

**Continuing Professional Education: A Practical Ideal Type Model and the Program
Assessment of a Federal Office of Inspector General**

by

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Abstract

Continuing professional education (CPE) programs provide organizations the tools by which they can develop members' skills and competencies required for organizational success. While literature about CPE abounds, little exists that surveys literature and forms the elements of an ideal type model for CPE. The purpose of this research is threefold. First, based on a review of relevant literature, the research develops a model for an ideal CPE program. Second, the research uses the model to gauge how well a federal Office of Inspector General's CPE program reflects the ideal type characteristics. Third, the research provides opportunity to present recommendations for improving the organization's CPE program. The research includes a survey of the organization's members, an interview with an organization CPE administrator, and a comprehensive document analysis. The results of these research techniques determine the extent to which the organization exhibits the characteristics of an ideal type model. Overall, the research suggests that the specific Office of Inspector General exhibits many of the characteristics of the ideal type model including aspects of individual and organizational development, development planning, benefits, evaluation, and other characteristics. However, some subcomponents in these categories exhibit minor weaknesses. Recommendations are provided to address these weaknesses.

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Chapter 1

Introduction

Introduction

On September 8, 2009, President Barack Obama addressed K-12 students across the United States. He emphasized the importance of education and stated that everyone is responsible for their own education. The President challenged students to work hard, set educational goals, and take responsibility for their education. President Obama stressed the importance of education, stating “what you make of your education will decide nothing less than the future of this country. The future of America depends on you.”¹ These words apply to more than K-12 students; they apply to students enrolled in institutions of higher education, as well as those participating in continuing professional education.

Upon graduation, many students will enter the workforce. Many of the organizations that hire graduates help shape the future of the United States by requiring continuing professional education (CPE) as a means to certify and improve professional knowledge and practice (Sleezer 2004). Few occupations exist that do not recognize CPE as a critical aspect of employment (Dirkx *et al.* 2004, 37). In fact, some organizations, including numerous government agencies, require CPE.

CPE Programs

Most organizations that require or encourage their members to participate in CPE do so at great cost. Costs related to participation in CPE often include tuition, travel expenses, and lost work hours. Due to the costs associated with participation in CPE,

¹ For full speech see <http://www.whitehouse.gov/mediaresources/PreparedSchoolRemarks/>

organizations need a policy vehicle to maximize efficiency. Therefore, organizations that encourage or require CPE participation should regulate such participation. Administrators must carefully design and implement CPE programs to avoid the common misconception that CPE programs are, as Nowlen (2000, 23) describes,

dominated by the informational update. In what is typically an intensive two- or three-day short course, a single instructor lectures and lectures fairly large groups of business and professional people, who sit for long hours in an audiovisual twilight, making never-to-be-read notes at rows of narrow tables covered with green baize and appointed with fat binders and sweating pitchers of ice water.

Public and private administrators must design CPE programs to obtain maximum benefit in order to avoid pitfalls such as Nowlen describes.

Governmental Organizations

Most federal government organizations have policies in place requiring employee participation in CPE. These organizations impose such requirements in an effort to help employees develop the requisite skills and abilities to fulfill their organizational roles. Fulfilling organizational roles remains one of the primary factors contributing to the success of these organizations.

Governmental organizations that have CPE programs operate these programs with appropriated funds. Common questions about publically funded CPE programs include, “What is the benefit of using tax payer dollars to pay for the education of government employees?” and “Am I getting the biggest bang for my buck?” With such questions on the minds of the taxpayers, policy makers must determine how to derive the greatest benefit from a governmental CPE program.

Research Purpose

The purpose of this research is threefold. First, this research establishes a practical ideal type model to identify characteristics of an ideal organizational CPE program by reviewing and summarizing scholarly literature. Second, this research uses the ideal model to assess how a federal Office of Inspector General (OIG) fits this ideal type model. The research includes a survey of OIG employees, interviews with administrators, and document analysis. Third, the research provides recommendations for improving the OIG's CPE program based on the program's conformity to the ideal type model.

Developing a model for an ideal CPE program aids both public and private CPE administrators to incorporate characteristics into their programs and improve organizational practices and operations. This research constructs a practical ideal type conceptual framework to identify components of an ideal CPE program. This model assessment tool includes five major components: 1) Individual and organizational development, 2) development planning, 3) benefits, 4) evaluation, and 5) other ideal characteristics. This conceptual framework identifies "what should" (Shields and Tajalli 2006, 324) be the ideal characteristics and allows comparison to actual practice.

Chapter Summaries

Chapter two develops an ideal type model for a CPE program based on elements identified in related literature. Chapter three introduces and discusses the subject of the research; a federal Office of Inspector General (OIG). Chapter four discusses the methodology used to assess how well the federal OIG fits the ideal type model. Research methodology includes a survey of OIG employees, interviews with administrators, and document analysis. Chapter five presents the results of the research. Chapter six presents

recommendations for improving the CPE program at the particular OIG and identifies possibilities for future research.

Chapter 2

Literature Review-Elements of an Ideal CPE Program

Chapter Purpose

This chapter identifies several issues or concepts valuable to both governmental and non-governmental organizations when implementing CPE programs. First, organizations should ensure that CPE programs promote both individual and organizational development. Second, organizations should ensure that they have proper development planning for their CPE programs. Third, organizations must consider and assess the overall value or benefit of CPE programs. Fourth, organizations should ensure that their programs include several levels of evaluation. Fifth, organizations should remain open to other ideal characteristics including, but not limited to equal access and the idea that participation in CPE programs should be voluntary, and available in a variety of mediums. This model contributes to ensuring that organizations maximize the benefit derived from CPE programs.

Elements of an Ideal CPE Program

Individual and Organizational Development

Administrators of ideal CPE programs should consider, ensure, and balance both individual and organizational development. According to Hultman (2001), balancing individual and organizational needs and development is an important aspect in creating a successful organization. Based on the idea that individuals comprise an organization, Kim (1993) argues that organizational development is synonymous with individual development. Therefore, developing skills and competencies of individual members will also develop the overall effectiveness of the organization. As such, organizations should

consider several concepts when implementing a CPE program. First, organizations should promote adult education based on adult learning and education theories; specifically program administrators should understand how and why adults learn. Second, organizations should create a learning organization culture through open acknowledgment of the value of continued learning through organizational goals and policies. Third, CPE program administrators should maintain an awareness of members' intentions to participate in CPE.

Adult education and learning theories: Understanding how and why adults learn.

Before an organization can plan or implement a CPE program, the organization should first understand adult education and learning theories. Ottoson (2000, 46) points out continuing education programming should rest on how adults learn.

An organization's CPE administrators should understand that learning is a multidimensional phenomenon. For years, researchers and scholars have understood that adult learning is a cognitive process (Greenwald 1968; Bransford 1979; and Fischer 1980). However, simple cognition is but one of many dimensions. Adult learning takes place in numerous contexts. Organizations that understand the multidimensionality of adult learning will enhance their understanding of how individuals learn. This understanding will enable organizations to expand their instructional strategies to accommodate these non-cognitive dimensions (Merriam 2008, 95). Similarly, Dirkx *et al.* (2004, 35) argue that to increase effectiveness in continuing education, program administrators should understand adult learning and make changes to facilitate adult learning by understanding how and why adults learn.

Scholars have identified numerous reasons *why* adults learn. First, adults approach learning as a problem-solving endeavor and believe the education will help them solve

problems or overcome challenges (Fisher 1973, Knowles 1990). Merriam and Cafferella (1991) and Lieb (1991) argue that adults have a cognitive interest; they learn for the sake of learning. Adults also tend to embrace lifelong learning. In fact, Houle (1980, 308) suggests that CPE will reach its full potential when organizations consider CPE “as part of a learning process that encompasses an individual’s life.” Other scholars argue that education is not preparation for life; it is life (Rossiter 2007, 5; Dewey 1938; Lindeman 1926). Adults often participate in learning experiences because they perceive an immediate relevance to their personal life or employment. According to Lieb (1991), learning should be applicable to an individual’s work or other responsibilities. Lieb also points out that adults participate in education to form new associations, comply with external expectations or requirements, improve their ability to serve others, secure professional advancement, and relieve boredom.

Scholars have also identified several dynamics associated with *how* adults learn. Knowles’ theory of andragogy (1990) states that adults need to connect their learning to knowledge or experience. Merriam and Caffarella (1991, 249) concur with Knowles’ theory and state that this connection to learning is a fundamental characteristic of adult learners. Lieb (1991) points out that adult learners must be *guided* to knowledge, not merely supplied with facts. Kolb (1976) argues that many adults require active participation or experimentation in their learning processes.²

When designing a CPE program, organizations should understand conceptually how and why adults participate in learning experiences. Once an organization has an understanding of how and why adults learn, the organization should then foster an environment that promotes continued education. In essence, the organization should create a learning organization culture.

² Although this model specifically identifies the kinesthetic learning style, other learning styles include audio and visual. (Friedman and Alley 1984)

Learning Organization Culture.

According to Bierema and Eraut (2004, 58), the concept of learning organizations began in the mid 1980s. Watkins and Marsick (1993, 4) define a learning organization as one that learns continuously and can therefore transform itself. Similarly, Gephart *et al.* (1996, 36) state that a learning organization is “an organization that has an enhanced capacity to learn, adapt, and change. It’s an organization in which learning processes are analyzed, monitored, developed, managed, and aligned with improvement and innovation goals.” Dixon (1999, 122) argues that “the essence of organizational learning is the organization’s ability to use the amazing mental capacity of all its members to create the kind of processes that will improve its own,” or in other words, change for the better. Since nothing is as constant as change, creating a learning organization culture is key to the success of almost any organization.

The concept of a learning organization is arguably the best model for implementing organizational change (Porth *et al.* 1999; Randeree 2006). A learning organization should achieve a balance between its interior cultural life and its exterior functional life for both the organization and each organizational member (Cacioppe and Edwards 2005, 89). Kopelman *et al.* (1990, 284) argued that an organizational culture refers to the “shared meanings and manifestations” within an organization. Building on that, Bates and Khasawneh (2005, 98) state that such an organization “emphasizes the common beliefs, values, and assumptions of organizational members.”

Although creating a learning organization culture is key to the success of many organizations, such an undertaking is not easy. Senge (1990, 272) acknowledges that “building learning-oriented cultures is hard work...[it] is demanding because learning stretches us personally, and it is always easier to stay in our comfort zone.” Although

difficult, re-culturing or creating a learning organization culture can result in a number of benefits including: the establishment of systems to capture and share learning, empowering people toward a collective vision, and minimizing the mentality that only senior management can effect change in an organization (Watkins and Marsick 1993). Creating such a culture allows all members to realize personal potentials.

Organizational development should be rooted in the organization's mission and goals. Therefore, organizations should create learning cultures through openly acknowledging the benefit/value of continuing education through its goals and policies. Gilley and Maycunich (2000, 345) emphasize the importance of linking growth and development initiatives to the organization's strategic goals and objectives. Strategic goals and objectives should lead to processes and policies that help create a learning culture. Such goals, objectives, processes, and policies consist of several methods that openly acknowledge the benefit of continued learning. Open acknowledgement of the benefit of continued learning and the creation of a learning culture can help increase member participation in learning.

Behavioral Intentions.

According to Klein-Kracht (1993, 391) one of the main benefits of learning culture organizations is that these organizations develop professionals "who are about the business of learning, questioning, investigating, and seeking solutions." Schneider and Rentsch (1988) suggest that organizational cultures also create a sense of imperative that influences how organizational members respond. The best learning organization cultures often have CPE programs. However, no matter how great the purpose of a CPE program, programs avail nothing without member participation.

