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:
I had no knowledge of the incident other than what I was told from the investigator [redacted] I did not excess any files, nor did I partake in the clean-up of the "former employee's files." Furthermore, I moved out of this vault in February 2007, three and one half months before the retirement

2. Name and title of person responsible for incident: Daniel J. Prentice, S#105714, BEA Staff, MS 3520	3. NE ID Clearance Number: AB 23543	4. Number of infractions incurred in the last 12 months:

5. Signature of individual responsible for incident: I was not responsible for the incident. [redacted]	6. Date: 3/4/09

7. Corrective action taken, to include disciplinary action, if applicable.
I DO NOT Believe [redacted] IS Responsible For this INCIDENT therefore I will NOT pursue ANY DISCIPLINARY ACTION. Further more, From The INFORMATION I HAVE regarding this INCIDENT, There APPEARS to be A lack of objective proof THAT would INDICATE [redacted] WAS RESPONSIBLE ~~For this INCIDENT~~. Employee HAS verbalized his CONCERNS to me AND I COUNSELED him ON his options through Employee CONCERNS AND The HR Grevience Process. I DO NOT recommend [redacted] receive AN INFRACTION. AS FAR AS Corrective ACTION, we HAVE CONDUCTED TRAINING ON SECURITY ISSUES to INCLUDE DISPOSAL, SAFEGUARDING, Prohibited items As well AS CONDUCTED CLEANOUTS OF UNNECESSARY CLASSIFIED MATERIAL to INCLUDE checks & BALANCES OF The Destruction OF INFORMATION.

8. Name and title of Office Director: MARK SICILIANO DG20	9. Signature: [redacted]	10. Date: 3/4/09

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Name/Org: [redacted], S&S Program Management Date: 3/03/09 Guidance (if applicable): CG-SS-4