

SAMPLE OF Internal AI report with
No Compromise, Loss or Suspected Compromise

ABC, INC. LETTERHEAD

Date of Report: June 10, 2015

Name of Facility: ABC, Inc.

CAGE Code: 1LTY7

Address: 1234 Edward Street
Hampton, VA 23465

FCL Level: Secret

Level of Facility Safeguarding: Secret

SUBJECT: Security Violation that occurred on June 8, 2015 by cleared employee, Mr. Thomas A. Johnson, SSN: XXX-XX-7016, DOB: 5/12/1956, POB: Quincy, MA, Secret Clearance.

Authority: As Facility Security Officer (FSO) of this cleared company, a security violation was reported to my office on June 8, 2015, regarding the improper protection of classified information by cleared employee Mr. Thomas A. Johnson. Based on my authority as FSO and reporting requirements of the NISPOM (paragraph 1-303), this inquiry was conducted to ascertain if classified information had been lost, compromised, or suspected compromised.

Essential Facts: On June 8, 2015, Mr. Johnson, electrical engineer, advised that he came to work around 6:00am as usual, and began his work on the XYZ Submarine Program. Mr. Johnson advised that he opened the #7 GSA Container to obtain a classified file; however, he indicated that while opening the container, he all of sudden had to go to the restroom. Mr. Johnson indicated that he has problems unlocking the GSA container, so he decided that he did not want to lock the container because he was only going to the bathroom and returning back to the GSA container. Mr. Johnson reported that he closed the container without spinning the XO-9, and he was fully aware no other employees would show up to work til approximately 7:30am/8:00am as usual. He advised that he grabbed his newspaper and went to the bathroom.

Around 6:45am, Ms. Sally Bee, mechanical engineer, entered the facility and noticed that Mr. Johnson's lunch box was on his desk, but he was not around. Ms. Bee indicated that she went by the GSA container and noticed it was unlocked. Upon this discovery, Mr. Johnson returned from the restroom (6:55am), and was confronted at the GSA container by Ms. Bee. Ms. Bee advised Mr. Johnson that they both just recently had a security briefing on locking GSA containers when no one has custody of the container. Mr. Johnson told Ms. Bee he had to go to the bathroom so bad and that he was only gone a few minutes. He also told Ms. Bee that he has trouble opening the X0-9; therefore, he felt it would be easier to simply leave it unlocked just for a couple of minutes.

This incident was reported by Ms. Bee to the Facility Security Officer (FSO) around 9:00am. This incident appears to be in violation of (NISPOM paragraph 5-100).

Classified Information Involved:

- Unclassified Title: Class A Frequencies on US Submarines
- Form: Binders and CDs
- Originator: Unknown
- Prime Contract Number: N00063-0008-D-2047
- Procurement Activity: Unknown
- Contracting Officer: Mr. Kevin Downs, phone: (757) 855-6000, kevin.downs@dod.mil
- Prime Contractor or Subcontractor: Not Applicable
- Level of Classification: Secret
- Special Access Category: Not Applicable

Government Contracting Activity (GCA):

- XYZ Command
- Mr. Samuel White, Command Security Manager
- 3545 Ship Avenue, Norfolk, VA 234508
- (757) 855-6007 or Samuel.white@navy.mil

Corrective Actions: Mr. Johnson admitted that he was fully aware of his actions, company policy and NISPOM requirements, and that he should have locked the GSA container upon going to the restroom. It was determined that no one entered the facility until Ms. Bee arrived, and an inventory of the classified holdings disclosed no discrepancies or accountability issues. Since this was Mr. Johnson's first security offense, and he has been an employee of the company for over 30 years, he was given a verbal warning using the company's graduated scale of disciplinary action. He was also re-briefed on the requirements of safeguarding classified information and required to complete the CDSE course on Safeguarding Classified Information.

Conclusions: It was concluded during this inquiry that no loss, compromise, or suspected compromise occurred during this incident. The inquiry disclosed that Mr. Johnson simply used poor judgment in not following company policy and NISPOM requirements on the protection of classified information. This incident is considered **NO COMPROMISE**.

Determination of Culpability: It was determined that Mr. Johnson was fully culpable for this incident, and although no compromise occurred, this was reported in JPAS as a report incident on June 10, 2015.

No report will be sent to the local DSS office as it was not required based on the results of this inquiry.

Jonathan A. Johnson
Facility Security Officer
ABC, Inc.