Department of Defense

MANUAL

SUBJECT: DoD Security Accreditation and Certification

References: See Enclosure 1

1. <u>PURPOSE</u>. This Manual:

    a. Provides accreditation guidance and procedures for DoD education and training institution(s) (hereinafter referred to as institutional accreditation) that support the DoD security community in accordance with DoD Directive 5143.01 (Reference (a)) and DoD Instruction (DoDI) 3115.11 (Reference (b)).

    b. Provides guidance and procedures for developing and implementing certification programs in accordance with References (a) and (b).

    c. Implements the policy in DoDI 3305.13 (Reference (c)) and establishes roles and assigns responsibilities for the development, implementation, and maintenance of the DoD Security Professional Education Development (SPēD) Certification Program in accordance with Reference (b).

2. <u>APPLICABILITY</u>. This Manual applies to:

    a. OSD, the Military Departments, (including the Coast Guard at all times, including when it is a Service in the Department of Homeland Security by agreement with that Department), the Office of the Chairman of the Joint Chiefs of Staff and the Joint Staff, the Combatant Commands, the Office of the Inspector General of the Department of Defense, the Defense Agencies, the DoD Field Activities, and all other organizational entities within the DoD (hereinafter referred to collectively as the "DoD Components").

    b. DoD personnel performing assignments outside the DoD.

3. <u>DEFINITIONS</u>. See Glossary.

4. <u>RESPONSIBILITIES</u>. See Enclosure 2.

5. <u>PROCEDURES</u>

   a. Enclosure 3 identifies the accreditation requirements used to support the DoD security community and the SPēD Certification Program.

   b. Enclosure 4 identifies the procedures for developing the DoD accreditation-ready SPēD Certification Program. This includes guidelines for:

      (1) Establishing formal and documented processes for assessing and evaluating whether personnel within the DoD security workforce have acquired the knowledge and skills required to perform security functional tasks.
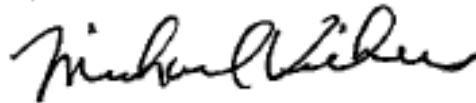
      (2) Categorizing defense security positions in terms of the security functional tasks and identifying certifications applicable to personnel performing the security functional tasks.

   c. Enclosure 5 provides templates associated with preparation of accreditation documentation.

6. <u>INFORMATION REQUIREMENTS</u>. The annual report on Accreditation and Certification, as described in Enclosure 4, has been assigned DD-INTEL(A)2252 in accordance with ~~DoD 8910.1-M~~ *Volume 1 of DoD Manual 8910.01* (Reference (d)).

7. <u>RELEASABILITY</u>. ~~UNLIMITED. This Manual is approved for public release and is available on the Internet from the DoD Issuances Website at http://www.dtic.mil/whs/directives.~~ *Cleared for public release. This manual is available on the Directives Division Website at http://www.esd.whs.mil/DD/.*

8. <u>EFFECTIVE DATE</u>. This Manual is effective ~~upon its publication to the DoD Issuances Website.~~ *March 14, 2011.*

Michael G. Vickers
Acting Under Secretary of Defense for Intelligence

Enclosures
1. References
2. Responsibilities
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5. Templates for Consistent Documentation
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REFERENCES

(a) DoD Directive 5143.01, "Under Secretary of Defense for Intelligence (USD(I))," November 23, 2005 *October 24, 2014, as amended*

(b) DoD Instruction 3115.11, "DoD Intelligence Human Capital Management Operations," January 22, 2009*, as amended*

(c) DoD Instruction 3305.13, "DoD Security Training" December 18, 2007

(d) DoD 8910.1-M, "Department of Defense Procedures for Management of Information Requirements," June 30, 1998

(c) DoD Instruction 3305.13, "DoD Security Education, Training, and Certification," February 13, 2014

(d) DoD Manual 8910.01, Volume 1, "DoD Information Collections Manual: Procedures for DoD Internal Information Collections," June 30, 2014, as amended

(e) Intelligence Community Directive Number 610, "Competency Directories for the Intelligence Community Workforce," September 1, 2008

(f) DoD Instruction 1400.25, Volume 250, "DoD Civilian Personnel Management System: Volume 250, Civilian Strategic Human Capital Planning (SHCP)," November 18, 2008 *June 7, 2016*

(g) Institute for Credentialing Excellence, "National Commission for Certifying Agencies: Standards for the Accreditation of Certification Programs," 2004

(h) Institute for Credentialing Excellence, "ICE 1100 – Quality Standard for Assessment-Based Certificate Programs," 2009[1]

(i) Society for Industrial and Organizational Psychology, Inc., "Principles for the Validation and Use of Personnel Selection Procedures," 4th Edition (2003)

(j) American Educational Research Association, American Psychological Association, and National Council on Measurement in Education, "Standards for Educational and Psychological Testing," 1999[2]

(k) Part 300.103(c) of title 5, Code of Federal Regulations

(l) Chapter 126 of title 42, United States Code (also known as "The Americans with Disabilities Act of 1990")

(m) Intelligence Community Directive Number 652, "Occupational Structure for the Intelligence Community Civilian Workforce," April 28, 2008

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[1] Available for purchase at
http://www.credentialingexcellence.org/PublicationsandResources/Publications/Standards/tabid/390/Default.aspx
[2] Available for purchase at http://www.aera.net/AERAShopper/ProductDetails.aspx?productID=AERWSTDEPT

ENCLOSURE 2

RESPONSIBILITIES

1. <u>UNDER SECRETARY OF DEFENSE FOR INTELLIGENCE (USD(I))</u>. The USD(I) shall:

a. Exercise the approval authority for the DoD SPēD Certification Program based on the accreditation and certification requirements described in Enclosure 3.

b. Ensure that sustainment requirements of the SPēD Certification Program and institutional accreditation, as required to satisfy the DoD Components' Implementation Plans and in accordance with Reference (b), are identified and included in Planning, Programming, and Budgeting (PP&B) actions.

c. Review SPēD Certification Program resource requests upon budget submission and provide additional guidance as needed.

d. Ensure DoD security education and training institutions are in compliance with the requirements described in Enclosure 3.

e. Accept and approve certification conferral recommendations.

f. Coordinate competency and certification programs with the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) Strategic Human Capital Planning (SHCP) Program Office.

g. Ensure the Heads of DoD Components and the Commanders of the Combatant Commands determine certification requirements for military and civilian manpower and contract support for security-related mission support and force structure.

