



INVESTIGATIVE PLAN

IOSC #:	Y21-098	Date/Time Reported:	4/02/2021 (1747 hours)
Event:	UAS Overflight	Responsible Org:	Outside Influence
Employee:	NA	AIS #:	NA
Badge #:	NA	SSTARS #:	NA
Category:	A-MI	SSIMS #:	NPOY12-04 2021-0006

PEOPLE TO CONTACT		ADMINISTRATIVE ACTIONS			
<input checked="" type="checkbox"/>	ORPD	Entered in IOSC Database?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> N/A
<input checked="" type="checkbox"/>	(b)(7)(E)	Categorized (Date/Time)	4/05/2021 (1010 hours)		
<input checked="" type="checkbox"/>	FAA	Notification Sent (Date/Time)	4/05/2021		
<input checked="" type="checkbox"/>	IG	Infraction?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> N/A
<input checked="" type="checkbox"/>	OST	Suspense Date (if applicable)			
<input type="checkbox"/>		Infraction Returned (Date)			
<input type="checkbox"/>		Closed in Database (Date)	4/05/2021		
		Final Report Completed and Sent (Date)	4/05/2021		
<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	IOSC Notification	4/05/2021	0913 hours	
<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: (b)(6) required before public release.
 Name/Op: (b)(6) IOSC Date: 4/05/2021
 Guidance (if applicable): CG-SS-S, 07/16, DOE

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

April 5, 2021
Page: 2
NPOY12-04/2021-0006
Closed Notification

Incident Number: NPOY12-04/2021-0006
Status: Closed Notification
Local Tracking Number: Y21-098
Facility Code: 578
Discovery Date and Time: 04/02/2021 5:47 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 4/2/21, at 1747 hrs., Y-12 Protective Force reported an Unmanned Aerial System (UAS) flying over the south ridge of the Y-12 site. The UAS appeared to be a black, four-rotor (or "Quad Blade") craft. It flew from south to north over the site. Altitude was reported as "tree top level". After approximately two minutes, the UAS left the area over the site's north ridge.

(b)(7)(E)

(b)(7)(E) The Protective Force initiated appropriate response measures. Notifications were made to local law enforcement, the FBI, and the Oak Ridge Office of the Inspector General.

Incident Category: Category A
Topical Area Code: PMS
Incident Type: Suspicious Activity
Interest Type: MI
Management Interest Notification Date: 04/05/2021

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.).

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)

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

April 5, 2021
Page: 3
NPOY12-04/2021-
0006
Closed Notification

Name Phone Secure Fax

Notification Classification Official

(b)(6) _____ (b)(6) _____
Name Phone

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

REPORT NUMBER...

Y21-089

Page 1 of 1

**TIME, DATE AND
INVESTIGATOR**

SUMMARY OF INVESTIGATIVE ACTIVITY

1019, 4/02/2021, (b)(6)

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

On Friday Evening, 4/02/2021, at 1747 hours, Y-12 NSC PF reported a UAS over the south ridge of the Y-12 site. The PF observed the aircraft to be a black, 4-rotor or “Quad Blade” craft. The flight path was south to north. Altitude was only described as “at tree top level”. After about two minutes, the UAS left the area over the site’s north ridge.

(b)(7)(E)

(b)(7)(E)

The PF initiated appropriate response measures.

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.

(b)(7)(E)

(b)(6)

From: (b)(6)
Sent: Monday, April 05, 2021 9:16 AM
To: (b)(6)
Subject: (OUO) Draft Night Note

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

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

Issue: On 4/02/2021, at 1747 hours, Y-12 National Security Complex (NSC) Protective Force (PF) reported an Unmanned Aerial System (UAS) overflight.

Context: On Friday Evening, 4/02/2021, at 1747 hours, Y-12 NSC PF reported a UAS over the south ridge of the Y-12 site. The PF observed the aircraft to be a black, 4-rotor or “Quad Blade” craft. The flight path was south to north. Altitude was only described as “at tree top level”. After about two minutes, the UAS left the area over the site’s north ridge.