Recent research illustrates a growing trend toward continuing adult education. The research suggests that over 44 percent of adult students in the United States participate in some form of continuing education. This statistic excludes full-time students. The research also suggests that 27 percent of adults participate in career or job related courses (National Center for Education Statistics 2005). The last few decades have yielded vast amounts of literature and several models to help explain and assess behavioral intentions that contribute to participation in continuing education.

Fishbein and Ajzen (1975) argue that personal attitude and subjective norms influence an individual's intention to participate in CPE. Although subjective norms may have an influence, scholars agree that attitude has the most influence on one's behavioral intention to participate in CPE (Cookson 1986; Cross 1981).

Triandis (1975) argues that cognitions directly influence behavioral intention to participate in CPE. He suggests that the intention to behave in a particular way and the actual behavioral patterns will determine how an individual will behave. Triandis also argues that belief about consequences, perceived appropriateness, organizational norms, and personal norms also influence behavioral intention.

A number of scholars question the comprehensive role of behavioral intention on participatory behavior. Fishbein and Ajzen (1975) constructed a model for behavioral intention and participation in CPE. The results of their model and study indicate that attitude is a consistent predictor of the individual's intention to participate in CPE. Although attitude can accurately predict an individual's intention to participate in CPE, the authors note that other factors can influence behavioral intention.

Yang *et al.* (1994, 83) conducted a study on behavioral intention and participation based on the Fishbein and Ajzen model. Although behavioral intention may accurately predict an individual's participation in CPE, Yang *et al.* concluded that "variables

external to the behavioral intention model indirectly influence behavioral intention and participation behavior.”

Groteleuschen and Caulley (1977) argue that three factors influence behavioral intention. These factors include the individual’s attitude toward participating in CPE, how individuals perceive their peers’ perceptions of CPE participation, and the individual’s personal beliefs (individuals may question whether their participation in CPE conflicts with their beliefs).

In addition to perceptions and beliefs, the best planned programs are without value if individuals have little or no motivation to change (Cervero and Rottet 1984, 145). However, if an organization has instilled in its employees that it is a learning organization, and if the employees are motivated to change, development planning will contribute to an effective CPE program.

Motivation is the driving force behind altering an individual’s attitude. Murphy *et al.* (2006, 365) conducted a literature review and concluded that the primary motivators for participation in CPE were improving self-esteem, confidence, and the expectation that higher educational qualifications would result in greater opportunities for promotion. Organizations should motivate their members through providing opportunities for promotion or other benefits.

In summary, organizations must develop an understanding about how and why adults learn and develop. Once an organization has this understanding, it can create a culture of learning. An organization’s learning culture, if properly structured, can alter or create member attitudes necessary and motivate members to change. To monitor this change, the organization should have an awareness of members’ behavioral intentions. The ability of an individual member to adapt or change will ensure the success of the individual and the organization.

Development Planning

Once an organization has considered the aforementioned developmental concepts, it should consider development planning and the creation of a CPE program. A successful CPE program should have the following characteristics. First, the organization should have an organizational development plan (ODP). Second, an organization should allow individuals to develop their own development plans (IDP). Third, an organization should provide supervisory oversight of the members' IDPs.

Organizational Development Plan.

Richard Beckhard, a pioneer in the field of organizational development, defined an organizational development plan as a top-down, organization-wide effort to increase the organization's effectiveness and health (Beckhard 1969). An organizational development plan often results from an organizational change. Quite often, a development plan is an education strategy designed to change the beliefs, attitudes, and structures of organizations so those organizations can better adapt to new knowledge, markets, and organizational challenges (Fisher 1973, 495). Griffey (1998) argues that the organization that attaches its strategic development plan to the highest level of organizational framework will be the organization best suited to adapt to change and challenge in the future.

An organizational development plan should have several defining characteristics. First, it should develop the internal capacity to efficiently and effectively perform the work required to fulfill its mission and sustain itself for an extended period of time. Second, a development plan should include organizational learning. Organizational learning can drive organizational transformation if properly planned and implemented (Robinson, *et al.* 1997, 228). Third, the organization should provide continuous learning

opportunities and ensure that those opportunities help members achieve organizational goals. Fourth, an organization should ensure that the development plan develops not only the organization, but individual members as well (Gilley and Maycunich 2000, 345). Fifth, an organizational development plan should ensure that the organizational culture aligns with the values and goals of the organization and its members (Branson 2008, 377). When organizational members work in a culture of organizational values and goals, they often develop the desire to meet those goals. Sixth, organizational development plans should allow member input. Those affected by a change must actively participate in development planning. Participation gives members a sense of ownership and people more enthusiastically support what they help create (Beckhard 1969, 26-27). Senge (1990, 14) states that, “people continually expand their capacity to create results they truly desire.” Such expansion results in an organization that “continually expand[s] its capacity to create its [own] future.”

Fisher (1973, 495) argues that there are three main components to an organizational development plan. First, an organization should have a means of diagnosing problems. Therefore, an organization should have a data collection method for the organization’s subcomponents and the organization as a whole. Second, an organization should have a means of intervention. Continuing professional education is a common form of such intervention. Third, an organization’s plan should include a means of maintenance. Continuing professional education is also a common form of maintaining an organization’s various elements.

An organizational development plan should also ensure it has the full support of its stakeholders. Allan Knox (2000, 18) acknowledges numerous stakeholders influence the quality of education. He classifies the stakeholders as either internal to the program or external. In many cases, internal stakeholders include: learners, instructors, and

administrators. External stakeholders include: policymakers, supervisors, funders, accreditors, and representatives of collaborative organizations. Knox indicates that “a challenge to leaders of professional education is to obtain support from both sets of stakeholders” (1982, 18). Knox also argues that provisions for each set of stakeholders to contribute to the planning and implementation of the CPE program will ensure the program has proper support and is mutually beneficial (Knox 2000, 18). As one of the primary stakeholders, learners should have opportunities to provide input to, or even create, their own development plans. Bierema and Eraut (2004, 62) agree that organizations should give a greater priority to user perspectives.

Individual Development Plans.

According to Bierema (1996, 25), “employees deserve the space and support to create and articulate a personal vision and understand how it connects to the organizational purpose and goals.” Staats (1977, 76) argues that all development is self-development and all development is individual. Staats also argues that putting career planning and development in the hands of anyone but the learner will pre-empt any development. An individual development plan (IDP) is part of a learner’s personal vision. Fisher (1973, 490) adds that learners need to be involved in diagnosing their own educational needs. Fisher also suggests learners need to buy into the educational experience through their involvement in CPE planning.

One method of learner involvement in CPE is the use of individual development plans. A learner’s involvement in CPE planning is crucial to the success of a CPE program. Evans *et al.* (2002, 82) conducted a study evaluating the use of individual development plans. The results indicate that 87 percent of their sample felt that individual development plans affected their personal development. The results also indicated that 78

percent of the respondents felt that individual development plans had an effect on their professional practice. Evans *et al.* (2002, 79) concluded that individual development plans are an effective means of continuing professional development because these plans promote changes in the personal and professional development of the learner. Although IDPs can impact both personal and professional development, organizations should ensure that IDPs meet both individual and organizational needs.

Supervisory Oversight.

Supervisory oversight ensures that CPE meets both individual and organizational goals. Supervisors working closely with individual learners can better understand individual goals. Similarly, supervisors often have a clear understanding of organizational goals and can ensure CPE promotes organizational goals as well.

Staats (1977, 75) argues managers should understand growth occurs both upward and laterally. He emphasizes career development is personal and some individuals do not aspire to leadership or management positions. Conversely, some individuals do aspire to management and leadership positions. Therefore, managers should consider the individual learner's intentions when approving CPE classes. Furthermore, CPE administrators should ensure that requested CPE courses contribute toward meeting the organization's goals and mission.

Supervisory support has become an important component to learning organizations. Bierema and Eraut (2004, 58) suggest that "managers are increasingly expected to foster the learning of their staff." Supervisors can act as mentors and can reflect on their own experience to promote the improvement of their subordinates. Fletcher (2007, 78) argues that mentoring subordinates bolsters professional and personal growth. Grosjean and Sork (2007, 24) argue that supervisors should help their

subordinates recognize and improve their learning opportunities and help members “develop plans to satisfy their individual learning needs.” Furthermore, mentoring and supervisory input allows individuals to draw ties between CPE’s contribution to their professional goals and CPE’s contribution to the organizational goals. Meeting both personal and organizational goals creates mutual benefit. Individual development plans should be subject to supervisory oversight and program administrative approval to ensure that CPE coursework benefits both the individual and the organization.

Benefits

A successful CPE program must benefit both the individual and the organization. Cacioppe and Edwards (2005, 89) argue that an organization’s cultural life be balanced at both the individual and organizational levels. For the individual, a CPE program should contribute to physical and psychological well being; increase learner competence and confidence; ensure sustainable livelihood; and provide a greater understanding of the individual’s own human complexity. For the organization, an ideal CPE program should retain organizational learners and improve performance through knowledge and skills development. Furthermore, in an effort to achieve the maximum value, an organization should ensure the CPE curricula’s conceptual integratability.

Personal benefit.

Individual learners should benefit from their participation in CPE. Sheldon and Kasser (2001, 40) argue that progress toward meeting goals is a strong predictor of physical and psychological well-being. Fisher (1973) believes that CPE will help the individuals know more about themselves as complex, learning human beings. This knowledge contributes to psychological well being. Fisher (1973, 494) also argues that

CPE should contribute to total life planning, including physical health, family relations, and the near and distant futures.

In addition to physical and psychological well-being, if individuals develop competence they “develop something real, presently valuable, and personally rewarding” (Staats 1977, 73). Greater competence can lead to greater confidence and self-awareness, as well as the ability and desire to take on new organizational roles. Accepting new organizational roles can help ensure prolonged sustainable livelihood. Jacobs and Hawley (2003, 1017) argue that workforce development provides “individuals the opportunity to realize a sustainable livelihood and organizations [the ability] to achieve exemplary goals consistent with the history, culture, and goals,” of the organization.

Organizations will almost certainly develop as a result of CPE (Fisher 1973, 492). Staats (1977, 73) acknowledges as individuals seek personal improvement, achievement, and success in their current situations through CPE, these individuals contribute to their own growth and that of the organization as well.

Organizational benefit.

The organization should benefit from its CPE program. Organizational administration should determine if its investment in CPE yields adequate returns. Since many organizations have limited funding or are funded through taxes, an important consideration for any CPE program is whether or not it is economical. Although a cost benefit analysis is an effective way to determine a program’s value, this paper omits this concept due to the lack of resources. Instead, to determine the feasibility of a CPE program, administrators should understand human capital theory and consider the benefits of CPE participation such as retention and improved performance through the integration of knowledge and skills.

Adam Smith (1937) first introduced human capital theory in his book *Wealth of Nations*. Human capital “refers to the productive capacities of human beings as income producing agents in an economy” (Hornbeck and Salamon 1991, 3) and to the “present value of past investments in the skills of people” (Blaug 1976, 19). Smith argued that variations in human capital investment explain and justify variations in organizational success (Smith, 1937, 101). Although human capital can begin in pre-professional education, CPE plays a critical role in building professional human capital.

Retention remains one of the major benefits of CPE. Messmer (2006) identifies opportunities for career development and advancement as one of four retention factors. According to Messmer, for many workers, opportunities for continuous learning weigh heavily in their decisions to remain in or accept positions. Therefore, organizations increasingly emphasize “career development activities and boosting training allowances and reimbursement amounts for CPE” (Messmer 2006, 2). Organizational administrators should consider how CPE influences retention in their organization.

