# DEPARTMENT OF DEFENSE



# Key Leadership Position Joint Qualification Board Standard Operating Procedures

**Version 4**

**April 6, 2015**

# Contents

# Key Leadership Position Joint Qualification Board Standard Operating Procedure

## 1. Scope and Purpose

This Standard Operating Procedure outlines the business rules governing Key Leadership Position (KLP) Joint Qualification Boards for each acquisition career field.  The purpose of the Qualification Board process is to create a standard of excellence across the Department of Defense (DoD) to identify individuals who are qualified to occupy the highly demanding KLPs.  Qualification Board results will allow DoD and Components acquisition leadership to have a pool of personnel deemed ready to fill KLPs.

KLPs are required to be assigned to each Major Defense Acquisition Program (MDAP) and each Major Automated Information System (MAIS) program.  The KLP Qualification Boards will qualify individuals, military and civilian, as prepared and ready for mandatory KLPs based on their training, education, and experience.

The Qualification Boards will function independently from normal promotion, command, or selection boards.  Each KLP Qualification Board will convene annually, at a minimum, or as often as the specific career field Functional Leader determines is needed.

## 2. Applicable Documents

Section 1706 of Title 10, United States Code "Government performance of certain acquisition functions"

Enclosure 2 of DoD Instruction (DoDI) 5000.02, "Operation of the Defense Acquisition System," January 7, 2015

DoDI 5000.66, "Operation of the Defense Acquisition, Technology, and Logistics Workforce Education, Training, and Career Development Program," December 21, 2005

Under Secretary of Defense for Acquisition, Technology, and Logistics (USD(AT&L)) Memorandum, "Key Leadership Positions and Qualification Criteria," November 8, 2013

DoD 5400.11-R, "Department of Defense Privacy Program," May 14, 2007

# 3. Definitions

**Applicant**:  DoD full-time employee or Armed Forces member applying for consideration by the Qualification Board**.**

**Candidate**:  Applicant submitted by the Director, Human Capital Initiatives (HCI) to the Qualification Board for consideration.

**Career Field Specific Functional Requirements of KLPs**:  Tailored competencies unique to a KLP functional area that a candidate must possess to be considered properly qualified within that functional area.

**Common Cross-Functional KLP Requirements**:  The education, training, experience, currency, and competency requirements (within Executive Leadership, Program Management, Technical Management, and Business Management areas) that are common across all career fields and are necessary to be considered properly qualified to fill mandatory KLPs.

**Current (CLP context)**:  On track to achieve 80 hours of continuous learning points (CLP) every 2 years.

**Days:**  Timeline and days are counted as calendar days.

**Endorsement**:  Affirmation by a Senior Executive Service/Flag Officer/General Officer (SES/FO/GO) that the applicant should be considered by the KLP Qualification Board.

**KLP Qualification Board**:  A panel led by the career field Functional Leader, representing a variety of experiences across the Department, that will review candidate applications and assess whether candidates are deemed qualified for KLPs.

**Qualification**:  Qualification Board determination that a candidate meets both the common cross-functional and career field specific functional KLP requirements, and identifies the candidate as having requisite education, training, and experience for KLPs.

**Submission**:  Transmitting the application to the HCI office for forwarding to the Qualification Board.

# 4. KLP Qualification Board Process

The Qualification Board Process Timeline in Figure 1 provides a visual representation of key events. Activities highlighted in the figure are discussed throughout this document.  The timeline displays the minimum number of days following the Announcement for the applicants to apply and for the Components to conduct their processes prior to the Qualification Board convening. Functional leaders will inform HCI of planned timelines.

| | Pre-Announcement Activities | Applicant and Component Activities | Q-Board Activities | Post-Board Activities |
|---|---|---|---|---|
| Announcement Memo | ▲ - Day 1 | | | |
| Application Period | | 90 Days | | |
| Application Notice from HCI | ▲ - Day 15 | | | |
| Component Names Q-Board Reps | ▲ - Day 15 | | | |
| Invitations to Q-Board Attendees | | ▲ - Day 30 | | |
| Application Reminder from HCI | | ▲ - Day 60 | | |
| Applications Due to HCI | | | ▲ - Day 90 | |
| HCI Preps Applications | | | 7 | |
| Materials to Board Members | | | ▲ - Day 97 | |
| Q-Board Reviews Applications | | | 23 | |
| Qualification Board | | | ▲ - Day 120 | |
| FL Sends Metrics to HCI & AT&L | | | | ▲ - Day 134 |
| HCI Notifies Candidates | | | | ▲ - Day 150 |
| Lessons Learned | | | | ▲ - Day 150 |

