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 CFR 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?

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

Block 1 - Fiscal year

Block 2 - Name of agency.

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

Block 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

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

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

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.

- 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 E: Mandatory Declassification Review Requests and Appeals

Block 23 – enter the number of MDR requests received by your agency.

Block 24 – enter the number of MDR requests that were closed.

Block 25 – enter the number of MDR requests that have remained open for over a year.

Block 26 – enter the average number of days it takes your agency to resolve each MDR.

Block 27 – enter the number of MDR appeals received by your agency.

Block 28 – enter the number of MDR appeals that were closed.

Block 29 – enter the number of MDR appeals that have remained open for over a year.

Block 30 – enter the average number of days it takes your agency to resolve each MDR appeal.

Block 31 and 32 – enter the number of referred MDR requests and appeals that your agency received during the reporting period. Referred requests and appeals are those sent to your agency from the primary agency that originally received the MDR and has the responsibility to respond to that MDR.

Part F: Mandatory Declassification Review Decisions in Pages

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

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

Block 44 must be smaller than or equal to block 43.

Block 44 must be smaller than or equal to block 45.

**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

Block 47 should not be zero. E.O. 13526 section 5.4(d)(4) requires all Executive branch agencies to conduct self-inspections.

Block 51 - quality control check - If your agency does not have original classification authority, then you cannot have any classification guides.

Part I: Explanatory Comments

Include comments explaining any discrepancies, major changes, etc. in any part of the form.
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