

UNCLASSIFIED

APPENDIX K1

UNCLASSIFIED

From: [redacted]  
To: [redacted]  
Cc: [redacted]  
Subject: (U) Follow-up  
Date: Monday, July 01, 2013 2:09:38 PM  
Attachments: [redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L. 86-36

Classification: ~~TOP SECRET//SI//NOFORN~~

It was very nice meeting you this morning. We appreciate your assistance on this case.

Attached is a copy of the draft SOP that was mentioned this morning. Also attached, are the slides that we believe [redacted] will review at this afternoon's meeting.

In preparation for today's meeting, we wanted to share the **allegations** we received in May:

- ~~(TS//SI//REL TO USA//FVEY)~~ Since February 2013 and in violation of USSID SPOO18, [redacted] has **allegedly** been collecting or attempting to collect U.S. phone numbers without proper authorities and without a foreign intelligence purpose. The alleged collection or attempted collection was done using [redacted]

- ~~(TS//SI//REL TO USA//FVEY)~~ Since February 2013 and in violation of [redacted] [redacted] has **allegedly** been collecting or attempting to collect [redacted] phone numbers without approval from the proper [redacted] authorities, without approval from an appropriate [redacted] and without a foreign intelligence purpose. The alleged collection or attempted collection was done using [redacted]

- ~~(TS//SI//REL TO USA//FVEY)~~ Since October 2011 and in violation of violation of USSID SPOO18, [redacted] has **allegedly** collected or attempted to collect a large volume of phone numbers without any foreign intelligence purpose. The collection or attempted collection was done using [redacted]

On 18 June 2013 we received the following allegation:

(b) (3) - P.L., 86-36

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3) - P.L., 86-36  
(b) (6)

(b) (3) - P.L., 86-36  
(b) (6)

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (1)  
(b) (3) - P.L., 86-36

- ~~(TS//NOFORN)~~ On May 31<sup>st</sup> [redacted]

[redacted]

(U//FOUO) [redacted]  
 Senior Investigator  
 NSA/CSS OIG, Office of Investigations, D14

[redacted]

(b) (1)  
 (b) (3)-18 USC 798  
 (b) (3)-50 USC 3024(i)  
 (b) (3)-P.L. 86-36  
 (b) (6)

**\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\***

(b) (3)-P.L. 86-36

**Classified By:** [redacted]  
**Derived From: NSA/CSSM 1-52**  
**Dated: 20070108**  
**Declassify On: 20380701**

**Classification: ~~TOP SECRET//SI//NOFORN~~**

UNCLASSIFIED

APPENDIX K2

UNCLASSIFIED

From: [Redacted]  
To: [Redacted]  
Cc: [Redacted]  
Subject: (U) Follow-up  
Date: Monday, July 01, 2013 2:09:38 PM  
Attachments: [Redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

Classification: ~~TOP SECRET//SI//NOFORN~~

[Redacted]  
It was very nice meeting you this morning. We appreciate your assistance on this case.

Attached is a copy of the draft SOP that was mentioned this morning. Also attached, are the slides that we believe [Redacted] will review at this afternoon's meeting.

In preparation for today's meeting, we wanted to share the **allegations** we received in May:

- ~~(TS//SI//REL TO USA//FVEY)~~ Since February 2013 and in violation of USSID SPOO18, [Redacted] has **allegedly** been collecting or attempting to collect U.S. phone numbers without proper authorities and without a foreign intelligence purpose. The alleged collection or attempted collection was done using [Redacted]

[Redacted]

- ~~(TS//SI//REL TO USA//FVEY)~~ Since February 2013 and in violation of [Redacted] [Redacted] has **allegedly** been collecting or attempting to collect [Redacted] phone numbers without approval from the proper [Redacted] authorities, without approval from an appropriate [Redacted] and without a foreign intelligence purpose. The alleged collection or attempted collection was done using [Redacted]

[Redacted]

- ~~(TS//SI//REL TO USA//FVEY)~~ Since October 2011 and in violation of violation of USSID SPOO18, [Redacted] has **allegedly** collected or attempted to collect a large volume of phone numbers without any foreign intelligence purpose. The collection or attempted collection was done using [Redacted]

[Redacted]

On 18 June 2013 we received the following allegation:

(b) (3) -P.L. 86-36

(b) (3) -P.L. 86-36  
(b) (6)

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36  
(b) (6)

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

- ~~(TS//NOFORN)~~ On May 31<sup>st</sup> [redacted]

[redacted]

(U//FOUO) [redacted]  
 Senior Investigator  
 NSA/CSS OIG, Office of Investigations, D14

[redacted]

(b) (1)  
 (b) (3)-18 USC 798  
 (b) (3)-50 USC 3024 (i)  
 (b) (3)-P.L. 86-36  
 (b) (6)

\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\*

[redacted]  
 (b) (3) -P.L. 86-36

Classified By: [redacted]  
 Derived From: NSA/CSSM 1-52  
 Dated: 20070108  
 Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

From: [redacted]  
 To: [redacted]  
 Cc: [redacted]  
 Subject: (U) Oversight and Compliance requests  
 Date: Tuesday, July 02, 2013 5:28:38 PM

(b) (3) -P.L. 86-36

~~Classification: TOP SECRET//SI//NOFORN~~

(b) (3) -P.L. 86-36  
(b) (6)

[redacted] and [redacted]

Given our discussion yesterday regarding the IG investigation I have a few questions and requests.

