



# INVESTIGATIVE PLAN

|           |                             |                     |                       |
|-----------|-----------------------------|---------------------|-----------------------|
| IOSC #:   | Y21-061                     | Date/Time Reported: | 1/28/21, 2021         |
| Event:    | Unauthorized UAS Overflight | Responsible Org:    | Y-12 Unassigned       |
| Employee: | NA                          | AIS #:              | NA                    |
| Badge #:  | NA                          | SSTARS #:           | NA                    |
| Category: | A-MI                        | SSIMS #:            | NA NPOY1201/2021-0004 |

| PEOPLE TO CONTACT        |   | ADMINISTRATIVE ACTIONS                   |  |  |
|--------------------------|---|--|--|--|
| <input type="checkbox"/> |   | Entered in IOSC Database?                | <input checked="" type="checkbox"/> Yes                  | <input type="checkbox"/> No <input type="checkbox"/> N/A |
| <input type="checkbox"/> |   | Categorized (Date/Time)                  | 2/1/21   |  |
| <input type="checkbox"/> |   | Notification Sent (Date/Time)            | 2/2/21 (SSIMS)   |  |
| <input type="checkbox"/> |   | Infraction?                              | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A                  |
| <input type="checkbox"/> |   | Suspense Date (if applicable)            | NA   |  |
| <input type="checkbox"/> |   | Infraction Returned (Date)               | NA   |  |
| <input type="checkbox"/> |   | Closed in Database (Date)                | 2/02/2021  |  |
|                          |   | Final Report Completed and Sent (Date)   | 2/02/2021  |  |
| <input type="checkbox"/> | Submit to IMB: NA                                   | Referral to CMPC?                        | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A                  |
| <input type="checkbox"/> | IOSC Database Check: NA                             | Report Infraction to Personnel Security? | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input checked="" type="checkbox"/> N/A                  |
| <input type="checkbox"/> | HRP Status: NA                                      | NOTIFICATIONS                            |  |  |
| <input type="checkbox"/> | Notification to Cyber (for classified spillage): NA | Organization                             | Date   | Time   |
| <input type="checkbox"/> | Reminder of Classification Implications: NA         |  |  |  |
| <input type="checkbox"/> | HPI Precursor Form: NA                              |  |  |  |

This inquiry, and the information contained herein, are marked at the overall highest classification and category of the inquiry, in accordance with Y19-203. If pages are removed, and new documents created, those documents must be reviewed by a Derivative Classifier

~~Official Use Only~~  
 May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category: 7, LAW ENFORCEMENT  
 Department of Energy review required before public release.  
 Name/Org: (b)(6) IOSC Date: 2/05/2021  
 Guidance (if applicable): NOT APPLICABLE

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UNITED STATES DEPARTMENT OF ENERGY  
Safeguards & Security Information Management System  
Security Incident Notification Report

February 2, 2021  
Page: 2  
NPOY12-01/2021-0004  
Closed Notification

Incident Number: NPOY12-01/2021-0004  
Status: Closed Notification  
Local Tracking Number: Y21-061  
Facility Code: 578  
Discovery Date and Time: 01/28/2021 8:21 PM Time Zone: ET  
Facility/Location of Incident: Y-12 National Security Complex  
BEAR CREEK ROAD  
OAK RIDGE, TN 37830

Cognizant Security Office: NPOY12  
Program Secretarial Office: NA

**Brief Description of the Incident:**

On 1/28/21, at 2021 hours, a Y-12 NSC employee reported seeing an Unmanned Aerial System (UAS) flying over the site. After establishing Protective Force response procedures, the UAS was spotted moving west to east across the site at an estimated altitude of 250 to 300 feet above ground level. It had green and red lights. The UAS appeared to be a fixed-wing craft, described as shaped like an airplane. The UAS left the area in a southward direction.

The FAA and DOE have directed that UAS flights be restricted over DOE facilities for national security reasons. Local law enforcement, the FBI, and the Oak Ridge Office of the Inspector General have been notified.

Incident Category: Category A  
Topical Area Code: PMS  
Incident Type: Suspicious Activity  
Interest Type: MI

Incidents determined or suspected to be apparent surveillance of facilities or operations (studying, photographing, low over-flights, outsiders questioning employees to include protective force, unusual calls for information, etc.).

