



DEPARTMENT OF THE NAVY

CHIEF INFORMATION OFFICER
1000 NAVY PENTAGON
WASHINGTON, DC 20350-1000

28 February 2011

MEMORANDUM FOR DISTRIBUTION

Subj: GUIDANCE FOR CIVILIAN CYBERSECURITY/INFORMATION ASSURANCE
WORKFORCE COMMERCIAL CERTIFICATION COMPLIANCE PROCESS

Ref: (a) Federal Information Security Act (FISMA) of 2002
(b) DoD 8570.01-M, Information Assurance Workforce Improvement Program
(c) SECNAV Instruction 5239.20, DON CS/IA Workforce Management, Oversight, and Compliance, of 17 Jun 10
(d) SECNAV Manual 5239.2, DON IA Workforce Management Manual, of 29 May 09
(e) USD (Personnel and Readiness) Memorandum, Human Resources Support to Implementing DoD Information Assurance Workforce Training, Certification and Workforce Management Requirements, of 8 Jan 07

Encl: (1) Matrix for Civilian Commercial Certification Compliance and Remediation
(2) Sample Compliance Letter for IA Professionals

1. Purpose. This memorandum provides additional guidance for the commercial certification compliance process and corrective actions for civilian personnel who fail to meet Department of the Navy (DON) Information Assurance (IA) Workforce Improvement Program (IA WIP) requirements per references (a) through (e).

2. Applicability. This responsibility is applicable to all civilians working in cybersecurity/IA regardless of occupational series classification as they are our first line of defense to detect, prevent, isolate, and contain threats against our network.

3. Background. Civilian personnel designated as part of the IA Workforce (IAWF) are required, as a condition of employment, to obtain and maintain a commercial certification, as outlined in references (b) and (d). In 2010, Office of Civilian Human Resources (OCHR) met the IA WIP management obligation to notify the unions. Reference (c) details oversight procedures to ensure our civilian workforce is appropriately trained and certified.

4. Action. The following actions are required:

- a. Commanders/Commanding Officers, per reference (d), shall ensure Personnel Job Descriptions contain the "condition of employment" statement requiring the appropriate certification for the position; this can be done through pen and ink change – the PD does not have to be rewritten. Additionally, job offers to new employees shall contain the "condition of employment" requirement to obtain and maintain the appropriate position sensitivity and/or suitability and commercial certification for the job;
- b. Commanders/Commanding Officers shall properly notify civilians of their responsibilities and requirements as a member of the IA Workforce;

Subj: GUIDANCE FOR CIVILIAN CYBERSECURITY/INFORMATION ASSURANCE
WORKFORCE COMMERCIAL CERTIFICATION COMPLIANCE PROCESS

- c. Commanders/Commanding Officers shall follow the matrix in enclosure (1) to prepare all IA civilians for compliance and success, and take remedial action when appropriate:
- d. Supervisors shall track and document individual training plans;
- e. Once civilian personnel are commercially certified they must release their status to the Department of Defense through the Defense Workforce Certification Application at <https://www.dmdc.osd.mil/appj/dwc/index.jsp>; and
- f. In the event a civilian fails to achieve compliance, the Commander/Commanding Officer shall notify him of his status and any required remediation. Enclosure (2) is a recommended notification format. The command shall put the member in a waiver status, in accordance with Service direction; pending review of competencies and potential movement to a non-IA position. If a non-IA position is not available, employee will be subject to other action up to and including removal.

5. Points of Contact. Command Information Officers shall work with Human Resource Officers to implement these changes immediately, including enforcement and remediation action as appropriate. The appropriate points of contact for assistance with this matter are as follows:

- a. DON IA WIP Office of Primary Responsibility: Mr. Chris Kelsall, (703) 601-0605, chris.t.kelsall@navy.mil;
- b. United States Navy IA WIP Office of Primary Responsibility: Mr. Mike Knight, (757) 417-6757 ext.2, henry.knight@navy.mil ;
- c. United States Marine Corps IA WIP Office of Primary Responsibility: Captain Katherine Hall, USMC, (703) 693-3490, katherine.hall@usmc.mil; and
- d. Command Director Civilian Personnel Programs (DCPP) or servicing Human Resource Office (HRO).


Terry A. Malvorsen

Distribution:

Immediate Office of the Secretary (DUSN/DCMO, DUSN (PPOI), ASN (M&RA),
ASN(RD&A), ASN(EI&E), ASN(FM&C), DON/AA)
Dept of the Navy Staff Offices (JAG, OLA, CHINFO, AUDGEN, CNR, NAVINSGEN, OCHR,
DON CIO)

GC

CNO (DNS, N091, N093, N095, N097, N1, N2/N6, N3/5, N4, N8)

Subj: GUIDANCE FOR CIVILIAN CYBERSECURITY/INFORMATION ASSURANCE
WORKFORCE COMMERCIAL CERTIFICATION COMPLIANCE PROCESS

Distribution: (continued)

CMC (ACMC, ARI, M&RA, I, I&L, PP&O, C4, P&R)