[redacted]

Based on the information provided, SV will provide a recommendation to the IG and OGC on whether or not this activity should continue. We need this information as soon as possible in order to come to closure on this issue. If it is determined to be non-compliant activity, an incident report will need to be written and SV will provide additional remedial actions.

Thank you,

[redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

(b) (3) -P.L. 86-36

Classified By: [redacted]  
 Derived From: NSA/CSSM 1-52  
 Dated: 20070108  
 Declassify On: 20380701

~~Classification: TOP SECRET//SI//NOFORN~~

**From:** [redacted]  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) Oversight and Compliance requests  
**Date:** Monday, July 08, 2013 9:02:49 AM

(b) (3)-P.L. 86-36  
(b) (6)

(b) (3)-P.L. 86-36

~~Classification: TOP SECRET//COMINT//NOFORN~~

[redacted]

~~(S//St)~~ [redacted] just to add some clarifications these actions are the results of normal mission requirement to [redacted]

[redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (f)  
(b) (3) -P.L. 86-36

~~(S//St)~~ Clarification as to [redacted]

[redacted]



~~(U//FOUO)~~

[Redacted]

(b) (3) - P.L. 86-36  
(b) (6)

~~(U//FOUO)~~

**From:** [Redacted]  
**Sent:** Wednesday, July 03, 2013 10:13 AM  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** RE: (U) Oversight and Compliance requests

(b) (3) - P.L. 86-36

[Redacted]

[Redacted] is on leave this week. Regarding your questions:

~~(S//SI//REL)~~

[Redacted]

~~(S//SI//REL)~~ I believe we, the IC, have an overall need to understand

[Redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (1)  
(b) (3) -P.L. 86-36

~~(S//SI//REL)~~ The effort has discovered some surprising things about

[Redacted]

~~(S//SI//REL)~~ [Redacted]

[Redacted]

(S//SI//REL)

[Redacted]

(S//SI//REL) The effort started approximately early 2012 in response to

[Redacted]

~~(S//SI//REL)~~ [Redacted]

[Redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (1)  
(b) (3) -P.L. 86-36

[Redacted]

(U) Please do not hesitate to ask for further information.

R,

=====  
~~Unclassified/For Official Use Only~~

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

[Redacted]

(b) (3)-P.L. 86-36  
(b) (6)

~~Unclassified/For Official Use Only~~

=====

**From:** [Redacted]  
**Sent:** Tuesday, July 02, 2013 5:29 PM  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** (U) Oversight and Compliance requests

(b) (3)-P.L. 86-36

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

**Classification: TOP SECRET//SI//NOFORN**

[Redacted] and [Redacted]

Given our discussion yesterday regarding the IG investigation I have a few questions and requests.

[Redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L. 86-36

[Redacted]

Based on the information provided, SV will provide a recommendation to the IG and OGC on whether or not this activity should continue. We need this information as soon as possible in order to come to closure on this issue. If it is determined to be non-compliant activity, an incident report will need to be written and SV will provide additional remedial actions.

Thank you,

[Redacted]

(b) (3)-P.L. 86-36

Classified By: [Redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20070108  
Declassify On: 20380701

~~Classification: TOP SECRET//SI//NOFORN~~

Classified By: [Redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20070108  
Declassify On: 20380701

~~Classification: TOP SECRET//COMINT//NOFORN~~

(b) (3) - P.L. 86-36  
(b) (6)

**From:** [Redacted]  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** RE: (U) Oversight and Compliance requests  
**Date:** Wednesday, July 03, 2013 10:13:05 AM

(b) (3) - P.L. 86-36

[Redacted]

[Redacted] is on leave this week. Regarding your questions:

~~(S//SI//REL)~~

[Redacted]

~~(S//SI//REL)~~ I believe we, the IC, have an overall need to understand:

[Redacted]

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (1)  
(b) (3) - P.L. 86-36

~~(S//SI//REL)~~ The effort has discovered some surprising things about

[Redacted]

[Redacted]

~~(S//SI//REL)~~ [Redacted]

[Redacted]

~~(S//SI//REL)~~ [Redacted]

[Redacted]

~~(S//SI//REL)~~ The effort started approximately early 2012 in response to

[Redacted]

~~(S//SI//REL)~~ [Redacted]

