assessment Services
- Skillsoft Continuous Leadership Journey
- Leadership Coaching Resources
- Mentoring

4. Leadership Programs: Band III – Examples of Required Courses

- Band III analysts and auditors are required to complete a 2-year development program which includes a range of core leadership courses, including:
 - Transition Seminar for Assistant Directors
 - Delegating Effectively
 - Managing Multiple Engagements
 - Principles of Effective Feedback
 - Supervising Audits/Engagements in the Union Environment
 - Role of the Leader (Virtual Working with Communication Styles)
 - Having Constructive Performance Conversations

5. Learning Operations: Policies and Guidance

- GAO Policies and Guidance
 - Register for External Classes
 - Cancellation and No-Show
 - Change CPE Transcript
 - Self-Certify Class Completion
 - Training Inclement Weather
 - Faculty Travel



5. Learning Operations: Systems

- The Training Registration Resource System (TRRS) allows staff to register for internal classroom and virtual training, launch eLearning courses and access information about courses and upcoming learning opportunities.
- The Training Information System (TIS) allows staff to record credited training courses' information such as the number and nature of CPEs and to self-certify certain training courses.

Thank You!

Question: Is secondment used as a capacitation instrument for auditors at GAO?

Question: Are there leaves for auditors to take their master's or PhD or specialization courses?

Other Questions?