



INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
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MAR 17 2004

MEMORANDUM FOR CIVILIAN AND MILITARY OFFICERS AND EMPLOYEES
ASSIGNED TO THE OFFICE OF THE INSPECTOR GENERAL
OF THE DEPARTMENT OF DEFENSE

SUBJECT: Establishment of the Individual Development Plans within the DoD IG

References: (a) Inspector General Act of 1978, as amended
(b) President's Council on Integrity and Efficiency Document of October 2003, "Quality Standards for Federal Offices of Inspector General"
(c) DoD Directive 1400.25-M (in-Draft), 2003
(d) OIG Policy Memorandum November 10, 2003, "Establishment of the Office of Inspector General Academy"

Purpose: To provide policy guidance for establishment of Individual Development Plans (IDP) for employees of the Office of the Inspector General

Statutory and Regulatory Responsibilities: Section 6(c)(1) of Reference (a) authorizes the Inspector General to "be the principal adviser to the Secretary of Defense for matters relating to the prevention and detection of fraud, waste, and abuse in the programs and operation of the Department." Chapter IV. B. (Ensuring Internal Control) of Reference (b) enjoins "OIG to conduct their operation in the most efficient and effective manner." Chapter VIII (Managing Human Growth) of Reference (b) direct OIGs to have a process for ensuring the competencies of its workforce, including the "processes for recruiting, hiring, continuously developing, training, and evaluating their staff members." Reference (c) provide specific guidance for the use of Individual Development Plans as one tool to manage career development and forecasting training, education, and assignment requirements for the workforce.

Policy Guidance: It is the policy of this Office of Inspector General that Individual Development Plans (IDPs) are a useful and necessary tool to manage the OIG workforce and accurately plan future requirements. At Attachment (1) is the approved OIG IDP form. At Attachment (2) is the OIG Implementation Guidance for the IDP. Pursuant to Reference (d), each DIG is dual-hatted as "Dean" of his or her respective Department, and as such is hereby authorized to modify both attachments in order to be best utilized within their respective Departments. The Dean of Instruction shall be accountable for implementation and updating of the IDP program within the OIG.

Effective Date: This Policy Memorandum is effective immediately.


Joseph E. Schmitz

Attachments:
As Stated

INDIVIDUAL DEVELOPMENT PLAN
Office of the Inspector General, Department of Defense

1. <u>Name (Last, First, MI)</u>	2. <u>Current Position & Grade</u>	3. <u>Component & Subcomponent</u>	4. <u>Supervisor's Name</u>		5. <u>Time Period</u> (until next appraisal)	
6. <u>Career Goals - 1 to 3 Years</u>			7. <u>Career Goals - 3 to 5 years</u>			
8. <u>Competencies To Be Developed</u> Review competencies by job series and Personnel	9. <u>Developmental Activities</u> (Courses/Conferences /On-the-Job Assignments/Rotational Assignments)	10. <u>Trng Hrs or CPE Hrs</u>	11. <u>Suggested Training Sources</u>	12. <u>Estimated Quarter</u>	13. <u>Date Attended</u>	
<p align="right">Draft 11-03-03</p>						

INDIVIDUAL DEVELOPMENT PLAN
Office of the Inspector General, Department of Defense

14. Name (Last, First, MI)

<u>Competencies To Be Developed (cont'd)</u>	<u>Development activities (cont'd)</u>	<u>Suggested Training Source</u>	<u>Estimated Quarter</u>	<u>Date Attended</u>

15. Supervisor Comments

_____ I have discussed the options available under the IDP process with my supervisor and decline to participate in the IDP process at this time.

16. Employee Signature and Date

17. Supervisor Signature and Date

Attachment (2)

Implementation Guidance for an Individual Development Plans (IDP)

What is the OIG Training philosophy?

The model for OIG training is knowledge, competence and leadership. OIG employees must have those skills in order to fulfill the mission of the OIG. Knowledge, competence and leadership are defined below.

- Knowledge is the academic or practical understanding of one's specialty.
- Competence is having the proper qualifications, confidence and capabilities based on founded experience to actually perform duties.
- A leader is one that guides, commands others, or has the power to influence. Leadership involves the ability to influence the performance of others and be accountable.

What is an IDP?

The IDP is a tool cooperatively developed between a supervisor and an employee, in which development and training needs of the employee are forecasted and scheduled in order to enhance the employee's knowledge and competencies. IDPs are a useful tool for employee development because they provide:

- a logical and structured framework for assessing the needs of both the individual and the organization;
- a method for organizing developmental experiences; and,
- a best merger of individual goals with organizational needs.

