Maintenance Guidelines

SUBJECT: Security Professional Education Development (SPēD) Certification Program Adjudicator Professional Certification (APC) Maintenance Guidelines

References: (a) DoD Instruction 3305.13, "DoD Security Training," February 13, 2014
(b) DoD Manual 3305.13-M, "Security Certification and Accreditation," March 14, 2011
(c)   USD(I) Memorandum, "DoD Personnel Security Adjudicator Professional Certification Program," January 28, 2014

1.0   <u>PURPOSE</u>. The Center for Development of Security Excellence (CDSE) Certification Division (CDSE-C) is the SPēD Certification Program Management Office (PMO) that manages the APC maintenance program. In accordance with the authority of References (a), (b), and (c), SPēD Certification Program maintenance procedures, the certified security professional is required to:

a. Maintain a SPēD APC by:

  i.   Maintaining an active and up-to-date Security Training, Education, and Professionalization Portal (STEPP) account

  ii.   Successfully acquire 100 professional development units (PDUs) within their two-year certification maintenance cycle

b. Coordinate waiver review and validation with employing Component, agency, or company to request a reasonable extension for reasons that could prohibit certification holder from meeting certification maintenance requirements (e.g., deployments, hospitalization/medical leave, or other extraordinary reasons)

  i.   There will be no waivers submitted, accepted, or approved after expiration.

  ii.   Certificant will provide supporting documentation (e.g., Standard Form (SF) 50, Orders) or a memorandum signed by their supervisor. Candidate should not upload personally identifiable information (PII), For Official Use Only (FOUO), or classified data.

  iii.   Components will review each waiver request and determine whether it meets established guidelines. If a waiver request does not meet guidelines, the Components will reject it.

  iv.   Component will determine waiver period. However, approved waiver period will be tied to the length of circumstance, not to exceed 180 days.

v.   Components will submit approved waiver request to the DoD SPēD Certification PMO within 15 calendar days of receiving request.

c.   Meet the requirements in subparagraphs 1.a. (1) and 1.a. (2) or the holder's certification(s) will no longer be valid. Failure to meet the PDU requirement will result in the loss of the APC and, if applicable, the Due Process Adjudicator Professional Credential (DPAPC). Security professionals must retake and pass the APC assessment to be reinstated.

Certified security professionals must first work with their organization Director or designated point of contact (POC) for extension review and validation. If granted, the organization will forward the extension to the SPēD Certification PMO for processing.

2.0   <u>AUDITING STANDARDS.</u> The DoD SPēD Certification PMO conducts certification maintenance audits, based on the following guidelines:

a.   The audit is a quality check of a certification holder's PDU submission to verify compliance with the SPēD APC maintenance procedures and processes. If it does not comply with the certification maintenance requirements, the record will be rejected and the conferee will be required to resubmit.

b.   All SPēD certification holders are subject to a certification maintenance audit.

c.   A minimum of 10 percent and a maximum of 30 percent of submitted records will be audited.

d.   Failure to comply with an audit could result in losing the SPēD APC, and if applicable, DPAPC.

e.   All records submitted within 90 days before expiration will be audited.

3.0   <u>APPLICABILITY.</u>

a.   These procedures were voted on by the Adjudicator Certification Governance Board (ACGB) and any changes to these procedures must be vetted and approved by the ACGB before publication.

b.   These procedures apply to all certified security professionals who are conferred APC and DPAPC. The Security Fundamentals Professional Certification (SFPC), Security Asset Protection Professional Certification (SAPPC), Security Program Integration Professional Certification (SPIPC), Industrial Security Oversight Certification (ISOC), Physical Security Certification (PSC), and Special Program Security Certification (SPSC) are governed by the SPēD Certification Program maintenance guidelines.

4.0   <u>CERTIFICATION MAINTENANCE STANDARDS.</u>

     a.   To successfully meet the training requirement of the SPēD Program APC maintenance procedures, a certified security professional must accrue 100 PDUs within two years from the date they were last conferred the SPēD APC. The PDU breakdown is as follows:

        i.   At least 50 PDUs: security discipline

       ii.   At least 50 PDUs: other activity meeting one or more of the six professional development categories identified in Enclosure 1

     b.   A Certification Renewal Form (CRF) will be used to capture all PDUs. A certification holder is responsible for submitting 100 accrued PDUs into a completed CRF before the end of their two-year certification maintenance cycle to satisfy one or more of the professional categories identified in Enclosure 1. (Note: APC certificants who are conferred other SPēD certification(s) (i.e., SFPC, SAPPC, SPIPC, ISOC, PSC or SPSC) must complete an additional CRF and follow the processes and procedures as outlined in the SPēD Certification Program maintenance guidelines, accordingly).

