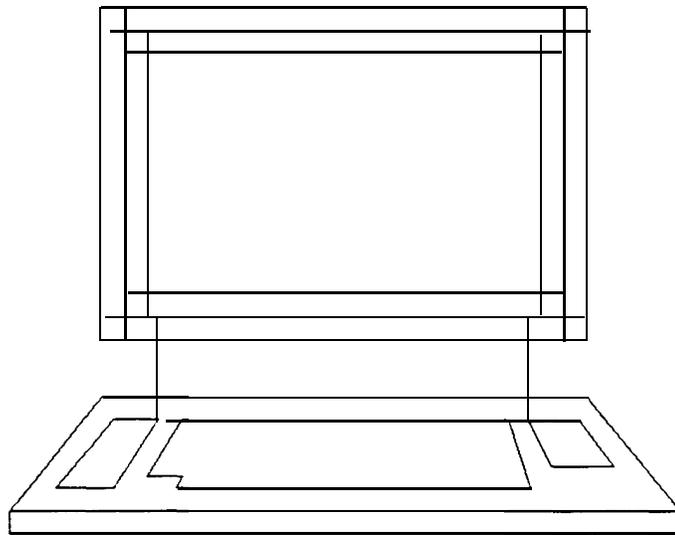


**CERTIFIED DEFENSE
INTERNAL INFORMATION TECHNOLOGY
ACQUISITION AUDITOR [EVALUATOR]**



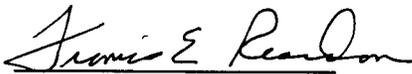
FOREWORD

The Auditors General of the Department of the Army, the Navy, and the Air Force Audit Agencies and the Department of Defense Inspector General have agreed to establish the Certified Defense Internal Information Technology Acquisition Auditor (Evaluator) Program. The Program is intended to provide a focused approach to training our auditors and evaluators in information technology; and as a consequence, enhance the credibility and effectiveness of our work in the information technology field.

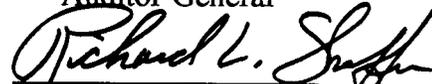
The Program includes three levels of certification. Each level has its own experience, education, and training requirements. Members of our auditor and evaluator workforce have years of experience, education, and training in auditing and evaluating information systems and information systems-related technology. In fact, some members of our workforce already have information technology-related certifications. Accordingly, we have included a grandfather clause and the related fulfillment criteria (the substitution of experience for formal classroom training) in the Program.

Should you require additional information or assistance, please contact Ms. Kimberley Caprio at (703) 604-9140 or Mr. Dennis L. Conway, at (703) 604-9158, Automated Financial Services Division, Finance and Accounting Directorate, DoD Inspector General.

Department of the Army
Auditor General


Signature

Department of the Navy
Auditor General


Signature

Department of the Air Force
Auditor General


Signature

Department of Defense
Assistant Inspector General
for Auditing


Signature

Certified Defense Internal Information Technology Acquisition Auditor (Evaluator) Program

Background. This career development program for DoD Internal Information Technology Acquisition Auditors and Evaluators will ensure the proper mix of experience and on-the-job and formal training of those individuals who audit information technology acquisition programs. The program is structured in three levels or groupings of education, training, and experience standards. The program is a combination of auditor experience and training and information technology acquisition audit experience and training.

The attachment outlines the career path for the three levels of the career development program. A certification process to determine that an individual meets the mandatory education, training, and experience requirements is described below.

Certification Goal. The Defense internal audit community goal is to have its information technology acquisition auditors and evaluators meet the career development education, training, and experience requirements outlined in the attachment. Our goal is to have over 50 percent of the auditors and evaluators (that is, those who currently do information technology acquisition audits) certified within 3 years and subsequently to maintain at least that level in the information technology workforce. However, the absence of certification is not a reason to deny auditors or evaluators access to an activity or its records.

The number of dedicated Certified Defense Internal Information Technology Acquisition Auditors (Evaluators) and how audits will be staffed within each internal DoD audit organization will vary significantly. Further, each voluntarily participating organization has its own internal training and career development program established to meet the requirements of the Government Auditing Standards. Budget priorities may also differ. Based on these differences, each internal audit organization will decide and periodically reassess its feasible level of participation.

In addition, each internal audit organization will identify the universe of dedicated Certified Defense Internal Information Technology Acquisition Auditors (Evaluators) and the audit positions that will be used to measure the accomplishment of the certification goal.

Certification Criteria. Three levels of certifications have been established. The experience, education, and training outlined in the career path at the attachment must be met in order to obtain the certifications. Due to scheduling problems, it may not always be possible to take the level I classes before the level II classes. In the case where the auditor or evaluator completes the level II class successfully, the requirement to complete the level I class is waived. The Joint Audit Planning Group for Information Technology Resources will periodically reassess the appropriateness of the mandatory and desired classes and the program's content.

