Department of Defense
Office of Security Review

Strategic Plan
2012-2017

17 January 2013
Revision 1

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Office of Security Review (OSR)

Strategic Plan 2012-2017

Introduction

"There come certain times in the life of an organization when only a significant
course reset will bring about necessary results. For DA&M that moment is now."

Michael L. Rhodes
Director of Administration and Management
DA&M Strategic Plan 2012 – 2017 *Corporate Course Reset*

Accepting this challenge to redefine the warp and weft of OSR goals in the current dynamic and fiscally demanding environment required OSR to reassess how we do business, hone our processes, and implement reforms to our business model to ensure we align with DA&M corporate goals while achieving future mission success.

The OSR Strategic Plan 2012 – 2017 overhauls our 2007 OSR Strategic Plan by more clearly defining our vision and mission in light of the Quadrennial Defense Review Strategic Goals and just published DA&M Plan while complying with OSR statutory authorities. OSR's goals direct linkage to the new DA&M goals is amplified by direct comparison to each specific OSR Goal. To assist in implementation, our plan introduces a new tactical approach. Each goal is restated with a strategic objective, operational goal, specific outcomes, strategies, real world performance measures, and external factors affecting those goals that can be used as a checklist of sorts to maintain monthly focus on goal achievement without being burdensome.

This Plan covers our organization history, administrative chain of command, customer base, and specific, primary OSR functions to include: the Security and Policy Review Process; the review of potentially export controlled technical data on defense articles ensuring International Traffic in Arms Regulation (ITAR) compliance for military industrial base customers; review of highly classified historical DoD information and providing the final DoD public release decision to the Department of State for their Foreign Relations of the United States (FRUS) program; serve as the DoD Liaison to the Interagency Security Classification Appeals Panel (ISCAP) for declassification appeal processing; precluding the publication of inadvertent classified DoD equities in DoD related Government Accountability Office (GAO) reports; and reviewing the DoD portion of the President's budget and supporting testimony.

For over 60 years, from 1949 to the present, OSR was instrumental in protecting DoD national security information. The OSR security and policy review process has proven its value in ensuring that DoD spokespersons speak with one voice from the seat of government and that publically released official DoD information is unclassified. This process ensures that DoD personnel, the American public and media are well served while balancing the need for access to information with the proper security considerations. This Plan ensures OSR remains committed and ready to continue this essential mission for DoD and the nation in the future.

VISION

To protect National Security by conducting an accurate and timely security and policy review, on behalf of the Secretary of Defense, to preclude the release of classified or sensitive information.

MISSION

OSR conducts an accurate and timely security and policy review process to ensure that information is available to the Congress, the Department of Defense and its employees (military and civilian), other Government Agencies, the media, and the general public to help them understand Defense policy, Defense strategy, national security issues and defense activities.

OSR ensures any official DoD information intended for public release that pertains to military matters, national security issues, or subjects of significant concern to the DoD is consistent with established national and DoD policies and programs.

OSR reviews technical data potentially controlled by the International Traffic in Arms Regulations (ITAR) from the private sector for the Department of State.

OSR reviews and provides the DoD release decision for Foreign Relations of the United States (FRUS) historical documents to the Department of State.

OSR serves as the DoD Liaison to the Interagency Security Classification Appeals Panel (ISCAP) which provides the public and users of the declassification system with a forum for further review of declassification decisions.

OSR conducts a final security review of DoD equities in Government Accountability Office (GAO) reports on DoD elements or programs and provides the DoD classification determination to the GAO.

OSR ensures that DoD information submitted to Congress is unclassified and follows current SECDEF guidance and DoD policies.

Sources of Authority

Historical Context: On March 17, 1949, a memorandum from Secretary of Defense James Forrestal to the three Service Secretaries and the Joint Chiefs of Staff ordered the consolidation of the public information activities of the National Military Establishment including Security Review. On April 14, 1949 OSD's Consolidation Directive No. 1 formally codified the creation of a Joint DoD level Security Review function responsible for classification and policy review prior to publication.

Public Laws

- **22 CFR 125.4 (b)(13) International Traffic in Arms Regulations** authored by the Department of State to implement Export Control Act using authority granted in E.O. 11958, as Amended
- **22 USC Section 2778 Export Control Act** Assigns authority to control export of defense articles to the President
- **22 USC 4352 Foreign Relations of the U.S.** Requires all involved US Gov't Agencies review/consider declassification/public release approval upon formal request from the Office of the Historian (Department of State) of all previously classified records of FRUS related decisions and actions older than 26 years old
- **Budget and Accounting Act of 1921**, the President must submit a budget to Congress each year. 31 U.S.C. 1105(a)) specifies that the President submit a budget between the first Monday in January and the first Monday in February. **Congressional Budget and Impoundment Control Act of 1974** requires the President to spend funds that Congress allocated
- **2 CFR Part 2001 Information Security Oversight Office Directive No. 1,** Appendix *Interagency Security Classification Appeal Panel* bylaws

Executive Orders

- **E.O. 11958, as Amended** Delegates export control statutory authority for defense articles and related services to the Department of State
- **E.O. 13526, Classified National Security Information** Establishes safeguards to protect/share national security information
- **E.O. 13526, Classified National Security Information Sec. 5.3** Establishes ISCAP including membership (DoD, DOS, DOJ, Nat'l Archives, ODNI, Nat'l Security Advisor)

DoD Directives or Manual

- **DoDD 5105.53 Director of Administration & Management** Designates DA&M to develop, coordinate, issue policy and oversee administration, organization, and management and act as DoD appellate authority for the "DoD Security Review Program"
- **DoDD 5110.4 Washington Headquarters Services** WHS shall organize, direct, and manage the DoD-wide operational program entitled the "DoD Security Review Program"
- **DoDD 5230.09 Clearance of DoD Information for Public Release** defines the "DoD Security and Policy Review Program" implemented by the DoD Office of Security Review *(applies to active/ former/retired DoD employees)*
- **DoDM 5200.01 Vol 1 DoD Information Security Program** Directs WHS (under supervision of DA&M) to identify a DoD ISCAP liaison IAW ISCAP bylaws

DoD Instructions or Manual

- **DoDD 7650.02 Government Accountability Office Reviews and Reports** Allows DoD responses to GAO Reports through DoD IG
- **DoDI 8550.01 DoD Internet Services and Internet-Based Capabilities**
- **DoDI 5230.29 Security and Policy Review of DoD Information** for public release defines what needs to be reviewed and the process including timeframes
- **DoDI 5400.04 Provision of Information to Congress** creates a method allowing DoD to respond directly to Congress
- **DoDM 5200.01 DoD Information Security Program** Damage Assessment | Information Security
- **USD(I) Letter of Delegation** assigning DoD OSR the role of DoD ISCAP liaison

Provides What Authority to DoD OSR?

- ITAR mentions DoD OSR specifically. Provides authority to review and approve for public release information on defense articles (that require a Department of State export control license to sell outside the U.S.)
- Provides authority for DoD OSR to review/approve DoD information in GAO Reports including DoD responses before publication
- Ensures DoD OSR properly marks and controls all identified classified DoD information
- Provides DoD OSR authority to conduct security and policy reviews and approve for public release on behalf of the SECDEF
- Provides authority for DoD OSR to review and approve public release of previously highly classified historical DoD documents (>26 years old)
- Provides DoD OSR authority to timely review and approve for release to Congress the DoD portion of the President's budget, supporting testimony, answers to Questions for the Record. Inserts for the Record, Select Acquisition Reports, transcripts
- Provides ability for USD(I) or other OCA to formally request DoD OSR perform a post-publication review to assist in developing a damage assessment quantifying adverse impact to national security
- Assigns DoD OSR ISCAP liaison duties as part of the ISCAP Working Group to formulate and brief recommendations to the DoD ISCAP voting member (from USD(I))

Public Laws

- **22 USC Section 2778 "Arms Export Control Act"**
  - 22 U.S.C. 2778 of the Arms Export Control Act (AECA) provides the authority to control the export of defense articles and services, and charges the President to exercise this authority. Executive Order 11958, as amended, delegated this statutory authority to the Secretary of State. The Department of State authors the International Traffic in Arms Regulations to implement this authority.