In addition to retention, organizations that have CPE programs should see improved performance. Performance is the means through which organizations measure progression towards meeting goals (Bierema and Eraut 2004, 60). Nadler and Nadler (1992, 84) suggest that “learning brings about the possibility of a change in performance.” Similarly, Bierema (1996, 4) suggests that performance improves with individual development. However, Poell *et al.* (2000, 29) argue that “learning is considered to be a tool of management and should be mainly relevant for work performance. Relevance for employee development is secondary and usually limited to taking into account their learning style and needs within the learning program.”

Cervero and Rottet (1984, 135) point out most research in this area frames the question as, “Does CPE improve professional performance.” However, since most

failing programs do not report their failures, the authors argue that the appropriate questions is, “Under what conditions and for what types of individuals are which characteristics of continuing education most likely to improve professionals’ performance?” The authors indicate that although CPE programs often make a considerable difference in performance outcomes, a program should never receive total credit or blame for the success or failure in improving performance due to numerous other contributing factors. Similarly, Mott (2000, 25) states that, “performance cannot be significantly affected by any single form of intervention.” Furthermore, administrators should recognize it takes time for investments to yield full return (Synnerstrom n.d.).

Although CPE programs are not the only influence on organizational performance, they are contributory when conceptually integrated. Without the conceptual integration of CPE, the program will not likely result in improved performance. Traditionally, scholars exclude training from CPE and classify training as human resource development (HRD) (Bierema and Eraut 2004). However, some scholars and organizations argue that training is an integral part of any CPE program.

The ideal CPE program should implement both training (skills) and traditional CPE (knowledge and concepts). Unlike traditional CPE, in which learners construct IDPs subject to supervisory oversight, VanLoo and Rocco (2006, 210) suggest that organizations should completely control training, thereby ensuring organizational members have the required skills to perform their duties. Mott’s (2000, 27) model of skill acquisition indicates emphasis should be on learning from experience. Organizations should ensure that training and traditional CPE courses improve performance through the integration of authentic, situated, and practice-centered learning into the context of actual practice (Daley and Mott 2000, 83).

Evaluation

A good CPE program should include evaluation. Such evaluation should occur at several different levels within the organization. First, organizational members should have opportunities to evaluate their own individual courses. Second, members should formally evaluate the extent to which CPE courses contribute to reaching the goals established in their IDPs. Third, CPE administrators should analyze course evaluations to determine how individual courses contribute to individual and organizational development. Fourth, CPE administrators should perform routine evaluations of the CPS program's contribution to organizational development.

Evaluation of Coursework.

Post CPE course completion, learners should have the opportunity to provide feedback to both the CPE provider and the organization. Bierema and Eraut (2004, 61) point out that in the recent past CPE providers paid little attention to how coursework affected work performance. However, many CPE providers now provide course evaluation forms at the conclusion of each course. These forms allow providers to recognize both strengths and weaknesses, and subsequently make course modifications. In addition to improving course content, these evaluations identify effective instructors and help new instructors improve. Craven and DuHamel (2000, 58) suggest that "course evaluations are the most important guide to successful future offerings."

Course evaluations can prove beneficial to the organization as well. After completing CPE coursework, organizations should require their learners to provide feedback to program administrators. This feedback allows administrators to evaluate course effectiveness and make informed recommendations to other learners. Furthermore,

feedback allows administrators to judge how coursework contributes to organizational goals and allows administrators to take action based on analysis.

Evaluation of Course Contribution to Individual Development.

In addition to organizational goals, coursework should help individuals meet their own developmental goals. Learners should reflect on coursework and determine its contribution to meeting individual developmental goals. Furthermore, organizations should encourage supervisors to evaluate learners' progress toward meeting individual development goals by reviewing progress with the learners. Bierema and Eraut (2004) argue that these evaluations measure the impact on individual users. Therefore, these evaluations allow supervisors and program administrators to evaluate the effectiveness of CPE toward meeting individual development goals.

Evaluation of Course Contribution to Organizational Development.

Administrators and supervisors should perform regular evaluation of CPE's contribution to organizational development. A CPE program should be designed to implement change to better an organization. If administrators determine the program is of little value, they should consider restructuring or discontinuing the program. Although CPE programs provide numerous benefits to individual learners, the programs should be mutually beneficial. According to Bierema and Eraut (2004), evaluation of CPE programs measure the impact on the organization. Ottoson (2000) argues that evaluations should link program components and organizational outcomes.

Other Characteristics

In addition to the aforementioned ideal characteristics for CPE programs, effective CPE programs should have several other attributes. First, an ideal CPE program should ensure equality in availability and access for all organizational members. Second, members should voluntarily participate in a CPE program. Third, an ideal CPE program should consist of different mediums for CPE education and training.

Availability.

Organizations with CPE programs should ensure that all organizational members have equal access to CPE. As Poell *et al.* (2000, 29) point out, CPE has the potential to create a “learning elite.” If an organization restricts access to CPE, the organizational members who do not have access “run the risk of becoming second-rate employees who may experience resulting unemployment.”

Voluntary Participation.

Although an organization should provide equal opportunities for its members to participate in CPE, participation should be voluntary. Arguably, if members are unwilling or incapable of participating in continued learning, perhaps “second-rate” may be an appropriate designation. Since learning develops both the individual and the organization, if members are reluctant or refuse to learn, organizations may consider member termination to halt the retardation of organizational development. Eliminating weaker links may benefit the organization and prompt weak members to find employment more suitable to their desires and abilities.

Different Mediums.

Although learners may have access to and volunteer to take CPE courses, many organizations cannot afford to send their learners to distant locations to participate in CPE. In addition to CPE tuition, organizations often find themselves paying for travel and lodging expenses as well. Furthermore, organizations must consider the cost of organizational members' absence from regular duties. In recent years, CPE providers have attracted more students by offering courses in a variety of mediums. Craven and DuHamel (2000, 58) identify "providing options" as one of the key tenets of successful CPE marketing. The authors acknowledge that working professionals are busy and suggest finding courses in alternative formats.

Online courses are now one of the most common alternative CPE formats. Allen and Seaman (2007) suggest the online environment is one of the fastest growing contexts for professional education. Most higher education institutions now offer online classes. According to the authors, nearly 3.5 million students participate in online coursework each year.

An ideal CPE program should grant its participants access to CPE providers that offer coursework in different mediums. This access allows the organization and the learners to eliminate travel costs. Online participation also allows more students to participate, due to the flexibility of online coursework.

Summary of Conceptual Framework

Table 2.1 provides a summary of elements included in an ideal CPE program as identified in the literature. A conceptual framework connects the research purpose with the related scholarly literature (Shields 1998, 202). This table connects the literature to the elements of an ideal CPE program. Based on the literature, this model includes five

major categories including: individual and organizational development, development planning, benefits, evaluation, and other characteristics of ideal CPE programs.

Table 2.1: Conceptual Framework

Ideal Type Category	Literature
Individual and Organizational Development	
<p>Organization administrators should promote adult education based on an understanding of how and why adults learn.</p> <p>CPE programs should consist of adult education based on <i>how</i> adults learn.</p> <p>Adults should be guided to knowledge, not just supplied with facts.</p> <p>Adult learning should connect knowledge to experience.</p> <p>Adults should learn through active involvement in the learning process.</p> <p>CPE programs should consist of adult education based on <i>why</i> adults learn.</p> <p>Members should be expected to participate in CPE.</p> <p>Participation in CPE should better enable members to serve the community.</p> <p>Participation in CPE should help members advance themselves professionally.</p> <p>Organization administrators should create a learning culture by openly acknowledging the value of continued learning through organizational <i>goals</i> and <i>policies</i>.</p> <p>Organizations should openly acknowledge the value of CPE through <i>goals</i>.</p> <p>Organizations should have specific goals that establish a learning culture.</p> <p>Member participation in CPE should be a contributing factor in successfully meeting organizational goals.</p>	<p>Bates and Khasawneh 2005 Bierema and Eraut 2004 Bransford 1979 Cacioppe and Edwards 2005 Cervero and Rottet 1984 Cross 1981 Cookson 1986 Dewey 1938 Dirkx, <i>et al.</i> 2004 Dixon 1994 Fishbein and Ajzen 1972 Fisher 1973 Fischer 1980 Gephart <i>et al.</i> 1996 Gilley and Maycunich 2000 Greenwald 1968 Groteleuschen and Caulley 1977 Houle 1980 Hultman 2001 Kim 1993 Klein-Kracht 1993 Kopelman, <i>et al.</i> 1990 Knowles 1990 Kolb 1976 Lieb 1991 Lindeman 1926 Merriam 2008 Merriam and Cafferella 1991 Murphy, <i>et al.</i> 2006 Ottoson 2000 Porth, <i>et al.</i> 1999 Randeree 2006 Rossiter 2007 Senge 1990 Schneider and Rentsch 1988 Triandis 1975 Watkins and Marsick 1993 Yang, <i>et al.</i> 1994</p>

Table 2.1: continued

Ideal Type Category	Literature
<p>Organization administrators should create a learning culture by openly acknowledging the value of continued learning through organizational <i>policies</i>.</p> <p>Organizations should have policies that reflect an emphasis on learning.</p> <p>Organizations should adhere to learning related policies.</p> <p>Administrators should maintain an awareness of members' intentions to participate in CPE.</p>	
Development Planning	
<p>An organization should have its own goal and mission-oriented CPE development plan.</p> <p>Organizations should encourage individuals to include CPE in individual development plans (IDP).</p> <p>Organizations should provide supervisory oversight over CPE in members' IDPs.</p>	<p>Beckhard 1969 Bierema 1996 Bierema and Eraut 2004 Branson 2008 Evans <i>et al.</i> 2002 Fisher 1973 Fletcher 2007 Gilley and Maycunich 2000 Griffey 1998 Grosjean and Thomas 2007 Knox 1982 Knox 2000 Robinson <i>et al.</i> 1997 Senge 1990 Staats 1977</p>
Benefits	
<p>A CPE program should benefit individual members.</p> <p>A CPE program should benefit the organization.</p>	<p>Bierema 1996 Messmer 2007 Bierema and Eraut 2004 Blaug 1970 Cacioppe and Edwards 2005 Cervero and Rottet 1984 Daley and Mott 2000 Fisher 1973 Hornbeck and Salamon 1991 Jacobs and Hawley 2003 Mott 2000 Nadler and Nadler 1992 Poell, <i>et al.</i> 2000 Sheldon and Kasser 2001 Smith 1937 Staats 1977 Synnerstrom n.d. VanLoo and Rocco 2006</p>

Table 2.1: continued

Ideal Type Category	Literature
Evaluation	
Members should have opportunities to evaluate their individual courses.	Bierema and Eraut 2004 Craven and DuHamel 2000 Ottoson 2000
CPE administrators should analyze course evaluations to determine how courses contribute to organizational development.	
An organization should perform routine evaluation of CPE’s contribution to organizational development.	
CPE administrators should guide their actions based on the results of CPE evaluations.	
Members should formally evaluate the extent to which CPE courses contribute to goal achievements as outlines in their IDPs.	
Other Characteristics of Ideal CPE Programs	
Organizations should ensure equal access to CPE for all organizational members.	Allen and Seaman 2007 Craven and DuHamel 2000 Poell <i>et al.</i> 2000
Member participation in CPE should be voluntary.	
CPE coursework should exist in variety of mediums.	

