DOE F 5639.3
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Omb Control No.
1910-1800

U.S DEPARTMENT OF ENERGY

REPORT OF SECURITY INCIDENT/INFRACTION

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PERSONNEL SECURITY

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Part I - NOTIFICATION OF SECURITY INCIDENT

Part I. To be completed by the Security office conducting the preliminary inquiry.

1. Organization in which incident occurred	2. Date of Incident:
National & Homeland Security Directorate (D620)	December 2008

3. Nature of incident:

Unattended Classified Document (IMI 2.6)

4. Classification level of information involved:	5. Category of Information involved:	6. Identify other caveats of information involved:
Confidential ☐ Secret ☑ Top Secret ☐	Restricted Data ☐ Formerly Restricted Data ☐ National Security Information ☑	NA

7. Details of incident:

During December 2008, an INL Employee found a Secret/NSI document in discarded file folders that were taken to an INL Excess Property Warehouse. The box of file folders was traced back to the National & Homeland Security Directorate organization. The box of files was excessed in October 2007. The document was traced back to legacy program files belonging to a specific INL Employee.

Further investigation indicated the specific INL employee retired in May 2007 and Special Programs Personnel initiated a clean-up of the former employee's files and office area in preparation for an audit. Various legacy documents were targeted for destruction. Various documents were removed from hanging file folders in the safe(s) and placed in burn boxes or shredded. Initially, some empty hanging file folders were left in the safe(s) and other hanging files were destroyed. Soon thereafter, an additional INL Special Programs Employee excessed approximately six safes. During the process of excessing the safe(s), hanging file folders were removed and boxed up. These boxes of hanging file folders were then given to Administrative Staff for future use by other persons and/or to be sent to INL excess.

No Security Infraction is charged in this incident due to inconclusive evidence available during the Inquiry.

8. Name, title, and organization of the individual reporting the security incident:	9. Signature:	10. Date:
[redacted], Org. J331 Security Investigator	[redacted]	3/19/08

Distribution: [redacted]

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May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category:
2, circumvention of statute and 6, privacy act information Department of Energy review required before public release
Name/Org: [redacted], S&S Program Management Date: 3/03/09 Guidance (if applicable): CG-SS-4

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Part II - NOTIFICATION OF SECURITY INCIDENT

To be completed by the Office in which incident occurred/originated and return within 5 days to the Cognizant Security Office of the individual receiving infraction.

1. Reason or cause for incident:

See attached,

2. Name and title of person responsible for incident: [redacted], BEA Staff, MS 3520	3. NE ID Clearance Number: ID 062254	4. Number of infractions incurred in the last 12 months:
5. Signature of individual responsible for incident: Per attached, I was not responsible for incident. [redacted]		6. Date: 3-10-09

7. Corrective action taken, to include disciplinary action, if applicable.

- We have conducted additional security training and are currently operating under a Hightened Awareness of our security responsibilities.
- There will be NO disciplinary action initiated from me.
- Employee is concerned about lack of evidence that would ~~contribute~~ result in an infraction and I agree.
- I explained that he will have an opportunity to rebuttle if given an infraction.
- I have heard the term "witch hunt" from several members of my department and I have explained the appropriate HR Grievence process to them.
- I, probably more than any other manager, hold my folks accountable for their performance. I do not feel that I can conclude that any one individual did anything wrong. I have no proof!

8. Name and title of Office Director:	9. Signature:	10. Date:
Mark Siciliano D620 DM	[signature]	3/20/2009

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May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category:
2, circumvention of statute and 6, privacy act information Department of Energy review required before public release
Name/Org: Michael Colson, S&S Program Management Date: 3/03/09 Guidance (if applicable): CG-SS-4

09-03-10

[redacted]

An individual at some point carried a box containing the hanging folders out of an open storage room that had 15+ people on the door. As was discussed during interviews and shown to the interviewer, two remaining boxes still being stored from my involvement in processing documents to be shredded, all tabs were being removed from all hanging folders if they were going to be kept and all documents removed from within the hanging folders. Folder label tabs and documents were placed into plastic bags which were then placed into boxes. At the time during clean out activities with my involvement, there was a second person helping during this process to ensure proper handling and disposition of classified materials. I am positive that of the 15+ people that had access to the container from which the box was taken out, it could not have been me that carried the sensitive material out of the container and placed it into the excess processing system.

[redacted]

3-10-09

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