Defense Logistics Agency Instruction



DLAI 6405 Effective Date June 20, 2005 Last Review Date October 31, 2007 J-61

Information Assurance (IA) Training, Certification, and Workforce Management

References: Refer to Enclosure 1.

1. PURPOSE

a. Establishes policy, requirements, and processes to implement, manage, and sustain an effective DLA IA Training, Certification, and Workforce Management Program in accordance with DOD Directive 8570.1

(http://www.dtic.mil/whs/directives/corres/pdf/d85701_081104/d85701p.pdf). Refer to Enclosure 2 for the terms of IA training, certification, and workforce management.

- b. The assurance that users maintain a degree of understanding about IA policies and processes commensurate with their responsibilities. Users must be capable of appropriately reporting and responding to suspicious activities and know how to protect the information and IT systems to which they have access.
- c. Establish an effective IA Training, Certification, and Workforce Management Program that will ensure DLA IT systems are provided with the appropriate degree of confidentiality, integrity, and availability in support of the DLA vision of "Extending the Enterprise Forward to Meet the Needs of the Warfighter.
- d. DLA, as a combat support agency, is required to include IA readiness in the Command, Control, Communications, and Computers (C4) portion of the Agency's Joint Quarterly Readiness Report (JQRR). Chairman of the Joint Chiefs of Staff Instruction (CJCSI), 3401.03A, enclosure C, http://www.dtic.mil/cjcs_directives/cdata/unlimit/3401_03.pdf, provides a set of "core" metrics to be considered during the full JQRR cycle (January and July) providing a macro-level assessment of IA and computer network defense (CND) readiness. The JQRR is provided to ensure DLA designs and implements a secure best value enterprise IT environment.
- 2. <u>APPLICABILITY</u>. This instruction applies to all Headquarters (HQ) Defense Logistics Agency (DLA) and DLA Primary Level Field Activities (PLFA). IA training and certification standards will apply equally to DOD civilians, United States (U.S.) Service members (military), and contractor personnel.

3. POLICY

- a. In accordance with the DLA Instruction, "IA Management Control," the DLA Director will ensure the development and implementation of an Agency-wide IA Program. As a key component of the DLA IA Program, the Director, Information Operations/Chief Information Officer (CIO), J-6, will ensure the development and implementation of an IA Training, Certification, and Workforce Management Program. The program will train, educate, certify, and professionalize personnel commensurate with their responsibilities to develop, use, operate, administer, maintain, defend, and retire DLA IT systems.
- b. The IA Director, J-61, will establish and maintain an IA Training, Certification, and Workforce Management Program.
- c. The IT managers will ensure Information Assurance Officers (IAO), Information Assurance Managers (IAM), and privileged users are sufficiently trained and certified (e.g., Level I system administrator certification) in accordance with baseline DOD and DLA requirements to perform their IA duties.
- d. IAMs will ensure DOD approved IA skill and professional certifications are attained and maintained by personnel performing IA functions for IT systems under their purview.
- e. IAOs will ensure all users complete initial IA awareness training prior to being granted access to the DLA local area network (LAN).

4. RESPONSIBILITIES

- a. The CIO, J-6, will:
- (1) Complete the DOD Designated Approving Authority (DAA) computer-based training (CBT) product titled, "DAA, Designated Approving Authority," which is accessible at http://iase.disa.mil/eta/index.html.
- (a) The DAA CBT course completion certificate will be maintained as a part of the DAA's personnel file.
- (b) DAAs will be recertified every 3 years, in accordance with the Assistant Secretary of Defense (ASD), Networks and Information Integration (NII) memorandum, DOD IA/IT DAA Training and Certification Requirements, July 15, 2003.
- (2) Monitor and report the status of the DLA IA Training, Certification, and Workforce Management Program as an element of IA readiness in the Agency's JQRR.
- (3) Ensure submission of an annual IA training and certification report to the Defense Information Assurance Program (DIAP).

(4) DLA will leverage existing and emerging manpower and/or Agency-level databases (e.g., Learning Management System (LMS)) and tools to satisfy IA reporting requirements.

b. J-61 will:

- (1) Develop an IA Training, Certification, and Workforce Management Program plan that defines the criteria and prerequisites for obtaining IA skill level certification commensurate with specific IT roles and responsibilities.
- (2) Ensure DLA personnel (e.g., DOD civilian, military, contractor) are identified, tracked, and managed by IA skill level.
- (a) Ensure IA technical and management personnel acquire and maintain the appropriate IA skill certification.
- (b) Individuals (e.g., system administrators, IAOs and IAMs) performing both technical and management job functions will attain applicable IA certifications appropriate to perform the job functions in each category.