Chapter Summary

Administrators that desire to affect change in their organizations should consider a number of factors when implementing CPE programs. First, CPE programs should be designed to promote individual and organizational development. Second, organizations should ensure the proper development planning for CPE programs. Third, organizations must consider and assess the benefits of CPE programs. Fourth, organizations should ensure programs include several levels of evaluation. Fifth, organizations should remain open to other concepts including, but not limited to, availability; the idea that participation in CPE programs should be voluntary; and course availability in different mediums. Thoughtful consideration of these factors can create an ideal CPE program.

Chapter 3

Methodology

Chapter Purpose

This chapter identifies the federal agency that is the subject of this study and describes how the empirical data for this research was collected and analyzed. According to Shields (1998, 203), an ideal type model gauges how close actual practice reflects an ideal model. This case study employs three techniques to determine how well a federal Office of Inspector General fits the practical ideal type model. This study surveyed the organization's employees, interviewed CPE administrators, and reviewed organizational documents. Each survey question, interview question, or document review addressed a particular sub-topic from the components of the ideal type model. For example, the statement, "I evaluate CPE's contribution to progress in my IDP" evaluates if employees perceive that they regularly gauge CPE's contribution to their individual development. This sub-topic is listed under the *evaluation* category. This chapter also addresses human subjects' protection.

About Federal OIGs

The Inspector General Act of 1978 established the first federal Offices of Inspector General. Many major departments of the United States government now have an Office of Inspector General. Currently, thirty different federal organizations, ranging from the Department of Agriculture to Veteran's Affairs, have presidentially appointed OIGs.³ These organizational sub-components are responsible for ensuring efficiency and protecting the integrity of their organizations through audits and investigations. Offices of

³ For a current list as of October 2009 see <http://en.wikipedia.org/wiki/Inspector_General>

Inspector General typically employ criminal investigators, administrative investigators, auditors, and inspectors to ensure efficiency and protect integrity.

Agency Anonymity

The subject of this research is a federal Office of Inspector General. Organization administrators requested that the organization's identity remain anonymous. Agency anonymity proves beneficial for several reasons. First, agency anonymity helps protect the identities of the survey respondents, the interviewees, and the organization administrators. Second, agency anonymity prevents immediate public scrutiny and allow agency administrators to implement recommendations without losing public trust.

Research Applicability

This research directly pertains to the specific federal OIG under review. However, since most OIGs are responsible for ensuring efficiency, this research directly applies to other OIGs and can help ensure the efficiency of other agencies' CPE programs. Although this research results in recommendations to help better a CPE program in a specific OIG, this research is relevant to other federal and state agencies, local governments, and non-governmental organizations. The practical ideal type model developed in chapter two can, with some modification, serve as a guide for both governmental and non-governmental CPE administrators alike.

Operationalization of the Practical Ideal Model

Table 3.1 operationalizes the practical ideal type model as developed through the literature review. The ideal type categories and sub-categories; research methods; and survey/interview questions or documents are provided in a side-by-side format.

Table 3.1: Operationalization of the Conceptual Framework

Ideal Type Categories	Research Method	Survey/Interview Question, Document
Individual and Organizational Development		
<p>Organization administrators should promote adult education based on an understanding of how and why adults learn.</p> <p>CPE programs should consist of adult education based on <i>how</i> adults learn.</p> <p>Adults should be guided to knowledge, not just supplied with facts.</p> <p>Adult learning should connect knowledge to experience.</p> <p>Adults should learn through active involvement in the learning process.</p> <p>CPE programs should consist of adult education based on <i>why</i> adults learn.</p> <p>Members should be expected to participate in CPE.</p> <p>Participation in CPE should better enable members to serve the community.</p> <p>Participation in CPE should help members advance themselves professionally.</p>	<p>Structured Interview</p> <p>Survey</p>	<p>Can you identify several aspects of how adults learn that are evident in the CPE program?</p> <p>Can you identify several reasons why organizational members participate in the CPE program?</p> <p>CPE courses <i>guide</i> me to <i>useful</i> knowledge, not just supply me with mere facts.</p> <p>I can connect knowledge gained through CPE to experience.</p> <p>CPE coursework requires my active participation.</p> <p>I participate in CPE because I am expected to.</p> <p>My participation in CPE enables me to better serve my country/organization/others.</p> <p>My participation in CPE plays a factor in my professional advancement.</p>
<p>Organization administrators should create a learning culture by openly acknowledging the value of continued learning through organizational <i>goals</i> and <i>policies</i>.</p> <p>Organizations should openly acknowledge the value of CPE through their <i>goals</i>.</p>	<p>Structured Interview</p>	<p>Does the organization have specific goals for promoting a culture of learning in the organization? Describe.</p> <p>Does the organization reach these goals?</p> <p>Does the organization emphasize the importance of learning through its policies? Describe.</p>

Table 3.1: continued

Ideal Type Categories	Research Method	Survey/Interview Question, Document
Organizations should have specific goals that establish a learning culture. Member participation in CPE should be a contributing factor in meeting organizational goals.		Does the organization follow these policies? Does the organization make an attempt to instill its perception of the value of continued education in its members? How?
Organization administrators should create a learning culture by openly acknowledging the value of continued learning through organizational <i>policies</i> . Organizations should have policies that reflect an emphasis on learning. Organizations should adhere to learning-related policies.	Survey Document Analysis	My organization values continued education. I belong to an organization with an established learning culture. Directive X, Organization Goals
Administrators should maintain an awareness of members' intentions to participate in CPE.	Structured Interview	Do you monitor employee intention to participate in CPE? If yes, how?
Development Planning		
An organization should have its own goal and mission-oriented CPE development plan.	Structured Interview	Does the organization have a CPE development plan oriented toward its goals and mission? If yes, can you describe it?
Organizations should encourage individuals to include CPE in their individuals development plans (IDP).	Survey	My organization encourages me to include CPE in my IDP.
	Document Analysis	IDP Forms and IDP guidelines.
Organizations should provide supervisory oversight over CPE in members' IDPs.	Structured Interview	Are there approval processes for participating in CPE? Can you describe them?
	Survey	The CPE in my IDP is subject to approval. My supervisors provide recommendations for CPE coursework.
	Document Analysis	IDP Forms, Policies
Benefits		
A CPE program should benefit individual members.	Survey	CPE helps me meet my personal goals. CPE helps me meet my professional goals.

Table 3.1: continued

Ideal Type Categories	Research Method	Survey/Interview Question, Document
		<p>CPE contributes to my psychological well-being through self-fulfillment.</p> <p>CPE either directly or indirectly contributes to my physical well-being.</p> <p>CPE provides me with greater competence.</p> <p>CPE provides me with greater confidence.</p>
A CPE program should benefit the organization.	Structured Interview	<p>Does the CPE program benefit the organization?</p> <p>How does the CPE program benefit the organization?</p>
	Survey	My participation in CPE benefits the organization.
Evaluation		
Members should have opportunities to evaluate their individual courses.	Survey	Upon completing a CPE course, I have an opportunity to evaluate the course.
	Document Analysis	Course Evaluation Forms Directive Number: OIG 76-1
CPE administrators should analyze course evaluations to determine how courses may contribute to organizational development.	Structured Interview	Do you analyze course evaluations to measure a course's contribution to organizational development?
An organization should perform routine evaluation of CPE's contribution to organizational development.	Structured Interview	<p>Does the organization evaluate CPE's contribution to organizational development?</p> <p>How often is CPE's contribution to organizational development evaluated?</p> <p>How is this evaluation made?</p>
CPE administrators should guide their actions based on the results of CPE evaluations.	Structured Interview	<p>Do you respond to course evaluations?</p> <p>What actions do you take?</p>
Members should formally evaluate the extent to which CPE courses contribute to goal achievements as outlined in their IDPs.	Structured Interview	Do members evaluate CPE's contribution to their IDPs? How?
	Survey	I evaluate CPE's contribution to progress in my IDP.
Other Characteristics of Ideal CPE Programs		
Organizations should ensure equal access to CPE for all organizational members.	Structured Interview	Do all organizational members have equal access to CPE?
	Survey	I am provided equal access to CPE courses.
	Document Analysis	Directive Number: OIG 76-1
Member participation in CPE should be voluntary.	Structured Interview	Is CPE participation mandatory or voluntary? Why?
	Survey	My participation in CPE is voluntary.

Table 3.1: *continued*

Ideal Type Categories	Research Method	Survey/Interview Question, Document
	Document Analysis	Policies
CPE coursework should exist in variety of mediums.	Structured Interview	Are CPE courses offered through different mediums?
	Survey	CPE courses are available in different mediums.
	Document Analysis	Approved CPE provider course offerings.

Interviews

This study uses a structured interview as a research technique because this technique provides answers to specific questions related to the subject. This study included a structured interview with the CPE administrator from the OIG. The interview questions included, but were not limited to, those listed in **Attachment A**. The interview allowed the assessment of some aspects of the CPE program based on the administrator's responses. Some questions required the administrator to compile information and documents to provide answers. Therefore, the administrator received some questions in advance which allowed the administrator to provide the most accurate and complete information.

As with any other research method, interviewing has advantages and disadvantages. One advantage is that interviews yield rich data and provide new insights. Other advantages include: the ability to explain or clarify questions, the ability to explore topics in greater depth, and the ability to probe. These advantages are important because they provide a more accurate picture. Some disadvantages of interviewing include: interviewee error or bias, interviewee discomfort, and the concept that interviews sometimes prove difficult to analyze. Error and biases were minimized through question design. Potential interviewee discomfort was minimized by providing the questions in

advance and ensuring both organization and individual anonymity. The interview questions were created in a manner that allowed for simple analysis.

Survey

This study uses survey research as one assessment technique because this technique can identify organizational members' perceptions of the CPE program. However, survey research has both strengths and weaknesses. Survey research tests numerous subjects. Babbie (2004, 243) states that the survey method "is probably the best method available to the social researcher who is interested in collecting original data for describing a population too large to observe directly." Babbie (2001, 269) also argues that a simple questionnaire proves effective because it collects information from numerous subjects and generally has high reliability. Large samples also help make the results more statistically significant. Additionally, surveys have the potential to provide quick responses, especially if conducted electronically. Electronic data also makes analysis easier.

Although survey research has numerous strengths, it also has several weaknesses. Babbie (2009, 287) identifies two major weaknesses of survey research as inflexibility and standardizations. The survey must be standardized and broad enough to apply to the entire sample. Unlike other research methods, researchers cannot modify a survey once issued. Furthermore, researchers must ensure a large number of the selected sample will reply. In addition to the aforementioned weaknesses, Beebe *et al.* (2006) argue that in some cases, web surveys suffer from greater error and non-response than do paper surveys. Additionally, Converse and Presser (1986, 65) argue that survey questions should undergo at least two pretests. Pretests take time but are important in making survey question adjustment.

Several accommodations were be made to address the weaknesses inherent in survey research. First, as Babbie (2001, 225) points out, surveys should have a second request for completion. This study included a second request for survey completion. Those who already responded did not respond again. Second, two administrators reviewed the survey questions to eliminate biased questions and/or recommend additional questions. This review had a quick turnaround.

The survey includes twenty-three questions measured on a Likert scale, where 1 represents strongly disagree and 4 represents strongly agree.⁴ All employees of the OIG, approximately 166 people, received the surveys via e-mail. The survey was sent out via Survey Monkey, an internet based survey service. Descriptive statistics based on the collected survey data appears in tabular form in the next chapter.

Document Analysis

In addition to collecting data through employee survey, this study also uses document analysis as a research technique because such analysis provides clear evidence of the policies and procedures of the organization. Documents include, but are not limited to, directives, individual development plan forms,⁵ an organizational development plan, approved CPE provider course offerings, and course evaluation forms.⁶ The specific document titles are omitted to preserve the agency's anonymity.

