PRELIMINARY REPORT OF INQUIRY

Date

SUBJECT: Preliminary Inquiry into Security Violation – (Date of Violation)

THRU: (Appointing Officer)

TO: Local SCI Security Official

1. Investigating Officer. Name and organization of the investigating officer.
2. Authority. Refer to all appointment memoranda and attach as an enclosure.
3. Matters Investigated. A general statement as to the nature and circumstances of the violation to include a description of the classified material involved.
4. Facts. A brief listing of all pertinent facts pertaining to the violation. Enclose a copy of the violation report, sworn statements, documentary evidence, exhibits, and so forth, as appropriate.
5. Discussion. A brief discussion of the inquiry to include identification of persons interviewed, investigative techniques used (if appropriate), rationale used to reach conclusion, and any other information which is needed for a reviewer to understand the basis for the conclusions and recommendations.
6. Conclusions. A statement as to the conclusions reached. Must include comments as to possibility of compromise and provide the investigator’s best judgment regarding the identity of the person(s) responsible for the violation.
7. Recommendation. A statement about procedural or administrative changes that should be made to preclude further violations. If none are required, it should be so stated. No statement should be made by the investigating officer with regard to punitive action against the individual(s) responsible for the violation. An investigating officer’s function is to determine and report facts and make recommendations for actions needed to prevent future violations of the type investigated. Disciplinary or punitive action is the responsibility of the appropriate management official, and comments pertaining to such action shall appear in the supervisor’s endorsements.