



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Welcome to the non-interactive version of the Security Program Integration Professional Certification (SPIPC) Knowledge Test. Review each question, then compare your responses to the provided answers to self-evaluate your knowledge gaps in selected competencies related to the SPIPC program.

This test will help measure your recall and understanding of concepts and principles associated with selected areas of risk assessment; program and mission assurance; and planning, programming, budgeting, and execution (PPB&E). It will not provide you with practice in applying the processes and procedures required to make risk management decisions.

As a reminder, the information does not include all SPIPC areas of expertise; this test is intended solely as one tool in more comprehensive self-directed study efforts. Using this tool does **not** guarantee a successful testing outcome.

Consider including the following in your preparation for taking the SPIPC assessment:

- ❖ Defense Acquisition University courses related to the following topics:
 - Planning, Programming, Budgeting, and Execution
 - Five-step risk management process and systematic risk management
 - Strategies for controlling risk
- ❖ CDSE course on Risk Management
- ❖ CDSE Education Courses
 - Managing a DoD Installation Security Program (ED507.10)
 - Statutory, Legal, and Regulatory Basis of DoD Security Programs (ED601.10)
 - Risk Management Project and Advanced Studies (ED693.10)

Good luck!



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Risk Assessment (Risk Management Benefits and Costs)	
Question	Answer
1. What is the purpose of the asset assessment step of the risk management process?	<ul style="list-style-type: none">• Identify assets requiring protection and/or that are important to the organization and to national security• Identify undesirable events and expected impacts• Prioritize assets based on consequences of loss
2. What is the purpose of the threat assessment step of the risk management process?	<ul style="list-style-type: none">• Determine threats to identified assets• Assess intent and capability of identified threats• Assess current threat level for the identified assets
3. What is the purpose of the vulnerability assessment step of the risk management process?	<ul style="list-style-type: none">• Identify existing countermeasures and their level of effectiveness in reducing vulnerabilities• Identify potential vulnerabilities related to identified assets and their undesirable events• Identify current vulnerability level for the identified assets that can be exploited by the identified threats
4. What is the purpose of the risk assessment step of the risk management process?	<ul style="list-style-type: none">• Integrate information about the impact of undesirable events (collected during the asset assessment step) and the likelihood of undesirable events (based on information collected during the threat and vulnerability assessment steps) to determine risks to identified assets



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Risk Assessment (Risk Management Benefits and Costs)	
Question	Answer
5. What is the purpose of the countermeasure determination step of the risk management process?	<ul style="list-style-type: none">• Identify potential countermeasures to reduce vulnerability and/or threat and/or impact• Identify countermeasure benefits in terms of risk reduction• Identify countermeasure costs• Conduct cost/benefit analysis• Prioritize options and prepare recommendation for decision maker
6. What is the primary benefit of conducting the risk management process?	<ul style="list-style-type: none">• National-level security policy endorses a holistic risk management approach, allowing decision makers to effectively allocate resources that provide the necessary security to assets that match the threat to those assets
7. What are the primary costs of conducting the risk management process?	<ul style="list-style-type: none">• Time and effort necessary to execute the five steps of the risk management process
8. What are the potential challenges security practitioners may face when enacting the risk management process?	<ul style="list-style-type: none">• Availability of information necessary to accurately determine the likelihood and impact of undesirable events



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Program and Mission Assurance	
Question	Answer
1. Where can we get information to evaluate an organization's compliance with security policies?	<ul style="list-style-type: none"> • Self-inspections
2. Where can we get information to evaluate the effectiveness of an organization's security program?	<ul style="list-style-type: none"> • Incident reports • Regressive analysis • SME interviews (individuals involved in protecting Classified Military Information (CMI)) • Security planning documents • Surveys and audits • Information Systems (IS) Certification and Accreditation documentation • Facility certification and accreditation documentation
3. Given the incident, what is an example of an organization complying with security policy, but the measure(s) it implemented appear to be ineffective?	<ul style="list-style-type: none"> • The appropriate signage and notices are posted in appropriate areas, but are potentially ineffective considering a history of uncleared personnel gaining access to restricted areas.
4. How do security policies and programs contribute to managing risks to Department of Defense (DoD) assets?	<ul style="list-style-type: none"> • Security policies manage risks to DoD assets by specifying baseline requirements for protecting categories of DoD assets, and by identifying who is responsible and accountable for executing those requirements. • Security programs manage risks to DoD assets by administering those security policies and ensuring those baseline requirements are being executed per policy.



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Planning, Programming, Budgeting, and Execution	
Question	Answer
1. What is the purpose of the Planning, Programming, Budgeting, and Execution (PPB&E) process?	<ul style="list-style-type: none"> The PPB&E process is how DoD allocates its resources. It is how DoD and its contractors manage to stay within their fiscal budget while following Secretary of Defense (SECDEF) policy, strategy, and goals.
2. What are the major outcomes of the Planning stage of the PPB&E process?	<ul style="list-style-type: none"> Office of the Secretary of Defense (OSD) and Joint Staff collaboratively articulate resource-informed national defense policies and military strategy – the Strategic Planning Guidance (SPG). The SPG serves as input to an enhanced planning process. This process results in a set of budget conscious priorities for program development – the Defense/Joint Programming Guidance (DPG). The Joint Planning Guidance (JPG) serves as the link between the planning and programming phases of the PPB&E process.
3. What are the major outcomes of the Programming stage of the PPB&E process?	<p><u>Programming</u></p> <ul style="list-style-type: none"> In this PPB&E phase, each DoD department and agency develops a POM (Program Objective Memorandum) that describes, in detail, their proposed budget for the next six years. Each POM balances program budgets as set in the DPG. OSD and Joint Staff then review each POM and integrate them all into an overall coherent Defense program. OSD and Joint Staff also propose alternatives and/or marginally adjust budgets to address shortfalls or any issues with any portion of any POM. SECDEF then settles any unresolved issues and writes them up in a Program Decision Memorandum (PDM).