- **22 USC 4352 Foreign Relations of the United States (FRUS)**
  - Title 22, Chapter 53B, §4352.(a)(2) Other departments [OSR for DoD], agencies, and other entities of the United States Government shall co-operate with the Office of the Historian by providing full and complete access to the records pertinent to United States foreign policy decisions and actions and by providing copies of selected records in accordance with the procedures developed under section 4353 of this title, except that no access to any record, and no provision of any copy of a record, shall be required in the case of any record that was prepared less than 26 years before the date of a request for such access o copy made by the Office of the Historian.

- **22 CFR §125.4(b)(13) International Traffic in Arms Regulations (ITAR)**
  - Technical data approved for public release (i.e., unlimited distribution) by the cognizant U.S. Government department or agency or Office of Freedom of Information and Security Review. [OSR's previous title]

- **2 CFR Part 2001 Information Security Oversight Office Directive No. 1, Appendix A, "ISCAP Bylaws"**
  - Article III. C. Liaison: The Executive Secretary shall request that each entity represented on the ISCAP also designate to the Chair in writing an individual or individuals (hereinafter referred to as "liaisons") to serve as a liaison to the Executive Secretary in support of the primary member and alternate(s).

- **Congressional Budget Act (CBA) of 1974 (Titles I-IX of P.L. 93-344, 88 Stat. 297-332)**

Executive Orders

- **Executive Order 13526 "Classified National Security Information"**
  - Sec. 5.3. ISCAP establishment, administration, functions, rules and procedures
  - Sec. 5.3. (a) (1) The Departments of State, Defense, and Justice, the National Archives, the Office of the Director of National Intelligence, and the National Security Advisor shall each be represented by a senior-level representative...

- **Executive Order 13556 "Controlled Unclassified Information"** [once DoD guidance is written, OSR will pursue compliance]

DoD Issuances

- **DoDD 5105.53 dated February 26, 2008 "Director of Administration and Management (DA&M)"**
  - 4.10.7. Oversee the DoD Security Review Program on behalf of the Secretary of Defense. Serve as the DoD appellate authority for the security review process. Oversee the clearance of official DoD information intended for public release in accordance with DoD Directive 5230.9. [Current DoDD 5230.09]

- **DoDM 5200.1-VI dated February 24, 2012 "DoD information Security Program"**
  - ENCL 2, 5. The Director, WHS, under the authority, direction, and control of the Director, Administration and Management, shall identify to the USD (I) an individual and at least one alternate to serve as the ISCAP liaison for the Department of Defense in accordance with the ISCAP Bylaws…

- **DoDD 5230.09 dated August 22, 2008 "Clearance of DoD Information for Public Release"**
  - ENCL 2, 1. The DA&M shall act as the appellate authority for the DoD security review process.
  - ENCL 2, 2.c. Implement the DoD security review process through the Office of Security Review (OSR)

- **DoDD 5230.24 dated March 18, 1987 "Distribution Statements on Technical Documents"**
  - 6.1 All DoD components generating or responsible for Technical Documents shall determine their distribution availability and mark them appropriately before primary distribution. Documents recommended for public release must first be reviewed in accordance with DoDD 5230.9. [Current DoDD 5230.09]

- **DoDD 5230.25 dated August 18, 1995 "Withholding of Unclassified Technical Data From Public Disclosure"**

- **DoDI 5230.29 dated January 8, 2009 "Security and Policy Review of DoD Information for Public Release"**
  - 4.a. That a security and policy review shall be performed on all official DoD information intended for public release that pertains to military matters, national security issues, or subjects of significant concern to the Department of Defense.
  - ENCL 2, 4.b. Forward official DoD information specified under section 1 of Enclosure 3, and which is proposed for public release, to the Chief, Office of Security Review (OSR), for review and clearance, as prescribed in section 2 of Enclosure 3, with specific recommendation on the releasability of the information being forwarded.

- **DoDI 5400.04 dated March 17, 2009 "Provision of Information to Congress"**
  - 5. Procedures of Coordination, Security Review, and Clearance of Prepared Statements for the Congress; Responding to Congressional Requests, Inquires,

and Investigations; Processing Congressional Transcripts; and Processing IFRs and QFRs are contained in Enclosures 3 through 6, respectively.

- o ENCL 2, 6.a. Coordinate all draft testimony and statements with the ASD (LA); gain approval of the DoD Office of Security Review (OSR), in accordance with DoD Instruction 5230.29 (Reference (i)); and secure clearance from the OMB through the DoD Office of Legislative Counsel (OLC), under the GC, DoD, in accordance with Deputy secretary of Defense Memorandum (Reference (j)).
- o ENCL 3, 6.c. Written statements prepared for formal presentation, budget justification books, and other material provided to congressional committees, which may be made a part of the published record of congressional hearings, also require review and clearance by the DoD OSR per Reference (j).
- o ENCL 5, 4.b. The DoD OSR shall make final security determinations, using red markings, and return the transcripts to ASD (LA) or USD (C)/CFO, as appropriate, for processing in accordance with the individual requirements of the committee concerned, including any required excision of classified material.
- o ENCL 6, 2.a. All answers to IFRs and QFRs will receive a security and policy review by the DoD OSR to ensure that there is no classified information, and to ensure consistency with DoD policy in accordance with References (h) and (i).

- **DoDI 7650.02 "Government Accountability Office (GAO) Reviews and Reports"**
    - o 4.2.8. Ensure that responses to GAO requests for DoD security review or mandatory declassification review of GAO documents containing DoD information are processed through the Office of Security Review, Washington Headquarters Services, and according to Executive Orders 12958 and 12972, and DoD 5200.1-R (References (i), (j), and (k)).

History

The Office of Security Review has been in existence since April 1949 and celebrated 60 years of service to the Department of Defense and the nation in 2009. This office was the first operational activity established in the newly formed Office of the Secretary of Defense in 1949. OSR has served as part of OASD (PA) and WHS for over six decades and has been a field activity, directorate, office and is now a division within ESD as a component of WHS serving the entire DoD.
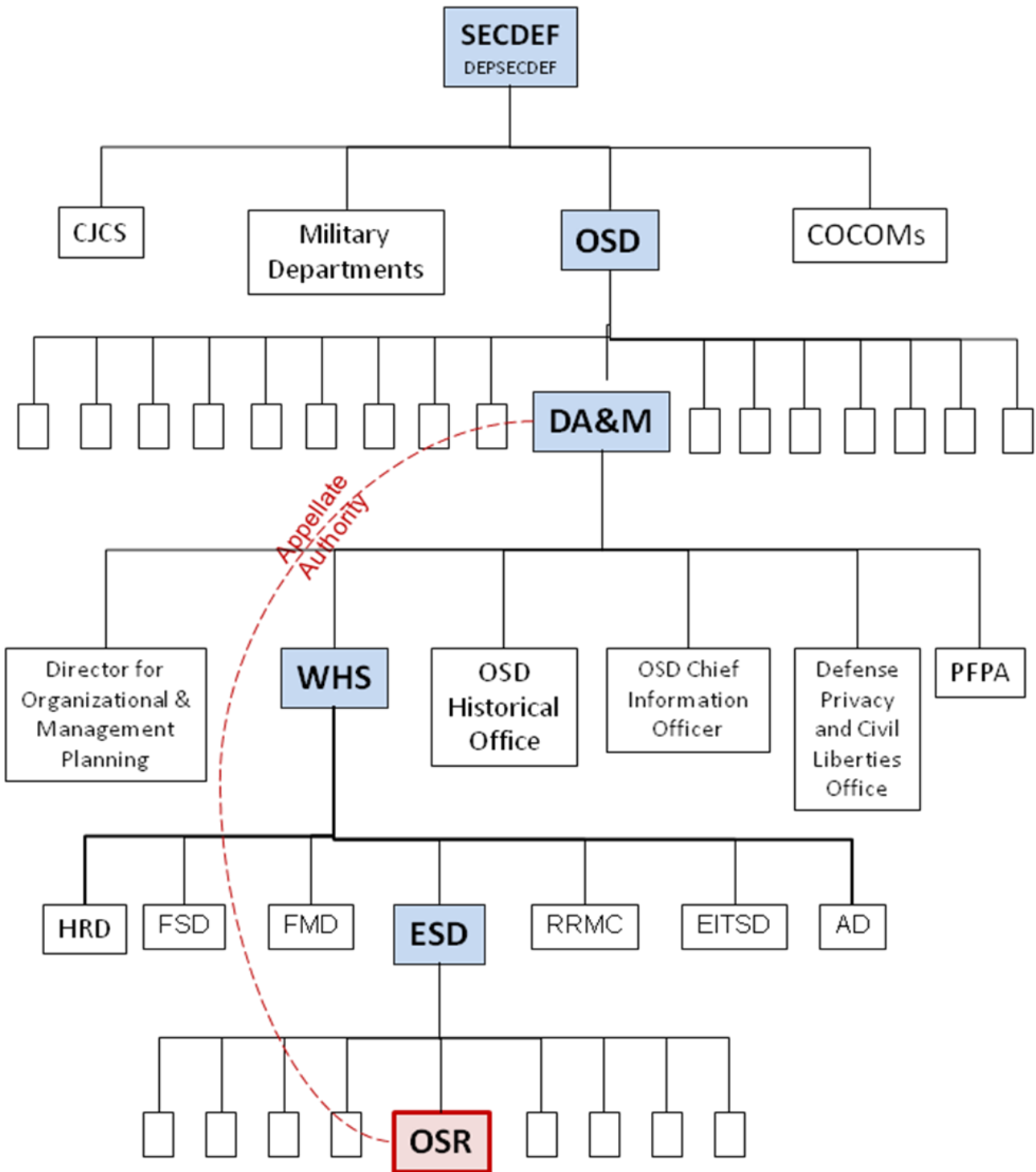
- 28 Mar 1949 – Security Review Branch, Office of Public Information, National Military Establishment is created within the new Office of the Secretary of Defense (OSD)