**Figure 1. Minimum Qualification Board Process Timeline**

## 4.1. Qualification Board Announcement

The Functional Leader will announce an upcoming Qualification Board and call for applicants at least 120 days prior to convening the board. The announcement will be distributed via the Component functional executives (or their representatives) and HCI; the goal is wide dissemination to all potential KLP candidates, including those personnel with Defense Acquisition Workforce Improvement Act certification who may currently be in non-acquisition billets.

The announcement will contain the following:

- Date of the Qualification Board
- USD(AT&L) Memorandum, "Key Leadership Positions and Qualification Criteria," November 8, 2013 (attachment)
- Application (attachment)
- *Instructions for Completing a Key Leadership Position Joint Qualification Board Application* (attachment)
- Functional specific requirements for the career field (attachment)
- Due date of applications to HCI

5

- HCI email address for application submission

Three weeks following the distribution of the Qualification Board Announcement, the Functional Leader will request that HCI send an Application Notice to those Level III-certified members of the acquisition career field who satisfy the rank/grade criteria for potential applicants, informing them of the upcoming Qualification Board and its process. The email will remind potential applicants that the KLP qualifications are above and beyond the level III certification requirements. The email will also include a functional point of contact for questions.

At least 30 days prior to the application due date, the Functional leader will request that HCI send a message to those Level III-certified members of the acquisition career field who satisfy the rank/grade criteria for potential applicants, reminding them of the upcoming Qualification Board and its process.

## 4.2. Application Submission

### 4.2.1. Application

The announcement will contain the application to be used. The application is composed of three sections:

- Section 1: KLP Common Cross-Functional Requirements identical across all KLP Qualification Boards.
- Section 2: Functional Specific Requirements unique to the requirements of the career field. This section will be developed individually by each career field using its own functional specific requirements (along with a corresponding section in the Application Instructions).
- Section 3: Application, certification, and endorsement signatures by the applicant, the applicant's supervisor, and a Senior Executive Service member, Flag Officer or General Officer (SES/FO/GO).

### 4.2.2. Completion

Applicants are responsible for completing all sections of the application in accordance with the *Instructions for Completing a Key Leadership Position Joint Qualification Board Application*. Once the application is complete, applicants will sign the application, certifying the accuracy of their reported information. The applicant's supervisor will review the application and sign the form, indicating concurrence in the applicant's representation of his or her background. An SES/FO/GO will review the application and sign the form, indicating endorsement of the applicant as a candidate for KLP Qualification Board consideration.

### 4.2.3. Submission

The applicant must submit the application through his/her Component (recommended) or directly to HCI (KLPQualification@dau.mil) at least 21 days prior to the date of the board, as

specified in the announcement. Once an application has been submitted to HCI, applicants are not permitted to resubmit corrected or modified applications.

Prior to forwarding to the Qualification Board, the applicant's Component will verify the accuracy of Sections 1.1–1.4, as well as any functional specific education, certification, training, and experience requirements in Section 2. (Applications received directly by HCI from the applicant will be routed to the Component for accuracy verification.)

## 4.3. Application Receipt and Submission to Qualification Board Members

HCI will log incoming applications and review them for completeness. All fields must be marked or answered, except as noted in the Application Instructions. Some career fields include "preferred" qualifications; these do not need to be marked or answered for the application to be complete. (Based on Lessons Learned, elimination of all "preferred" qualifications is recommended.) Incomplete applications will not be considered; the applicant's supervisor will be notified by HCI if the application is incomplete.

HCI will prepare a final list of candidates with complete applications and will send the list and the applications to each Qualification Board member at least 14 days prior to the board meeting.