Certification Application. To obtain the Defense Internal Information Technology Acquisition Auditor (Evaluator) certification, the auditor must complete and sign the attached application. The auditor's first and second level supervisor must concur or non-concur with approval of the application. The certifying official has the final authority to approve or disapprove the application. Reasons must be given for non-concurrences and disapproval. Reasons for non-concurrences or disapproval can include such factors as the acquisition-related experience is not described sufficiently or that a training class does not appear to provide equivalent course work as the mandatory class.

A decision on the application should be made within two weeks of submission to the certifying official. If the supervisor or certifying official needs additional documentation, the applicant has three weeks from notification that additional documentation is needed to provide the information.

Each approving official can establish procedures for the approval process to ensure that the general requirements of the certification program are followed and that the intent of the career development and certification program is met.

Certifying Officials. Certifying officials for the program are shown below.

Certifying Officials

| <u>Organization</u> | <u>Official</u> |
|--|--|
| Inspector General, DoD Army Audit Agency Naval Audit Service Air Force Audit Agency | Assistant Inspector General for Auditing Auditor General of the Army Auditor General of the Navy Auditor General of the Air Force |

Special Criteria. Because we have highly qualified auditors and evaluators who have been doing information technology acquisition audits for many years, we have established the following special criteria to fulfill the certification requirements. Auditors or evaluators who meet these special criteria can receive the certification. To receive the certification, the applicant must complete the attached Application For Defense Internal Information Technology Acquisition Auditor (Evaluator) and meet the applicable fulfillment criteria.

The application of these special criteria are available to internal information technology auditors or evaluators who (1) were performing information technology acquisition audits as of September 30, 1995; (2) are at least a GS-11 with at least two years of auditing experience; and (3) do not otherwise meet the certification requirements. Anyone applying to fulfill the certification requirements using these special criteria must provide the required documentation to the certifying official within 9 months of the effective date of this operating procedure, as established by the certifying official.

o Level I Certification. For the Fundamentals of Systems Acquisition course, the auditor can complete the Fulfillment Criteria for the Fundamentals of Systems Acquisition course. All other training, education, and experience requirements must be met.

o Level II Certification. For the Intermediate Systems Acquisition course, the auditor can complete the Fulfillment Criteria for the Intermediate Systems Acquisition course. All other training, education, and experience requirements must be met.

o Level III Certification. For the Advanced Information Systems Acquisition course, the auditor can complete the Fulfillment Criteria for the Advanced Information Systems Acquisition course. All other training, education, and experience requirements must be met.

Acceptance of Acquisition Workforce Certifications. In addition to the above special criteria, the Defense audit community will recognize acquisition workforce certifications received based on DoD Manual 5000.52M, "DoD Acquisition Career Development Program", by granting a one-

for-one substitution for Levels I and II. For example, if an auditor has received a Level I “Program Manager” acquisition workforce certification, the auditor can substitute that certification for the Defense Internal Information Technology Acquisition Auditor (Evaluator) Level I certification. Similarly, an auditor with a Level II acquisition certification in “Contracting” can obtain a Level II Defense Internal Information Technology Acquisition Auditor (Evaluator) certification. In all cases, the education requirements established for the Defense Internal Information Technology Acquisition Auditors (Evaluators) must be met.

A level III certification under the "DoD Acquisition Career Development Program" can be substituted in part for a level III certification for the Defense Internal Information Technology Acquisition Auditor (Evaluator). An auditor or evaluator must meet the audit experience and the education criteria for the Defense Internal Information Technology Acquisition Auditor (Evaluator) certification. That is, the auditor or evaluator must have 4 years of audit experience and meet the education requirements.

Changes to the Defense Internal Information Technology Acquisition Auditor (Evaluator) Career Development Program. Proposed changes to this program can be made to:

Director, Finance and Accounting Directorate
Office of the Assistant Inspector General for
Auditing, DoD
Room 944,
400 Army Navy Drive
Arlington, VA 22202-2884

Changes will be evaluated by the Joint Audit Planning Group for Information Technology Resources and recommended action presented to the Audit Chiefs for action.

**APPLICATION FOR DEFENSE INTERNAL INFORMATION TECHNOLOGY
ACQUISITION AUDIT (EVALUATION) CERTIFICATION**

Applicant Name: _____
Employer: _____
Job series, grade, and title: _____

Special Criteria Request (Circle one)

Fulfillment Grandfather Clause Information Technology Workforce Certification

Certification Level Requested (Circle one)

Level I Level II Level III

1. Describe the information technology acquisition audit or evaluation experience required in the Defense Internal Information Technology Acquisition Auditor (Evaluator) career development program. If applying under the special criteria, describe applicable experience (Be specific, include specific audits, evaluations, and acquisition areas or functions audited. Include the dates and organization (that is, Inspector General, DoD, Finance and Accounting Directorate, Automated Financial Systems Division) where the experience was gained.)

Mandatory: _____

2. List the training classes, dates, provider, and location of information systems acquisition training that meets the training requirements given in the Defense Internal Information Technology Acquisition Auditor (Evaluator) career development program.

