



Senior Agency Official Annual Self-Inspection Report

Job Aid

June 15, 2015



Center for Development of Security Excellence

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Overview

To ensure information is appropriately classified and protected, E.O. 13526 Section 5.3, Title 32, CFR Part 2001.60, and DoD Manual 5200.01, Vol. 1, Enclosure 2, Section 7d describe the requirement for agencies that originate and handle classified information to establish and maintain self-inspection programs.

The Senior Agency Official (SAO) is responsible for directing and administering the agency's self-inspection program and may designate agency personnel to assist in carrying out this responsibility. The SAO may determine the means and methods for conducting self-inspections, but the program must provide the SAO with the information necessary to assess the effectiveness of the Classified National Security Information (CNSI) program within individual agency activities and the agency as a whole.

At the end of each fiscal year, the SAO must report to the Under Secretary of Defense for Intelligence (USD(I)) with:

- A description of the agency's self-inspection program
- An assessment and summary of the findings from the current year's self-inspection
- Raw data on the findings of the annual review
- Corrective actions taken or planned
- Best practices identified during self-inspections

SAOs or their designated personnel complete a form-fillable report template when submitting reports. The form gathers data relating to the implementation and effectiveness of self-inspection programs to help the DoD and the Information Security Oversight Office (ISOO) identify trends across agencies. Depending on your agency's size, the information your report contains may represent a compilation of multiple reports or later be compiled with other reports.

This job aid provides general guidance in completing each Part of the form. Not all Items are listed in this job aid as some are self-explanatory, but for selected Items this job aid provides additional details where more information may be useful.

Part A (Items 1-5): Identifying Information

To complete this Part, provide your agency name, the report date, and names and contact information for the:

- SAO responsible for the report
- Individual or office responsible for conducting self-inspections and reporting findings
- Point-of-contact for questions about the report

Part B (Items 7-9): CNSI Program Profile Information

To complete this Part, select Yes or No for each Item.

Part C (Items 10-43): Description of the Program

This Part is broken into seven categories:

- Responsibility (Items 10-12)
- Approach (Items 13-17)
- Approach: Representative Sample (Items 18-27)
- Frequency (Items 28-29)
- Coverage (Items 30-31)
- Special Access Programs (SAP) (Items 32-34)
- Reporting (Items 35-43)

Together, these categories describe how the self-inspection program provides the SAO with information to assess the effectiveness of the CNSI program within individual agency activities and the agency as a whole.

To complete this Part, respond to each Item that applies to your agency. Further guidance on selected Items is provided below.

Item 10: How is the SAO involved in the self-inspection program? (Describe his or her involvement with the self-inspection program.)

The SAO's involvement in the program will vary depending on the size of your agency. In a large agency, the SAO may only review the results of the annual self-inspection, whereas he or she may conduct the self-inspection in a small agency.

Item 11: How is the self-inspection program structured to provide the SAO with the information necessary to assess the agency's CNSI program in order to fulfill his or her responsibilities under section 5.4(d) of E.O. 13526?

The structure of the self-inspection program may vary based on the involvement of the SAO to ensure that he or she receives the information needed to assess the

program. Describe the aspects of your program that are uniquely designed to ensure that the SAO receives the necessary information.

Item 12: Whom has the SAO designated to assist in directing and administering the self-inspection program? Who conducts the self-inspections? (If the SAO conducts the self-inspections, which may be the case in smaller agencies, indicate this.)

This can either be a name and position (e.g., John Smith, Security Director) or an organization (e.g., Agency Security Office, Agency Directorates).

Item 20: Describe below how the agency identifies activities and offices whose documents are to be included in the sample of classification actions. (Indicate if NA.)

If you responded Yes to Item 18, describe your sampling methodology. Otherwise, write NA.

Item 22: How do you ensure that the materials reviewed provide a representative sample of the agency's classified information? (Indicate if NA.)

If you responded Yes to Item 18, describe how your sampling methodology provides a representative sample. Otherwise, write NA.

Item 23: How do you determine that the sample is proportionally sufficient to enable a credible assessment of your agency's classified product? (Indicate if NA.)

If you responded Yes to Item 18, describe how your sampling methodology provides a statistically significant sample size. Otherwise, write NA.

Item 24: Who conducts the review of the classified product? (Indicate if NA.)

This can either be a name and position or an organization.

Item 27a: If appropriate personnel have been designated to correct misclassification actions, identify below.

If you responded Yes to Item 27, provide either the name and position or the organization designated to correct misclassification actions.

Item 31: How is the self-inspection program structured to assess individual agency activities and the agency as a whole?

Describe aspects of your self-inspection program that allow assessment of individual activities as well as the agency. For example, an assessment of individual activities may be compiled to provide an overview of the agency.

Item 35: What is the format for documenting self-inspections in your agency?

Describe the format used for documenting your agency's self-inspections (e.g., checklist, handbook, standard operating procedures, guide). If your agency uses a self-inspection checklist, it may be provided as a supplement to your response but not a substitute.

Item 36: Who receives the reports?

Provide the name and position or the organization/office that receives your agency's self-inspection reports (e.g., Security Office).

Item 37: Who compiles/analyzes the reports?

Provide the name and position or the organization/office that compiles and analyzes your agency's reports (e.g., Chief of Security).

Item 41: Who takes the corrective actions?

Provide the role(s) that will take corrective action (e.g., security officer, responsible management official).

Item 42: How are the findings from your agency's self-inspection program distilled for the annual report to the Director of ISOO?

Describe how findings from your agency's self-inspection program are included into the annual report the Director of ISOO receives (e.g., reported to the SAO for inclusion).

Item 43: Has the SAO formally endorsed this self-inspection report? If yes, please provide documentation.

Select Yes or No. If Yes, ensure a cover memorandum with the SAO's signature accompanies the Component report.

Part D (Items 44-50): Summary of Findings

To complete this Part, outline the major findings of your self-inspection for each program area. If a program area does not apply to your agency, write NA. If there are no major findings, write None. As you proceed with the form, be sure that any deficiencies noted in Part F are explained in the appropriate program area in Part D.

Part E (Items 51-57): Assessment of Findings

To complete this Part, describe what your self-inspection findings indicate about the state of your agency's CNSI program for each area. If a program area does not apply to your agency, write NA. If there are no impacts, write None.

Part F (Items 58-86): Focus Questions

To complete this Part, select Yes, No, or NA for each item and/or provide the data requested. Be sure to explain any deficiencies indicated in Part D and describe the corrective actions planned for any deficiencies in Part H.

Part G (Items 87-88): Findings of the Review of Classification Actions

To complete this Part, provide the number of classified materials reviewed during your agency's annual review of original and derivative classification actions as well as the number of discrepancies found for each type. If no discrepancies of a type were found, write 0. If your agency does not classify information, write NA.

Part H (Item 89): Corrective Actions

To complete this Part, describe the actions your agency has taken or plans to take to correct identified program deficiencies, marking discrepancies, or misclassification actions and to prevent them from happening again. Corrective actions should be included for any area of deficiency identified in Part F. For example, if you indicated deficiencies in the area of training in Part F, you might plan to use the training available through the Center for Development of Security Excellence (<http://www.cdse.edu/>) to correct the deficiency.

Part I (Item 90): Best Practices

To complete this Part, describe any actions or activities your agency uses to make its self-inspection program more effective or efficient.

Part J: Explanatory Comments

To complete this Part, elaborate as necessary on any section of the form and provide an explanation for any significant changes from last year's report. If you have no additional comments to add, write NA or None.



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