Management Interest Notification Date: 01/29/2021

Incident has or may result in increased Media Attention (Describe)

Incident has association with Foreign Nationals

Classification Level of Matter Involved  Top Secret  Secret  Confidential  
Category of Matter Involved  Restricted Data  Formerly Restricted Data  National Security Information  
Applicable Identifier(s)  WFO  SAP  FGI  OGA  WD **Sigmas**  
 SCI  Naval Nuclear Propulsion Information  
 Controlled Unclassified Information  
 No Foreign Dissemination  
Form(s) of the Information  Electric Storage Media  Internet  
 E-Mail  Inside Firewall  Visual  
 Outside Firewall  Multimedia  
 Facsimile  Discussion (Audio/Verbal)  
 Hard Copy  Other (Describe)

Notification Point of Contact  
(b)(6)

(b)(6)

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UNITED STATES DEPARTMENT OF ENERGY  
Safeguards & Security Information Management System  
Security Incident Notification Report

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0004  
Closed Notification

\_\_\_\_\_  
Name

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Secure Fax

Notification Classification Official

(b)(6)

\_\_\_\_\_  
Name

(b)(6)

\_\_\_\_\_  
Phone

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(b)(6)

**From:** (b)(6)  
**Sent:** Tuesday, February 2, 2021 2:04 PM  
**To:** (b)(6)  
**Subject:** FW: RE: [External] Y-12 UAS Overflight

(b)(6)

**From:** (b)(6)  
**Sent:** Tuesday, February 02, 2021 1:03 PM  
**To:** (b)(6) @nnsa.doe.gov>  
**Subject:** OUO: RE: [External] Y-12 UAS Overflight

~~NOTICE: This message contains OFFICIAL USE ONLY (OUO) information.~~

Hi (b)(6)

My apologies. The past few days have been a whirlwind. See below the info on the 1/28 UAS. Also, I have included another incident that occurred the same evening while the Protective Force was dealing with the UAS. Give me a call if you want to discuss.

I have the video of all the UAS events form the past few days. Poor quality at best, but you are welcome to stop by to view.

(b)(7)(E)

**Subject: Y-12 National Security Complex – Unmanned Aerial System (UAS) Overflight**

**Issue:** On 1/28/2021, at 2021 hours, Y-12 National Security Complex (NSC) Protective Force (PF) reported an Unmanned Aerial System (UAS) overflight.

**Context:** On Thursday Evening, 1/28/2021, at 2021 hours, a Y-12 NSC employee reported a UAS over the east end of the Y-12 site. After establishing PF response procedures, the UAS was moving west to east (from the Highly Enriched Uranium Processing Facility) at an altitude estimated to be from 250 ft. to 300 ft. above ground level with green and red lights. (b)(7)(E)

(b)(7)(E) The UAS left the area, turning south over the site's south ridge.

**Significance:** The Federal Aviation Administration and the Department of Energy (DOE) in December 2017, directed that drone flights be restricted over all DOE facilities for the welfare of national security. These restrictions include nuclear assembly facilities, laboratories, and research centers.

**Path Forward:** (b)(7)(E)  
(b)(7)(E)

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**Subject: Y-12 National Security Complex (NSC) – Failure to stop at Y-12 entry checkpoint**

**Issue:** A delivery truck driver became lost and illegally entered the site after he failed to stop at the Y-12 Main Entrance checkpoint (Checkpoint 23)

**Context:** On January 28, at around 2030, a white box truck drove around the checkpoint through the exit lanes at the Y-12 main entrance and continued on into the site without stopping. (b)(7)(E)  
(b)(7)(E) The driver, who spoke very little English, produced a New York state driver license and a bill of lading showing he was making a delivery to an offsite contractor approximately three miles away.

(b)(7)(E)

The vehicle was inspected for both explosives and narcotics with negative results.

**Significance:** As the vehicle crossed the 229 boundary, the driver failed to comply with instructions in accordance with Y-12 Site and Protective Force procedures. This violated section 229 of the Atomic Energy Act of 1954, as implemented by 10 CFR Part 860, which prohibits unauthorized entry to DOE installations.

**Path Forward:** (b)(7)(E)

(b)(6)

**From:** (b)(6) @nnsa.doe.gov>

**Sent:** Tuesday, February 02, 2021 11:50 AM

**To:** (b)(6) @cns.doe.gov>

**Subject:** [External] Y-12 UAS Overflight

Good Morning (b)(6)

I first want to pass along (b)(6) appreciation of the communication regarding the UAS incidents on January 20<sup>th</sup> and 21<sup>st</sup>. It's something he's interested in and also reminds our agents they need to be aware of threats/surveillance overhead as well as on the ground.