- 18 Apr 1949 – OSD: Security Review becomes the first public information activity to be consolidated and also became the first operational activity in OSD

- 5 Dec 1950 – OSD: Security Review was designated by the Secretary of Defense as the channel for clearances on foreign policy for the Department of Defense with DoS

- 27 Jul 1951 – OSD: First OSD functions Directive for Security Review was published. This functions directive for Security Review Branch was issued as a DoD Directive – It was the first such directive and gave legal support to Security Review activities

- Aug 1951 – OSD: Atomic Energy Commission (AEC) transferred to Security Review the responsibility of coordinating and clearing for Defense proposed AEC reports & releases

- 7 Feb 1955 – OSD: First OSD and all Service testimony guidance formalized as DoD Instruction requiring a review of Congressional testimony prior to presentation

- 1955 – OSD: Security Review elevated to an Office equal to Office of Public Information

- 17 Aug 1957 – OSD: Directorate for Security Review (DSR), DoD Directive 5230.9, "Clearance of Department of Defense Public Information" guidance promulgated

- 30 Jun 1961 – OSD: Security Review Directorate within Office of the Assistant Secretary of Defense (Public Affairs) was established and formalized by DoD Directive 5122.2

- Mar 1998 – WHS: Directorate for Freedom of Information & Security Review (DFOISR) transferred from OASD(PA) to DA&M/WHS by DMRD 1 as a standalone directorate

- Jan 2004 – WHS: DFOISR transferred to ESCD/WHS and became the Office of Freedom of Information and Security Review (OFOISR) within what is now ESD/WHS

- 5 May 2005 – WHS: OFOISR is moved from the Pentagon to Rosslyn (RPN)

- Aug 2005 – WHS: OSR establishes separate Congressional/Policy and Technology teams

- Jun 2006 – WHS: ESD separates OFOISR into two separate divisions – SRD & FOID

- Jul 2008 – WHS: OSR reorganizes establishing Policy, Congressional, ITAR/Technology and Support Branches to align with current customers and business processes

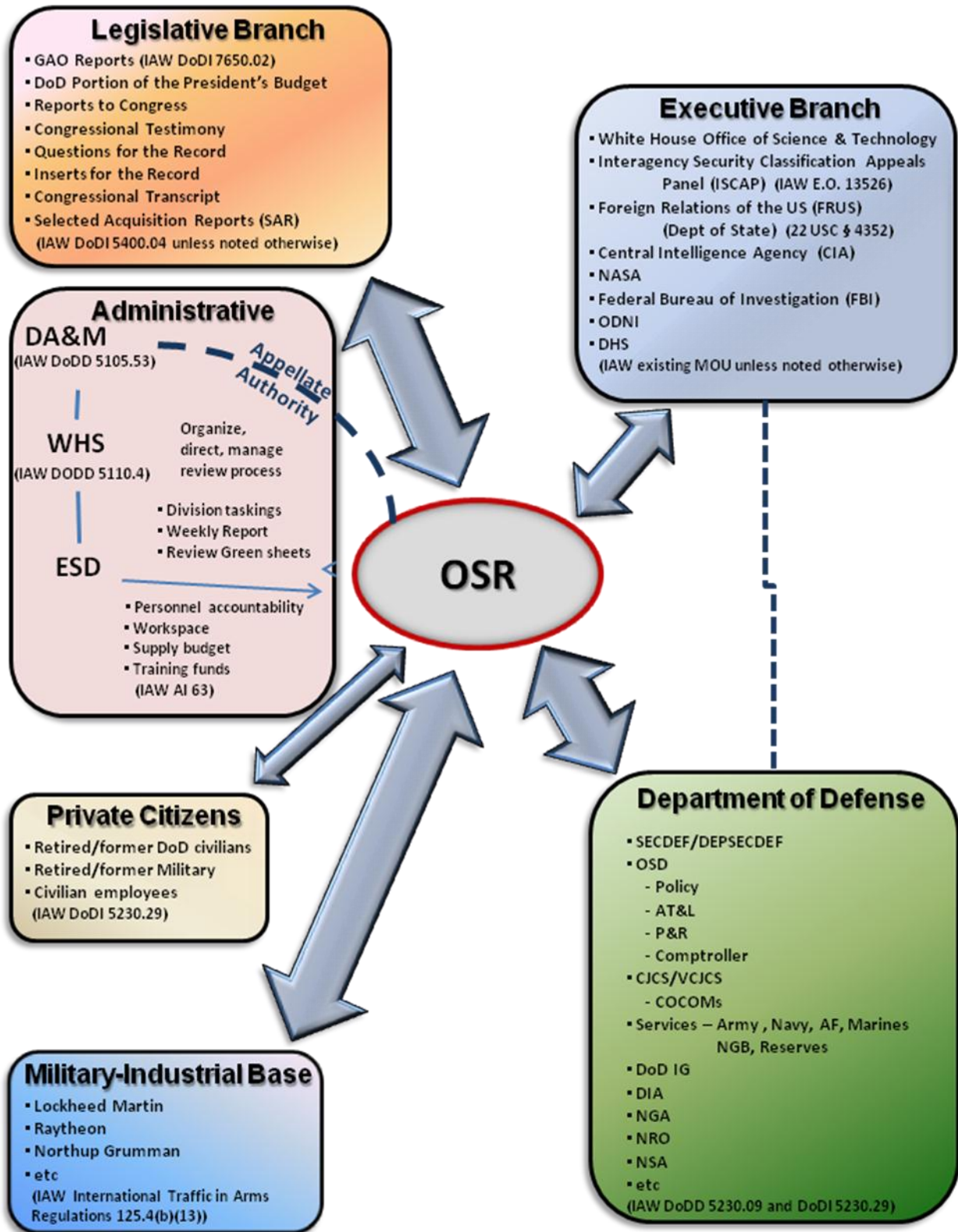- 14 Sep 2011 – WHS: Office of Security Review (OSR) is moved back to the Pentagon

"The achievements of an organization are the results of the combined effort of each individual."