2. <u>DIRECTOR, DEFENSE SECURITY SERVICE (DSS)</u>. The Director, DSS, under the authority, direction, and control of the USD(I) and in accordance with Reference (c), shall, in addition to the responsibilities in section 5 of this enclosure:

a. Identify and document the knowledge and skills associated with competencies necessary to successfully carry out DoD community-defined security functional tasks; inform the SHCP Program Office of competency requirements; and ensure that:

(1) The security knowledge and skills are aligned with the Office of the Director of National Intelligence (ODNI)-approved Competency Directory defined in Intelligence Community Directive (ICD) Number 610 (Reference (e)).

(2) The DoD community-defined security functional tasks are defined in accordance with Reference (c).

(3) The SPēD Certification Program information verifies, validates, and is updated to reflect mission, policy, doctrine, tactics, techniques, and procedure changes.

b. Submit the SPēD Certification Program for USD(I) approval.

c. Identify SPēD Certification Program resource requirements and submit for inclusion in the DoD budget.

d. Establish a Certification Administrative Program Office that supports the implementation and maintenance of the SPēD Certification Program.

e. Implement and maintain security education and training opportunities that allow security personnel to acquire knowledge and skills identified by the SPēD Certification Program.

f. Apply for external accreditation as described in Enclosure 3.

g. Identify and submit recommendations regarding the specific implementation and sustainment requirements of the SPēD Certification Program, as specified in this Manual.

h. Establish and implement policies and procedures for the SPēD Certification Program.

i. Review and coordinate with the Heads of the DoD Components the candidate lists to be submitted by the Certification Administrative Program Office before submission to USD(I) for conferral of certifications.

j. Establish and coordinate a process for developing, reviewing, and endorsing each DoD Component's Annual Report on Accreditation and Certification.

k. Collect metrics for each DoD Component's SPēD Certification Program status for inclusion in the DoD Security Training Council (DSTC) Annual Report to the USD(I).

l. Establish and implement a process for disseminating information about the SPēD Certification Program.

m. Design, develop, and implement a plan for evaluating the efficiency and effectiveness of the SPēD Certification Program.

3. USD(P&R). The USD(P&R) shall:

a. Incorporate SPēD certification designations into USD(P&R) management of security professionals.

b. Capture and incorporate requirements for certification in personnel and manpower databases under USD(P&R) authority.

c. Incorporate SPēD Certification Program and progress in meeting SPēD goals into the Department's SHCP and congressional reports in accordance with Volume 250 of DoDI 1400.25 (Reference (f)).

4. <u>UNDER SECRETARY OF DEFENSE FOR ACQUISITION, TECHNOLOGY, AND LOGISTICS (USD(AT&L))</u>. The USD(AT&L) shall coordinate with the Heads of the DoD Components to develop standard contract language in the Defense Federal Acquisition Regulation Supplement to reflect the requirements of this Manual relating to contracts and contractors.

5. <u>HEADS OF THE DoD COMPONENTS AND COMMANDANT OF THE U.S. COAST GUARD</u>. The Heads of the DoD Components and Commandant of the U.S. Coast Guard shall:

a. Implement policies, procedures, programs, and requirements as specified in this Manual.

b. Identify applicable certifications for their respective DoD Component's military, civilian, and contractor defense security positions in terms of security functional tasks.

c. Develop the DoD Component's Annual Report on Accreditation and Certification and submit to the Director, DSS, for reporting to USD(I) and to SHCP Program Office for incorporation into the DoD SHCP.

d. Support the continuous improvement of the SPēD Certification Program by submitting recommendations to the Chair, DSTC, regarding DoD Component-specific needs or issues that affect the effective implementation of the SPēD Certification Program and recommended adjustments to the SPēD Certification Program including, but not limited to, additions, deletions, or changes to the Certification Framework, Certification Blueprints, or Certification Scheme.

e. Identify SPēD Certification Program education, training, and certification renewal requirements including associated costs for time required for professional development and include in PP&B actions.

f. Review and coordinate with the Chair of the DSTC the candidate lists to be submitted to the DSTC for recommendations for conferral of certifications.

g. Provide subject matter experts to DSTC-initiated certification projects, committees, and initiatives.

h. Ensure DoD Component-level security education and training institutions are accredited and sustained in accordance with Enclosure 3.

ENCLOSURE 3

ACCREDITATION REQUIREMENTS

1. <u>INTRODUCTION</u>. Accreditation has two fundamental purposes: to assure the quality of the institution or certification program and to assist in the improvement of the institution or certification program. Accreditation applies to education and training institutions and certification programs identified in this Manual.