Human Subjects Protection

This research includes structured interviews and surveys. The methods of data collection require human subjects and therefore give rise to potential ethical concerns.

⁴ See Appendix B CPE Survey Questionnaire

⁵ See Appendix D IDP Form

⁶ See Appendix F CPE Course Evaluation Form

According to Babbie (2004, 64-68), some areas of ethical concern in social research include: lack of voluntary participation, deception, lack of anonymity/confidentiality, and harm to the participants.

In an effort to ensure voluntary participation and prevent deception, communication to solicit survey participation or interviews included a full disclosure of the research purpose and a full description of the research method.

The researcher also ensured anonymity/confidentiality by maintaining sole access to individual survey and interview responses. The researcher also had the sole access to the identities of individual participants. Furthermore, the research does not disclose individual identities or corresponding responses.

The research prevented harm to participants through full disclosure and informed consent. The research surveys and interviews solicited participant perceptions or understanding of the CPE program. Participants had the option to excuse themselves from participation though non-submittal. Organizational members who chose not to submit their survey responses were excused from participation without prejudice. Interviewees had the option to provide responses “off the record,” or could terminate the interview without prejudice. Furthermore, for the purpose of this research, and as requested by the agency, the identity of the OIG remains anonymous.

Based on the aforementioned criteria, the Office of Research Compliance Institutional Review Board of Texas State University-San Marcos granted an exemption and provided exemption number EXP2009D7496⁷.

⁷ See Appendix C Exemption

Chapter Summary

This chapter presented the methodology of the research. The research methodology included interviews, a survey, and document analysis. These methods were chosen for their applicability and their strengths. Weaknesses were identified and the study implemented measures to address these weaknesses. This chapter also addressed human subject's protection and provided an IRB exemption number.

Chapter 4

Results

Chapter Purpose

The first purpose of this research is to construct practical ideal type model for CPE programs based on the review of related literature. This chapter uses the practical ideal model to determine the degree to which the OIG's CPE program meets the ideal type characteristics. The categories indentified in the literature include: individual and organizational development, development planning, benefits, evaluation, and other characteristics. This research evaluation is based on structured interviews, survey results⁸, and document analysis. This chapter summarizes the structured interviews, survey results, and document analysis using ideal type categories and their sub-categories.

Individual and Organizational Development

The research first tested individual and organizational development. CPE administrators should take measures to ensure that the CPE programs develop both the organization and the individual. Such measures include promoting adult education based on an understanding of how and why adults learn, creating a learning culture by openly acknowledging the value of continued learning through organizational goals and policies, and maintaining an awareness of members' intentions to participate in CPE.

An interview with a CPE administrator revealed that the administrator does have an understanding of how and why adults learn. The administrator cited several different methods of adult learning, including face-to face instruction and interaction. The administrator also cited several reasons why adults learn, including: the requirement to

⁸ The analysis will only discuss percentages, not numbers of responses, since the actual number of responses varied minimally.

meet government auditing standards, the need to gain a better understanding of the subject matter, and a desire to increase proficiency in leadership, management, communication, and team building.

Table 4.1: How and Why Adults Learn

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
CPE courses guide me to useful knowledge, not just supply me with mere facts. (<i>n</i> = 70)	1.4% (1)	2.9% (2)	70.0% (49)	25.7% (18)
I can connect knowledge gained through CPE to experience. (<i>n</i> = 70)	1.4% (1)	8.6% (6)	60.0% (42)	30.0% (21)
CPE coursework requires my active participation. (<i>n</i> = 70)	1.4% (1)	14.3% (10)	62.9% (44)	21.4% (15)
I participate in CPE because I am expected to. (<i>n</i> = 70)	1.4% (1)	22.9% (16)	50.0% (35)	25.7% (18)
My participation in CPE enables me to better serve my country/organization/others. (<i>n</i> = 69)	0.0% (0)	8.7% (6)	68.1% (47)	23.2% (16)
My participation in CPE plays a factor in my professional advancement. (<i>n</i> = 70)	4.3% (3)	18.6% (13)	48.6% (34)	28.6% (20)

The ideal type model identifies three specific characteristics of how adults learn and three reason why adults choose to participate in CPE. **Table 4.1** summarizes the survey responses. In relation to how adults learn, the survey revealed that over 95 percent of respondents felt CPE provided them with useful knowledge. The survey also revealed that 90 percent of respondents could connect knowledge gained through CPE to real life experience, and over 84 percent of respondents felt that CPE coursework required their active participation. In relation to why adults learn, the survey showed that over 75 percent of respondents felt they were expected to participate in CPE. The survey also revealed that over 91 percent of respondents feel their participation in CPE enabled them to better serve their country. Furthermore, the survey indicated that respondents believe

that their participation in CPE factor into their professional advancement. Overall, the results indicate that nearly 86 percent of the responses mirror this subcategory of the ideal type model.

The interview with the administrator revealed that the organization has specific goals for promoting a learning culture within the organization. Furthermore, the organization is currently developing a core curriculum that will assist staff at all levels to develop their skills and increase proficiency; a requirement for advancement. Additionally, in an effort to meet proficiency standards and goals, the organization has developed an in-house training program that allows the organization to tailor courses to specific needs.

The interview with the administrator also revealed that the organization and its administrators acknowledge the value of continued education through organizational policies. One policy, Directive X⁹, states that the organization will develop its workforce and build employees' skills and competencies through a career development and training program. This directive also establishes requirements for individual development plans and defines the number of education hours that employees must spend in training, workshops, and conferences.

Table 4.2: Learning Culture

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
My organization values continued education. (<i>n</i> = 68)	1.5% (1)	8.8% (6)	58.8% (40)	30.9% (21)
I belong to an organization with an established learning culture. (<i>n</i> = 67)	3.0% (2)	16.4% (11)	58.2% (39)	22.4% (15)

⁹ Labeled "Directive X" to maintain agency anonymity. Providing the actual directive title could identify the specific OIG.

The survey results, as shown in **Table 4.2**, indicate that respondents feel they belong to an organization with an established learning culture that values continued education. The interviews, document analysis, and survey responses all indicate that the organization has created a learning culture that values continued education.

In addition to having goals and policies that promote continued learning, the CPE administrator also indicate that supervisors are responsible for monitoring employees' intentions to participate in CPE. The CPE administrators collect the reports from the supervisors which allow accurate reports to senior management about the members' participation in CPE.

Development Planning

The ideal type model indicates that organizations should have development planning at both the organization and the individual levels. Such planning ensures both individual and organizational growth and development. The model also indicates that development planning at the individual level should be subject to supervisory oversight.

Any organization that has a CPE program should also have a goal and mission oriented CPE development plan. According to the CPE administrator, the organization does have a development plan. However, the organization has not fully implemented this plan. According to the administrator, development plans serve as a guide for employees at all levels. The plan includes course recommendations that correlate to the skill that the employee should develop and/or strengthen at the employees' grade level.¹⁰

In addition to having its own development plan, an organization should encourage employees to have their own individual development plans (IDP). **Table 4.3** indicates that over 97 percent of survey respondents perceive that the organization encourages

¹⁰ Grade levels in the Federal Service refer to the employees' rate of pay and responsibility.

individuals to include CPE in their IDPs. The OIG has both IDP forms¹¹ and guidelines¹² for developing and completing an IDP. Employees can access these forms and guidelines on the organization's intranet.

Table 4.3: CPE in IDP

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
My organization encourages me to include CPE in my IDP. (n = 69)	0.0% (0)	2.9% (2)	56.5% (39)	40.6% (28)

Organizations should also have some level of supervisory oversight over the CPE in the individual development plans. The CPE administrator indicated that staff complete IDPs and review the IDPs with supervisors. Throughout the fiscal year, staff members submit forms requesting specific training courses. All of these requests require four levels of approval. Directive X supports these statements. **Table 4.4** indicates that over 97 percent of survey respondents concur that their CPE selections require supervisory approval. Although the policy states that “supervisors, with employee participation,” together should develop the IDPs, 30 percent of the respondents indicated that supervisors did not provide recommendations for CPE coursework.

Table 4.4: Supervisory Oversight

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
The CPE in my IDP is subject to approval. (n = 69)	0.0% (0)	2.9% (2)	49.3% (34)	47.8% (33)
My supervisors provide recommendations for CPE coursework. (n = 70)	7.1% (5)	22.9% (16)	54.3% (38)	15.7% (11)

¹¹ See Appendix D IDP Form

¹² See Appendix E IDP guidelines

Benefits

The ideal type model indicates that CPE programs should benefit both the individual and the organization. As shown in **Table 4.5** below, respondents felt that CPE helped them meet their personal goals (74%) and professional goals (87%). Furthermore, respondents indicated that CPE supplied them with greater competence (93%) and confidence (80%). Nearly 35 percent of the respondents felt that CPE did not contribute to psychological well being and nearly 56 percent indicated that CPE did not contribute to physical well-being. While the survey results indicated that many respondents felt that they did not benefit in some ways, nearly 74 percent of the respondents indicated that CPE provided the specific benefits identified in the ideal type model.

Table 4.5: Benefit to the Individual

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
CPE helps me meet my personal goals. (<i>n</i> = 69)	5.8% (4)	20.3% (14)	59.9% (41)	14.5% (10)
CPE helps me meet my professional goals. (<i>n</i> = 69)	5.8% (4)	7.2% (5)	53.6% (37)	33.3% (23)
CPE contributes to my psychological well-being through self-fulfillment. (<i>n</i> = 69)	4.3% (3)	30.4% (21)	58.0% (40)	7.2% (5)
CPE either directly or indirectly contributes to my physical well-being. (<i>n</i> = 70)	11.4% (8)	44.3% (31)	40.0% (28)	4.3% (3)
CPE provides me with greater competence. (<i>n</i> = 68)	1.5% (1)	5.9% (4)	66.2% (45)	26.5% (18)
CPE provides me with greater confidence. (<i>n</i> = 70)	2.9% (2)	17.1% (12)	61.4% (43)	18.6% (13)

In addition to benefitting individual organizational members, CPE should also benefit the organization. The CPE administrator indicated that staff participation in CPE equips the staff with the knowledge and proficiency to conduct the performance audits necessary to help prevent fraud, waste, and abuse and therefore benefits the organization.

Similarly, as shown in **Table 4.6**, nearly 93 percent of the survey respondents felt that their participation in CPE benefited the organization. Based on interview and survey responses, one may conclude that CPE directly benefits this organization.

Table 4.6: Benefit to the Organization

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
My participation in CPE benefits the organization. (<i>n</i> = 69)	4.3% (3)	2.9% (2)	56.5% (39)	36.2% (25)

Evaluation

The ideal type model identifies several evaluative characteristics that CPE programs should possess. First, CPE participants should have the opportunity to evaluate their own individual courses. In accordance with Directive X, which states that “after completing the training, employees must submit a course certificate and a training course evaluation form,”¹³ the survey results in **Table 5.7** indicate that 100 percent of the respondents have the opportunity to evaluate their own CPE courses.

Table 4.7: Individual Course Evaluation

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
Upon completing a CPE course, I have an opportunity to evaluate the course. (<i>n</i> = 69)	0.0% (0)	0.0% (0)	47.8% (33)	52.2% (36)

Second, CPE administrators should analyze course evaluations to determine how courses may contribute to organizational development. The organization’s CPE administrator indicated that he does analyze course evaluations for this purpose.