-Vince Lombardi

Administrative Chain of Command

Legislative Branch

- GAO Reports (IAW DoDI 7650.02)
- DoD Portion of the President's Budget
- Reports to Congress
- Congressional Testimony
- Questions for the Record
- Inserts for the Record
- Congressional Transcript
- Selected Acquisition Reports (SAR)
(IAW DoDI 5400.04 unless noted otherwise)

Executive Branch

- White House Office of Science & Technology
- Interagency Security Classification Appeals
  Panel (ISCAP) (IAW E.O. 13526)
- Foreign Relations of the US (FRUS)
  (Dept of State) (22 USC § 4352)
- Central Intelligence Agency (CIA)
- NASA
- Federal Bureau of Investigation (FBI)
- ODNI
- DHS
  (IAW existing MOU unless noted otherwise)

Administrative

DA&M
(IAW DoDD 5105.53)

Appellate Authority

WHS
(IAW DODD 5110.4)

Organize, direct, manage review process

- Division taskings
- Weekly Report
- Review Green sheets

ESD

- Personnel accountability
- Workspace
- Supply budget
- Training funds
  (IAW AI 63)

OSR

Private Citizens

- Retired/former DoD civilians
- Retired/former Military
- Civilian employees
  (IAW DoDI 5230.29)

Department of Defense

- SECDEF/DEPSECDEF
- OSD
  - Policy
  - AT&L
  - P&R
  - Comptroller
- CJCS/VCJCS
  - COCOMs
- Services – Army, Navy, AF, Marines
  NGB, Reserves
- DoD IG
- DIA
- NGA
- NRO
- NSA
- etc
  (IAW DoDD 5230.09 and DoDI 5230.29)

Military-Industrial Base

- Lockheed Martin
- Raytheon
- Northup Grumman
- etc
  (IAW International Traffic in Arms
  Regulations 125.4(b)(13))

Note: Width of arrow denotes approximate share of review cases to each entity

OSR Organization

OSR currently has eighteen personnel assigned to the Security Review Division of ESD/WHS. This division is known throughout DoD and the Interagency of the Federal Government as the Office of Security Review (OSR).
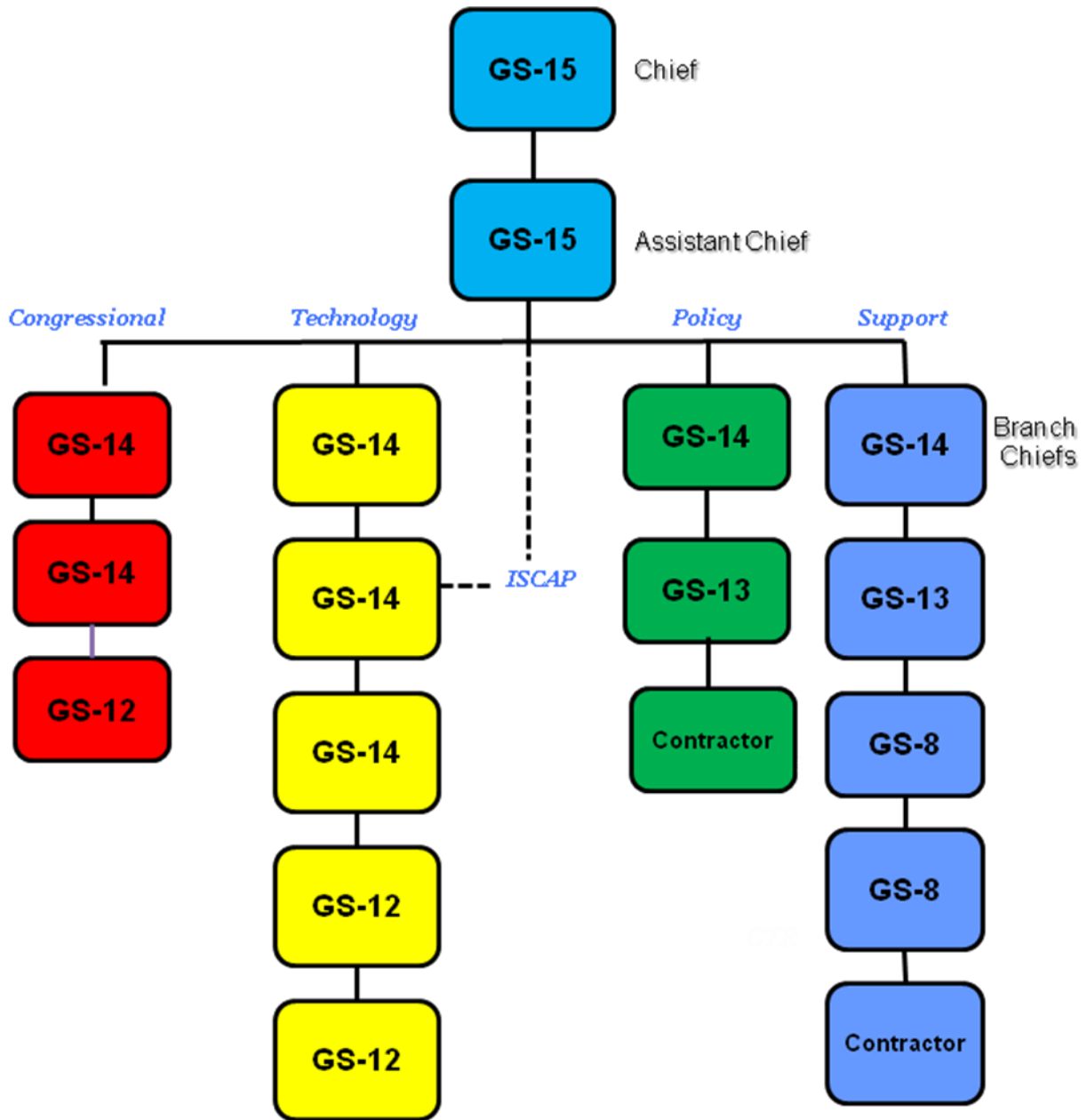
Security Review (SR)

In accordance with DoDD 5105.53, DoDD 5230.09, and DoDI 5230.29, OSR conducts an accurate and timely security and policy review process to ensure that information is available to the Department of Defense and its employees (military and civilian), other Government Agencies, and the general public to help them understand Defense policy, national security issues and activities. DA&M functions as the appellate authority for this process.

International Traffic in Arms Regulation (ITAR) Compliance

The primary reason for clearing defense information prior to public release is to safeguard our national security. The technology and program data contained in technical papers, marketing brochures, or news releases could reveal national secrets if not properly cleared. The information on which the material is based often comes from defense contracts or projects. A simple association of programs or hardware could provide the missing piece needed to complete an intelligence puzzle being assembled by individuals or countries whose interests are counter to those of the United States.

The information can range from a simple program description in a marketing brochure to a full technical review. It can be folded into a variety of formats including technical papers, videos, fact sheets, marketing brochures, news media materials, and internal newsletter articles. It also can mean an advertisement or a speech by a company official. The key is that any information derived from defense work and intended for the public release must be reviewed for clearance.

DoD OSR Research Review Decision Tree
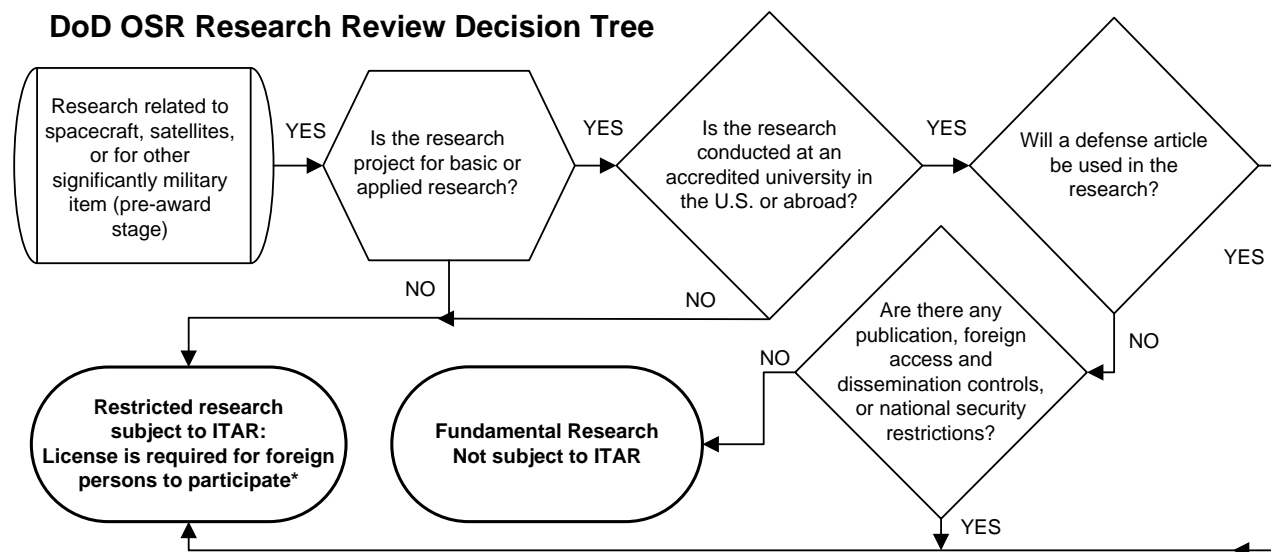
*Pre-publication review required to preclude release of export controlled technical data

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Foreign Relations of the United States (FRUS)

Under the auspices of 22 USC § 4352, as the Department of Defense's designee for the FRUS series, OSR's release decision for FRUS documents must be completed and provided to the Department of State within 120 days of submission. Department of State appeals for decision reconsideration must be completed and returned within 60 days.