2. <u>ACCREDITATION FOR INSTITUTIONS</u>

a. Bodies that conduct institutional accreditation are national or regional in scope and consider the characteristics of whole institutions. An institutional accrediting body gives attention not only to the offerings of the institutions it accredits, but to other institutional characteristics such as student personnel services, financial status, administrative structure, facilities, and equipment.

b. Institutional accreditation must be achieved by meeting the published standards and the associated criteria of a U.S. Secretary of Education-recognized accrediting agency, such as the Council on Occupational Education.

c. Additional accreditation initiatives must be conducted to meet the standards and associated criteria outlined by the DoD Functional Manager.

d. Because some institutions associated with education and training within the DoD have classified portions of their respective curricula, accreditation visitation team members must have appropriate security clearances. It is the responsibility of the institution to inform the accrediting organization of the security clearance requirements during the establishment of its candidacy.

3. <u>ACCREDITATION FOR A CERTIFICATION PROGRAM</u>

a. Certifications developed under the direction of this Manual must be accredited and maintain accreditation to ensure quality as described in the Standards for the Accreditation of Certification Programs and the Quality Standard for Assessment-Based Certificate Programs (References (g) and (h), respectively).

b. Accreditation of certification programs must be achieved by meeting the published standards of the nationally recognized certification accreditation body, the National Commission for Certifying Agencies (NCCA). The process of application to and establishment of candidacy for NCCA accreditation is described in References (g) and (h).

4. <u>INSTRUCTOR CERTIFICATION STANDARD</u>

a. <u>Purpose</u>. The DoD Instructor Certification Standard establishes standards for Basic Instructor Certification to ensure that all DoD education and training is conducted by fully competent, capable, and knowledgeable learning facilitators. The Standard provides a basic framework for the development and certification of instructors within the DoD Training and Education Enterprise to complement existing instructor development and certification programs. This Standard applies to all instructors and faculty within the several DoD Training and Education Components subject to the provisions of Reference (b).

b. <u>Responsibilities</u>. This Standard establishes general guidelines for basic instructor development, evaluation, and certification. It is meant to supplement policy that may already be in place within the respective DoD schoolhouses. Each school must have a policy or policies addressing:

(1) Organizational requirements for instructor development, evaluation, and certification. These requirements shall at a minimum include the criteria for the Basic DoD Instructor Certification as well as address the professional conduct of instructors and continuing education requirements.

(2) Instructor qualification criteria leading to certification. Those criteria shall include traditional and distributed learning formats as applicable.

(3) Required subject matter certifications where applicable (e.g., language, weapons qualifications).

(4) Recertification procedures.

(5) Advanced instructor certification procedures.

(6) Instructor mentoring.

(7) Standards and methods for observing and evaluating instructor classroom performance and performance review frequency.

(8) Waiver procedures.

(9) Continuing education requirements for instructors.

c. <u>Criteria for Basic Instructor</u>. All instructors teaching courses or portions of courses (e.g.. units, blocks, modules) in DoD schoolhouses are to be certified or in the process of obtaining certification at the level of Basic DoD Instructor or above. The following are the criteria to achieve Basic DoD Instructor Certification:

(1) <u>Subject Matter Expertise</u>. Instructors must possess expertise in the field they are teaching sufficient to address the material being taught.

(2) <u>Instructor Qualifications.</u> An instructor must achieve, at a minimum, the basic instructor competencies outlined in Figure 1. This can be accomplished either by completing a basic instructor course within the first 12 months of teaching or meeting institutional waiver requirements if an individual has successfully completed previous instructor course meeting the listed competencies. Instructors of all categories must attend a basic instructor course prior to teaching any course (or portion thereof) without supervision unless a waiver is granted by a school official having designated waiver authority as detailed in the school's administrative and management policy.

<u>Figure 1</u>. <u>Basic Level Instructor Competencies</u>

The Basic Level Instructor Competencies:

- Knowledge of adult learning principles
- Knowledge of the instructional systems design process
- Knowledge of distance learning and delivery mechanisms*
- Knowledge of basic course/curriculum evaluation
- Face-to-face presentation skills to include integration with appropriate teaching methods**
- Basic classroom management skills
- Basic assessment of student learning skills and skills in the delivery of adequate feedback
- Basic facilitation skills
- Awareness of learning transfer

*Note: This competency is required because some DoD schools start their instructors teaching in a distance learning environment immediately.

**Note: Face-to-face can mean any opportunity for learning where the learner and instructor are co-located.

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(3) <u>Knowledge of Course Content and Delivery</u>. Prior to teaching, instructors must demonstrate content proficiency, either by completing the current version of the course or portion thereof as a student (including online and classroom portions of a hybrid course) or completing an earlier version of the course or portion thereof that is substantially similar to the current course. Instructors may be exempt from taking a course as a student if they have gained sufficient knowledge of course content through activities such as substantial participation in a course's design and development.

(4) <u>Supervised Instruction.</u> It is imperative that instructors continually strive to improve their ability to instruct. To that end, all instructors must successfully teach a course (or

applicable portion thereof) under the supervision of a fully qualified instructor unless a waiver is granted by a school official having designated waiver authority as detailed in the school's administrative and management policy. Figure 2 provides a list of items to look for when observing or assessing an instructor in the classroom or in the particular environment called for as a course or class requirement.

Figure 2. Instructor Observation and Evaluation Checklist

Instructor Observation and Evaluation Checklist

The following provides a sample list of items to look for when observing instructors.

