



Corporate Investigations

at Sandia National Laboratories

Sarah Renfro
Bill Weiland
Chris Padilla
Connie Maynard



Sandia National Laboratories

Sandia National Laboratories is a multi-program laboratory managed and operated by Sandia Corporation, a wholly owned subsidiary of Lockheed Martin Corporation, for the U.S. Department of Energy's National Nuclear Security Administration under contract DE-AC04-94AL85000.

SAND 2011-4979C

Corporate Investigations

at Sandia National Laboratories

**DOE Reporting
Requirements**

Waste/Fraud/Abuse

Workplace Violence





Who Must Report Derogatory Information

Sandia National Laboratories

Any individual who:

- **possesses a DOE security clearance**
 - **is in the process of obtaining a DOE security clearance, or**
 - **is in the process of having a DOE security clearance reinstated**
- ***Corporate Investigations is the central collection point for all derogatory information at Sandia and reports this information to DOE Personnel Security.***



DOE Personnel Security

Sandia National Laboratories

- **Derogatory information is reviewed by DOE Personnel Security and an interview with DOE to discuss the derogatory information may be required.**
- **Providing false information and delays in responding to DOE Personnel Security for information requests may result in a suspension or termination of an individual's DOE security clearance.**



More Ways to Jeopardize your Clearance Include

Sandia National Laboratories

- ✓ **Habitual use of alcohol to excess without rehabilitation or reformation.**
- ✓ **Drug use without evidence of rehabilitation or reformation.**
- ✓ **Negative information relating to honesty, reliability, or trustworthiness; susceptibility to coercion, influences, or pressure to act contrary to the national security.**
- ✓ **Failure to protect classified information or special nuclear material or violation of security regulations to a degree that would endanger the common security/defense.**
- ✓ **Mental illness or condition, or refusal to be examined.**



Money Matters

Sandia National Laboratories

Report orally within 2 working days of occurrence, and in writing within 3 working days:

- **Bankruptcy, regardless of whether it is for personal or business-related reason.**
- **Wage garnishments for ANY reason.**
(Examples: divorce, debts, child support)



Contact with Law Enforcement

Sandia National Laboratories

Report orally within 2 working days of occurrence and in writing within 3 working days:

If you are arrested, have criminal charges brought against you, or are detained by any law enforcement authority (local, state, OR federal) for violations of the law, regardless of whether formal charges have been made, or charges are made but later dismissed.

****Traffic violations with a fine or maximum potential fine greater than \$250 must be reported.***

****All traffic violations that are drug or alcohol related must be reported. You are also required to report ANY drug or alcohol offense to management.***





Contact with Law Enforcement

Sandia National Laboratories

Your responsibility to self-report includes

- ★ Traffic violations with fines or potential fines over \$250
- ★ DWI / DUI
- ★ Assault/Domestic Violence
- ★ Warrants
- ★ Shoplifting
- ★ Federal game violation
- ★ Temporary Restraining Orders (TROs)
- ★ Lewd conduct





Mental Health Reporting

Sandia National Laboratories

***Report orally within 2 working days of occurrence
and in writing within 3 working days:***

Hospitalization for a mental illness; treatment of drug abuse; or, treatment for alcohol abuse.



Sandia Corporate Procedure ISS100.3.1 & DOE M 470.4-5

Sandia National Laboratories

All supervisors aware of the following conditions affecting an applicant's or employee's access authorization status, shall provide notification of:

- **An individual's hospitalization for a mental illness or other condition (e.g., substance abuse) that may cause a significant defect in the individual's judgment or reliability. In addition to notifications to Corporate Investigations, notify Sandia Medical (845-8037) about any of these conditions on the same schedule.**
- **Information of personnel security interest. Such information must be characterized as reliable and relevant and create a question as to an individual's access authorization eligibility as exemplified in 10CFR710, Criteria and Procedures for Determining Eligibility for Access to Classified Matter or Special Nuclear Material.**



Identity Theft

Sandia National Laboratories

Reporting identity theft to DOE is not required, but is a good idea:

- DOE conducts background investigations for individuals who are in process of obtaining a DOE security clearance.
- DOE conducts reinvestigations for those individuals who hold a DOE security clearance.
- Identity thieves could use your identity when they
 - Accrue debt.
 - Are arrested and charged with violations of law.
- DOE background checks include record reviews for credit, debt, and criminal history, in addition to other checks.



Examples of Waste, Fraud & Abuse

Sandia National Laboratories

Violation	Example
Waste	Individual orders 10 replacement parts for a piece of equipment that will never be utilized in order to spend year-end funds
Fraud	Individual comes to work late, takes long lunches and leaves early. They then document on their time sheet that they worked a complete shift.
Abuse	Individual utilizes a government computer, printer and telephone for their outside employment.
Fraud	Individual submits an expense report that contains false information.
Abuse	Individual uses their computer to send and receive inappropriate emails or to access inappropriate web sites.



Fraud, Waste, or Mismanagement

Sandia National Laboratories

If You Suspect or Know of ANY

- ★ **Fraud**
- ★ **Waste**
- ★ **Mismanagement**

Involving the U.S. Department of Energy, its Employees, Programs, Contractors, or Subcontractors

**Call the Office of Inspector
General Hotline
1-800-541-1625 or (202) 586-4073**



U.S. Department of Energy Office of Inspector General

Sandia National Laboratories

Issues investigated by the Office of Inspector General may include:

- ★ Suspect and Counterfeit items
- ★ Ethics Violations
- ★ Procurement and Grant Fraud
- ★ False Claims
- ★ False Statements
- ★ Defective Pricing
- ★ Defective Parts
- ★ Product Substitution
- ★ Bribery
- ★ Solicitation of Bribes
- ★ Kickbacks
- ★ Environmental Violations
- ★ Conflicts of Interest
- ★ Theft of Government Property
- ★ Health and Safety Matters
- ★ Whistleblower Complaints



Theft of Property

Sandia National Laboratories

Any theft of Sandia or U.S. Government property shall be reported immediately to SNL Corporate Investigators (845-9900). (See Corporate Investigations webpage for Property Report Form.)

All property that is considered stolen, lost, or missing shall be reported regardless of value and regardless of whether it is considered controlled or uncontrolled property.

Corporate Investigations

at Sandia National Laboratories

Workplace
Violence

Phone: 845-9900





Remember!

Sandia National Laboratories

***Security Depends
On All of Us!***