Interagency Security Classification Appeals Panel (ISCAP)

The Interagency Security Classification Appeals Panel (ISCAP) is authorized by Executive Order 13526, "Classified National Security Information," signed on December 29, 2009. The ISCAP provides the public and users of the classification system with a forum for further review of classification decisions and to appeal Mandatory Declassification Review requests. OSR serves as the DoD Liaison to the ISCAP.

Other Authorities Governing ISCAP Membership and Liaison not stated in the Sources of Authority:
- Memorandum of Agreement on ISCAP Liaison, August 3, 2004
  - Director ESD agreed to provide ISCAP liaison and to support ISCAP functions
  - Director of Security, OUSD(I), agreed to provide ISCAP member
- USD(I) letter to ISCAP Executive Secretary, August 25, 2004
  - Designated Chief, OFOISR, as primary and Chief and Team Chief, Security Review Branch, as alternate ISCAP Liaisons for DoD
- USD(I) letter to ISCAP Executive Secretary, September 8, 2008
  - Reaffirmed DoD representation to ISCAP Liaisons, i.e. DoD Office of Security Review

Government Accountability Office (GAO)

In accordance with DoDD 5230.09, DoDI 5230.29, DoDM 5200.01-M, and DoDI 7650.02, OSR in conjunction with Primary Action Officers (PAO) and appropriate subject matter experts from any DoD element that may have been evaluated by the GAO conducts a final security review of DoD equities in GAO reports on DoD elements or programs and provides the DoD classification determination to the GAO.

Congressional Review (CR)

In accordance with DoDI 5400.04, OSR conducts an accurate and timely security and policy review process to ensure that DoD information is available to Congress to help them understand Defense policy, national security issues and activities. The information to Congress is in the form of witness statements, Advance Policy Questions, Questions for the Record, Inserts for the Record, Hearing Transcripts, Reports to Congress, Budget Reprogramming Actions, Selected Acquisition Reports, and the DoD portion of the annual President's Budget.

## OFFICE OF LEGISLATIVE COUNSEL
Testimony Clearance Flow Chart

Security and OMB Review are MANDATORY.

DoD Component → **DoD Security Review** → **OLC**

DoD Component
DoD components notify OLC of hearing and witness to testify, and sends the witness statement to Security Review 5 days before transmission to OLC. (*DoD Directive 5400.4*) Services notify OUSD(C) of hearing and witness to testify on budget-related matters.

DoD Security Review
Once cleared, the statement is sent by the component to the OLC Testimony inbox with the DoD Security Review clearance certification attached. **Statements must be received in OLC 3 days before the scheduled hearing with the Office of Security Review clearance certification.** (*DoD GC Memorandum of May 4, 2006*)

OLC
OLC transmits the statement cleared by Office of Security Review for OMB review and interagency coordination. (*OMB Circular A-19*)

Congress
OLC transmits OMB-cleared statement back to component, who distributes the statement to the Congress via OSD LA.

OLC
OLC will either notify the component of statement's OMB-clearance, or transmit OMB comments to component. OMB will be given component contact information if issues require extensive resolution.

OMB
OMB clears the statement, or sends comments to OLC.

Congressional Budget

Several challenging "seasons" occur for the Office of Security Review. One of them is the rush to get the DoD portion of the President's Budget reviewed by OSR so it can receive final coordination and approval by OMB and be sent to Congress IAW rules by early February (usually February 5th) each year. Of course, other security review requests do not taper off during this period as demonstrated in the graph shown below but continue to grow linearly. This seasonal phenomenon can best be understood by examining the Congressional Budget Act of 1974 in further detail.

The Congressional Budget Act (CBA) of 1974 (Titles I-IX of P.L. 93-344, 88 Stat. 297-332) established the congressional budget process, which coordinates the legislative activities on the budget resolution, appropriations bills, reconciliation legislation, revenue measures, and other budgetary legislation. Section 300 of this act provides a timetable (see milestones below) so that Congress may complete its work on the budget by the start of the fiscal year on October 1.

Actual Page Count Graph
for 2012 DoD Budget Cycle Caseload

OSR Page Count
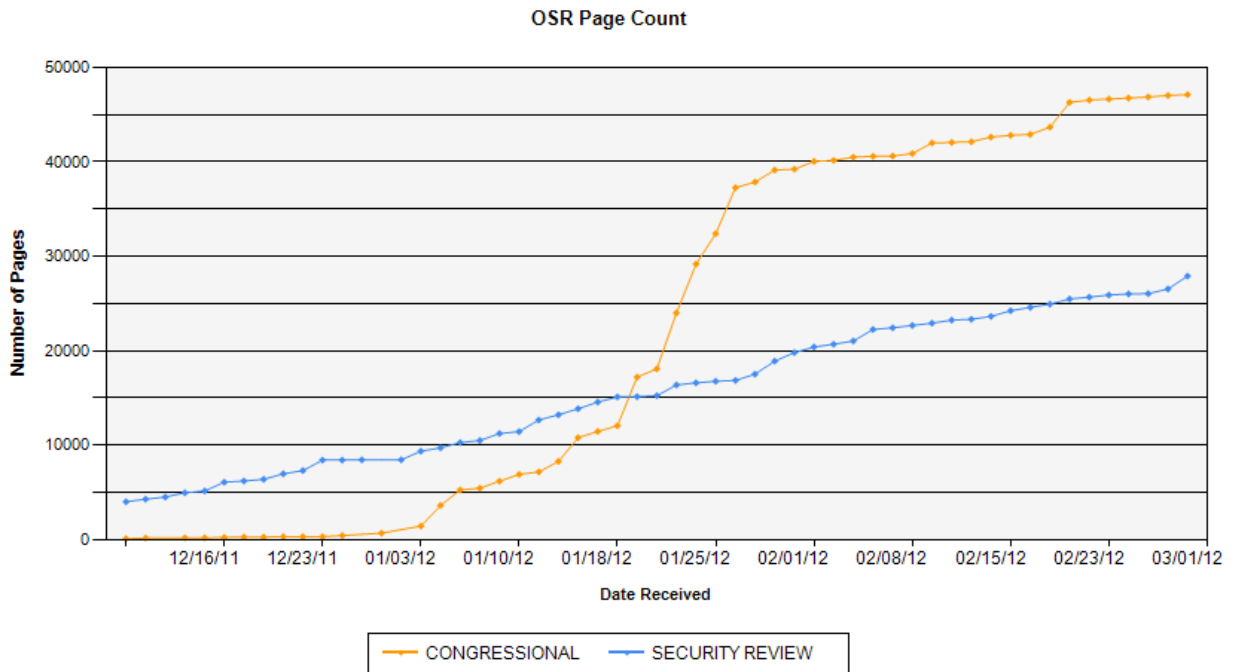
Congressional Budget Process Timetable

Date Action to be completed:

First Monday in February President submits budget to Congress

February 15 Congressional Budget Office submits economic and budget outlook report to Budget Committees.