NOTE: Professional IA certification requirements will be in accordance with the DOD 8570.1-M

(3) Monitor the status of J-6 Field Site IA certification and training implementations through submitted reports, Agency personnel databases, and periodic IA performance reviews (IAPRs).

c. IT managers will:

- (1) Identify and track personnel performing IA privileged user or management functions (e.g., system administrator, network administrator, IAM) for IT systems under their purview.
- (a) IA training and certification and the status of such training and certification will be documented and tracked utilizing the DLA Learning Management System (LMS).
- (b) Personnel performing IA functions will have the requisite knowledge and skills verified through DOD approved certification evaluations.
- (c) Contracts that require IA and IT support services will include requirements for personnel with certified IA skills in accordance with DOD Directive 8570.1. Government funds will not be allocated to provide IA professional development training for contractor personnel.
- (2) Ensure individuals responsible for IA-related functions (i.e., IAMs, IAOs) are appropriately trained and certified in accordance with the DOD 8570.1-M.
- (3) Ensure all authorized users of DLA IT systems receive initial IA awareness training as a prerequisite to being granted system access and complete annual IA awareness training thereafter. IA awareness training will focus on aspects of IA that impact general users and place

emphasis on actions or behaviors the authorized user can take or emulate to mitigate threats and vulnerabilities to DLA IT systems.

(4) Track and report IA training expenditures.

d. IAOs will:

- (1) 3.5.1. Ensure annual IA refresher awareness training is provided to authorized DLA LAN users (DOD civilian, military, and contractors).
- (2) 3.5.1.1. The completion of initial and recurring IA awareness training, including IA certifications for all assigned IA and IT professionals (DOD civilian, military, and, contractor) will be documented in an Agency level database.

NOTE: This Instruction will be updated with more specific requirements upon development and implementation of the DLA IA Training, Certification, and Workforce Management Program.

5. PROCEDURES

- a. Implementation of an IA Training, Certification, and Workforce Management Program.
- (1) DLA, in conjunction with prescribed DOD guidance, will establish an Agency-wide baseline of training and certification requirements. These requirements will be documented in a DLA IA Training and Certification Program plan.
- (2) All DLA personnel must understand the necessity and practice of safeguarding information processed, stored, or transmitted on all DLA IT systems. Personnel must know how to protect these IT systems against sabotage, tampering, denial of service, espionage, fraud, misappropriation, misuse, or release to unauthorized persons by applying various countermeasures. IA training, certification, and workforce management provides a basis for establishing the required learning objectives in all training methods.
- (3) All DLA IT system users have a role to play in the success of an IA training, certification, and workforce management program, however, the Director, Information Operations/CIO, J-6, the Director, Information Assurance, J-61, IT managers, and associated IA professionals (e.g., IAM, IAO) have key responsibilities to ensure that an effective program is established Agency-wide. The scope and content of the program must be tied to existing DOD directives and established Agency security policy. Within Agency IA policy, there must exist clear requirements for the program.
- (4) An Agency-wide needs assessment must be conducted and a program strategy developed and approved. This strategic planning document (i.e., IA Training and Certification Program plan) identifies implementation tasks to be performed in support of established Agency IA training, certification, and workforce management initiatives.
- (5) At a minimum, all DLA IT system users will be exposed to awareness material annually. A continuous IA awareness training initiative, using various methods of delivery

throughout the year, can be very effective. Security training for groups of users with significant security responsibility (e.g., system and network administrators, IT managers, IAOs) should be incorporated into ongoing functional training as needed. Training must be acquired through available training sources or the solicitation of contractor assistance if needed. Because course material must be developed, and instructors/training entities must be identified and scheduled, these requirements should be considered in setting priorities.

- (a) High priority will be given to high trust, and high impact positions (e.g., IT manager, IAMs, IAOs, system administrators), which have been determined to have a higher sensitivity. These positions will be given high priority in the implementation strategy. These types of positions are typically commensurate with the type of access the users possess.
- (b) Once the IA Training and Certification Program plan has been finalized, an implementation schedule must be established.
- b. Management and sustainment of the IA training, certification, and workforce management Program.
- (1) The IA training and certification program plan should document how the Agency will track who has been trained and who still requires training.
- (2) DLA will define training, certification, and workforce management objectives per guidance provided from overarching DOD directives and manuals. The impending DOD manual will identify objectives for each role or group of people.
- (3) Once an IA Training and Certification Program plan strategy has been developed and priorities established, funding requirements must be considered. A determination must be made regarding the extent of funding support to be allocated based on the implementation of the program.
- (4) The IA Training and Certification Program plan must be viewed as a set of minimum requirements to be met, and those requirements must be supportable from a budget or contractual perspective.
 - c. IA training and certification status reporting.
- (1) An annual DLA IA Training and Certification Report will be provided to the DIAP annually in accordance with DOD guidance. The DIAP will combine data from the DLA IA Training and Certification Report with all other DOD components to assemble a consolidated DOD IA Workforce Training and Certification annual report.
 - (2) IA training and certification reports will also be illustrated in the DLA IA JQRR.