Instructional Materials
- Classroom preparation (e.g., rosters, sign-in sheets, notebooks, handouts)
- Familiarity with classroom, building layout, emergency procedures, etc.
- Familiarity with and adherence to institutional security procedures
- Familiarity with equipment/technology/platform props
- Audio visual material – high quality, clear, easy to read
- Case studies and readings – appropriate to class

Delivery Skills
- Presents and communicates clearly
- Clearly communicates lesson objectives
- Explains relevance of learning objectives to students
- Enthusiastic about subject matter
- Engages audience
- Asks and answers questions
- Ensures student learning
- Manages classroom
- Delivery skills (eye contact, movement, gestures, facial expressions, voice)
- Time management
- Follows the lesson plan and deviates from lesson when appropriate or necessary
- Demonstrates effective use of applicable instructional delivery
- Informal and formal assessment of learning (e.g., questions, cases, exercises)

Subject Matter Expertise
- Demonstrates command of material

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(5) Certification Assessment. Having met all the criteria listed above, all instructors are to be formally assessed utilizing their home component's instructor assessment and certification process. The assessment criteria must include, at a minimum, the applicable criteria outlined in Figure 2. This assessment serves as the capstone for certification at the Basic DoD Instructor level. It should be followed by a combination of recurring formative and summative assessments systematically administered throughout the instructor's tenure.

d. Implementing Guidance. If a school's criteria for attaining first level certification meet the basic DoD instructor standards, they shall concurrently receive the Basic DoD Instructor Certification upon meeting the school's certification requirements. It is expected that the community's adoption of this common instructor certification standard will allow mutual recognition of an individual's previous teaching certification among all community members. Such mutual recognition does not imply that an individual who transfers between DoD schoolhouses has license to commence teaching immediately at a new school. Rather, it does mean an individual's certification is to be acknowledged as a starting point in preparing to operate in the new institution's specific environment and in accordance with its policies and directives.

(1) Current instructors and school administrators identified as meeting their school's first level instructor certification will be granted Basic DoD Instructor Certification.

(2) Former instructors must meet an individual school's recertification requirements prior to being granted Basic DoD Instructor Certification.

(3) Once certified, instructors will be required to meet each individual school's recertification regimen, which will include meeting its evaluation standards on a periodic basis and adhering to an annual continuous learning requirement. Continuous learning events may include but are not limited to attendance at instructional conferences, building and conducting "Brown Bag" seminars on selected topics, or completion of education and training courses. The periodicity of recertification will factor in the school's instructor demographics and the requirements of its faculty and staff development strategy. At a minimum, it is recommended that full-time faculty be recertified annually.

(4) Successful completion of the requirements for Basic DoD Instructor Certification will be recognized by a certificate signed by the DoD Intelligence Chief Learning Officer.

e. Oversight of the Standards. In order to assure alignment of the DoD schoolhouses to these standards and to promulgate best practices among all DoD learning institutions, the USD(I) will conduct biennial staff assistance visits (SAVs) with each institution. The results of these SAVs will be shared with all DoD schoolhouses to track the progress of each schoolhouse in meeting these standards and leverage the best practices being employed to meet these standards for the mutual benefit of all institutions. The following recommendations are best practices:

(1) All instructors attend their prospective assigned course(s) as a student prior to teaching the material on their own. It is also recommended all instructors attend the course and teach the course thereinafter with a fully qualified mentor.

(2) Peer assessment techniques should be included in the process of conducting required recurring formative and summative assessments.

(3) All instructors, current and adjunct, continue to develop their knowledge and competency in the areas listed in Figure 1.

(4) Successful completion of the requirements for Basic DoD Instructor Certification will be recognized by a certificate signed by the DoD Intelligence Chief Learning Officer.

ENCLOSURE 4

SPēD CERTIFICATION PROGRAM PROCEDURES

1. <u>SPēD CERTIFICATION PROGRAM OBJECTIVES</u>. The SPēD Certification Program will:

a. Promote a common and shared understanding of both security functional tasks and the knowledge and skills associated with the competencies required to perform those functional tasks (hereinafter referred to as the security essential body of knowledge).

b. Promote an interoperable DoD security workforce by establishing uniform processes for assessing knowledge and skills and determining whether a member of the security workforce has demonstrated mastery of relevant segments of the security essential body of knowledge.

c. Certify that security personnel (military, civilian, and contractor) possess the knowledge and skills associated with the competencies necessary to successfully carry out DoD-defined security functional tasks.

d. Facilitate sound professional development, education, and training by ensuring, through a formal evaluation process, that such professional development, education, and training programs provide individuals the opportunity to acquire the documented security essential body of knowledge.

e. Develop a workforce of certified security professionals who will provide the best possible guidance and support to DoD managers and leaders responsible for protecting DoD assets and operations.

f. Be submitted for accreditation by NCCA.

2. <u>ESTABLISHING THE SPēD CERTIFICATION PROGRAM</u>. A certification program formally recognizes, through conferral of a certification credential, security personnel mastery of relevant segments of the security essential body of knowledge. The certification credentials will be used for mission staffing and career planning. Supporting documentation will be included in the Security Certification Program Design Document (PDD). The PDD codifies a certification program's policies and procedures. It provides stakeholders visibility into the strategic, operational, and technical elements of a certification program. Documentation required for accreditation of the certification program will be included. The standards and elements for the certification program are:

a. <u>Standards for Establishing Formal Processes for Credentialing Security Personnel</u>. The success of a certification program depends on the psychometric integrity of the assessment and evaluation processes the program uses to certify that security personnel have mastered relevant segments of the security essential body of knowledge. Reference (g) provides accreditation

standards that the SPēD Certification Program must meet to ensure these processes result in reliable information that the USD(I) can use to make valid certification conferral decisions.

(1) The SPēD Certification Program shall be based on a documented security essential body of knowledge derived from a systematic and thorough job analysis for Defense Civilian Intelligence Personnel System employees and General Schedule employees that properly leverages, informs, and aligns with the appropriate ODNI-approved Competency Directory in accordance with Reference (e). The job analysis method employed to catalog the security essential body of knowledge must comply with applicable legal, professional, and technical guidelines in accordance with Reference (f) and the Principles for the Validation and Use of Personnel Selection Procedures (Reference (i)), Standards for Educational and Psychological Testing (Reference (j)), and Part 300.103(c) of title 5, Code of Federal Regulations (Reference (k)).