¹³ See Appendix F CPE Evaluation Form

Third, organizations should perform routine evaluations of CPE's overall contribution to organizational development. The organization's CPE administrator indicated that the organization does not currently make these evaluations. However, administrators are developing methods for measuring CPE's contribution to organizational development.

Fourth, CPE administrators should guide their actions based on the results of CPE evaluations. The CPE administrator indicated that, although administrators collect and analyze course evaluations, they do not respond to CPE course evaluations.

Fifth, organizational members should evaluate the extent to which CPE courses contribute to goal achievements as outlined in their IDPs. The CPE administrator indicated that members meet annually with their supervisors for their performance appraisals. According to the administrator, these annual meetings evaluate CPE's contribution to the progress in the IDP and help develop an IDP for the following year. Although the majority of survey respondents acknowledge the contribution of CPE to progress in their IDPs, **Table 5.8** shows that over 44 percent of the respondents indicated that they make no such evaluations. This may be indicative of the organization not emphasizing the importance of such evaluations through its policies or procedures.

Table 4.8: CPE Contribution to IDP

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
I evaluate CPE's contribution to progress in my IDP. (<i>n</i> = 70)	5.7% (4)	38.6% (27)	45.7% (32)	10.0% (7)

Other Characteristics of Ideal CPE Programs

The ideal type model identifies three other characteristics of ideal CPE programs. First, the organizations should ensure that all members have equal access to CPE. The

CPE administrator indicated that all members have an equal opportunity to participate in CPE. Similarly, as shown in **Table 4.9**, over 84 percent of the organizational members feel that they have equal access to CPE courses.

Table 4.9: Equal Access to CPE

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
I am provided with equal access to CPE courses. (<i>n</i> = 70)	11.4% (8)	4.3% (3)	65.7% (46)	18.6% (13)

Second, member participation in CPE should be voluntary. According the CPE administrator, member participation in CPE is not voluntary, but mandatory. The Generally Accepted Government Auditing Standards (GAGAS), *Yellow Book*, states that every two years auditors performing work under GAGAS should complete at least twenty-four hours of CPE that directly relates to government auditing, the government environment, or the specific or unique environment in which the audited entity operates. The *Yellow Book* also requires at least an additional fifty-six hours of CPE that enhances professional proficiency (Government Accountability Office 2007, 53). Since this organization works under GAGAS, Directive X indicates that supervisors must ensure that employees complete a minimum of forty hours of training annually. Despite these requirements to participate in CPE, **Table 4.10** shows that almost 25 percent of respondents felt that their participation in CPE was voluntary. This may be an indicator of member unawareness of organization policies.

Table 4.10: Voluntary Participation

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
My participation in CPE is voluntary. (<i>n</i> = 69)	20.3% (14)	55.1% (38)	21.7% (15)	2.9% (2)

Third, CPE courses should be available in a variety of mediums. The CPE administrator indicated that courses come in a variety of mediums including: in-house training, other government agencies in the same field, external vendors, and on-line training. A review of courses offered by the USDA Graduate School, Management Concepts, the Institute of Internal Auditors, Certified Fraud Examiners, the Association of Government Auditors, and internal websites confirms the availability of CPE in different mediums. Such mediums include: face-to-face classroom instruction, on-line classes, in-house training, and self-study. The survey reflects a variety of course mediums. **Table 4.11** shows that nearly 96 percent of the respondents felt that they could take CPE courses in a variety of mediums.

Table 4.11: Course Availability in Different Mediums

Question	Strongly Disagree	Disagree	Agree	Strongly Agree
CPE courses are available in different mediums. (<i>n</i> = 70)	1.4% (1)	2.9% (2)	71.4% (50)	24.3% (17)

Chapter Summary

This chapter summarized the survey results, structured interview, and document analysis by ideal type categories and their sub-categories for an ideal CPE program.

Overall, the research demonstrated that the organization closely reflected many aspects of the ideal type model. However, the research also identified several notable deviations from the ideal type model. Some deviations are unique to these types of organizations. Therefore, appropriate recommendations may help reduce only some of these deviations.

Chapter 5

Recommendations and Conclusion

Chapter Purpose

The purpose of this chapter is to summarize the research by identifying the organization's strengths and weaknesses. The chapter also provides recommendations to the specific OIG that may, if implemented, result in a stronger, more efficient and beneficial CPE program. This chapter also suggests future research opportunities.

Summary of Results and Recommendations

The results chapter provides the outcomes of the interviews, survey, and document analysis for comparing the OIG to components of the ideal type model for CPE programs. Overall, the research indicates that this particular OIG exhibits many of the characteristics of the ideal type model. However, the research also indicates that the organization either weakly exhibits or lacks all together several components of the ideal type model.

Table 5.1 summarizes the results of the research and provides recommendations to remedy some of the weak or non-exhibited components of the ideal type model. Components receive a “weak” designation if the survey responses yield greater than 20 percent disagreement or the interview or document analysis provided weak or only partial support.

Table 5.1: Summary of Results and Recommendations

Ideal Type Category	Results Interview = I, Survey = S, Doc. Analysis = D	Recommendations
Individual and Organizational Development		
Administrators should promote adult education based on an understanding of how and why adults learn.	I: Meets-Strong S: Meets-Strong/Weak	Survey responses indicate that the CPE program plays on how and why adults learn. However, organization administrators should better communicate the expectations for members to participate in CPE and communicate to members that CPE contributes to their future advancement.
Administrators should create a learning culture by openly acknowledging the value of continued learning through organizational goals and policies.	I: Meets-Strong S: Meets-Strong D: Meets-Strong	
Administrators should maintain an awareness of the members' intentions to participate in CPE.	I: Meets-Strong	
Development Planning		
An organization should have its own goal and mission-oriented CPE development plan.	I: Meets-Weak D: Meets-Strong	Although the organization has a plan, the plan is not yet fully implemented. The organization should fully implement this plan. Full plan implementation can provide members with better guidance for developing skills.
Organizations should encourage individuals to include CPE in their IDPs.	S: Meets-Strong D: Meets-Strong	
Organizations should provide supervisory oversight over CPE in members' IDPs.	I: Meets-Strong S: Meets-Strong/Weak D: Meets-Strong/Weak	Although CPE courses undergo approval processes and supervisors review CPE proposed coursework in member IDPs, supervisors should also recommend courses based on the members' needed skills or competency development.

Table 5.1: continued

Ideal Type Category	Results Interview = I, Survey = S, Doc. Analysis = D	Recommendations
Benefits		
A CPE program should benefit individual members.	S: Meets-Strong/Weak	Overall, the survey suggests that individual members benefit in many ways. However, the organization should help members realize how CPE contributes to psychological well-being through self-fulfillment and to physical well-being either directly or indirectly.
A CPE program should benefit the organization.	I: Meets-Strong S: Meets-Strong	
Evaluation		
Members should have opportunities to evaluate their individual courses.	S: Meets-Strong D: Meets-Strong	
CPE administrators should analyze course evaluations to determine how courses may contribute to organizational development.	I: Meets-Strong	
An organization should perform routine evaluation of CPE's contribution to organizational development.	I: Does not meet	The organization is currently developing methods to measure CPE's contribution to organizational development. The organization should quickly finish developing and immediately implement these methods.
CPE administrators should guide their actions based on the results of CPE evaluations.	I: Does not meet	Although administrators collect and analyze course evaluations, they do not put the evaluations to use. Administrators should review individual course evaluations and respond based on those evaluations. These administrators should eliminate or encourage courses based, but not solely based, on course evaluations to help ensure that courses contribute to organizational development.

Table 5.1: continued

Ideal Type Category	Results Interview = I, Survey = S, Doc. Analysis = D	Recommendations
Members should evaluate the extent to which CPE courses contribute to goal achievements as outlined in their IDPs.	I: Meets-Weak S: Meets-Weak	The interview revealed that supervisors should review CPE contribution in meeting IDP goals during annual performance reviews. However, survey results indicated that many respondents do not provide these evaluations. Administrators should develop and implement methods to ensure that members evaluate CPE's contribution to meeting their IDP goals.
Other Characteristics of Ideal CPE Programs		
Organizations should ensure equal access to CPE for all organizational members.	I: Meets-Strong S: Meets-Strong D: Meets-Strong	
Member participation in CPE should be voluntary.	I: Does not meet S: Does not meet D: Does not meet	The interview, survey, and document analysis all indicate that CPE participation in this organization is mandatory. Due to the unique requirements and mission of the organization, no change should be made. However, many respondents indicated that they feel that participation in CPE is voluntary. The organization should ensure that members understand that participation in CPE is mandatory in accordance with GAGAS and organizational policy.
CPE coursework should exist in variety of mediums.	I: Meets-Strong S: Meets-Strong D: Meets-Strong	

Future Research Opportunities

The purpose of this research was to construct an ideal model for CPE programs and to evaluate how well a particular organization fits this model. Due to the time constraints and limited scope of the research, this project provides a foundation for future research opportunities.

First, the ideal type characteristics of this model are by no means comprehensive. Additional research could help identify other characteristics that could be included in the ideal type model. The identification of such characteristics could provide a more thorough evaluation of CPE programs, which could lead to additional recommendations and more efficient CPE programs.

Second, this study analyzed only one particular organization. This study could be replicated in other organizations. Future research could use this model to evaluate CPE programs of both governmental and non-governmental organizations alike and would allow future researchers to provide recommendations to other organizations.

Third, future research could help develop the necessary methods for analyzing CPE's contribution to organizational and individual development. Further research could construct performance measures to help gauge CPE's contribution to both individual and organizational development. These performance measures could provide CPE administrators with the tools necessary to implement stronger CPE programs.

Fourth, future research might also assess public opinion of publicly funded CPE programs. Many governmental organizations encourage or require member participation in CPE. The general public has a right to know how its tax dollars are spent, and to provide an opinion on publicly funded CPE programs. An assessment of public opinion may also help encourage CPE program administrators to ensure that the CPE programs are reasonable, efficient, and beneficial to the community that the organization serves.

Concluding Remarks

Many organizations require or encourage their members to participate in CPE. As a result, scholars have researched continuing professional education for decades. A review of these publications results in a practical ideal type model by which researchers can gauge certain characteristics of CPE programs. This model identifies five categories of an ideal type model; each with its own sub-components.

A research study consisting of interviews, a survey, and document analysis of a specific OIG revealed many strengths and several weaknesses of the organization's CPE program. The identification of program weaknesses lead to recommendations for program improvement. If implemented, these recommendations could enable administrators to improve their CPE programs.

The use of the model in this study demonstrates that an ideal type model can assess a CPE program and enable researchers to provide recommendations. However, when developing an ideal type model for a particular organization, it is important to create a model that fits the organization type. Not all aspects of this model applied to this particular OIG and this model may not include ideal characteristics for other organizations. Researchers should consider the characteristics of the organizations and customize models based on these characteristics. This model provides a foundation on which other researchers can build and customize models for CPE programs.