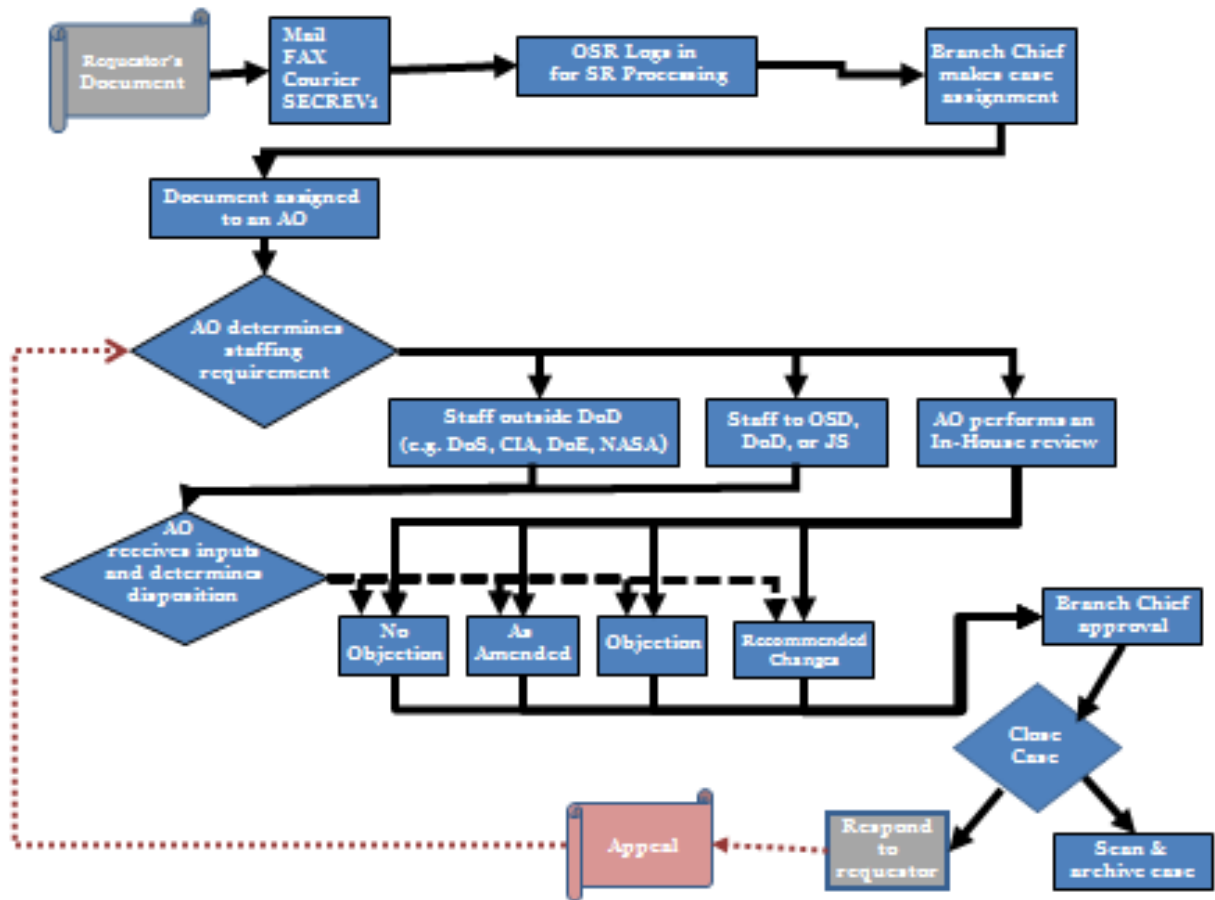Six weeks after President submits budget - Committees submit views and estimates to Budget Committees.

April 1 Senate Budget Committee reports budget resolution.

April 15 Congress completes action on budget resolution.

July 15 President submits mid-session review of his budget to Congress.

October 1 Fiscal year begins.

Security and Policy Review Process

Each action officer is responsible to read every case to determine if sufficient expertise exists within the staff for an in-house review and if not which entities within and outside DoD should evaluate the equities contained in the document (staffing). The AO then determines the amount of time allotted for the review and staffs the document to those entities. Upon receipt of these internal and external reviews the action officer must remedy any disagreements and come to a final recommended DoD position on the document and prepare the final document for final OSR action, pass the outcome to the customer and archive file.

Trend
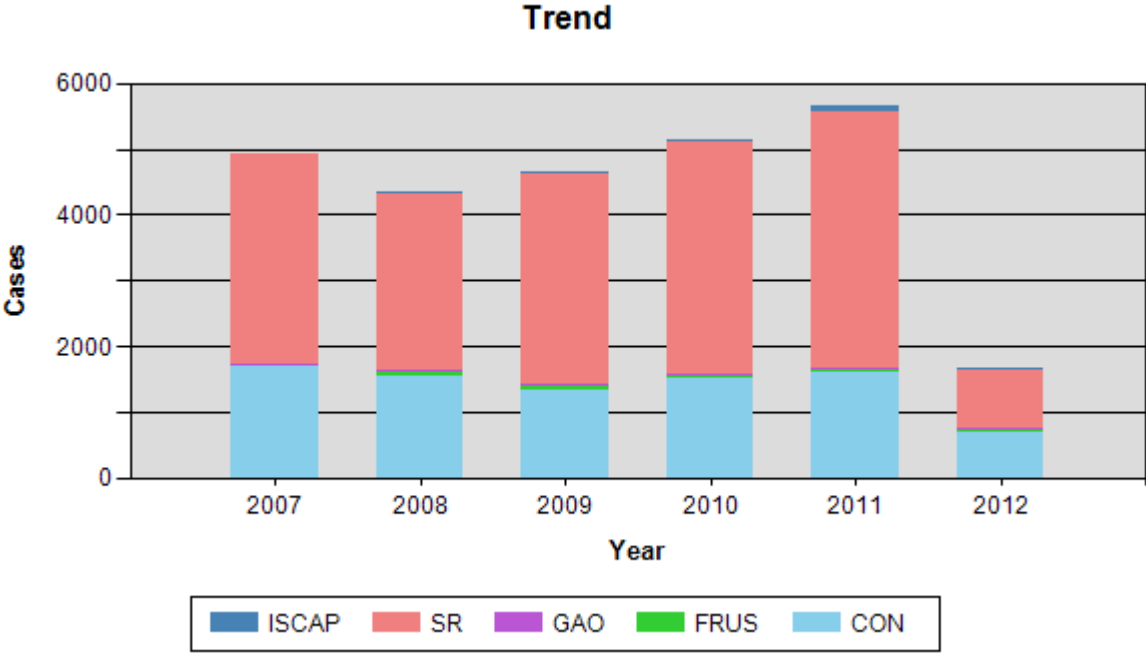
ISCAP=Interagency Security Classification Appeals Panel
SR=Security Review
GAO=Government Accountability Office
FRUS=Foreign Relations of the United States
CON=Congressional

    Between 2007 and 2012, 26,370 cases were completed. Of that, 8500 were Congressional cases; 17,500 were Security and Policy Review cases; 95 were ISCAP; 151 were GAO; and 119 were FRUS.