(b)(7)(E)

The PF initiated appropriate response measures.

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)



OFFICIAL USE ONLY

PROTECTIVE FORCE EVENT REPORT

Event Date: 04/02/21 **Time:** 1747 **Saved File Name:** 2021-04-02 UAS

Nature of Event:
Drone flying over north ridge

Location of Event:
Y12 North Ridge

Persons Involved:

Name	Employee No.	Place of Employment

Reported By: ORPD **Employee No.:** **Date Reported:** 04/02/21 **Time Reported:** 1747

Location Where Reported:

Post	Shift	Officer	SPO

Details of Event:

At approximately 1747 the OC contacted me to report that the drone that had been reported by the previous shift was spotted by ORPD responding officers over the south ridge. (b)(7)(E) It was immediately reported that the drone was actually over the north ridge in the vicinity of the new water towers traveling west at about tree top level. (b)(7)(E) It was a small drone, barely visible to the naked eye. (b)(7)(E)

Immediate Action Taken:

Annotated the camera and time for the video to be saved.

Supervisor Signature: (b)(6) **Date:** 04/04/21

(b)(6) 4-5-21

Name	Date

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

~~OFFICIAL USE ONLY~~

~~may be exempt from public release under the Freedom of Information Act (U.S.C. 552) if the information number and category is (b)(6) /SSJES~~

~~#7 Law Enforcement~~

~~4-5-21~~

~~CG-SS-05 07/16 0000~~

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.	1749
2	Beta 2 will notify the Y-12 Operations Center (OC).	1747
3	CAS will initiate video playback and export, if available.	1750
4	Gather and disseminate all available Essential Elements of Information (EEI) to include scanning the ridgelines and roadways for possible UAS operator.	1751
5	Document all information deemed pertinent to the incident, to include but not limited to:	1751
	Last known location	NORTH RIDGE 1751
	Direction of travel	SOUTH TO NORTH 1752
	Altitude above ground level	@ TREE TOP LEVEL 1750
	Perceived activity (e.g. hovering, circling, etc.)	HOVERED OVER WATER TOWERS SLOWER THAN NORMAL 1750
	Distinguishing features or characteristics (e.g. camera, emission of liquid or vapor, attachments, hanging objects)	N/A 1751
	Description of the aircraft or UAS (markings, size, color, shape)	BLACK, SMALL 4 BLADES (PROPELLERS) 1751
	Other	DEPARTED WEST ABOVE OLD WATER TANKS PROPPED BEHIND TREE LINE (b)(7)(E) 1753
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. Note 1 No radio/cell phone activity <25 yards 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.	

~~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: (b)(6) CNS Classification Officer
 Organization: Safeguards, Security & Emergency Services
 Date: 01/21/2021
 Guidance (if applicable): N/A~~

CC
SAIFT.

OFFICIAL USE ONLY

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.	N/A
2	Beta 2 will notify the Y-12 Operations Center (OC).	1710
3	CAS will initiate video playback and export, if available.	N/A
4	Gather and disseminate all available Essential Elements of Information (EEI) to include scanning the ridgelines and roadways for possible UAS operator.	1707-1709
5	Document all information deemed pertinent to the incident, to include but not limited to:	1708
	Last known location	North Ridge, Between Hcumf/LPF
	Direction of travel	South to North
	Altitude above ground level	500ft
	Perceived activity (e.g. hovering, circling, etc.)	Traveling
	Distinguishing features or characteristics (e.g. camera, emission of liquid or vapor, attachments, hanging objects)	
	Description of the aircraft or UAS (markings, size, color, shape)	White
	Other	
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. Note 1 No radio/cell phone activity <25 yards 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.	

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: (b)(6) CNS Classification Officer
 Organization: Safeguards, Security & Emergency Services
 Date: 01/21/2021
 Guidance (if applicable): N/A