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Planning, Programming, Budgeting, and Execution	
Question	Answer
<p>4. What are the major outcomes of the Budgeting stage of the PPB&E process?</p>	<ul style="list-style-type: none"> • Budgeting happens at the same time as programming. • Each DoD department and agency submits a budget estimate along with its POM. • Each DoD department and agency also translates its budget estimate for the next two years into the Congressional appropriation structure format, and then submits it. • Under Secretary of Defense (Comptroller) and Office of Management and Budget (OMB) analysts review the submissions to ensure program funding matches current policy, they are priced right, and are justified to Congress. • Budget review hearings are conducted to address analysts' questions. • After budget review hearings, each analyst then prepares a Program Budget Decision (PBD) for each program that proposes financial adjustments to address issues or problems identified during the hearing. • The PBD then goes to SECDEF for a decision. The decision goes in an updated budget submission to OMB. • Finally, the overall DoD budget is provided as part of the President's Budget request to Congress.
<p>5. What are the major outcomes of the Execution stage of the PPB&E process?</p>	<ul style="list-style-type: none"> • The execution review occurs at the same time as the program and budget reviews. • The review provides feedback to OSD about the effectiveness of the budget. • Program metrics developed throughout the process are used to measure actual output versus expected performance. If the program misses its metrics, then the execution review may lead to recommendations to adjust the budget or program so it does make those goals.



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Planning, Programming, Budgeting, and Execution	
Question	Answer
6. What is the relationship between the PPB&E process, the President's budget submission to Congress, and Congress's Appropriations process?	<ul style="list-style-type: none"> • The Department submits a two-year budget estimate to OMB that becomes part of the President's budget request to Congress for even-numbered fiscal years (e.g., the President's Budget submitted to Congress in March 2015 contained the Department's budget estimates and justification for FY 2016 and FY 2017). • In practice, Congress does not actually provide the Department with a two-year appropriation. It only appropriates funds for the first year. An amended budget justification must be submitted for the second year of the original two-year request so Congress will appropriate funds for that second year.
7. What roles do the Quadrennial Defense Review (QDR), POM, and Future Years Defense Program (FYDP) play in the PPB&E process?	<ul style="list-style-type: none"> • The QDR is a legislatively-mandated review of DoD strategy and priorities. It sets the long-term course for the DoD by assessing threats and challenges the nation faces and rebalancing DoD's strategies, capabilities, and forces to address today's conflicts and tomorrow's threats. The QDR serves as input to the development of the DPG during the PPB&E planning phase. • The POM allows each DoD department and agency to describe, in detail, its proposed budget for the next six years. It serves as input to the Department's overall budget request, provided to Congress as part of the President's budget request. The POM is one of the primary outcomes of the PPB&E programming phase. • The FYDP summarizes forces, resources, and equipment associated with DoD programs for six years (the current two budgeted years plus four additional years). It is updated twice during the PPB&E cycle: Once to reflect the services combined in the POM submission, and again to reflect the President's



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Area of Expertise: Planning, Programming, Budgeting, and Execution	
Question	Answer
	Budget submitted to Congress.
8. Describe what occurs during the even and odd years of the five-year PPB&E process.	<ul style="list-style-type: none">• During “on years” (even FY), the Department submits a two-year budget estimate to OMB, which becomes part of the President’s budget request to Congress.• During the “off years” (odd FY), the Department submits an amended budget justification for the second year of the original two-year request to Congress.
9. How do you get information about resources necessary to implement the Area Commander’s decision into the PPB&E process?	<ul style="list-style-type: none">• Through the POM.



Knowledge Test: Security Program Integration Professional Certification (SPIPC)

Topics covered on the SPIPC assessment:

Risk Assessment	41%
<ul style="list-style-type: none"> • Risk Management Benefits and Costs • Role of Security Management, Administration, and Operations in Managing Risks to DoD Assets • Risk Assessment Concepts and Principles • Sources of Threat and Vulnerability Information 	
Risk Management	32%
<ul style="list-style-type: none"> • Risk Management Concepts and Principles • Strategies for Controlling and/or Managing Risks • Approaches for Evaluating Options for Controlling and/or Managing Risks 	
Program and Mission Assurance	18%
<ul style="list-style-type: none"> • Approaches and Criteria for Evaluating Effectiveness of Security Policies, Plan, and Program Activities • Essential Functions of a Security Program • Regulatory Basis for Functional Activities Associated with a Comprehensive Security Program 	
Planning, Programming, Budgeting, and Execution	9%
<ul style="list-style-type: none"> • Planning, Programming, Budgeting, and Execution Process, Concepts, and Principles 	