## 4.4. Qualification Board Meeting

### 4.4.1. Composition

KLP Qualification Board attendees will include the following:

Voting Members:
  a) Functional Leader, serving as the chair
  b) Acquisition Functional Leads (or their SES/FO/GO functional representative) from all Services and all Defense Agencies with KLPs in the appropriate functional area

Non-voting Members:
  c) Director, HCI
  d) Director, Acquisition Career Management (DACM) representative from each Service and Fourth Estate
  e) Incumbent KLP personnel to advise as subject matter experts (invited as needed)

Staff:
  f) Staff Specialists – all voting and non-voting members, above, are entitled to bring a Staff Specialist to the meeting
  g) Facilitator and Note-takers – as necessary, determined by the Functional Leader

Within 14 days following the announcement, each appropriate Component will designate a functional and a DACM representative and send the names of their designees to the Functional Leader and HCI.  Candidates whose application is under consideration by the Qualification Board are prohibited from attending the meeting or subsequent follow-up meeting(s).

### 4.4.2. Preparation

The Functional Leader will send an invitation to all identified board members at least 60 days prior to the convening of the board.  Board participation will be by invitation only.

At least 14 days prior to the meeting, HCI will provide the identified board members or representatives with the application for each candidate.  The Qualification Board members or representatives will review each application during the 14-day preparation period and will assess the candidate's experience and knowledge submitted against the common cross-functional KLP requirements and the specific functional requirements for the appropriate career field.

All Qualification Board attendees, regardless of voting status, will handle applications in accordance with privacy procedures defined in DoD 5400.11-R.

### 4.4.3. Quorum

Because the Qualification Board should represent a broad range of functional experiences from across the Department, attendance by the following representatives is critical:  the Functional Leader and functional representatives at the SES/FO/GO level from the three Services and appropriate Defense Agencies.  To ensure that the Qualification Board process is being consistently applied, the presence of an HCI representative at  the Qualification Board is essential.

### 4.4.4. Deliberations

At the Qualification Board meeting, voting representatives will share their assessment of each candidate and collectively determine whether the candidate is deemed qualified.  If there are differing views of a candidate's qualification, the Qualification Board voting members will discuss their positions and conduct a final vote.  At least 75 percent of the voting members must agree for the candidate to be deemed qualified.

The duration of each Qualification Board meeting will vary depending on the number of candidates to be considered.

### 4.4.5. Notes

All Qualification Board–related materials will be handled in accordance with privacy procedures defined in DoD 5400.11-R.  Qualification Board members will not retain candidate applications

or their associated notes. All meeting materials will be collected by the HCI representative for retention or disposal. With the exception of the HCI representative, all Qualification Board members will permanently delete all electronic versions of these materials.

### 4.4.6. Follow-up

Staff Specialist attendees will schedule a meeting the day after the Qualification Board meeting concludes. At that meeting, Staff Specialists will verify the decision of the Qualification Board for each candidate, draft letters to be sent to the candidates and document any Lessons Learned.

### 4.4.7. Results

The Qualification Board will report results to the USD(AT&L) within 14 days of the conclusion of the board. A copy of the results will also be provided to HCI. All results of the Qualification Board will be retained by HCI. Within 30 days following the board's conclusion, the Qualification Board will provide decision letters to HCI. HCI will then deliver letters to each candidate signed by the Functional Leader describing the Qualification Board's determination, with copies to the candidate's supervisor and endorsing SES/FO/GO. HCI will staff qualification certificates to USD(AT&L) for signature and distribute to qualified candidates. For those candidates deemed qualified, HCI will update the tracking system and provide appropriate documentation to the DACMs. The Components will add documentation to the candidate's official record noting this qualification. Once deemed qualified, qualification status continues in effect as long as the individuals remain current in their respective career field.

For those candidates deemed not to meet qualification requirements, the letter from the Functional Leader will provide specifics supporting the decision to assist in talent management and process improvement.

## 4.5. Best Practices

Best Practices are included as feedback from experiences to inform other career fields preparing for their Qualification Boards.