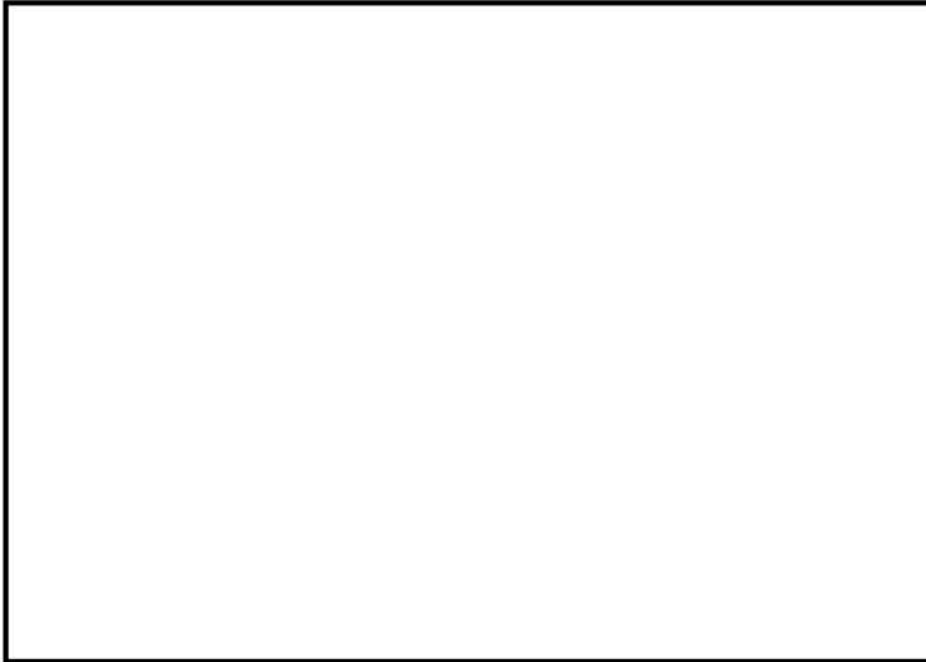
[Redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (1)  
(b) (3) -P.L. 86-36

(U) Please do not hesitate to ask for further information.

R,

=====  
~~Unclassified/For Official Use Only~~



=====  
~~Unclassified/For Official Use Only~~

(b) (3) - P.L. 86-36  
(b) (6)

**From:** [redacted]  
**Sent:** Tuesday, July 02, 2013 5:29 PM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** (U) Oversight and Compliance requests

(b) (3) - P.L. 86-36

**Classification:** ~~TOP SECRET//SI//NOFORN~~

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (i)  
(b) (3) - P.L. 86-36

[redacted] and [redacted]

Given our discussion yesterday regarding the IG investigation I have a few questions and requests.



Based on the information provided, SV will provide a recommendation to the IG and OGC on whether or not this activity should continue. We need this information as soon as possible in order to come to closure on this issue. If it is determined to be non-compliant activity, an incident report will need to be written and SV will provide additional remedial actions.

Thank you,



(b) (3) - P.L. 86-36

Classified By:



Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

~~Classification: TOP SECRET//SI//NOFORN~~



(b) (3) -P.L. 86-36

**From:** [redacted]  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) Oversight and Compliance requests  
**Date:** Wednesday, July 03, 2013 10:25:37 AM

**Classification:** ~~TOP SECRET//SI//NOFORN~~

[redacted]  
After our discussion with [redacted] yesterday I wanted to consider [redacted]  
[redacted]  
[redacted] I received the user's email regarding these concerns and I am frankly attempting to make sense of it . With your permission I would like to discuss this with the compliance subject matter expert [redacted] Let me know if that is acceptable.  
Thank you,  
[redacted]

**From:** [redacted]  
**Sent:** Tuesday, July 02, 2013 5:29 PM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** (U) Oversight and Compliance requests

**Classification:** ~~TOP SECRET//SI//NOFORN~~

(b) (3) -P.L. 86-36  
(b) (6)

[redacted] and [redacted]  
Given our discussion vesterday regarding the IG investigation I have a few questions and requests.  
[redacted]

Based on the information provided, SV will provide a recommendation to the IG and OGC on whether or not this activity should continue. We need this information as soon as possible in order to come to closure on this issue. If it is determined to be non-compliant activity, an incident report will need to be written and SV will provide additional remedial actions.

Thank you,  
[redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

(b) (3) -P.L. 86-36

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

[redacted] (b) (3) - P.L. 86-36

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

UNCLASSIFIED

## APPENDIX K3

UNCLASSIFIED

From: [redacted]  
To: [redacted]  
Subject: FW: (U) Something else turned up  
Date: Friday, July 19, 2013 11:58:36 AM  
Attachments: image001.png

Classification: ~~TOP SECRET//SI//NOFORN~~

(U//FOUO) [redacted]  
Office of Inspector General  
Intelligence Oversight  
[redacted] (U//FOUO)

From: [redacted]  
Sent: Thursday, July 11, 2013 11:02 AM  
To: [redacted]  
Cc: [redacted]  
Subject: RE: (U) Something else turned up