(a) The security essential body of knowledge shall be derived, in accordance with Reference (e), from competencies that are included and described using established labels and definitions provided in the ODNI-approved Competency Directories.

<u>1</u>. The security competencies shall be further codified by the DoD community-defined knowledge and skills.

<u>2</u>. The knowledge and skills should be defined in detail adequate for use in or application to instructional and assessment development, e.g., learning objectives.

(b) The security essential body of knowledge shall be identified, codified, and validated through a formal analysis of security functional tasks in compliance with applicable legal, professional, and technical guidelines in accordance with References (i), (j), and (k).

<u>1</u>. Security functional tasks shall be codified in terms of mutually exclusive critical work functions and associated key activities the security workforce (irrespective of job titles, job series, or positions), as a whole, must enact to fulfill departmental security missions, goals, and objectives.

<u>2</u>. Job analysis methods will be employed to identify, codify, and validate security functional tasks. Use of these methods shall result in information regarding the relevance, importance and criticality of those security functional tasks in the fulfillment of departmental security missions, goals, and objectives.

(2) Only assessment strategies included and described in this Manual shall be used as a basis for certifying security personnel. Use of these strategies for assessing and evaluating security personnel's mastery of the security essential body of knowledge must be supported by documented validity evidence in accordance with References (i), (j), and (k).

(3) To ensure that the USD(I) can make valid certification conferral decisions based on information resulting from chosen assessment strategies, implementation of these strategies must

comply with applicable legal, professional, and technical guidelines in accordance with References (i), (j), and (k).

b. Elements of the Certification Program for Credentialing Security Personnel. The formal processes used during the formation of the SPēD Certification elements are captured in the certification framework, certification blueprint, and certification scheme.

(1) Certification Framework. The SPēD Certification Program will define a certification framework that meets the needs of the DoD community and is in accordance with the security essential body of knowledge. The framework will be used to prepare notional career pathways.

(a) The certification framework will array certifications in a manner that reflects the logical progression with which the security workforce will need to demonstrate acquisition of the security essential body of knowledge.

(b) The certification framework shall be sufficiently modular to account for the variability with which DoD Components configure positions and billets to carry out security functional tasks.

(c) The initial certification will address segments of the essential body of knowledge that are relevant and critical to security functional tasks. The certification's intended audience shall be the security workforce.

(d) Subsequent certifications in the framework will address segments of the security essential body of knowledge critical to the successful performance of defined categories of security functional tasks. The certification framework will be aligned with the ODNI-defined qualification standards when available or within 1 year of release in accordance with Reference (e).

(2) Certification Blueprint. The SPēD Certification Program shall create a certification blueprint for each certification specified in the framework. The blueprint will identify specific segments of the security essential body of knowledge that each certification will address and cover.

(a) The certification blueprint shall be reviewed, validated, and endorsed by the DSTC.

(b) The certification blueprint shall drive the selection of assessment processes.

1. Assessment processes shall be developed, validated, implemented, and maintained in accordance with applicable legal, professional, and technical guidelines and in accordance with References (i), (j), and (k).

2. The development and validation of assessment processes shall be documented in accordance with applicable legal, professional, and technical guidelines and in accordance

with References (i), (j), and (k) and relevant accreditation standards in accordance with References (g) and (h).

(3) Certification Scheme. A program's certification scheme describes the set of assessment processes it will use to implement defined certification blueprints. It specifies a certification's eligibility requirements and prerequisites, certification assessment strategies, and its renewal requirements.

(a) Eligibility and Prerequisites. The SPēD Certification Program shall, when applicable, define specific prerequisites for each certification that security personnel must meet to be considered eligible candidates for that certification. Prerequisites may include:

1. Verification that an individual is a member of the DoD security workforce or a member of a DoD-related security workforce.

2. Attainment of a relevant, lower-level security certification.

3. Successful completion of education and training courses or programs that are not part of the certification's assessment strategies.

4. Successful attainment of ODNI-approved qualification standards when available or within 1 year of release in accordance with Reference (e).

(b) Assessment Strategies. The SPēD Certification Program will specify assessment strategies for each certification identified in its certification framework. Assessment processes, established in assessment strategies, will provide the SPēD Certification Program concrete evidence of security personnel's possession of targeted security essential body of knowledge. Assessment strategies may include:

1. Education and Training. Assessment processes may include successful completion of courses or programs that cover targeted competencies. To be part of the assessment strategies, courses or programs shall:

a. Go through a formal review or development process that ensures they cover competencies specified in the SPēD certification standards.

b. Publish learning objectives associated with the targeted competencies specified in the SPēD certification standards.

c. Use valid and reliable assessments to gauge the extent to which students have acquired the targeted competencies they cover.

d. Meet all Assessment-Based Certificate accreditation standards in accordance with Reference (h).

2. Accomplishment Records. Assessment processes may include evaluations of accomplishments and experiences that reflect the successful application of targeted competencies to carry out applicable security functional tasks. To be part of the assessment strategies, evaluations of accomplishments and experiences will:

a. Use structured, standardized, and formalized processes for collecting and evaluating accomplishments and experiences.

b. Be based on verifiable and verified accomplishments and experiences within a given time frame.

c. Be conducted by evaluators trained in effective evaluation.

3. Work Products. Assessment processes may include evaluations of work products that reflect the successful application of targeted competencies to carry out applicable security functional tasks. To be part of the assessment strategies, evaluations of work products will:

a. Use explicit and DoD community-accepted quality criteria or standards.

b. Use structured, standardized, and formal evaluation processes.

c. Be conducted by evaluators trained in effective evaluation.