Mandatory: _____

Desired: _____

3. List the non-acquisition information technology related training requirements specified in the Defense Internal Information Technology Acquisition Auditor (Evaluator) career development program.

Mandatory: _____

Desired: _____

Use additional pages if necessary.

Applicant:

Name/Title

Signature

First Level Supervisor:

Concur Non-Concur

Name/Title

Signature

Second Level Supervisor:

Concur Non-Concur

Name/Title

Signature

Approving Official:

Approve Disapprove

Name/Title

Signature

Reason for Non-Concurrence/Disapproval (Initial remarks)

**Defense Acquisition University Courses
Required for Certification Program**

| <u>Course Number</u> | <u>Course Title</u> |
|----------------------|--|
| ACQ 101 | Fundamentals of Systems Acquisition Management |
| ACQ 201 | Intermediate Systems Acquisition |
| IRM 101 | Basis Information System Acquisition |
| IRM 201 | Intermediate Information Systems Acquisition |
| IRM 303 | Advanced Information Systems Acquisition |

**CAREER PATH
INTERNAL AUDITING
FOR DEFENSE INFORMATION SYSTEMS ACQUISITION**

| Level/ Typical Grade | Typical Assignment | Experience | Education | Training |
|----------------------------|-------------------------------|---|---|---|
| LEVEL I | | | | |
| GS-7 thru 9 | Junior Auditor/ Auditor | <p><u>Mandatory:</u> 1 year auditing experience with one information system acquisition- related audit.</p> | <p><u>Mandatory:</u> A four-year course of study that meets requirements for a baccalaureate degree, with an accounting major or, that included or was supplemented by 24 semester hours in accounting; or an equivalent combination of accounting experience, college education, and training.</p> <p><u>Desired:</u> A baccalaureate degree with an accounting major, including at least 24 semester hours in accounting.</p> | <p><u>Mandatory:</u> Fundamentals of Systems Acquisition and Basic Information Systems Acquisition courses or equivalent.</p> <p>Training requirements to meet the Government Auditing Standards requirements. Organizational training provided to all auditors for their specific grade level and position, such as the Basic Audit Training course (provided by the Inspectors General Audit Training Institute) or equivalent.</p> <p><u>Desired:</u> Intermediate Information Systems Acquisition course.</p> |

**CAREER PATH
INTERNAL AUDITING
FOR DEFENSE INFORMATION SYSTEMS ACQUISITION**

| Level/ Typical Grade | Typical Assignments | Experience | Education | Training |
|----------------------------|---|---|--|--|
| LEVEL II | | | | |
| GS-11 thru 12 | Intermediate Auditor; Journeyman Auditor | <p><u>Mandatory:</u> 2 years auditing experience; of which 1 year is information systems acquisition related auditing experience.</p> <p><u>Desired:</u> An additional year of information systems acquisition related auditing experience.</p> | <p><u>Mandatory:</u> Completion of LEVEL I requirements.</p> <p><u>Desired:</u> Beginning graduate studies leading to a master's degree in accounting, business administration, computer science or a related field.</p> <p><u>Desired:</u> Professional certification (CISA, CPA, CMA, CIA, CISSP, CGFM.)</p> | <p><u>Mandatory:</u> Completion of LEVEL I requirements.</p> <p>Complete Intermediate Systems Acquisition and Intermediate Information Systems Acquisition or equivalent courses.</p> <p>Complete training requirements to meet the Government Auditing Standard' requirements. Also, complete organizational training pertinent to the specific grade level, such as Intermediate Audit Training or Advanced Audit Training.</p> <p>Complete Team Building Skills course.</p> <p><u>Desired:</u> Complete an Advanced Information Systems Acquisition course.</p> |

**CAREER PATH
INTERNAL AUDITING
FOR DEFENSE INFORMATION SYSTEMS ACQUISITION**

| Level/ Typical Grade | Typical Assignments | Experience | Education | Training |
|----------------------------|--|--|--|--|
| LEVEL III | | | | |
| GS-13 and above. | Senior Auditor; Auditor-in-Charge; Audit Project Manager; or Audit Program Director. | <u>Mandatory:</u> 4 years auditing experience; of which 2 years is information systems acquisition-related auditing experience. <u>Desired:</u> An additional year of information systems audit experience. | <u>Mandatory:</u> Completion of LEVEL II requirements. <u>Desired:</u> Master's degree in accounting, business administration, computer science or a related field. <u>Desired:</u> Professional certification (CISA, CPA, CMA, CIA, CISSP, CGFM.) | <u>Mandatory:</u> Completion of LEVEL II requirements. Advanced Information Systems Acquisition course or equivalent courses. Training requirements to meet the Government Auditing Standards requirements. Organizational training provided to all auditors for their specific grade level, including Advanced Audit Training and supervisory or management training depending on the grade level. Report Writing for Supervisors or Managers. <u>Desired:</u> Additional information systems acquisition-related courses. |