5.0   <u>QUALIFYING PROFESSIONAL DEVELOPMENT ACTIVITIES</u>. To accrue PDUs, a certification holder must participate in and successfully complete professional development activities that fall under one or more of the approved professional development categories in Enclosure 1.

6.0   <u>EFFECTIVE DATE.</u> These procedures are effective immediately on this date, July 17, 2020.
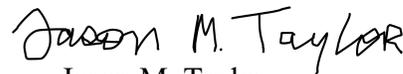
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Enclosures
E1. Professional Development Activity Categories

ENCLOSURE 1

Professional Development Activity Categories

Category 1: Certification Programs	A standard-setting program that:
	• Confers community-recognized credentials (i.e., certifications) to individuals who demonstrate mastery of predefined knowledge and set of skills in a specified area
	• Awards certifications only to candidates who satisfy established criteria and/or standards by successfully meeting the requirements of a formal and standardized assessment process
	There are three options to acquire PDUs in this category:
	a. Renew a core SPēD certification
	Certification holders can receive 100 PDUs by successfully retesting their highest-level existing core SPēD certification (i.e., SFPC, SAPPC, or SPIPC).
	A copy of supporting documentation indicating completion of the training, education, or certificate program must be uploaded as supporting documentation to receive PDUs in this category.
	b. Obtain a new SPēD certification
	Certification holders can receive 100 PDUs for being conferred a new SPēD certification during their two-year certification maintenance cycle.
	A copy of the conferral certificate or My SPēD Certification (MSC) account history detail, or any other documentation indicating a new SPēD certification was conferred must be uploaded as supporting documentation to receive PDUs in this category.
	c. Obtain a non-SPēD certification
	Certification holders can receive 45 PDUs for each approved non-SPēD certification. All certifications must be security focused, nationally accredited, and gained during their two-year certification maintenance cycle.

	A copy of the certificate must be uploaded as supporting documentation to receive PDUs in this category.
Category 2a: Security Training, Education, and/or Certificate Programs	A non-degree granting, security-related training, education, or certificate program that: • Consists of an organized series of planned learning experiences (e-Learning, instructor-led, instructor-facilitated online, self-paced, etc.) developed and delivered to aid participants in acquiring specific knowledge, skills, and/or competencies associated with a topic area or group of tasks that can be completed together • Is delivered by an accredited training or education institution or is facilitated in-house (i.e., an agency or organization delivers the training) • Awards a certificate of completion to individuals who attend and/or participate in the course Certification holders can receive three PDUs for each hour (or equivalent seat time hour) associated with an approved non-credit bearing training/education course or certificate program. All 100 PDUs can be earned in this category. A copy of supporting documentation indicating completion of the training, education, or certificate program must be uploaded to receive PDUs in this category.
Category 2b: Security-related Higher Education	A college or university security-related, credit-bearing course that: • Consists of an organized series of planned learning experiences (e-Learning, instructor-led, instructor-facilitated online, self-paced, etc.) designed and developed to aid participants in acquiring knowledge, skills, and/or competencies associated with a coherent body of study within a discipline or set of related disciplines • Is delivered by a nationally-accredited academic institution • Results in academic credits granted and recognized by accredited academic institutions • Represents a required course in an academic degree program

	Certification holders can receive 15 PDUs for each credit hour of an approved security-related, credit-bearing college or university course. All 100 PDUs can be earned in this category A copy of supporting documentation indicating completion of the higher education course must be uploaded to receive PDUs in this category. Transcripts are preferred. If a training provider only gives certificates, move this activity to Category 2a: Security-related Training, Education or Certificate Program.
Category 3a: Non-security-related Training, Education, and/or Certificate Programs	A non-degree-granting, non-security-related training, education, or certificate program that: • Consists of an organized series of planned learning experiences (e-Learning, instructor-led, instructor-facilitated online, self-paced, etc.) developed and delivered to aid participants in acquiring specific knowledge, skills, and/or competencies associated with a topic area or group of tasks that can be completed together • Is delivered by an accredited training or education institution or is facilitated in-house (i.e., an agency or organization delivers the training) • Awards a certificate of completion to individuals who attend and/or participate in the course Certification holders can receive three PDUs for each contact hour (or equivalent seat time hour) associated with an approved non-security-related training, education course, or certificate program. A maximum of 45 PDUs can be earned in this category for each non-security related training, education course or certificate program. A copy of supporting documentation indicating completion of the training, education, or certificate program must be uploaded to receive PDUs in this category.
Category 3b: Non-security-related Higher Education	A college or university non-security-related, credit-bearing course that: • Consists of an organized series of planned learning experiences (e-Learning, instructor-led, instructor-facilitated online, self-paced, etc.) developed and delivered to aid participants in acquiring knowledge, skills, and/or competencies associatedwith a coherent body of study within a discipline or set of related disciplines