4. Standardized Assessments. Assessment processes may include successful exhibition of knowledge and skills using standardized assessments that measure the knowledge and skills associated with the targeted competencies.

5. Reuse of Assessments. When applicable, different certifications targeting the same set of competencies will use the same assessment process to evaluate security personnel's attainment of those competencies.

(c) Certification Renewal. Certification renewal is an effort to measure continuing competence. Certification renewal consists of maintenance and recertification.

1. Maintenance. The SPēD Certification Program will identify certification requirements that security personnel must meet to maintain their certification status. Certification maintenance requirements will be defined in terms of professional development and continuing education using hours, units, or credits.

2. Recertification. The SPēD Certification Program will define recertification policies and procedures for each certification. This includes:

a. Conditions and events that will trigger the need for certification holders to go through a recertification process.

b. Elements of the original assessment strategies that certification holders must meet in order to be recertified.

(d) Adjudication. In accordance with Reference (g), the SP̄D Certification Program shall confer certifications only to those security personnel who meet all of the requirements that define each certification's assessment strategies. The SP̄D Certification Program will also define actions available to individuals who do not meet the certification requirements. This includes:

1. The amount of time security personnel must wait before they are eligible to re-apply for failed elements of the certification.

2. Policies and procedures available to security personnel who choose to appeal adverse certification decisions.

c. Documentation of the Certification Program for Credentialing Security Personnel. The SP̄D Certification Program shall document policies and procedures in the PDD. The PDD shall comply with documentation requirements of Reference (g). The key sections of the PDD are organized as follows: Purpose, Governance, and Resources; Responsibilities to Stakeholders; Assessment Instruments; and Renewal.

3. CERTIFICATION ADMINSTRATIVE PROGRAM OFFICE. The functions of the Certification Administrative Program Office include:

a. Management of Certification Conferral Process. In coordination with the DSTC and the DoD Functional Manager, submit names for conferral of certifications by the USD(I). Dissemination of information to the DoD Components will flow from the Certification Administrative Program Office in accordance with the DoD Component Implementation Plans. Supporting documentation will be included in the PDD.

b. Maintenance of Applications, Records Management, and Documentation. Establish and provide eligible candidates an application process for certification that is administered in a consistent, accessible, and secure manner and complies with the guidelines and procedures outlined in this Manual. Maintain security of candidate records, scores, and certification and decertification documents. Track candidates from initial request to certification and report information to the DoD Components. Supporting documentation will be included in the PDD. Interface with the DoD Enterprise Competency Management System to capture position competency requirements and associated employee proficiency.

c. Management of Certification Tests, Tools, and Protocols and Oversight of Their Delivery. Establish procedures to manage the tests, tools, and protocols. Certification testing will be administered in an approved, proctored environment, using standardized procedures and in compliance with applicable laws, external accreditation standards, and chapter 126 of title 42, United States Code (also known as "The Americans with Disabilities Act of 1990" (Reference (l))). Supporting documentation will be included in the PDD.

d. <u>Management of Appeals</u>. Candidates have the right to appeal all decisions relating to their eligibility evaluation as well as their SPēD Certification examination results. All appeals must be in writing and submitted to the DSTC within 90 days. Candidates must identify the reasons for the appeal. The appeals process will be administered in a manner consistent with a DSTC-approved appeals process. Supporting documentation will be included in the PDD.

e. <u>Management of Human Resources</u>. The Certification Administrative Program Office will be staffed with personnel who possess credentials consistent with their responsibilities. Supporting documentation will be included in the PDD.

f. <u>Management of Data</u>. Establish and implement policies and procedures necessary to protect and secure confidential personnel certification data including, but not limited to, personnel records, tests, and statistical data. These policies and procedures shall clearly define and establish "need to know" criteria and security-related system access requirements. Supporting documentation will be included in the PDD.

4. <u>COMPLETE ANNUAL REPORT ON ACCREDITATION AND CERTIFICATION</u>. The DoD Components will develop the Annual Report on Accreditation and Certification and submit to the DSTC for inclusion in reports to the USD(I) in accordance with Reference (c). This report must include:

a. <u>Implementation Plan</u>. Describe the DoD Component's plan for incrementally completing the requirements of this Manual over a 5-year period.

b. <u>Management Plan</u>. Establish and maintain a systematic approach to track and monitor individual SPēD Certification Program certification attainment and maintenance for every security position included in the program. Every person assigned to a security position shall achieve the appropriate certifications within 2 years unless identified as an incumbent by the DoD Component. New hires' qualification periods begin on the first duty day in the position. Vacancy announcements must state certification requirements for new hires. Report staffing compliance.

5. <u>IDENTIFICATION OF APPLICABLE CERTIFICATIONS FOR DEFENSE SECURITY POSITIONS</u>. As part of a DoD Component's implementation and management plans, the process for identification of applicable certifications begins with the categorization of defense security positions in terms of security functional tasks.

a. Identify and categorize security positions included in the SPēD Certification Program. This includes all positions with responsibilities for security capabilities or performing security activities per the security functional tasks, whether performed as primary or additional duties. This applies to military, civilian, and contractor positions mandated in statement of work or contract. The contracting officer will ensure contractor personnel are appropriately certified according to the education, training, and certification requirements provided by the requiring

office. The certification requirements for contractor personnel are a necessary component to include in the contract statement of work. All defense security positions, regardless of job title or job-series designation, that carry out any security functional tasks as a primary duty will be profiled using the security functional tasks.

b. Resulting indices will be used to identify which security certifications will be applicable to individuals who will fill profiled and indexed defense security positions. Steps to ensure proper indexing include, but are not limited to:

(1) Identify SPēD Certification Program requirements for each categorized security position.