- Holding a preparation meeting two months before the Qualification Board with the Qualification Board attendees worked very well to review upcoming Qualification Board procedures, discuss Board consensus on qualification standards, and ask questions. At the prep meeting, provide members with the current Competency Model version so they can understand the elements of the subject of each application paragraph.
- Send reminder email to Level III acquisition career field members satisfying the objective criteria at least 30 days prior to application due date.
- Attendance by DACMs, HCI, and Staff Specialists at the Qualification Board contributed to a productive and efficient meeting.

- Board members' level of preparation contributed directly to the ease and success of the Qualification Board discussion and procedures.
- A longer application review period for Board members prior to Qualification Board meeting is desirable.
- The application was based on the Competency Model. The content and length of the application met reviewers' needs; neither a longer nor shorter application was desirable.

## 4.6. Tracking and Metrics

HCI will track KLP qualified individuals by position category (Chief Developmental Tester, Chief Engineer/Lead Systems Engineer, Program Manager, etc.).

HCI will maintain metrics on the KLP Qualification pool for each position category and provide data to the Functional Leaders as requested. The USD(AT&L) will periodically review metrics at the Defense Acquisition Workforce Senior Steering Board.

# 5. Qualification Board Roles and Responsibilities

The KLP Qualification Board roles and responsibilities are as follows:

## 5.1. Functional Leader (FL)

a) Inform HCI of planned timelines.
b) Announces the Qualification Board and calls for candidates at least 120 days prior to the board convening.
c) Ensures that all meeting arrangements are made, including assignment of Facilitator and note-taker tasks as necessary.
d) Sends out invitations to the Qualification Board members.
e) Chairs the Qualification Board meeting as a voting member.
f) Facilitates Qualification Board discussion either directly or through a designated facilitator.
g) Provides Qualification Board results to USD(AT&L) within 14 days of the board's conclusion.
h) Provides signed notification memo to HCI for candidates, supervisors, and the endorsing SES/FO/GO of the board's determination.

## 5.2. Acquisition Functional Lead or Representative

a) Attends the Qualification Board meeting as a voting member.
b) Reviews applications and prepares assessments on candidate qualification to discuss at the Qualification Board.
c) Distributes announcement memorandum and related attachments to a wide audience.

## 5.3. Staff Specialist

a) Provides assistance to their voting or non-voting principal.

b) Records the Qualification Board's determination and reasons for each candidate.
c) Documents Lessons Learned from Qualification Board meeting.
d) Attends Follow-up Meeting after Qualification Board concludes to verify determination and reasons, draft letters to candidates and document Lessons Learned.

## 5.4. Director, HCI

a) Resolves scheduling issues among KLP Joint Qualification Boards.
b) Receives and logs the candidate application submissions.
c) Reviews submitted applications for overall completeness.
d) Distributes the completed candidate applications to the Qualification Board members.
e) Attends the Qualification Board meetings and monitors the Qualification Board process to ensure consistent implementation across the functional areas.
f) Retains/disposes of applications and any related Qualification Board notes, as necessary.
g) Provides Functional Leader determination memo to candidates, supervisors, and the endorsing SES/FO/GO of the board's determination.
h) Staffs and distributes the USD(AT&L) –signed qualification certificates.
i) Tracks qualified individuals by position category and maintains metrics on the KLP Qualification pool.
j) Maintains the KLP Joint Qualification Board SOP.

## 5.5. Director, Acquisition Career Management (DACM)

a) Attends Qualification Board meetings in an advisory capacity.
b) Reviews and validates data reported in Sections 1.1–1.4 of the application, as well as any functional specific education, certification, training, and experience requirements in Section 2.
c) Addresses questions regarding items such as equivalency acquisition training and experience.

## 5.6. Incumbent KLP as Subject Matter Expert

a) By invitation, attends Qualification Board meetings in an advisory capacity to provide subject matter expertise to the members regarding the specific functional requirements.

# 6. Acronyms

- CLP:  Continuous Learning Points
- DACM:  Director, Acquisition Career Management
- FL:  Functional Leader
- FO:  Flag Officer

- GO:  General Officer
- HCI:  Human Capital Initiatives
- KLP:  Key Leadership Position
- SES:  Senior Executive Service
- USD(AT&L):  Under Secretary of Defense for Acquisition, Technology, and Logistics