

SELF-INSPECTIONS

Information Security Oversight Office

Protect • Inform • Assess



May 8, 2015

Presentation Outline

- Background
- Requirements of E.O. 13526 & 32 CFR Part 2001
- What Self-Inspections Should Accomplish
- Self-Inspection Reports: Observations
- Self-Inspection Reporting to ISOO

Background

In what year did this quote appear in the ISOO annual report?

“Dedicated and effective agency self-inspection is the best means of assuring that the provisions of the Order are being carried out.”

FY 1979

Why the detailed self-inspection reporting under E.O. 13526?

**E.O. 13526, “Classified National
Security Information”
(Section 5.4(d)(4))**

**32 CFR Part 2001
(§ 2001.60)**

- Self-Inspection Program Requirements of the Order
 - On-going program
 - Regular reviews of representative samples of the agency's original and derivative classification actions
 - Authorize appropriate agency officials to correct misclassification actions
 - Report annually to the Director of ISOO on the agency's self-inspection program

■ Self-Inspection Program Requirements of the Directive

- SAO responsible for directing and administering
- SAO designates personnel to carry out responsibility
- Program to be structured to provide SAO with information necessary
 - to assess the effectiveness of the CNSI program
 - within individual activities and
 - the agency as a whole

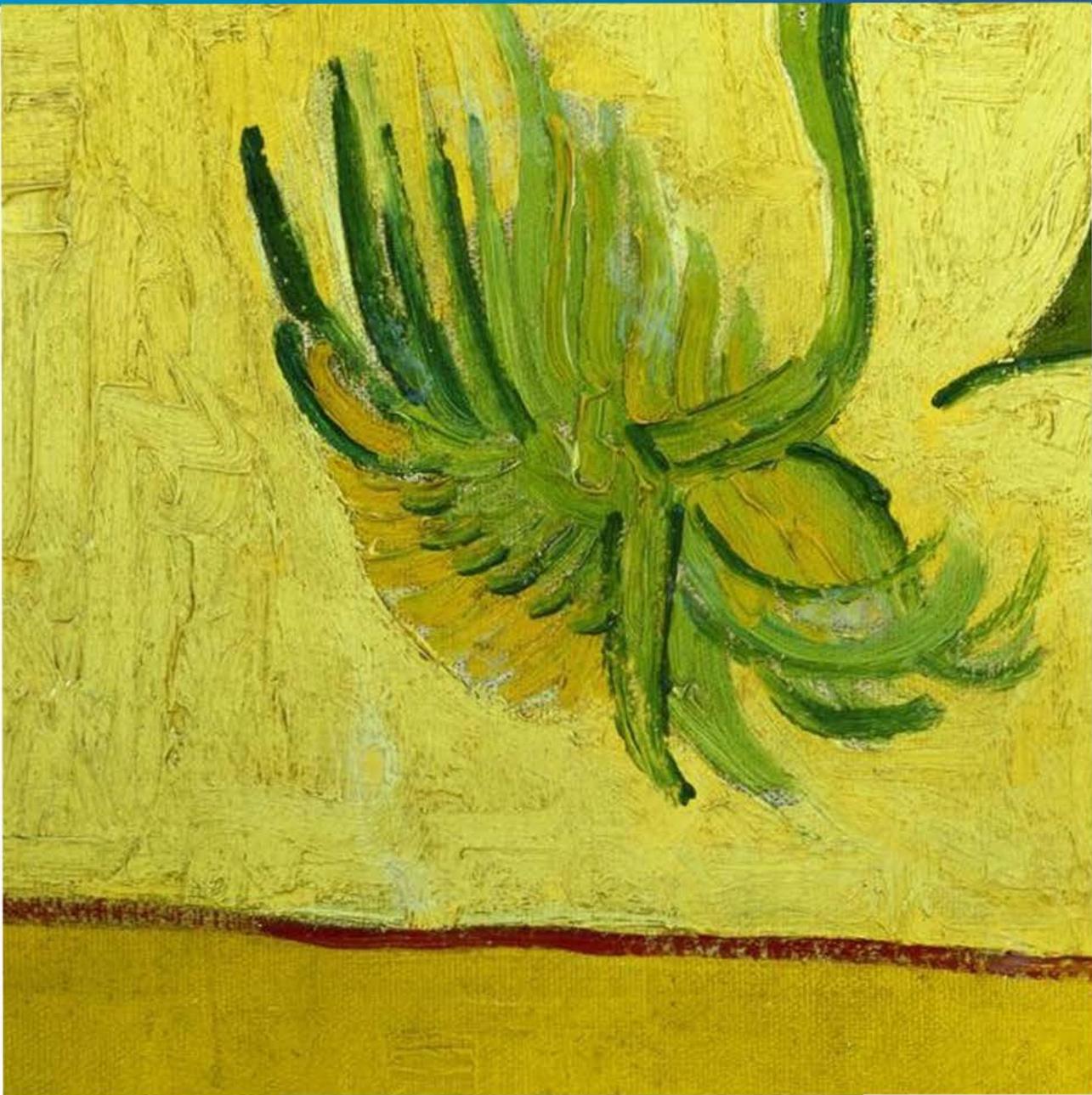
- Self-Inspection Program Requirements of the Directive
 - Evaluate adherence to the principles and requirements of the Order and Directive
 - Evaluate effectiveness of agency programs covering
 - Original Classification
 - Derivative Classification
 - Declassification
 - Safeguarding
 - Security Violations
 - Education and Training
 - Management and Oversight