(2) Enter certification classification as the Position Specialty Code into the Defense Civilian Personnel Data System for all positions and personnel performing security functions.

(3) Enter certification classification as an Additional Skill Identifier or Military Occupational Specialty code into the military database for all military personnel performing security functions.

(4) Establish and implement a "condition of employment" agreement for security personnel (military, civilian, and contractor) that states they will obtain the appropriate certifications for the positions they fill. The agreement shall also include a release for the DoD to have access to the individual's certification qualifications.

c. For employees who hold defense security positions identified as performing defined security functional tasks as either a primary or additional duty, certifications relevant to the defined categories of security functional tasks will be a mandatory qualification requirement for performing those tasks except under direct supervision of a certified security professional.

(1) Attainment of a certification applicable to a defense security position does not confer to the holder an automatic right to that position. DoD Components may levy additional requirements for staffing purposes and make final decisions regarding the staffing of their defense security positions.

(2) Incumbents of defense security positions will not need to obtain certifications to retain their current defense security positions. See glossary for definition of "incumbent".

ENCLOSURE 5

TEMPLATES FOR CONSISTENT DOCUMENTATION

1. INTRODUCTION. This enclosure provides templates for documenting the certification program in the PDD.

2. DOCUMENTATION OF THE PDD. The following templates are provided for uniformity when presenting related accreditation and certification documentation.

    a. Table 1 specifies the certification's target audience, the knowledge and skills identified to exhibit mastery, the assessment processes that define the assessment strategies, and the name of the certification credential.

Table 1. Certification Program Assessment Outline

TARGET AUDIENCE	EXHIBIT MASTERY	ASSESSMENT STRATEGIES	CERTIFICATION CREDENTIAL
Professionals performing lists of functional tasks	Relevant knowledge and skills that make up competencies	Approved assessment processes	Certification Name

    b. Each certification within the SPēD Certification Program must detail the assessment strategies as specified in Table 1.

    c. Table 2 presents descriptions of each assessment process the SPēD Certification Program may use as part of assessment strategies for each certification.

Table 2. Assessment Strategy Options

SPēD CERTIFICATION PROGRAM ASSESSMENT STRATEGY OPTIONS	
EDUCATION AND TRAINING DESCRIPTION	ASSESSMENT PROCESS
Verification of successful completion of education and training via an official review of records and transcripts. Note that this strategy is intended for required activities only — not recommended for developmental experiences.	Include requirements for specific courses or curricula. - Requirements to attain qualification level 1 should be at the basic/intermediate proficiency level. - Requirements to attain qualification level 2 should be at the full performance proficiency level. - Requirements to attain qualification level 3 should be at the advanced proficiency level. - Requirements to attain qualification level 4 should be at the expert proficiency level.

Table 2. Assessment Strategy Options, Continued

SPēD CERTIFICATION PROGRAM ASSESSMENT STRATEGY OPTIONS	
ACCOMPLISHMENT RECORD DESCRIPTION	ASSESSMENT PROCESS
For this strategy, candidates write and submit written descriptions of past achievements that provide evidence that the candidate has achieved the required qualification standards. Accomplishment records will be assessed with specific behavioral benchmarks relevant to each work level. Accomplishment records will be evaluated by two raters, one of whom will be the candidate's supervisor (who will confirm the accuracy of the information included in the accomplishment record). The other rater will be someone who does not directly supervise the candidate but may be a higher-level reviewing official.	The accomplishment record should include documented evidence that the candidate has met the qualification standards at the appropriate level, and specific examples of past experiences should be written in the "situation, behavior, outcome" format. Candidates may also demonstrate their knowledge of a specific topic area (e.g., security mission and values) by writing a brief statement addressing that topic. Describe requirements for accomplishment records for each proficiency level. These requirements should include the specific knowledge, skills, and abilities that candidates should provide evidence of in their accomplishment records. For example, "Ability to effectively present briefings on emerging terrorist threats to a variety of audiences."

Table 2. Assessment Strategy Options, Continued

SPēD CERTIFICATION PROGRAM ASSESSMENT STRATEGY OPTIONS	
WORK PRODUCT DESCRIPTION	**ASSESSMENT PROCESS**
For this strategy, candidates will submit examples of recent work products or individual contributions to work products such as briefings and reports. All work products will be evaluated using standardized criteria and benchmarks appropriate to the domain area and the proficiency level. Where appropriate, existing review processes may be used. Reviews must be based on standards for quality (e.g., the Office of Analytic Integrity and Standards benchmarks for analytic tradecraft standards or equivalent). Work products must be evaluated by a panel of subject matter experts.	Products may be the work of the candidate individually or a team in which the candidate participated, provided that the candidate made a substantive contribution to the team's final product. For team products, the candidate should submit a brief statement describing his/her role in producing the work product and this statement should be verified by the supervisor. Describe function or specialty requirements for sample work products for each proficiency level, including the standards against which these work products will be assessed. Sample work products submitted by external applicants may include articles, book chapters, term papers, conference papers, etc., and must reflect the candidate's individual work.
STANDARDIZED ASSESSMENT DESCRIPTION	**ASSESSMENT PROCESS**
To ensure consistent requirements are applied across the DoD community, candidates must pass one or more assessments that are administered and scored in a standardized fashion. For this strategy, all standardized assessments will be scored by trained assessors using reliable and valid measures.	Describe function or specialty requirements for standardized assessments for each proficiency level. Include a description of the type of assessment (e.g., multiple choice test, performance assessment) and how it will be evaluated.

d. Table 3 depicts how the certification scheme relates to established security career pathways utilizing ICD Number 652 (Reference (m)).

