SF 311

Agency Security Classification Management Program Data

June 2011

Introduction

Executive Order 13526, "Classified National Security Information," section 5.2, directs the Information Security Oversight Office (ISOO) to report annually to the President on the implementation of the Order. This is done by collecting data from Executive branch agencies via the Standard Form (SF) 311, "Agency Security Classification Management Program Data."   The ISOO implementing directive, 32 C.F.R. Part 2001.80(1), directs the use of the SF 311 as a data collection form to be submitted by the agencies for inclusion in the report to the President. The purpose of this booklet is to explain the form and clarify some of the potential problem areas to make the reporting process easier for agency personnel.

Frequently Asked Questions

What is the purpose of the SF 311?

The SF 311 is used to collect data from Executive branch agencies that create and/or handle classified national security information. Information that is requested includes number of original classification authorities, number of original and derivative classification decisions, number of mandatory declassification review requests and appeals, number of pages declassified, number of inspections conducted, and number of classification guides.

Why do agencies need to complete the SF 311?

Executive Order 13526, "Classified National Security Information," and its government-wide implementing directive, 32 C.F.R. Part 2001, require Executive branch agencies to report statistics related to their security classification programs to the Information Security Oversight Office (ISOO).

How long does an agency have to complete the SF 311?

Tasking notices are issued to senior agency officials and points of contact between July and August. Agencies have approximately four months to complete the information requested.

When is the completed form due?

The form is completed on a fiscal year basis and is due to ISOO no later than November 15 of each year.

How does an agency request an extension?

An agency can request an extension by contacting ISOO and providing a reason why one is needed. Extensions are approved on a case-by-case basis.

What is done with the information on the SF 311?

The information is compiled, analyzed, reported, and published in ISOO's annual report to the President. The reports are available in printed format upon request or the ISOO website: http://www.archives.gov/isoo/reports/.

Can the form be filled out electronically?

Yes, the form can be filled out electronically and e-mailed to your agency POC. The agency will then send the final version to ISOO.

Should my agency conduct a quality control check to ensure the responses are accurate?

Yes, it is essential that agencies conduct a quality control check before submitting their form to ISOO.

Who should the agency POC contact if they have any questions while completing the form?

The ISOO website lists all the liaisons and their corresponding agencies at http://www.archives.gov/isoo/contact/agency.html. Anyone within an agency should contact their agency POC if they have any questions.

Can an agency request training if needed?

Yes, by contacting ISOO at isoo@nara.gov or the ISOO liaison for your agency.

What happens if an agency sends the form and then needs to correct information?

Send the corrected form as soon as possible to your ISOO liaison. Annotate on the form that it is a revised version and note in the comments section where the corrections were made.

Does an agency have to submit individual SF 311 for each bureau, department, or component?

No, for agencies or departments with multiple components, only one SF 311 should be submitted. For example: Department of Homeland Security will turn in one report that includes all numbers from ICE, FEMA, CBP, TSA, Coast Guard, and U.S. Secret Service.

What happens if an agency's component(s) does not respond by the deadline?

If a component(s) has not submitted their numbers, ask for an extension from ISOO and submit a completed SF 311, or submit the SF 311 with an annotation stating which component(s) did not submit numbers. ISOO will note this in the Annual Report.

Part A: Identifying Information

AGENCY SECURITY CLASSIFICATION MANAGEMENT PROGRAM DATA

(Submissions must be unclassified and reach the Information Security Oversight Office (ISOO) no later than November 15 following the reporting period.)

PART A: Identifying Information		
1. Enter the **Fiscal Year** that this report covers.	1.	0
2. Identify the **Department, Independent agency or Establishment** that is covered by this report.	2.	
3. Enter the name, title, address, phone, fax, and e-mail address of the **Senior Agency Official** (as defined in E.O. 13526, section 5.4(d)) responsible for this report.	3.	
4. Enter the name, title, phone, fax, and e-mail address for the **point-of-contact** responsible for answering questions about this report.	4.	

1. Fiscal year

2. Name of agency.

3. Senior Agency Official information – name, title, address, phone, fax, e-mail.

4. Point of Contact information – name, title, phone, fax, e-mail – this is the person who will be contacted if ISOO has any questions concerning the data on the form.

Part B: Officials with Original Classification Authority

PART B: Officials with Original Classification Authority		
5. Enter the number of agency officials whose **highest level** of original classification authority is TOP SECRET.	5.	
6. Enter the number of agency officials whose **highest level** of original classification authority is SECRET.	6.	
7. Enter the number of agency officials whose **highest level** of original classification authority is CONFIDENTIAL.	7.	
8. **Total number of officials with original classification authority.** (Sum of blocks 5, 6, & 7)	8.	0

If your agency does not have OCA, then enter 0 in blocks 5-7.