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Appendix A

Interview Questions and Responses

1. Can you identify several aspects of how adults learn that are evident the CPE program?
 - a. Variety of online training courses either through the Learning Management system or through other online vendors (Defense Acquisition University)
 - b. Some prefer face to face interaction and you will see personnel apply for training to established vendors such as Graduate School, Management Concepts, Institute of Internal Auditors, Certified Fraud Examiners
 - c. Other methods are through trainings offered by other government agencies or conferences held by other external auditing associations, CPA organizations, AGA etc
2. Can you identify several reasons why organizational members participate in the CPE program?
 - a. Auditors/analysts must meet the government auditing standards (aka. Yellowbook) which requires that personnel participating in audits maintain a level of education and proficiency. Specifically, 80 CPE hours are required every 2 calendar years; 24 of the 80 CPEs must be specific to auditing/government environment/unique & specific to job duties.
 - b. During audits, staff may lack knowledge pertaining to subject matter and will need to take training to gain a better understanding
 - c. Other staff may want to gain knowledge in other areas pertaining to DHS or other federal agencies, so courses are taken outside standard courses such as, intelligence training/coursework
 - d. Some staff want to increase proficiency in soft skills: leadership, management, communication, team-building, MS Office software, etc
 - e. All staff are required to complete an Individual Development Plan (IDP) as part of annual performance ratings
3. Does the organization have specific goals for promoting a culture of learning in the organization? Describe.
 - a. Yes, Audits is developing a core set of curriculum to assist staff at all levels to develop and grow in proficiency for advancement.
 - b. We also have developed an in-house training program to allow us to tailor courses to our specific needs.
4. Does the organization reach these goals?
 - a. Yes, the organization helps personnel meet IDP goals that benefit the organization
5. Does the organization emphasize the importance of learning through its policies? Describe.
 - a. Yes, the Yellowbook has specific learning requirements that are required of Audits staff and these requirements emphasize the importance of maintaining a high level of knowledge in order to conduct the work appropriately. Additionally the OIG has published guidelines on training requirements.
6. Does the organization follow these policies?
 - a. Yes

Appendix A

Interview Questions and Responses *continued*

7. Does the organization make an attempt to instill its perception of the value of continued education in its members? How?
 - a. Yes, I believe Audits attempts to instill its perception of value on continuing education to others by the fact that they approve for all the many requests and seek to provide efficient means to bring training of varying types to its staff.
 - b. Additionally we challenge employees by varying assignments; this requires employees to continuously learn.
8. Do you monitor employee intention to participate in CPE? How?
 - a. No, I do not specifically monitor staff's IDPs, however, I do monitor CPEs obtained from Administrative Officers and Staff Managers in order to report accurately to Sr. Mgmt on Audits Staff CPE levels.
 - b. The employee's supervisors are responsible for monitoring.
9. Does the organization have a CPE development plan oriented toward its goals and mission?
 - a. Yes, the organization does have a CPE development plan. However, it has not been fully implemented.
10. Can you describe it?
 - a. The CPE development plan, or course curricula, serves as a guide for employees at all levels. It includes course recommendations (required and electives) that correlate to the skill that the employee should develop and/or strengthen at their grade level.
11. Are there approval processes for participating in CPE?
 - a. Generally, staff completes an IDP and throughout the fiscal year staff will submit SF-182s to request training. All requests require 4 levels of approval.
12. Can you describe them?
 - a. See 11.a
13. Does the CPE program benefit the organization?
 - a. Yes
14. How does the CPE program benefit the organization?
 - a. Equips staff with the knowledge and proficiency to conduct the performance audits necessary to help prevent fraud, waste, and abuse
15. Do you analyze course evaluations to measure a course's contribution to organizational development?
 - a. Yes
16. Does the organization evaluate CPE's contribution to organizational development?
 - a. Not at this time, but we are looking at ways to measure CPE value to the organization.
17. How often is CPE's contribution to organizational development evaluated?
 - a. (See 16)
18. How is this evaluation made?
 - a. N/A
19. Do you respond to course evaluations?
 - a. No

Appendix A

Interview Questions and Responses *continued*

20. What actions do you take?
 - a. N/A
21. Do members evaluate CPE's contribution to their IDPs? How?
 - a. Yes, annually during performance appraisals IDP's are reviewed with the manager and a new one is developed for the upcoming year
22. Do all organizational members have equal access to CPE?
 - a. Yes
23. Is CPE participation mandatory or voluntary? Why?
 - a. Mandatory, as stated before Audits is bound by GAGAS Yellowbook requirements which state that auditors/analysts conducting audits to maintain a level of proficiency and every 2 calendar years are required to obtain 80 CPEs
24. Are CPE courses offered through different mediums? Describe.
 - a. Yes, CPE courses are offered in-house which is taught by our own staff; through other government agencies in the same field (DOD IG, Army Audit, Navy Audit, etc); external vendors such as Graduate School, Management Concepts, Institute of Internal Auditors, Certified Fraud Examiners, Association of Government Auditors, CPA orgs, etc; many online trainings are offered as well.

Appendix B

CPE Survey Questionnaire

All Audit Staff,

I have been approved to conduct a survey of all audit employees. The survey will contribute to the research for my Master's applied research project. Employees are *not* required to take the survey and those who do will remain anonymous. No personal information is recorded, just your responses. The survey consists of 23 simple questions and takes 2-3 minutes to complete. Should a question not apply to you, please respond based on your perception of reality. Thanks for your participation.

Please click on the link to take the survey.

http://www.surveymonkey.com/s.aspx?sm=WlpLpgED9B_2b3HJRR8EHE3Q_3d_3d

Appendix B

CPE Survey Questionnaire *continued*

1. Default Section

1. CPE courses guide me to useful knowledge, not just supply me with mere facts.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

2. I can connect knowledge gained through CPE to experience.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

3. CPE coursework requires my active participation.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

4. I participate in CPE because I am expected to.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

5. My participation in CPE enables me to better serve my country/organization/others.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

6. My participation in CPE plays a factor in my professional advancement.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

7. My organization values continued education.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

8. I belong to an organization with an established learning culture.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

9. My organization encourages me to include CPE in my IDP.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

10. The CPE in my Individual Development Plan (IDP) is subject to approval.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

11. My supervisors provide recommendations for CPE coursework.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

12. CPE helps me meet my personal goals.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

Appendix B

CPE Survey Questionnaire *continued*

13. CPE helps me meet my professional goals.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

14. CPE contributes to my psychological well-being through self-fulfillment.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

15. CPE either directly or indirectly contributes to my physical well-being.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

16. CPE provides me with greater competence.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

17. CPE provides me with greater confidence.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

18. My participation in CPE benefits the organization.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

19. Upon completing a CPE course, I have an opportunity to evaluate the course.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

20. I evaluate CPE's contribution to progress in my IDP.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

21. I am provided equal access to CPE courses.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

22. My participation in CPE is voluntary.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

23. I can take CPE courses in different mediums.

☐ Strongly Disagree ☐ Disagree ☐ Agree ☐ Strongly Agree

Appendix C

Exemption

Faulk, Joseph

From: apache@sites01.its.txstate.edu on behalf of OSP IRB [ospirb@txstate.edu]
Sent: Thursday, August 27, 2009 2:20 PM
To: Faulk, Joseph
Subject: Exemption Request EXP2009D7496 - Approval

DO NOT REPLY TO THIS MESSAGE. This email message is generated by the IRB online application program.
Based on the information in IRB Exemption Request EXP2009D7496 which you submitted on 08/24/09 09:00:32, your project is exempt from full or expedited review by the Texas State Institutional Review Board.
If you have questions, please submit an IRB Inquiry form:
http://www.txstate.edu/research/irb/irb_inquiry.html

Comments:
No comments.

=====
Institutional Review Board
Office of Research Compliance
Texas State University-San Marcos
(ph) 512/245-2314 / (fax) 512/245-3847 / ospirb@txstate.edu / JCK 489
601 University Drive, San Marcos, TX 78666

Texas State University-San Marcos is a member of the Texas State University System
NOTE: This email, including attachments, may include confidential and/or proprietary information and may be used only by the person or entity to which it is addressed. If the reader of this email is not the intended recipient or his or her agent, the reader is hereby notified that any dissemination, distribution or copying of this email is prohibited. If you have received this email in error, please notify the sender by replying to this message and deleting this email immediately. Unless otherwise indicated, all information included within this document and any documents attached should be considered working papers of this office, subject to the laws of the State of Texas.

Appendix D

IDP Form

OIG Individual Development Plan FY _____

1. Name _____		2. Position Title _____		3. Series/Grade _____		4. Office of Assignment _____	
5. SHORT-RANGE CAREER GOALS: Specify position title & grade or subject area of where you want to be in 1 to 2 years. State Goals.							
6. LONG-RANGE CAREER GOALS: Specify position title & grade or subject area of where you want to be in 3 to 5 years. State Goals.							
7. DEVELOPMENT OBJECTIVES: List knowledge, skills and abilities (KSAs) or competencies needed immediately to meet current objectives or to improve performance in present position or identify specific areas you will need in order to achieve the short or long range goals stated above. The Developmental Objectives should be stated in order of priority. *							
<p>*PRIORITY: (1) Mission Essential; (2) To increase effectiveness of mission accomplishment; (3) For career development or to increase job efficiency and productivity.</p> <p>8. SIGNIFICANT PRIOR TRAINING AND DEVELOPMENT (related to the Developmental Objectives of your Short Range Career Goals).</p>							
9. Were areas of improvement identified in latest rating?							
Yes _____ No _____ N/A _____							
10. If no career development is desired or needed at this time, please state specific reason(s).							
11. CERTIFICATION: I certify that the training, development, or education identified in this plan constitutes a valid management need for maximum performance of mission requirements and has been developed for the purpose of increasing the employee's performance in his or her current position or to prepare him or her for an identified target assignment.							
Employee's Signature _____				Supervisor's Signature _____			
Date _____				Date _____			
				(Position) _____			

IDP Form *continued*[illegible]

Appendix E

IDP Guidelines

Guidance on Developing and Completing an Individual Development Plan

What is an Individual Development Plan?

An Individual Development Plan (IDP) is an employee's written plan for developing the competencies (e.g., knowledge, skills, and abilities (KSAs) of a particular job). The IDP is primarily a managerial and employee tool used to monitor individual development and training needs, and gives the supervisor and the employee an opportunity to establish objectives that support both the organization's and the employee's needs and goals.

The IDP gives the employee a clear guide for working toward long-term career goals, and it gives the supervisor a chance to channel the employee's efforts in ways that help an organization achieve its goals and mission. It is a way to organize and set priorities for learning and developmental experiences that will help an employee improve performance in his or her current work assignment and prepare for other kinds of work for increased responsibility.

Roles and Responsibilities

The supervisor's role in the IDP process is to provide information employees need to plan realistically and to guide them in identifying competencies that will help them and the organization meet goals. The supervisor will assist employees in:

- Understanding the IDP process and its purpose.
- Identifying their strengths and weaknesses in performing their current work assignments.
- Pinpointing areas where they could take greater responsibility.
- Finding possibilities for career progress in their current jobs and work organization.
- Identifying and getting access to learning resources.
- Following IDP procedures and instructions.

The role of employees is to take charge of their own learning and development and to participate actively in planning how they will meet their own career development and goals. Specifically, the individual employee should:

- Assess his or her existing skills, competencies, and interests honestly.
- Set goals and objectives that will benefit the organization as well as enhance his or her career.
- Research ways of meeting personal career goals and enhancing work performance.
- Draft their IDP.
- Evaluate his or her own progress and keep the supervisor informed.

Appendix E

IDP Guidelines *continued*

Planning, Preparing and Completing the IDP

Step 1 – Plan and Prepare the IDP

The supervisor and the employee should prepare the groundwork for a realistic and worthwhile IDP. The employee's performance appraisal can be a good basis for developing the IDP. Preparation for the IDP process should logically begin during or shortly after the appraisal interview. The supervisor should:

- Explain the IDP process and the roles and responsibilities of the supervisor and the employee.
- Review and discuss the employee's strengths and weaknesses in performing the current work assignment.
- Identify and prioritize competencies required by the current work assignment and explain priorities to the employee.
- Identify and prioritize learning needed to improve performance in current assignments and explain priorities to the employee. The supervisor should provide information on options for learning such as:
 - Formal training
 - On-the-job training
 - Coaching by the supervisor, subject matter expert, or formal mentor
 - Job enrichment -- adding new work or increasing the employee's level of responsibility
 - Developmental assignments or details to other parts of the organization
 - Self-study, including reading
 - Activities in professional associations or societies
- Provide information on career planning and counseling resources that the employee may use.
- Give the employee a copy of the IDP form and instructions for completing it.
- Help the employee set a deadline for completing the draft IDP.