- Self-Inspection Program Requirements of the Directive
 - Review of Classification Actions
 - Regular reviews of representative samples of the agency's original and derivative actions
 - Encompass all activities that generate classified information
 - Include a sample of varying types of classified information (in document and electronic format)
 - Proportionally sufficient to enable a credible assessment of agency's classified product
 - Personnel who conduct are knowledgeable of classification and marking requirements and have access to pertinent classification guides.
 - SAO authorize appropriate agency officials to correct misclassification

- Self-Inspection Program Requirements of the Directive
 - Frequency: At least annually, with SAO setting frequency based on program needs and degree of classification activity
 - Coverage: SAO establishes self-inspection coverage requirements based on program or policy needs
 - Reporting, Internal:
 - SAO sets format for documenting
 - Security education and training should address underlying causes of findings and concerns of a systemic nature
 - Reporting, External
 - SAO reports annually to the Director of ISOO

QUIZ











The self-inspection program must be



structured to provide the SAO with information necessary to assess the effectiveness of the CNSI program within individual activities and the agency as a whole

What Self-Inspections Should Accomplish

What Self-Inspections Should Accomplish

IT'S ALL
ABOUT YOU

Observations: FY 2014 Self-Inspection Reports to ISOO

Observations: FY 2014 Self-Inspection Reports

- Reports have continued to improve
- Agencies are providing responses in nearly all of the required areas
- Many agencies have refined their program descriptions and appear to have made improvements to their self-inspection programs
- For a number of agencies, the reports suggest that a strong and effective self-inspection program is in place
- While a few agencies' reports suggest their self-inspection programs may not be getting the attention they require

The Good

Areas Where Attention is Required

CORRECTIVE ACTIONS

≈ 40% of the Agencies that Identified CNSI Program Deficiencies Did Not Report Corrective Actions for Some or All of the Deficiencies that They Identified.

- 15.5% reported no corrective actions
- 24.4% reported corrective actions for some but not all

Observations: FY 2014 Self-Inspection Reports

Many of the reported deficiencies for which no corrective actions were provided are in the key areas of training, performance evaluations and classification challenges.

| | Percentage of Agencies with 100 Percent Compliance | Percentage of Agencies with 90 Percent Compliance |
|---------------------------------------|--|---|
| Initial Training | 91.3 | 95.65 |
| Refresher Training | 50.0 | 76.09 |
| OCA Training | 50.0 | 63.64 |
| Derivative Classifier Training | 63.89 | 80.56 |
| Performance Element | 36.96 | 47.83 |

Observations: FY 2014 Self-Inspection Reports

Other Core Requirements

| | Percentage of Agencies Reporting They Meet the Requirement |
|--|---|
| OCA Delegations Limited to Minimum Required | 80.0 |
| Classification Challenge Procedures | 67.39 |

Document Markings

| | Number Documents Reviewed | Percentage of Documents that Include the Required Marking |
|---|----------------------------------|--|
| Identification of Derivative Classifiers | 287,446 | 71.42 |
| Listing of Multiple Sources | 179,650 | 66.86 |

The Report to ISOO

The Report to ISOO

Enclosure 2

AGENCY ANNUAL SELF-INSPECTION PROGRAM DATA: FY 2014

(Submissions must be unclassified.)

| PART A: Identifying Information | |
|--|---|
| 1. Enter the agency name. | 1. |
| 2. Enter the date of this report. | 2. |
| 3. Enter the name, title, address, phone, fax, and e-mail address of the Senior Agency Official (SAO) (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 of the individual or office responsible for conducting self-inspections and reporting findings. | 4. |
| 5. Enter the name, title, phone, fax, and e-mail address for the point-of-contact responsible for answering questions regarding this report. | 5. |
| PART B: Classified National Security Information (CNSI) Program Profile Information | |
| 6. Has your agency been designated/delegated as an original classification authority (OCA)? | 6. <input type="radio"/> Yes <input type="radio"/> No |
| 7. Does your agency perform original classification activity? | 7. <input type="radio"/> Yes <input type="radio"/> No |
| 8. Does your agency perform derivative classification activity? | 8. <input type="radio"/> Yes <input type="radio"/> No |
| 9. Does your agency have an approved declassification guide and declassify CNSI? | 9. <input type="radio"/> Yes <input type="radio"/> No |
| PART C: Description of the Program | |
| A description of the agency's self-inspection program to include activities assessed, program areas covered, and methodology utilized. The description must demonstrate how the self-inspection program provides the SAO with information necessary to assess the effectiveness of the CNSI program within individual agency activities and the agency as a whole. | |
| Responsibility | |
| 10. How is the SAO involved in the self-inspection program? (Describe his or her involvement with the self-inspection program.) | |
| | |
| 11. How is the self-inspection program structured to provide the SAO with 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? | |
| | |
| 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.) | |
| | |
| Approach | |
| 13. What means and methods are employed in conducting self-inspections? (For example: interviews, surveys, data calls, checklists, analysis, etc.) | |
| | |

INFORMATION SECURITY OVERSIGHT OFFICE

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32 CFR 2001 E.O. 13526

Questions



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