Classification: ~~TOP SECRET//SI//NOFORN~~

[redacted]  
Yes they are, (I pulled this at 10:59 am today) see below. When I spoke with [redacted] about this after [redacted] response we didn't see an immediate need to move on it until the determination made by [redacted] had been followed through with [redacted]  
Thanks,  
[redacted]

(b) (3) -P.L. 86-36

From: [redacted]  
Sent: Thursday, July 11, 2013 10:54 AM  
To: [redacted]  
Cc: [redacted]  
Subject: RE: (U) Something else turned up

Classification: ~~TOP SECRET//SI//NOFORN~~

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

[redacted]

(U//FOUO) [redacted]  
Office of Inspector General  
Intelligence Oversight  
[redacted] (U//FOUO)

From: [redacted]  
Sent: Thursday, July 11, 2013 10:50 AM  
To: [redacted]  
Cc: [redacted]  
Subject: RE: (U) Something else turned up

Classification: ~~TOP SECRET//SI//NOFORN~~

[redacted]  
I haven't done anything with this since the week of the fourth. I asked [redacted] after our last meeting to provide me with [redacted] After I received this notification from [redacted] this morning I forwarded it to [redacted] and we will work together on a request for information from [redacted] and the compliance lead [redacted]  
Thanks,  
[redacted]

(b) (3) -P.L. 86-36

From: [redacted]  
Sent: Thursday, July 11, 2013 8:53 AM  
To: [redacted]  
Subject: RE: (U) Something else turned up

Classification: ~~TOP SECRET//SI//NOFORN~~

Hi [redacted]  
Could you update me on what action, if any, has SV taken thus far??

Thanks [redacted]

(U//FOUO) [redacted]  
Office of Inspector General  
Intelligence Oversight  
[redacted] (U//FOUO)

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

(b) (3) - P.L. 86-36

From: [redacted]  
Sent: Wednesday, July 10, 2013 3:13 PM  
To: [redacted]  
Cc: [redacted]  
Subject: (U) Something else turned up

Classification: TOP SECRET//SI//NOFORN

[redacted]

Thanks,

[redacted]

<<...>>

[redacted]

[redacted]

(U//FOUO)

[redacted]

(b) (3) - P.L. 86-36

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

Classification: ~~TOP SECRET//SI//NOFORN~~

(b) (3) - P.L. 86-36

Classified By: [redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20070108  
Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20070108  
Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20070108  
Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20070108  
Declassify On: 20380701

UNCLASSIFIED

## APPENDIX K4

UNCLASSIFIED

(b) (3) -P.L. 86-36  
(b) (6)

**From:** [redacted]  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** (U) RE: Compliance Request  
**Date:** Thursday, July 11, 2013 3:58:20 PM  
**Attachments:** [redacted]  
**Importance:** High

(b) (3) -P.L. 86-36

**Classification:** ~~TOP SECRET//COMINT//NOFORN~~

(S//SI) [redacted] do you have time to stop by Monday morning between 8-12? I leave for TDY in the afternoon. [redacted] you are not getting a complete picture with the snap shot that [redacted] sent

[redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (1)  
(b) (3) -P.L. 86-36

(S//SI) [redacted]  
[redacted]

(S//SI) [redacted]  
[redacted]

(S//SI) Without trying to sound rude I think it is unprofessional to send out a request like this based upon one sided information and at the end of a working day. I think there should have be a meeting called at a time that allowed for us to address and present and explain how the rules were written, assigned, intended results and/or purposes. Your end of the day and one side e-mail does not afford such a interchange. We will as always comply with your request/order.

(S//SI) [redacted]  
[redacted]

(U//FOUO) [redacted]

(b) (3) -P.L. 86-36

(U//FOUO) [redacted]  
**From:** [redacted]



Doc ID: 6792434-36  
(b) (6)

Sent: Thursday, July 11, 2013 2:46 PM

To: [redacted]

Cc: [redacted]

Subject: Compliance Request

Classification: ~~TOP SECRET//SI//NOFORN~~

(b) (3) - P.L. 86-36

[redacted] and [redacted]

[Large redacted block]

Thank you,

[Redacted signature block]

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (i)  
(b) (3) - P.L. 86-36

(b) (3) - P.L. 86-36

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380701

Classification: ~~TOP SECRET//COMINT//NOFORN~~

UNCLASSIFIED

APPENDIX K5

UNCLASSIFIED

**From:** [redacted]  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) Document and Progress  
**Date:** Tuesday, September 24, 2013 2:20:48 PM

~~Classification: TOP SECRET//SI//NOFORN~~

Thank you, [redacted] and I will look through what you've provided.

After your review of the [redacted] let us know if you would like to get together to discuss.

(U//FOUO) [redacted]

Senior Investigator

NSA/CSS OIG, Office of Investigations, D14

[redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\*

**From:** [redacted]  
**Sent:** Tuesday, September 24, 2013 1:15 PM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) Document and Progress

~~Classification: TOP SECRET//SI//NOFORN~~

Hi [redacted]

My apologies. Here's the document as best I could piece together the information. I've been looking over the queries [redacted] [redacted] queries that I don't have an understanding of but I'll attempt to get you some information on the rest of them later this week.