Table 3. Career Path by Proficiency Level

CAREER PATH FOR [INSERT OCCUPATIONAL GROUP] MISSION CATEGORY: [INSERT APPLICABLE ICD 652 MISSION CATEGORY] WORK CATEGORY: [INSERT APPLICABLE ICD 652 WORK CATEGORY]			
PROFICIENCY LEVEL	CERTIFICATION CREDENTIAL	CERTIFICATION EXPECTATIONS	ASSESSMENT STRATEGY
Proficiency Level X	• Insert Applicable Certification Credential	• Document Certification Details	• List types of strategies

e. Table 4 depicts the certification scheme associated with each certification offered by the SPēD Certification Program.

Table 4. Policy Matrix

POLICY MATRIX FOR SECURITY CERTIFICATION			
INTENDED AUDIENCE	Security professionals performing: [List of Functional Tasks]		
SECURITY PROFESSIONAL NEEDS:	PREREQUISITES	REQUIREMENTS	WAIVERS
CERTIFICATION NAME	• Applicable and approved prerequisites	• Approved assessment processes	• Approved waivers
CERTIFICATION RENEWAL			
CERTIFICATION MAINTENANCE REQUIREMENTS	Approved continuing education units per year, when applicable.		
RECERTIFICATION REQUIREMENTS	Conditions or events that trigger the need for recertification and assessment processes that will be used for recertification.		

GLOSSARY

PART I. ABBREVIATIONS AND ACRONYMS

DoDI	Department of Defense Instruction
DSS	Defense Security Service
DSTC	DoD Security Training Council
ICD	Intelligence Community Directive
ICE	Institute for Credentialing Excellence
NCCA	National Commission for Certifying Agencies
ODNI	Office of the Director of National Intelligence
PDD	Program Design Document
PP&B	Planning, Programming, and Budgeting
RCS	Report Control Symbol
SAV	staff assistance visit
SHCP	strategic human capital planning
SPēD	Security Professional Education Development
USD(AT&L)	Under Secretary of Defense for Acquisition, Technology, and Logistics
USD(I)	Under Secretary of Defense for Intelligence
USD(P&R)	Under Secretary of Defense for Personnel and Readiness

PART II. DEFINITIONS

Unless otherwise noted, these terms and their definitions are for the purpose of this Manual.

accomplishment record. Written descriptions of past achievements related to required qualification standards.

accreditation. Defined in Reference (b).

assessment strategies. Specific certification requirements related to specified categories of persons to which the same particular standards, rules, and procedures apply.

brown bag seminar. Training or information sessions offered during lunch hour.

candidate. An individual who has met the eligibility qualification for but has not yet earned a credential awarded through a certification program. Candidate also refers to being a candidate for accreditation, which is a pre-accreditation status of an institution or certification program actively seeking accreditation.

certification. Defined in Reference (b).

certification blueprint. A document that specifies segments of the security essential body of knowledge a particular certification covers. It describes the knowledge and skills individuals must be able to demonstrate to obtain the certification, and it informs others about the specific set of knowledge and skills certification holders possess as a function of holding that certification.

certification framework. A representation of a certification program's offerings that reflects the sequence with which individuals are expected to acquire the knowledge and skills specified in the security essential body of knowledge. A certification program's framework presents a notional career pathway that uses certifications as career benchmarks or milestones. It also defines an individual's progression through a certification program.

certification scheme. Standardized set of assessment processes a certification program will use to uniformly evaluate individuals' mastery of a predefined segment of the security essential body of knowledge associated with a particular certification. It specifies a certification's eligibility, assessment strategies, and renewal requirements.

competencies. Defined in Reference (e).

competency directory. Defined in Reference (e).

essential body of knowledge. A document that codifies the DoD security community's job analysis results. It specifies the DoD community's functional tasks and the knowledge and skills required to perform those functional tasks. It also codifies how those knowledge and skills are aligned with relevant ODNI Competency Directories. In sum, it describes the DoD security community's expectation of what individuals need to know and be able to do to be a high-performing contributor and member of the DoD community.

functional tasks. A set of mutually exclusive segments or concentrations of work that are carried out to fulfill organizational goals and objectives. Also referred to as "capabilities" in the skill standards development process.

incumbent. An incumbent is a security professional (employee) encumbering a position that has been indexed as requiring the SPēD certification, but who was hired against that position prior to

it being designated as an indexed position. As the SPēD certification was not a condition of employment at the time of hire, the employee is not required to become certified to remain in that position. However, should that employee desire or accept any other indexed position (including lateral moves and promotions) that does identify a requirement for SPēD certification, the employee will be required to fulfill the conditions of employment for the new position within the timeframe required (not to exceed 2 years) as specified by the employing agency.

PDD. A document that codifies a certification program's policies and procedures. It provides stakeholders visibility into the strategic, operational, and technical elements of a certification program. Documentation required for accreditation of the certification program is included.

performance evaluation. Required performance appraisal ratings and specific accomplishments not captured by other assessment strategies.

primary duty. Profiled defense security positions that require more than 50 percent of the time performing one or more defined categories of security functional tasks shall be indexed, for certification purposes, as performing defined categories of security functional tasks.

proficiency. Defined in Reference (m).

psychometrics. The field of study concerned with the theory and technique of educational and psychological measurement, which includes the measurement of knowledge, abilities, attitudes, and personality traits. The field is primarily concerned with the study of measurement instruments such as questionnaires and tests.

standardized assessments. Structured strategy used to measure capabilities and competencies.

subject matter expertise/specialty. Defined in Reference (e).

work levels. Defined in Reference (m).

work products. Deliverables or outcomes that must be produced by the individual to provide evidence that the candidate has attained a level of capability.