For agencies with OCA, enter the number of personnel who have OCA at the appropriate level. Do not count personnel more than once – for example, if an OCA has Top Secret OCA, do not also count them for Secret and Confidential. Only count them at the highest level of their authority.

Do not estimate these numbers. This must be an actual count of OCAs within your agency.

Part C: Original Classification Decisions

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Original classification is an initial determination that the information to be classified has not been previously classified by any other authority. It also meets the following conditions: (1) it was classified by an original classification authority; (2) the information is owned by or for, or is under the control of the United States Government; (3) it falls into at least one of the categories found in section 1.4 of E.O. 13526; and (4) unauthorized disclosure could reasonably be expected to result in damage to the national security. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

9. Enter the number of **original TOP SECRET** classification decisions made during the reporting period with declassification instructions of 10 years or less.	9.	
10. Enter the number of **original TOP SECRET** classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	10.	
11. Total number of **TOP SECRET** original classification decisions. (Sum of blocks 9 and 10)	11.	0
12. Enter the number of **original SECRET** classification decisions made during the reporting period with declassification instructions of 10 years or less.	12.	
13. Enter the number of **original SECRET** classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	13.	
14. Total number of **SECRET** original classification decisions. (Sum of blocks 12 and 13)	14.	0
15. Enter the number of **original CONFIDENTIAL** classification decisions made during the reporting period with declassification instructions of 10 years or less.	15.	
16. Enter the number of **original CONFIDENTIAL** classification decisions made during the reporting period with declassification instructions ranging from over 10 years to 25 years.	16.	
17. Total number of **CONFIDENTIAL** original classification decisions. (Sum of blocks 15 and 16)	17.	0
18. Total number of original classification decisions. (Sum of blocks 11, 14, and 17)	18.	0

Explain in the comments section of the form any major changes, discrepancies, or corrections. This should be an actual count, not a sampling.

Block 11 is the total of block 9 and 10.

Block 14 is the total of 12 and 13.

Block 17 is the total of 15 and 16.

Block 18 is the total of 11, 14, and 17. Verify all numbers.

Part D: Derivative Classification Decisions

PART D: Derivative Classification Decisions

Derivative classification is the incorporating, paraphrasing, restating, or generating in new form information that is already classified. This includes classification based on classification guides or other source documents. (Provide information on all classification decisions, regardless of the media, including those documented and disseminated via e-mail. Do not count reproductions or copies.)

19. Enter the number of derivative **TOP SECRET** classification decisions during the reporting period.	19.	
20. Enter the number of derivative **SECRET** classification decisions during the reporting period.	20.	
21. Enter the number of derivative **CONFIDENTIAL** classification decisions during the reporting period.	21.	
22. Total number of derivative classification decisions. (Sum of blocks 19, 20, and 21)	22.	0

Estimates should include the total number of derivative classification decisions (regardless of media). The following list contains types of materials to include in your count, some of which might not have been included in the past:

- Electronic presentations; e-mail; official correspondence; photographs; reports and/or intelligence products; web pages, wiki articles, and blogs.

The following is guidance on how to count classification decisions:

- Count all derivative classification actions.
- Do not count products classified by another agency.
- Do not count any reproductions or copies.
- When counting email, only count "new" emails where a derivative action was made, not all strings of emails or replies.

The numbers reported should be a 52-week actual count, or an estimate based on a specific time period. If using a multiplier, suggested sampling periods are listed below. Annotate in the comments section which multiplier was used:

- 2-week sampling period-multiply by 26
- 4-week sampling period-multiply by 13
- 8-week sampling period-multiply by 6.5
- 52-week actual count – do not apply multiplier

This is the only section that allows the use of sampling. All other numbers will be actual counts.

PART J: Explanatory Comments

Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.

Sampling Period (check one):
2-Week ☐
4-Week ☐
8-Week ☐
One Year ☐
Multiplier Applied (check one):
None ☐
Other (Specify) ☐

Part E: Mandatory Declassification Review Requests and Appeals

PART E: Mandatory Declassification Review Requests and Appeals	
A "Request" is an individual initial review request or appeal, regardless of the number of documents or pages to be reviewed as part of the request. Report only requests for your agency in which your agency is responsible for the final decision. Please provide an explanation in Part J below where the number of requests or appeals carried forward between reporting period changes.	
23. Enter the number of **requests carried over from the previous** reporting period. (Block 25 on last year's report)	23.
24. Enter the number of **new requests** received **during** the reporting period.	24.
25. Enter the number of **requests carried over to the next** reporting period.	25.
26. Enter the number of **appeals carried over from the previous** reporting period. (Block 28 on last year's report)	26.
27. Enter the number of **new appeals** received **during** the reporting period.	27.
28. Enter the number of **appeals carried over to the next** reporting period.	28.

