Reports of Loss, Compromise and Suspected Compromise of Classified Information

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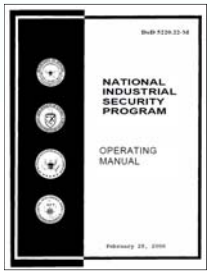
NISPOM Reporting Requirements

NISPOM
Paragraph 1-303 (a,b,c)

- Preliminary Report
- Initial Report
- Final Report

- Administrative Inquiry Process Job Aid for Industry



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Definitions…

- Loss
- Compromise
- Suspected compromise

OR

- Material was NOT subject to loss, compromise, or suspected compromise

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Poll 1 – Scenario 1

- Thursday night a cleared employee was in a hurry to leave and did not pay strict attention to closing and locking the GSA approved container in their office.
- When they came in Friday morning, they noticed the container door slightly ajar and immediately notified their FSO.
- As an FSO, what do you do next?

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Next Steps

- Safeguard materials
- Conduct a preliminary inquiry

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Poll 2

- What is the purpose of a preliminary inquiry?

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Preliminary Inquiry

- Quickly gather facts
- Determine the circumstance
- Reach a conclusion

Initiated immediately upon receipt of report of violation

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Possible Conclusions

- Loss
- Compromise
- Suspected compromise

OR

- Material was NOT subject to loss, compromise, or suspected compromise

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Poll 3 - Next steps?

- The preliminary investigation revealed that there was no loss, compromise or suspected compromise.
- Now what?

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Conclusion - No Loss or No Compromise

- Preliminary investigation report can be finalized and filed by FSO
- Not required to be reported to CSA(DSS)
- Available for review by DSS at next security vulnerability assessment

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Poll 4 – Next steps?

- If there **was** a loss, compromise or suspected compromise
- Now what?

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Loss, Compromise or Suspected Compromise

- Document the findings in an initial report
- Promptly provide to your IS Rep
- If on government installation also send to head of host's installation

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Initial Report

- Describe the circumstances (5 W's + H)
- Identify what classified information was involved
- Notify the CSA

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Importance of an Initial Report

- Describes circumstances
- Outlines investigation of security violation
- Provides record of events
- Informs senior management
- Ensures all steps completed and in a timely manner

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Poll 5

What is the timeline for making the initial report?

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Initial Report

- Top Secret - 24 hours*
- Secret/Confidential - 72 hours*

*General Guidance

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Final Report

- Contains all material and relevant information
  - Identity of individual responsible for violation
  - Corrective actions taken
  - Disciplinary actions taken
  - Specific reasons for reaching conclusion
- Submitted to the CSA

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Final Report - Corrective Actions

- Includes disciplinary actions taken against the individual(s)
- Actions that were initiated or taken by the facility to secure the information
- Any follow-up action that was taken
- Need for additional security training
- Description of graduated scale of disciplinary actions

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Final Report - Conclusions

- Final determination must be provided by the FSO
- Exceptions to the rule
- Description of the vulnerability
- Description of unauthorized access

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Poll 6

- What is the timeline for making the final report?

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Final Report

- Top Secret - 15 days of discovery*
- Secret/Confidential - 15 days of discovery*

*General Guidance

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Culpability Notification

- Required by NISPOM (1-304)
- What is culpability?
  - Deliberate disregard
  - Gross negligence
  - Pattern or negligence or carelessness

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Poll 7

What are some possible consequences of not reporting?

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Potential Consequences of Not Reporting

- Leaves company/organization vulnerable
- May hide weakness within the company/ organization
- May prevent a thorough investigation
- Places the classified information at risk
- May put the facility clearance at risk

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Most importantly…..

Possible consequences of not reporting are…

- Could cause damage to national security
- Puts service member in harms way

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Summary

- Defined Loss, Compromise, Suspected Compromise, and No Compromise
- Referred to NISPOM 1-303 and IA Process Job Aid
- Followed basic process from Discovery through Final report

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THANKS FOR ATTENDING

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