[redacted]

(U//FOUO) [redacted]

(b) (3)-P.L. 86-36

[Redacted]

[Redacted]

(b) (3) - P.L. 86-36

**From:** [Redacted]  
**Sent:** Monday, September 23, 2013 11:34 AM  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** RE: (U) Document and Progress

**Classification:** ~~TOP SECRET//SI//NOFORN~~

Hello [Redacted]

Have you had a chance to finish looking through the document to map supporting policy?

Any updates on [Redacted]

[Redacted]

(U//FOUO) [Redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

Senior Investigator

NSA/CSS OIG, Office of Investigations, D14

[Redacted]

\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\*

**From:** [Redacted]  
**Sent:** Thursday, August 29, 2013 11:38 AM  
**To:** [Redacted]  
**Subject:** RE: (U) Document and Progress

Hi [Redacted]

We greatly appreciate your assistance. Thank you for the review of the document, thus far, and if you do have time to finish reviewing the document and annotating related policy violations, we would greatly appreciate it. We're also looking forward to seeing what the audit shows.

See you at the meeting next week.

Have a nice holiday weekend,

[Redacted]  
(U//FOUO) [Redacted]

Senior Investigator

NSA/CSS OIG, Office of Investigations, D14

[Redacted]

\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\*

**From:** [Redacted]

**Sent:** Wednesday, August 28, 2013 4:42 PM

**To:** [Redacted]

**Subject:** (U) Document and Progress

**Classification:** TOP SECRET//SI//NOFORN

Hi [Redacted]

I have marked the applicable sections from the policy documents on the allegations part of the document you passed me. I didn't have the opportunity to go through the second half of the document ATT but if you need me to I can attempt to address it later this week. [Redacted]

[Redacted]

[Redacted]

(U//FOUO)-

[Redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L. 86-36  
(b) (6)

[Redacted]

Classified By: [Redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380801

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By:

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380901

(b) (3) - P.L. 86-36

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By:

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380901

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By:

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20380901

Classification: ~~TOP SECRET//SI//NOFORN~~

UNCLASSIFIED

## APPENDIX K6

UNCLASSIFIED



**From:** [Redacted]  
**To:** [Redacted]  
**Cc:**  
**Subject:** (U) [Redacted]  
**Date:** Saturday, November 02, 2013 10:44:31 PM

~~Classification: UNCLASSIFIED//FOR OFFICIAL USE ONLY~~

(b) (3) - P.L. 86-36

Hi [Redacted]

Have you had a chance to do the super audit of [Redacted] queries ??

Thanks, [Redacted]

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (i)  
(b) (3) - P.L. 86-36

(b) (3) - P.L. 86-36  
(b) (6)

(U//FOUO) [Redacted]  
*Office of Inspector General  
Intelligence Oversight*  
[Redacted]  
[Redacted] (U//FOUO)

~~Classification: UNCLASSIFIED//FOR OFFICIAL USE ONLY~~

(b) (3) - P.L. 86-36

**From:** [redacted]  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** (U) RE: Audit Support for IG Investigation - Request Information By COB 27 February  
**Date:** Friday, February 13, 2015 9:42:18 AM

**Classification: UNCLASSIFIED//FOR OFFICIAL USE ONLY**

Hi [redacted]  
Yes, we completed the audit of his queries some time ago. We'll get you a summary early next week.  
Tks.

(U//FOUO)

[redacted]

**From:** [redacted]  
**Sent:** Thursday, February 12, 2015 5:28 PM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** Audit Support for IG Investigation - Request Information By COB 27 February

**Classification: UNCLASSIFIED//FOR OFFICIAL USE ONLY**

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

(b) (3) - P.L. 86-36

The IG is nearing completion of the investigation into alleged improprieties by [redacted]  
[redacted] That is the case where an analyst, [redacted]

[redacted]

[redacted] Back in August 2013, we asked [redacted] to perform an  
audit of [redacted] queries to determine if any were in violation of NSA's authorities, procedures,  
or policies. To date, we haven't received the final analysis of that audit. We are interested in the  
timeframe from 1 January through 31 December 2012.

(b) (3) - P.L. 86-36  
(b) (6)

Could you provide the results by 27 February for inclusion in our report. Also, please keep  
information about the investigation as close-hold as possible.

Thanks, [redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36  
(b) (6)

(b) (3) - P.L. 86-36

(U//FOUO) [Redacted]

Office of Inspector General  
Intelligence Oversight

[Redacted] (U//FOUO)

~~Classification: UNCLASSIFIED//FOR OFFICIAL USE ONLY~~

~~Classification: UNCLASSIFIED//FOR OFFICIAL USE ONLY~~

UNCLASSIFIED

APPENDIX K7

UNCLASSIFIED

**From:** [redacted]  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) IO Investigation [redacted] CLOSE HOLD  
**Date:** Friday, June 06, 2014 5:30:17 PM

**Classification:** TOP SECRET//SI//NOFORN

(C//REL TO USA, FVEY) I met with [redacted] this afternoon.

