

REPORT OF ADMINISTRATIVE INQUIRY

1. BASIS FOR INQUIRY. A brief resume of the violation which is the subject to the administrative inquiry, dealing with such matters as:
 - a. Who reported the violation; when was it reported; and to whom was it reported?
 - b. What is alleged to have happened and when did it allegedly happen?
 - c. What classified information was involved? (Attach a list of documents, if appropriate).
 - d. Who are the originators of the documents involved?
 - e. What actions were taken to protect the national security before the inquiry began, and when and by whom were they taken (inventories, security of documents, changing of lock combinations, or other)?
 2. ACTIONS TAKEN IN CONNECTION WITH THE INQUIRY. A summary of such action as:
 - a. Names and titles of persons interviewed.
 - b. Inspection of storage equipment, records, etc.
 - c. Review of security procedures (to determine whether violation occurred because of ambiguously worded instructions, failure to assign responsibilities clearly and unequivocally, or lack of adequate security procedures which might have prevented the incident).
 - d. Any other techniques used to determine facts.
 3. FACTS. A full account of all information developed during inquiry, including such matters as:
 - a. When, for how long, and under what circumstances was classified information vulnerable to unauthorized disclosure?
 - b. Are any documents lost or unaccounted for?
 - c. What was the classification designation of the information involved?
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Appendix 4

- d. Who appears to be responsible for the matter being reported?
 - e. Were local security regulations complied with?
 - 4. DISCUSSION. This paragraph may be used to explain apparent discrepancies in facts (paragraph 3) or to provide a basis for the approving authority's evaluation of the validity of the reporting official's conclusion (paragraph 5).
 - 5. CONCLUSION. All reports of administrative inquiry must contain conclusions responsive to the following questions:
 - a. Are classified documents lost or otherwise unaccounted for?
 - b. Did compromise occur? (If it is impossible to state this conclusion positively, are the probabilities that compromise occurred remote, or is compromise probable?)
 - c. Who admits responsibility? (If it is not possible to assign individual responsibility, and the facts show that a supervisory official allowed conditions to exist which led to the incident, responsibility should be placed on that official. If the person who appears to be responsible refuses to admit his or her responsibility, see paragraph 6 below).
 - d. Are local security regulations adequate? (If properly followed, would they have precluded the violation?)
 - 6. RECOMMENDATIONS. Depending upon the conclusions recorded in paragraph 5 of the report, the recommendations will be made as indicated below:
 - a. If it is concluded that classified documents are lost or otherwise unaccounted for, or that compromise occurred or probably occurred, it will be recommended that:
 - (1) Immediate report of (probability) (possibility) of compromise be made to the originator(s) of the document(s).
 - (2) The Assistant Inspector General for Investigation conduct formal investigation of this incident.
 - * (3) The individual responsible for the unauthorized disclosure be denied further access to classified information. *
 - b. If it is concluded that compromise did not occur, or that the possibility of compromise is remote, it normally will be recommended that:
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- (1) The violation be considered to be of an administrative nature with no reasonable danger of compromise.
 - (2) No further investigation be made of this incident.
- c. If a person who appears to be responsible for a security violation of an administrative nature refuses to admit his or her responsibility, the recommendation indicated in paragraph 6a(2) above normally will be made in order to resolve the question of responsibility as a basis for disciplinary or other action.
- d. Other optional recommendations may be made, as appropriate, to include, among other:
- (1) That disciplinary action be taken against the person responsible for the violation.
 - (2) That security procedures be improved or changed.

(Signature and Title of
Individual Conducting
the Inquiry)