This morning I received a report from the Nightly Notes regarding another UAS overflight on January 28<sup>th</sup>. I was wondering if you had any further details and if there was any information regarding whether or not any of the overflights were near AOEC. If there is any way I could get a copy of or take a look at the surveillance video footage of the first incident I would greatly appreciate it, I would like to be able to provide a little bit of training for my agents.

Thank you in advance for any assistance you can provide, and as always, if there's anything I can do to assist you please let me know. Have a lovely day!

(b)(6)

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Regards,

(b)(6)

Contractor

Desk: (b)(6)

Cell:

Email: (b)(6) [@nnsa.doe.gov](mailto:(b)(6)@nnsa.doe.gov)

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Incident of Security Concern (IOSC)  
**INVESTIGATIVE ACTIVITY SUMMARY**

| TIME, DATE, AND INVESTIGATOR | SUMMARY OF INVESTIGATIVE ACTIVITY   |
|------------------------------|---|
| 2021, 1/28/21                | <p>A Y-12 employee (not identified by Protective Force) reported sighting a "drone" over the east end of the site. (b)(7)(E)</p> <p>(b)(7)(E) It was described as being shaped like an airplane. Approximately six minutes later, a Pro Force patrol reported spotting the UAS above the Jack Case Center. Between 2025 and 2042, the UAS was spotted flying over the site headed west to east, and again headed north to south. The UAS disappeared above the south ridge tree line around 2041, but one minute later was reported above the water towers near the north ridge. Pro Force scanned both ridges for possible operators with no results.</p> <p>The UAS was described as large, fixed wing (shaped like an airplane), with red and green lights. It was not spotted over the site after 2042.</p> |

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(b)(6)

**To:** (b)(6)  
**Subject:** (U) Draft Night Note Unmanned Aerial System (UAS) Overflight

NOTICE: This message has been reviewed by a Y-12 DC/RO and is determined to be UNCLASSIFIED and contains no UCNI.  
This review does not constitute clearance for Public Release.

**Subject: Y-12 National Security Complex – Unmanned Aerial System (UAS) Overflight**

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**Significance:** The Federal Aviation Administration and the Department of Energy (DOE) in December 2017, directed that drone flights be restricted over all DOE facilities for the welfare of national security. These restrictions include nuclear assembly facilities, laboratories, and research centers.

**Path Forward:** (b)(7)(E)  
(b)(7)(E)

(b)(6)

Y-12 National Security Complex  
Contractor to the U.S. Department of Energy  
(b)(6) @cns.doe.gov  
(b)(6) @cns.doe.gov  
(b)(6) office)  
(b)(6) cell)



**UNCLASSIFIED**

This document has been reviewed by a Y-12 DC/RO and has determined to be UNCLASSIFIED and containing no UCNI.  
This review does not constitute clearance for Public Release.  
Name: (b)(6) IOSC Date: 2/01/2021



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**PROTECTIVE FORCE EVENT REPORT**

661

**Event Date:** 01/28/21      **Time:** 20:21:17      **Saved File Name:** UAS 1/28/2021

**Nature of Event:**  
Observed Multiple UAS

**Location of Event:**  
Y-12

**Persons Involved:**

| Name   | Employee No. | Place of Employment |
|--------|--------------|---------------------|
| (b)(6) | (b)(6)       | Y-12                |
|        |              | Y-12                |
|        |              | Y-12                |
|        |              | Y-12                |

**Reported By:** \_\_\_\_\_ **Employee No.:** \_\_\_\_\_ **Date Reported:** \_\_\_\_\_ **Time Reported:** \_\_\_\_\_

**Location Where Reported:**

|             |              |                |            |
|-------------|--------------|----------------|------------|
| 23          | CC           | (b)(6)         | (b)(6)     |
| <b>Post</b> | <b>Shift</b> | <b>Officer</b> | <b>SPO</b> |

**Details of Event:**

On Thursday 01/28/2021 at approximately 20:21:17 a plant employee advised Post 23 that they spotted a "drone" somewhere on the east end of Y-12. This started a chain of events where there were at least two different UAS seen in and around the Y-12 area. The UAS seemed mainly focused on the North ridge/Jack Case/HEUMF/ and UPF areas. The lowest one of the UAS was seen was at about 100ft elevation on the North Ridge. The rest of the time the UAS were around 300ft plus elevation. Ridges were scanned for possible operators. A time line of events is provided in the supplemental.