[Large redacted block]

[redacted] I have not shared my responses to your questions below or your additional questions. Please advise if sharing this with [redacted] is appropriate for them to continue the investigation. Also, please advise if this approach does not meet your requirements.

Thank you.

~~(U//FOUO)~~

[redacted]  
[redacted]

Do you have a large file to send me? Please put it in my dropbox:

[redacted]

~~(U//FOUO)~~

**From:** [redacted]  
**Sent:** Friday, June 06, 2014 11:59 AM  
**To:** [redacted]  
**Cc:** [redacted]

(b) (3) -P.L. 86-36

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36  
(b) (5)

(b) (3) -P.L. 86-36

**Subject:** FW: (U) IO Investigation-[redacted] CLOSE HOLD

**Classification:** ~~TOP SECRET//SI//NOFORN~~

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

[redacted]

(b) (3)-P.L. 86-36

Thank you for the information regarding your meeting with [redacted] on 5/22/14.

After you meet with OGC [redacted] and [redacted] please follow-up and provide us with any legal opinion you may have received and any other guidance/information regarding [redacted] activity. Thank you.

(b) (3)-P.L. 86-36  
(b) (6)

I have copied and pasted your responses to our questions, below, and have inserted more questions in red:

[Large redacted area]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (1)  
(b) (3)-P.L. 86-36  
(b) (6)

[Redacted]

Has [redacted] concluded if any of [redacted] activities are in violation of NSA or SID policies and/or procedures?

Thank you!

(U//FOUO) [redacted]  
Senior Investigator  
NSA/CSS OIG, Office of Investigations, D14

\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\*

**From:** [redacted]  
**Sent:** Friday, June 06, 2014 9:50 AM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) IO Investigation; [redacted] CLOSE HOLD

**Classification:** TOP SECRET//SI//NOFORN

[redacted] - See below.

Additional information.

(C//REL TO USA, FVEY) When another complaint was lodged, [redacted] asked for me to talk with [redacted] specifically to identify what was going on. I did not inform [redacted] that there was an IG investigation ongoing; he volunteered that he was aware of one and that he had met with the IG on a number of occasions. He also informed me that he had not yet heard from the IG that the activity was not valid. This week, because another complaint was lodged [redacted] met with the Office Chief [redacted] today. He informed [redacted] that all

[redacted]  
[redacted] I have been directed by [redacted] to meet with the OGC, [redacted] to get a legal opinion. I will update you once this meeting occurs.

(b) (3) - P.L. 86-36  
(b) (6)

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (i)  
(b) (3) - P.L. 86-36  
(b) (6)

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (i)  
(b) (3) - P.L. 86-36

(b) (1)  
(b) (3) - 18 USC 798  
(b) (3) - 50 USC 3024 (i)  
(b) (3) - P.L. 86-36  
(b) (6)

~~(C//REL TO USA, FVEY)~~ I am providing you with a summary of my discussion with [redacted] on Thursday, 22 May 2014 below.

(b) (3) -P.L. 86-36  
(b) (6)

(b) (3) -P.L. 86-36

(U//~~FOUO~~) This is a [redacted] that used to be done by an organization in [redacted] it is a holdover activity from when that organization moved over to [redacted] [redacted] is unaware of any plans to transition this activity to another organization.

~~(S//SI//REL TO USA, FVEY)~~ [redacted]

[Large redacted block]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36  
(b) (6)

~~(S//SI//REL TO USA, FVEY)~~ [redacted]

[Large redacted block]



(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36  
(b) (6)

~~(S//SI//REL TO USA, FVEY)~~ [Redacted]

(b) (3) -P.L. 86-36  
(b) (6)

(U//~~FOUO~~) Attached is a copy of the SOP that [Redacted] supervisor, [Redacted] has been working on with OGC (POC [Redacted]) to get formal approval for the [Redacted]. It provides more in depth detail and description regarding his office's mission, the intent of the [Redacted] and the steps that he completes. The SOP is currently in its 8<sup>th</sup> iteration.

(U//~~FOUO~~) Please advise if you have any additional questions or if the responses above and below are not sufficient to meet your needs.

Thank you.  
(U//~~FOUO~~)

[Redacted]

[Redacted]

Do you have a large file to send me? Please put it in my dropbox:

[Redacted]

(U//~~FOUO~~)

**From:** [Redacted]  
**Sent:** Thursday, June 05, 2014 6:54 PM  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** FW: (U) IO Investigation - [Redacted] CLOSE HOLD

**Classification:** TOP SECRET//SI//NOFORN

Hi [Redacted]

With reference to the 1 May email, below.....