Block 23 of current reporting period should match block 25 of the prior year reporting period.

Block 26 of current reporting period should match block 28 of the prior year reporting period.

If the information does not match, please find out why before submitting the form to ISOO.

If your agency discovers MDRs or appeals that somehow did not get reported in a prior period, do not add to block 23 or 26. Report them as "new" on blocks 24 or 27. This will prevent historical discrepancies.

Compare numbers being reported with the prior fiscal year's SF 311 to check if they "logically" make sense before submitting to ISOO.

Part F: Mandatory Declassification Review Decisions in Pages

PART F: Mandatory Declassification Review Decisions in Pages		
29. Enter the number of requested pages that were declassified in **full**.	29.	
30. Enter the number of requested pages that were declassified in **part**.	30.	
31. Enter the number of requested pages that were denied declassification	31.	
32. Total number of requested pages acted on. (Sum of blocks 29, 30, and 31)	32.	0
33. Enter the number of appealed pages that were declassified in **full**.	33.	
34. Enter the number of appealed pages that were declassified in **part**.	34.	
35. Enter the number of appealed pages that were denied declassification	35.	
36. Total number of appealed pages acted on. (Sum of blocks 33, 34, and 35)	36.	0

Self-explanatory: enter number of requested and appealed pages that were declassified in full, in part, or were denied declassification.

Part G: Automatic, Systematic, and Discretionary Declassification Reviews

PART G: Automatic, Systematic, and Discretionary Declassification Reviews		
37. Enter the number of pages reviewed that were subject to **automatic declassification** under section 3.3 of E.O. 13526.	37.	
38. Enter the number of pages declassified under section 3.3 of E.O. 13526.	38.	
39. Enter the number of pages reviewed that were subject to systematic declassification under section 3.4 of E.O. 13526.	39.	
40. Enter the number of pages declassified under section 3.4 of E.O. 13526.	40.	
41. Enter the number of pages reviewed that were subject to discretionary declassification under section 3.1 of E.O. 13526.	41.	
42. Enter the number of pages declassified under section 3.1 of E.O. 13526.	42.	

Block 38 must be smaller than or equal to block 37.

Block 40 must be smaller than or equal to block 39.

Block 42 must be smaller than or equal to block 41.

You cannot declassify more pages than have been reviewed.

NOTE: Only count those decisions made within your agency. Any decisions made by the Interagency Security Classification Appeals Panel (ISCAP) will not be counted by the agency, but will be reported by the ISCAP in a separate section of the annual report.

Part H: Internal Agency Oversight

PART H: Internal Agency Oversight		
43. Enter the number of **inspections, surveys, or program reviews** conducted by your agency, covering any aspect of the security classification program, **completed** during the reporting period.	43.	
44. Enter the number of **challenges** processed by your agency to the classification of information believed to be **improperly classified or unclassified.** (E.O. 13526, section 1.8)	44.	
45. Enter the number of **challenges** where the classification status was **fully affirmed.**	45.	
46. Enter the number of **challenges** where the classification status was **overturned in whole or in part.**	46.	

Block 43 should not be zero. E.O. 13526 section 5.4(d)(4) requires all Executive branch agencies to conduct self-inspections.

Part I: Classification Guides

PART I: Classification Guides		
47. Enter the number of security classification guides created by your agency and **currently in use.**	47.	

Quality control check - If your agency does not have original classification authority, then they cannot have any classification guides.

Part J: Explanatory Comments

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Use this space to elaborate on any section of this form. If more space is needed, provide as an attachment to this form. Provide explanations for any significant changes in trends/numbers from the previous year's report. Additionally, select the sampling process your agency used in developing this year's report.	
Sampling Period (check one): 2-Week ☐ 4-Week ☐ 8-Week ☐ One Year ☐ **Multiplier Applied (check one):** None ☐ Other (Specify) ☐	

As mentioned in Part D, annotate in this block the sampling period that was used to establish the number of derivative classification decisions, and if appropriate, the multiplier that was applied.

Comments explaining any discrepancies, major changes, etc. in any part of the form should be annotated in Part J.

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