IDPs help the employee and manager identify training needs that address mandatory training, essential competencies, legal requirements, career development and professional growth. The IDP allows the employee and supervisor to focus limited resources in the area of greatest need. Additionally, the process may help an employee identify areas of growth outside the job (e.g., health and fitness) that are important to that individual, and which they may pursue independently of the agency.

How do I plan for my Individual Development Plan?

Employees and supervisors must determine "essential" knowledge and competencies that are critical for an employee to perform effectively at his or her level. To best identify employee competencies the position descriptions, performance plans and performance appraisals are valuable tools for supervisors and employees to review. Additionally,

employee's knowledge and competencies are tied to the OIG Strategic Plan. Knowledge is gained through a multitude of ways—life experience; formal education; apprenticeship; on-the-job experience; self-help programs; and, yes, training and development programs. All of these together contribute to job competence in an employee. Ultimately, supervisors and employees working together and assessing consistency of job performance over time determine overall "employee competence which ultimately leads to workforce creditability.

In completing your IDP, you should choose training and development activities that help you achieve the competencies identified for your job. The OIG, Training and Development Directorate has career training models that recommend training courses that are linked to different competencies. The career training models recommend courses for individuals working in different OIG areas such as auditing, criminal investigations, and many others. Identification of recommended training courses from the career training models not only provides the most effective training in most cases, but also allows the OIG the best method to use limited resources.

How do I fill out the IDP?

1. Input the employee's name
2. Input the employee's current position and grade
3. Input the employee's component and subcomponent (Audit/Acquisition Management)
4. Input the supervisor's name and title
5. Time Period
6. Identify the employee's near term career goals
7. Identify the employee's far term goals
8. Identify areas of development (target competencies to strengthen and/or improve)
9. Identify a primary and alternate training course if needed. Input forecasted conferences, On-the-job (OJT) and rotational assignments.
10. Identify the estimated training hours anticipated in the next year to accomplish the near term plan. Employees and supervisors update this block as needed.
11. Identify a training provider for training courses, conferences, OJT and rotational assignments.
12. Estimate the quarter and month to attend training.
13. Input that all annual training is completed and include the quarter/month completed. (In the future this may not be required as an automated system will storehouse the data.)
14. Input the employee's name.
15. Supervisor adds any comments.
16. The employee signs and dates the form.
17. The supervisor signs and dates the form.
18. The form can be used at the six month appraisal to see if the employee's career goals are on target.
19. Supervisor adds any comments to reflect if the employee's goals have changed.

What is the timeframe for my IDP?

For some the IDP may lay out a three-year plan, while for others it is only for one year. Employee requirements change and jobs in the OIG are dynamic covering a broad range of missions. The form provides flexibility for a near term look and for a far term plan. It is not required that the employee have a 5 year plan, however it is required for the employee to have a near term plan (1-2 years).

What are the benefits for creating an IDP?

- Aids managers, supervisors and employees in identifying the competencies (knowledge, skills and abilities) needed for their current position.
- Helps employees plan for future career development.
- Helps supervisors and managers forecast training costs and needs.

How do I select the best training or developmental activity to achieve a competency?

Training and development opportunities are often available outside of the classroom. To acquire the skills and knowledge that you want, have you thought about:

- volunteering to serve on a special work group or committee?
- arranging an on-the-job experience? To be effective, on-the-job training must be planned and structured beforehand.
- setting up a shadow assignment with a more senior employee or someone from another work group?
- seeking specific training courses or Internet courses from community colleges, universities, or private companies in your area?
- checking books, videos, CD-ROMs and other materials?
- joining a local and/or national professional or service organization (e.g., Toastmasters)?
- seeking specific training courses or Internet courses from community colleges, universities, or private companies in your area?
- Obtaining a mentor to help guide you?

What do I do once I complete the IDP form?

The employee and supervisor should each keep a copy of the completed IDP and the Training and Development Directorate should maintain the updated IDP in the employee's training records.