[Redacted]

(b) (3) -P.L. 86-36

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36  
(b) (6)

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36



Thank you,

[Redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36  
(b) (6)

(b) (3)-P.L. 86-36

(U//FOUO) [Redacted]

Senior Investigator  
NSA/CSS OIG, Office of Investigations, D14

[Redacted]

**\*\*PRIVACY SENSITIVE – any misuse or unauthorized disclosure may lead to disciplinary action\*\***

**From:** [Redacted]

**Sent:** Thursday, May 01, 2014 10:34 AM

**To:** [Redacted]

**Cc:** [Redacted]

**Subject:** RE: (U) IO Investigation-[Redacted] CLOSE HOLD

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

**Classification: TOP SECRET//SI//NOFORN**

[Redacted]

(U//FOUO) [redacted]  
Office of Inspector General  
Intelligence Oversight  
[redacted] (U//FOUO)

(b) (3) -P.L., 86-36

**From:** [redacted]  
**Sent:** Thursday, May 01, 2014 10:29 AM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) IO Investigation-[redacted] CLOSE HOLD

**Classification:** TOP SECRET//SI//NOFORN

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L., 86-36

Hi [redacted]

(b) (6)

We want SV to proceed as if the IG wasn't involved. When the source contacted us with the most recent allegation, we asked [redacted] to go through [redacted] normal chain to report such incidents. Has [redacted] contacted SV ?? The source was very adamant not to have [redacted] name revealed, so please take special care not to disclose the source no matter whom you decide to talk to. Please don't share a copy of the information we provided last week without removing the source's personal information.

(b) (3) -P.L., 86-36  
(b) (6)

As for whether [redacted] we would expect instructions like that would come from SV. At our last meeting with you and [redacted] and I provided all of the relevant information we had available to us regarding [redacted] work, as well as names of technical experts we have used, such as [redacted] who are familiar with the case. We ask you to inform us of any actions that you have taken though. They will be included in our report.

Since [redacted] our thought would be to begin with him if you have any questions about the tasking. Seek out whatever expertise you would normally use for this type of situation. Just a note that if you choose to contact some of the technical sources that the IG has used for this case, [redacted] has not been informed of the latest allegations, but [redacted] has.

(b) (3) -P.L., 86-36

We appreciate being asked to attend your meetings, but we would prefer if you provide us with any decisions that were made at the meetings, as well as any follow-on actions that may have resulted.

[redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024(i)  
(b) (3) -P.L., 86-36  
(b) (6)

[redacted] If so, has he taken any action to report the information in an

incident report ??

Thanks, [redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L. 86-36

(U//FOUO) [redacted]  
*Office of Inspector General  
Intelligence Oversight*

[redacted] (U//FOUO)

(b) (3)-P.L. 86-36

**From:** [redacted]  
**Sent:** Wednesday, April 30, 2014 2:53 PM  
**To:** [redacted]  
**Cc:** [redacted]  
**Subject:** RE: (U) IO Investigation-- [redacted] CLOSE HOLD

**Classification:** TOP SECRET//SI//NOFORN

Hi [redacted]

I had not done a whole lot with this since our last meeting. It was my understanding that some things were not as concerning based on discussions with the [redacted]. Two things, however, jump out at me:

[redacted]

I would like to sit down with [redacted] so I can understand better. Is it okay if I set up something with him (Just making sure here.)? If so, would you like to attend?

Let me know.

Thanks, [redacted]

(U//FOUO)

[redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L. 86-36  
(b) (6)

[Redacted]

**From:** [Redacted]  
**Sent:** Tuesday, April 22, 2014 1:46 PM  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** (U) IO Investigation-[Redacted] CLOSE HOLD

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36

**Classification:** ~~TOP SECRET//SI//NOFORN~~

(b) (3) -P.L. 86-36

Hi [Redacted]

[Redacted] and I will be wrapping up the investigation in the coming weeks. We wanted to get an update on any actions that you have taken since we last met with you and [Redacted] regarding the case. [During the meeting, we had provided you the information that we had to date and given you the name of the [Redacted] technical experts we were working with in the event you needed to reach out to them to better understand this complicated issue.]

In addition, we just received additional information from the source. I have attached the documents and included the source's comments below.

Please be **VERY CAREFUL NOT TO FORWARD THESE DOCUMENTS TO ANYONE** without first deleting any information that would divulge the source. We have sent this information to one of the technical experts to validate the source's allegations. We will provide that feedback to you as well, so that you can continue to take whatever action you deem appropriate.