**Immediate Action Taken:**  
Observe and report.

**Supervisor Signature:** \_\_\_\_\_ (b)(6)      **Date:** 01/29/21

**Reviewed By:**

| Name | Date | Name | Date |
|------|------|------|------|
|------|------|------|------|

Distribution: PF Chief/Y-12 Supervisor Report folder-Z Drive

~~SEARCHED INDEXED SERIALIZED FILED  
#7 Law Enforcement  
Department of Energy  
Org: (b)(6) Pro Force  
1/28/2021  
CGSSOS, 07/16, DOPAC  
Page 1 of 2~~

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PROTECTIVE FORCE EVENT REPORT

Supplemental

- 20:21:17- Post 23 advised Kilo 1 that a plant employee advised him that he/she spotted a drone on the east end of the plant
- 20:21:52- Kilo 1 advises 23 Extra to watch for UAS on Bear Creek Road

(b)(7)(E)

- 20:31:25- 23 Extra advises Kilo 1 that he is standing underneath UAS at Jack Case Center

(b)(7)(E)

(b)(7)(E)

- 20:40:31- 63 Patrol advised Beta 3 that red and green lights appear to be coming from the south ridge

(b)(7)(E)

- 20:40:55- Echo 1 advises Beta 3 that he has eyes on it

(b)(7)(E)

Person/SPOs involved continued:

(b)(6)

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**Y-12 Protective Force Central Alarm Station Checklist for Unmanned Aerial System (UAS) Airspace Intrusion**

In the event the Central Alarm Station (CAS) and/or Protective Force Supervision are made aware of an unauthorized intrusion of Y-12 airspace by UAS, the following steps should be taken in accordance with Y19-51-700 Protective Force General Orders and the Security Incident Response Plan (SIRP):

| Step:  | Action:  | Time Completed:   |
|--|--|---|
| 1  | CAS will dispatch per the Security Incident Response Plan or supervision direction.  | 2025~   |
| 2  | Beta 2 will notify the Y-12 Operations Center (OC).  | 2037  |
| 3  | CAS will initiate video playback and export, if available.   | 2040-2044   |
| 4  | Gather and disseminate all available Essential Elements of Information (EEI) to include scanning the ridgelines and roadways for possible UAS operator.  | (b)(7)(E)<br>2040-2042                                    |
| 5  | Document all information deemed pertinent to the incident, to include but not limited to:  |   |
|  | Last known location  | Head south over south ridge<br>2054                       |
|  | Direction of travel  | 1st sighting west to EAST<br>2nd sighting north south     |
|  | Altitude above ground level  | 250-300F  |
|  | Perceived activity (e.g. hovering, circling, etc.)   | circling over protected area<br>2043                      |
|  | Distinguishing features or characteristics (e.g. camera, emission of liquid or vapor, attachments, hanging objects)  | Red Green lights<br>Appeared to be fire wing              |
|  | Description of the aircraft or UAS (markings, size, color, shape)  | Large shaped like plane                                   |
|  | Other  | Echo 2 first spotted from<br>w.smr over upf sight<br>2022 |
| In the event the aircraft or UAS lands ensure the following: |  |   |
| 1  | Sector Supervisor will establish incident command as practicable.  |   |
| 2  | Instruct Protective Force not to tamper with or make contact; respond in accordance with procedures for a suspicious package. If the aircraft or UAS is emitting any substance, direct Protective Force to don respirators and move upwind if possible.<br><br>Note 1 No radio/cell phone activity <25 yards<br>Note 2 Notify the OC and suggest Shelter in Place if aircraft/UAS is emitting substance. |   |
| 3  | Establish containment (300 ft.) around the immediate area (treat as a crime scene).  |   |
| 4  | Ensure the scene is assessed with explosive detection canine when practicable.   |   |

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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: 7, Law Enforcement  
Department of Energy review required before public release.  
Name: (b)(6) CNS Classification Officer  
Organization: Safeguards, Security & Emergency Services  
Date: 01/21/2021  
Guidance (if applicable): N/A