6. EFFECTIVE DATE. June 20, 2005

Director, DLA Enterprise Support

2 Enclosures
Enclosure 1 – References
Enclosure 2 – Terms

Enclosure 1 References

- 1. Office of Management and Budget (OMB) Circular A-130, Transmittal Number 4, Appendix III, February 8, 1996, http://www.whitehouse.gov/omb/circulars/a130/a130appendix_iii.html.
- 2. DODD 8570.01, Information Assurance Training, Certification, and Workforce Management, August 15, 2004, http://www.dtic.mil/whs/directives/corres/pdf/857001p.pdf
- 3. DOD 8570.01-M, Information Assurance Workforce Improvement Program, December 19, 2005, http://www.dtic.mil/whs/directives/corres/html/857001m.htm
- 4. DODD 8500.01E, Information Assurance, October 24, 2002 (certified current as of November 23, 2007), http://www.dtic.mil/whs/directives/corres/pdf/850001p.pdf
- 5. DODI 8500.2, Information Assurance Implementation, February 6, 2003, http://www.dtic.mil/whs/directives/corres/html/850002.htm.
- 6. DODD 5200.2, DOD Personnel Security Program, April 9, 1999, http://www.dtic.mil/whs/directives/corres/html/520002.htm.
- 7. DOD 5200.2-R, Personnel Security Program, January 1987, (incorporating change 3, February 23, 1996), http://www.dtic.mil/whs/directives/corres/pdf/520002r.pdf.
- 8. DODD 5200.1, DOD Information Security Program, December 13, 1996,(Certified as current November 24, 2003), http://www.dtic.mil/whs/directives/corres/html/520001.htm.
- 9. DOD 5200.1-R, Information Security Program, January 1997, http://www.dtic.mil/whs/directives/corres/pdf/520001r.pdf.
- 10. DOD 5220.22-M, National Industrial Security Program, Operating Manual (NISPOM), February 28, 2006, http://www.dtic.mil/whs/directives/corres/html/522022m.htm.
- 11. Chairman of the Joint Chiefs of Staff Instruction (CJCSI), 3401.03A, Information Assurance (IA) and Computer Network Defense (CND) Joint Quarterly Readiness Review (JQRR) Metrics, certified current July 3, 2006, http://www.dtic.mil/cjcs_directives/cdata/unlimit/3401_03.pdf.
- 12. Chairman of the Joint Chiefs of Staff Manual (CJCSM), 6510.01, Information Assurance (IA) and Computer Network Defense (CND), March 18, 2005, (This document is not available on-line and must be requested.)

Enclosure 2 Terms IA Training, Certification, and Workforce Management

- 1. **IA training** provides relevant and necessary IA skills for sufficient performance of IA-related job functions. Training is performed through learning activities aimed at specific subject areas with the goal of building knowledge and proficiency to aid job performance. Training also heightens a user's (e.g., DOD civilian, military, contractor) awareness of threats against, and vulnerabilities associated with, DLA information technology (IT) systems. (See "IA Management Controls" One Book chapter for definition of "IT system.") An individual's heightened awareness aids the protection of IT resources through recognition of the need for IT system protection and appropriate responses to computer incidents.
- 2. **IA certification(s)** are credentials garnered by individuals who have met predetermined qualifications set by a Government agency, industry, or profession.
- a. IA Skill Certification provides verification of an individual's proficiency in a specific IA function or group of functions (i.e., security configuration, patch management, vulnerability assessments, etc.). IA skill certification is a determination rendered by an individual's supervisor or supervising body that IA skills required to perform specific job functions are held by the individual being assigned such job functions. IA skill certification represents an IA professional's certified mastery of a particular set of skills.
- b. IA Professional Certification provides verification of general knowledge and experience through approved evaluations on a set of standards for the IA profession. Certifications should provide an individual with the ability and vision to perform complex, multi-disciplinary actions and the expertise needed to enhance an employee's proficiency in the IA profession (e.g., Certified Information Systems Auditor (CISA), Certified Information Systems Security Professional (CISSP)).
- 3. **IA workforce management** focuses on the operation and management of IA resources (e.g., IA staff, personnel databases, etc.) for DLA IT systems. The IA workforce ensures that adequate security measures and established IA policies and procedures are applied to all IT systems. The IA workforce is defined by two categories: technical and management. These categories are broken down into levels (e.g., Level I, Level II, and Level III) based on functional IA skill requirements (e.g., system administrator, Information Assurance Officer (IAO), Information Assurance Manager (IAM)) and IT system environment.
- 4. IA training, certification, and workforce management are countermeasures that effectively reduce exposure to a variety of known risks. These countermeasures are provided to ensure that all DLA military, civilian, and contractor personnel are aware of basic IA policy, processes, and operating procedures in relation to their respective responsibilities for developing, operating, administering, maintaining, and retiring DLA IT systems.