We welcome your opinion on the activity wrt compliance. [Redacted]

[Redacted]

Thanks, [Redacted]

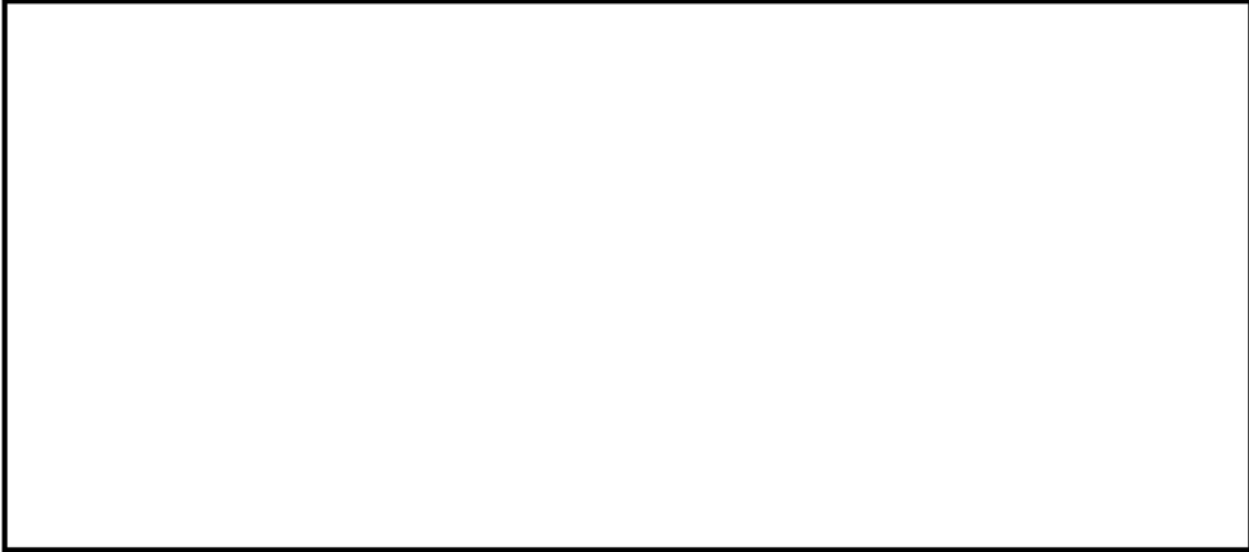
(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024 (i)  
(b) (3)-P.L. 86-36  
(b) (6)

Source's Comments

[Redacted]

(b) (1)  
(b) (3)-18 USC 798  
(b) (3)-50 USC 3024(i)  
(b) (3)-P.L. 86-36

<<...>> <<...>>



<<...>>



<<...>>



(U//FOUO) [redacted]  
Office of Inspector General  
Intelligence Oversight

[redacted] (U//FOUO)

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390401

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390401

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390501

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390501

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

(b) (3) - P.L. 86-36

Declassify On: 20390501

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390601

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390601

(b) (3) - P. I., 86-36

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390601

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390601

Classification: ~~TOP SECRET//SI//NOFORN~~

Classified By: [redacted]

Derived From: NSA/CSSM 1-52

Dated: 20070108

Declassify On: 20390601

Classification: ~~TOP SECRET//SI//NOFORN~~



UNCLASSIFIED

APPENDIX K8

UNCLASSIFIED

[Redacted]

**From:** [Redacted]  
**Sent:** Tuesday, August 04, 2015 11:06 AM  
**To:** [Redacted]  
**Cc:** [Redacted]  
**Subject:** INFORMATION NEEDED FOR IG INVESTIGATION  
**Attachments:** (U) RE\_ Audit Support for IG Investigation - Re....pdf - Adobe Acrobat Pro.pdf

*INSPECTOR GENERAL SENSITIVE INFORMATION: This email, including any attachments, is intended only for authorized recipients. This email message may contain information that is confidential, sensitive, and/or protected by Federal law, including the Privacy Act of 1974, as amended.*

(b) (3) - P.L. 86-36

(b) (3) - P.L. 86-36  
(b) (6)

I'm the Counsel to the IG and also the Chief of Investigations - a relatively new assignment. We are still trying to close out the [Redacted] case; one of the missing items is information from the audit your office conducted regarding [Redacted] queries - the last we have is the attached email where you said you'd forward information in February, but we haven't received it.

In order to allow us to complete this investigation, please forward all information that your office has, or created, relevant to audits you performed on [Redacted] queries as soon as possible. The information can either be sent to me, or the investigator assigned to the case, [Redacted] cc'd above.

Please let me know if you have any questions,

[Redacted]

(b) (3) - P.L. 86-36

[Redacted]

KB.1

[Redacted]

**From:**

[Redacted]

**Sent:**

Thursday, August 13, 2015 4:07 PM.

**To:**

[Redacted]

**Subject:**

(U) Follow-up From Our Meeting

(b) (3) -P.L. 86-36

~~Classification: CONFIDENTIAL//NOFORN~~

Hi [Redacted]

As a follow up to our meeting and per our discussions in the meeting I wanted to provide you with the following information.

[Large Redacted Block]

My initial look at a portion of the data did not reveal anything significant though I will take time to look back over the data over the next few days and provide any highlights.

[Redacted]

(b) (1)  
(b) (3) -18 USC 798  
(b) (3) -50 USC 3024 (i)  
(b) (3) -P.L. 86-36

~~(U//FOUO)~~

[Redacted Block]

(b) (3) -P.L. 86-36

Classified By: [Redacted]  
Derived From: NSA/CSSM 1-52  
Dated: 20130930  
Declassify On: 20400801