COMFLTCYBERCOM

COMUSFLTFORCOM

COMUSNAVEUR USNAVAF

COMPACFLT

USNA

COMUSNAVCENT

COMNAVRESFORCOM

COMNAVAIRSYSCOM

BUMED

NETC

COMNAVSEASYSYSCOM

FLDSUPPACT

COMNAVSUPSYSCOM

DIRSSP

CNIC

COMNAVLEGSVCCOM

NAVPGSCOL

COMNAVFACENCOM

COMNAVSAFECEN

BUPERS

NAVWARCOL

COMUSNAVSO

ONI

COMNAVSPECWARCOM

COMSPAWARSYSCOM

COMNAVDIST

NAVHISTHERITAGECOM

NAVY BAND

COMOPTEVFOR

COMNAVCYBERFOR

COMNAVNETWARCOM

COMMARCORSYSCOM

COMMARFORCYBER

COMMARFOREUR

COMMARFORCOM

COMMARFORPAC

COMMARFORRES

COMMARFORSOUTH

**Subj: GUIDANCE FOR CIVILIAN CYBERSECURITY/INFORMATION ASSURANCE
WORKFORCE COMMERCIAL CERTIFICATION COMPLIANCE PROCESS**

Distribution: (continued)

COMMARSOC

CG MCCDC

CG MCRC

CG TECOM

MCNOSC

DRPM AAA WASHINGTON DC

PRESINSURV

COMSC

Copy to:

PEO C4I

PEO Carriers

PEO Enterprise Information Systems

PEO Integrated Warfare Systems

PEO Land Systems

PEO Space Systems

PEO Ships

PEO Submarines

PEO Tactical Air Programs

PEO Air ASW, Assault & Special Mission Programs

EO Aviation Strike Weapons

PEO Joint Strike Fighter

PEO Littoral and Mine Warfare

DRPM Strategic Systems Programs

DRPM Advanced Amphibious Assault Vehicle

PM NMCI

PM NGEN

Enclosure (1) - Matrix for Commercial Certification Compliance and Remediation

<i>Civilians who have:</i>	<i>Resulting in:</i>	<i>Will be:</i>	<i>Responsible Authority</i>	<i>Action(s) Taken</i>
Completed a first IA certification examination	Passing score	Certified to perform IA duties	Supervisor	<ul style="list-style-type: none"> Assign individual as appropriate.
	Failing score	Placed in remedial supervised training (CBTs, e-Learning, VTE, hands-on training) and not be allowed to perform IA duties without an IA-certified trainer	Supervisor/HRO	<ul style="list-style-type: none"> Document with letter to civilian. Document civilian's IDP/training regimen to include trainee's understanding of course content. Request waiver if warranted/necessary. Validate civilian's readiness for retesting and schedule examination retake within 60 days. "Condition of Employment" employees; contact local Civilian Personnel Office to determine other appropriate actions. "Additional Duty" employees; reassign the duties/at Supervisor's discretion, or schedule employee for training.
Completed a second IA certification examination	Passing score	Certified to perform IA duties	Supervisor	<ul style="list-style-type: none"> Assign individual as appropriate
	Failing score	Removed from IA position/duties	Commander /CO /Supervisor /HRO	<ul style="list-style-type: none"> Meet with the individual to reassess individual's skills to perform in an IA position. Document with letter to civilian. Assess individual's aptitude, motivation, experience and knowledge level to perform in an IA coded position. Schedule instructor-led training. "Condition of Employment" employees; Contact local Civilian Personnel Office to determine other appropriate actions, i.e. waiver. "Additional Duty" employees; at the Commander's discretion, individual will not be reassigned IA additional duties and contact local Civilian Personnel Office for further guidance as necessary.
Completed a third IA certification examination	Passing score	Certified to perform IA duties	Supervisor	<ul style="list-style-type: none"> Assign individual as appropriate
	Failing score	Prevented from performing any IA duties	Commander /CO /Supervisor /HRO	<ul style="list-style-type: none"> The civilian must be moved to a position not requiring IA Knowledge Skills and Abilities. Cannot have privileged access to perform IA functions or responsibility for managing system security. Contact local Civilian Personnel Office to determine all appropriate actions.

From: Commander, Commanding Officer, or Officer in Charge,

To: Mr. I.B. Smith

Subj: Notice of Non-Compliance with Position Certification Requirement to Mr. I.B. Smith, USN, Use last four numbers of the SSN

- Ref: (a) Federal Information Security Management Act (FISMA)
(b) DoD 8570.01-M, Information Assurance Workforce Improvement Program
(c) SECNAVINST 5239.20, Department of the Navy Cybersecurity/Information Assurance Workforce Management, Oversight and Compliance
(d) SECNAV M-5239.2, Department of the Navy Information Assurance (IA) Workforce Management Manual
(e) [Navy and Marine Corps Official Instructions or Directives]

1. This memorandum is notification that you are not in compliance with the Cybersecurity/Information Assurance Workforce (CS/IAWF) requirements outlined in references (a) through (e).

2. Per the above directives, your position requires the following level of training and certification(s):

- IAM Level I-III _____ IA Certification: or
- IAT level I-III _____ IA Certification
- IAT level I-II _____ OS/CE Certification/Certificate

3. Until otherwise directed, conditions of your employment are as follows:

- a. You shall continue working in your present duties only under direct supervision.
- b. You shall request a certification waiver through your Service chain of command.
- c. You are authorized within _____ months from the date of this letter to achieve the appropriate certification. At that time your supervisor will review your performance. Unsatisfactory performance may result in your reassignment to a non-IA related position.
- d. If a non-IA related job is not available, you shall be subject to other actions up to and including removal, as certification is required as a condition of your employment in your position as (identify specific position).

4. Your signature below acknowledges your receipt and understanding of the stipulations of this memo.

_____.

M. C. Hamilton

Enclosure (2)