Office of the Secretary of Defense

Organization Reflects Presidentially-Appointed/Senate-Confirmed Officials plus five positions (*) who report directly to the Secretary of Defense   B22-06
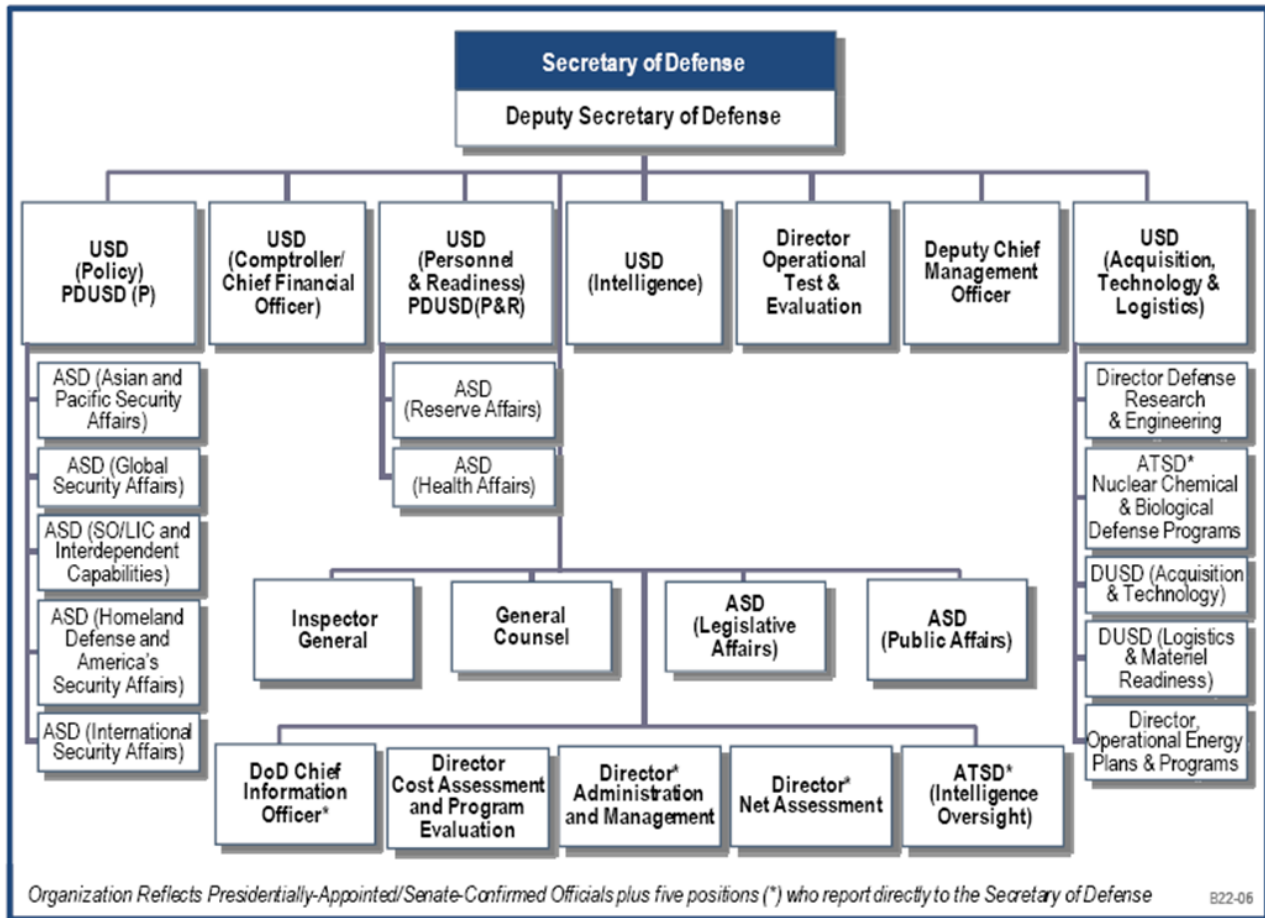
Supporting:

*   The Joint Staff

*   Combatant Commands

*   The Services (Army, Navy/Marine Corps & Air Force)

*   DoD Agencies

*   DoD Field Activities

Linkage for DoD Quadrennial Defense Review (QDR) Strategic Goals, DoD Strategic Management Plan Business Goals, and DA&M Strategic Goals

DoD QDR Strategic Goals – February 2010
1. Prevail in Today's Wars
2. Prevent and Deter conflict
3. Prepare to Defeat Adversaries & Succeed in a Wide Range of Contingencies
4. Preserve and Enhance the All-Volunteer Force
5. Reform the business and support functions of the Defense enterprise

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DoD Strategic Management Plan (SMP) Business Goals – September 2011
1. Strengthen and right-size the DoD total workforce
2. Strengthen DoD financial management
3. Build agile and secure information technology capabilities
4. Increase the buying power of the DoD
5. Increase operational and installation energy efficiency
6. Re-engineer/use end-to-end business processes
7. Create agile business operations that support contingency missions

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DA&M Strategic Goals – January 2012
1. DA&M delivers integrated support and services that are valued by customers and reflect best practices
2. DA&M operations are integrated, efficient and agile
3. DA&M systematically measures and analyzes performance to inform decision-making, promote efficiency, and enable transparency to all
4. DA&M attracts and retains a highly skilled, versatile, and motivated workforce that reflects diversity and is prepared to meet 21st Century challenges

DA&M strategic goals specifically link to:
- QDR Goal 5: Reform the business and support functions of the Defense enterprise
- DoD SMP Goals 1- 7

DA&M Vision

To be an essential mission partner and trusted advisor to the Secretary and Deputy Secretary of Defense and to deliver premier program management and oversight, security services, and support functions that enable uninterrupted operation of the DoD Headquarters.

DA&M Mission

The Director of Administration and Management (DA&M) has three broad missions in support of the Secretary and Deputy Secretary of Defense, the Office of the Secretary of Defense (OSD), tenants of the Pentagon Reservation, and specified Defense activities.

- Principal Staff Assistant and advisor to the Secretary and Deputy Secretary of Defense on specified organizational, management, and administrative matters.
- Administrative services agent in the National Capital Region and senior responsible official for the Pentagon Reservation; and
- Security, law enforcement, and emergency management provider for the Pentagon, and designated Department of Defense (DoD) facilities in the National Capital Region.

The DA&M exercises authority, direction, and control over the staffs and resources of ODA&M, Washington Headquarters Services and Pentagon Force Protection Agency and engages partners and stakeholders in its management, governance, services, and contingency and continuity of operations functions.

DA&M Strategic Goals

Goal #1: **Customer Focus**

- DA&M delivers integrated support and services that are valued by customers and reflect best practices

Goal #2: **Operations Focus**

- DA&M operations are integrated, efficient, and agile.

Goal #3: **Measurement, Analysis, and Knowledge Management**

- DA&M systematically measures and analyzes performance to inform decision-making, promote efficiency, and enable transparency to all.

Goal #4: **Workforce Focus**

- DA&M attracts and retains a highly-skilled, versatile, and motivated workforce that reflects diversity and is prepared to meet 21st Century challenges.

Reference: 2012-2017 DA&M Strategic Plan

OSR Linkage to the DA&M 2012-2017 Strategic Plan

The DA&M Strategic Plan is the central strategy document governing ODA&M elements and operational activities. As a part of the strategic planning process, the DA&M senior leadership officially adopted and endorsed the DA&M vision statement, values, and guiding principles as the core tenets for their respective organizations.

ODA&M elements and operational activities:

1. Must cascade DA&M mission, vision, values and guiding principles, goals, objectives, strategies, and Plans of Action and Milestones (POAMs) throughout their organization as the foundation for supporting business plans.

2. Must fully engage in accomplishment of the DA&M Strategic Plan and must not create additional DA&M mission-related goals, objectives, strategies, or POAMs.

3. May develop and deploy additional goals, objectives, strategies, or POAMs specific to the individual ODA&M element or operational activity.

The following pages show *the linkage* between the *OSR Operational Goals* and the previously described *DA&M Goals*.

OSR Operational Goals

Goal #1: Protect National Security Information and Ensure Accuracy of any DoD Policy Portrayal

Goal #2: Continuous Process Improvement

Goal #3: Quality Training

Goal #4: Stewardship & Performance Measurement

Goal #5: Support Chain of Command

OSR Operational Goals	DA&M Goals
Goal #1: Protect National Security Information and Ensure Accuracy of any DoD Policy Portrayal	**Goal #2: Operations Focus**
	2.1 Streamline, standardize, and improve key business processes
Strategic Objective: Protect information that may adversely affect National Security and ensure correct DoD Policy is used in official DoD reviewed documents	
Operational Goal: Using the DoD Security and Policy review process to ensure that no classified or controlled information is released to the public.	
Goal #2: Continuous Process Improvement	**Goal #1: Customer Focus**
	1.3 Continuously improve the customer experience
Strategic Objective: Viable and current Security and Policy Review process	
Operational Goal: Use continuous process improvement to refine the DoD Security and Policy review process to ensure a quality product and enhance customer service	
Goal #3: Quality Training	**Goal #4: Workforce Focus**
	4.3 Train, educate, and mentor the workforce to foster a performance-oriented culture
Strategic Objective: Trained, qualified, technologically and proficient team members	
Operational Goal: Institutionalize quality Individual Development Plans (IDPs) and Division development programs	

OSR Operational Goals	DA&M Goals
Goal #4: Stewardship & Performance Measurement	**Goal #3: Measurement, analysis, and knowledge management**
Strategic Objective: Maximize efficacy of funding expenditures while completing the mission	3.2 Maximize utilization of resources to meet authorized responsibilities and functions
Operational Goal: Ensure prudent fiscal restraints in funding expenditures	
Goal #5: Support Chain of Command	**Goal #2: Operations Focus**
Strategic Objective: Support the strategic vision, mission and goals that apply to OSR contained in the DA&M Strategic Plan	2.2 Increase collaboration and integration of services across DA&M, DoD, and interagency partners
Operational Goal: Conform work flow and actions to comply with any related strategic action items in the DA&M Strategic Plan	

Goal #1 - Protect National Security Information and Ensure Accuracy of any DoD Policy Portrayal

STRATEGIC OBJECTIVE: Protect information that may adversely affect National Security and ensure correct DoD Policy is used in official DoD reviewed documents

OPERATIONAL GOAL: Using the DoD Security and Policy review process to ensure that no classified or controlled information is inadvertently released to the public.