Once the IDP form is filled out, if a funded course is required then the employee needs to select a primary and alternate training course from the career training models . If a course does not exist on the career training model that meets the employee's requirements then the supervisor may contact the Training and Development Directorate for guidance. The Training chiefs in the Training and Development directorate can advise on what courses best suit the employee and supervisor strategy when not addressed by the career training models. The employee fills out a DD form 1556, and the supervisor signs the form and sends to the Training and Development Directorate IAW OIG policy. The IDP needs to be realistic. The success of the IDP program requires the following:

- Realistic expectation of training. The employee should provide a primary and alternate choice for training that will require funding from the OIG . The reality is that OIG funded training is based on the amount of training funds available for that fiscal year. The Dean of Instruction annually provides a training budget forecast to the Inspector General. Training needs compete for funds with other OIG requirements. The IDP is not a binding contract but a tool to recognize that the employee needs training to achieve or sustain their performance level.
- Once training is scheduled leaders need to ensure employees go to training. This is very important, because resources (time, funds and manpower) are committed to the employee attending that training. There are exceptions, but the exceptions should be few.
- The IDP is a fluid document and should be updated yearly to make sure it is still current. Both employee and supervisor should take responsibility for applying the results of training and development assignments received to improved job performance.
- Commitment to the process.

How do I find out about sources of training?

It is the responsibility of employees to keep an eye out for training that will help you achieve your goals. A good start is the appropriate career training model. The models are dynamic and are intended to focus OIG employees on core training courses to meet competencies required at different stages of the OIG employee's career. Another area to check for training is our Training and Education website on the OIG intranet. The website is to provide OIG employees a central place to review courses, schedules, and links to other trainers.

Frequently Asked Questions

Q. Career Training Models - What's in it for me, my supervisor, and the OIG?

A. For the first time, OIG employees and their supervisors have a common reference, a sort of encyclopedia of the essential training courses required for most jobs, defined by career field professionals at the entry, developmental, and full performance levels. During the annual appraisal process, employees and supervisors can use the models to key in on courses related to grade, series and levels in order to facilitate next year's critical results and further develop employees.

Employees can also use the models to better plan their careers by examining the full spectrum of recommended courses across the OIG.

The Service's Training & Development Community will use the models as the basis for future development of curriculum, as well as through formal career field needs assessments, and to efficiently forecast and plan training events. The career training model is a dynamic model that changes as OIG employee requirements change.

Q. What if I cannot find competencies for my job?

A. Most, but not all career field jobs have a career training model. Some career fields were simply not able to include every classified position this first time around. Contact the appropriate Training and Development Training Chief to discuss a particular omission or concern. And be sure to review the Universal Competencies, which apply to everyone. Another tool is the employee's position description.

Q. How do I know I have my essential knowledge? Will I have to prove that I possess competence?

A. First of all, there is a subtle, but important distinction between the achievement of knowledge and the demonstration of job **competence**. Achieving knowledge is only one step on the path of job competence. Knowledge is gained with on-the-job experience, education, life experience, and other factors lead to overall job competence. No one is considered "incompetent" if they do not have all the competencies described for a particular job. Overall job competence is determined through the annual performance evaluation process.

Q. Who keeps my Individual Development Plan?

A. You should keep a copy of your Individual Development Plan! In fact, you should keep all documents related to your training including course certificates. The OIG Training Support Directorate will keep copies of these materials. Your supervisor/ second-line supervisor and/or manager should have a copy of your IDP, depending on their preference.

Q. If a developmental opportunity arises and I have not included it in my IDP, can I still take advantage of it?

A. Of course! The IDP is a tool. You can change it to accommodate unexpected opportunities whenever you wish -- but remember to keep your supervisor involved.

Q. Does the individual GS-511 auditor need to be concerned about Continuing Professional Education (CPE)?

A. In completing the IDP, the GS-511 auditors need to consider the CPE requirements in the Generally Accepted Government Auditing Standards (GAGAS) paragraphs 3.45 to 3.48. The GAGAS requires each auditor to obtain 80 hours of CPE every 2 years; at least 24 of the 80 hours of CPE should directly relate to government auditing, the government environment, or the unique environment in DoD which is audited; and at least 20 hours of the 80 hours should be completed in any one year of the two year period. For the OIG the current two year period started in January 2003. Meeting the GAGAS CPE requirement is the responsibility of and should be the first training priority of every GS-511 auditor. Individual GS-511 auditors who fail to meet CPE requirements adversely affect the ability of the OIG to obtain an unqualified opinion in the next peer review scheduled for 2006.

Q. As a supervisor, what questions should I ask my employee?

A. There are four basic questions to frame the employee's career goals.

1. Ask yourself, what direction is the organization going and what will the organization need from your employees in the future?
2. What are their goals over the next two years and then for the next five years? (This question is crucial to providing a motivational focus for everything the employee does.)
3. What are your employee's greatest strengths and how can you assist them in becoming more effective?
4. Have you noticed any serious weaknesses that make it difficult for your employee to do their job or will prevent them from reaching their goals?