Step 2 – Draft the IDP

The employee will draft a plan for working toward a career goal on the OIG IDP form. This form is provided in Appendix A of this directive and also can be downloaded at <http://intranet/admin/oig%5Fforms>. The role of the supervisor is to give advice and guidance in this step. Specific instructions for completing the IDP form are provided below.

Appendix E

IDP Guidelines *continued*

Instructions for Page 1 of the IDP

Items 1-4: Provide the employee's name, position title, series/grade and office.

Item 5 (Short-Range Career Goals): Identify competencies the employee plans to develop within the next 1 to 2 years.

Item 6 (Long-Range Career Goals): Identify competencies the employee plans to develop within the next 3 to 5 years.

Item 7 (Development Objectives): Research and identify learning experiences that address the competencies needed to meet current objectives, improve performance in the present position or identify specific areas the employee will need in order to achieve the short- or long-range goals. List objectives according to the following priorities:

1. Mission Essential
2. To increase effectiveness of mission accomplishment
3. For career development or to increase job efficiency and productivity

Item 8 (Significant Prior Training and Development): List any prior training that relates to the objectives of the employee's short- or long-range goals.

Item 9 (Areas of Improvement Identified in Latest Rating):

Check "Yes" if responses to Items 5, 6 or 7 are a direct result of discussion during the employee's last performance rating.

- Check "Yes" if responses to Items 5, 6 or 7 result directly from discussion during the employee's last performance rating.
- Check "No" if responses to Items 5, 6 or 7 do not relate to discussion during the employee's last performance rating.
- Check "N/A" if the employee has not received a performance rating before completing the IDP.

Item 10 (If no career development is desired or needed): Please state the specific reason(s).

Item 11 (Certification): Both the employee and supervisor should sign and date this section.

Appendix E

IDP Guidelines *continued*

Instructions for Page 2 of the IDP

Mentor Requests: If the employee requests a mentor, the supervisor should contact the OIG Mentoring Program Coordinator.

Course Title/Subject and Related Information: Self-explanatory. NOTE: Include conferences, workshops, or any other training relevant to your career goals and objectives.

Step 3 – Review the IDP

When the employee has completed the draft IDP, the supervisor should review it to make sure:

- The employee has identified competencies that will be useful in the organization.
- Learning activities are realistic, given the organization's needs, budget, and staffing.
- Learning activities are the best possible options for what the employee needs.
- The employee has identified specific activities and schedules for each. (The activities should allow the employee to continue carrying a fair share of the workload and perform it satisfactorily.)
- Learning activities identified in the IDP are actually available as scheduled.

Supervisors should identify any areas where the draft fails to meet criteria and ask the employee to correct problems or consider other options. The Training Coordinator may also assist in identifying available training or activity resources.

Step 4 – Finalize the IDP

The supervisor and employee will discuss the draft IDP and reach agreement on the employee's needs, learning experiences, and schedules. The employee prepares the final IDP, and the supervisor reviews and approves it. The supervisor and employee retain copies of the IDP and provide a copy to the Training Coordinator for filing in the employee's Official Training Record.

Step 5 – Track the Employee's IDP Progress

The supervisor should keep close track of planned activities, especially when an employee is new to the organization or the position, and should meet with the employee regularly to go over the plan, review progress, and identify any changes.

As the year moves along, supervisors, training coordinators and employees must be alert for changes in the work, resources, technology, or the work environment that require adjusting IDPs. It is also logical to check each employee's IDP and progress at the time

Appendix E

IDP Guidelines *continued*

of his or her mid-year performance review, and after a promotion or reassignment. IDPs may also be used to respond to the OIG's call for information on training needs.

Appendix F

CPE Evaluation Form

TRAINING COURSE EVALUATION <i>(Privacy Act Statement on Reverse)</i>																																						
SECTION A - TRAINEE INFORMATION																																						
1. APPLICANT'S NAME (Last-First-Middle Initial)								2. SOCIAL SECURITY NO. XXX-XX-																														
3. ORGANIZATION MAILING ADDRESS (Branch-Division/Office/Bureau/Agency)								4. OFFICE TELEPHONE (Area code, number, ext.)																														
5. POSITION TITLE/FUNCTION						6. PAY PLAN/SERIES/GRADE																																
SECTION B - TRAINING COURSE DATA																																						
7a. NAME AND MAILING ADDRESS OF TRAINING VENDOR (Number, Street, City, State, ZIP Code)						7b. LOCATION OF TRAINING SITE (If same, mark box) <input type="checkbox"/>																																
8. CATALOG/COURSE NUMBER				9. COURSE TITLE																																		
10. TRAINING PERIOD (6 digits)				11. NUMBER OF COURSE HOURS (4 digits)				12. TRAINING CODES																														
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>Year</th> <th>Month</th> <th>Day</th> </tr> <tr> <td>a. Start</td> <td></td> <td></td> </tr> <tr> <td>b. Complete</td> <td></td> <td></td> </tr> </table>				Year	Month	Day	a. Start			b. Complete			<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>a. During duty</th> <th>b. Non-duty</th> <th>c. TOTAL</th> </tr> <tr> <td></td> <td></td> <td></td> </tr> </table>				a. During duty	b. Non-duty	c. TOTAL				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>a. Purpose</th> <th>b. Type</th> <th>c. Source</th> <th>d. Special Interest</th> <th>e. Curriculum</th> <th>f. Training Priority</th> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>				a. Purpose	b. Type	c. Source	d. Special Interest	e. Curriculum	f. Training Priority						
Year	Month	Day																																				
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a. During duty	b. Non-duty	c. TOTAL																																				
a. Purpose	b. Type	c. Source	d. Special Interest	e. Curriculum	f. Training Priority																																	
SECTION C - TERMINATION AND EVALUATION DATA (To be completed by Trainee)																																						
13. COURSE WAS COMPLETED				14. ACTUAL COURSE DATES (Month/Day/Year)				15. ACTUAL COURSE HOURS																														
a. <input type="checkbox"/> YES b. <input type="checkbox"/> NO - Return this form with a memo explaining circumstances				<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="3">a. Commenced</th> <th colspan="3">b. Completed</th> </tr> <tr> <th>Month</th> <th>Day</th> <th>Year</th> <th>Month</th> <th>Day</th> <th>Year</th> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </table>				a. Commenced			b. Completed			Month	Day	Year	Month	Day	Year							<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th>a. Duty</th> <th>b. Non-Duty</th> </tr> <tr> <td></td> <td></td> </tr> </table>				a. Duty	b. Non-Duty							
a. Commenced			b. Completed																																			
Month	Day	Year	Month	Day	Year																																	
a. Duty	b. Non-Duty																																					
16. ALL SESSIONS WERE ATTENDED																																						
<input type="checkbox"/> YES <input type="checkbox"/> NO - Explain _____																																						
AREAS OF EVALUATION																																						
(Place (X) in appropriate column to indicate your evaluation of items 22 through 33. Do not attempt to split a rating)										Rating																												
										A	B	C																										
17. Stated objective accomplished	A = Yes	B = Partially	C = No																																			
18. Coverage of subject matter	A = Excellent	B = Sufficient	C = Poor																																			
19. Organization of subject matter	A = Well organized	B = Adequate	C = Poorly organized																																			
20. Suitability of instructional materials	A = Excellent	B = Adequate	C = Poor																																			
21. Level of difficulty	A = Too advanced	B = Appropriate	C = Too elementary																																			
22. Length of course	A = Too long	B = Appropriate	C = Too short																																			
23. Amount of outside or evening work	A = Too much	B = Appropriate	C = Insufficient																																			
24. Effectiveness of instructors	A = Excellent	B = Good	C = Poor																																			
25. Applicability of subject matter to the job	A = Significant	B = Adequate	C = Insignificant																																			
26. Facilities	A = Excellent	B = Good	C = Poor																																			
27. Recommendation to colleagues	A = Highly recommended	B = Recommended	C = Not recommended																																			
28. Meet career development plans	A = Yes	B = No	C = Not applicable																																			
REMARKS																																						

GENERAL SERVICES ADMINISTRATION

GSA FORM 3076C (11-87)

Appendix F

CPE Evaluation Form *cont.*

SECTION C - TERMINATION AND EVALUATION DATA (To be completed by trainee)

29. COMMENTS ON STRONG POINTS OF COURSE

30. COMMENTS ON WEAK POINTS OF COURSE

31. WHAT WERE YOUR OBJECTIVES IN TAKING THIS COURSE? WERE THEY MET?

32. DO YOU RECOMMEND THIS PROGRAM FOR OTHERS? IF SO, WHOM?

33. ADDITIONAL COMMENTS

34. SIGNATURE OF TRAINEE

DATE

SECTION D - SUPERVISORY COMMENTS (To be completed by trainee's immediate supervisor)

35. HAVE YOU DISCUSSED THIS COURSE AND ITS APPLICATION TO THE JOB WITH THIS EMPLOYEE? ☐ a. YES ☐ b. NO

36. WHAT WERE YOUR OBJECTIVES IN HAVING EMPLOYEE ATTEND COURSE?

37. WERE THE OBJECTIVES OF THE TRAINING ACHIEVED?

38. ADDITIONAL COMMENTS

39. SIGNATURE OF SUPERVISOR

DATE

PERSONNEL USE ONLY

PRIVACY ACT STATEMENT

GENERAL - This information is provided pursuant to Public Law 93-579 (Privacy Act of 1974), December 31, 1974, for individuals completing Federal nomination for training forms.

AUTHORITY - The Government Employees Training Act of 1958 (U.S. Code, Title 5, sections 4101 to 4118).

PURPOSES AND USES - The information on this form is used in the administration of the Federal Training Program. The purpose of this form is to document the nomination of trainees and completion of training, and it serves as the principal repository of personal, fiscal and administrative information about trainees and the programs in which they participate. The form becomes a part of the permanent employment record of participants in training programs and is included in the Government's Central Personnel Data File.

EFFECTS OF NONDISCLOSURE - Personal information provided on this form is given on a voluntary basis as is participation in any training program. Failure to provide this information, however, may result in ineligibility for participation in training programs.

INFORMATION REGARDING DISCLOSURE OF YOUR SOCIAL SECURITY NUMBER UNDER PUBLIC LAW 93-579, SECTION 7(b) - Disclosure by your of your Social Security Number (SSN) is mandatory to obtain the training you are seeking. Solicitation of the SSN by the Office of Personnel Management is authorized under provisions of Executive Order 9297, dated November 22, 1943. The SSN is used as an identifier to match the person completing the training with the correct master record in the Central Personnel Data File (CPDF). It will be used primarily to give you recognition for completing the training and to accumulate Government-wide training statistical information. The information gathered through the use of the number will be used only as necessary in training administration processes carried out in accordance with established regulations. The SSN also will be used for the selection of persons to be included in statistical studies of training management matters. The use of the SSN is made necessary because of the large number of present Federal employees who have identical names and birth dates, and whose identities can only be distinguished by the SSN.

GENERAL SERVICES ADMINISTRATION

GSA FORM 3076C BACK (11-87)