Outcomes	- No inadvertent disclosure of controlled information. - Classified information is protected. - The public has access to unclassified DoD information. - Ensure transparency in Congressional Oversight - Accurate portrayal of DoD policies - Better educated DoD
Strategies	- Leverage the established Security and Policy Review Process to ensure controlled DoD information and export controlled Technical Data is not released - Ensure all DoDD and DoDIs are current and reviewed to ensure processes are published -Encourage customer confidence in the OSR Process by providing timely and thorough reviews and hosting an annual conference
Performance Measures	- Report case backlog trend, timeliness, and issuance compliance - Identify areas for improvement in key processes (issuances/guides) - Collect/submit ideas to enhance data tracking application - Ensure immediate customer feedback upon request (AO & contact information per the DoDI) - Internal DoD outreach
External Factors	- Extra Departmental Executive Branch support (i.e. CIA PRB, NASA, ODNI, RAND, etc.) - Keep abreast of industry changes regarding export control - Support Departmental related functions (i.e. FOIA, MDR, etc.)

 - DoD June 25, 2010 *Open Government Plan*: "It is DoD policy to make available timely and accurate information so that the public, the Congress, and the news media may assess and understand the facts about national security and defense strategy…Information shall be made fully and readily available, consistent with statutory requirements, unless its release is precluded by national security constraints or valid statutory mandates or exceptions."

 - Presidential Memorandum on *Transparency and Open Government*: "My Administration is committed to creating an unprecedented level of openness in Government....Openness will strengthen our democracy and promote efficiency and effectiveness in Government...My Administration will take appropriate action, consistent with law and policy, to disclose information rapidly in forms that the public can readily find and use...put information about their operations and decisions online and readily available to the public."

Goal #2 – Continuous Process Improvement

STRATEGIC OBJECTIVE: Viable and current Security and Policy Review process

OPERATIONAL GOAL: Use continuous process improvement to refine the DoD Security and Policy Review process to ensure a quality product and enhance customer service

Outcomes
- Prompt, accurate, and complete responses to requestors
- Build stronger partnerships with our "subject matter" experts supporting our review process (both inside and outside DoD)
- Increase collaboration within the Division
- Published OSR Tactical Plan
- Current POC list of internal and external customers

Strategies
- Communicate concisely and timely with our requesters
- Identify, assess, and prioritize customer requirements and expectations
- Revalidate POC list of internal and external customers
- Develop an OSR Tactical Plan outlining Branch Chief requirements and accomplishments
- Use existing and new network resources to increase collaboration and develop a Collateral Duties list
- Review performance of all major reviewing organizations both internal and external

Performance Measures
- Track office as a whole for completion dates as an indicator
- Track Action Officer's case completion and backlog cases
- Identify areas for improvement in key processes(Gap Analysis)
- Provide interim updates and perform major POC list review every six months
- Quarterly use metric feature of SRTA to identify low performing reviewing organizations
- Develop monthly milestones to support the OSR Tactical Plan and reviewed quarterly at Branch Chief meetings
- Electronically store completed cases for archival purposes
- Use network resources to post working documents for increased collaboration

External Factors
- DA&M, WHS, and ESD priorities will drive the OSR process timelines
- The speed with which OSR responds is proportional to the speed of the reviews by offices outside of OSR
- eITSD ensures database is available and protected

Goal #3 - Quality Training

STRATEGIC OBJECTIVE: Trained, qualified, & technologically proficient team members

OPERATIONAL GOAL: Institutionalize quality Individual Development Plans (IDPs) and Division development programs

Outcomes
- Highly trained staff
- Accurate Division level budget input
- Accurate training database
- Trained workforce
- Timely and thorough security and policy reviews
- Use IT network for training

Strategies
- Institute a quality individual and team development program
- Each individual attends training events each year
- Keep OSR action officers periodically engaged in formal and/or informal training related to improving individual knowledge on specific, directly applicable subject areas
- Improve team building and process improvement
- Supervisors work with individuals to develop IDPs
- Use network drive to host the interactive training plan
- Develop a training continuum to support a succession plan

Performance Measures
- Supervisor and employee annually formalize IDP within 30 days of start of Annual Appraisal Period
- Identify areas for improvement in key processes(Gap Analysis)
- Per each branch member's IDP, request two annual (minimum) training events (1 major/1 minor)
- Create/update shared network folder hosting the interactive Division training plan/course listings

External Factors
- Availability of training funding
- Training courses availability

Goal #4 - Stewardship & Performance Measurement

STRATEGIC OBJECTIVE: Maximize efficacy of funding expenditures while completing the mission

OPERATIONAL GOAL: Ensure prudent fiscal restraints in funding expenditures

Outcomes
- Complete all annual Division requirements with minimal funding
- Increase formal fiscal accountability and collaboration
- Fund currently unfunded requirements
- Properly resourced Division

Strategies
- Continue to streamline work flow processes to minimize expenditures
- Use "out of the box" thinking to identify no and low cost training opportunities and minimize use of other resources
- Submit lowest cost training requirements
- Adequately staffed to perform the Division's mission
- Identify and validate Unfunded Requests (UFRs)
- Resource Manager oversee POM and UFR submissions

Performance Measures
- Exam OSR fiscal plan annually deleting excess waste justifying mission expenditures
- Identify areas for improvement in key processes(Gap Analysis)
- Assign a Resource Manager to organize the OSR budget and formally track expenditures. Provide a monthly report to the Division Chief.
- Resource Manager shall contact HRD monthly for pre-funded training courses listing and share, if applicable
- Resource Manager shall annually submit the POM and UFR list through the chain of command

External Factors
- Training funding from outside chain of command (HR, OPM, etc.)
- DoD budget cuts/constraints
- 2013 Sequestration
- Future BRAC Potential

Goal #5 - Support Chain of Command

STRATEGIC OBJECTIVE: Support the strategic vision, mission and goals that apply to OSR contained in the DA&M Strategic Plan

OPERATIONAL GOAL: Conform work flow and actions to comply with any related strategic action items in the DA&M Strategic Plan

Outcomes	- Support of the DA&M strategic Plan by publishing a specific OSR Strategic Plan
Strategies	- Analyze work flow and conform with any related strategic action items in our chain of command/authority - Review DA&M plan noting OSR action items - Implement the Tactical Plan Achievement Tracking (TPAT) Worksheet to achieve the OSR Strategic Plan milestones
Performance Measures	- Publish OSR Strategic Plan NLT FY 2013 - Publish OSR TPAT with sub-objectives/milestones & target dates NLT the end of CY 2012 - Identify areas for improvement in key processes(Gap Analysis) - Branch Chiefs update TPAT monthly; brief Branch Chiefs quarterly; Annual results to Division Chief - Improve metrics analysis capabilities and utilization via SRTA
External Factors	- Annually review any newly published DA&M Strategic Plans and guidance - Address ESD and WHS Strategic Plans, if published

"There is no limit to the amount of good you can do if you don't care who gets the credit."

- Ronald Reagan