	• Is delivered by a nationally-accredited academic institution • Results in academic credits granted and recognized by accredited academic institutions • Represents a required course in an academic degree program. Certification holders can receive 15 PDUs for each credit hour of an approved non-security-related, credit-bearing college or university course. A maximum of 45 PDUs can be earned in this category for each non-security-related higher education course. A copy of supporting documentation indicating completion of the higher education course must be uploaded to receive PDUs in this category. If a training provider only gives certificates, move this activity to Category 3a: Non-Security-Related Training, Education and/or Certificate Programs.
Category 4: Attend Conferences and Workshops	A conference is a live (i.e., in-person) or virtual meeting with main presenters to brief participants on a wide range of interrelated issues/topics. A workshop is a working meeting or presentation with the goal of helping attendees to develop knowledge or skills associated with a specific topic area. Often includes focused exercises or collaborative work time to encourage active participation. a. Conference/Workshop - Participant Certification holders can receive eight PDUs for each full day (eight hours) and four PDUs for each half day (four hours) of participation in an approved conference or workshop. A maximum of 40 PDUs can be earned in this category for participating in a five-day event. All 100 PDUs can be earned in this category. A copy of supporting documentation indicating certification holders attended a conference or workshop (i.e., email confirmation of attendance, registration form, certificate of attendance) must be uploaded to receive PDUs in this category. b. Conference/Workshop – Presenter If a certification holder presents at an approved conference or workshop, they can receive an additional five PDUs for each presentation. A maximum of 25 PDUs can be earned in this category

	for presenting at one event. All 100 PDUs can be earned in this category. A copy of supporting documentation indicating certification holders presented at a conference or workshop (i.e., email confirmation of attendance, registration form, certificate of attendance, roster, email from supervisor, etc.) must be uploaded to receive PDUs in this category.
Category 5: SPēD Certification Projects	Certification holders can receive PDUs for successfully completing short-term certification projects (e.g., subject matter expert (SME) work on item development or certification preparatory tool or resource, participation in Adjudicator Certification Governance Board (ACGB) working groups) that require application of security subject matter expertise. Participation in projects is volunary in nature. PDUs cannot be accrued for projects for which participation is inherently part of the participant's job and/or assigned duties. Certification holders can receive three PDUs per contact hour for each separate and distinct project. A maximum of 45 PDUs can be earned in this category for each SPēD certification project. All 100 PDUs can be earned in this category. A copy of supporting documentation indicating certification holders participated in a SPēD certification project, (e.g., email confirmation, letter, etc.) must be uploaded to receive PDUs in this category.
Category 6: Experience and Achievements	Certification holders can receive PDUs for involvement in verifiable professional development experiences in security-related projects and activities. This experience may involve specific projects where the individual's experience is broadened by preparation or presentation of the experience. Participation would generally be voluntary, but assigned duties should be considered as well. PDUs will vary from one experience to another based on depth of knowledge required, time needed to complete the experience, and overall results gained by activity participation. a. Experience Experience is defines as any professional development activity that resulted in gaining new, or enhancing existing, security-related competencies, skills, or knowledge. Examples of professional development activities include, but are not

limited to: Security-related Working Group directed by or reporting to a higher command or agency; Professional Advisory Boards; career services; security-related training and instruction outside current job duties, such as providing a security briefing or training session at a security seminar; developmental teams; and employee councils

Certification holders can receive one PDU per contact hour for each separate and distinct project associated with the security-related professional developmentexperience. A maximum of 45 PDUs can be earned in this category for each SPēD certification project. All 100 PDUs can be earned in this category.

A copy of supporting documentation indicating certification holders participated in a SPēD certification project (i.e., email confirmation, letter, etc.) must be uploaded to receive PDUs in this category.

b.   Achievements

An achievement is defined as any professional activity that resulted in a new security-related publication, periodical, or pamphlet. Awarded PDUs will be based on the type of publication, as listed below.

Examples of professional publications include, but are not limited to: security-related books, articles, and standard operating procedures (SOPs) for professional print or electronic publications, maintaining an organizational newsletter, or completion of a dissertation or thesis.

Certification holders can receive a defined number of PDUs for contributing work in specific professional publications. All 100 PDUs can be earned in this category.

A copy of supporting documentation indicating certification holdres earned relevant experience as defined above or a copy of the publication must be uploaded to receive PDUs in this category.

Certification holders may earn all 100 PDUs in this category.

Publications	PDUs
Dissertation/Thesis, Author	50
Monograph/Scholarly Book, Author	45
Chapter of Book, Author	25
Article, Author	25
Book Review, Author	25
Newsletter, Editor	10
Newsletter Article, Author	5